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House of Representatives

RECOMMENDING THAT THE HOUSE FIND WILLIAM P. BARR AND WILBUR L. ROSS, JR., IN CONTEMPT OF CONGRESS

The Committee on Oversight and Reform, having considered this Report, reports favorably thereon and recommends that the Report be approved.

The form of the Resolution that the Committee on Oversight and Reform would recommend to the House of Representatives for citing William P. Barr, Attorney General of the United States, and Wilbur L. Ross, Jr., Secretary of Commerce, for contempt of Congress pursuant to this Report is as follows:

Resolved, That William P. Barr, Attorney General of the United States, and Wilbur L. Ross, Jr., Secretary of Commerce, shall be found to be in contempt of Congress for failing to comply with subpoenas authorized by the Committee on Oversight and Reform and duly issued by Chairman Elijah E. Cummings relating to the 2020 Census.

Resolved, That the Attorney General (i) failed to comply with a Committee subpoena issued on April 2, 2019, to produce documents, and (ii) ordered a Department of Justice employee, John Gore, not to comply with a Committee subpoena requiring him to appear for deposition testimony before the Committee on April 11, 2019.

Resolved, That the Secretary of Commerce failed to comply with a Committee subpoena issued on April 2, 2019, to produce documents.

Resolved, That the Report of the Committee on Oversight and Reform details the refusal of the Attorney General to produce documents to the Committee as required by subpoena, the order from the Attorney General directing John Gore to defy a duly authorized Committee subpoena for deposition testimony, and the refusal of the Secretary of Commerce to produce documents to the Committee as required by subpoena.

Resolved, That pursuant to 2 U.S.C. 192 and 194, the Speaker of the House of Representatives shall certify the Report of the Committee on Oversight and Reform, detailing the refusal of William P. Barr, Attorney General of the United States, to produce documents to the Committee on Oversight and Reform as directed by subpoena, to the United States Attorney for the District of Columbia, to the end that Mr. Barr be proceeded against in the manner and form provided by law.

Resolved, That pursuant to 2 U.S.C. 192 and 194, the Speaker of the House of Representatives shall certify the Report of the Committee on Oversight and Reform, detailing the refusal of Wilbur L. Ross, Jr., Secretary of Commerce, to produce documents to the Committee as directed by subpoena, to the United States Attorney for the District of Columbia, to the end that Mr. Ross be proceeded against in the manner and form provided by law.

Resolved, That the Speaker of the House shall otherwise take all appropriate action to enforce the subpoenas.

Resolved, That the Chairman of the Committee on Oversight and Reform shall take all necessary steps to enforce the above-referenced subpoenas, including, but not limited to, seeking authorization from the House of Representatives through a vote of the Bipartisan Legal Advisory Group pursuant to clause 8(b) of rule II, and H. Res. 430, to initiate or to intervene in proceedings in any federal court of competent jurisdiction, to seek judgements affirming the duty of the subpoena recipients to comply with the above-referenced subpoenas, and to seek any appropriate ancillary relief, including injunctive relief.

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I. EXECUTIVE SUMMARY

The Committee on Oversight and Reform is investigating the Trump Administration's decision to add a question to the 2020 Decennial Census asking whether each member of a household is a U.S. citizen. Attorney General William P. Barr and Secretary of Commerce Wilbur L. Ross, Jr. have obstructed and delayed the Committee's investigation by defying lawful subpoenas for documents issued by Chairman Elijah E. Cummings and authorized by the Committee in a bipartisan vote. Attorney General Barr also ordered a subordinate Department of Justice (DOJ) official, John Gore, to defy a bipartisan deposition subpoena. As a result, the Committee has been left with no choice but to move to contempt proceedings and to seek enforcement of its subpoenas to enable the Committee to fulfill its duties under the Constitution.

The Decennial Census is a cornerstone of our democracy. Article I of the Constitution requires the federal government to conduct a Census every ten years and to count every person in the United States.[1] The Census provides the basis for apportioning seats in Congress and for distributing more than $675 billion in federal funds. These funds support vital healthcare, nutrition, education, infrastructure, housing, and other programs on which many Americans rely.[2] The accuracy of the Census is important to every American.

On March 26, 2018, Secretary Ross announced that, for the first time in seventy years, the upcoming 2020 Census would ask every person in America whether he or she is a U.S. citizen.[3] Experts—including the Census Bureau's Chief Scientist, former Census Bureau Directors who served under Republican and Democratic administrations, and many others—raised concerns that this question had not been adequately tested and was likely to discourage participation by non-citizens and immigrants, degrading the quality of the 2020 Census and negatively affecting funds appropriated for certain districts.

Secretary Ross asserted in testimony before Congress that he added the citizenship question solely in response to a December 12, 2017, request from DOJ in order to gather data needed to enforce the Voting Rights Act.

Over the last year, however, evidence has emerged that Secretary Ross' rationale was merely a pretext. In truth, members of the Trump Administration were seeking to add a citizenship question long before DOJ sent its December 2017 request. Members of President

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[1] U.S. Const., Art. 1, sec. 2.

[2] *Uses of Census Bureau Data in Federal Funds Distribution*, U.S. Census Bureau (Sept. 2017) (online at www2.census.gov/programs-surveys/decennial/2020/program-management/working-papers/Uses-of-Census-Bureau-Data-in-Federal-Funds-Distribution.pdf).

[3] The Census Bureau has not included a citizenship question on the Decennial Census since 1950. In 1970, the Census Bureau began sending two different Census surveys to Americans. The short-form Census asked the basic information of every household and did not include a citizenship question. The long-form Census, which went to about one in six households, asked about citizenship. In 2005, the Bureau converted the long-form Census into the American Community Survey, which includes a citizenship question, but is sent to only a small fraction of households. *See FACT CHECK: Has Citizenship Been A Standard Census Question?*, National Public Radio (Mar. 27, 2018) (online at www.npr.org/2018/03/27/597436512/fact-check-has-citizenship-been-a-standard-census-question).

Trump's campaign and transition team discussed the issue before President Trump took office. After his inauguration, the President and his top advisors, including Chief Strategist and Senior Counselor Steve Bannon and Chief of Staff Reince Priebus, met in the White House to discuss the citizenship question. Secretary Ross directed Commerce Department staff to get the citizenship question added to the Census questionnaire long before any request from DOJ. In September 2017, Secretary Ross personally called Attorney General Jeff Sessions to seek DOJ's assistance. DOJ then drafted its request letter while receiving input from Secretary Ross' staff and a member of the Trump Transition Team.

The Trump Administration has claimed that the Committee's investigation is intended to interfere with separate ongoing litigation that is now before the Supreme Court. However, Committee Democrats launched an investigation into the citizenship question just days after Secretary Ross announced his decision in March 2018. Since they were in the minority at the time, their efforts were blocked. In 2019, after Rep. Cummings became Chairman, he renewed these requests and made this investigation a priority for the Committee, well before the Supreme Court took up this case.

The Trump Administration, however, still has failed to cooperate. On April 2, 2019, after the Department of Commerce and DOJ refused to produce key documents voluntarily despite numerous accommodations from the Committee, Chairman Cummings issued document subpoenas to Secretary Ross and Attorney General William Barr. He also issued a deposition subpoena to John Gore, a DOJ official who had refused to answer more than 150 questions during a voluntary interview with Committee staff. The subpoenas were authorized by a bipartisan vote of the Committee.

The Trump Administration defied all three subpoenas. The Department of Commerce and DOJ produced thousands of pages of documents that were largely heavily redacted or already public—but withheld the key unredacted documents identified in the subpoenas. Rather than allow Mr. Gore to testify, the Attorney General instructed him not to appear based on a complaint about a Committee rule that has been in place for over a decade.

The Administration has also tried to stymie the Committee's investigation in other ways. The Department of Commerce refused for more than two months to make three current and former Department officials available for voluntary transcribed interviews. The Department relented only after the Committee scheduled a business meeting to consider issuing subpoenas for these individuals' testimony.

The White House has also aggressively interfered with the Committee's work by instructing Kris Kobach, a private citizen, not to answer questions about his meetings with the President and his senior White House advisors about the citizenship question. The White House claimed that such meetings "fall squarely within the scope of executive privilege," even though it had previously said the decision to add the citizenship question was "made at the department level" rather than at the White House.

II. AUTHORITY AND PURPOSE

Congress has a constitutional responsibility to conduct oversight of the Executive Branch, and the Supreme Court has repeatedly affirmed that duty. The Court held in *McGrain v. Daugherty* that "the power of inquiry—with process to enforce it—is an essential and appropriate auxiliary to the legislative function."[4] In *Watkins v. United States*, the Court held that Congress' oversight jurisdiction is far-reaching, stating: "The power of Congress to conduct investigations is inherent in the legislative process. That power is broad."[5]

Legislation has codified the oversight powers of House and Senate Committees. For example, the Legislative Reorganization Act of 1946 directed committees to "exercise continuous watchfulness" over the Executive Branch's implementation of programs within their jurisdictions, and the Legislative Reorganization Act of 1970 authorized committees to "review and study, on a continuing basis, the application, administration, and execution" of laws.[6]

The rules of the House of Representatives—adopted pursuant to the Rulemaking Clause of the Constitution—establish the Committee on Oversight and Reform as a standing committee of the House of Representatives. Under House Rule X, the Committee has legislative jurisdiction over issues including "population and demography generally, including the Census," and the "overall economy, efficiency, and management of government operations and activities."[7] As the principal oversight committee of the House of Representatives, the Committee also "may at any time conduct investigations of any matter."[8]

Pursuant to House Rule XI, the Committee is authorized "to require, by subpoena or otherwise, the attendance and testimony of such witnesses and the production of books, records, correspondence, memoranda, papers, and documents as it considers necessary."[9] The Committee may delegate the "power to authorize and issue subpoenas" to its chair within the Committee rules.[10] The Committee is further authorized to "adopt a rule authorizing and regulating the taking of depositions by a member or counsel of the committee, including pursuant to subpoena."[11]

Rules unanimously adopted by the Committee state that the Committee's Chairman shall "Authorize and issue subpoenas as provided in House Rule XI, clause 2(m), in the conduct of any investigation or activity or series of investigations or activities within the jurisdiction of the

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[4] 273 U.S. 135 (1927).

[5] 354 U.S. 178 (1957).

[6] Pub. L. No. 79-601; Pub. L. No. 91-510.

[7] House Rule X, clause 1(n).

[8] House Rule X, clause 4(c)(2).

[9] House Rule XI, clause 2(m)(1)(B).

[10] House Rule XI, clause 2(m)(3)(A)(i).

[11] House Rule X, clause 4(c)(3)(A).

Committee."[12] The Committee Rules further state that the Chairman, "upon consultation with the Ranking Member, may order the taking of depositions, under oath and pursuant to notice or subpoena."[13]

The Committee's investigation into the Trump Administration's addition of a citizenship question to the 2020 Decennial Census is being undertaken pursuant to the authorities delegated to the Committee under the House Rules.

As a part of this investigation, the Committee is seeking information on the Administration's actual reasons for adding the citizenship question and the process it followed to do so; how the citizenship question could impact Census response rates, accuracy, and cost; the potential negative impacts on certain congressional districts caused by inaccuracies resulting from undercounts; the accuracy of the Administration's past statements to Congress and the public regarding these issues; and related issues.

The Constitution gives Congress sweeping power to carry out the Census "in such manner as they shall by law direct," and the Committee's investigation may lead Congress to pursue legislation.[14] To give just a few illustrative examples, such legislation could reform the process used to add questions to the Census, change the requirements for congressional notifications or testing of topics and questions, require the disclosure of Census questions proposed by third parties, add further protections regarding the use of Census data by federal agencies or others, mandate additional non-response follow-up procedures to prevent undercounts, alter funding levels for the upcoming Census, or prohibit the inclusion of a citizenship question altogether.

III. BACKGROUND ON THE COMMITTEE'S INVESTIGATION

On March 26, 2018, Secretary of Commerce Wilbur Ross announced that he had decided to add a citizenship question to the 2020 Decennial Census.[15] Secretary Ross and other Commerce Department officials repeatedly testified that this decision was based solely on a December 12, 2017, letter from DOJ requesting that a citizenship question be added to the 2020 Census to "best enable the Department to protect all American citizens' voting rights under Section 2" of the Voting Rights Act.[16]

Testifying before the House Committee on Appropriations on March 20, 2018, Secretary Ross stated: "We have had a request, as everyone is aware, from the Department of Justice, to

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[12] Rule 12(g) of the Committee on Oversight and Reform, 116th Cong.

[13] Rule 15(a) of the Committee on Oversight and Reform, 116th Cong.

[14] U.S. Const., Art. 1, sec. 2. Statutes governing the census are codified in Title 13 of the U.S. Code.

[15] Letter from Secretary Wilbur Ross, Jr., Department of Commerce, to Karen Dunn Kelley, Under Secretary for Economic, Department of Commerce (Mar. 26, 2018) (online at www.documentcloud.org/documents/4426785-commerce2018-03-26-2.html).

[16] Letter from Arthur E. Gary, General Counsel, Justice Management Division, Department of Justice, to Ron Jarmin, Director, Census Bureau (Dec. 12, 2017) (online at www.documentcloud.org/documents/4340651-Text-of-Dec-2017-DOJ-letter-to-Census.html).

add a citizenship question to the 2020 census." He continued: "We are responding **solely** to the Department of Justice's request."[17]

Two days later, on March 22, 2018, Secretary Ross testified before the Committee on Ways and Means. He stated: "The Department of Justice, as you know, initiated the request for inclusion of the citizenship question."[18]

On May 8, 2018, at a hearing before the Committee on Oversight and Government Reform, Earl Comstock, Director of the Office of Policy and Strategic Planning at the Department of Commerce, testified: "We received a request from the Justice Department for this, and their rationale was that the level of information that they needed to enforce the Voting Rights Act was not available."[19]

Two days later, before the Senate Committee on Appropriations, Secretary Ross again testified that the DOJ request letter was the basis of his decision to add the citizenship question, stating: "Well, the Justice Department is the one who made the request of us."[20]

Information gathered by the Committee demonstrates that these statements were, at best, misleading. In fact, the December 2017 request from DOJ appears to have been no more than a pretext.

The Trump Administration actually began a campaign to add the citizenship question immediately after the President's inauguration in January 2017. That campaign followed efforts to promote a citizenship question by Thomas Hofeller, a now-deceased Republican gerrymandering expert. In 2015, Mr. Hofeller wrote a secret study concluding that counting voting-age citizens, rather than total population, in legislative districts "would be advantageous to Republicans and Non-Hispanic Whites." He also concluded: "Without a question on citizenship being included on the 2020 Decennial Census questionnaire, the use of citizen voting age population is functionally unworkable."[21]

A. The Trump Campaign and Trump Transition Team Discussed Adding a Citizenship Question

Members of Donald Trump's presidential campaign and transition team began discussing the potential addition of a citizenship question well before the President took office in January

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[17] House Committee on Appropriations, Subcommittee on Commerce, Justice, Science, and Related Agencies, *FY19 Budget Hearing: Department of Commerce,* 115th Cong. (Mar. 20, 2018) (emphasis added).

[18] House Committee on Ways and Means, *Hearing with Commerce Secretary Ross,* 115th Cong. (Mar. 22, 2018).

[19] Committee on Oversight and Government Reform, *Hearing on Progress Report on the 2020 Census,* 115th Cong. (May 8, 2018).

[20] Senate Committee on Appropriations, Subcommittee on Commerce, Justice, and Science and Related Agencies, *Hearing on FY 2019 Funding Request for the Commerce Department*, 115th Cong. (May 10, 2018).

[21] Thomas Hofeller, *The Use of Citizen Voting Age Population in Redistricting* (2015) (online at https://assets.documentcloud.org/documents/6111284/May-31-2019-Unredacted-Exhibits.pdf).

2017. Former Kansas Secretary of State Kris Kobach, who served as an "informal adviser to the President throughout the campaign," told Committee staff during a transcribed interview that he had discussions about adding a citizenship question during the 2016 campaign. He explained, "I certainly discussed the issue with people during the campaign."[22]

These discussions continued on President Trump's Transition Team after the 2016 election. In a transcribed interview with Committee staff, a former member of the Transition Team, Gene Hamilton, testified that Mr. Kobach, who also served on the transition, contacted him in "early November of 2016" to discuss legislative proposals regarding the citizenship question.[23]

During the transition, gerrymandering expert Thomas Hofeller reportedly had direct communications with the Transition Team official responsible for the Census. That official, Mark Neuman, recalled that he spoke to Mr. Hofeller about the subject multiple times."[24]

B. The President and His Top Advisors Discussed Adding a Citizenship Question Within Days of the Inauguration

Within days of President Trump's inauguration, the President, the President's Chief Strategist and Senior Counselor Steve Bannon, and the President's Chief of Staff Reince Priebus held meetings with Mr. Kobach to discuss the addition of the citizenship question. Mr. Kobach told Committee staff during his interview that the meetings occurred in "late January-early February of 2017." He recalled two meetings, one with Mr. Bannon, and a second with President Trump, who may have been accompanied by Mr. Bannon and Mr. Priebus.[25]

Although the White House instructed Mr. Kobach not to divulge to the Committee the content of those meetings—or whether he had other meetings with the White House on the citizenship question—Mr. Kobach has stated publicly that he raised the issue with the President because he "wanted to make sure the president was well aware" and that the President "absolutely was interested in this."[26]

Secretary Ross was sworn in on February 28, 2017. Just ten days later, Secretary Ross received an email from Earl Comstock regarding "Your Question on the Census." The email included a Q&A from the Census Bureau website explaining that "undocumented residents (aliens)," along with all other "citizens and noncitizens" residing in the United States, "are to be included in the census and thus in the apportionment counts." The email also included a *Wall*

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[22] Committee on Oversight and Reform, Transcribed Interview of Kris Kobach (June 3, 2019).

[23] Committee on Oversight and Reform, Transcribed Interview of Gene Hamilton (May 30, 2019).

[24] Deposition of A. Mark Neuman, Civ. No. 8:18-cv-01041-GJH (D. Md. Oct. 28, 2018).

[25] Committee on Oversight and Reform, Transcribed Interview of Kris Kobach (June 3, 2019).

[26] *That Citizenship Question on the 2020 Census? Kobach Says He Pitched It to Trump*, Kansas City Star (Mar. 27, 2018) (online at www.kansascity.com/news/politics-government/article207007581.html).

Street Journal article entitled, "The Pitfalls of Counting Illegal Immigrants," and noted that "neither the 2000 nor the 2010 Census asked about citizenship."[27]

In April 2017—eight months before DOJ sent its request letter— Secretary Ross' assistant wrote in an email that "Steve Bannon asked that the Secretary talk to someone about the Census."[28] In testimony before the Committee on March 14, 2019, Secretary Ross stated that Mr. Bannon had "requested that I consider taking a phone call from an individual called Kris Kobach." He recalled that Mr. Bannon "said that Kobach had a question that he thought should be asked on the census." Secretary Ross testified that, "shortly thereafter, possibly the next day, I did have a conversation with Kris Kobach."[29] In a subsequent email, Mr. Kobach recalled that his conversation with Secretary Ross had been "at the direction of Steve Bannon."[30]

A week after Mr. Bannon contacted Secretary Ross to connect him with Mr. Kobach, on April 13, 2017, Mr. Comstock emailed Mr. Neuman—the former Transition Team member who was informally advising Secretary Ross—to ask when the Department needed to notify Congress about the questions that would be on the American Community Survey and the Decennial Census.[31] Mr. Neuman replied, "there will be another opportunity next year."[32]

C. Commerce Secretary Ross Began a Campaign to Add the Citizenship Question Months Before the Department of Justice Sent a Request

During spring 2017, Secretary Ross pressed his staff to move more aggressively to add a citizenship question to the 2020 Census. In an email to Mr. Comstock and the Department's Chief Financial Officer Ellen Herbst on May 2, 2017, Secretary Ross wrote: "I am mystified why nothing have [sic] been done in response to my months old request that we include the citizenship question."[33] Mr. Comstock responded:

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[27] Email from Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Mar. 10, 2017) (online at https://apps.npr.org/documents/document.html?id=4619371-Page-2521-Of-Administrative-Record-For-Census#document/p1/a443003).

[28] Email from Brooke Alexander, Executive Assistant to the Secretary, Department of Commerce, to Hilary Geary Ross (Apr. 5, 2017) (online at https://apps.npr.org/documents/document.html?id=4616790-April-5-2017-Email-From-Brooke-Alexander#document/p1/a441453).

[29] Committee Oversight and Reform, *Hearing with Commerce Secretary Wilbur L. Ross, Jr.,* 116th Cong. (Mar. 14, 2019) (online at https://oversight.house.gov/legislation/hearings/commerce-secretary-wilbur-l-ross-jr).

[30] Email from Kris Kobach, to Wendy Teramoto, Chief of Staff, Department of Commerce (July 21, 2017) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p775/a428456).

[31] Email from Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce, to Mark Neuman (Apr. 13, 2017).

[32] Email from Mark Neuman, to Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce (Apr. 14, 2017).

[33] Email from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Earl Comstock, Director, Office of Policy and Strategic Planning, and Ellen Herbst, Chief Financial Officer, Department of Commerce (May 2, 2017).

> On the citizenship question we will get that in place. The broad topics were what were sent to Congress earlier this year as required. It is next March—in 2018—when the final 2020 decennial Census questions are submitted to Congress. **We need to work with Justice to get them to request that citizenship be added back as a census question**, and we have the court cases to illustrate that DoJ has a legitimate need for the question to be included. I will arrange a meeting with DoJ staff this week to discuss.[34]

In a subsequent memo to Secretary Ross, Mr. Comstock detailed his efforts to get another agency, the Department of Homeland Security, to request the citizenship question and noted that he was initially rebuffed by both DOJ and the Department of Homeland Security, leading him to consider whether the Department of Commerce could add the question even without a request from another agency. He wrote:

> In early May, Eric Branstad put me in touch with Mary Blanche Hankey as the White House liaison at the Department of Justice. … We met in person to discuss the citizenship question. She said she would locate someone at the Department who could address the issue. A few days later she directed me to James McHenry in the Department of Justice.
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> I spoke several times with James McHenry by phone, and after considering the matter further, James said that Justice staff did not want to raise the question given the difficulties Justice was encountering in the press at the time (the whole Comey matter). James directed me to Gene Hamilton at the Department of Homeland Security.[35]

On May 30, 2019, Committee staff conducted a voluntary transcribed interview with Mr. Hamilton. He informed Committee staff that he received a call from a White House official, John Zadrozny on the Domestic Policy Council, informing him that he "would be receiving a phone call from someone from the Department of Commerce related to the Census."[36]

Mr. Comstock then contacted Mr. Hamilton. Mr. Hamilton told the Committee that Mr. Comstock called him to ask "if the Department of Homeland Security could use or had a need for the information for citizenship information of the Census that would facilitate a departmental mission." Mr. Hamilton told the Committee that he checked with experts within the Department, but that nobody identified a need for this information. He then reported back to Mr. Comstock that the Department "didn't really have a use for" the information.[37]

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[34] Email from Earl Comstock, Director, Office of Policy and Strategic Planning, to Secretary Wilbur L. Ross, Jr., Department of Commerce, and Ellen Herbst, Department of Commerce (May 2, 2017) (emphasis added).

[35] Memorandum from Earl Comstock, Director, Office of Policy and Strategic Planning, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Sept. 8, 2017) (online at https://apps.npr.org/documents/document.html?id=4896064-Administrative-Record-For-Census-Citizenship#document/p2/a454666).

[36] Committee on Oversight and Reform, Transcribed Interview of Gene Hamilton (May 30, 2019).

[37] *Id.*

In his memo to Secretary Ross, Mr. Comstock explained:

> Gene and I had several phone calls to discuss the matter, and then Gene relayed that after discussion DHS really felt that it was best handled by the Department of Justice.
>
> At that point, the conversation ceased, and I asked James Uthmeier, who had by then joined the Department of Commerce Office of General Counsel, to look into the legal issues and how Commerce could add the question to the Census itself.[38]

On July 14, 2017, Mr. Kobach emailed Secretary Ross to "follow up on our telephone discussion from a few months ago." He wrote that adding a citizenship question to the Census was "essential" and would address "the problem that aliens who do not actually 'reside' in the United States are still counted for congressional apportionment purposes."[39] He also included a sample citizenship question.[40]

Secretary Ross' Chief of Staff, Wendy Teramoto, then arranged a call between Mr. Kobach and the Secretary on July 25, 2017.[41] Mr. Kobach told the Committee that he did not recall whether he had a second call with the Secretary, but the call is reflected on Secretary Ross' calendar.[42]

On August 8, 2017, Secretary Ross emailed Mr. Comstock to follow up on his outreach to DOJ. He wrote: "where is DOJ in their analysis? If they still have not come to a conclusion please let me know your contact person and I will call the AG."[43] Mr. Comstock replied:

> Mr. Secretary—we are preparing a memo and full briefing for you on the citizenship question. The memo will be ready by Friday, and we can do the briefing whenever you are back in the office. Since this issue will go to the Supreme Court we need to be diligent in preparing the administrative record.[44]

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[38] Memorandum from Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Sept. 8, 2017) (online at https://apps.npr.org/documents/document.html?id=4896064-Administrative-Record-For-Census-Citizenship#document/p2/a454666).

[39] *Id.*

[40] Email from Kris Kobach, Kansas Secretary of State, to Secretary Wilbur L. Ross, Jr., Department of Commerce (July 14, 2017) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p776/a428457).

[41] Email from Wendy Teramoto, Chief of Staff, Department of Commerce, to Kris Kobach, Kansas Secretary of State (July 24, 2017) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p776/a428457).

[42] Committee on Oversight and Reform, Transcribed Interview of Kris Kobach (June 3, 2019); Commerce Secretary Wilbur Ross's Calendar for July 25, 2017 ("11:00 AM - 11:30 AM Call w/ Kris Kobach") (online at www.documentcloud.org/documents/5001734-COMM-17-0501-Ross-Cal.html#document/p1651/a461389).

[43] Email from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce (Aug. 8, 2017) (online at https://apps.npr.org/documents/document.html?id=4872562-2018-09-11-Letter-Response#document/p40/a453277).

[44] Email from Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce,

Secretary Ross responded:

> I would like to be briefed Friday by phone. I will probably need an hour to study the memo first. [W]e should be very careful, about everything, whether or not it is likely to end up in the SC.[45]

On August 11, 2017, Mr. Comstock sent Secretary Ross a memorandum analyzing the citizenship question drafted by James Uthmeier, Senior Counsel to the General Counsel at the Department of Commerce.[46]

D. The Department of Justice Sought to "Assist" Secretary Ross by Requesting a Citizenship Question

In September 2017, officials at the Department of Commerce and DOJ arranged a call on the citizenship question between Secretary Ross and Attorney General Jeff Sessions. On September 17, 2017, Danielle Cutrona at DOJ wrote to Ms. Teramoto at the Department of Commerce: "From what John [Gore, Acting Assistant Attorney General] told me, it sounds like **we can do whatever you all need us to do** and the delay was due to a miscommunication. **The AG is eager to assist.**"[47]

Mr. Gore was the principal drafter of DOJ's letter requesting a citizenship question. During the period when he was preparing that letter, Mr. Gore had multiple conversations with the Department of Commerce's General Counsel, Peter Davidson, and Mr. Uthmeier about the citizenship question.[48]

Mr. Uthmeier had a memorandum on the citizenship question, along with a personal note, hand-delivered to Mr. Gore. In his interview with Committee staff, Mr. Gore refused to say why Mr. Uthmeier told him he wanted to deliver the memo by hand. DOJ attorneys directed Mr. Gore not to tell the Committee the substance of any of his conversations about the citizenship question with the Attorney General, Ms. Cutrona, Mr. Davidson, or Mr. Uthmeier.[49]

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to Secretary Wilbur L. Ross, Jr., Department of Commerce (Aug. 9, 2017) (online at https://apps.npr.org/documents/document.html?id=4872562-2018-09-11-Letter-Response#document/p40/a453277).

[45] *Id.*

[46] Email from Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Aug. 11, 2017).

[47] Email from Danielle Cutrona, Senior Counsel, Department of Justice, to Wendy Teramoto, Chief of Staff, Department of Commerce (Sept. 17, 2017) (emphasis added) (online at https://apps.npr.org/documents/document.html?id=5027607-Page-2637-Of-Administrative-Record-For-Census#document/p1/a464469); *see also* Committee on Oversight and Reform, Interview of Gene Hamilton, 29 (May 30, 2019) (explaining that the Attorney General had spoken to Secretary Ross about whether the Department could use citizenship information from the Census,).

[48] Committee on Oversight and Reform, Transcribed Interview of John Gore, 105-109 (Mar. 7, 2019).

[49] *Id.*

Mr. Gore also told the Committee that Mr. Davidson at the Department of Commerce contacted him and informed him that former Trump Transition Team member Mark Neuman would contact him about the citizenship question. Mr. Gore then spoke to Mr. Neuman and subsequently "reviewed some documents and information regarding the census" that Mr. Neuman provided to him. Among other documents, Mr. Neuman provided "a draft letter that would request reinstatement of the citizenship question on the census questionnaire."[50]

The draft letter that Mr. Neuman provided to Mr. Gore contained language that matched, word-for-word, a document found on the hard drive of Mr. Hofeller that had been created in August 2017.[51] While this language did not appear in DOJ's final letter to the Department of Commerce, it demonstrates a connection between Mr. Hofeller, Mr. Neuman, and Mr. Gore. DOJ has refused to provide the Committee with drafts of DOJ's letter to the Department of Commerce.

In October 2017, Mr. Gore, along with another individual in DOJ's Civil Rights Division, participated in a conference call about the citizenship question with White House Domestic Policy Council official John Zadrozny.[52] At the direction of DOJ attorneys, Mr. Gore refused to tell the Committee what was discussed on that conference call.

On November 27, 2017, Secretary Ross wrote to Mr. Davidson: "We are out of time. Please set up a call for me tomorrow with whoever is the responsible person at Justice. We must have this resolved."[53]

Two weeks later, on December 12, 2017, DOJ sent its request letter. The letter contended that data from a citizenship question on the 2020 Decennial Census was "critical to the Department's enforcement efforts under Section 2 of the Voting Rights Act and its important protections against racial discrimination in voting." The letter argued that the data already provided through the American Community Survey was not accurate enough.[54]

Ten days after the letter was sent, on December 22, 2017, Acting Census Bureau Director Ron Jarmin emailed Arthur Gary, who signed DOJ's request letter, to request a meeting. Mr. Jarmin noted that the Census Bureau believed it could provide DOJ with the data it requested

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[50] *Id.*

[51] *Deceased G.O.P. Strategist's Hard Drives Reveal New Details on the Census Citizenship Question,* New York Times (May 30, 2019) (online at www.nytimes.com/2019/05/30/us/census-citizenship-question-hofeller.html).

[52] Committee on Oversight and Reform, Transcribed Interview of John Gore (Mar. 7, 2019).

[53] Email from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Peter Davidson, General Counsel, Department of Commerce (Nov. 27, 2017) (online at https://apps.npr.org/documents/document.html?id=4620785-Page-11193-Of-Administrative-Record-For-Census#document/p1/a443377).

[54] Letter from Arthur E. Gary, General Counsel, Justice Management Division, Department of Justice, to Ron Jarmin, Director, Census Bureau (Dec. 12, 2017) (online at www.documentcloud.org/documents/4340651-Text-of-Dec-2017-DOJ-letter-to-Census.html).

without adding a citizenship question to the census, and that adding the citizenship question "would result in higher quality data produced at a lower cost."[55]

DOJ officials, acting at the direction of Attorney General Sessions, refused to meet with the Census Bureau despite multiple requests.[56]

Documents produced to the Committee suggest that the White House was engaged on the citizenship question during this period. In February 2018, Mr. Zadrozny at the White House sought to arrange a meeting with Mr. Uthmeier from the Department of Commerce, Mr. Hamilton from DOJ, and others. He wrote that "I am trying to avoid phones on this one."[57] He also noted, "We need to do this as a meeting because of the sensitivity of the content."[58] Mr. Hamilton told the Committee that he did not recall the subject of this meeting or whether it occurred.[59]

On March 26, 2018, Secretary Ross officially announced he had made his decision: the citizenship question would be added to the 2020 Census.[60]

E. Adding the Citizenship Question Will Harm the Accuracy of the Census

Census experts have strongly and unanimously opposed adding a citizenship question.

On January 19, 2018, the Census Bureau's Chief Scientist, Dr. John Abowd, wrote to Secretary Ross that "adding a citizenship question to the 2020 census" is "very costly, harms the quality of the census count, and would use substantially less accurate citizenship status data than are available from administrative sources."[61]

On March 1, 2018, Dr. Abowd sent a second memorandum to Secretary Ross. This memo concluded that adding a citizenship question while also using administrative data on citizenship "would result in poorer quality citizenship data" than using administrative data alone

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[55] Email from Ron Jarmin, Acting Director, Census Bureau, to Arthur Gary, General Counsel, Justice Management Division, Department of Justice (Dec. 22, 2018).

[56] Committee on Oversight and Reform, Transcribed Interview of John Gore (Mar. 7, 2019).

[57] Email from John Zadrozny, Special Assistant to the President, The White House, to Gene Hamilton, Counselor to the Attorney General, Department of Justice (Feb. 26, 2018).

[58] Email from John Zadrozny, Special Assistant to the President, The White House, to Gene Hamilton, Counselor to the Attorney General, Department of Justice (Feb. 21, 2018).

[59] Committee on Oversight and Reform, Transcribed Interview of Gene Hamilton (May 30, 2019).

[60] Letter from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Karen Dunn Kelley, Under Secretary for Economic, Department of Commerce (Mar. 26, 2018) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p1329/a464493).

[61] Memorandum from John Abowd, Chief Scientist, Census Bureau, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 19, 2018) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p1289/a428453).

and would "still have all the negative cost and quality implications" of adding the citizenship question.[62]

On January 26, 2018, six former Census Bureau Directors—who served in both Democratic and Republican administrations—sent a letter to Secretary Ross opposing the addition of the citizenship question. They wrote:

> We strongly believe that adding an untested question on citizenship status at this late point in the decennial planning process would put the accuracy of the enumeration and success of the census in all communities at grave risk.[63]

This concern is not new. Indeed, as early as 1980, the Census Bureau argued that adding a citizenship question would "inevitably jeopardize the overall accuracy of the population count."[64]

In the memo outlining his decision, Secretary Ross conceded that the "Census Bureau and many stakeholders expressed concern" that adding a citizenship question "would negatively impact the response rate for non-citizens" and that a "significantly lower response rate by non-citizens could reduce the accuracy of the decennial census and increase costs for non-response follow up (NRFU) operations."[65] However, he claimed that there was a lack of "empirical data" to quantify the likely impact.

Dr. Abowd, however, estimated that adding the citizenship question would result in a decrease in self-response rates of more than 5% among households with at least one noncitizen.[66] A subsequent randomized controlled trial found the impact could be even more severe:

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[62] Memorandum from John Abowd, Chief Scientist, Census Bureau, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Mar. 1, 2018) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p1321/a451503).

[63] Letter from Former Census Bureau Directors, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 26, 2018) (online at https://democrats-oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/DOJ%20census%20ques%20request-Former%20Directors%20ltr%20to%20Ross.pdf).

[64] Fed'n for Am. Immigration Reform v. Klutznick, 486 F. Supp. 564, 568 (D.D.C. 1980) (noting the Bureau's concern that "Obtaining the cooperation of a suspicious and fearful population would be impossible if the group being counted perceived any possibility of the information being used against them. Questions as to citizenship are particularly sensitive in minority communities and would inevitably trigger hostility, resentment and refusal to cooperate.").

[65] Memorandum from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Karen Dunn Kelley, Under Secretary for Economic Affairs, Department of Commerce, *Reinstatement of a Citizenship Question to the 2020 Decennial Census Questionnaire* (Mar. 26, 2018) (online at www.documentcloud.org/documents/4426785-commerce2018-03-26-2.html).

[66] Memorandum from John Abowd, Chief Scientist, Census Bureau, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 19, 2018) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p1289/a428453) (warning that, conservatively, a citizenship question would reduce response rates for households with at least one noncitizen by 5.1% and increase the costs of non-response follow up by $27.5 million not including increases in other costs).

> When extrapolated to the general population, our results imply that asking about citizenship will *reduce the number of Hispanics reported in the 2010 Census by approximately 6.07 million, or around 12.03 percent of the 2010 Hispanic population.*[67]

F. Citizenship Data from the Decennial Census is Not Necessary to Enforce the Voting Rights Act

DOJ's request letter contended that "block-level" citizenship data was critical to its enforcement efforts under Section 2 of the Voting Rights Act and that the data already provided through the American Community Survey was not accurate enough.[68] Secretary Ross agreed, writing in his decision memo: "The citizenship data provided to DOJ will be more accurate with the question than without it."[69]

These assertions are incorrect. On March 22, 2018, a coalition of the nation's preeminent voting rights groups sent a letter to Secretary Ross explaining that the Department has not required this data since the passage of the Voting Rights Act in 1965 and does not require it today. The groups wrote:

> [T]he DOJ maintains that a new citizenship question will ensure better enforcement of the Voting Rights Act. This is false. Since the passage of the Voting Rights Act in 1965, the Census has never asked all persons to report their citizenship. In other words, a mandatory question on citizenship has never been necessary to ensure robust protection of the right to vote. That is just as true now as it was in 1965 when the Voting Rights Act was passed.[70]

Similarly, the former head of DOJ's Civil Rights Division—which is charged with enforcing the Voting Rights Act—stated:

> I know firsthand that data from the ongoing American Community Survey was sufficient for us to do our work. Rigorous enforcement of the Voting Rights Act has never required the addition of a citizenship question on the census form sent to all households.[71]

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[67] *Estimating the Effect of Asking About Citizenship on the U.S. Census*, Harvard Shorenstein Center (April 2019) (online at https://shorensteincenter.org/estimating-effect-asking-citizenship-u-s-census/).

[68] Letter from Arthur E. Gary, General Counsel, Justice Management Division, Department of Justice, to Ron Jarmin, Director, Census Bureau (Dec. 12, 2017) (online at www.documentcloud.org/documents/4340651-Text-of-Dec-2017-DOJ-letter-to-Census.html).

[69] Letter from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Karen Dunn Kelley, Under Secretary for Economic, Department of Commerce (Mar. 26, 2018) (online at https://apps.npr.org/documents/document.html?id=4500011-1-18-Cv-02921-Administrative-Record#document/p1329/a464493).

[70] Letter from Constitutional Accountability Center et al., to Secretary Wilbur L. Ross, Jr., Department of Commerce (Mar. 22, 2018) (online at www.theusconstitution.org/wp-content/uploads/2018/03/CAC-Census-Letter-Groups.pdf).

[71] *The Bitter Lie Behind the Census's Citizenship Question*, Washington Post (Mar. 29, 2018) (online at www.washingtonpost.com/opinions/the-bitter-lie-behind-the-censuss-citizenship-question/2018/03/29/f2991020-32cc-11e8-8bdd-cdb33a5eef83_story.html?utm_term=.1a02760cf3eb).

IV. THE DEPARTMENT OF COMMERCE AND THE DEPARTMENT OF JUSTICE HAVE OBSTRUCTED THE COMMITTEE'S INVESTIGATION

On March 27, 2018—one day after Secretary Ross announced his decision to add a citizenship question—then-Ranking Member Elijah E. Cummings called on the Committee to investigate the Administration's decision and the impact the citizenship question's addition could have on the accuracy of the enumeration.[72] Since becoming Chairman, he has made this investigation a priority for the Committee.

On April 2, 2019, after DOJ and Department of Commerce failed to comply voluntarily with the Committee's requests for documents and testimony, the Committee voted on a bipartisan basis to authorize document subpoenas to Attorney General Barr and Secretary Ross and a deposition subpoena to John Gore.[73] However, the Attorney General and Secretary Ross have defied those subpoenas by refusing to produce key documents and, in the case of the Attorney General, by instructing Mr. Gore not to appear for his deposition.

A. The Department of Commerce Has Refused to Produce Key Documents Required by the Committee's Subpoena

Committee Democrats first requested documents from the Department of Commerce on April 4, 2018, in advance of an April 11, 2018, briefing from Census Bureau and Commerce Department officials.[74] The Department produced no documents and instead told Members during the briefing that documents were being collected in response to separate, ongoing litigation requests and that the Committee could expect to receive them at the same time they were made public and provided to the parties in the lawsuits.[75]

On June 28, 2018, Rep. Cummings and Rep. Carolyn Maloney led more than 50 House Democrats in writing to Secretary Ross and requesting that he answer questions about the contradictory and misleading testimony he provided to Congress.[76] Secretary Ross did not reply.

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[72] Committee on Oversight and Government Reform Democrats, *Cummings Issues Statement Calling for Hearings on Trump Administration Plan to Add Citizenship Question to Census* (Mar. 27, 2018) (online at https://oversight.house.gov/news/press-releases/cummings-issues-statement-calling-for-hearings-on-trump-administration-plan-to).

[73] *Committee Approves Subpoenas in Security Clearance and Census Investigations,* Committee on Oversight and Reform (Apr. 2, 2019) (online at https://oversight.house.gov/news/press-releases/committee-approves-subpoenas-in-security-clearance-and-census-investigations).

[74] Letter from Ranking Member Elijah E. Cummings et. al, Committee on Oversight and Government Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce, and Dr. Ron Jarmin, Ph.D., Acting Director, Census Bureau (Apr. 4, 2018) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2018-04-04.%20EEC%20Maloney%20Norton%20Clay%20Connolly%20&%20Gomez%20to%20Commerce%20re.Cens_....pdf).

[75] Briefing from Acting Director Ron Jarmin, Census Bureau, Michael Walsh, Jr., Deputy General Counsel, Department of Commerce, and Jennifer Ortman, Assistant Division Chief, American Community Survey Office, Census Bureau, to Committee on Oversight and Government Reform (Apr. 11, 2018).

[76] Letter from Ranking Member Elijah E. Cummings et al., Committee on Oversight and Government Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (June 28, 2018) (online at

On August 3, 2018, Reps. Cummings and Maloney, along with 43 Democrats, wrote again to request answers about the Secretary's misleading testimony.[77] Yet again, Secretary Ross declined to respond.

On December 21, 2018, Secretary Ross sent a brief letter to Rep. Cummings, which he characterized as a response to the Ranking Member's earlier questions. Rather than answer the questions, however, the Secretary's response largely repeated information in public court filings. The response contained no documents.[78]

On January 8, 2019, the Committee renewed Rep. Cummings' requests from the prior Congress, including for the documents initially requested in April 2018. In his letter to Secretary Ross, Chairman Cummings also asked him to testify before the Committee.[79] The Department of Commerce responded by producing thousands of pages of documents, most of which were already publicly available, heavily redacted, or non-responsive. The Department did not provide complete responses to the Committee's written questions.

On March 5, 2019, the Department of Commerce sent a letter seeking to postpone the Secretary's previously agreed upon testimony before the Committee. The letter requested that the Committee postpone the hearing until the end of April—more than six weeks—so Secretary Ross could have additional time to prepare his testimony and to produce documents.[80] Chairman Cummings responded on March 6, stating that the Secretary had already had nine weeks since the initial invitation, so the hearing would remain on March 14. In an effort to accommodate the Department's concerns, Chairman Cummings agreed to the Secretary's requests that the scope of the hearing be limited, and the Committee prioritized certain documents to be produced prior to the hearing. However, Chairman Cummings warned the Secretary that "the existence of separate civil litigation is not a valid basis to withhold these documents from the Committee."[81]

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https://maloney.house.gov/sites/maloney.house.gov/files/618%20Sec%20Ross%20Supplemental%20Memo%20Letter.pdf).

[77] Letter from Rep. Carolyn Maloney et al., to Secretary Wilbur L. Ross, Jr., Department of Commerce (Aug. 3, 2018) (online at https://maloney.house.gov/sites/maloney.house.gov/files/2018%200803%20Letter%20to%20Secretary%20Ross.pdf).

[78] Letter from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Ranking Member Elijah E. Cummings, Committee on Oversight and Government Reform (Dec. 21, 2018) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/DOC.122118.%20Response%20to%20EEC%20re%20Citizenship%20Questions.pdf).

[79] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 8, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-01-08.EEC%20to%20Ross-DOC%20re%20Citizenship%20Question.pdf).

[80] Letter from Michael Platt Jr., Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Mar. 5, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019.03.05%20Letter%20to%20Chairman%20Cummings_0.pdf).

[81] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Mar. 6, 2019) (online at

On March 7, Secretary Ross confirmed he would appear to testify on March 14 "to answer the Committee on Oversight and Reform's (Committee) questions on the preparations for the 2020 Census and the addition of the citizenship question."[82] He did not indicate that any documents or information would be withheld.

At the March 14 hearing, despite having agreed in advance to the Committee's questions, Secretary Ross refused to provide key information or documents requested by the Committee, stating: "I will certainly address the question to my staff and to my counsel. To the degree that this is involved in pending litigation, there may be problems." Chairman Cummings expressed frustration with Secretary Ross' reversal, stating, "when I heard your testimony, I felt like you were trying to pull a fast one on me." He asked Secretary Ross to "consult with your lawyers" and "produce all of the priority documents this committee has requested" by March 19, 2019. He explained that if Secretary Ross did not comply, the Committee would have no choice but to consider issuing a subpoena for documents and conducting transcribed interviews with staff from the Department of Commerce and DOJ who were involved in adding the citizenship question.[83]

The next day, Committee staff followed up with the Department of Commerce to offer additional accommodations. In an email to Department staff, Committee staff provided the Department with a subset of 11 key documents within the Committee's set of priority documents and asked for their production, without redactions, by March 19, 2019.[84]

On March 19, 2019, the Department of Commerce failed to produce any of the 11 key documents without redactions. The Department asserted that Secretary Ross "stands by the answers and responses provided in the hearing."[85]

On March 20, 2019, the Committee requested transcribed interviews with three Commerce Department officials who played critical roles in the addition of the citizenship question: Earl Comstock, Peter Davidson, and James Uthmeier.[86] The Department did not make them available for interviews.

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https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-03-06.EEC%20to%20Ross-DOC%20re%20Documents%20and%20Testimony.pdf).

[82] Letter from Secretary Wilbur L. Ross, Jr., Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Mar. 7, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-03-07%20Letter%20to%20Chairman%20Cummings.pdf).

[83] Committee Oversight and Reform, *Hearing with Commerce Secretary Wilbur L. Ross, Jr.* (Mar. 14, 2019).

[84] Email from Staff, Committee on Oversight and Reform, to Staff, Department of Commerce (Mar. 15, 2019).

[85] Letter from Ross Branson, Deputy Assistant Secretary for Legislative and Intergovernmental Affairs, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Mar. 19, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/DOC.031919.Response%20to%20EEC%20re%20Citizenship%20Question.pdf).

[86] Email from Staff, Committee on Oversight and Reform, to Staff, Department of Commerce (Mar. 20, 2019).

Further, the Department of Commerce did not produce the requested documents, despite receiving repeated follow-up by Committee staff. Instead, the Department demanded that the Committee identify "specific, particularized information needs" for each of the requested documents and transcribed interviews.[87]

On March 29, 2019, Chairman Cummings wrote to Secretary Ross:

> Our need for these documents and interviews is clear. The Committee is seeking to understand the real reason that you added a citizenship question to the 2020 Census. ... The requested documents and interviews may provide contemporaneous evidence of the real reason that you added the citizenship question and the process you followed.[88]

Chairman Cummings listed six issues on which the requested documents and interviews could shed light, including the Secretary's "apparent interest in adding a citizenship question beginning in early 2017," "The role of the White House in coordinating the addition of a citizenship question," and the Secretary's "deliberations leading to the issuance of the pretextual decision memorandum in March 2018."[89] Despite these explanations, the Department continued to withhold the documents and interviews.

On April 2, 2019, the Committee voted on a bipartisan basis to authorize a subpoena to Secretary Ross to compel production of key documents, including the 11 previously identified key documents and one category of documents from the Committee's previous requests.[90] The documents required to be produced by this subpoena are shown in Appendix A. Following the issuance of the subpoena, the Department produced additional documents. However, many of those documents were heavily redacted, did not include attachments, or were not responsive to the subpoena. The Department failed to produce an unredacted copy of <u>any</u> of the 11 key documents required by the subpoena.

On May 7, 2019, Chairman Cummings and Rep. Jamie Raskin, the Chairman of the Subcommittee on Civil Rights and Civil Liberties, sent invitations directly to Mr. Comstock, Mr. Davidson, and Mr. Uthmeier for transcribed interviews.[91]

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[87] Letter from Ross Branson, Deputy Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Mar. 26, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/DOC.032619.%20Response%20to.pdf).

[88] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Mar. 29, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-03-29.EEC%20to%20Ross-DOC.pdf).

[89] *Id.*

[90] *Committee Approves Subpoenas in Security Clearance and Census Investigations,* Committee on Oversight and Reform (Apr. 2, 2019) (online at https://oversight.house.gov/news/press-releases/committee-approves-subpoenas-in-security-clearance-and-census-investigations).

[91] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, and Chairman Jamie Raskin, Subcommittee on Civil Rights and Civil Liberties, to Earl Comstock, Deputy Chief of Staff and Director of Policy, Department of Commerce (May 7, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-05-07.EEC%20JR%20to%20Comstock-

On May 8, 2019, Chairman Cummings again wrote to Secretary Ross, this time requesting a personal meeting to discuss the Department's refusal to produce documents. Chairman Cummings wrote:

> I am writing to request a meeting to discuss the Department's refusal to produce documents pursuant to a subpoena authorized by the Committee on a bipartisan basis regarding your decision to add a citizenship question to the 2020 Census. I would like to meet with you in person, preferably in the next two weeks, to ensure that you are fully apprised of the actions of your staff and to determine whether there is any way to resolve this impasse before initiating potential enforcement action.[92]

The Secretary responded on May 20, 2019, declining to meet with Chairman Cummings. Instead, he reiterated the Department's already-fulfilled demands for the "particularized legislative need" for each of the documents and reasserted vague claims of Executive Branch confidentiality interests.[93] In a separate letter on May 21, 2019, the Department of Commerce refused to make the three witnesses available for transcribed interviews, again demanding a "demonstration of the Committee's particularized need" and "legislative purpose."[94]

Committee staff spoke to Department staff on May 31, 2019, to seek a resolution of these issues, again explaining the need for the documents. Department staff did not commit to providing any of the key unredacted documents identified by the Committee and did not commit to make any of the three witnesses available for transcribed interviews. Committee staff warned that if the Committee could not obtain compliance, the Committee would consider taking further

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DOC%20re%20TI.pdf); Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, and Chairman Jamie Raskin, Subcommittee on Civil Rights and Civil Liberties, to Peter Davidson, General Counsel, Department of Commerce (May 7, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-05-07.EEC%20JR%20to%20Davidson-DOC%20re%20TI.pdf); Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, and Chairman Jamie Raskin, Subcommittee on Civil Rights and Civil Liberties, to James Uthmeier (May 7, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-05-07.EEC%20JR%20to%20Uthmeier%20re%20TI.pdf).

[92] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (May 8, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-05-08.EEC%20to%20Ross-DOC%20re%20Meeting.pdf).

[93] While the Committee has described its particularized need for these documents in detail, courts have never found a requirement that Congress justify its requests for information line-by-line. As District Court Judge Amit Mehta recently described: "Once a court finds that an investigation is one upon which legislation could be had, it must not entangle itself in judgments about the investigation's scope or the evidence sought … [I]t is not the judicial officer's job to conduct a 'line-by-line review of the Committee's requests.' *Bean LLC v. John Doe Bank*, 291 F. Supp. 3d. 34, 44 (D.D.C. 2018). 'There is no requirement that every piece of information gathered in such an investigation be justified before the judiciary.' *McSurely*, 521 F. 2d at 1041." *Donald J. Trump, et al. v. Committee on Oversight and Reform of the U.S. House of Representatives*, et. al, 19-cv-01136 (May 20, 2019).

[94] Letter from Charles Kolo Rathburn, Performing the Duties of the Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (May 21, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-05-21%20CKR%20to%20EEC.pdf).

action, including an enforcement action with respect to documents and the issuance of subpoenas for public testimony from the three witnesses being withheld.

On June 3, 2019, the Committee notified Secretary Ross that it was scheduling a vote to hold him in contempt of Congress for failing to comply with the Committee's document subpoena. The Committee offered to postpone the vote if the 11 priority documents identified in Item 1 of the April 2 subpoena were produced without redactions by June 6, 2019.[95]

Also, on June 3, 2019, the Committee notified Members of a business meeting scheduled for 9:00 a.m. on June 5, 2019, to vote to authorize subpoenas for testimony from Mr. Comstock, Mr. Davidson, and Mr. Uthmeier, the three Department of Commerce witnesses who had not agreed to be interviewed voluntarily. Late in the evening on June 4, the Department of Commerce agreed to make all three witnesses available for transcribed interviews—as the Committee had requested more than two months earlier. The Committee then cancelled the subpoena vote.

However, the Department of Commerce produced no additional documents by the Committee's June 6 deadline. In a letter to the Committee that evening, the Department claimed that holding Secretary Ross in contempt was "premature," but refused to provide unredacted copies of any the key documents required by the Committee's subpoena and offered no accommodation with respect to those documents.[96]

B. The Department of Justice Has Refused to Produce Key Documents Required by the Committee's Subpoena

On May 1, 2018, the Democratic Members of the Oversight Committee requested documents from DOJ.[97] The Department did not respond.

As Chairman, Rep. Cummings renewed his request for these documents on February 12, 2019.[98] In the weeks that followed, the Committee worked to provide accommodations to the

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[95] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (June 3, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-06-03.EEC%20to%20Ross-DOC%20re%20Transcribed%20Interviews_0.pdf).

[96] Letter from Charles Kolo Rathburn, Performing the Duties of the Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (June 6, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/Letter%20from%20DOC%20to%20Chairman%20Cummings%20%5B6-6-2019%5D.pdf).

[97] Letter from Ranking Member Elijah E. Cummings et al., Committee on Oversight and Government Reform, to John Gore, Acting Assistant Attorney General, Department of Justice (May 1, 2018) (online at https://maloney.house.gov/sites/maloney.house.gov/files/2018-05-01.%20Dem.Members%20to%20DOJ-Gore%20re.Citizenship%20Question-2020%20Decennial%20Census.pdf).

[98] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Matthew Whitaker, Acting Attorney General, Department of Justice (Feb. 12, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-02-12.EEC%20to%20Whitaker-DOJ%20re%20Census_0.pdf).

Department to facilitate its production. The Committee identified a subset of key documents to be produced first, including the memorandum and note described above from then-Senior Counsel to the General Counsel James Uthmeier that were hand-delivered to Principal Deputy Assistant Attorney General John Gore in the fall of 2017. DOJ did not provide the priority documents, instead producing only documents that were heavily redacted and already largely publicly available.

On March 20, 2019, Committee staff contacted Department staff and again requested the production of the priority documents. Committee staff noted that if the Department could not commit to producing them, "the Committee will have no choice but to consider taking additional steps to ensure compliance."[99] The Department responded on March 22, 2019, declining to produce the documents and citing "litigation and confidentiality concerns."[100]

On April 2, 2019, Chairman Cummings sent a letter to the Department explaining that the Supreme Court has made clear that ongoing litigation does not preclude Congress from investigating an issue.[101] Later that day, the Committee took a bipartisan vote in support of the Chairman compelling the production of these documents, and the Chairman issued a document subpoena to Attorney General Barr.[102] The documents required to be produced by that subpoena are listed in Appendix B.

Since that time, the Department has produced some documents, but many are heavily redacted, do not include attachments, and are not responsive to the subpoena. The Department has declined to produce unredacted copies of the priority documents required by the subpoena.

On June 3, 2019, the Committee notified Attorney General Barr that it was scheduling a vote to hold him in contempt of Congress for failing to comply with the Committee's subpoena. The Committee offered to postpone the vote if a narrow subset of priority documents were produced by June 6, 2019.[103]

On June 6, DOJ sent a letter to the Committee that called a contempt vote "premature," but refused to produce the documents identified in the subpoena and did not offer any accommodation with respect to those documents.[104]

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[99] Email from Staff, Committee on Oversight and Reform, to Staff, Department of Justice (Mar. 20, 2019).

[100] Email from Staff, Department of Justice, to Staff, Committee on Oversight and Reform (Mar. 22, 2019).

[101] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Stephen E. Boyd, Assistant Attorney General, Department of Justice (Apr. 2, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-04-02.EEC%20to%20Boyd-DOJ%20re%20Census_0.pdf).

[102] *Committee Approves Subpoenas in Security Clearance and Census Investigations,* Committee on Oversight and Reform (Apr. 2, 2019) (online at https://oversight.house.gov/news/press-releases/committee-approves-subpoenas-in-security-clearance-and-census-investigations).

[103] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Attorney General William P. Barr, Department of Justice (June 2, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-06-03.EEC%20to%20Barr-DOJ%20re%20Census.pdf).

[104] Letter from Stephen E. Boyd, Assistant Attorney General, Department of Justice, to Chairman Elijah E.

C. The Attorney General Ordered a Subordinate to Defy the Committee's Deposition Subpoena

On May 18, 2018, then-Acting Assistant Attorney General John Gore testified at a hearing of the Committee on Oversight and Government Reform. Citing "ongoing litigation, the potential effect of public statements on pending court cases, and the Department's litigation constraints," Mr. Gore refused to disclose any information beyond what was already included in DOJ's December 2017 letter requesting the citizenship question "or other publicly available information."[105]

On February 14, 2019, Rep. Cummings, as Chairman, wrote to DOJ to request a transcribed interview of Mr. Gore, currently serving as Principal Deputy Assistant Attorney General.[106] During the interview on March 7, 2019, Mr. Gore was directed by DOJ counsel not to answer any questions about the content of conversations or documents relating to the citizenship question. Department counsel cited "ongoing litigation" and "other executive branch confidentiality interests" as the basis for instructing Mr. Gore not to answer the Committee's questions. In total, Mr. Gore refused to answer more than 150 questions asked by Committee staff.[107]

Later that day, in an effort to accommodate the Department, Committee staff wrote to DOJ staff requesting answers to a subset of 18 priority questions Mr. Gore refused to answer during his interview. In an additional effort to accommodate the Department, Committee staff proposed that Mr. Gore return voluntarily to answer this narrow set of questions.[108]

The Department responded to the request on March 22, 2019, by declining to make Mr. Gore available due to "litigation and confidentiality concerns."[109]

On April 2, 2019, the Committee voted on a bipartisan basis to authorize a subpoena compelling Mr. Gore to testify. The Chairman issued the subpoena on the same day requiring Mr. Gore to appear at a deposition on April 11, 2019.[110]

Cummings, Committee on Oversight and Reform (June 6, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/Letter%20from%20DOJ%20to%20COR%2006-06-19.pdf).

[105] Committee on Oversight and Government Reform, *Hearing on Progress Report on the 2020 Census*, 115th Cong. (May 18, 2018). Mr. Gore further explained: "Pending litigation is a limitation in these circumstances. Other limitations include the need for the Department of Justice to facilitate open and robust discussion before decisions are made. For that reason, the department does not talk about deliberations or privileged conversations that might happen in an attorney-client context."

[106] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to John Gore, Principal Deputy Assistant Attorney General, Department of Justice (Feb. 14, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-02-14.EEC%20to%20Gore-DOJ%20re%20Transcribed%20Interview%20Request_1.pdf).

[107] Committee on Oversight and Reform, Transcribed Interview of John Gore (Mar. 7, 2019).

[108] Email from Staff, Committee on Oversight and Reform, to Staff, Department of Justice (Mar. 7, 2019).

[109] Email from Staff, Department of Justice, to Staff, Committee on Oversight and Reform (Mar. 22, 2019).

[110] *Committee Approves Subpoenas in Security Clearance and Census Investigations*, Committee on

On April 9, 2019, the Department wrote to the Committee that Attorney General Barr had personally directed Mr. Gore not to comply with the subpoena and not to appear for the deposition. The Department challenged the Committee's longstanding deposition rule prohibiting agency counsel from attending—a rule that was adopted unanimously by the Committee in January 2019 and which has been in place for more than a decade under both Republican and Democratic Chairmen. During that period, no Executive Branch official or private sector individual has ever refused to attend a deposition on these grounds. The Department claimed that the bipartisan rule "unconstitutionally encroaches on fundamental Executive Branch interests." The Department concluded: "As a result, the Attorney General has determined that Mr. Gore will not appear at the April 11 deposition unless a Department representative may accompany him."[111]

On April 10, the Committee wrote to Attorney General Barr that he appeared to be "instructing Mr. Gore to defy a duly authorized congressional subpoena approved by the Committee on a bipartisan basis," as well as the Committee's rules. The letter warned that the Committee "expects Mr. Gore to testify in accordance with the Committee's lawful subpoena and the Committee's rules" and that if he failed to do so, "the Committee will consider him to be in contempt of Congress." However, the letter also offered to accommodate the Department's interests in protecting any valid privilege by making a separate room available at the Committee's offices for Department counsel during the deposition and permitting Mr. Gore or his counsel to request a break to consult with Department counsel.[112]

The same day, in response to a request from Mr. Gore's personal counsel, the Committee agreed to postpone the deposition until April 25, 2019.

On April 24, DOJ wrote a letter reiterating the Attorney General's instruction to Mr. Gore to defy the Committee's subpoena.[113] On April 25, 2019, Mr. Gore failed to appear for his deposition.[114]

Oversight and Reform (Apr. 2, 2019) (online at https://oversight.house.gov/news/press-releases/committee-approves-subpoenas-in-security-clearance-and-census-investigations).

[111] Letter from Stephen E. Boyd, Assistant Attorney General, Department of Justice, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Apr. 11, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-4-9%20HOGR%27s%20subpoena%20to%20John%20Gore%20%28CRT%29%20-%20Cummings%20%234235573.pdf).

[112] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Attorney General William P. Barr, Department of Justice (Apr. 10, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/2019-04-10.EEC%20to%20Barr-DOJ%20re%20Gore%20Deposition.pdf).

[113] Letter from Stephen E. Boyd, Assistant Attorney General, Department of Justice, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Apr. 24, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-4-24%20HOGR%27s%20subpoena%20to%20John%20Gore%20%28CRT%29%20-%20Cummings%20%234235573_0.pdf).

[114] *See* Letter from John D. Adams, McGuireWoods LLP, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Apr. 24, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/April%2024%20ltr%20to%20The%20Hon.%2

In its letter to the Committee on June 6, 2019, the Department once again refused to allow Mr. Gore to testify, claiming that the "exclusion of agency counsel" pursuant to the Committee's rules would "unconstitutionally infringe upon the prerogatives of the Executive Branch."[115]

D. The President Has Asserted Executive Privilege

On the evening before the scheduled date of the Committee's business meeting to consider the resolution holding the Attorney General and Secretary of Commerce in contempt, and while negotiations were ongoing, the Committee received a letter from Assistant Attorney General Stephen E. Boyd that stated, "In the face of the Committee's threatened contempt vote, the Attorney General is now compelled to request that the President invoke executive privilege with respect to the materials subject to subpoena to the Attorney General and the subpoena to the Secretary of the Department of Commerce." The letter requested that the Committee "hold the subpoenas in abeyance and delay any vote on whether to recommend a citation of contempt for noncompliance with subpoenas, pending the President's determination of this question." Although Mr. Boyd clarified that this request was "not itself an assertion of executive privilege," he explained that should the Committee decide "to proceed in spite of this request, the Department will be obliged to advise that the President assert executive privilege with respect to certain of the subpoenaed documents, and to make a protective assertion of executive privilege over the remainder of the documents, which undoubtedly include material covered by executive privilege, while the Department continues to review them."

On the day of the Committee's business meeting, the Committee received letters from the Department of Justice and Department of Commerce stating "that the President has asserted executive privilege" over the subpoenaed documents identified by the Committee in its June 3, 2019, letters to the Attorney General and the Secretary of Commerce. The letters, authored by Mr. Boyd and Charles K. Rathburn, Acting Assistant Secretary for Legislative and Intergovernmental Affairs at the Department of Commerce, stated that the President also made a protective assertion of executive privilege over the remainder of the documents responsive to the Committee's April 2, 2019, subpoenas. Mr. Boyd attached a letter dated the day before the Committee's meeting from Attorney General William P. Barr to the President requesting that the President "make a protective assertion of executive privilege."

The Committee has a number of concerns about the validity of these privilege assertions, including that:

(1) the blanket "protective assertion of executive privilege" is not a valid claim, in part because it inappropriately blurs the distinction between the constitutionally-

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0Elijah%20E.%20Cummings%20from%20John%20Adams_0.pdf).

[115] Letter from Stephen E. Boyd, Assistant Attorney General, Department of Justice, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (June 6, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/Letter%20from%20DOJ%20to%20COR%2006-06-19.pdf).

based presidential communications privilege and the mere common-law deliberative process, attorney-client, and attorney-work product privileges;

(2) both the "protective" assertion and the assertion with respect to specific documents are obstructive given that any assertion should have been made months ago to follow Committee Rule 16 (c), which provides the manner in which privilege may be asserted and requires that the assertion be made on or before the scheduled date of testimony or appearance, here, April 16, 2019;

(3) these assertions are transparently invalid because the Departments of Justice and Commerce have failed to provide any details by which the Committee might evaluate the applicability of the privilege, such as the senders and recipients of the documents or the privilege log and other information called for under the subpoenas;

(4) even if these assertions of privilege were valid as an initial matter, which they are not, they should be overcome here, because: (i) the Committee has demonstrated a sufficient need for the documents given that they are likely to contain evidence critical to the Committee's inquiry; and (ii) the documents cannot expeditiously be obtained any other way; and

(5) without these documents, the Committee cannot fully perform its constitutional duties to legislate and conduct oversight.

The President's assertions of executive privilege do not change the fact that Attorney General William P. Barr and Secretary of Commerce Wilbur L. Ross are in contempt of Congress for failing to comply with the Committee's lawfully issued subpoenas.

V. THE ADMINISTRATION'S JUSTIFICATIONS FOR DEFYING THE COMMITTEE'S SUBPOENAS ARE INVALID

Both the Department of Commerce and DOJ have claimed that ongoing litigation, deliberative process privilege, and attorney-client privilege protect these documents from production to this Committee. None of these rationales is a valid basis for withholding information from the Committee.

A. The Administration Cannot Withhold Information from Congress Based on Ongoing Litigation

Following the Secretary's decision to add a citizenship question to the 2020 Census, the State of New York, along with several states, cities, and the U.S. Conference of Mayors, filed suit in the U.S. District Court for the Southern District of New York alleging that the question's addition violates the "constitutional obligation to conduct an 'actual Enumeration'" and the Administrative Procedure Act (APA).[116] District Judge Jesse Furman ruled that Secretary Ross

[116] Plaintiff's First Amended Complaint for Declaratory and Injunctive Relief, 1-4 (Apr. 30, 2018), *New*

violated the APA and Section 6(c) and Section 141(f) of the 1976 Census Act and enjoined the Census Bureau from adding the question to the 2020 questionnaire.[117] The Commerce Department appealed. The Supreme Court granted certiorari on February 15, 2019, and oral argument was heard on April 25, 2019.

The State of California also challenged the citizenship question in U.S. District Court for the Northern District of California. On March 6, 2019, District Judge Richard Seeborg held that Secretary Ross violated the APA, the Census Act, and the Enumeration Clause of the Constitution because the question would have a negative impact on "the prospect of achieving the central constitutional purpose of an actual enumeration in 2020."[118] The Commerce Department appealed.

Residents of Maryland and Arizona also challenged the citizenship question in the U.S. District Court for the District of Maryland.[119] On April 5, 2019, the court held that the addition of the question violated the APA and the Enumeration Clause.[120] The Commerce Department appealed.

The Constitution provides Congress with its own responsibility to conduct oversight of, and to pass laws relating to, the Census, and the Committee has authority that is separate and independent from any litigation being pursued in civil courts. Chairman Cummings first called for an investigation into the citizenship question's addition six days before the State of New York filed its lawsuit, and Democratic Members first requested documents from the Department of Commerce on April 4, 2018, and DOJ on May 1, 2018—more than nine months before for the Supreme Court granted certiorari. Chairman Cummings renewed his document requests to the Department of Commerce on January 8, 2019, and to DOJ on February 12, 2019—both before the Supreme Court agreed to hear the case.[121]

The Supreme Court has clearly and repeatedly ruled that parallel litigation does not preclude Congress from investigating an issue and is not a valid reason to withhold information from Congress. The Court explained in *Hutcheson v. United States*:

York et. al. v. U.S. Dept. of Commerce et. al (No. 1:18-cv-2921).

[117] *New York, et al., v. United States Department of Commerce, et al.*, 315 F. Supp. 3d 766 (S.D.N.Y. 2018).

[118] *California et al., v. Ross, et al.*, C 18-cv-01865-RS (N.D. Cal. Mar. 6, 2019).

[119] The court consolidated this case with another case brought by a coalition of Asian-American and Latino groups in California.

[120] *Kravitz, et al., v. United States Department of Commerce, et al.*, 336 F. Supp. 3d 545 (D. Md. 2018).

[121] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 8, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-01-08.EEC%20to%20Ross-DOC%20re%20Citizenship%20Question.pdf); Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Matthew Whitaker, Acting Attorney General, Department of Justice (Feb. 12, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-02-12.EEC%20to%20Whitaker-DOJ%20re%20Census_0.pdf).

> But surely a congressional committee which is engaged in a legitimate legislative investigation need not grind to a halt whenever responses to its inquiries might potentially be harmful to a witness in some distinct proceeding, Sinclair v. United States, supra, at 295, or when crime or wrongdoing is disclosed, McGrain v. Daugherty, 273 U.S. 135, 179-180.[122]

The Court also held in *Sinclair v. United States*:

> It may be conceded that Congress is without authority to compel disclosure for the purpose of aiding the prosecution of pending suits; but the authority of that body, directly or through its committees to require pertinent disclosures in aid of its own constitutional power is not abridged because the information sought to be elicited may also be of use in such suits.[123]

The Committee, under both Republican and Democratic Chairmen, has routinely conducted investigations concurrent with parallel litigation and has received documents and testimony from federal and state agencies and private entities.

For example, in 2015, Chairman Jason Chaffetz conducted an investigation into the decision-making process related to the "Waters of the United States Rule" promulgated by the Environmental Protection Agency and the Army Corps of Engineers.[124] Despite a suit by 22 states challenging the rule,[125] the Chairman demanded and obtained documents in compliance with his request.[126]

The same year, Chairman Chaffetz, Rep. Jim Jordan, Rep. Mark Meadows, and Rep. Will Hurd conducted an extensive investigation into the State of Oregon's switch from Cover Oregon to the federal healthcare exchange. Despite ongoing civil litigation between the Oracle Corporation and Cover Oregon, the Committee requested and obtained documents from the Governor's office, the Centers for Medicare and Medicaid Services, Oracle Corporation, and

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[122] 369 U.S. 599 (1962).

[123] 279 U.S. 263 (1929).

[124] Army Corp of Engineers, Department of the Army, Department of Defense, and Environmental Protection Agency, *Clean Water Rule: Definition of "Waters of the United States,* 80 Fed. Reg. 37053 (June 29, 2019) (online at www.federalregister.gov/documents/2015/06/29/2015-13435/clean-water-rule-definition-of-waters-of-the-united-states).

[125] *22 States Sue EPA Over Water Rule,* Washington Examiner (June 30, 2015) (online at www.washingtonexaminer.com/22-states-sue-epa-over-water-rule).

[126] Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Jo-Ellen Darcy, Assistant Secretary of the Army (Civil Works), U.S. Army Corps of Engineers (July 24, 2015); Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Jo-Ellen Darcy, Assistant Secretary of the Army (Civil Works), U.S. Army Corps of Engineers (Oct. 28, 2015).

others.[127] Four subpoenas for depositions were issued, and testimony was obtained from key witnesses.[128]

Also in 2015, the Committee opened an investigation into the State Department's decision-making process surrounding the environmental impact statement and permitting for the Keystone XL pipeline. While the State Department raised concerns on June 7, 2016, about how its production of documents could impact the United States' ability to defend a pending lawsuit brought by TransCanada, it nevertheless produced sensitive documents the following day with the request they not be publicly released without notice and opportunity for the Department to argue against such release. Chairman Chaffetz issued a subpoena to the Department and obtained additional documents responsive to his request. The Committee conducted two transcribed interviews after the subpoena was issued.[129]

In 2016, Chairman Chaffetz and Ranking Member Cummings began a bipartisan investigation into the Flint water crisis.[130] The Committee sent multiple document requests and held a series of hearings. Although ongoing litigation existed against Michigan Governor Rick Snyder and state and local government officials, and although the Michigan Attorney General appointed a special prosecutor "to look into possible crimes," the Committee requested and obtained a number of documents and transcribed interviews with key individuals at the same time.[131]

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[127] *Oregon Settles Bitter Legal Fight with Oracle for $100 Million*, The Oregonian (Sept. 15, 2016) (online at www.oregonlive.com/politics/2016/09/post_183.html).

[128] Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to John Kitzhaber, Governor of Oregon (Feb. 13, 2015); Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Andrew M. Slavitt, Acting Administrator, Centers for Medicare and Medicaid Services (June 15, 2015); Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Safra A. Cruz, Chief Executive Officer, Oracle Corporation (Dec. 3, 2015); Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Loretta Lynch, Attorney General, Department of Justice (May 25, 2016).

[129] Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Secretary John Kerry, Department of State (Feb. 24, 2016) (online at https://republicans-oversight.house.gov/wp-content/uploads/2016/06/2016-02-24-JEC-to-Kerry-DOS-Keystone-XL-due-3-9.pdf); Letter from Julia Frifield, Assistant Secretary Legislative Affairs, Department of State, to Chairman Jason Chaffetz, Committee on Oversight and Government Reform (June 7, 2016); Letter from Julia Frifield, Assistant Secretary Legislative Affairs, Department of State, to Chairman Jason Chaffetz, Committee on Oversight and Government Reform (June 8, 2016); Second Subpoena Issued to State Department for Keystone Documents (June 10, 2016) (online at https://republicans-oversight.house.gov/release/second-subpoena-issued-state-department-keystone-documents/).

[130] Letter from Chairman Jason Chaffetz and Ranking Member Elijah E. Cummings, Committee on Oversight and Government Reform, to Michigan Governor Rick Snyder (Feb. 26, 2016) (online at https://republicans-oversight.house.gov/wp-content/uploads/2016/02/2016-02-26-JC-EEC-to-Snyder-Michigan-Gov.-doc-req.-due-3-11.pdf); Committee on Oversight and Government Reform, *Cummings Issues Statement on Upcoming Flint Hearings* (Feb. 25, 2016) (online at https://oversight.house.gov/news/press-releases/cummings-issues-statement-on-upcoming-flint-hearings).

[131] *Amid Flint Water Crisis, the Lawsuits Are Piling Up*, CBS News (Feb. 8, 2016) (online at www.cbsnews.com/news/flint-water-crisis-lawsuits-piling-up/); *Former Wayne County Prosecutor to Lead Probe of Flint Water Crisis*, Reuters (Jan. 25, 2016) (online at https://news.yahoo.com/former-wayne-county-prosecutor-lead-probe-flint-water-153706726--business.html); Letter from Nichole Distefano, Associate Administrator, Environmental Protection Agency, to Chairman Jason Chaffetz, Committee on Oversight and Government Reform

Similarly, in 2017, Chairman Trey Gowdy and Ranking Member Cummings joined Science Committee Chairman Lamar Smith and Ranking Member Eddie Bernice Johnson in launching a bipartisan investigation into the Equifax data breach. The Committees requested and obtained documents and testimony from key executives despite the ongoing litigation by consumers and financial institutions against Equifax, including a class action lawsuit.[132]

B. Attorney-Client and Deliberative Process Privileges are Not Valid Bases to Withhold the Subpoenaed Information from Congress

The Department of Commerce has claimed that the documents it has withheld are "covered by a variety of privileges, including the deliberative process privilege, the attorney-client privilege, and the attorney work product privilege."[133] DOJ has made an identical argument, pointing out that such privilege claims have previously been used to withhold certain documents from private litigants.[134] However, the common law privileges cited by the Trump Administration are not valid reasons to withhold documents subject to a valid subpoena from Congress, which derives its investigative authority from the Constitution.

On May 2, 2017, Chairman Chaffetz and Ranking Member Cummings wrote to the Transportation Security Administration (TSA) after TSA cited attorney-client privilege as a reason to withhold documents from the Committee. They wrote:

> The House of Representatives derives its authority from the United States Constitution and is bound only by the privileges derived therefrom. As the schedule instructions accompanying the subpoena provided, neither the Committee nor the United States House of Representatives recognizes purported non-disclosure privileges associated with the common law. Further, the mere possibility that a common law privilege may apply in a judicial proceeding is not, in and of itself, a legal justification to withhold documents from this Committee or the Congress.[135]

(Oct. 20, 2016).

[132] Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Paulino do Rogo Barros Jr., Interim Chief Executive Officer, Equifax, Inc. (Nov. 20, 2017); Letter from Theodore M. Hester, Partner, King & Spalding LLP, to Chairman Lamar Smith, Committee on Science, Space, and Technology, and Chairman Jason Chaffetz, Committee on Oversight and Government Reform (Dec. 15, 2017); *After the Breach, Equifax Now Faces the Lawsuits,* Washington Post (Sept. 27, 2017) (online at www.washingtonpost.com/news/business/wp/2017/09/22/after-the-breach-equifax-now-faces-the-lawsuits/?utm_term=.20f39dc92b44).

[133] Letter from Charles Kolo Rathburn, Performing the Duties of the Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (June 6, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/Letter%20from%20DOC%20to%20Chairman%20Cummings%20%5B6-6-2019%5D.pdf).

[134] Letter from Stephen E. Boyd, Assistant Attorney General, Department of Justice, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (June 6, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/Letter%20from%20DOJ%20to%20COR%2006-06-19.pdf).

[135] Letter from Chairman Jason Chaffetz, et al., Committee on Oversight and Government Reform, to Huban Gowadia, Acting Administrator, Transportation Security Administration (May 2, 2017) (online at

Similarly, this Committee has never recognized the deliberative process privilege as a valid reason to withhold documents from Congress. The D.C. Circuit has held that the deliberative process privilege is "primarily a common law privilege." The court distinguished this from the presidential communications privilege, which it held was "rooted in constitutional separation of powers principles and the President's unique constitutional role."[136]

Only one District Court Judge has ever held that deliberative process may be invoked in response to a Congressional subpoena, but that case involved facts inapposite to the Committee's current investigation. In that case, *Committee on Oversight and Government Reform v. Holder*, Congress sought documents "generated in the course of the deliberative process concerning [DOJ's] response to congressional oversight and related media inquiries."[137] The documents covered by the Committee's April 2, 2019, subpoenas, however, were all generated prior to the Committee's investigation and do not raise any of the possible separation-of-powers concerns that appeared to animate that decision.

Moreover, even the District Court in *Holder* recognized that the deliberative process privilege is a "qualified privilege, and it can be overcome by a sufficient showing of need." The Court also clarified: "This is a lower threshold to overcome than the privilege that covers Presidential communications."[138]

Such a "lower threshold" would easily be overcome here. The Committee has an urgent need to investigate the addition of a citizenship question to the 2020 Census. The Census is constitutionally mandated to occur in 2020, and questionnaires must be printed months in advance. Congress is responsible for ensuring that the Census counts every person, and the House of Representatives has delegated its responsibility to oversee the Census to this Committee. The documents and information the Committee seeks are critical to its investigation and may shed light on the actual reason the Administration added the citizenship question and many other issues.

Moreover, the D.C. Circuit has held that the deliberative process privilege "disappears altogether when there is any reason to believe government misconduct occurred."[139] That is certainly the case here, where the Committee's investigation has raised serious questions about whether the Trump Administration had an unconstitutional motive—such as drawing legislative boundaries that were "advantageous" to "Non-Hispanic Whites"—when it added the citizenship question to the Census.

In addition, the Administration has selectively made public statements regarding the information it is withholding from this Committee. For example, DOJ recently stated that Mr.

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https://republicans-oversight.house.gov/wp-content/uploads/2017/05/2017-05-02-JEC-EEC-to-Gowadia-TSA.pdf).

[136] *In re Sealed Case*, 121 F.3d 729 (D.C. Cir. 1997).

[137] *Comm. on Oversight & Gov't Reform v. Holder*, 979 F. Supp. 2d 1 (D.D.C. 2013).

[138] *Comm. on Oversight & Gov't Reform v. Holder*, Civ. No. 12-1332 (ABJ), 2014 U.S. Dist. LEXIS 200278 (D.D.C. Aug. 20, 2014).

[139] *Id.*

Hofeller's study "played no role in the Department's December 2017 request to reinstate a citizenship question to the 2020 decennial census"—but it has refused to produce emails and drafts that would allow the Committee to examine whether that claim is true.[140] It would defy logic that the Administration could hide behind "deliberative process privilege" to deny Congress these documents while also making public representations about the same issue.

C. The Department of Justice Must Comply with the Committee's Deposition Subpoena

DOJ has asserted that Attorney General Barr ordered Mr. Gore to defy the Committee's deposition subpoena because DOJ lawyers were prohibited from participating under longstanding Committee rules. The Department claimed that these rules lack a "legitimate legislative purpose" and "unconstitutionally infringe upon the prerogatives of the Executive Branch." Both claims are false.

Committee Rule 15, which governs depositions, was adopted unanimously on January 29, 2019. Rule 15(e) states:

> Witnesses may be accompanied at a deposition by counsel to advise them of their rights. No one may be present at depositions except members, Committee staff designated by the Chair of the Committee or the Ranking Minority Member of the Committee, an official reporter, the witness, and the witness's counsel. ***Observers or counsel for other persons, or for agencies under investigation, may not attend.***[141]

The purpose of this rule is straightforward: it ensures that the Committee is able to depose witnesses in furtherance of its investigations without having in the room representatives of the agency under investigation. There are many circumstances when an agency counsel's presence at a deposition could hinder the Committee's investigation, such as situations when the witness may be disclosing misconduct at the agency, the witness is concerned about possible retaliation, or agency counsel may inappropriately interfere with witness testimony. The rule nevertheless protects the rights of witnesses by allowing them to be accompanied by personal counsel. In fact, Mr. Gore is represented by private counsel in this matter.

The constitutional basis for this rule is clear. The Committee's rules are adopted pursuant to Congress' constitutional authority to "determine the Rules of its Proceedings."[142] The rule in question has been in place for more than a decade under multiple Democratic and Republican Chairmen.[143] During that time, the Committee has conducted multiple depositions

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[140] *Lawyers: Docs Show Census Changed to Give Republicans Edge,* New York Times (May 30, 2019) (online at www.nytimes.com/aponline/2019/05/30/us/ap-us-census-citizenship-question-lawsuit.html).

[141] Rules of the Committee on Oversight and Reform for the 116th Congress (emphasis added) (online at https:/ /oversight.house.gov/sites/ democrats.oversight.house.gov /files/CO R %20Rules%20-%20passed. pdf).

[142] U.S. Const., Art. I, sec. 5, cl. 2.

[143] *See* Committee on Oversight and Government Reform, Rule 15(e), 115th Congress (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/OGR-Cmte-Rules-115-FINAL.pdf); Committee on Oversight and Government Reform, Rule 15(d), 114th Congress (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/OGR%20Rules%20114th%20.pdf)

with federal officials without agency counsel present, including during the current Administration.

For example, in September 2018, under Republican Chairman Trey Gowdy, the Committee conducted a deposition of Principal Deputy General Counsel of the Department of Homeland Security, Joseph Maher. Mr. Maher's personal counsel attended, but agency counsel did not.[144] Similarly, in 2007, under Chairman Henry Waxman, the Committee conducted depositions of White House employees Sara Taylor, Matt Schlapp, and Mindy McLaughlin. Personal counsel attended each deposition, but the White House Counsel's Office did not. [145]

Moreover, the Department has had ample opportunity to protect its interests in connection with Mr. Gore's deposition. The Department is well aware of the scope of the deposition based on the issues raised at Mr. Gore's March 7, 2019, transcribed interview and the list of 18 key questions provided by Committee staff following that interview. To the extent the Department believes that an issue that would be raised at the deposition may implicate a valid privilege, the Department may assert that privilege with the Committee. The Committee also offered to make available a separate room in the Committee's offices for Department counsel during the deposition. Mr. Gore or his counsel would be permitted to request a break during the deposition to consult with Department counsel. DOJ did not accept this accommodation.

VI. HEARINGS

For the purposes of section 103(i) of H. Res. 6 of the 116th Congress, the Committee's March 14, 2019, hearing entitled, "Hearing with Commerce Secretary Wilbur L. Ross, Jr.," was used to develop this Report.[146] That hearing focused on issues related to the 2020 Census, and in particular on the decision by the Trump Administration to add a citizenship question.

; Committee on Oversight and Government Reform, Rule 15(d), 113th Congress (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/OGR%20Committee-Rules-113th-Congress.pdf); Committee on Oversight and Government Reform, Rule 15(d), 112th Congress (online at https://web.archive.org/web/20110604181945/http://oversight.house.gov/images/stories/Other_Documents/ogr%20committee%20rules%20resolution.pdf); Committee on Oversight and Government Reform, Rule 22, 111th Congress (online at https://web.archive.org/web/20090625011541/http://oversight.house.gov/rules/); Committee on Oversight and Government Reform, Rule 22 (110th Congress) (online at https://web.archive.org/web/20071226191125/http://oversight.house.gov/rules/). The Committee had previously adopted the same rule in 1998, when the Committee was granted deposition authority as part of its investigation into fundraising issues in the Clinton Administration. *See* Committee on Government Reform Rule 20, 105th Congress (online at www.govinfo.gov/content/pkg/CPRT-105HPRT49381/pdf/CPRT-105HPRT49381.pdf).

[144] Committee on Oversight and Government Reform, Deposition of Joseph B. Maher, Principal Deputy General Counsel, Department of Homeland Security (Sept. 25, 2018).

[145] Committee on Oversight and Government Reform, Deposition of Sara Taylor (Apr. 3, 2008); Committee on Oversight and Government Reform, Deposition of Matt Schlapp (Aug. 27, 2007); Committee on Oversight and Government Reform, Deposition of Mindy McLaughlin (Apr. 3, 2008).

[146] Committee on Oversight and Reform, *Hearing with Commerce Secretary Wilbur L. Ross, Jr.*, 116th Cong. (Mar. 14, 2019) (online at https://oversight.house.gov/legislation/hearings/commerce-secretary-wilbur-l-ross-jr).

The Subcommittee on Civil Rights and Civil Liberties held a related hearing entitled, "Getting Counted: The Importance of the Census to State and Local Communities" on May 28, 2019. Witnesses included Dr. Gail Mellow, President, LaGuardia Community College; Julie Menin, Census Director, City of New York; Joseph Salvo, Chief Demographer, Population Division, NYC Department of City Planning; Melva Miller, Executive Vice President, Association for a Better New York; Steven Choi, Executive Director at New York Immigration Coalition, Marc Morial, President and CEO, National Urban League; Greta Byrum, Co-Director, New School Digital Equity Laboratory; Elizabeth OuYang, Community Advocate; Jorge Luis Vasquez, Jr., Associate Counsel, LatinoJustice PRLDF; Lurie Daniel Favors, General Counsel, Center for Law & Social Justice; and Kazi Fouzia, Desis Rising Up and Moving.

VII. COMMITTEE CONSIDERATION

On June 12, 2019, the Committee met in open session and ordered the Report favorably reported to the House, with an amendment, by roll call vote of 24 to 15, a quorum being present.

VIII. COMMITTEE VOTES

In compliance with clause 3(b) of rule XIII of the Rules of the House of Representatives, the Committee advises that the following roll call votes occurred during the Committee's consideration of the Report:

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 1**

Vote on: Final Passage - REP.MEADOWS MOTION TO APPEAL THE RULING OF THE CHAIR REGARDING MEADOWS POINT OF ORDER MOTION OF COMMITTEE RULE 2(F)

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)	X		
MS. NORTON (DC)		X		MR. GOSAR (AZ)			
MR. CLAY (MO)				MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)			
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)				MR. ROY (TX)	X		
MS. SPEIER (CA)				MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)		X		MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)							
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 15 Nays: 20 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 2**

Vote on: Final Passage - REP. HICE AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)		X	
MS. NORTON (DC)		X		MR. GOSAR (AZ)	X		
MR. CLAY (MO)		X		MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)	X		
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)		X		MR. ROY (TX)			
MS. SPEIER (CA)		X		MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)		X					
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 15 Nays: 24 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 3**

Vote on: Final Passage - REP. HIGGINS AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)		X	
MS. NORTON (DC)		X		MR. GOSAR (AZ)	X		
MR. CLAY (MO)		X		MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)	X		
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)		X		MR. ROY (TX)			
MS. SPEIER (CA)		X		MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)		X					
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 15 Nays: 24 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 4**

Vote on: Final Passage - REP. NORMAN AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)	X		
MS. NORTON (DC)		X		MR. GOSAR (AZ)	X		
MR. CLAY (MO)		X		MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)	X		
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)		X		MR. ROY (TX)			
MS. SPEIER (CA)		X		MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)		X					
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 16 Nays: 23 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 5**

Vote on: Final Passage - REP. CUMMINGS AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)	X			MR. JORDAN (OH)		X	
MS. MALONEY (NY)	X			MR. AMASH (MI)	X		
MS. NORTON (DC)	X			MR. GOSAR (AZ)		X	
MR. CLAY (MO)	X			MS. FOXX (NC)		X	
MR. LYNCH (MA)	X			MR. MASSIE (KY)		X	
MR. COOPER (TN)	X			MR. MEADOWS (NC)		X	
MR. CONNOLLY (VA)	X			MR. HICE (GA)		X	
MR. KRISHNAMOORTHI (IL)	X			MR. GROTHMAN (WI)		X	
MR. RASKIN (MD)	X			MR. COMER (KY)		X	
MR. ROUDA (CA)	X			MR. CLOUD (TX)		X	
MS. HILL (CA)	X			MR. GIBBS (OH)		X	
MS. WASSERMAN SCHULTZ (FL)	X			MR. HIGGINS (LA)		X	
MR. SARBANES (MD)	X			MR. NORMAN (SC)		X	
MR. WELCH (VT)	X			MR. ROY (TX)			
MS. SPEIER (CA)	X			MS. MILLER (WV)		X	
MS. KELLY (IL)	X			MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)		X	
MS. LAWRENCE (MI)	X			MR. STEUBE (FL)		X	
MS. PLASKETT (VI)	X						
MR. KHANNA (CA)	X						
MR. GOMEZ (CA)	X						
MS. OCASIO-CORTEZ (NY)	X						
MS. PRESSLEY (MA)	X						
MS. TLAIB (MI)	X						

Roll Call Totals: Ayes: 24 Nays: 15 Present:

Passed: X Failed:

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 6**

Vote on: Final Passage - REP. MEADOWS AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)		X	
MS. NORTON (DC)		X		MR. GOSAR (AZ)	X		
MR. CLAY (MO)		X		MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)	X		
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)		X		MR. ROY (TX)			
MS. SPEIER (CA)		X		MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)		X					
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 15 Nays: 24 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 7**

Vote on: Final Passage - REP. GIBBS AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)		X	
MS. NORTON (DC)		X		MR. GOSAR (AZ)	X		
MR. CLAY (MO)		X		MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)	X		
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)		X		MR. ROY (TX)			
MS. SPEIER (CA)		X		MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)		X					
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 15 Nays: 24 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 8**

Vote on: Final Passage - REP. COMER AMENDMENT TO THE REP. CUMMINGS AMENDMENT IN THE NATURE OF A SUBSTITUTE TO THE COMMITTEE RESOLUTION & REPORT

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)		X		MR. JORDAN (OH)	X		
MS. MALONEY (NY)		X		MR. AMASH (MI)		X	
MS. NORTON (DC)		X		MR. GOSAR (AZ)	X		
MR. CLAY (MO)		X		MS. FOXX (NC)	X		
MR. LYNCH (MA)		X		MR. MASSIE (KY)	X		
MR. COOPER (TN)		X		MR. MEADOWS (NC)	X		
MR. CONNOLLY (VA)		X		MR. HICE (GA)	X		
MR. KRISHNAMOORTHI (IL)		X		MR. GROTHMAN (WI)	X		
MR. RASKIN (MD)		X		MR. COMER (KY)	X		
MR. ROUDA (CA)		X		MR. CLOUD (TX)	X		
MS. HILL (CA)		X		MR. GIBBS (OH)	X		
MS. WASSERMAN SCHULTZ (FL)		X		MR. HIGGINS (LA)	X		
MR. SARBANES (MD)		X		MR. NORMAN (SC)	X		
MR. WELCH (VT)		X		MR. ROY (TX)			
MS. SPEIER (CA)		X		MS. MILLER (WV)	X		
MS. KELLY (IL)		X		MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)	X		
MS. LAWRENCE (MI)		X		MR. STEUBE (FL)	X		
MS. PLASKETT (VI)		X					
MR. KHANNA (CA)		X					
MR. GOMEZ (CA)		X					
MS. OCASIO-CORTEZ (NY)		X					
MS. PRESSLEY (MA)		X					
MS. TLAIB (MI)		X					

Roll Call Totals: Ayes: 15 Nays: 24 Present:

Passed: _____ Failed: X

COMMITTEE ON OVERSIGHT AND REFORM

116TH CONGRESS

RATIO 24-18

ROLL CALL

Date: 6-12-2019 **VOTE #: 9**

Vote on: Final Passage - RESOLUTION RECOMMENDING THAT THE HOUSE OF REPRESENTATIVES FIND WILLIAM P. BARR, ATTORNEY GENERAL OF THE UNITED STATES, AND WILBUR L. ROSS, JR., SECRETARY OF COMMERCE, IN CONTEMPT OF CONGRESS FOR REFUSAL TO COMPLY WITH SUBPOENAS DULY ISSUED BY THE COMMITTEE ON OVERSIGHT AND REFORM & REPORT, AS AMENDED

Republicans	Aye	No	Present	Democrats	Aye	No	Present
MR. CUMMINGS (MD)	X			MR. JORDAN (OH)		X	
MS. MALONEY (NY)	X			MR. AMASH (MI)	X		
MS. NORTON (DC)	X			MR. GOSAR (AZ)		X	
MR. CLAY (MO)	X			MS. FOXX (NC)		X	
MR. LYNCH (MA)	X			MR. MASSIE (KY)		X	
MR. COOPER (TN)	X			MR. MEADOWS (NC)		X	
MR. CONNOLLY (VA)	X			MR. HICE (GA)		X	
MR. KRISHNAMOORTHI (IL)	X			MR. GROTHMAN (WI)		X	
MR. RASKIN (MD)	X			MR. COMER (KY)		X	
MR. ROUDA (CA)	X			MR. CLOUD (TX)		X	
MS. HILL (CA)	X			MR. GIBBS (OH)		X	
MS. WASSERMAN SCHULTZ (FL)	X			MR. HIGGINS (LA)		X	
MR. SARBANES (MD)	X			MR. NORMAN (SC)		X	
MR. WELCH (VT)	X			MR. ROY (TX)			
MS. SPEIER (CA)	X			MS. MILLER (WV)		X	
MS. KELLY (IL)	X			MR. GREEN (TN)			
MR. DeSAULNIER (CA)				MR. ARMSTRONG (ND)		X	
MS. LAWRENCE (MI)	X			MR. STEUBE (FL)		X	
MS. PLASKETT (VI)	X						
MR. KHANNA (CA)	X						
MR. GOMEZ (CA)	X						
MS. OCASIO-CORTEZ (NY)	X						
MS. PRESSLEY (MA)	X						
MS. TLAIB (MI)	X						

Roll Call Totals: Ayes: 24 Nays: 15 Present:

Passed: X Failed: _____

IX. COMMITTEE OVERSIGHT FINDINGS

In compliance with clause 3(c)(1) of rule XIII of the Rules of the House of Representatives, the Committee advises that the findings and recommendations of the Committee, based on oversight activities under clause 2(b)(1) of rule X of the Rules of the House of Representatives, are incorporated in the descriptive portions of this Report.

X. NEW BUDGET AUTHORITY AND TAX EXPENDITURES AND CONGRESSIONAL BUDGET OFFICE COST ESTIMATE

With respect to the requirements of clause 3(c)(2) of rule XIII of the Rules of the House of Representatives and section 308(a) of the Congressional Budget Act of 1974 and with respect to requirements of clause (3)(c)(3) of rule XIII of the Rules of the House of Representatives and section 402 of the Congressional Budget Act of 1974, the Committee has requested but not received a cost estimate for this Report from the Director of the Congressional Budget Office. The Committee has requested but not received from the Director of the Congressional Budget Office a statement as to whether this Report contains any new budget authority, spending authority, credit authority, or an increase or decrease in revenues or tax expenditures.

XI. DUPLICATION OF FEDERAL PROGRAMS

No provision of the Report establishes or reauthorizes a program of the federal government known to be duplicative of another federal program, a program that was included in any report from the Government Accountability Office to Congress pursuant to section 21 of Public Law 111-139, or a program related to a program identified in the most recent Catalog of Federal Domestic Assistance.

XII. PERFORMANCE GOALS AND OBJECTIVES

The Committee states that pursuant to clause 3(c)(4) of rule XIII of the Rules of the House of Representatives, the purpose of the Report is to enforce the Committee's authority to subpoena and obtain documents and testimony related to the Trump Administration's addition of a citizenship question to the 2020 Census.

XIII. ADVISORY ON EARMARKS

In accordance with clause 9 of rule XXI of the Rules of the House of Representatives, the Report does not contain any congressional earmarks, limited tax benefits, or limited tariff benefits as defined in clause 9(d), 9(e), or 9(f) of Rule XXI.

APPENDIX A

DOCUMENTS REQUIRED BY APRIL 2, 2019, SUBPOENA TO SECRETARY OF COMMERCE WILBUR L. ROSS, JR.

1. Unredacted copies of the following documents, including all emails in each email chain, and all attachments:

    a. Memorandum and note from James Uthmeier to John Gore in Fall 2017;

    b. May 2, 2017, email from Earl Comstock to Wilbur Ross, cc: Ellen Herbst, subject: "Re: Census;"

    c. May 2, 2017, email from Wilbur Ross to Wendy Teramoto, subject: "Re: Census;"

    d. August 8, 2017, 7:44:29 p.m., email from Wilbur Ross to Earl Comstock, subject: "Re: [redacted];"

    e. August 10, 2017, email from Wilbur Ross to Earl Comstock, subject: "Re: Census Matter;"

    f. August 11, 2017, email from Earl Comstock to Wilbur Ross, cc: Wendy Teramoto, subject: "Memo on Census Question" (with attachment: "Census Memo Draft2 Aug 11 2017.docx");

    g. September 1, 2017, email from Wilbur Ross to Earl Comstock, cc: Wendy Teramoto, subject: "Re: [redacted];"

    h. September 1, 2017, email from Earl Comstock to Wilbur Ross, cc: Wendy Teramoto, subject: "Re: ITA Request for [redacted];"

    i. September 7, 2017, email from James Uthmeier to Earl Comstock, cc: Peter Davidson, subject: "RE: Census Matter Follow-Up;"

    j. December 20, 2017, email from John Zadrozny to James Uthmeier, subject: "RE: Census Question Request;" and

    k. February 26, 2018, email from James Uthmeier to Michael Walsh, subject: "Re: Memos."

2. All communications from January 20, 2017, through December 12, 2017, between or among officials from the Department of Commerce, the Census Bureau, and any other office or entity inside or outside of the government regarding the addition of a citizenship question.

APPENDIX B

DOCUMENTS REQUIRED BY APRIL 2, 2019, SUBPOENA TO ATTORNEY GENERAL WILLIAM P. BARR

1. Memorandum and note from James Uthmeier to John Gore in Fall 2017.

2. All documents and communications from January 20, 2017, through December 12, 2017, within the Department of Justice and with outside entities regarding the request to add a citizenship question to the census, including but not limited to the White House, the Commerce Department, the Republican National Committee, the Trump Campaign, or Members of Congress.

MINORITY VIEWS

Report of the Committee on Oversight and Reform

Resolution Recommending that the House of Representatives Find William P. Barr, Attorney General of the United States, and Wilbur L. Ross, Jr., Secretary of Commerce, in Contempt of Congress for Refusal to Comply with a Subpoena Duly Issued by the Committee on Oversight and Reform

June 17, 2019

On June 12, 2019, the Committee adopted a resolution and report concluding that Attorney General William P. Barr and Secretary of Commerce Wilbur L. Ross, Jr., should be held in contempt of Congress over documents relating to the reinstitution of a citizenship question on the 2020 decennial census ("contempt citation"). Chairman Elijah E. Cummings issued subpoenas to Attorney General Barr and Secretary Ross for documents on April 2, 2019.

The contempt citation was premature, unnecessary, and designed to advance a partisan goal of influencing ongoing litigation presently before the Supreme Court of the United States. Both the Department of Justice and the Department of Commerce have cooperated extensively with Chairman Cummings's investigation into the Trump Administration's decision to reinstitute a citizenship question on the census. The Administration has produced over 31,000 pages of documents in response to Committee requests. Secretary Ross voluntarily testified for over six hours in a public hearing, and the Administration has made four witnesses available for day-long transcribed interviews.

These views provide important—and missing—context to the contempt citation as adopted by the Committee. A question soliciting citizenship information appeared on the census in one form or another from 1820 to 2000 and has been asked annually on the Census Bureau's American Community Survey since 2005. Other nations request citizenship information as part of their population surveys, which the United Nations recommends as a best practice. Information solicited as a part of the census is protected from dissemination by federal law.

In the face of these facts, the contempt citation spins baseless conspiracy theories and cherry-picks information to create false narratives about the Administration's decision to reinstitute the citizenship question. The contempt citation is the culmination of the Committee's effort to use its oversight authority to influence the Supreme Court—first by gathering information the "courts can use"[1] and then by picking a public fight with the Administration to generate controversy around the issue. Meanwhile, the Committee has eschewed and abandoned its legislative function in this area, and instead chosen the path of publicity. By not considering any legislative proposals aimed at the propriety of the citizenship question, the Committee is misusing its oversight authority.

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[1] Hansi Lo Wang, *Commerce Secretary To Face Lawmakers In Hearing On Census Citizenship Question*, NAT'L PUB. RADIO (Mar. 14, 2019), https://www.npr.org/2019/03/14/702185342/commerce-secretary-to-face-lawmakers-in-hearing-on-census-citizenship-question.

These views seek to address the contempt citation's shortcomings and inaccuracies. To provide as much context as possible, the views also hereby incorporate and attach a 72-page staff report and a 386-page staff report issued by Ranking Member Jim Jordan.

I. The contempt citation is premature because Chairman Cummings's investigation is active and ongoing

The Committee's action in approving the contempt citation was premature. The Committee's fact-finding is active and ongoing. Because the Committee could obtain the information it seeks in future investigative steps, the Committee has not exhausted all avenues to obtaining the information such that contempt is appropriate at this time.

Upon assuming the chairmanship of the Committee in January 2019, Chairman Cummings formally initiated an inquiry into Secretary Ross's decision to reinstitute a citizenship question on the 2020 census, requesting documents from both the Department of Commerce (DOC) and the Department of Justice (DOJ).[148] Since then, both the DOC and DOJ have cooperated with the Chairman's investigation (Table 1). The DOC and DOJ have produced over 31,000 responsive documents—14,000 from DOC and 17,000 from DOJ (Table 2). In addition, the Committee has received testimony from Secretary Ross, three senior current and former DOC and DOJ officials, and the former Kansas Secretary of State. At the time of the Committee's action, it had scheduled two transcribed interviews with senior DOC officials.

TABLE 1 - TIMELINE: CITIZENSHIP INVESTIGATION

December 12, 2017	DOJ sent a letter to the Census Bureau requesting reinstatement of a citizenship question on the 2020 census to better enforce Section 2 of the Voting Rights Act.
March 26, 2018	Secretary Ross announced his decision to reinstate a citizenship question on the 2020 census.
March 29, 2018	Secretary Ross formally submitted the 2020 census questions to Congress as required by law.
May 8 and 18, 2018	Chairman Gowdy held a hearing with senior officials from DOC and DOJ to discuss census oversight, including the citizenship question. At the hearing, the Administration committed to producing the administrative record to the Committee when it was produced to the court in the New York case.
June 8, 2018	DOC produced documents responsive to Chairman Gowdy's request.
July 3, 2018	DOC produced additional documents responsive to Chairman Gowdy's request.
January 8, 2019	Chairman Cummings requested documents from the Department of Commerce regarding the decision to reinstitute the citizenship question.

[148] Letter from Rep. Elijah Cummings, Chairman, H. Comm. on Oversight & Reform, to Hon. Wilbur Ross, Sec'y, Dep't of Commerce (Jan. 8, 2019). Although Chairman Cummings previously sought some information about the 2020 census as Ranking Member, this request was his first following his selection as chairman and the Committee's organizing meeting.

TABLE 1 - TIMELINE: CITIZENSHIP INVESTIGATION	
March 7, 2019	The Committee conducted a transcribed interview with Principal Deputy Assistant Attorney General John Gore.
March 14, 2019	The Committee held a day-long hearing with Secretary Ross.
April 2, 2019	Chairman Cummings issued subpoenas to the DOC and DOJ. The Chairman also subpoenaed Mr. Gore for a deposition.
May 7, 2019	Chairman Cummings sent letters requesting transcribed interviews with Earl Comstock, Peter Davidson and James Uthmeier from the Department of Commerce.
May 8, 2019	Chairman Cummings sent a letter to Secretary Wilbur Ross requesting a meeting to discuss the Committee's citizenship question investigation.
May 30, 2019	The Committee held a transcribed interview with Gene Hamilton, Counselor to the Attorney General.
June 3, 2019	Committee held a transcribed interview with Kris Kobach, former Kansas Secretary of State.
June 3, 2019	Chairman Cummings sent letters to Attorney General Barr and Secretary Ross threatening to hold them in contempt of Congress.
June 11, 2019	The Committee held a transcribed interview with James Uthmeier, former Senior Counsel, Department of Commerce Office of General Counsel.
June 13, 2019	The Committee approved a resolution and report concluding that Attorney General Barr and Secretary Ross should be held in contempt of Congress.
June 18, 2019	Scheduled transcribed interview with Peter Davidson, General Counsel, Department of Commerce.
June 21, 2019	Scheduled transcribed interview with Earl Comstock, Deputy Chief of Staff and Director of Policy, Department of Commerce.

TABLE 2 - CITIZENSHIP QUESTION INVESTIGATION: DOCUMENT PRODUCTION SCHEDULE **Total Number of Documents Produced: 31,000 pages**[149]	
Department of Commerce (14,000 pages)	*Department of Justice* (17,000 pages)
June 8, 2018	February 25, 2019
July 3, 2019	March 15, 2019
January 29, 2019	March 29, 2019
February 19, 2019	April 11, 2019
March 5, 2019	April 16, 2019
March 15, 2019	April 26, 2019
March 19, 2019	May 10, 2019
March 28, 2019	May 24, 2019
April 25, 2019	
June 3, 2019	

[149] Total pages of documents produced as of June 7, 2019.

If not for Chairman Cummings's decision to abruptly cease the constitutionally mandated accommodation process and proceed to contempt of Congress for two cabinet officials, there is no reason to believe that the DOC and DOJ would not continue to cooperate with the Committee's investigation.

II. The contempt citation is unnecessary because the Supreme Court will decide the merits of the citizenship question soon

The Committee's contempt citation was an unnecessary act of political theater. The Supreme Court will issue its decision in *Department of Commerce v. New York* in a matter of weeks, settling any controversy around the reinstitution of the citizenship question on the 2020 census. The Court's decision will have a direct effect on the Committee's investigation. Accordingly, a prudent and responsible exercise of the Committee's contempt authority would dictate waiting for the Court's decision.

On April 23, 2019, the Supreme Court heard oral argument in *Department of Commerce* to review the lower court's decision as well as a constitutional challenge to the Enumeration Clause of the Constitution, Article I, Section 2, Clause 3.[150] The Supreme Court is expected to issue its decision sometime in June 2019. Both the DOJ and DOC have explained to the Committee that producing some privileged documents at this time would harm litigation interests of the United States.[151]

The contempt citation seeks to punish Attorney General Barr and Secretary Ross for declining to harm the litigation interests of the United States. This manifest unfairness could have been avoided if the Committee deferred consideration of the contempt citation until after the Supreme Court issued its decision. Waiting, however, may have been antithetical to the Committee's strategy—according to Rep. Jimmy Gomez (D-CA), the Committee sought information from the Commerce Department that "the courts can use" in the ongoing litigation.[152]

III. The contempt citation baselessly implies a vast conspiracy to use the census for partisan political gain

The Committee's action in approving the contempt citation stems from a baseless assumption: that Secretary Ross has not been truthful in articulating his reasons for reinstituting a citizenship question on the 2020 census. Chairman Cummings has said the purpose of his investigation is "to understand the ***real*** reason that you [Secretary Ross] added a citizenship question to the 2020 Census."[153] Although Secretary Ross explained his reasons in detail in a

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[150] *State of New York et al. v. United States Department of Commerce et al.*, 1-277 (S.D.N.Y. 2019).
[151] *See, e.g.*, E-mail from Kira Antell, Office of Legislative Affairs, Dep't of Justice (Mar. 22, 2019 3:27PM); *Commerce Secretary Wilbur L. Ross, Jr.: Hearing Before the H. Comm on Oversight and Reform*, 116th Congress, 47 (statement of Secretary Ross) (2019) [hereinafter "Ross hearing"].
[152] Wang, *supra*, note 147.
[153] Letter from Rep. Elijah Cummings, Chairman, H. Comm. on Oversight & Reform, to Hon. Wilbur Ross, Sec'y, Dep't of Commerce (Mar. 29, 2019) (emphasis added).

public memorandum,[154] Chairman Cummings and the Committee refuse to believe them and instead search for evidence to show a nefarious plot carried out by shadowy and powerful political operatives. However, the Committee has no evidence to support such a conclusion.

The contempt citation cites a redistricting study authored in 2015 by a now-deceased man named Thomas Hofeller as evidence that Secretary Ross's reasons were pretextual.[155] In the study, conducted for the *Washington Free Beacon*, Mr. Hofeller made several general assertions about the effects of adding a citizenship question to the census:

- A shift from a redistricting determined using total population to adult population is a radical departure from the federal 'one person, one vote' rule presenting used in the United States.

- Without a question on citizenship being included on the 2020 decennial census questionnaire, the use of citizen voting age population is functionally unworkable.

- The Obama Administration and congressional Democrats would probably be extremely hostile to the addition of a citizenship question on the 2020 Decennial questionnaire.

- The chances of the U.S. Supreme Court mandating the addition of a citizenship question to the 2020 decennial census are not high.

- A switch to the use of citizen voting age population as the population base for redistricting would be advantageous to Republicans and Hon-Hispanic Whites.

- A proposal to use citizen voting age population can be expected to provoke a high degree of resistance.[156]

The plaintiffs suing the DOC over the citizenship question assert that Secretary Ross and DOC officials had knowledge of Mr. Hofeller's study before he decided to add a citizenship question to the 2020 census. Further, the plaintiffs allege that the DOC shared the study with Principal Deputy Assistant Attorney General John Gore, who signed a letter in which the DOJ

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[154] Letter from Hon. Wilbur Ross, Sec'y, Dep't of Commerce, to Karen Dunn Kelley, Undersecretary for Economic Affairs, Dep't of Commerce (Mar. 26, 2018).

[155] Thomas Hofeller was a Republican political consultant specializing in redistricting. Mr. Hofeller died in August 2018 and as part of the resolution of his estate, 18 hard drives of his work were passed to his daughter, Stephanie Hofeller. Ms. Hofeller was estranged from her parents after she and her ex-husband were accused of involvement in a series of domestic disputes and child abuse. Following these charges, Thomas Hofeller and his wife Kathleen were granted custody of their 2 year-old grandson. According to the *New York Times*, Stephanie Hofeller is a "a political progressive who despises Republican partisanship." When Ms. Hofeller read her late father's papers, she contacted the Raleigh office of Common Cause, which is suing North Carolina over the state's legislative maps that Thomas Hofeller helped draw. These documents were then passed to the liberal plaintiffs in the *Department of Commerce, et al. v. State of New York, et al.* lawsuit. *See* Michael Wines, *Deceased G.O.P. Strategist's Hard Drives Reveal New Details on the Census Citizenship Question*, N.Y. TIMES (May 30, 2019).

[156] Thomas Hofeller, The Use of Citizen Voting Age Population in Redistricting, available at https://www.brennancenter.org/sites/default/files/legal-work/2019-05-31-595-1-Unredacted%20Exhibits.pdf.

requested the reinstatement of the citizenship question.[157] The DOJ and the DOC have strongly disputed these allegations in filings in federal court, calling them "smoke and mirrors."[158]

The record before the Committee refutes and debunks the conspiracy claims surrounding Mr. Hofeller's study. The Committee has no evidence that the DOC or DOJ relied on the Hofeller study. The Committee has conducted four transcribed interviews, and no witness had even heard of Thomas Hofeller or his study until the study was the subject of media reports.

For example, on June 11, 2019, the Committee interviewed James Uthmeier, a former Senior Counsel at DOC, who worked closely with Secretary Ross on the citizenship question. Mr. Uthmeier was the author of a legal memorandum about the citizenship question, which he provided to Secretary Ross and Principal Deputy Assistant Attorney General John Gore. Mr. Uthmeier testified unequivocally that he did not have contact with Mr. Hofeller, nor did he recall seeing anything written by Mr. Hofeller. Uthmeier testified:

Q. Mr. Uthmeier, do you know who Thomas Hofeller is? Or Hoffler [sic]?

A. I am familiar with the name. But I do not know this individual, no.

Q. Did you ever speak or communicate with him during the transition, or any other time?

A. I did not.

Q. Have you ever read anything or seen anything written by him?

A. No. To my knowledge, no, I have never seen anything written by him.

Q. Have you ever discussed him with anyone?

A. I discussed him with counsel in preparation for this interview. However, I had no other discussions. I was present for the deposition of Mark Newman, where I also would have heard the name mentioned.

Q. Are you familiar with his 2015 study or report?

A. I am not.[159]

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[157] Unredacted Exhibits in Support of Motion for Order to Show Cause, *New York v. United States Dep't of Commerce*, no. 1:18-cv-02921-JMF (S.D.N.Y. May 31, 2019).
[158] Department of Justice Response on Motion to Compel Defendants to Show Cause, *State of New York v. United States Department of Commerce*, No. 18-cv-2921 (S.D.N.Y. June 3, 2019) (emphasis added).
[159] James Uthmeier Transcribed Interview 12, June 11, 2019 (on file with Committee) [hereinafter "Uthmeier interview"].

Gene Hamilton, a senior administration official working on immigration issues at DOJ, had direct knowledge about aspects of the decision-making process that led to the DOJ's request to reinsert the citizenship question on the 2020 census. Mr. Hamilton testified that he had "no idea" who Hofeller was. He explained:

Q. Did you ever hear of – did you ever speak to or hear of anyone speaking to Thomas Hofeller?

A. No.

Q. Also a member of the transition team.

A. Okay.

Q. Doesn't ring a bell?

A. No.

Q. Okay.

Q. That's H-o-f-e-l-l-e-r.

A. He could spell it H-o-e-f-f-l-e-r, and I have no ideas [sic] who he is.[160]

The Committee also conducted a transcribed interview with Kris Kobach, former Kansas Secretary of State. During the interview, Kobach testified:

Q. Mr. Kobach, during the campaign or transition, did you ever discuss adding a citizenship question to the 2020 census with Thomas Hofeller?

A. I don't recall ever meeting or talking with anyone by that name. I just read an article yesterday about I think it was that – but – and my recollection upon reading the article was that I've never heard of this guy.[161]

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Q. Mr. Kobach, were you aware of a 2015 study that Mr. Hofeller wrote about the citizenship question?

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[160] Gene Hamilton Transcribed Interview 68, May 30, 2019 (on file with Committee) [hereinafter "Hamilton interview"].

[161] Kris Kobach Transcribed Interview 13, June 3, 2019 (on file with Committee) [hereinafter "Kobach interview"] (emphasis added).

A. No, I've never read any such study or heard of any such study. As I said, there was an article about that gentleman, I think I saw it yesterday, that alluded to a study, but I'd never heard of it until I read that article.[162]

In addition, Kobach testified that he fundamentally disagreed with Hofeller's assertions, explaining: "I don't agree with his assumption that when you count – when you count accurately the number of citizens, that that necessarily helps one party or another party. We don't know."[163]

Finally, although the Hofeller study was not publicly known at the time of the Committee's transcribed interview with Mr. Gore in March 2019, his testimony directly contradicts any conspiracy theories about the "real" reasons for the reinstitution of the citizenship question. Gore testified how specific, granular data about citizenship helps to enforce the Voting Rights Act, explaining:

Q. Can you help us understand how the lack of data prior to, I guess, the current situation impacts the prosecution of Voting Rights Act cases?

A. So, as I've explained, we've been making do with the ACS [American Community Survey] data –

Q. Right.

A. -- and extrapolating the ACS block group level estimates down to the block level to identify potential investigations and enforcement actions.

Q. Right.

A. ***There's, I think, an acknowledgment that the ACS data is an estimate.*** The Census Bureau puts confidence intervals and margins of error around it. And we don't bring cases unless we can win them. So we've been able to file cases and litigate them under -- using the ACS data.

We would like to get an additional source of data because there may be districts or cases out there where that data provides a clearer picture of what's going on at the block level and within a particular district or redistricting plan, and we might be able to

[162] Kobach interview at 79.
[163] Kobach interview at 90 (emphasis added).

identify additional cases for investigation and potential prosecution.[164]

IV. The contempt citation improperly and baselessly implies a nefarious White House connection to the decision to reinstitute a citizenship question

The contempt citation suggests the existence of a vast Republican conspiracy to reinstate the citizenship question, one that was directed from the highest levels of the White House. Chairman Cummings has said repeatedly that the White House has orchestrated a "cover up" from the very "top."[165] The Majority has sought to tie former Attorney General Jeff Sessions, former White House advisor Steven Bannon, and other senior Trump Administration officials to the effort to add a citizenship question to the census.[166] The record before the Committee, however, does not support these charges.

Mr. Uthmeier unequivocally stated that no one from the White House ever asked or directed him to seek the reinstatement of a citizenship question to the census. According to Mr. Uthmeier, he was never instructed to consult with White House officials about seeking the reinstatement of a citizenship question. Mr. Uthmeier further testified that he never spoke with Stephen Miller, Steve Bannon, Reince Priebus, or President Trump about the decision to add a citizenship question to the census.[167]

Similarly, Mr. Gore testified he did not have interactions related to the citizenship question with any of the senior Trump Administration officials whom the Majority believe were involved in a conspiracy to misuse the census. Mr. Gore testified:

Q. Were you aware of any conversations between Attorney General Jeff Sessions and Steve Bannon about the addition of a citizenship question?

A. No.

Q. Were you aware of any conversations with anyone else at the Department of Justice and Kris Kobach about an addition of a citizenship question?

A. No.

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[164] John Gore Transcribed Interview 87-88, Mar. 7, 2019 (on file with Committee) [hereinafter "Gore interview"] (emphasis added).

[165] *See* Letter from Rep. Elijah Cummings, Chairman, H. Comm. on Oversight & Reform, to Hon. William Barr, Attorney General, Dep't of Justice (Jun. 3, 2019); Letter from Rep. Elijah Cummings, Chairman, H. Comm. on Oversight & Reform, to Hon. Wilber Ross, Sec'y, Dep't of Commerce (Jun. 3, 2019); Press Release, H. Comm. on Oversight & Reform, Cummings Delivers Remarks on Resolution to Fully Enforce Committee Subpoenas and Hold the Trump Administration Accountable (Jun. 11, 2019), https://oversight.house.gov/news/press-releases/cummings-delivers-remarks-on-resolution-to-fully-enforce-committee-subpoenas-and.

[166] Ross hearing, *supra* note 151, at 142-143 (statement of Rep. Carolyn Maloney, Member, H. Comm. on Oversight & Reform).

[167] Uthmeier interview at 134-135.

Q. Were you aware of any conversations between anyone at the Department of Justice and Steve Bannon about an addition of a citizenship question?

A. No.[168]

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Q. Did you ever speak with a little known official named Steve Bannon?

A. I have never spoken to Mr. Bannon in my life.[169]

***

Q. Have you ever had any discussions with Stephen Miller at the White House?

A. No, I have not.

Q. There's a fellow by the name of Thomas Brunell?

A. No, I have not, not on this issue.

Q. But on different issues?

A. Yes. I believe when I was in private practice, I had conversations with Mr. Brunell connected to a voting rights case, but it had nothing to do with the census or with the Department's request to reinstate a citizenship question on the census questionnaire.[170]

Like Mr. Uthmeier and Mr. Gore, Mr. Hamilton also testified he had no contact about the citizenship question with many of the officials whom the Majority accuses of conspiring to add the citizenship question. Hamilton testified:

Q. Aside from the communications we just talked about, are you aware of any communications with anybody at the White House that related to the census citizenship question?

A. Between whom?

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[168] Gore interview at 56.
[169] *Id.* at 78.
[170] *Id.* at 96-97.

Q. Between the White House and any agency. Are you aware of any conversations involving the White House? I think we've talked about a handful of conversations with John Zadrozny. Aside from those, are you aware of any conversations?

A. No, I don't think so.

Q. What about Steve Bannon when he was at the White House?

A. No.[171]

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Q. Have you ever had any conversations with Stephen Miller about census or citizenship question?

A. I think I answered that earlier.

Q. Just --

A. I don't remember having any conversation with Stephen.

Q. Did you ever become aware of him having conversations with anyone else about census or a citizenship question?

A. I couldn't tell you.[172]

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Q. Did you have any cause to or had you ever had any other discussions with James Uthmeier about other topics or about topics in general?

A. No. I don't recall having any discussions with James Uthmeier or Brian Lenihan. I couldn't pick them out of a lineup.[173]

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Q. Have you ever had discussions with Peter Davidson from the Department of Commerce?

A. I don't think – I don't think so. I don't recall.[174]

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[171] Hamilton interview at 64.
[172] *Id.* at 66.
[173] *Id.* at 53.
[174] *Id.* at 53-54.

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Q. Did you ever have any conversations with someone named Mark Neuman about the citizenship question?

A. What was the name?

Q. Mark Neuman.

A. No.

Q. Do you know who that is, N-e-u-m-a-n, Mark Neuman?

A. No.

Q. He's a member of the President's transition team?

A. Mark Neuman? No.

Q. He also apparently served as some kind of outside adviser to the Department of Commerce on the issue of the citizenship question?

A. I have no idea who he is.

Q. Do you remember ever hearing that there were – that there was more outside advisers providing advice or guidance to the Department of Commerce or to the Department of Justice —

A. No.

Q. — relating to the citizenship question?

A. Huh uh, no.[175]

***

Q. [S]o you mentioned that you had a discussion with Mr. Kobach during the transition about the citizenship question, correct, or you got an email from him?

A. I got an unsolicited email from him.

Q. Did you have any further conversations with him after the transition about this topic?

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[175] *Id.* at 67.

A. No.[176]

Finally, Mr. Kobach also testified that he had no contact about the citizenship question with many of the individuals who the Majority contends were central figures in the decision to add the citizenship question. The Majority even went as far as to ask Kobach if he spoke with the Republican National Committee about the citizenship question; Kobach responded that he had not. Kobach testified:

Q. Did you ever speak with Earl Comstock at the Department of Commerce?

A. What was the first name?

Q. Earl, and his last name is Comstock.

A. I don't recall ever speaking to that person. The name doesn't sound familiar.

Q. Did you ever speak with Peter Davidson, the general counsel at the Department of Commerce?

A. I don't specifically recall, but as I mentioned earlier, there was one – there was one individual, a male, who informed me about the notice and comment period, that if I wanted to send an official letter, I could, and I don't remember that person's name.

Q. Okay. Did you ever speak with James Uthmeier at the Department of Commerce, the Deputy General Counsel?

A. I don't remember that name. It is certainly possible that one of those people was the one I spoke to on the phone, but I don't remember those names specifically.[177]

***

Q. During the campaign or transition, did you ever discuss adding a citizenship question to the 2020 census with a transition official named Mark Neuman, and I'm happy to spell that if that's helpful.

A. I don't recall anybody named Mark Neuman. It's possible I met him and forgot him, but that name does not ring a bell at this time.[178]

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[176] *Id.* at 68.
[177] Kobach interview at 69.
[178] *Id.* at 12.

Q. Have you ever had any conversations regarding the citizenship question with anybody at the Republican National Committee?

A. No.[179]

V. The contempt citation fails to note the protections in federal law prohibiting the unauthorized use of census data

The contempt citation ignores protections entrenched in federal law on the unauthorized use of census data. The purpose of the Census Bureau and all census surveys is to collect data used for apportionment and to better inform the public about the population, business, and economics of the United States. Title 13 of the U.S. Code protects all data provided to the Census Bureau. Disclosure of census data is a very serious federal crime punishable by five years in prison and a $250,000 fine.[180] All officers, employees (permanent and temporary), contractors, volunteers, or anyone else handling census data must sign a lifetime oath to keep the data confidential.[181]

Once responses are collected, the Census Bureau goes to great lengths to ensure that any statistical data is anonymized and cannot be traced back to an individual person or household. Additionally, the Census Bureau does not share individual response information with other federal or state agencies. Data sets gleaned from responses may be shared with other agencies, but only for statistical purposes and only if the agency has requested the data from the Secretary of Commerce.

The Majority and others suggest that the responses to the citizenship question could be used for law enforcement or immigration proceedings. In the 1940s, census data was used to locate Japanese-Americans for relocation to internment camps.[182] However, in the 70 years since this tragedy, Congress has acted to codify and strengthen Title 13 privacy protections. Such disclosures would be unlawful today. At a Committee hearing in 2018, the DOJ and DOC refuted assertions that data would be used for law enforcement or immigration proceedings.[183]

Since then, the Committee has heard repeated testimony reinforcing the fact that information obtained from the citizenship question cannot and will not be used for any law enforcement proceeding. For example, Mr. Hamilton testified:

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[179] *Id.* at 96.
[180] 13 U.S.C. § 214 (1994).
[181] In 2018, Committee staff traveled to Rhode Island to conduct oversight of the 2018 Census Test. Committee staff was required to sign documents swearing not to disclose any private information, in perpetuity, which the staffer may come in contact over the course of the time conducting oversight.
[182] Lori Aratani, *Secret use of census info helped send Japanese Americans to internment camps in WWII*, WASH. POST (Apr. 6, 2018).
[183] *Progress Report on the 2020 Census: Hearing Before the H. Comm. on Oversight and Gov't Reform*, 115th Cong. 57-58 & 80-81 (May 8, 2018) (statement of Earl Comstock, Dept. of Commerce).

Q. Are you aware of any conversations that happened within the administration about whether adding a citizenship question would impact immigration policy or immigration enforcement?

A. No.

Q. Were you aware of any documents that came from the Department of Commerce to the Department of Justice about the citizenship question issue?

A. No.

Q. So you said you were not aware of any discussions about the citizenship question impacting immigration policy. Is that correct?

A. I don't recall having any discussions about that.

Q. Okay. How about impacting immigration enforcement?

A. I don't recall having any discussions about that.[184]

Mr. Hamilton later expressly stated, "***this citizenship question on the census has nothing to do with illegal immigration***."[185]

Likewise, Mr. Uthmeier explained the statutory protections surrounding census response information. He testified:

Q. Do you recall the penalties under Title 13 for disclosing confidential responses to the citizenship question?

A. I only recall that there are significant penalties, but I cannot remember specifics, no.

Q. If I told you that the penalties were 5 years in prison and a $250,000 fine, would that be consistent with your research into the topic?

A. Yes, that sounds right.

Q. Okay. To your knowledge, will the responses to the 2020 census question on citizenship be used by either the Department of Justice, the Department of Commerce, or any other law enforcement agency in any judicial proceeding?

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[184] Hamilton interview at 71-72.
[185] *Id.* at 80 (emphasis added).

A. ***To my knowledge the data is not allowed to be used for those purposes pursuant to Federal law.***

Q. And to your knowledge, would responses to the 2020 census question be permitted to be used in any immigration or deportation proceeding?

A. No.

Q. If such information were to be used, either in a judicial proceeding, deportation proceeding, or other immigration related proceeding, and the Department of Commerce found out about it, what do you believe the Department's response would be?

A. Can you ask that question one more time?

Q. Sure. If the Department of Commerce became aware that data from the census was used in any sort of judicial deportation or immigration proceeding, what do you think the Department's response would be to that disclosure?

A. I don't want to speculate for the Department, but I can tell you if I was still there in my capacity as a senior lawyer, I would ask the Department of Justice to take immediate action.

Q. So when you were [at the Department of Commerce], you believe that if the census data was disclosed, you would recommend the Department immediately refer a criminal case to the Department of Justice?

A. Yes. Yes, absolutely. ***The Title 13 protections are imperative to data collection to ensure that people across the country feel comfortable providing information to the government***. The data and studies show that Americans are generally suspect of the government coming in to their homes and asking questions about anything. So Title 13, we certainly at Commerce, I know the Census Bureau had some advertising that they were working on, that tries to make it known to the public, that this data cannot be used for anything other than statistical collection purposes, and it cannot be used for law enforcement or immigration purposes.

I wish that attorneys general in all the States were also echoing that information rather than startling people through, you know, negative press and, you know, allegations.[186]

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[186] Uthmeier interview at 113-114 (emphasis added).

VI. The contempt citation fails to note that a citizenship question on the census is not new

During the Committee's business meeting to consider the contempt citation, Rep. Ralph Norman (R-SC) offered an amendment to provide necessary context that soliciting citizenship information on a census is not new. The Committee did not approve this amendment, and therefore the contempt citation fails to recognize this important context.

Every decennial census from 1820 to 1950 asked about citizenship. From 1970 to 2000, the Census Bureau mailed a "long-form census" with the decennial census to five percent of American households.[187] In addition to asking the 10 basic census questions on the short form, the long-form census asked more expansive questions about a person's dwelling and the composition of the household. From 1970 to 2000, each long-form census asked a citizenship question.

After the 2000 census, the Census Bureau replaced the long-form census with the American Community Survey (ACS).[188] Unlike the long-form census, the Census Bureau conducts the ACS on a continuing, annual basis, sending the survey to about 3.5 million households each year.[189] The ACS includes expanded questions on demographics, dwelling unit, and household composition, as well as a series of detailed citizenship questions.[190] The proposed question about citizenship on the 2020 census is similar to the question posed on the annual ACS survey.

Until Secretary Ross's decision to reinstate a citizenship question on the 2020 census, there had been no constitutional challenge to the inclusion of a citizenship question on prior decennial censuses or the ACS.

VII. The contempt citation fails to note that state and federal entities regularly solicit citizenship information for a variety of reasons

The contempt citation ignores the simple truth that a variety of agencies—at the federal and state level—currently solicit and collect citizenship data for a variety of reasons, including employment and licensure. For example:

- The U.S. Citizenship and Immigration Services requires each prospective employee in the United States to submit an Employment Eligibility Verification Form (I-9 form), which asks about the employee's citizenship status;[191]

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[187] U.S. Census Bureau, History of Questionnaires available at https://www.census.gov/history/www/through_the_decades/questionnaires/.
[188] U.S. Census Bureau, History: American Community Survey, available at https://www.census.gov/history/www/programs/demographic/american_community_survey.html.
[189] *Id.*
[190] U.S. Census Bureau, American Community Survey: Questions on the Form and Why We Ask, available at https://www.census.gov/acs/www/about/why-we-ask-each-question/.
[191] Dep't of Homeland Security, U.S. Citizenship & Immigration Servs., Employment Eligibility Verification, https://www.uscis.gov/system/files_force/files/form/i-9-paper-version.pdf.

- The District of Columbia solicits citizenship status for individuals applying for a driver's license;[192]

- The state of Wisconsin similarly requests citizenship status for individuals applying for a driver's license;[193]

- The state of California asks about an individual's citizenship when applying to obtain a firearm;[194] and

- The state of Ohio requires an applicant for a concealed-carry license to state his or her citizenship.[195]

In addition, the collection of citizenship information during a population census is a common practice among countries. In fact, as part of its principles and recommendations for population censuses, the United Nations recommends that countries gather citizenship information about its population.[196] As Secretary Ross testified during the Committee's hearing:

> The United Nations has recommended that countries ask the citizenship question or some form of it, and many countries do. I believe I mentioned a few. Australia, Canada, France, Germany, Ireland, Mexico, and the United Kingdom are a few that occurred to me offhand.[197]

VIII. The contempt citation makes unfounded and conclusory assertions about Executive Privilege

The contempt citation, as amended during the business meeting, makes several unfounded legal conclusions about the sufficiency of the President's protective assertion of executive privilege. This protective assertion is only a result of the Committee's rush to contempt.

On June 12, 2019, Attorney General Barr sent a letter informing the Committee:

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[192] D.C. Dep't of Motor Vehicles, DC Driver License or Identification Card Application, https://dmv.dc.gov/sites/default/files/dc/sites/dmv/publication/attachments/DMV%20BOE%20Application_2-25-19.pdf.

[193] Wisc. Dep't of Transportation, Wisconsin Driver License (DL) Application, https://wisconsindot.gov/Documents/formdocs/mv3001.pdf.

[194] CA Dep't of Justice, Bureau of Firearms, Personal Firearms Eligibility Check Application, https://oag.ca.gov/sites/all/files/agweb/pdfs/firearms/forms/pfecapp.pdf.

[195] State of Ohio, Application for a License to Carry a Concealed Handgun, https://www.ohioattorneygeneral.gov/Files/Forms/Forms-for-Law-Enforcement/Concealed-Carry-License-and-Renewal-Application.aspx.

[196] United Nations, Principles and Recommendations for Population and Housing Censuses (2017), https://unstats.un.org/unsd/demographic-social/Standards-and-Methods/files/Principles_and_Recommendations/Population-and-Housing-Censuses/Series_M67rev3-E.pdf.

[197] Ross hearing, *supra* note 151, at 64 (statement of Wilbur Ross, Secretary, Department of Commerce).

> the President has asserted executive privilege over certain subpoenaed documents identified by the Committee . . . as well as drafts of the Department's December 12, 2017 letter to the U.S. Census Bureau . . . . [T]his protective assertion ensures the President's ability to make a final decision whether to assert privilege following a full review of these materials . . . . Regrettably, you [Chairman Cummings] have made these assertions necessary by your insistence upon scheduling a premature contempt vote.[198]

The contempt citation concludes that the President waived the privilege because he did not comply with the Committee's rules for invoking a privilege. This characterization of an imputed waiver for a constitutional privilege is baseless. The Supreme Court held in *United States v. Nixon* that executive privilege is "fundamental to the operation of government and inextricably rooted in the separation of powers under the Constitution."[199]

Additionally, in *In re Sealed Case*, the Court of Appeals for the District of Columbia Circuit examined whether the White House had waived executive privilege when it released a White House Counsel's report. In its ruling, the court reasoned that "[s]ince executive privilege exists to aid the governmental decisionmaking process, a waiver should not be lightly inferred."[200] The court ultimately determined that the White House had not waived executive privilege as to the documents generated in producing the final version of the released report but had waived the privilege as to documents it had voluntarily revealed to parties outside the White House.[201]

As a "fundamental" privilege rooted in constitutional separation of powers, executive privilege ought to be afforded serious consideration. In addition, because an executive privilege waiver should not be lightly inferred, the Committee should be careful in inputing a waiver for failure to comply with Committee Rule 16(c). The Committee's contempt citation errs in concluding unilaterally that executive privilege can be waived when the President does not invoke executive privilege in accordance with Committee rules.

IX. The contempt citation shows how Chairman Cummings has changed his view on contempt of Congress under the Trump Administration

Chairman Cummings's position on holding executive branch officials in contempt of Congress has changed since the last time the Committee held an Attorney General in contempt of Congress. In 2012, the then-Committee on Oversight and Government Reform held former Attorney General Eric Holder in contempt of Congress for failing to produce documents related to the Committee's Fast and Furious investigation. At the time, the Obama Administration had stonewalled the Committee's subpoena for documents for over a year. During debate, then Ranking Member Cummings said:

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[198] Letter from Stephen Boyd, Assistant Attorney General, Dep't of Justice, to Rep. Elijah Cummings, Chairman, H. Comm. on Oversight & Reform (Jun. 12, 2019).
[199] *United States v. Nixon*, 418 U.S. 683, 707-08 (1974).
[200] *In re Sealed Case*, 121 F.3d 729, 741 (1997).
[201] *Id.* at 740-742.

> And there is something going on here that really should bother all of us, and that is that, you know, we do have an Attorney General who, just like we did, swear to uphold the Constitution of the United States, and it seems to be a presumption that when certain privileges are asserted, certain concerns are raised by that Attorney General with regard to deliberative documents that things have gone between staff and things that have traditionally been privileged, that so he has to be hiding something, that he has to be dishonest.
>
> ***And I think we do have to respect the separation of powers here. And so, you know, this whole idea, everybody, oh, what is he hiding? Well, I don't think he is hiding a damn thing.*** [202]

Now, however, Chairman Cummings has held Trump Administration officials in contempt of Congress after only two months while the Committee continues its fact-finding and the Trump Administration continues to cooperate with the Committee's investigation. Whereas Chairman Cummings believed in 2012 that then-Attorney General Holder was not hiding a "damn thing" by withholding documents, the Chairman now believes these actions "beg[] the question—what is he hiding?"[203]

Similarly, while in the minority, then-Ranking Member Cummings often asserted ongoing litigation was a reason for the Obama Administration to withhold documents from the Committee. On June 16, 2011, then-Ranking Member Elijah Cummings urged former Chairman Issa that "the Committee should wait until the case is no longer pending" before moving forward with testimony.[204] In another letter dated, November 9, 2011, then-Ranking Member Cummings wrote:

> As I have said repeatedly, I believe it is an inappropriate use of Committee resources to interfere with this ongoing legal action in order to benefit the corporate interests of a single company. . . . ***The ongoing legal proceeding should be allowed to take its full course***

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[202] *Report recommending that the House of Representatives find Eric H. Holder, Jr., Attorney General, U.S. Department of Justice, in contempt of Congress: Full Committee Business Meeting*, 112th Cong. 127 (2012) (statement of Rep. Elijah E. Cummings, Ranking Member, H. Comm on Oversight & Gov't Reform) (emphasis added).

[203] Press Release, H. Comm. on Oversight & Reform, Cummings Delivers Remarks on Resolution to Fully Enforce Committee Subpoenas and Hold the Trump Administration Accountable (Jun. 11, 2019), https://oversight.house.gov/news/press-releases/cummings-delivers-remarks-on-resolution-to-fully-enforce-committee-subpoenas-and.

[204] Letter from Rep. Elijah Cummings, Ranking Member, H. Comm. on Oversight & Gov't Reform and Rep. George Miller, Ranking Member, H. Comm. on Ed. & Workforce, to Rep. Darrell E. Issa, Chairman, H. Comm. on Oversight & Gov't Reform (Jun. 16, 2011), https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/2011-06-16.GM%20and%20EEC%20Letter%20to%20Issa.NLRB__0.pdf.

> ***without any further interference from Members of Congress*** (emphasis added).[205]

Now in the majority, Chairman Cummings has shifted his position. For example, during the March 2019 hearing with Secretary Ross, Chairman Cummings demanded full cooperation despite the ongoing litigation:

> I expect Secretary Ross to fully answer all of our questions about the census ***and not avoid our questions based on the meritless claim that there is a separate—there's separate litigation going on*** (emphasis added).[206]

In his concluding remarks in March 2019, Chairman Cummings expressed his frustration with Secretary Ross declining to answer certain questions that pertained to information involved in pending litigation before the Supreme Court:

> But today when I heard your testimony, I felt like you were trying to pull a fast one on me. I've got to be honest with you, man. You went back to the old argument about ongoing litigation. I was a little disappointed . . . . And let me make this clear so that there would be absolutely no doubt, Mr. Secretary. ***This committee does not accept the argument that you can withhold documents or testimony from us because you have other separate litigation.*** That is not a valid basis to withhold information from the Congress of the United States of America.[207]

X. The contempt citation is flawed because Chairman Cummings did not distribute the business meeting memorandum within the period required by Committee rules

The contempt citation is procedurally flawed in that Chairman Cummings did not distribute to Committee Members a copy of the memorandum specifying the Committee's business meeting as required by Committee rules. Rather than postpone the business meeting to cure this procedural defect, the Chairman offered an unpersuasive *ex post facto* interpretation of the relevant Committee rule—an interpretation contradicted by Chairman Cummings's prior statement about the rule.

Under Rule 2(f) of the Committee's rules, the Chairman must provide "ever member of the Committee . . . with a memorandum at least three calendar days (excluding Saturdays,

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[205] Letter from Rep. Elijah Cummings, Ranking Member, H. Comm. on Oversight & Gov't Reform, to Rep. Darrell E. Issa, Chairman, H. Comm. on Oversight & Gov't Reform (Nov. 9, 2011), https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/2011-11-09.EEC%20to%20Issa.Boeing-NLRB.pdf.

[206] Ross hearing, *supra* note 151, at 29 (statement of Chairman Elijah E. Cummings).

[207] *Id.* at 204 (statement of Chairman Elijah E. Cummings) (emphasis added).

Sundays, and legal holidays . . .) before each meeting or hearing."[208] On Monday, June 10, 2019, at 5:48 p.m., Chairman Cummings noticed a business meeting for Wednesday, June 12, 2019, at 10:00 a.m. to consider the contempt citation. He distributed the business meeting's agenda at the same time. Pursuant to Rule 2(f), however, the memorandum for the business meeting scheduled for Wednesday, June 12 should have been distributed no later than Friday, June 7.[209]

On June 11, 2019, Ranking Member Jordan wrote to Chairman Cummings to alert him that the delayed agenda had violated Committee rules and called into question the legal sufficiency of the contempt proceeding.[210]

On June 12, 2019, Chairman Cummings responded to Ranking Member Jordan, offering for the first time a new interpretation of Rule 2(f) in which the three days period under Rule 2(f) would "includ[e] the day on which the notice is sent and the day on which the business meeting is scheduled to occur."[211] The Chairman noted that the Committee modified Rule 2(f) at the beginning of the 116th Congress, changing the rule's wording from "at least 72 hours before each meeting or hearing" to "at least three calendar days . . . before each meeting or hearing."[212] Chairman Cummings wrote that the Committee made this change to "conform the Committee's rules to the rules of the House" regarding hearing notice.[213] As such, Chairman Cummings concluded, the memorandum was sufficiently noticed.

Chairman Cummings's explanation is unpersuasive in two respects. First, if the Committee intended to amend Rule 2(f) to confirm to the rules of the House, the Committee could have adopted *verbatim* the language found in the rules of the House. The Committee did not, choosing instead to adopt different language for Rule 2(f). Second, in explaining the justification for the change to Rule 2(f) at the beginning of the 116th Congress, Chairman Cummings specified then that the change was intended to provide "more advance notice for hearing memos."[214] Yet, the Chairman's interpretation as articulated on June 12 would actually provide *less* notice—effectively two days—than what was required before the change.

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[208] H. Comm. on Oversight & Reform R. 2(f) (emphasis added). This requirement is separate from the notice requirement under Committee Rule 2 (e). *Id.* at R. 2(e) (citing House of Representatives R. XI, cl. 2(g)(3)(A)). Rule 2(e) incorporates House Rule XI, clause 2(g)(3)(A), which states that a committee meeting "may not commence earlier than the third calendar day (excluding Saturdays, Sundays, and legal holidays . . .) on which members have notice thereof." House of Representatives R. XI, cl. 2 (g)(3)(A)(ii) (emphasis added).

[209] This timing has been the Committee's practice. *See e.g.*, Business Meeting of the H. Comm. on Oversight & Reform, 116th Cong. (May 8, 2019) (memorandum distributed May 3, 2019); Business Meeting of the H. Comm. on Oversight & Gov't Reform, 115th Cong. (Sept. 27, 2018) (memorandum distributed September 24, 2018); Business Meeting of the H. Comm. on Oversight & Gov't Reform, 115th Cong. (July 17, 2018) (memorandum distributed July 12, 2018); Business Meeting of the H. Comm. on Oversight & Gov't Reform, 115th Cong. (May 23, 2018) (memorandum distributed May 18, 2018); Business Meeting of the H. Comm. on Oversight & Gov't Reform, 115th Cong. (Mar. 15, 2018) (memorandum distributed March 12, 2018); Business Meeting of the H. Comm. on Oversight & Gov't Reform, 115th Cong. (Feb. 6, 2018) (memorandum distributed February 1, 2018).

[210] Letter from Rep. Jim Jordan, Ranking Member, H. Comm. on Oversight & Reform, to Rep. Elijah E. Cummings, Chairman, H. Comm. on Oversight & Reform (Jun. 11, 2019).

[211] Letter from Rep. Elijah E. Cummings, Chairman, H. Comm. on Oversight & Reform, to Rep. Jim Jordan, Ranking Member, H. Comm. on Oversight & Reform (Jun. 12, 2019).

[212] *Id.*

[213] *Id.* (citing House Rule XI, clause 2(g)(3)(A)).

[214] Business Meeting of the H. Comm. on Oversight & Reform, 116th Cong., 13 (Jan. 29, 2019) (statement of Chairman Elijah E. Cummings).

In the Majority's haste to manufacture a controversy around the citizenship question, the Committee violated its rules by failing to distribute the memorandum "at least three calendar days . . . before" the meeting. Because the Majority declined to postpone the business meeting to cure this procedural defect, this defect calls into question the legal sufficiency of the contempt proceeding.

XI. Conclusion

The Committee's contempt citation will only harm the Committee's investigation into the citizenship question. By taking this step, the Majority has all but shut the door on obtaining the information it seeks. The Majority has chosen conflict over compromise.

A careful examination of the record before the Committee and publicly available information does not support contempt at this time. A question soliciting citizenship information has appeared on the census in one form or another since 1820. Federal and state agencies request citizenship information regularly for a variety of legitimate purposes. Other countries solicit citizenship information in their population censuses—a practice that the United Nations recommends as a best practice. Most importantly, any citizenship information obtained during the census is protected by federal law and cannot be used for any improper purpose.

Although the Majority resorts to conspiracy theories to delegitimize the reinstitution of a citizenship question on the census, these conspiracies are not supported by the facts of the Committee's investigation. The Committee has received testimony from several Administration officials to date showing that there was no direction from the White House to add a citizenship question to the census. In addition, several witness with firsthand knowledge of the decision-making process testified that they had no knowledge of a study—or its author—alleged to be the keystone in the nefarious conspiracy.

The Majority simply does not want to know the number of citizens present in the United States of America. Rather than attempt to legislate on the citizenship question, the Committee is using its oversight authority to create a controversy in the hopes of influencing the Supreme Court's imminent decision on the issue. For all the reasons set forth in these minority views, the Committee's contempt citation is unnecessary, premature, and designed merely to advance partisan political goals.

JIM JORDAN
Ranking Member

Democrats' Investigation of the Citizenship Question: A Transparent Attempt to Improperly Influence the Supreme Court of the United States

Minority Staff Report
Committee on Oversight and Reform
U.S. House of Representatives

April 2, 2019

Executive Summary

Democrats do not want to know how many citizens there are in the United States. Although the Census Bureau has sought citizenship information regularly in the past, Democrats now fear that a full survey of U.S. citizens will hurt their political fortunes for years to come. Liberal state attorneys general and left-wing special interests have sued the Commerce Department to prevent the Census Bureau from reinstating a citizenship question on the 2020 Census. The case is now before the United States Supreme Court, which will hear arguments later this month.

Chairman Elijah Cummings and Democrats on the Oversight and Reform Committee are now interfering with the Supreme Court's proceedings in favor of the liberal special interests. They are seeking to conduct extra-judicial fact-finding about the Commerce Department's decision to reinstate the citizenship question on the decennial census. After the Supreme Court stopped a deposition with Commerce Secretary Wilbur Ross, Chairman Cummings demanded that Secretary Ross appear before the Committee under oath to testify directly on the issues before the Supreme Court. Chairman Cummings is demanding additional documents and testimony from key Commerce Department officials.

Chairman Cummings is pursuing this oversight in a transparent attempt to interfere with the ongoing litigation over the citizenship issue, at the Supreme Court and in lower courts. At the Committee's hearing, the Democrats sought to examine Secretary Ross's intent behind reinstating the citizenship question. Chairman Cummings asked Secretary Ross about his "interest" in reinstating the citizenship question to the census; Rep. Mark DeSaulnier asked *why* Secretary Ross reinstated the citizenship question; and Rep. Jamie Raskin asked Secretary Ross about the Supreme Court's interpretation of the citizenship question. Rep. Jimmy Gomez even admitted that the Democrats seek this information so that "the courts can use" it in the ongoing litigation.

In fact, in a recent letter to Secretary Ross, Chairman Cummings explicitly explained that he is seeking Commerce Department documents and testimony to discover "contemporaneous evidence of the real reason that you [Secretary Ross] added the citizenship question and the process you followed."[1] This is exactly the issue currently before the Supreme Court.

By interfering in ongoing litigation, Chairman Cummings is doing the very thing that he warned against just eight years ago during the Obama Administration. He said then that an "ongoing legal proceeding should be allowed to take its full course without any further interference from Members of Congress."[2] Outside experts—including both Republican and Democrat Justice Department officials—caution against using the Committee's power to interfere with court proceedings.

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[1] Letter to Hon. Wilbur Ross, Secretary, Dep't of Commerce, from Rep. Elijah Cummings, Chairman, H. Comm. on Oversight & Reform (Mar. 29, 2019) (on file with Committee).

[2] Letter from Rep. Elijah Cummings, Ranking Member, H. Comm. on Oversight & Gov't Reform, to Rep. Darrell Issa, Chairman, H. Comm. on Oversight & Gov't Reform (Nov. 9, 2011) (on file with Committee.)

Chairman Cummings's investigation of the Commerce Department's reinstatement of the citizenship question on the census is just another example of his partisan oversight of the Trump Administration. Chairman Cummings and left-wing special interests are desperate to prevent anyone from knowing the number of citizens in the United States. They see interfering with the Supreme Court's ongoing litigation as their last best chance, and Chairman Cummings and the Democrats are willing to influence the Court by any means necessary.

Background

The Road to the Supreme Court

On March 26, 2018, Commerce Secretary Wilbur Ross announced his intention to reinstate a question regarding citizenship on the 2020 Census.[3] On March 29, 2018, the Census Bureau presented the 2020 Census questions to Congress, including the question regarding citizenship.[4]

Reaction to Secretary Ross's decision was swift. Democrats in Congress, liberal states, and left-wing special interest groups decried the decision, arguing it would depress responses in states with large immigrant populations and lead to an inaccurate population count.[5] Almost immediately, multiple lawsuits were filed challenging Secretary Ross's decision. The first lawsuit to be decided by the lower courts was *State of New York, et al. v. U.S. Department of Commerce, et al.*

Judge Jesse Furman, an Obama appointee, presided over this case and initially authorized the deposition of Secretary Ross.[6] On October 22, 2018, however, the Supreme Court rebuked Judge Furman, issuing a stay to halt the deposition of Secretary Ross.[7] In a concurring statement, Justices Neil Gorsuch and Clarence Thomas questioned the lower court's determination that Secretary Ross had demonstrated bad faith in deciding to reinstate a citizenship question to the Census. The Justices wrote:

> But there's nothing unusual about a new cabinet secretary coming to office inclined to favor a different policy direction, soliciting support from other agencies to bolster his views, disagreeing with staff, or cutting through red tape. Of course, some people may disagree with the policy and process. But until now, at least, this

[3] Letter from Secretary Wilbur Ross, Department of Commerce, to Karen Dunn Kelley, Undersecretary for Economic Affairs, Department of Commerce (March 26, 2018).
[4] Questions Planned for the 2020 Census and American Community Survey: Federal Legislative Programs and Uses, U.S. Census Bureau (March 2018).
[5] Letter from The Leadership Conference on Civil and Human Rights, et. al. to Wilbur Ross, Secretary, U.S. Dep't of Commerce (January 10, 2018).
[6] Order re: Deposition of Secretary of Commerce Wilbur Ross, New York v. U.S. Dep't of Commerce, 315 F.Supp.3d 766 (S.D.N.Y. 2018) (No. 18-CV-2921).
[7] In re Department of Commerce, et al. on Application for Stay at 2, U.S. Dep't of Commerce, et al. v. State of New York, et al., 586 U.S. (2018) (No. 18A375).

much has never been thought enough to justify a claim of bad faith and launch an inquisition into a cabinet secretary's motives.[8]

On January 15, Judge Furman issued his ruling in *Department of Commerce*. Judge Furman held that Secretary Ross violated the Administrative Procedure Act (APA) in adding a citizenship question to the 2020 Census questionnaire. Given the immediacy of the 2020 Census timeline, the Department of Justice appealed the decision directly to the Supreme Court of the United States, which agreed to hear the case. The Court agreed to hear the case on February 15, 2019.[9]

Democrats Seek the Same Information at Issue in the Supreme Court Litigation

The United States Supreme Court scheduled oral argument in *Department of Commerce* on April 23, 2019, to review Judge Furman's decision.[10] On March 15, 2019, at the request of the Trump Administration, the Supreme Court expanded the scope of oral arguments to include the constitutional challenge to the Enumeration Clause of the Constitution, Article I, Section 2, Clause 3.[11] The constitutional challenge to the Enumeration Clause is at issue in another case about the reinstatement of the citizenship question, *State of California, et al. v. Ross et al.*[12]

Under Chairman Cummings, the Democrats initiated a partisan inquiry into Secretary Ross's decision to add the citizenship question to the 2020 Census. Chairman Cummings is using the authority of the Committee to gather documentary and testimonial evidence at the heart of the case before the Supreme Court. One Democrat Member of the Committee even proclaimed that the Committee's oversight was intended to "reveal something that the courts can use" in the litigation.[13]

At issue before the Supreme Court is whether Secretary Ross's mental intent is necessary to determine the validity of his decision to reinstate the citizenship question when the Secretary had already memorialized the reasons for his decisions in writing.[14] The parties challenging the reinstatement of the citizenship question want to probe the Secretary's "mental processes." These parties even tried to depose Secretary Ross before the Supreme Court stopped it. Unfortunately, Chairman Cummings now seeks the same information from Secretary Ross.

On January 8, 2019, even before the Committee organized for the 116th Congress, Chairman Cummings wrote to Secretary Ross requesting documents.[15] He asked Secretary Ross for six broad categories of documents, as well as answers to fourteen questions about the

[8] *Id.*
[9] Certiorari Granted, U.S. Dep't of Commerce, et al. v. State of New York, et al., 586 U.S. (2019).
[10] State of New York, et al. v. U.S. Dep't of Commerce, et al., No. 18-CV-2921 (S.D.N.Y. Jan. 15, 2019).
[11] U.S. CONST. art. I, § 2, cl. iii.
[12] California v. Ross, No. 18-cv-01865-RS (N.D. Cal. 2018).
[13] Hansi Lo Wang, Commerce Secretary to Face Lawmakers in Hearing on Census Citizenship Question, Nat'l Pub. Radio, Mar. 14, 2019.
[14] Petition for a Writ of Certiorari Before Judgment, U.S. Dep't of Commerce, et al. v. State of New York, et al., 586 U.S. (2019).
[15] Letter from Elijah E. Cummings, Chairman, H. Comm. on Oversight & Reform, to Wilbur L. Ross, Jr., Sec'y, Dep't of Commerce (Jan. 8, 2019).

addition of the citizenship question to the census.[16] Chairman Cummings posed several questions that probed Secretary Ross's actions and state of mind at the time that he decided to reinstate the citizenship question on the 2020 Census.[17]

On March 14, 2019, Chairman Cummings convened a hearing featuring sworn testimony from Secretary Ross about the 2020 decennial census and the reinstatement of a citizenship question.[18] In light of the Supreme Court's decision to stay Secretary Ross's deposition, demanding Secretary Ross's sworn testimony is in effect an end-run around the Supreme Court's stay order. Secretary Ross appeared voluntarily before the Committee knowing Chairman Cummings would issue a subpoena for his appearance.[19]

At the outset of the hearing, Chairman Cummings characterized the purpose of the hearing to "examine Secretary Ross's decision" to reinstate the question and noted that he expected Secretary Ross to testify fully on these issues.[20] The Democrats posed questions to Secretary Ross designed to litigate the merits of the citizenship question and probe Secretary Ross's intent in reinstating the question.[21] For example:

- Chairman Cummings (D-MD) asked Secretary Ross about his "interest" in reinstating the citizenship question;[22]
- Rep. Raskin (D-MD) asked Secretary Ross if there is "anything that you would tell [the Committee] that would somehow alter the Supreme Court's interpretation of whether or not your judgment to add the citizenship question is constitutional";[23]
- Rep. DeSaulnier (D-CA) asked Secretary Ross *why* he requested an internal Commerce Department memorandum about reinstating the citizenship question;[24]
- Rep. Tlaib (D-MI) and Rep. Pressley (D-MA) asked Secretary Ross about his communications with other Administration officials about reinstating the citizenship question;[25] and
- Rep. Gomez (D-CA) asked Secretary Ross whether he had any communications with the White House about reinstating the citizenship question.[26]

In his concluding remarks, Chairman Cummings again complained about Secretary Ross's reluctance to answer questions that involved information related to pending litigation before the Supreme Court:

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[16] *Id.*
[17] *Id.*
[18] *Commerce Secretary Wilbur L. Ross, Jr.: Hearing Before the H. Comm on Oversight and Reform*, 116th Congress (March 14, 2019).
[19] Letter from Elijah E. Cummings, Chairman, H. Comm. on Oversight & Reform to Wilbur Ross, Secretary, U.S. Department of Commerce (Mar. 6, 2019) (on file with the Committee).
[20] *Commerce Secretary Wilbur L. Ross, Jr.: Hearing Before the H. Comm on Oversight and Reform*, 116th Congress, 29 (2019) (statement of Chairman Elijah E. Cummings).
[21] *Id.*
[22] *Id.*
[23] *Id.*
[24] *Id.*
[25] *Id.*
[26] *Id.*

> ***But today when I heard your testimony, I felt like you were trying to pull a fast one on me. I've got to be honest with you, man. You went back to the old argument about ongoing litigation.*** I was a little disappointed . . . . And let me make this clear so that there would be absolutely no doubt, Mr. Secretary. This committee does not accept the argument that you can withhold documents or testimony from us because you have other separate litigation. *(emphasis added).*[27]

Republican members of the Committee noted the Democrats' obvious motives to elicit testimony at the heart of the Supreme Court litigation. Rep. Greg Steube (R-FL) explained:

> **Mr. Steube.** Procedurally, Mr. Secretary, isn't it true that this issue and related issues, as you have previously testified, are currently before the U.S. Supreme Court in the Department of Commerce v. State of New York?
>
> **Secretary Ross.** Yes. Yes, sir. The issue is before the Supreme Court. It's also pending in a couple of lower courts at this time.
>
> **Mr. Steube.** And isn't it also true that on October 22, 2018, the Supreme Court issued a stay granting the administration's request to halt your deposition as requested by the plaintiffs?
>
> **Secretary Ross.** That is correct, sir.
>
> **Mr. Steube.** So the U.S. Supreme Court has stayed your deposition, yet we are here today deposing you under oath where the rules of evidence and the civil procedure do not apply. Is that correct?
>
> **Secretary Ross.** I am here voluntarily, and I am here under oath today, yes, sir.
>
> **Mr. Steube.** The very issue before the court is to your intent on placing this question on the form, and all of Mr. Cummings' questions and the previous members' questions were directly trying to elicit answers to those very questions that are before the court. Is that correct?
>
> **Secretary Ross.** Yes, sir.[28]

Similarly, Rep. Kelly Armstrong (R-ND) succinctly noted the inherent difficulties that are implicated when a high-ranking Executive Branch official is called by a congressional committee to provide sworn testimony on a matter currently pending in federal court:

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[27] *Id.* 204.
[28] *Id.*

> [A]nything that is being done here today under oath is going to be more than free game in front of oral arguments . . . . ***Anything provided to a congressional inquiry at that point in time is going to end up into the federal case.*** That is just the way it is going to happen. So whenever lawsuits are filed, there is a competing interest between what is going to be discoverable in a federal courtroom and what is being requested in front of a congressional hearing (emphasis added).[29]

As the Republican Members pointed out, it is entirely foreseeable—and, in fact, likely—that Secretary Ross's sworn testimony before the Committee could be used against the Commerce Department in the pending litigation. Although Congress is not prohibited from holding hearings on matters that are currently involved in litigation, the decision to do so does carry with it the potential to jeopardize the impartiality of the judicial proceedings and is a purely political decision on the part of the majority—in this case, a decision of the Democrats to influence the Supreme Court.[30]

Democrats Should Not Interfere with Ongoing Litigation, Especially at the Supreme Court

Chairman Cummings and Democrats on the Committee are pursuing information from Secretary Ross because they believe that they can use it to influence the Supreme Court. The Chairman should know better than to interfere with pending litigation. After all, when Chairman Cummings was in the minority, he advised against it.

Outside experts agree that Chairman Cummings should not force Secretary Ross to disclose information at issue in the Supreme Court litigation.[31] As former Justice Department official Hans von Spakovsky wrote, "with civil litigation over [the citizenship issue] now before the Supreme Court, the House committee should cancel the hearing in recognition of the fact that having Ross testify is inappropriate and could, as the Justice Department has recognized in the past, jeopardize the government's litigation."[32] Mr. von Spakovsky cited long-standing Justice Department guidance warning that congressional interference would harm the government's litigation position.[33]

Going back as far as the Clinton Administration, the Justice Department has maintained a practice of protecting federal government materials that are the subject of pending or ongoing litigation. In 2000, then-Assistant Attorney General Robert Raben highlighted the importance of protecting information that may be used in litigation against the federal government. Raben wrote:

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[29] *Id.*
[30] *Id.*
[31] Hans A. von Spakovsky, *Why the Commerce Secretary Shouldn't Testify to Lawmakers About the Census* (Mar. 12, 2019), https://www.heritage.org/political-process/commentary/why-the-commerce-secretary-shouldnt-testify-lawmakers-about-the-census.
[32] *Id.*
[33] *Id.*

> The Department has similar interests in the confidentiality of internal documents relating to its representation of the United States in civil litigation. Our litigation files usually contain confidential correspondence with client agencies as well as the work product of our attorneys in suits that frequently seek millions of tax dollars. They also contain 'road maps' of our litigation plans and preparations, as well as confidential reports from exports and consultants. *Those plans could be seriously jeopardized and our positions in litigation compromised if we are obliged to disclose our internal deliberations including, but not limited to, our assessments of the strengths and weaknesses of evidence or the law, before they are presented in court.* That may result in an unfair advantage to those who seek public funds and deprive the taxpayers of confidential representation enjoyed by other litigants (emphasis added).[34]

While Assistant Attorney General Raben stressed the need for the Executive Branch to protect information that may be the subject of pending litigation, he did not suggest the Legislative and Executive Branches must consistently be at odds with one another. The federal courts and the Department of Justice have regularly indicated Congress and the Executive Branch must strive to accommodate the "legitimate needs of the other branch."[35]

Ironically, Chairman Cummings previously chided Republicans for pursuing investigations while litigation was pending. But unlike Chairman Cummings, the issues involved at the time did not involve seeking information from a cabinet official to influence a Supreme Court case.

In 2011, the Committee, under former Chairman Darrell Issa, launched an investigation into the National Labor Relations Board's (NLRB) treatment of Boeing and its corporate decision to move some production facilities to South Carolina. Committee Democrats sent no less than three letters to former Chairman Issa asking the investigation be suspended pending the conclusion of litigation.

On June 16, 2011, then-Ranking Member Elijah Cummings sent a letter condemning former Chairman Issa for inviting then NLRB Acting General Counsel, Lafe Solomon to testify. Ranking Member Cummings wore:

> But it is the Committee's concern, and it is the concern of all Members of Congress that we conduct ourselves in a manner that upholds the Constitution. Recognizing the risk of interference, as well as the risk of the appearance of interference, a responsible

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[34] Assistant Attorney General Robert Raben, U.S. Department of Justice, Office of Legislative Affairs, Memorandum to the Honorable John Linder, 4-5 (2000).

[35] Opinion of the Attorney General for the President, Assertion of Executive Privilege in Response to a Congressional Subpoena, 5 Op. O.L.C. 27, 31 (1981).

> chairman would take care to minimize these risks. *Rather than creating a new basis for appealing any final agency decision, increasing uncertainty, and shifting the costs of your interference onto private parties, the Committee should wait until the case is no longer pending before calling the chief prosecutor to testify at a hearing about that case* (emphasis added).[36]

In a letter dated, November 9, 2011, then-Ranking Member Cummings wrote:

> As I have said repeatedly, I believe it is an inappropriate use of Committee resources to interfere with this ongoing legal action in order to benefit the corporate interests of a single company. . . . *The ongoing legal proceeding should be allowed to take its full course without any further interference from Members of Congress (emphasis added).*[37]

Also in 2011, during the Committee's investigation of the botched Fast and Furious gun-walking operation, then-Ranking Member Cummings warned that the Committee should not interfere with ongoing legal processes. On June 13, 2011, Ranking Member Cummings wrote:

> The challenge is that when congressional committees embark on investigations while ongoing prosecutions are pending, there is a dangerous potential to compromise criminal prosecutions, especially if a committee is reckless and does not consult with the Department. *For these reasons, many congressional committees defer investigations until after prosecutions are complete.* (emphasis added).[38]

Chairman Cummings ought to consider the advice he gave in 2011, as well as the Clinton Administration guidance, that cautions against congressional interference in ongoing litigation. Forcing Secretary Ross and Commerce Department to produce information and material at issue in the Supreme Court litigation seriously risks the integrity of the ongoing litigation and is an inappropriate use of Committee resources.

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[36] Letter from Elijah Cummings, Ranking Member, H. Comm. on Oversight and Gov't Reform and George Miller, Ranking Member, H. Comm. on Ed. and Workforce, to Darrell E. Issa, Chairman, H. Comm. on Oversight and Gov't Reform (June 16, 2011) available at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/2011-06-16.GM%20and%20EEC%20Letter%20to%20Issa.NLRB__0.pdf.

[37] Letter from Elijah E. Cummings, Ranking Member, H. Comm. on Oversight and Gov't Reform, to Darrell E. Issa, Chairman, H. Comm. on Oversight and Gov't Reform (November 9, 2011) available at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/2011-11-09.EEC%20to%20Issa.Boeing-NLRB.pdf.

[38] Letter from Elijah E. Cummings, Ranking Member, H. Comm on Oversight and Gov't Reform, to Darrell E Issa, Chairman, H. Comm on Oversight and Gov't Reform (June 13, 2011) available at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/EEC%20to%20Issa%2006-13-11.pdf.

Conclusion

The Oversight and Reform Committee should not use its limited resources to interfere directly in matter on appeal before the United States Supreme Court. The fact that Chairman Cummings is eager to do so—in the face of his prior statements counseling against such actions—shows just how desperate the Democrats are to prevent the Census Bureau from soliciting citizenship information.

The Democrats do not want anyone—the Census Bureau, Congress, or the American public—to know with accuracy the number of United States citizens in the country. A majority of Democrats in the House of Representatives support non-citizens voting in U.S. elections.[39] It seems rather apparent, therefore, that Democrats in the House hope to prevent the Census Bureau from asking about citizenship to increase the number of non-citizens voting in elections.

Chairman Cummings's decision to use Committee resources to interfere so directly in the Supreme Court's proceedings is another example of partisan, improper investigations into the Trump Administration.

[39] H.R. 1, 116th Cong., Motion to Recommit offered by Rep. Dan Crenshaw, Cong. Record March 8, 2019 H2600-H2602.

Appendices

Congress of the United States
Washington, DC 20515

January 8, 2019

The Honorable Wilbur L. Ross, Jr.
Secretary
U.S. Department of Commerce
1401 Constitution Avenue N.W.
Washington, D.C. 20230

Dear Secretary Ross:

The Committee on Oversight and Reform is seeking your testimony regarding the ongoing preparations for the 2020 Census and your decision to add a citizenship question—despite warnings from the Census Bureau that it could seriously harm the accuracy of the count.

The Committee also has serious concerns about new evidence, including emails and a supplemental memorandum you submitted in ongoing litigation in this matter, indicating that you orchestrated the addition of the citizenship question before any request was made by the Department of Justice (DOJ). This evidence appears to contradict your previous testimony to Congress.

Over the past three weeks, my staff have repeatedly tried to communicate with your office about a date in January or February on which you would be available to testify. I asked my staff to work with your office to identify a date that would work with your schedule, but your staff declined to identify any day on which you would be willing to appear.

Recently, your staff indicated that you would not testify until the government shutdown ends. This response is problematic for two reasons. First, President Trump indicated last week that the shutdown could last for "years." The Trump Administration may not use the President's own actions in causing the shutdown—and extending it—to avoid oversight by Congress, which is one of our core responsibilities under the Constitution. Second, the current partial government shutdown does not apply to the Census Bureau, which is funded and operating.

Yesterday, you were asked during an interview whether you would agree to appear before the Committee at my request. You indicated that you would, stating: "We feel like we have nothing to hide, so we will deal with all of his questions."[1]

For these reasons, I am writing to request that you testify before the Committee on February 12, 2019. If you have a conflict on that date that cannot be resolved, please contact my staff to arrange an alternate date for your testimony.

[1] *Squawk Box*, CNBC (Jan. 7, 2019) (online at www.cnbc.com/video/2019/01/07/secretary-ross-addresses-allegations-of-misleading-testimony.html).

Request for Documents

In addition, I request that you finally comply with the previous request for documents that I made with Representative Carolyn Maloney and other Members of the Oversight Committee on April 4, 2018.[2] Specifically, please provide the following documents to the Committee:

1. All documents and communications relating to any concerns expressed by the Census Bureau regarding the addition of a citizenship question to the 2020 Census;

2. All analyses, including drafts, relating to the potential impact that adding a citizenship question would have on response rates;

3. All communications between or among officials from the Department of Commerce, the Census Bureau, and any other office or entity inside or outside of the government regarding the addition of a citizenship question; and

4. All documents, communications, and analyses relating to cost increases that could result from the addition of a citizenship question.

In addition to producing these previously-requested documents, I ask that you provide the following documents regarding the Census' budget and timing:

5. All documents and communications relating to any 2020 Census program or testing that has been cancelled, delayed, or modified due to budget constraints; and

6. All documents and communications relating to concerns raised by the Department or the Census Bureau regarding budget constraints for the 2020 Census.

Requests for Information

Finally, I request that you provide answers to the questions that were sent to you by me, Representative Maloney, and more than 40 Members of Congress on June 28, 2018, and August 3, 2018.[3] Specifically, please provide answers to the following questions:

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[2] Letter from Ranking Member Elijah E. Cummings, Rep. Carolyn B. Maloney et al., House Committee on Oversight and Government Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce, and Acting Director Ron Jarmin, Ph.D., Census Bureau (Apr. 4, 2018) (online at https://democrats-oversight.house.gov/sites/democrats.oversight.house.gov/files/2018-04-04.%20EEC%20Maloney%20Norton%20Clay%20Connolly%20%26%20Gomez%20to%20Commerce%20re.Cens_....pdf).

[3] Letter from Rep. Carolyn Maloney et al., to Secretary Wilbur L. Ross, Jr., Department of Commerce (June 28, 2018) (online at https://democrats-oversight.house.gov/sites/democrats.oversight.house.gov/files/2018-06-28.EEC%20et%20al%20to%20Ross-DOC%20re%202020%20Census%20Citizenship%20Question.pdf); Letter from Rep. Carolyn Maloney et al., to Secretary Wilbur L. Ross, Jr., Department of Commerce (Aug. 3, 2018)

1. Who were the other senior Administration officials who proposed adding a citizenship question?

2. Who did you consult with, both inside or outside the Administration, about the addition of a citizenship question and when did these discussions take place?

3. Why did you testify before the House Ways and Means Committee on March 22, 2018, that DOJ had "initiated the request" for a citizenship question when your supplemental memo clearly states that you initiated that discussion with DOJ?

4. Did the rationale for the citizenship question being necessary for enforcement of the Voting Rights Act originate with the Department of Commerce or the Department of Justice?

5. When did you first begin considering adding a citizenship question to the 2020 Census? Who or what prompted you to begin this consideration?

6. When did you decide that a citizenship question should be added to the 2020 Census? Why did you come to that decision?

7. When did you first request that the Census Bureau include a citizenship question and to whom did you request this?

8. Did you discuss adding a citizenship question to the 2020 Census with any Trump Administration, Trump transition, or Trump campaign officials before you were nominated to be Secretary? If so, who did you speak to and what was the nature of the conversation?

9. Did you discuss or seek advice from past Census Bureau Directors about the impact that a citizenship question could have on the accuracy of the Census? If so, who?

10. Why did you and your staff believe it was necessary to have the Department of Justice request that the Bureau add a citizenship question? Why did you contact the Department of Homeland Security about a potential request and why did they deem the Justice Department to be in a better position to assist with your request?

11. When did the Department of Commerce begin working with the Department of Justice to request that a citizenship question be added to the census? Who was involved in this process? Were officials from the White House a part of the process? If so, who?

(online at https://democrats-oversight.house.gov/sites/democrats.oversight.house.gov/files/2018%200803%20Letter%20to%20Secretary%20Ross.pdf).

12. Why did you repeatedly tell Congress, under oath, that the request for a citizenship question was initiated by the Department of Justice when your own emails show that you initiated the request?

13. Why did you provide a supplemental memo to the court on June 21, 2018, contradicting your testimony to Congress? Why did you not disclose these facts to Congress before the document was publicly released?

14. Please name all past and present senior administration officials with whom you discussed the idea of adding a citizenship question to the 2020 Census.

Please provide the documents requested above and the answers to the questions above by January 22, 2019.

The Committee on Oversight and Reform is the principal oversight committee of the House of Representatives and has broad authority to investigate "any matter" at "any time" under House Rule X.

An attachment to this letter provides additional instructions for responding to this request. If you have any questions, please contact my staff at (202) 225-5051.

Sincerely,



Elijah E. Cummings
Chairman
Committee on Oversight and Reform

Enclosure

cc: The Honorable Jim Jordan, Ranking Member

UNITED STATES DEPARTMENT OF COMMERCE
Office of Legislative and Intergovernmental Affairs
Washington, D.C. 20230

January 11, 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, D.C. 20515

Dear Representative Cummings,

Thank you for your January 8, 2019 letter regarding Secretary Wilbur Ross's decision to reinstate a citizenship question on the 2020 Census, which was announced in his March 26, 2018 Decision Memorandum. As you know, the Secretary shares your goal of ensuring a complete and accurate 2020 Census, has worked tirelessly to that end, and appreciates the opportunity to address your concerns.

In your correspondence, you mentioned several letters from 2018 you believe the Department did not answer. I look forward to working with your staff on this issue, because it is my understanding that we fully responded to those letters.

I also look forward to providing responses to your requests for documents and information; however, the staff and resources necessary to respond to your requests are currently unavailable due to the ongoing partial lapse in appropriations. This includes Census Bureau staff and resources that will be reassigned to this task upon the partial shutdown's resolution. I will, however, work with excepted Department employees who can be approved to work on this project and will plan to provide you with a first installment of responsive documents by January 29, 2019.

Unfortunately, the Secretary is unable to appear before the Committee on February 12, 2019, or later in February due to preexisting international travel commitments for government business. As of this date, the Secretary can be available to appear before the Committee on March 14, 2019 or March 28, 2019, and my staff will work together with yours to confirm one of those dates as they draw nearer. However, I am confident that the documents and information you will receive will obviate any need for the Secretary to appear and testify on this topic.

We appreciate the opportunity to assist with your inquiry. If you have any additional questions, please contact me at 202-482-3663.

Sincerely,

Michael Platt Jr.
Assistant Secretary for Legislative
and Intergovernmental Affairs

ELIJAH E. CUMMINGS, MARYLAND
CHAIRMAN

ONE HUNDRED SIXTEENTH CONGRESS

JIM JORDAN, OHIO
RANKING MINORITY MEMBER

Congress of the United States
House of Representatives
COMMITTEE ON OVERSIGHT AND REFORM
2157 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–6143
MAJORITY (202) 225–5051
MINORITY (202) 225–5074
http://oversight.house.gov

February 12, 2019

Mr. Matthew G. Whitaker
Acting Attorney General
U.S. Department of Justice
950 Pennsylvania Avenue, N.W.
Washington, D.C. 20230

Dear Acting Attorney General Whitaker:

I am writing to request that the Department of Justice (DOJ) fully comply with a previous request for documents regarding DOJ's role in the Trump Administration's decision to add a citizenship question to the 2020 Decennial Census.

On May 1, 2018, I wrote to DOJ with Representative Carolyn Maloney and 17 other Members of the Committee requesting documents to "help understand the substance of DOJ's justification" for requesting the addition of a citizenship question to the 2020 Census and "the process by which its request was made."[1] DOJ has not produced any of the documents we requested more than nine months ago.

Our previous letter referred to a December 12, 2017, letter from DOJ that asked the Census Bureau to add a citizenship question to the 2020 Census and asserted that gathering citizenship data on the decennial census was "critical to the Department's enforcement of Section 2 of the Voting Rights Act."[2]

On March 20, 2018, Secretary of Commerce Wilber Ross testified before Congress about his decision to add the citizenship question to the 2020 Census, stating: "We are responding *solely* to the Department of Justice's request."[3]

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[1] Letter from Ranking Member Elijah E. Cummings, et al., Committee on Oversight and Government Reform, to John Gore, Acting Assistant Attorney General, Department of Justice (May 1, 2018) (online at https://maloney.house.gov/sites/maloney.house.gov/files/2018-05-01.%20Dem.Members%20to%20DOJ-Gore%20re.Citizenship%20Question-2020%20Decennial%20Census.pdf).

[2] Letter from Arthur E. Gary, General Counsel, Justice Management Division, Department of Justice, to Ron Jarmin, Acting Director, Census Bureau (Dec. 12, 2017) (online at www.documentcloud.org/documents/4340651-Text-of-Dec-2017-DOJ-letter-to-Census.html).

[3] House Committee on Appropriations, Subcommittee on Commerce, Justice, Science, and Related Agencies, *FY19 Budget Hearing: Department of Commerce* (Mar. 20, 2018) (emphasis added).

Since that time, new information has come to light that casts grave doubts on the veracity of Secretary Ross's testimony and assertions in the December 2017 letter from DOJ to the Census Bureau. Last month, a federal judge found that Secretary Ross violated the Administrative Procedures Act and other laws by adding the citizenship question to the Census, explaining:

> He failed to consider several important aspects of the problem; alternately ignored, cherry-picked, or badly misconstrued the evidence in the record before him; acted irrationally both in light of that evidence and his own stated decisional criteria; and failed to justify significant departures from past policies and practices—a veritable smorgasbord of classic, clear-cut APA violations.[4]

The Court also found that aides to Secretary Ross "fed DOJ with the rationale for the request" in the December 2017 letter and that there is "reason to doubt that DOJ *itself* believed the VRA rationale" put forward in that letter.[5]

The Court noted that Acting Assistant Attorney General Jon Gore, who drafted the letter, later admitted that "none of the DOJ components with principal responsibility for enforcing the VRA requested the addition of a citizenship question; instead, he drafted the letter solely in response to the Secretary's request."[6]

Please produce the following documents by February 26, 2019. Unless otherwise stated, please produce documents for the period from January 20, 2017, through the present:

1. All documents and communications relating or referring to the addition of a citizenship question to the census;

2. Documents and communications sufficient to show who was involved in this request and the role of each individual who was involved;

3. All documents and communications within the Department of Justice and with outside entities regarding the request to add a citizenship question to the census, including but not limited to the White House, the Commerce Department, the Republican National Committee, the Trump Campaign, or Members of Congress;

4. All documents and communications relating or referring to the need to add a citizenship question to the Census in order to enforce the Voting Rights Act;

5. A list of all instances in which the lack of a citizenship question on the Decennial census negatively impacted DOJ's Voting Rights Act enforcement efforts; and

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[4] *State of New York, et al., v. United States Department of Commerce, et al.* (Jan. 15, 2019) (online at www.brennancenter.org/sites/default/files/legal-work/2019-01-15-574-Findings%20Of%20Fact.pdf).

[5] *Id.* (emphasis in original).

[6] *Id.*

6. A list of all voting rights enforcement actions taken by the Department of Justice since January 20, 2017.

The Committee on Oversight and Reform is the principal oversight committee of the House of Representatives and has broad authority to investigate "any matter" at "any time" under House Rule X.

An attachment to this letter provides additional instructions for responding to this request. If you have any questions, please contact the Oversight Committee staff at (202) 225-5051.

Thank you for your attention to this matter.

Sincerely,

Elijah E. Cummings
Chairman

Enclosure

cc: The Honorable Jim Jordan, Ranking Member

Responding to Oversight Committee Document Requests

1. In complying with this request, produce all responsive documents that are in your possession, custody, or control, whether held by you or your past or present agents, employees, and representatives acting on your behalf. Produce all documents that you have a legal right to obtain, that you have a right to copy, or to which you have access, as well as documents that you have placed in the temporary possession, custody, or control of any third party.

2. Requested documents, and all documents reasonably related to the requested documents, should not be destroyed, altered, removed, transferred, or otherwise made inaccessible to the Committee.

3. In the event that any entity, organization, or individual denoted in this request is or has been known by any name other than that herein denoted, the request shall be read also to include that alternative identification.

4. The Committee's preference is to receive documents in electronic form (i.e., CD, memory stick, thumb drive, or secure file transfer) in lieu of paper productions.

5. Documents produced in electronic format should be organized, identified, and indexed electronically.

6. Electronic document productions should be prepared according to the following standards:

   a. The production should consist of single page Tagged Image File ("TIF"), files accompanied by a Concordance-format load file, an Opticon reference file, and a file defining the fields and character lengths of the load file.

   b. Document numbers in the load file should match document Bates numbers and TIF file names.

   c. If the production is completed through a series of multiple partial productions, field names and file order in all load files should match.

   d. All electronic documents produced to the Committee should include the following fields of metadata specific to each document, and no modifications should be made to the original metadata:

      BEGDOC, ENDDOC, TEXT, BEGATTACH, ENDATTACH, PAGECOUNT, CUSTODIAN, RECORDTYPE, DATE, TIME, SENTDATE, SENTTIME, BEGINDATE, BEGINTIME, ENDDATE, ENDTIME, AUTHOR, FROM, CC, TO, BCC, SUBJECT, TITLE, FILENAME, FILEEXT, FILESIZE, DATECREATED, TIMECREATED, DATELASTMOD, TIMELASTMOD,

INTMSGID, INTMSGHEADER, NATIVELINK, INTFILPATH, EXCEPTION, BEGATTACH.

7. Documents produced to the Committee should include an index describing the contents of the production. To the extent more than one CD, hard drive, memory stick, thumb drive, zip file, box, or folder is produced, each should contain an index describing its contents.

8. Documents produced in response to this request shall be produced together with copies of file labels, dividers, or identifying markers with which they were associated when the request was served.

9. When you produce documents, you should identify the paragraph(s) or request(s) in the Committee's letter to which the documents respond.

10. The fact that any other person or entity also possesses non-identical or identical copies of the same documents shall not be a basis to withhold any information.

11. The pendency of or potential for litigation shall not be a basis to withhold any information.

12. In accordance with 5 U.S.C.§ 552(d), the Freedom of Information Act (FOIA) and any statutory exemptions to FOIA shall not be a basis for withholding any information.

13. Pursuant to 5 U.S.C. § 552a(b)(9), the Privacy Act shall not be a basis for withholding information.

14. If compliance with the request cannot be made in full by the specified return date, compliance shall be made to the extent possible by that date. An explanation of why full compliance is not possible shall be provided along with any partial production.

15. In the event that a document is withheld on the basis of privilege, provide a privilege log containing the following information concerning any such document: (a) every privilege asserted; (b) the type of document; (c) the general subject matter; (d) the date, author, addressee, and any other recipient(s); (e) the relationship of the author and addressee to each other; and (f) the basis for the privilege(s) asserted.

16. If any document responsive to this request was, but no longer is, in your possession, custody, or control, identify the document (by date, author, subject, and recipients), and explain the circumstances under which the document ceased to be in your possession, custody, or control.

17. If a date or other descriptive detail set forth in this request referring to a document is inaccurate, but the actual date or other descriptive detail is known to you or is otherwise apparent from the context of the request, produce all documents that would be responsive as if the date or other descriptive detail were correct.

18. This request is continuing in nature and applies to any newly-discovered information. Any record, document, compilation of data, or information not produced because it has not been located or discovered by the return date shall be produced immediately upon subsequent location or discovery.

19. All documents shall be Bates-stamped sequentially and produced sequentially.

20. Two sets of each production shall be delivered, one set to the Majority Staff and one set to the Minority Staff. When documents are produced to the Committee, production sets shall be delivered to the Majority Staff in Room 2157 of the Rayburn House Office Building and the Minority Staff in Room 2105 of the Rayburn House Office Building.

21. Upon completion of the production, submit a written certification, signed by you or your counsel, stating that: (1) a diligent search has been completed of all documents in your possession, custody, or control that reasonably could contain responsive documents; and (2) all documents located during the search that are responsive have been produced to the Committee.

Definitions

1. The term "document" means any written, recorded, or graphic matter of any nature whatsoever, regardless of how recorded, and whether original or copy, including, but not limited to, the following: memoranda, reports, expense reports, books, manuals, instructions, financial reports, data, working papers, records, notes, letters, notices, confirmations, telegrams, receipts, appraisals, pamphlets, magazines, newspapers, prospectuses, communications, electronic mail (email), contracts, cables, notations of any type of conversation, telephone call, meeting or other inter-office or intra-office communication, bulletins, printed matter, computer printouts, teletypes, invoices, transcripts, diaries, analyses, returns, summaries, minutes, bills, accounts, estimates, projections, comparisons, messages, correspondence, press releases, circulars, financial statements, reviews, opinions, offers, studies and investigations, questionnaires and surveys, and work sheets (and all drafts, preliminary versions, alterations, modifications, revisions, changes, and amendments of any of the foregoing, as well as any attachments or appendices thereto), and graphic or oral records or representations of any kind (including without limitation, photographs, charts, graphs, microfiche, microfilm, videotape, recordings and motion pictures), and electronic, mechanical, and electric records or representations of any kind (including, without limitation, tapes, cassettes, disks, and recordings) and other written, printed, typed, or other graphic or recorded matter of any kind or nature, however produced or reproduced, and whether preserved in writing, film, tape, disk, videotape, or otherwise. A document bearing any notation not a part of the original text is to be considered a separate document. A draft or non-identical copy is a separate document within the meaning of this term.

2. The term "communication" means each manner or means of disclosure or exchange of information, regardless of means utilized, whether oral, electronic, by document or otherwise, and whether in a meeting, by telephone, facsimile, mail, releases, electronic

message including email (desktop or mobile device), text message, instant message, MMS or SMS message, message application, or otherwise.

3. The terms "and" and "or" shall be construed broadly and either conjunctively or disjunctively to bring within the scope of this request any information that might otherwise be construed to be outside its scope. The singular includes plural number, and vice versa. The masculine includes the feminine and neutral genders.

4. The term "including" shall be construed broadly to mean "including, but not limited to."

5. The term "Company" means the named legal entity as well as any units, firms, partnerships, associations, corporations, limited liability companies, trusts, subsidiaries, affiliates, divisions, departments, branches, joint ventures, proprietorships, syndicates, or other legal, business or government entities over which the named legal entity exercises control or in which the named entity has any ownership whatsoever.

6. The term "identify," when used in a question about individuals, means to provide the following information: (a) the individual's complete name and title; (b) the individual's business or personal address and phone number; and (c) any and all known aliases.

7. The term "related to" or "referring or relating to," with respect to any given subject, means anything that constitutes, contains, embodies, reflects, identifies, states, refers to, deals with, or is pertinent to that subject in any manner whatsoever.

8. The term "employee" means any past or present agent, borrowed employee, casual employee, consultant, contractor, de facto employee, detailee, fellow, independent contractor, intern, joint adventurer, loaned employee, officer, part-time employee, permanent employee, provisional employee, special government employee, subcontractor, or any other type of service provider.

9. The term "individual" means all natural persons and all persons or entities acting on their behalf.

ELIJAH E. CUMMINGS, MARYLAND
CHAIRMAN

ONE HUNDRED SIXTEENTH CONGRESS

JIM JORDAN, OHIO
RANKING MINORITY MEMBER

Congress of the United States
House of Representatives
COMMITTEE ON OVERSIGHT AND REFORM
2157 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–6143
MAJORITY (202) 225–5051
MINORITY (202) 225–5074
http://oversight.house.gov

February 14, 2019

Mr. John Gore
Principal Deputy Assistant Attorney General
U.S. Department of Justice
950 Pennsylvania Avenue, N.W.
Washington, D.C. 20230

Dear Principal Deputy Assistant Attorney General Gore:

The Committee on Oversight and Reform requests your appearance for a transcribed interview on Thursday, February 28, 2019, at 10:00 a.m., in room 6400 O'Neill House Office Building.

The transcribed interview will address the Department of Justice's request to the Census Bureau to add a citizenship question to the 2020 Decennial Census and other topics.

We ask that you contact the Committee by February 20, 2019, to confirm your attendance.

The Committee on Oversight and Reform is the principal oversight committee of the House of Representatives and has broad authority to investigate "any matter" at "any time" under House Rule X.

If you have any questions, please contact Committee staff at (202) 225-5051.

Sincerely,

Elijah E. Cummings
Chairman

cc: The Honorable Jim Jordan, Ranking Member

UNITED STATES DEPARTMENT OF COMMERCE
Office of Legislative and Intergovernmental Affairs
Washington, D.C. 20230

February 19, 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, D.C. 20515

Dear Representative Cummings,

Pursuant to my January 11, 2019 and January 29, 2019 responses to your January 8, 2019 letter regarding Secretary Wilbur Ross's decision to reinstate a citizenship question on the 2020 Census, enclosed please find approximately 4,315 pages of documents responsive to Document Requests 1 through 4, along with a privilege log.

I look forward to producing a third installment of the documents you requested on March 6, 2019. The Department and its staff are devoting substantial time and resources to be as cooperative and responsive as possible.

In your January 8 letter, you requested that the Secretary provide answers to the questions asked in your June 28, 2018 and August 3, 2018 letters. The Secretary responded to those letters and answered those questions (which are reprinted nearly verbatim[1] in your January 8 letter) in two letters dated December 21, 2018. For your convenience and ease of reference, I have enclosed the December 21 letters here.

I remain confident that the documents and information you are receiving will obviate any need for the Secretary to appear and testify on this topic. We appreciate the opportunity to assist with your inquiry. If you have any additional questions, please contact me at (202)-482-3663.

Sincerely,

Michael Platt Jr.
Assistant Secretary for Legislative
and Intergovernmental Affairs

[1] All the questions in your January 8, 2019 letter are verbatim restatements of the questions asked in your June 28, 2018 and August 3, 2018 letters, except for one. Question 11 in your January 8 letter corresponds to Question 7 in your August 3 letter. On August 3 you asked, "When did the Department of Commerce begin working with the Department of Justice to request that a citizenship question be added ***back*** to the Census?" (emphasis added). However, in your January 8 letter, you removed the word "back" from the otherwise identical question. Although the later form of your question less accurately describes the facts, the Secretary's December 21, 2018 letter is responsive to both versions of the question.

Cc:
The Honorable Jim Jordan
Ranking Member, Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, D.C. 20515

Enclosures:

1. December 21, 2019 letter from Secretary Ross to Representative Elijah Cummings
2. December 21, 2019 letter from Secretary Ross to Representative Elijah Cummings
3. Installment Number 2 of documents responsive to January 8, 2019 Letter from Chairman Elijah Cummings to Secretary Ross and Privilege Log

February 19, 2019 Letter from Secretary Wilbur Ross to Hon. Elijah Cummings

Enclosure 1



UNITED STATES DEPARTMENT OF COMMERCE
The Secretary of Commerce
Washington, D.C. 20230

December 21, 2018

The Honorable Elijah E. Cummings
U.S. House of Representatives
Washington, DC 20515

Dear Representative Cummings:

Thank you for your letter regarding my decision to reinstate a citizenship question on the 2020 Decennial Census questionnaire. I apologize for the delay in response. I appreciate your perspective on Census Bureau issues and the time you have taken to share your concerns. Ensuring a complete and accurate Decennial Census is one of my most important duties and remains one of my highest priorities.

As you know, the Department of Justice (DOJ) on December 12, 2017 formally requested that the Census Bureau reinstate the citizenship question on the Decennial Census. DOJ stated that reinstatement of the citizenship question on the Decennial Census questionnaire "would best enable the Department to protect all American citizens' voting rights under Section 2."[1] DOJ's request initiated my decision-making process, which entailed a comprehensive program, policy, and legal review. During that process, I maintained an open mind and I consulted with my staff, the Census Bureau, and various stakeholders[2] to evaluate and respond to the request. No officials from the White House were a part of this process. After considering the information provided to me during this process, I made the conclusions described within my March 26, 2018 decision memorandum[3] to reinstate the citizenship question. I directed my decision memorandum to the Under Secretary of Economic Affairs with instructions that the Census Bureau reinstate the question.[4]

Before receiving DOJ's formal request to reinstate the citizenship question, I and my staff discussed the concept with personnel at other federal departments.[5] As the Secretary of

[1] Letter from Art Gary, Department of Justice, to Ron Jarmin, Census Bureau (Dec. 12, 2017) at Administrative Record (AR) 663, http://osec.doc.gov/opog/FOIA/Documents/AR%20-%20FINAL%20FILED%20-%20ALL%20DOCS%20[CERTIFICATION-INDEX-DOCUMENTS]%206.8.18.pdf.
[2] *See* AR 763–1276.
[3] Decision Memorandum from Secretary Wilbur Ross on Reinstatement of a Citizenship Question on the 2020 Decennial Census Questionnaire (Mar. 26, 2018) at AR 1313–1320. Also available at https://www.commerce.gov/sites/default/files/2018-03-26_2.pdf/.
[4] *Id.* at 1320.
[5] Before receipt of the DOJ request in December 2017, my staff or I had discussions with federal government officials including Mary Blanche Hankey, James McHenry, Gene Hamilton, Danielle Cutrona, John Gore, and Jefferson Sessions. Moreover, Steven Bannon called in the Spring of 2017 to request that I speak with Kris Kobach

Commerce, I felt it important to explore such issues with my staff to ensure that the Department is fulfilling its mission to the American people. DOJ repeatedly requested inclusion of the citizenship question on the American Community Survey for Voting Rights Act purposes. Based on this experience, DOJ ultimately determined that it wanted more granular citizenship data.[6] Given that the Department of Commerce faced an April 1, 2018 statutory deadline to provide Congress with "a report containing the Secretary's determination of the questions proposed to be included" on the census questionnaire, 13 U.S.C. § 141(f)(2), I hoped to receive a definitive determination of non-interest or interest from DOJ as early in 2017 as possible.[7] The decision-making process and my ultimate conclusion that the question should be reinstated occurred only after and in response to DOJ's request.

My testimony to Congress has been truthful and candid. The questions to which I responded and the context of those conversations make clear that I was referring to my decision-making process and thorough review of DOJ's request – not informal and hypothetical discussions predating that request.

Thank you for your inquiry and I look forward to continuing to work with the Census Bureau and the Members of Congress to ensure a complete and accurate 2020 Decennial Census.

If you have further concerns or questions, please have your staff contact Michael Platt, Jr., Assistant Secretary for Legislative and Intergovernmental Affairs, at (202) 482-3663.

Sincerely,

Wilbur Ross

Wilbur Ross

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about the latter's ideas about including a citizenship question on the 2020 Decennial Census. Notably, my only decision in response to Mr. Kobach's ideas was my complete rejection of his proposed citizenship question configuration and the purposes motivating his preferred configuration. I have always been and will always be committed to counting everyone once, only once, and in the right place.

[6] Earl Comstock was referred to Gene Hamilton at the Department of Homeland Security (DHS) by Mr. McHenry at the Department of Justice (DOJ). However, Mr. Hamilton informed Mr. Comstock that DOJ – not DHS – was the federal agency that would most utilize the data obtained from asking a citizenship question on the Decennial Census.

[7] As stated in the document, itself, I issued my June 21, 2018 Supplemental Memorandum "to provide further background and context regarding my March 26, 2018, memorandum concerning the reinstatement of a citizenship question to the decennial census."

February 19, 2019 Letter from Secretary Wilbur Ross to Hon. Elijah Cummings

Enclosure 2



UNITED STATES DEPARTMENT OF COMMERCE
The Secretary of Commerce
Washington, D.C. 20230

December 21, 2018

The Honorable Elijah E. Cummings
U.S. House of Representatives
Washington, DC 20515

Dear Representative Cummings:

Thank you for your letter regarding my decision to reinstate a citizenship question on the 2020 Decennial Census questionnaire. I apologize for the delay in response. I appreciate your perspective on Census Bureau issues and the time you have taken to share your concerns. Ensuring a complete and accurate Decennial Census is one of my most important duties and remains one of my highest priorities.

As you know, the Department of Justice (DOJ) on December 12, 2017 formally requested that the Census Bureau reinstate the citizenship question on the Decennial Census. DOJ stated that reinstatement of the citizenship question on the Decennial Census questionnaire "would best enable the Department to protect all American citizens' voting rights under Section 2."[1] DOJ's request initiated my decision-making process, which entailed a comprehensive program, policy, and legal review. During that process, I maintained an open mind and I consulted with my staff, the Census Bureau, and various stakeholders[2] to evaluate and respond to the request. After considering the information provided to me during this process, I made the conclusions described within my March 26, 2018 decision memorandum[3] to reinstate the citizenship question. I directed my decision memorandum to the Under Secretary of Economic Affairs with instructions that the Census Bureau reinstate the question.[4]

Before receiving DOJ's formal request to reinstate the citizenship question, I and my staff discussed the concept with personnel at other federal departments.[5] As the Secretary of

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[1] Letter from Art Gary, Department of Justice, to Ron Jarmin, Census Bureau (Dec. 12, 2017) at Administrative Record (AR) 663, http://osec.doc.gov/opog/FOIA/Documents/AR%20-%20FINAL%20FILED%20-%20ALL%20DOCS%20[CERTIFICATION-INDEX-DOCUMENTS]%206.8.18.pdf.

[2] *See* AR 763–1276.

[3] Decision Memorandum from Secretary Wilbur Ross on Reinstatement of a Citizenship Question on the 2020 Decennial Census Questionnaire (Mar. 26, 2018) at AR 1313–1320. Also available at https://www.commerce.gov/sites/default/files/2018-03-26_2.pdf/.

[4] *Id.* at 1320.

[5] Before receipt of the DOJ request in December 2017, my staff or I had discussions with federal government officials including Mary Blanche Hankey, James McHenry, Gene Hamilton, Danielle Cutrona, John Gore, and Jefferson Sessions. Moreover, Steven Bannon called in the Spring of 2017 to request that I speak with Kris Kobach about the latter's ideas about including a citizenship question on the 2020 Decennial Census. Notably, my only decision in response to Mr. Kobach's ideas was my complete rejection of his proposed citizenship question

Commerce, I felt it important to explore such issues with my staff to ensure that the Department is fulfilling its mission to the American people. DOJ repeatedly requested inclusion of the citizenship question on the American Community Survey for Voting Rights Act purposes. Based on this experience, DOJ ultimately determined that it wanted more granular citizenship data. Given that the Department of Commerce faced an April 1, 2018 statutory deadline to provide Congress with "a report containing the Secretary's determination of the questions proposed to be included" on the census questionnaire, 13 U.S.C. § 141(f)(2), I hoped to receive a definitive determination of non-interest or interest from DOJ as early in 2017 as possible.[6] The decision-making process and my ultimate conclusion that the question should be reinstated occurred only after and in response to DOJ's request.

My testimony to Congress has been truthful and candid. The questions to which I responded and the context of those conversations make clear that I was referring to my decision-making process and thorough review of DOJ's request – not informal and hypothetical discussions predating that request.

Thank you for your inquiry and I look forward to continuing to work with the Census Bureau and the Members of Congress to ensure a complete and accurate 2020 Decennial Census.

If you have further concerns or questions, please have your staff contact Michael Platt, Jr., Assistant Secretary for Legislative and Intergovernmental Affairs, at (202) 482-3663.

Sincerely,

Wilbur Ross

Wilbur Ross

configuration and the purposes motivating his preferred configuration. I have always been and will always be committed to counting everyone once, only once, and in the right place.

[6] As stated in the document, itself, I issued my June 21, 2018 Supplemental Memorandum "to provide further background and context regarding my March 26, 2018, memorandum concerning the reinstatement of a citizenship question to the decennial census."

February 19, 2019 Letter from Secretary Wilbur Ross to Hon. Elijah Cummings

Enclosure 3

U.S. Department of Justice

Office of Legislative Affairs

Office of the Assistant Attorney General *Washington, D.C. 20530*

FEB 25 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, DC 20515

Dear Chairman Cummings:

This responds to your letter to Acting Attorney General Whitaker, dated February 12, 2019, requesting certain documents related to the addition of a question on citizenship to the 2020 Census.

Enclosed with this letter is a CD-ROM containing 7 files, consisting of 190 pages, produced in response to your request, Bates numbered HOGR-Census-02122019 -000001- HOGR-Census-02122019-000190. This production contains emails from Department of Justice officials and correspondence, which have previously been made public.

We will supplement this response when additional materials become available. If you have questions regarding this production, please feel free to contact my office.

Sincerely,

Stephen E. Boyd
Assistant Attorney General

Enclosure

cc: The Honorable Jim Jordan
Ranking Member

UNITED STATES DEPARTMENT OF COMMERCE
Office of Legislative and Intergovernmental Affairs
Washington, D.C. 20230

March 5, 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, D.C. 20515

Dear Chairman Cummings,

I am writing regarding the Committee's request for Secretary Ross to testify about the "ongoing preparations for the 2020 Census and [the] decision to add a citizenship question" made in your January 8, 2019 letter to the Department. The Secretary takes his commitment to Congress seriously as evidenced by his initial offer to appear early in the 116th Congress and remains committed to appearing voluntarily before the Committee. As you are aware, we responded to your January 8 letter three days later on January 11, expressing our intention to fully cooperate with the Committee, providing potential dates (March 14 and March 28) for the Secretary to appear and testify on those two important subjects. In the days following our written response, our staffs arrived at March 14 as the mutually preferable date and agreed to have the Secretary testify on those specific topics. Since that time, the Department of Commerce ("Department") has begun to plan and prepare for this March 14 testimony. Recognizing the significant oversight role of the Committee, the Department has prioritized its finite resources and personnel to identify and produce a large volume of documents to your staff in its best effort to be responsive.

The Department then received your February 8, 2019 letter. That letter requests another large-scale search and production of documents related to Secretary Ross's financial disclosures and ethics obligations. In the days following our receipt of that letter, it became clear that the Committee intended to expand the scope of the March 14 hearing to ask the Secretary questions about his personal finances and ethics obligations—topics that we did not anticipate nor expect to be covered in such detail and depth based on the frequent and cordial communications between our staffs. In continuing communications, your staff then expressed its desire to review as many documents as possible related to financial disclosures *prior* to the March 14 hearing. In addition, the Department also received your February 19, 2019 letter about reported technology transfer to Saudi Arabia, which requires a further comprehensive search for responsive documents. Based on our limited resources, constrained personnel, timing, and desire to be responsive to the Committee's initial request, my staff reiterated to yours that the agreed scope of the March 14 hearing was the two subjects you identified in your January 8 letter. In response, your staff clarified that the Committee reserves the right to question the Secretary about ***any*** topic on March 14, notwithstanding our earlier correspondence and understood scope of the hearing.

Under the Secretary's leadership, the Department has cooperated fully and in good faith with the Committee's requests. We have produced approximately 5,700 pages of documents responsive to your requests, and another installment of approximately 3,000 pages is scheduled to

be produced on March 6. My staff has stayed in virtually constant communication with yours. We have expended hundreds of hours of staff time to satisfy your requests (including time expended during the 35-day lapse in appropriations, to the extent consistent with the law). This should demonstrate that we take oversight responsibilities and obligations very seriously and accordingly are working as quickly as possible to produce on a rolling basis the significant volume of information you have requested in three separate letters concerning three separate topics.

In light of our good faith efforts and hard work of the Department's personnel, I was surprised to see that your chief oversight counsel sent an email to the Department's Chief of Staff on Friday, March 1, 2019, expressing unfounded "concern[] that the Department does not appear to be making a sufficient effort to produce documents responsive to the Committee's requests." Given the sincere efforts of the Department's staff to be maximally cooperative and responsive to your requests, I found this communication somewhat disappointing given the open and affable relations we have nurtured throughout this process.

On substance, your chief counsel's email appears to make claims about our staffs' working relationship that are at odds with the facts. As previously noted, my team has been in nearly constant communication with yours, has provided voluminous documents responsive to your requests, and is continuing to work as expeditiously as possible to produce the remainder. Moreover, we have now three times responded to the same fourteen questions posed in your January 8 letter. In addition, the Department's Director of Legislative Affairs provided a phone briefing to your staff to further detail those previous written responses to the Committee. You are likely aware that our current staffing levels and the sheer volume of the Committee's and other congressional requests compel us to prioritize those requests in the order in which they are received.

Furthermore, your chief counsel's email states that the Department failed to respond to a February 7, 2017, request from the Subcommittee on Government Operations regarding compliance with whistleblower protection laws. This is simply not true. The Department responded to the Subcommittee letter on March 10, 2017. I have enclosed another copy of that response with this letter.

Your chief counsel's email has raised one fair point, which we have also repeatedly been told by your staff: the Committee would like all of the documents you have requested before the Secretary testifies. Given that legitimate demand, our genuine desire to be responsive to the Committee's requests, and because we feel the Committee expanded the originally agreed upon scope of the hearing, we feel as though we have no choice but to temporarily postpone the Secretary's testimony until a date after March 14. To be clear, the Secretary has every intention to appear before the Committee and continue assisting in your oversight capacity—the Department simply needs more time to produce responsive documents and prepare to testify on the broad range of important topics raised in your letters.

To that end we commit to work with your staff on a more appropriate and reasonable time for the Secretary to testify. As soon as we receive, in writing, a complete list of the subject matter and scope about which the Committee intends to question the Secretary, my office will work with your staff to confirm a hearing date. Based on the extensive array of topics raised in your January

8, February 8, and February 19, 2019 letters, the Department will simply not be adequately prepared to provide responsive documents and testimony before April 29, 2019, upon your return from recess. However, we are open to working with your staff on earlier times if the scope could be limited to allow for proper review and preparation.

We appreciate the opportunity to assist with your inquiries and will continue to cooperate with the Committee fully and in good faith. If you have any additional questions, please contact me at (202) 482-3663.

Sincerely,

Michael Platt Jr.
Assistant Secretary for Legislative
and Intergovernmental Affairs

Cc:
The Honorable Jim Jordan
Ranking Member, Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, D.C. 20515

Enclosure
1. March 10, 2017 Letter to Hon. Mark Meadows, Committee on Oversight and Government Reform, regarding WPEA compliance

March 4, 2019 Letter to Hon. Elijah Cummings

Enclosure 1



UNITED STATES DEPARTMENT OF COMMERCE
Office of Legislative and Intergovernmental Affairs
Washington, D.C. 20230

The Honorable Mark Meadows
Chairman, Committee on Oversight and Government Reform
Subcommittee on Government Operations
Washington, DC 20515

Dear Chairman Meadows:

This responds to your letter of February 7, 2017 requesting information about the Department of Commerce's (the Department) use of nondisclosure agreements and the implementation of its responsibilities under the Whistleblower Protection Act of 2012 (WPEA). The Department takes its obligations under the WPEA seriously and has undertaken a number of appropriate steps to ensure that employees are notified of their rights as they pertain to communications with Congress, the reporting of violations to an inspector general, or other whistleblower protections under the Act.

The Department's Office of Inspector General (OIG) oversees the Whistleblower Protection Program, and promotes awareness of, and compliance with, whistleblower protections. The Department's OIG has posted on its website a notice informing employees of the WPEA's requirement that every nondisclosure policy, form, or agreement (with current or former federal employees) contain the statutorily required language set forth in Section 115 of the Act, codified at 5 USC § 2302(b)(13). The OIG has also posted a list of relevant Executive Orders and statutory provisions. The language from the Department OIG's website is provided below and can also be found online at: https://www.oig.doc.gov/Pages/Whistleblower-Protection-Program.aspx

Important Notice: Whistleblower Protection Enhancement Act of 2012 Required Statement — Nondisclosure Agreements

Pursuant to the Whistleblower Protection Enhancement Act of 2012, the following statement applies to every nondisclosure policy, form, or agreement of the Government (with current or former federal employees), including those in effect before the Act's effective date of December 27, 2012:

"These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information,
(2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger
to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."

The following Executive orders and statutory provisions are controlling in the case of any conflict with an agency non-disclosure policy, form, or agreement, as of March 14, 2013:

- Executive Order No. 13526;
- Section 7211 of Title 5, United States Code (governing disclosures to Congress);
- Section 1034 of Title 10, United States Code as amended by the Military Whistleblower Protection Act (governing disclosure to Congress by members of the military);
- Section 2302(b)(8) of title 5, United States Code, as amended by the Whistleblower Protection Act of 1989 (governing disclosures of illegality, waste, fraud, abuse or public health or safety threats);
- Intelligence Identities Protection Act of 1982 (50 U.S.C. 421 et seq.) (governing disclosures that could expose confidential Government agents);
- The statutes which protect against disclosure that may compromise the national security, including sections 641, 793, 794, 798, and 952 of title 18, United States Code; and
- Section 4(b) of the Subversive Activities Control Act of 1950 (50 U.S.C. 783(b)).

The Department has also posted on its Office of General Counsel website a model standard non-disclosure agreement (NDA), which contains the statutorily mandated provision as well as a separate provision that the agreement does not bar disclosures to Congress. The language from the Department's own model standard NDA is provided below and can also be found online at:

https://ogc.commerce.gov/sites/ogc.commerce.gov/files/gld_standard_nondisclosure_agreement_new.pdf

6. As required by 5 U.S.C. § 2302(b)(13), any restriction with respect to disclosure by a Government employee must be consistent with, not supersede, nor conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling. This paragraph shall not be construed to authorize the withholding of information from Congress or the taking of any personnel action against an employee who discloses information to Congress.

7. This agreement does not bar disclosures to Congress or to an authorized official of an executive agency or the Department of Justice that are essential to reporting a substantial violation of law.

In addition, several of the Department Bureaus have posted model standard NDAs online that include the required statutory language.[1] Moreover, the Department's No Fear Act training, which is mandatory for all employees, describes avenues for employees to report whistleblowing activities, and includes explicit reference to Congress (as well as to the OIG or the Office of Special Counsel) as an appropriate confidential channel for disclosures involving classified national security information.

Moreover, in the summer of 2014, the Department issued guidance by e-mail to all Department employees reminding them of the WPEA's protections for federal employees who disclose evidence of waste, fraud, or abuse, including that any NDAs signed in order to access classified or other sensitive information include, or if previously executed without the provision, should be read to incorporate, the required language set forth in Section 115 of the Act. In addition to the Department-wide notice, a separate notification was also sent to all Department Bureau and Office heads reminding them of the WPEA's requirement that any non-disclosure policy, form, or agreement include the Section 115 language.

Finally, we note that the Department's Administrative Order DAO 219-1 on Public Communication, which is posted on the Department's website, explicitly references the Lloyd-LaFollette Act (5 U.S.C. § 7211) and states: "The rights of employees, individually or collectively, to petition Congress or a Member of Congress, or to furnish information to either House of Congress, or to a committee or Member thereof, may not be interfered with or denied."

See: http://www.osec.doc.gov/opog/dmp/daos/dao219_1.html

We hope this information has been helpful. If you have any further questions, please contact me at 202-482-3663.

Sincerely,

James Schufreider
Performing the non-exclusive duties of the
Assistant Secretary of Commerce
for Legislative and Intergovernmental Affairs

cc: The Honorable Gerald E. Connolly, Ranking Member

[1] *See* e.g. https://www.uspto.gov/about-us/organizational-offices/office-general-counsel/whistleblower-protection-enhancement-act and http://www.wrc.noaa.gov/wrso/forms/sf312.pdf and https://www.nist.gov/sites/default/files/documents/2017/01/12/nist_model_nda_receipt_of_proprietary_information_v2016.2_fillable_for_website.doc_003.pdf

3

ELIJAH E. CUMMINGS, MARYLAND
CHAIRMAN

ONE HUNDRED SIXTEENTH CONGRESS

JIM JORDAN, OHIO
RANKING MINORITY MEMBER

Congress of the United States

House of Representatives

COMMITTEE ON OVERSIGHT AND REFORM
2157 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–6143
MAJORITY (202) 225–5051
MINORITY (202) 225–5074
http://oversight.house.gov

March 6, 2019

The Honorable Wilbur L. Ross, Jr.
Secretary
U.S. Department of Commerce
1401 Constitution Avenue, N.W.
Washington, D.C. 20230

Dear Mr. Secretary:

I have reviewed the letter that your Assistant Secretary for Legislative and Intergovernmental Affairs sent yesterday seeking to postpone your long-planned testimony before the Committee on March 14, 2019.[1] After carefully considering this request, I am writing to inform you that the Committee's hearing will remain on March 14, and the Committee expects you to testify as agreed. However, the Committee is willing to make several accommodations to address the concerns set forth in the letter yesterday, and they are detailed below.

The Committee invited you to testify on January 8, 2019—more than nine weeks ago—and you have had more than enough time to prepare.[2] In addition, your staff confirmed repeatedly over the past two months that you would appear voluntarily:

- On January 11, 2019, your Assistant Secretary for Legislative and Intergovernmental Affairs responded to the Committee's invitation by writing that, although you were unavailable for the entire month of February, you were "available to appear before the Committee on March 14, 2019 or March 28, 2019."[3]

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[1] Letter from Michael Platt Jr., Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Mar. 5, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019.03.05%20Letter%20to%20Chairman%20Cummings_0.pdf).

[2] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 8, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-01-08.EEC%20to%20Ross-DOC%20re%20Citizenship%20Question.pdf).

[3] Letter from Michael Platt Jr., Assistant Secretary for Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Jan. 11, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019.01.11%20Response%20to%20Chairman

- On January 18, 2019, Committee staff emailed your staff, writing: "We will proceed with the March 14th date for the hearing with Secretary Ross." Your staff confirmed receipt.

- On January 23, 2019, your staff confirmed during a telephone call with Committee staff that you were comfortable with the March 14 hearing date and that no further discussion was necessary.

- On February 1, 2019, your staff confirmed again to Committee staff that you would appear at the March 14 hearing.

- On February 7, 2019, the Committee sent a letter thanking you for agreeing to testify at the hearing, which would "examine the ongoing preparations for the 2020 Decennial Census, the addition of a citizenship question, and other topics."[4]

- On February 22, 2019, your staff confirmed yet again during a telephone call with Committee staff that you would appear before the Committee voluntarily on March 14.

In the letter yesterday, your Assistant Secretary stated that you would not be prepared to testify about topics unrelated to the Census. Specifically, he wrote that you would not be ready to answer questions relating to two letters the Committee sent to you last month: the first was sent on February 8, 2019, requesting information relating to your financial disclosure filings; and the second was sent on February 19, 2019, seeking information about efforts by the Trump Administration to transfer sensitive nuclear technology to Saudi Arabia.[5]

In order to accommodate these concerns, the scope of the Committee's March 14 hearing will not include questions relating to the transfer of nuclear technology to Saudi Arabia. In addition, if you believe you are not prepared to answer questions relating to your own financial disclosures, the Committee will allow you to provide responsive information for the record, and I will make a statement to this effect at the hearing.

In his letter yesterday, your Assistant Secretary also expressed concern that the

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[4] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Feb. 7, 2019) (emphasis added) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-02-07%20EEC%20to%20Ross%20re%20Thanking%20for%20Agreeing%20to%20Testify.pdf).

[5] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Feb. 8, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-02-08.EEC%20to%20Ross%20re%20Conflicts%20of%20Interest.pdf); Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Feb. 19, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-02-19.EEC%20to%20Ross-DOC%20re%20IP3.pdf).

Committee is insisting on full compliance with our document requests. This should not come as a surprise to anyone. However, as an additional accommodation, the Committee will agree to receive document productions relating to both your financial disclosures and the transfer of nuclear technology to Saudi Arabia after the March 14 hearing.

To further accommodate your concern, the Committee will narrow the documents that must be produced before the March 14 hearing to a specific set of priority documents that are key to our understanding of the communications around the addition of the citizenship question. These priority documents were sought in Request 3 of the Committee's January 8, 2019, letter. For your reference, that request asked you to produce the following documents, which the Committee must receive in unredacted form:

> All communications between or among officials from the Department of Commerce, the Census Bureau, and any other office or entity inside or outside of the government regarding the addition of a citizenship question.[6]

Please note that the existence of separate civil litigation is not a valid basis to withhold these documents from the Committee. As the Supreme Court has stated:

> But surely a congressional committee which is engaged in a legitimate legislative investigation need not grind to a halt whenever responses to its inquiries might potentially be harmful to a witness in some distinct proceeding, Sinclair v. United States, supra, at 295, or when crime or wrongdoing is disclosed, McGrain v. Daugherty, 273 U.S. 135, 179-180.[7]

I trust that these multiple accommodations and clarifications address the concerns set forth in the letter from your Assistant Secretary. Please confirm by 5 p.m. tomorrow, Thursday, March 7, 2019, whether you will appear voluntarily on March 14, as previously agreed, and whether you intend to produce the priority documents in unredacted form.

If you do not accept this offer, the Committee may need to consider alternative means to obtain your testimony.

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[6] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Secretary Wilbur L. Ross, Jr., Department of Commerce (Jan. 8, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/2019-01-08.EEC%20to%20Ross-DOC%20re%20Citizenship%20Question.pdf).

[7] *Hutcheson v. United States*, 369 U.S. 599, 618 (1962).

If you have any questions, please contact Committee staff at (202) 225-5051.

Sincerely,

Elijah E. Cummings
Chairman

cc: The Honorable Jim Jordan, Ranking Member

UNITED STATES DEPARTMENT OF COMMERCE
The Secretary of Commerce
Washington, D.C. 20230

March 7, 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Reform
U.S. House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

Thank you for your March 6, 2019, letter and for taking my phone call this afternoon. As we discussed, your letter added a new request for unredacted documents, and I proposed rescheduling the hearing to April 9 in order to permit the time needed to respond to this new request. I am disappointed that this reasonable request could not be accommodated.

As requested in your letter, I will appear at the hearing on March 14 at 10:00 am to answer the Committee on Oversight and Reform's (Committee) questions on the preparations for the 2020 Census and the addition of the citizenship question. I appreciate the commitment you made in the letter that the scope of the hearing will not include questions relating to the transfer of nuclear technology to Saudi Arabia and that additional documents requested in your letters of February 8 and February 19 will be provided after the hearing. I also appreciate your commitment to state at the hearing that the Committee will allow me to provide written responses for the record to questions related to my financial disclosures.

As part of our continuing cooperation, the Department of Commerce yesterday delivered another approximately 3,000 pages of responsive documents to the Committee. This was the third production of documents the Department has provided in response to the Committee's requests, which total nearly 9,000 pages so far. Furthermore, we have committed to making a fourth production to the Committee on March 28, 2019. The Department already has committed many hundreds of hours solely to the task of responding to the Committee's document requests.

I look forward to continuing to work together to serve the American public.

Sincerely,

Wilbur Ross

Wilbur Ross

cc: The Honorable Jim Jordan, Ranking Member

U.S. Department of Justice

Office of Legislative Affairs

Office of the Assistant Attorney General

Washington, D.C. 20530

MAR 25 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Reform
U. S. House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

The Department of Justice (Department) writes to correct the record regarding the transcribed interview of Department official John Gore and to provide context for the circumstances that gave rise to the interview. As set forth below, the March 14, 2019 Memorandum from the Committee's Majority Staff, entitled "Supplemental Memo on Transcribed Interview with John Gore Regarding Addition of Citizenship Question to Census" (Supplemental Memorandum), mischaracterizes Mr. Gore's testimony and the record in this matter.

The Constitution establishes the executive and legislative branches as co-equal. "The constitutional role of Congress is to adopt general legislation that will be implemented—'executed'—by the executive branch."[1] As part of its legislative function, Congress has "[b]road . . . power" to conduct oversight, but that power is not "without limitations" and does not extend to inquiring "into matters which are within the exclusive province of one of the other branches of Government."[2] Moreover, in the course of carrying out its duty to faithfully execute the law, including its duty to represent the United States in court, the executive branch may have "a legitimate, constitutionally recognized need to keep certain information confidential."[3]

As co-equal branches of government, Congress and the executive branch have "the obligation . . . to accommodate the legitimate needs of the other," where "Congress has a legitimate need for information that will help it legislate, and the executive branch has a legitimate, constitutionally recognized need to keep certain information confidential."[4] The executive branch

[1] Congressional Requests for Confidential Executive Branch Information, 13 Op. O.L.C. 153, 153 (1989) (Congressional Requests).

[2] *Barenblatt v. United States*, 360 U.S. 109, 111-12 (1959).

[3] Congressional Requests, 13 Op. O.L.C. at 157.

[4] *Id.* at 157-58.

and the Department have long maintained a "general practice [of] attempt[ing] to accommodate whatever legitimate interests Congress may have in obtaining information, while, at the same time, preserving executive branch interests in maintaining essential confidentiality."[5] The executive branch and Congress have facilitated this interbranch cooperation through an "accommodation process" that calls upon each branch to "explain to the other why it believes its needs to be legitimate" and "to assess the needs of one branch and relate them to those of the other."[6]

Consistent with this accommodation responsibility, the Department agreed to make Mr. Gore voluntarily available to the Committee for a transcribed interview. The Department conditioned this agreement on several mutual understandings. Chief among those was the Committee's agreement that the Department would have a full and fair opportunity to review the transcript of Mr. Gore's testimony before it was made part of the Committee record, and that the transcript would not be made public or become part of the record prior to that review. In addition, and importantly, the Department maintained throughout this phase of the accommodation process that Mr. Gore would not be able to answer questions bearing on the Department's internal deliberations. The Committee was well aware of the Department's position on the scope of the transcribed interview and elected to move forward with the interview under those limitations.

This mutual understanding was vital to the Department's willingness to make Mr. Gore available for a voluntary interview. As the Department repeatedly explained to the Committee, the Department has an essential need to maintain the confidentiality of its internal deliberations. Maintaining confidentiality in executive branch deliberations facilitates robust and open discussion. Fully-informed decision-making would be chilled if executive branch officials and staff believed that those discussions could become public. Moreover, the Department continues to represent the United States in ongoing litigation, including in the United States Supreme Court, regarding the Commerce Department's decision to reinstate the citizenship question on the 2020 Census. The United States' litigation position regarding privileges, which was not challenged in litigation, could be compromised if those very same confidential deliberations were made public through a concurrent oversight process.

Premised upon our mutual understanding, Mr. Gore appeared voluntarily and was questioned by majority and minority Committee staff for several hours on March 7, 2019. Mr. Gore answered hundreds of questions from Committee staff. When Mr. Gore did not answer a question during the interview, he did so only on the instruction of the Department's counsel and based on the Department's legitimate confidentiality and litigation interests. Both majority and minority staff stated on the record that they had asked all of their questions of Mr. Gore and had no further questions at that time.[7] This process represents a good faith effort by the Department

[5] *Id.* at 153.

[6] *Id.* at 159.

[7] Transcribed Interview of John Gore (March 7, 2019) at 99 (minority), 179 (majority) (Gore Transcript).

to accommodate the Committee and to establish a record of which questions implicate vital executive branch confidentiality interests and remain open for further discussion in the accommodation process.

The Committee also had access to a transcript of Mr. Gore's seven-hour deposition in the civil litigation before interviewing Mr. Gore. The Department offered that transcript to the Committee, and it is our understanding that the Committee obtained that transcript from another source.

In light of these good faith efforts by the Executive Branch, the Department is disappointed that the Committee has acted in a manner inconsistent with the spirit of mutual accommodation.

On March 14, just one week after Mr. Gore's interview, the Committee publicly released the Supplemental Memorandum, which includes and mischaracterizes Mr. Gore's testimony and provides selective, misleading excerpts from the transcript. On the same day, the Committee issued a press release that linked to the Supplemental Memorandum on both its website and its Twitter feed.[8] The Committee provided the Supplemental Memorandum to its members and referenced the Supplemental Memorandum repeatedly in its questioning of Secretary Ross at a public hearing that same day. The Department did not have a full and fair opportunity to review the transcript prior to the Committee's public disclosure of portions of it, nor did the Department receive an advance copy of the Supplemental Memorandum for review.[9] This has limited the Department's ability to timely respond to mischaracterizations in the record.

The Supplemental Memorandum mischaracterizes Mr. Gore's testimony to the Committee in at least four ways. First, the Supplemental Memorandum alleges that Mr. Gore exhibited a "refusal to answer" the Committee's requests.[10] This is an unfair characterization. Mr. Gore answered over five hundred questions posed by Committee staff, and when he did not answer, he did so only on the instruction of Department counsel. As the Committee knew, the Department's accommodation was to make Mr. Gore available for a voluntary interview to answer only those

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[8] Oversight Committee (OversightDems). "News Alert: Chairman @RepCummings releases memo on interview with #DOJ Official on citizenship question for #2020Census https://oversight.house.gov/news/press-releases/cummings-releases-memo-on-interview-with-doj-official-on-citizenship-question-0." Mar. 14, 2019, 10:30 a.m. Tweet. https://twitter.com/OversightDems/status/1106216034812547073.

[9] Majority staff emailed the Department after 6 p.m. on Tuesday, March 12, inviting the Department to review the transcript the next day in Committee offices. The Department was unable to review the transcript in Committee offices on Wednesday, March 13. The Department was offered a subsequent opportunity to review the transcript of Mr. Gore's interview in Committee offices on March 15, after issuance of the Supplemental Memorandum, and the appropriate attorneys did so on March 19.

[10] Supplemental Memorandum at 1.

questions that could be answered without compromising the ongoing litigation or other executive branch confidentiality interests. This was an appropriate effort to satisfy the Committee's request at this phase in the accommodation process.[11] The Supplemental Memorandum's suggestion that the Department's instructions were somehow improper or unexpected contravenes both our shared understanding that the Department would make those instructions and the Committee's fundamental accommodation obligation.[12]

Second, the Supplemental Memorandum misleadingly describes as "new information" received from Mr. Gore's interview the existence of a "secret" memorandum and note authored by a Department of Commerce official.[13] But Mr. Gore previously testified regarding the memorandum and the note during his deposition in the civil litigation and the Committee had access to a transcript of that deposition prior to interviewing Mr. Gore.[14] The Department also provided a description of the memorandum and note on a privilege log produced in the *New York v. Department of Commerce* litigation. The parties in that case extensively litigated the government's assertion of privilege over those documents. After an in camera review, the district court upheld the government's assertion of privilege and held that the government could not be compelled to produce those documents to the plaintiffs.[15] Producing those documents to the Committee could be viewed in these circumstances as a waiver of the privilege that the federal court already has upheld.

Third, the Supplemental Memorandum incorrectly implies that Mr. Gore identified Mark Neuman as "a former member of the Trump Transition Team."[16] Mr. Gore, however, offered no such testimony. The transcript excerpts in the Supplemental Memorandum omit the portion of Mr. Gore's testimony where he stated that he believes Mr. Neuman to be a former employee of the Department of Commerce or the Census Bureau who in the fall of 2017 was serving as an "advisor" to the Commerce Department on Census-related issues.[17] Mr. Gore had no knowledge of, and has never testified about, whether Mr. Neuman was affiliated with the Trump Transition Team.

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[11] *See* Congressional Requests, 13 Op. O.L.C. at 157-62.

[12] *See id.*

[13] Supplemental Memorandum at 1-2.

[14] Gore Deposition, 118:18-125:22 (Oct. 16, 2018) (discussing the note and the memorandum).

[15] *See New York v. Department of Commerce*, No. 18-CIV-2921, Minute Order, ECF No. 361 (S.D.N.Y. Sept. 30, 2018).

[16] Supplemental Memorandum at 2.

[17] *See* Gore Transcript at 22.

Finally, the Department is concerned with the Committee's mischaracterization of the draft letter that Mr. Neuman provided to Mr. Gore. The Department produced that draft letter in litigation and has since produced it to the Committee. The Chairman's opening statement described that draft as an "an initial draft of a letter from the Department of Justice asking for the citizenship question to be added."[18] To the extent that the Chairman suggested that the draft Mr. Neuman provided served as an "initial draft" of the Department's December 12, 2017 letter, that suggestion is incorrect. Any such suggestion also is unsupported by the draft itself and the transcript of Mr. Gore's testimony. The transcript confirms that at no time did Mr. Gore agree that the draft he received from Mr. Neuman served as a basis for, let alone "an initial draft of," the Department's December 12, 2017 letter. Unfortunately, this mischaracterization has implied, perhaps unintentionally, that Mr. Gore's statements during his deposition and his transcribed interview, in which he stated that he wrote the first draft of the December, 12, 2017 letter, were untrue. Mr. Gore's testimony in his deposition and his testimony to the Committee were truthful. The Department rejects any implication to the contrary as it is inconsistent with the evidence.

The Department respectfully requests that, in the interests of accuracy and transparency, the Committee make this letter part of the legislative record and disseminate it to all Committee members and staff. The Department also requests that the Committee withdraw or correct the Supplemental Memorandum based upon the information provided in this letter.

Sincerely,

Stephen E. Boyd
Assistant Attorney General

cc: The Honorable Jim Jordan
Ranking Member

[18] Opening Statement Chairman Elijah E. Cummings Hearing with Commerce Secretary Wilbur Ross March 14, 2019, at 2. https://oversight.house.gov/legislation/hearings/commerce-secretary-wilbur-l-ross-jr.

UNITED STATES DEPARTMENT OF COMMERCE
Office of Legislative and Intergovernmental Affairs
Washington, D.C. 20230

March 26, 2019

The Honorable Elijah E. Cummings
Chairman
Committee on Oversight and Reform
U.S. House of Representatives
Washington, D.C. 20515

Dear Representative Cummings,

Thank you for the Wednesday, March 20, 2019 email of 7:25 p.m. from your chief counsel. In that email, the chief counsel requested that the Department respond to two inquiries no later than today, Friday, March 22. Although we would normally try to oblige such a request despite the short turnaround time, we have some clarifying questions that must be answered before we can respond. As we have consistently demonstrated, we will continue to work to accommodate the Committee's legitimate oversight interests. This mutual obligation to accommodate is consistent with long-standing judicial precedent, past practices of administrations of all political parties, and numerous opinions of the Department of Justice's Office of Legal Counsel.

Your chief counsel first asked whether the Department will commit to produce in unredacted form each of the eleven documents identified in his March 15 email. As I stated in my March 19 letter, the Department has produced in unredacted form several of the documents your chief counsel asked about: Documents 2, 3, and 5, and the email in Document 6. Moreover, as our privilege log demonstrates, the redactions in Documents 4, 7, and 8 protect the confidentiality of Departmental deliberations on non-Census policy issues, including those related to the National Oceanic and Atmospheric Administration, the International Trade Administration, and the Minority Business Development Administration. We trust that you are not asking us to remove redactions of material that is wholly unrelated and therefore irrelevant to any subject matter about which the Committee has inquired. With these facts in view, the Department has already offered substantial accommodations to the Committee, most notably in its unredacted production of most of the eleven documents your chief counsel identified. Accordingly, his statement "that the Department still has not produced any of the key documents requested by the Committee" is incorrect.

As previously explained, the Department has clearly asserted various bases for withholding some information in Documents 1, 9, 10, 11, and the attachment to Document 6. One such basis is the longstanding executive branch interest in the confidentiality of attorney-client communications. Before we can consider whether there is an accommodation we can provide with respect to such information, we request that you identify the Committee's specific, particularized information needs that you believe cannot be satisfied without access to confidential attorney-client communications.

We also request an identification of the Committee's particularized needs with respect to your chief counsel's request that the Department produce Peter Davidson and James Uthmeier for transcribed interviews. Mr. Davidson is the General Counsel of the Department, and Mr. Uthmeier was his Senior Counsel during the relevant time period. The work of Mr. Davidson and Mr. Uthmeier, of course, generally consists of providing confidential legal advice. All of their non-privileged communications are already contained in the substantial documentary record the Department has been producing to you.

We also request further justification regarding your request for a transcribed interview of Earl Comstock. Mr. Comstock's relevant unredacted communications are in the documentary record, and his seven-hour deposition transcript is publicly-available. Three full-length trials regarding Secretary Ross's decision to reinstate the citizenship question on the census have examined extensively Mr. Comstock's actions and communications. Accordingly, please identify what additional, specific, and particularized information the Committee hopes to obtain by interviewing Mr. Comstock that it believes it cannot access elsewhere in the public domain.

The Department has made substantial efforts to accommodate the Committee's interests. To allow the Department to continue to move forward in this accommodation process, we ask that the Committee provide the above-requested information. We appreciate the opportunity to assist with your inquiry. Please be assured we are working as expeditiously as possible on all of our outstanding Congressional requests. If you have any additional questions, please contact me at (202) 482-3663.

Sincerely,

Ross Branson
Deputy Assistant Secretary for
Legislative and Intergovernmental Affairs

Cc: The Honorable Jim Jordan, Ranking Member

ELIJAH E. CUMMINGS, MARYLAND
CHAIRMAN

ONE HUNDRED SIXTEENTH CONGRESS

JIM JORDAN, OHIO
RANKING MINORITY MEMBER

Congress of the United States
House of Representatives
COMMITTEE ON OVERSIGHT AND REFORM
2157 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–6143
MAJORITY (202) 225-5051
MINORITY (202) 225-5074
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March 29, 2019

The Honorable Wilbur L. Ross, Jr.
Secretary
U.S. Department of Commerce
1401 Constitution Avenue, N.W.
Washington, D.C. 20230

Dear Secretary Ross:

This letter responds to the March 26, 2019, letter from Ross Branson at the Department of Commerce. Because no officials from the Department were able to attend a meeting we requested this week to discuss these issues, they are described in detail below.

For more than two months, the Department has withheld key documents requested by the Committee regarding your decision to add a citizenship question to the 2020 Census. The Department has continued to withhold these documents despite repeated follow-up requests from the Committee and despite accommodations we have made to extend deadlines and allow the Department to prioritize certain documents.

During your testimony before the Committee on March 14, you refused to commit to providing the documents requested by the Committee, and you also refused to answer critical questions from Committee Members regarding the addition of the citizenship question.

Just yesterday, we received another document production from the Department, but you again failed to produce unredacted copies of any of the key documents we have requested.

Mr. Branson's March 26 letter set forth "some clarifying questions that must be answered before we can respond."[1] This letter addresses those questions and several inaccuracies in Mr. Branson's letter.

First, Mr. Branson's letter asserts that four of the 11 documents that my staff identified as priorities (Priority Documents 2, 3, 5, and 6) have already been produced in unredacted form. This claim is inaccurate.

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[1] Letter from Ross Branson, Deputy Assistant Secretary, Legislative and Intergovernmental Affairs, Department of Commerce, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (Mar. 26, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/DOC.032619.%20Response%20to.pdf).

My staff's request stated: "For all responsive emails, the entire unredacted email chain and all attachments should be produced." Although the top emails in Priority Documents 2, 3, and 5 have been produced without redactions, all three documents contain redactions of key emails lower in the email chain. For example:

- Priority Document 2 includes an email that was sent from you to Earl Comstock and Ellen Herbst at 10:04 a.m. on May 2, 2017, that is entirely redacted except for the following excerpt:

  > Worst of all they emphasize that they have settled with congress on the questions to be asked. I am mystified why nothing have been done in response to my months old request that we include the citizenship question. Why not?

- Priority Document 3 contains a redacted email sent from Wendy Teramoto to you at 7:17 a.m. on May 2, 2017. The unredacted portion describes Ms. Teramoto's interactions with former Trump transition official Mark Neuman and asks: "Do you want me to set up another meeting?" This document also contains the redacted email described above that was sent at 10:04 a.m. on May 2, 2017.

- Priority Document 5 contains a redacted email from you to Earl Comstock at 1:20 p.m. on August 8, 2017. In the unredacted portion of that email, you wrote:

  > Were you on the call this morning about Census? They seem dig in [*sic*] about not sling [*sic*] the citizenship question and that raises the question of where is the DoJ in their analysis? If they still have not come to a conclusion please let me know your contact person and I will call the AG.

The Department also withheld a critical attachment from Priority Document 6. The August 11, 2017, email sent from Earl Comstock to you describes the attachment, stating in part: "Per your request, here is a draft memo on the citizenship question that James Uthmeier in the Office of General Counsel prepared and I reviewed."

Second, Mr. Branson's letter asserts that certain priority documents have been redacted for reasons "wholly unrelated" to the Committee's investigation. However, because the Department failed to follow Committee guidelines for producing documents with Bates stamps and a clear privilege log, the bases for these redactions is unclear:

- Priority Document 4 includes the same redacted email from you to Mr. Comstock that is included in Priority Document 5, described above. In addition, Priority Document 4 includes a response from Mr. Comstock to you on August 8, 2017, at 7:44 p.m. with a large block of redacted text. This specific timestamp does not appear to match any entries on your privilege log.

- Priority Documents 7 and 8 contain heavily redacted email exchanges between you, Mr. Comstock, and Ms. Teramoto from August 30, 2017, through September

1, 2017. Again, the specific timestamps on these emails do not appear to match any entries in your privilege log.

In light of these discrepancies and the inaccuracies of other statements in the letter, the Committee cannot rely on your statement at this time to release our request for the production of these documents in unredacted form. As an accommodation to the Department, the Committee will agree to review these three documents in unredacted form *in camera* on Monday, April 1, and if we can confirm that the information in the emails is "wholly unrelated" to the Committee's investigation, we will drop our request for you produce those documents to the Committee in unredacted form.

As for Priority Documents 1, 9, 10, and 11, and the attachment to Priority Document 6, Mr. Branson's letter asserts "various bases" for redactions, including the "confidentiality of attorney-client communications."[2] As you know, however, the attorney-client privilege is not a valid basis to withhold information from Congress. That is especially true here, where the withheld information is central to the Committee's investigation.

Mr. Branson's letter asks for the Committee to explain our "particularized information needs" to receive these documents. The letter also asks for the Committee to identify our "particularized needs" to conduct transcribed interviews with Peter Davidson and James Uthmeier and asks for "further justification" for our request to conduct a transcribed interview with Earl Comstock.[3]

Our need for these documents and interviews is clear. The Committee is seeking to understand the real reason that you added a citizenship question to the 2020 Census. You have testified that you added the question "solely" in response to a December 2017 request from the Department of Justice, but the record contradicts your claim, showing that you began orchestrating a campaign to add the citizenship question just days after taking office at the Department of Commerce and more than nine months before DOJ sent its request.

The requested documents and interviews may provide contemporaneous evidence of the real reason that you added the citizenship question and the process you followed. For example, they may provide insight into:

- Your apparent interest in adding a citizenship question beginning in early 2017 and your instructions to your staff on this issue;
- Your communications on the citizenship question with senior Trump Administration officials and others;
- Your efforts over the course of several months to find another agency to request the addition of the citizenship question to the Census;

[2] *Id.*

[3] *Id.*

- The Department of Commerce's communications with DOJ before and after DOJ's December 2017 request letter;

- The role of the White House in coordinating the addition of the citizenship question; and

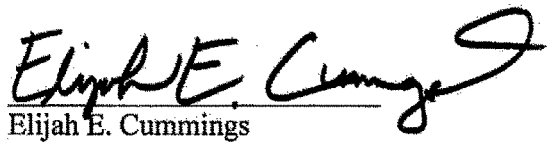
- Your deliberations leading to the issuance of the pretextual decision memorandum in March 2018.

The Committee's need for these documents and interviews has been heightened by your refusal to answer key questions during the Committee's March 14 hearing based on vague and meritless claims of "confidentiality."

As a further accommodation, we will give the Department until Monday, April 1, 2019, to inform the Committee whether you will agree to produce all priority documents the Committee has previously identified without redactions and whether you will make Mr. Davidson, Mr. Uthmeier, and Mr. Comstock available for transcribed interviews. If you do not agree, the Committee will consider compulsory process to obtain the documents at our next business meeting on April 2, 2019.

Thank you for your attention to this matter.

Sincerely,



Elijah E. Cummings
Chairman

cc: The Honorable Jim Jordan, Ranking Member

SUPREME COURT OF THE UNITED STATES

IN RE DEPARTMENT OF COMMERCE, ET AL.

ON APPLICATION FOR STAY

No. 18A375. Decided October 22, 2018

The application for stay presented to JUSTICE GINSBURG and by her referred to the Court is granted in part and denied in part. The application is granted as to the order of the United States District Court for the Southern District of New York dated September 21, 2018, which is stayed through October 29, 2018 at 4 p.m. The application is denied as to the orders of the United States District Court for the Southern District of New York dated July 3, 2018 and August 17, 2018.

If the applicants file a petition for a writ of certiorari or a petition for a writ of mandamus with respect to the stayed order by or before October 29, 2018 at 4 p.m., the stay will remain in effect until disposition of such petition by this Court. Should the petition be denied, this stay shall terminate automatically. In the event the petition is granted, the stay shall terminate upon the sending down of the judgment of this Court. The denial of the stay with respect to the remaining orders does not preclude the applicants from making arguments with respect to those orders.

JUSTICE GORSUCH, with whom JUSTICE THOMAS joins, concurring in part and dissenting in part.

To implement the constitutional requirement for an "actual Enumeration" of the people every 10 years, Art. I, §2, cl. 3, Congress has instructed the Secretary of Commerce to "take a decennial census . . . in such form and content as he may determine." 13 U. S. C. §141(a). Most censuses in our history have asked about citizenship, and Commerce Secretary Wilbur Ross recently decided to

reinstate a citizenship question in the 2020 census, citing a statement from the Department of Justice indicating that citizenship data would help it enforce the Voting Rights Act of 1965. Normally, judicial review of an agency action like this is limited to the record the agency has compiled to support its decision. But in the case before us the district court held that the plaintiffs—assorted States and interest groups—had made a "strong showing" that Secretary Ross acted in "bad faith" and were thus entitled to explore his subjective motivations through "extra-record discovery," including depositions of the Secretary, an Acting Assistant Attorney General, and other senior officials. In two weeks, the district court plans to hold a trial to probe the Secretary's mental processes.

This is all highly unusual, to say the least. Leveling an extraordinary claim of bad faith against a coordinate branch of government requires an extraordinary justification. As evidence of bad faith here, the district court cited evidence that Secretary Ross was predisposed to reinstate the citizenship question when he took office; that the Justice Department hadn't expressed a desire for more detailed citizenship data until the Secretary solicited its views; that he overruled the objections of his agency's career staff; and that he declined to order more testing of the question given its long history. But there's nothing unusual about a new cabinet secretary coming to office inclined to favor a different policy direction, soliciting support from other agencies to bolster his views, disagreeing with staff, or cutting through red tape. Of course, some people may disagree with the policy and process. But until now, at least, this much has never been thought enough to justify a claim of bad faith and launch an inquisition into a cabinet secretary's motives.

Unsurprisingly, the government tells us that it intends to file a petition seeking review of the district court's bad faith determination and its orders allowing extra-record

discovery. Toward that end, it has asked us to stay temporarily all extra-record discovery until we may consider its petition for review.

Today, the Court signals that it is likely to grant the government's petition. It stays Secretary Ross's deposition after weighing, among other things, the likelihood of review and the injury that could occur without a stay. And it expressly invites the government to seek review of all of the district court's orders allowing extra-record discovery, including those authorizing the depositions of other senior officials.

Respectfully, I would take the next logical step and simply stay all extra-record discovery pending our review. When it comes to the likelihood of success, there's no reason to distinguish between Secretary Ross's deposition and those of other senior executive officials: each stems from the same doubtful bad faith ruling, and each seeks to explore his motives. As to the hardships, the Court apparently thinks the deposition of a cabinet secretary especially burdensome. But the other extra-record discovery also burdens a coordinate branch in most unusual ways. Meanwhile and by comparison, the plaintiffs would suffer no hardship from being temporarily denied that which they very likely have no right to at all.

There is another factor here, too, weighing in favor of a more complete stay: the need to protect the very review we invite. One would expect that the Court's order today would prompt the district court to postpone the scheduled trial and await further guidance. After all, that is what normally happens when we grant certiorari or indicate that we are likely to do so in a case where trial is imminent. But because today's order technically leaves the plaintiffs able to pursue much of the extra-record discovery they seek, it's conceivable they might withdraw their request to depose Secretary Ross, try to persuade the trial court to proceed quickly to trial on the basis of the remain-

ing extra-record evidence they can assemble, and then oppose certiorari on the ground that their discovery dispute has become "moot." To ensure that the Court's offer of prompt review is not made meaningless by such maneuvers, I would have thought it simplest to grant the requested extra-record discovery stay in full. Of course, other, if more involved, means exist to ensure that this Court's review of the district court's bad faith finding is not frustrated. I only hope they are not required.

U.S. Department of Justice
Office of Legislative Affairs

Office of the Assistant Attorney General Washington, D.C. 20530

January 27, 2000

The Honorable John Linder
Chairman, Subcommittee on Rules and
Organization of the House
Committee on Rules
U.S. House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

We have carefully reviewed the testimony presented to the Subcommittee on Rules and Organization of the House at its hearing on July 15, 1999, on "Cooperation, Comity, and Confrontation: Congressional Oversight of the Executive Branch." The Department of Justice appreciates the Subcommittee's interest in this area, and we would like to take this opportunity to present in this letter, for the benefit of both Members of Congress and the public at large, the approach we take to the issues raised at the hearing. As always, we are committed to cooperating with your Subcommittee, and all committees of Congress, with respect to the oversight process.

The testimony presented at the hearing suggests to us that there is a need for improved communication and sensitivity between the Executive and Legislative Branches regarding our respective institutional needs and interests. It also suggests that there is considerable misunderstanding about the principles that govern the Department's longstanding positions and practices on responding to congressional oversight requests. We hope that this discussion of those governing principles will be helpful to the Committee and foster an improved understanding of the Department's interests in responding to oversight requests.

General Approach

The oversight process is, of course, an important underpinning of the legislative process. Congressional committees need to gather information about how statutes are applied and funds are spent so that they can assess whether additional legislation is necessary either to rectify practical problems in current law or to address problems not covered by current law. By helping Congress be better informed when it makes legislative decisions, oversight promotes the accountability of government. The information that committees gather in this oversight capacity is also important for the Executive Branch in the future implementation of the law and its participation in the legislative process. We have found that the oversight process can shed

valuable light on Department operations and assist our leadership in addressing problems that might not otherwise have been clear.

President Reagan's November 4, 1982 Memorandum for the Heads of Executive Departments and Agencies on "Procedures Governing Responses to Congressional Requests for Information" sets forth the longstanding Executive Branch policy on cooperating with Congressional oversight:

> The policy of this Administration is to comply with Congressional requests for information to the fullest extent consistent with the constitutional and statutory obligations of the Executive Branch . . . [E]xecutive privilege will be asserted only in the most compelling circumstances, and only after careful review demonstrates that assertion of the privilege is necessary. Historically, good faith negotiations between Congress and the Executive Branch have minimized the need for invoking executive privilege, and this tradition of accommodation should continue as the primary means of resolving conflicts between the Branches.

The D.C. Circuit Court of Appeals has recognized the obligations of Congress and the Executive Branch to seek to accommodate the legitimate needs of the other:

> The framers . . . expect[ed] that where conflicts in scope of authority arose between the coordinate branches, a spirit of dynamic compromise would promote resolution of the dispute in the manner most likely to result in efficient and effective functioning of our governmental system. Under this view, the coordinate branches do not exist in an exclusively adversary relationship to one another when a conflict in authority arises. Rather, each branch should take cognizance of an implicit constitutional mandate to seek optimal accommodation through a realistic evaluation of the needs of the conflicting branches in the particular fact situation.

United States v. American Tel. & Tel. Co., 567 F.2d 121, 127 (D.C. Cir. 1977). Attorney General William French Smith captured the essence of the accommodation process in a 1981 opinion: "The accommodation required is not simply an exchange of concessions or a test of political strength. It is an obligation of each branch to make a principled effort to acknowledge, and if possible to meet, the legitimate needs of the other branch." Opinion of the Attorney General for the President, Assertion of Executive Privilege in Response to a Congressional Subpoena, 5 Op. O.L.C. 27, 31 (1981).

In implementing the longstanding policy of the Executive Branch to comply with Congressional requests for information to the fullest extent consistent with the constitutional and statutory obligations of the Executive Branch, the Department's goal in all cases is to satisfy legitimate legislative interests while protecting Executive Branch confidentiality interests. Examples of confidential information include national security information, materials that are

protected by law (such as grand jury information pursuant to Rule 6(e) of the Federal Rules of Criminal Procedure and taxpayer information pursuant to 26 U.S.C. § 6103); information the disclosure of which might compromise open criminal investigations or prosecutions or civil cases or constitute an unwarranted invasion of personal privacy; and predecisional deliberative communications (such as internal advice and preliminary positions and recommendations).

We believe that it must be the Department's efforts to safeguard these important Executive Branch institutional interests that have led to the frustrations expressed during the Subcommittee's hearing. We hope that we can reduce those frustrations in the future by setting forth here our perspective on some of the more important institutional interests that are implicated during the course of Congressional oversight.

Open Matters

Much of the testimony at the hearing addressed oversight of ongoing Department investigations and litigation. Although Congress has a clearly legitimate interest in determining how the Department enforces statutes, Congressional inquiries during the pendency of a matter pose an inherent threat to the integrity of the Department's law enforcement and litigation functions. Such inquiries inescapably create the risk that the public and the courts will perceive undue political and Congressional influence over law enforcement and litigation decisions. Such inquiries also often seek records and other information that our responsibilities for these matters preclude us from disclosing. Consequently, we have sought whenever possible to provide information about closed, rather than open, matters. This enables Congress to analyze and evaluate how statutory programs are handled and the Department conducts its business, while avoiding the potential interference that inquiries into open matters entail.

The open matters concern is especially significant with respect to ongoing law enforcement investigations. The Department's longstanding policy is to decline to provide Congressional committees with access to open law enforcement files. Almost 60 years ago, Attorney General Robert H. Jackson informed Congress that:

> It is the position of the Department, restated now with the approval of and at the direction of the President, that all investigative reports are confidential documents of the executive department of the Government, to aid in the duty laid upon the President by the Constitution to "take care that the Laws be faithfully executed," and that congressional or public access to them would not be in the public interest . . . .

40 Op. Att'y. Gen. 45, 46 (1941). Attorney General Jackson's position was not new. His letter cited prior Attorney General letters taking the same position dating back to the beginning of the 20th century (id. at 47-48).

The rationale for this policy is set forth in a published opinion of the Office of Legal Counsel issued by Charles J. Cooper, Assistant Attorney General for the Office of Legal Counsel

during part of the Reagan Administration. See Response to Congressional Requests for Information Regarding Decisions made Under the Independent Counsel Act, 10 Op. O.L.C. 68, 76-77 (1986). Mr. Cooper noted that providing a Congressional committee with confidential information about active criminal investigations would place the Congress in a position to exert pressure or attempt to influence the prosecution of criminal cases. Id. at 76. Congress would become, "in a sense, a partner in the investigation," id., and could thereby attempt to second-guess tactical and strategic decisions, question witness interview schedules, debate conflicting internal recommendations, and generally attempt to influence the outcome of the criminal investigation. Such a practice would significantly damage law enforcement efforts and shake public and judicial confidence in the criminal justice system. Id. at 76-77.

Decisions about the course of an investigation must be made without reference to political considerations. As one Justice Department official noted 30 years ago, "the Executive cannot effectively investigate if Congress is, in a sense, a partner in the investigation. If a congressional committee is fully apprised of all details of an investigation as the investigation proceeds, there is a substantial danger that congressional pressures will influence the course of the investigation." Memorandum for Edward L. Morgan, Deputy Counsel to the President, from Thomas E. Kauper, Deputy Assistant Attorney General, Office of Legal Counsel, Re: Submission of Open CID Investigation Files 2 (Dec. 19, 1969).

In addition to the problem of Congressional pressure and the appearance of such pressure, the disclosure of documents from our open files could also provide a "road map"of the Department's ongoing investigations. The documents, or information that they contain, could come into the possession of the targets of the investigation through inadvertence or a deliberate act on the part of someone having access to them. The investigation would be seriously prejudiced by the revelation of the direction of the investigation, information about the evidence that the prosecutors have obtained, and assessments of the strengths and weaknesses of various aspects of the investigation. As Attorney General Jackson observed:

> Disclosure of the [law enforcement] reports could not do otherwise than seriously prejudice law enforcement. Counsel for a defendant or a prospective defendant, could have no greater help than to know how much or how little information the Government has, and what witnesses or sources of information it can rely upon. This is exactly what these reports are intended to contain.

40 Op. Atty. Gen. at 46. The Department has similar interests in the confidentiality of internal documents relating to its representation of the United States in civil litigation. Our litigation files usually contain confidential correspondence with client agencies as well as the work product of our attorneys in suits that frequently seek millions of tax dollars. They also contain "road maps" of our litigation plans and preparations, as well as confidential reports from experts and consultants. Those plans could be seriously jeopardized and our positions in litigation compromised if we are obliged to disclose our internal deliberations including, but not limited to,

our assessments of the strengths and weaknesses of evidence or the law, before they are presented in court. That may result in an unfair advantage to those who seek public funds and deprive the taxpayers of confidential representation enjoyed by other litigants.

In addition, the reputations of individuals mentioned in internal law enforcement and litigation documents could be severely damaged by the public release of information about them, even though the case might ultimately not warrant prosecution or other legal action. The Department takes very seriously its responsibility to respect the privacy interests of individuals about whom information is developed during the law enforcement process or litigation.

Internal Department Deliberations

With respect to oversight on closed matters, the Department has a broad confidentiality interest in materials that reflect its internal deliberative process. In particular, we have sought to ensure that all law enforcement and litigation decisions are products of open, frank and independent assessments of the pertinent law and facts -- uninhibited by political and improper influences that may be present outside the Department. We have long been concerned about the chilling effect that would ripple throughout government if prosecutors, policy advisors at all levels and line attorneys believed that their honest opinion -- be it "good" or "bad"-- may be the topic of debate in Congressional hearings or floor debates. These include assessments of evidence and law, candid advice on strengths and weaknesses of legal arguments, and recommendations to take or not to take legal action against individuals and corporate entities.

The Department must seek to protect this give-and-take process so that the participants in the process can vigorously debate issues before them and remain able to provide decisionmakers with complete and honest counsel regarding the conduct of the Department's business. If each participant's contribution can be dissected by Congress in a public forum, then the free and candid flow of ideas and recommendations would certainly be jeopardized. The Supreme Court has recognized the legitimacy of this "chilling effect" concern: "Human experience teaches that those who expect public dissemination of their remarks may well temper candor with a concern for appearances and for their own interests to the detriment of the decisionmaking process." United States v. Nixon, 418 U.S. 683, 705 (1974). Our experience indicates that the Department can develop accommodations with Congressional committees that satisfy their needs for information that may be contained in deliberative material while at the same time protecting the Department's interest in avoiding a chill on the candor of future deliberations.

The foregoing concerns apply with special force to Congressional requests for prosecution and declination memoranda and similar documents. These are extremely sensitive law enforcement materials. The Department's attorneys are asked to render unbiased, professional judgments about the merits of potential criminal and civil law enforcement cases. If their deliberative documents were made subject to Congressional challenge and scrutiny, we would face a grave danger that they would be chilled from providing the candid and independent analysis essential to just and effective law enforcement or, just as troubling, that

they might err on the side of prosecution simply to avoid public second-guessing. This in turn would undermine public and judicial confidence in our law enforcement processes, untoward consequences we are confident that Congress, like the Department, wishes to avoid.

Privacy

In addition to these concerns, disclosure of declination memoranda would implicate significant individual privacy interests as well. Such documents discuss the possibility of bringing charges against individuals who are investigated but not prosecuted, and often contain unflattering personal information as well as assessments of witness credibility and legal positions. The disclosure of the contents of these documents could be devastating to the individuals they discuss. We try to accommodate Congressional needs for information about declinations whenever possible by making appropriate Department officials available to brief Committee Members and staff. This affords us an opportunity to answer their questions, which can be helpful because it can include the context and process that accompanied the decision. Hence, the discussion with staff may provide useful information and minimize the intrusion on individual privacy and the chill on our attorneys' preparation of future deliberative documents.

Line Attorneys

The Department also has a strong institutional interest in ensuring that appropriate supervisory personnel, rather than line attorneys and agents, answer Congressional questions about Department actions. This is based in part upon our view that supervisory personnel, not line employees, make the decisions that are the subjects of congressional review, and therefore they should be the ones to explain the decisions. More fundamentally, however, we need to ensure that our attorneys and agents can exercise the independent judgment essential to the integrity of law enforcement and litigation functions and to public confidence in those decisions. Senator Orrin Hatch has recognized the legitimacy of the Department's practice in this area, observing that Congressional examination of line attorneys "could chill career Department of Justice lawyers in the exercise of their daily duties." See Letter to Attorney General Janet Reno from Senator Orrin Hatch, dated September 21, 1993. Representative Henry Hyde has likewise opposed Congressional interviews of line prosecutors. See Letter of Representative Hyde to Representative Carlos Moorhead, dated September 7, 1993. By questioning supervisors and ultimately the Department's Senate-confirmed leadership, Congress can fulfill its oversight responsibilities without undermining the independence of line attorneys and agents.

* * *

In sum, the Department recognizes that the process of Congressional oversight is an important part of our system of government. We are committed to cooperating with oversight requests to the fullest extent consistent with our constitutional and statutory responsibilities.

We welcome your suggestions about how we should work together to accommodate the needs of our respective branches of government. Please do not hesitate to contact me if you would like to discuss these matters further. I intend at all times to work diligently with you toward satisfying the respective needs of our coordinate branches.

Sincerely,

Robert Raben
Assistant Attorney General

cc: The Honorable Tony Hall
Ranking Minority Member

Reps. Jordan and Meadows: Democrats don't care about the integrity of the census

By Reps. Jim Jordan and Mark Meadows

Published March 13, 2019
Fox News

Do you know how many people in the United States are American citizens? No one does. And the Democrats don't want you to find out.
For nearly 150 years, the United States asked people whether they were citizens when filling out various census forms. Thomas Jefferson first proposed the idea in 1800. A citizenship questionwas added to the official census in 1820. The question was consistently asked until 1960. In December of 2017, the Trump administration added the question back to the survey.

Democrats were furious when news broke that the citizenship question would be added to the 2020 census. They argued that "Adding [the] question to the 2020 census could scare away millions of immigrants from filling out their mandatory surveys."

Several liberal states immediately sued the Trump administration, mistakenly arguing that the administration had acted arbitrarily when it added the citizenship question back into the survey. The case now awaits its fate in the Supreme Court. But that isn't stopping the Democratic-led House Oversight Committee from calling Commerce Secretary Wilbur Ross to testify about the administration's decision on Thursday.

Such a hearing is designed to interfere with the ongoing Supreme Court case. The inappropriateness of this is not a partisan issue. Even President Bill Clinton's assistant attorney general, Robert Raben, warned that holding a Congressional hearing in the midst of litigation creates the risk that the court will be swayed by undue political and Congressional influence.
All of this begs the question: Why wouldn't we want to know how many American citizens live in America?

Asking a citizenship question is common when filling out government forms. For instance, states throughout the country ask people whether they are citizens when getting a driver's license, applying for college, and registering to vote.

The truth is, Democrats don't care about the integrity of the census. To them, political calculations are more important than the population count. Democrats believe that asking the citizenship question on the census will cause them to lose power in Washington. This is because the census is used to reapportion Congressional seats, and Democrats know that Congressional apportionment according to the population of citizens, rather than total population, will cause them to lose seats in Congress.

Democrats need the votes of non-citizens to survive as a party. That's why Democrats across the country are already campaigning for non-citizens to vote in U.S. elections.

Last October, liberals in San Francisco began allowing undocumented immigrants to register to vote in school board races. Last January, Democratic star Stacy Abrams said she "wouldn't oppose" non-citizens voting in local elections. Last week, 20 Democrats on the House Oversight Committee failed

to affirm the idea that allowing illegal immigrants the right to vote devalues the voting power of United States citizens.

The truth is, asking the citizenship question will help protect the sanctity of the Voting Rights Act, which was enacted to prevent the disenfranchisement of minority voters. The U.S. Department of Justice maintains that it needs accurate citizenship data in order to enforce voting protections, and that it cannot get accurate data without asking the citizenship question on the 2020 census. Protecting the Voting Rights Act is one of the principle campaign promises of the Democratic Party. Shouldn't that make this whole issue non-controversial? Sadly, that's not the case. As we've learned many times since 2016, the left is more focused on stopping the president than helping the country.

We should support the Trump administration's decision to add a citizenship question to the 2020 census. Lawsuits and Congressional hearings could do nothing but delay the non-partisan survey from taking place. This is disappointing because the Census Bureau has worked hard to make the 2020 census the easiest and most efficient census ever. In fact, for the first time in our history, people will be allowed to respond to the census online.

Let's be honest. Asking the citizenship question makes sense. Democrats on the House Oversight Committee should wake up and realize that this is a nonpartisan issue. If they don't, it will confirm that this week's hearing is nothing more than another attack on President Trump.

Republican Mark Meadows represents North Carolina's 11th District in the U.S. House of Representatives. He serves as chairman of the House Freedom Caucus and on the House Oversight Committee, Foreign Affairs Committee, and Transportation and Infrastructure Committee.

Republican Jim Jordan represents Ohio's Fourth District in the U.S. House of Representatives. He serves as the ranking member on the House Committee on Oversight and Reform, is a member of the House Judiciary Committee, and is a co-founder of the House Freedom Caucus.

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THE DAILY SIGNAL

Why the Commerce Secretary Shouldn't Testify to Lawmakers About the Census

Hans von Spakovsky / March 12, 2019

Commerce Secretary Wilbur Ross is scheduled to testify Thursday before the House Oversight and Reform Committee in a hearing on the Trump administration's reinstating a standard citizenship question on the U.S. census.

But with civil litigation over that very issue now before the Supreme Court, the House committee should cancel the hearing in recognition of the fact that having Ross testify is inappropriate and could, as the Justice Department has recognized in the past, jeopardize the government's litigation.

The Supreme Court is scheduled to hear oral arguments April 23 in Department of Commerce v. New York, in which the state of New York challenged the addition of the citizenship question to the 2020 census form.

The case presents two issues. First, whether a lower district court erred when it enjoined Ross, as secretary of the Department of Commerce, from reinstating the citizenship question. Second, whether the district court could compel the testimony of Ross to, as the government's brief says, "probe the mental processes of the agency decision-maker" outside of the administrative record in the case.

Rep. Elijah Cummings, D-Md., chairman of the Oversight and Reform Committee, says in a press release that Ross will testify about the "ongoing preparations for the census" and "the addition of a citizenship question."

No one questions the fact that Congress has oversight authority over the executive branch. As the Justice Department said in a letter dated Jan. 27, 2000, oversight is "an important underpinning of the legislative process."

Oversight provides Congress with information necessary to "rectify practical problems in current law or to address problems not covered by current law," the agency wrote to then-Rep. John Linder, who was chairman of a House subcommittee on rules and organization.

However, as Justice said in the letter, while its goal is to "satisfy legitimate legislative interests," it also must protect the executive branch's "confidentiality interests." Examples of confidential information

include "information the disclosure of which might compromise open … civil cases."

Congressional inquiries "during the pendency of a matter," Justice wrote, "pose an inherent threat to the integrity of the Department's law enforcement and litigation functions."

Although such confidentiality considerations are particularly important in criminal matters, the Justice Department (and thus the executive branch) have "similar interests in the confidentiality of internal documents relating to its representation of the United States in civil ligation."

Such files, it said:

> *[C]ontain confidential correspondence with client agencies as well as the work product of our attorneys in suits that frequently seek millions of tax dollars. They also contain 'road maps' of our litigation plans and preparations, as well as confidential reports from experts and consultants. Those plans could be seriously jeopardized and our positions in litigation compromised if we are obliged to disclose our internal deliberations including, but not limited to, our assessments of the strengths and weaknesses of evidence or the law, before they are presented in court. That may result in an unfair advantage to those who seek public funds and deprive the taxpayers of confidential representation enjoyed by other litigants.*

Moreover, according to Justice's 2000 letter, such congressional inquiries about ongoing litigation matters—such as Department of Commerce v. New York—"inescapably create the risk that the public and the courts will perceive undue political and Congressional influence over law enforcement and litigation decisions."

The Justice Department argues in its brief filed with the Supreme Court that Ross acted fully within his authority under federal law, 13 U.S.C. §141(a), to determine the "form and content" of the census and to "obtain such other census information as necessary."

The department also points out that the high court previously stayed an order from the district court compelling Ross' testimony.

Requiring Ross to answer questions from lawmakers about reinstating the citizenship question on the census potentially would reveal confidential information, as outlined in Justice's 2000 letter to Linder in the midst of an open case. It also would be obtaining testimony from the commerce secretary when the legitimacy of a lower court order compelling his testimony is a subject of contentious debate before the Supreme Court.

While the Supreme Court hasn't issued a final decision on the latter issue, it temporarily has stopped that lower court order from going into effect until it resolves the case. Forcing Ross to testify before the House committee would be an end run around the Supreme Court.

Under these circumstances, it is inappropriate for Ross to appear before the committee to answer questions. If the commerce secretary appears at all, no one should be surprised if the Justice Department advises him to refuse to answer any questions relevant to the issues being fought over in the courts.

As the Justice Department recognizes, "the process of Congressional oversight is an important part of our system of government." Executive branch agencies such as the Justice and Commerce Departments should cooperate with Congress when it is properly engaged in oversight.

But there are exceptions to that, including when Congress potentially is interfering with the executive branch's defense of its actions and policies in civil litigation. The Justice Department has an obligation to maintain the confidentiality of the internal deliberations, communications, and decisions of an agency that has been sued when Justice is defending that agency.

Once this case is over, and the Supreme Court has rendered a decision, congressional oversight may be appropriate to the extent it is needed for legislative purposes.

But now, with litigation in full swing and oral arguments only a month away, is not the time.



Democrat Fear-Mongering on the Citizenship Question: Gathering Census Information about Citizenship is Not New and Should Not be Controversial

Minority Staff Report
Committee on Oversight and Reform
U.S. House of Representatives

April 11, 2019

Executive Summary

Democrats do not want to know how many citizens there are in the United States. Although the Census Bureau solicits citizenship information from a portion of the population every year, Democrats now fear that a full survey of U.S. citizens will hurt their political fortunes for years to come.

To prevent this outcome, Democrats in Congress—including Chairman Elijah E. Cummings—have initiated an aggressive investigation of the Commerce Department's reinstatement of a citizenship question on the 2020 decennial census. As the Committee Republicans have documented, Chairman Cummings's investigation is designed to influence pending Supreme Court litigation by seeking documents from the Commerce Department that go directly to heart of the issue before the Supreme Court.[1]

The Democrat fear-mongering about the citizenship question on the 2020 Census is disingenuous and wrong. Soliciting citizenship information from the people present in the United States is not new and should not be controversial.

Every decennial census from 1820 to 1950 inquired about citizenship. From 1970 to 2000, the long-form census—sent to a segment of the population—inquired about citizenship. Since 2005, the Census Bureau has asked 3.5 million Americans about their citizenship every year.

State and local governments regularly ask residents for their citizenship status—for a driver's license or a firearm permit. The federal government asks every potential employee in the country whether they are a citizen. Other countries ask a citizenship question on their censuses, which the United Nations recommends as a best practice.

As Democrats stoke fear about the citizenship question, the facts say otherwise. The Census Bureau's chief scientist says there is no evidence the question will depress response rates. Federal law protects all information submitted via the Census, making it illegal to misuse citizenship information for a law-enforcement purpose. Aggregated and anonymized citizenship data is useful to policymakers in a number of different areas, including housing, education, and public health.

Chairman Cummings's partisan investigation of the Commerce Department's reinstatement of the citizenship question ignores these key points. His investigation, sadly, wastes Committee resources that could be dedicated to bipartisan oversight of the real challenges facing the 2020 Census. The Oversight Committee should not be mired in this wasteful, partisan investigation.

[1] STAFF OF H. COMM. ON OVERSIGHT & GOV'T REFORM, 116TH CONG., DEMOCRATS' INVESTIGATION OF THE CITIZENSHIP QUESTION: A TRANSPARENT ATTEMPT TO IMPROPERLY INFLUENCE THE SUPREME COURT OF THE UNITED STATES (2019).

Collecting Citizenship Information Is Not a New Practice

On March 26, 2018, Commerce Secretary Wilbur Ross announced his intention to reinstate a question regarding citizenship on the 2020 Census.[2] On March 29, 2018, the Census Bureau presented the 2020 Census questions to Congress, including the question regarding citizenship.[3] Democrats in Congress protested immediately, with then-Ranking Member Cummings calling it a "a new, untested question."[4] In reality, however, the Census Bureau solicited citizenship information on the long-form decennial census questionnaire until 2000 and has done it annually since 2005 on the American Community Survey.

The Census Bureau Already Routinely Collects Citizenship Information

A question about citizenship on the census is not new. Every decennial census from 1820 to 1950 asked about citizenship. From 1970 to 2000, the Census Bureau mailed a "long-form census" with the decennial census to five percent of American households.[5] In addition to asking the 10 basic census questions on the short form, the long-form census asked more expansive questions about a person's dwelling and the composition of the household. From 1970 to 2000, each long-form census asked a citizenship question.

Table 1: 1940 Census Citizenship Question[6]

What is the person's place of birth?
If foreign born, is the person a citizen?

Table 2: 1950 Census Citizenship Question[7]

1. What State or country was the person born in?
2. If foreign born, is the person naturalized?

[2] Letter from Hon. Wilbur Ross, Sec'y, Dep't of Commerce, to Karen Dunn Kelley, Undersecretary for Econ. Affairs, Dep't of Commerce (Mar. 26, 2018).
[3] Questions Planned for the 2020 Census and American Community Survey: Federal Legislative Programs and Uses, U.S. Census Bureau (March 2018).
[4] Press Release, H. Comm. on Oversight & Reform, Cummings Issues Statement Calling for Hearings on Trump Administration Plan to Add Citizenship Question to Census (Mar. 27, 2018), https://oversight.house.gov/news/press-releases/cummings-issues-statement-calling-for-hearings-on-trump-administration-plan-to.
[5] U.S. Census Bureau, History of Questionnaires available at https://www.census.gov/history/www/through_the_decades/questionnaires/.
[6] 1940 Census questions available at https://www.census.gov/history/www/through_the_decades/index_of_questions/1940_population.html.
[7] 1950 Census questions available at https://www.census.gov/history/www/through_the_decades/index_of_questions/1950_population.html.

Table 3: Citizenship Question – 1980 Long Form Population Survey[8]

In what state or foreign country was the person born?
If this person was born in a foreign country…
• Is this person a naturalized citizen of the United States?
• When did this person come the United States to stay?

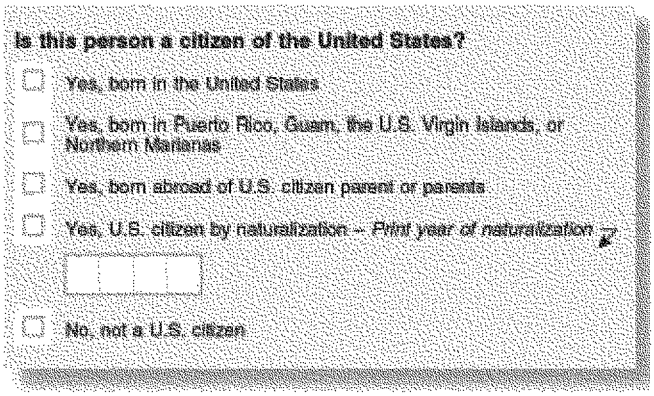
After the 2000 Census, the Census Bureau replaced the long-form census with the American Community Survey (ACS).[9] Unlike the long-form census, the Census Bureau conducts the ACS on a continuing, annual basis, sending the survey to about 3.5 million households each year.[10] The ACS includes expanded questions on demographics, dwelling unit, and household composition, as well as a series of detailed citizenship questions.[11] The proposed question about citizenship on the 2020 Census is similar to the question posed on the annual ACS survey.

Table 4: 2019 ACS Questionnaire - Citizenship[12]

Where was this person born?
• In the United States
• Outside the United States
Is this person a citizen of the United States?
• Yes, born in the United States
• Yes, born in Puerto Rico, Guam, the U.S. Virgin Islands, or Northern Marianas
• Yes, born abroad of U.S. citizen parent or parents
• Yes, U.S. citizen by naturalization
• No, not a U.S. citizen
When did this person come to live in the United States?

[8] 1980 Census questions available at https://www.census.gov/history/www/through_the_decades/index_of_questions/1980_population.html.
[9] U.S. Census Bureau, History: American Community Survey, available at https://www.census.gov/history/www/programs/demographic/american_community_survey.html.
[10] *Id.*
[11] U.S. Census Bureau, American Community Survey: Questions on the Form and Why We Ask, available at https://www.census.gov/acs/www/about/why-we-ask-each-question/.
[12] Citizenship questions on the 2019 ACS questionnaire are found on page 8, questions 7-9 available at https://www2.census.gov/programs-surveys/acs/methodology/questionnaires/2019/quest19.pdf?#.

Figure 1: 2020 Census Question on Citizenship



Until Secretary Ross's decision to reinstate a citizenship question on the 2020 Census, there had been no constitutional challenge to the inclusion of a citizenship question on the census or the ACS. During the Committee's March 14 hearing with Secretary Ross, Rep. Michael Cloud (R-TX) asked him about this issue. Secretary Ross testified:

> **Mr. Cloud:** There's been an argument that this question is unconstitutional, yet we've used it several times over the last 100 years and it's not been brought into question before. Is that correct?
>
> **Sec. Ross**: Oh, it's been used multiple times over the last 120 years, and the exact wording of this is what's been used each year on the ACS. That's one of the many reasons why in my March 26, 2018, memo I cited the fact that the Census Bureau professionals regarded this question as adequately tested because it had already been exposed with exactly those same words to more than 30 million Americans over a long period of years.[13]

Ranking Member Jim Jordan (R-OH) made the same point during the Committee's hearing with Secretary Ross, reminding the Committee that the citizenship question is not new and has been thoroughly tested. He explained:

> I would like to remind my colleagues the citizenship question is not new. It has appeared on previous decennial census questionnaires and is asked on the American Community Survey every single year. The majority apparently does not object to the American Community Survey asking a citizenship question, so I don't understand the majority's objection to the question now. It is the exact same question on both forms.

[13] *Commerce Secretary Wilbur L. Ross, Jr.: Hearing Before the H. Comm on Oversight and Reform*, 116th Cong. (2019).

> My colleagues complain the question hasn't been tested because it was added at the last minute. This argument is simply false. The question has already gone through rigorous testing, over more than a dozen years, as it has appeared on the American Community Survey. In fact, the American Community Survey required more rigorous testing for this question than the question would have received in 2018 Census test.[14]

State and Federal Entities Regularly Solicit Citizenship Information for a Variety of Reasons

In addition to the Census Bureau, other state and federal entities solicit and collect citizenship data for a variety of reasons, including employment and licensure. For example:

- The U.S. Citizenship and Immigration Services requires each prospective employee in the United States to submit an Employment Eligibility Verification Form (I-9 form), which asks about the employee's citizenship status;[15]
- The District of Columbia solicits citizenship status for individuals applying for a driver's license;[16]
- The state of Wisconsin similarly requests citizenship status for individuals applying for a driver's license;[17]
- The state of California asks about an individual's citizenship when applying to obtain a firearm;[18] and
- The state of Ohio requires an applicant for a concealed-carry license to state his or her citizenship.[19]

Other Countries Solicit Citizenship Information as Part of Their Censuses

The collection of citizenship information during a population census is actually a common practice among countries. In fact, as part of its principles and recommendations for

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[14] *Id.*

[15] Dep't of Homeland Security, U.S. Citizenship & Immigration Servs., Employment Eligibility Verification, https://www.uscis.gov/system/files_force/files/form/i-9-paper-version.pdf.

[16] D.C. Dep't of Motor Vehicles, DC Driver License or Identification Card Application, https://dmv.dc.gov/sites/default/files/dc/sites/dmv/publication/attachments/DMV%20BOE%20Application_2-25-19.pdf.

[17] Wisc. Dep't of Transportation, Wisconsin Driver License (DL) Application, https://wisconsindot.gov/Documents/formdocs/mv3001.pdf.

[18] CA Dep't of Justice, Bureau of Firearms, Personal Firearms Eligibility Check Application, https://oag.ca.gov/sites/all/files/agweb/pdfs/firearms/forms/pfecapp.pdf.

[19] State of Ohio, Application for a License to Carry a Concealed Handgun, https://www.ohioattorneygeneral.gov/Files/Forms/Forms-for-Law-Enforcement/Concealed-Carry-License-and-Renewal-Application.aspx.

population censuses, the United Nations recommends that countries gather citizenship information about its population.[20] As Secretary Ross testified during the Committee's hearing:

> The United Nations has recommended that countries ask the citizenship question or some form of it, and many countries do. I believe I mentioned a few. Australia, Canada, France, Germany, Ireland, Mexico, and the United Kingdom are a few that occurred to me offhand.[21]

Democrats Are Fear-Mongering about the Citizenship Question

Democrats are loudly protesting the reinstitution of the citizenship question on the 2020 Census, knowing that the question is not new, and that similar information is solicited regularly at all levels of government. Democrats are playing to fear, alleging that immigrant households will not respond to the census if it includes a question on their citizenship.[22] They make these arguments in spite of testimony from John Abowd, the Census Bureau's chief scientist, that "there is no credible quantitative evidence that the addition of the citizenship question will affect the accuracy of the count."[23] Stripping away this Democrat rhetoric, however, shows that citizenship information obtained though the Census is a proper use of the Commerce Secretary's authority, protected by federal law, and beneficial to policymakers.

Commerce Secretary Ross Is Authorized to Add a Citizenship Question to the Census

Federal law allows the Commerce Secretary to select the questions to be asked on the decennial census, so long as the Secretary meets certain statutory deadlines.[24] First, the Secretary must submit the proposed subjects for the decennial census to Congress three years before the appropriate census date.[25] Second, the Secretary must submit the final questions for a decennial census two years before the appropriate census date.[26] For the 2020 Census, the appropriate census date is April 1, 2020.

Secretary Ross adhered to this statutory timeline. On March 28, 2017—three years before the appropriate census date—Secretary Ross submitted the proposed subjects for the 2020 Census to Congress.[27] On March 29, 2018—two years before the appropriate census date—Secretary Ross submitted the final questions to Congress.[28]

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[20] United Nations, Principles and Recommendations for Population and Housing Censuses (2017), https://unstats.un.org/unsd/demographic-social/Standards-and-Methods/files/Principles_and_Recommendations/Population-and-Housing-Censuses/Series_M67rev3-E.pdf.
[21] *Supra* note 13.
[22] *Supra* note 13, at 103.
[23] *Supra* note 13.
[24] 13 U.S. Code § 141 (1976).
[25] 13 U.S. Code § 141(f)(1) (1976).
[26] *Id.* at § 141(f)(2).
[27] U.S. Dep't of Commerce, Subjects Planned for the 2020 Census and American Community Survey (Issued March 2017), https://www2.census.gov/library/publications/decennial/2020/operations/planned-subjects-2020-acs.pdf.
[28] Questions Planned for the 2020 Census and American Community Survey: Federal Legislative Programs and Uses, U.S. Census Bureau (March 2018).

On December 12, 2017, the Department of Justice (DOJ) formally asked the Census Bureau to add a citizenship question to the 2020 Census.[29] DOJ explained that it needed more specific census-block data to enforce provision of the Voting Rights Act.[30] Following the DOJ letter, using his authority under federal law, Secretary Ross decided to add a citizenship question.

Secretary Ross explained his reasoning in a March 26, 2018 memorandum, writing:

> To conclude, after a thorough review of the legal, program, and policy considerations, as well as numerous discussions with the Census Bureau leadership and interested stakeholders, I have determined that reinstatement of a citizenship question on the 2020 decennial census is necessary to provide complete and accurate data in response to the DOJ request. To minimize any impact on decennial census response rates, I am directing the Census Bureau to place the citizenship question last on the decennial census form.[31]

Census-Solicited Citizenship Information Cannot Be Used for Immigration Enforcement

Some have alleged that the responses to the citizenship question could be used for law enforcement or immigration proceedings.[32] However, federal law strictly protects all data provided to the Census Bureau. Disclosure of census data is punishable by five years in prison and a $250,000 fine.[33] All officers, employees (permanent and temporary), contractors, volunteers, or anyone else handling census data must sign a lifetime oath to keep the data confidential.[34]

In addition, the Census Bureau goes to great lengths to ensure that any statistical data it obtains is anonymized and cannot be traced back to an individual person or household. The Census Bureau does not share individual responses with other agencies. Aggregated data sets generated from respondent information may be shared with other agencies, but only for statistical uses and only if the agency has requested the data from the Commerce Secretary.

Citizenship information obtained by the Census Bureau cannot be used for immigration enforcement or any other law enforcement purpose. Although census data was used to locate

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[29] Letter from Hon. Arthur E. Gary, General Counsel, Justice Management Division, U.S. Dep't of Justice to Hon. Ron Jarmin, Acting Dir., Census Bureau (Dec. 12, 2017) (on file with the Committee).
[30] *Id.* at 2.
[31] *Supra* note 2.
[32] Letter from the Leadership Conference on Civil and Human Rights, et. al., to Hon. Wilbur Ross, Sec'y, U.S. Dep't of Commerce (January 8, 2018) available at https://censusproject.files.wordpress.com/2018/01/doj-citizenship-q-proposal-final.pdf.
[33] Press Release, The U.S. Census Bureau's Commitment to Confidentiality (May 7, 2018), https://www.census.gov/newsroom/blogs/director/2018/05/the_u_s_census_bure.html.
[34] In 2018, Committee staff traveled to Rhode Island to conduct oversight of the 2018 Census Test. Committee staff was required to sign documents swearing not to disclose any private information, in perpetuity, with which the staff may encounter over the course of the time conducting oversight.

Japanese-Americans for relocation to internment camps in the early 1940s,[35] such disclosures would be unlawful today. At a Committee hearing in 2018, the Justice Department and the Commerce Department confirmed that citizenship data would not be used for law enforcement purposes.[36]

In fact, citizenship information obtained by the Census Bureau would not be useful for immigration enforcement because the census question does not ask about legal status. As Secretary Ross explained in his testimony:

> The census question will not ask about legal status of the respondent. It simply asks about the factual status, citizen or not, and some questions about where they came from. There is nothing in the census data that can be used by enforcement authorities for immigration or for any other purpose.
>
> Under Title 13 [of the U.S. Code], everyone at the census who has access to the data has taken a lifetime oath not to reveal that information to anyone outside, the detailed private information. Consequently—and anyone who violates that is subject to years in prison and large fines.
>
> So it is a very serious, very important factor of the census that no one's individual data will be used for any other purpose other than the aggregations that we provide externally.
>
> So this is not a tool as such for immigration. Our job is simply to count the people, whether citizen or not. And it is not our job to become involved with any other function of government.[37]

Citizenship Information Is Useful to Policymakers for a Variety of Reasons

Despite Democrat hysteria about the citizenship question, policymakers at all levels of government use anonymized and aggregated citizenship data for legitimate reasons. In fact, one of the cornerstones of the Census Bureau is providing free, unencumbered, public access to statistical data. Currently, without a citizenship question on the decennial census, the Census Bureau relies on citizenship data collected through ACS sampling.

Citizenship information is a component of the Justice Department's enforcement of the Voting Rights Act (VRA). In its letter to the Census Bureau, the Justice Department noted, "[f]or years, the Department used the data collected in response to that [citizenship] question in

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[35] Lori Aratani, *Secret use of census info helped send Japanese Americans to internment camps in WWII,* WASH POST (Apr. 6, 2018), https://www.washingtonpost.com/news/retropolis/wp/2018/04/03/secret-use-of-census-info-helped-send-japanese-americans-to-internment-camps-in-wwii/?utm_term=.57bae905a26f.

[36] *Progress Report on the 2020 Census: Hearing Before the H. Comm. on Oversight and Gov't Reform,* 115th Cong. 57-58 and 80-81 (May 8, 2018) (statement of Earl Comstock, Dept. of Commerce).

[37] *Supra* note 13.

assessing compliance with Section 2 [of the VRA] and in litigation to enforce Section 2's protections against racial discrimination in voting."[38] The letter further stated, "the ACS is currently the only survey that collects information regarding citizenship and estimates citizen voting-age population."[39]

According to the Census Bureau, state and local governments currently use citizenship data obtained from the ACS for many purposes, including to:

- determine how many citizen and non-citizens are receiving public benefits, like Medicaid and Supplemental Nutrition Assistance Program;
- better target local resources to address local problems like drug use in immigrant communities;
- align educational resources in a community, like determining scholarship assistance;
- determine homeownership rates for citizens and non-citizens in their communities; and
- help local businesses understand the changing demographics of the community to better inform business decisions.[40]

Conclusion

The Census Bureau has solicited citizenship information in a variety of formats almost continuously from 1850 to the present. It is only now, when the Trump Administration decides to reinstate the citizenship question on the decennial census, that Democrats and liberal special interests object to collecting citizenship data.

Chairman Cummings has initiated a partisan investigation designed to solicit the same information from the Commerce Department that is currently at issue before the Supreme Court. His investigation is a key part of the Democrat effort to sow apprehension and illegitimacy around the reinstatement of the citizenship question on the 2020 Census.

Chairman Cummings's investigation is also, unfortunately, a missed opportunity. By dedicating the Committee's limited resources toward a partisan investigation, the Chairman is sacrificing bipartisan oversight of the real challenges facing the census—such as information technology, hiring and recruiting, communications and partnership programs, opening area census offices, and the census print contract. If Chairman Cummings focused on these issues rather than pursuing a partisan investigation of the citizenship question, the Committee could have a real chance to help mitigate potential waste, fraud, and abuse in the 2020 Census.

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[38] *Supra* note 29 at 2.
[39] *Id.*
[40] U.S. Census Bureau, American Community Survey, "Why We Ask Questions About...Place of Birth, Citizenship, Year of Entry," available at https://www.census.gov/acs/www/about/why-we-ask-each-question/citizenship/.

UNITED STATES DEPARTMENT OF COMMERCE
The Secretary of Commerce
Washington, D.C. 20230

To: Karen Dunn Kelley, Under Secretary for Economic Affairs

From: Secretary Wilbur Ross

Date: March 26, 2018

Re: Reinstatement of a Citizenship Question on the 2020 Decennial Census Questionnaire

Dear Under Secretary Kelley:

As you know, on December 12, 2017, the Department of Justice ("DOJ") requested that the Census Bureau reinstate a citizenship question on the decennial census to provide census block level citizenship voting age population ("CVAP") data that are not currently available from government survey data ("DOJ request"). DOJ and the courts use CVAP data for determining violations of Section 2 of the Voting Rights Act ("VRA"), and having these data at the census block level will permit more effective enforcement of the Act. Section 2 protects minority population voting rights.

Following receipt of the DOJ request, I set out to take a hard look at the request and ensure that I considered all facts and data relevant to the question so that I could make an informed decision on how to respond. To that end, the Department of Commerce ("Department") immediately initiated a comprehensive review process led by the Census Bureau.

The Department and Census Bureau's review of the DOJ request – as with all significant Census assessments – prioritized the goal of obtaining *complete and accurate data*. The decennial census is mandated in the Constitution and its data are relied on for a myriad of important government decisions, including apportionment of Congressional seats among states, enforcement of voting rights laws, and allocation of federal funds. These are foundational elements of our democracy, and it is therefore incumbent upon the Department and the Census Bureau to make every effort to provide a complete and accurate decennial census.

At my direction, the Census Bureau and the Department's Office of the Secretary began a thorough assessment that included legal, program, and policy considerations. As part of the process, I also met with Census Bureau leadership on multiple occasions to discuss their process for reviewing the DOJ request, their data analysis, my questions about accuracy and response rates, and their recommendations. At present, the Census Bureau leadership are all career civil servants. In addition, my staff and I reviewed over 50 incoming letters from stakeholders, interest groups, Members of Congress, and state and local officials regarding reinstatement of a citizenship question on the 2020 decennial census, and I personally had specific conversations on

the citizenship question with over 24 diverse, well informed and interested parties representing a broad range of views. My staff and I have also monitored press coverage of this issue.

Congress has delegated to me the authority to determine which questions should be asked on the decennial census, and I may exercise my discretion to reinstate the citizenship question on the 2020 decennial census, especially based on DOJ's request for improved CVAP data to enforce the VRA. By law, the list of decennial census questions is to be submitted two years prior to the decennial census – in this case, no later than March 31, 2018.

The Department's review demonstrated that collection of citizenship data by the Census has been a long-standing historical practice. Prior decennial census surveys of the entire United States population consistently asked citizenship questions up until 1950, and Census Bureau surveys of sample populations continue to ask citizenship questions to this day. In 2000, the decennial census "long form" survey, which was distributed to one in six people in the U.S., included a question on citizenship. Following the 2000 decennial census, the "long form" sample was replaced by the American Community Survey ("ACS"), which has included a citizenship question since 2005. Therefore, the citizenship question has been well tested.

DOJ seeks to obtain CVAP data for census blocks, block groups, counties, towns, and other locations where potential Section 2 violations are alleged or suspected, and DOJ states that the current data collected under the ACS are insufficient in scope, detail, and certainty to meet its purpose under the VRA. The Census Bureau has advised me that the census-block-level citizenship data requested by DOJ are not available using the annual ACS, which as noted earlier does ask a citizenship question and is the present method used to provide DOJ and the courts with data used to enforce Section 2 of the VRA. The ACS is sent on an annual basis to a sample of approximately 2.6 percent of the population.

To provide the data requested by DOJ, the Census Bureau initially analyzed three alternatives: Option A was to continue the status quo and use ACS responses; Option B was placing the ACS citizenship question on the decennial census, which goes to every American household; and Option C was not placing a question on the decennial census and instead providing DOJ with a citizenship analysis for the entire population using federal administrative record data that Census has agreements with other agencies to access for statistical purposes.

Option A contemplates rejection of the DOJ request and represents the status quo baseline. Under Option A, the 2020 decennial census would not include the question on citizenship that DOJ requested and therefore would not provide DOJ with improved CVAP data. Additionally, the block-group level CVAP data currently obtained through the ACS has associated margins of error because the ACS is extrapolated based on sample surveys of the population. Providing more precise block-level data would require sophisticated statistical modeling, and if Option A is selected, the Census Bureau advised that it would need to deploy a team of experts to develop model-based methods that attempt to better facilitate DOJ's request for more specific data. But the Census Bureau did not assert and could not confirm that such data modeling is possible for census-block-level data with a sufficient degree of accuracy. Regardless, DOJ's request is based at least in part on the fact that existing ACS citizenship data-sets lack specificity and

completeness. Any future modeling from these incomplete data would only compound that problem.

Option A would provide no improved citizenship count, as the existing ACS sampling would still fail to obtain *actual*, complete number counts, especially for certain lower population areas or voting districts, and there is no guarantee that data could be improved using small-area modeling methods. Therefore, I have concluded that Option A is not a suitable option.

The Census Bureau and many stakeholders expressed concern that **Option B**, which would add a citizenship question to the decennial census, would negatively impact the response rate for non-citizens. A significantly lower response rate by non-citizens could reduce the accuracy of the decennial census and increase costs for non-response follow up ("NRFU") operations. However, neither the Census Bureau nor the concerned stakeholders could document that the response rate would in fact decline materially. In discussing the question with the national survey agency Nielsen, it stated that it had added questions from the ACS on sensitive topics such as place of birth and immigration status to certain short survey forms without any appreciable decrease in response rates. Further, the former director of the Census Bureau during the last decennial census told me that, while he wished there were data to answer the question, none existed to his knowledge. Nielsen's Senior Vice President for Data Science and the former Deputy Director and Chief Operating Officer of the Census Bureau under President George W. Bush also confirmed that, to the best of their knowledge, no empirical data existed on the impact of a citizenship question on responses.

When analyzing Option B, the Census Bureau attempted to assess the impact that reinstatement of a citizenship question on the decennial census would have on response rates by drawing comparisons to ACS responses. However, such comparative analysis was challenging, as response rates generally vary between decennial censuses and other census sample surveys. For example, ACS self-response rates were 3.1 percentage points less than self-response rates for the 2010 decennial census. The Bureau attributed this difference to the greater outreach and follow-up associated with the Constitutionally-mandated decennial census. Further, the decennial census has differed significantly in nature from the sample surveys. For example, the 2000 decennial census survey contained only eight questions. Conversely, the 2000 "long form" sample survey contained over 50 questions, and the Census Bureau estimated it took an average of over 30 minutes to complete. ACS surveys include over 45 questions on numerous topics, including the number of hours worked, income information, and housing characteristics.

The Census Bureau determined that, for 2013-2016 ACS surveys, nonresponses to the citizenship question for non-Hispanic whites ranged from 6.0 to 6.3 percent, for non-Hispanic blacks ranged from 12.0 to 12.6 percent, and for Hispanics ranged from 11.6 to 12.3 percent. However, these rates were comparable to nonresponse rates for other questions on the 2013 and 2016 ACS. Census Bureau estimates showed similar nonresponse rate ranges occurred for questions on the ACS asking the number times the respondent was married, 4.7 to 6.9 percent; educational attainment, 5.6 to 8.5 percent; monthly gas costs, 9.6 to 9.9 percent; weeks worked in the past 12 months, 6.9 to 10.6 percent; wages/salary income, 8.1 to 13.4 percent; and yearly property insurance, 23.9 to 25.6 percent.

The Census Bureau also compared the self-response rate differences between citizen and non-citizen households' response rates for the 2000 decennial census short form (which did not include a citizenship question) and the 2000 decennial census long form survey (the long form survey, distributed to only one in six households, included a citizenship question in 2000). Census found the decline in self-response rates for non-citizens to be 3.3 percent greater than for citizen households. However, Census was not able to isolate what percentage of decline was caused by the inclusion of a citizenship question rather than some other aspect of the long form survey (it contained over six times as many questions covering a range of topics). Indeed, the Census Bureau analysis showed that for the 2000 decennial census there was a significant drop in self response rates overall between the short and long form; the mail response rate was 66.4 percent for the short form and only 53.9 percent for the long form survey. So while there is widespread belief among many parties that adding a citizenship question could reduce response rates, the Census Bureau's analysis did not provide definitive, empirical support for that belief.

Option C, the use of administrative records rather than placing a citizenship question on the decennial census, was a potentially appealing solution to the DOJ request. The use of administrative records is increasingly part of the fabric and design of modern censuses, and the Census Bureau has been using administrative record data to improve the accuracy and reduce the cost of censuses since the early 20th century. A Census Bureau analysis matching administrative records with the 2010 decennial census and ACS responses over several more recent years showed that using administrative records could be more accurate than self-responses in the case of non-citizens. That Census Bureau analysis showed that between 28 and 34 percent of the citizenship self-responses for persons that administrative records show are non-citizens were inaccurate. In other words, when non-citizens respond to long form or ACS questions on citizenship, they inaccurately mark "citizen" about 30 percent of the time. However, the Census Bureau is still evolving its use of administrative records, and the Bureau does not yet have a complete administrative records data set for the entire population. Thus, using administrative records alone to provide DOJ with CVAP data would provide an incomplete picture. In the 2010 decennial census, the Census Bureau was able to match 88.6 percent of the population with what the Bureau considers credible administrative record data. While impressive, this means that more than 10 percent of the American population – some 25 million voting age people – would need to have their citizenship imputed by the Census Bureau. Given the scale of this number, it was imperative that another option be developed to provide a greater level of accuracy than either self-response alone or use of administrative records alone would presently provide.

I therefore asked the Census Bureau to develop a fourth alternative, **Option D**, which would combine Options B and C. Under Option D, the ACS citizenship question would be asked on the decennial census, and the Census Bureau would use the two years remaining until the 2020 decennial census to further enhance its administrative record data sets, protocols, and statistical models to provide more complete and accurate data. This approach would maximize the Census Bureau's ability to match the decennial census responses with administrative records. Accordingly, at my direction the Census Bureau is working to obtain as many additional Federal and state administrative records as possible to provide more comprehensive information for the population.

It is my judgment that Option D will provide DOJ with the most complete and accurate CVAP data in response to its request. Asking the citizenship question of 100 percent of the population gives each respondent the opportunity to provide an answer. This may eliminate the need for the Census Bureau to have to impute an answer for millions of people. For the approximately 90 percent of the population who are citizens, this question is no additional imposition. And for the approximately 70 percent of non-citizens who already answer this question accurately on the ACS, the question is no additional imposition since census responses by law may only be used anonymously and for statistical purposes. Finally, placing the question on the decennial census and directing the Census Bureau to determine the best means to compare the decennial census responses with administrative records will permit the Census Bureau to determine the inaccurate response rate for citizens and non-citizens alike using the entire population. This will enable the Census Bureau to establish, to the best of its ability, the accurate ratio of citizen to non-citizen responses to impute for that small percentage of cases where it is necessary to do so.

Consideration of Impacts I have carefully considered the argument that the reinstatement of the citizenship question on the decennial census would depress response rate. Because a lower response rate would lead to increased non-response follow-up costs and less accurate responses, this factor was an important consideration in the decision-making process. I find that the need for accurate citizenship data and the limited burden that the reinstatement of the citizenship question would impose outweigh fears about a potentially lower response rate.

Importantly, the Department's review found that limited empirical evidence exists about whether adding a citizenship question would decrease response rates materially. Concerns about decreased response rates generally fell into the following two categories – distrust of government and increased burden. First, stakeholders, particularly those who represented immigrant constituencies, noted that members of their respective communities generally distrusted the government and especially distrusted efforts by government agencies to obtain information about them. Stakeholders from California referenced the difficulty that government agencies faced obtaining any information from immigrants as part of the relief efforts after the California wildfires. These government agencies were not seeking to ascertain the citizenship status of these wildfire victims. Other stakeholders referenced the political climate generally and fears that Census responses could be used for law enforcement purposes. But no one provided evidence that reinstating a citizenship question on the decennial census would materially decrease response rates among those who generally distrusted government and government information collection efforts, disliked the current administration, or feared law enforcement. Rather, stakeholders merely identified residents who made the decision not to participate regardless of whether the Census includes a citizenship question. The reinstatement of a citizenship question will not decrease the response rate of residents who already decided not to respond. And no one provided evidence that there are residents who would respond accurately to a decennial census that did not contain a citizenship question but would not respond if it did (although many believed that such residents had to exist). While it is possible this belief is true, there is no information available to determine the number of people who would in fact not respond due to a citizenship question being added, and no one has identified any mechanism for making such a determination.

A second concern that stakeholders advanced is that recipients are generally less likely to respond to a survey that contained more questions than one that contained fewer. The former Deputy Director and Chief Operating Officer of the Census Bureau during the George W. Bush administration described the decennial census as particularly fragile and stated that any effort to add questions risked lowering the response rate, especially a question about citizenship in the current political environment. However, there is limited empirical evidence to support this view. A former Census Bureau Director during the Obama Administration who oversaw the last decennial census noted as much. He stated that, even though he believed that the reinstatement of a citizenship question would decrease response rate, there is limited evidence to support this conclusion. This same former director noted that, in the years preceding the decennial census, certain interest groups consistently attack the census and discourage participation. While the reinstatement of a citizenship question may be a data point on which these interest groups seize in 2019, past experience demonstrates that it is likely efforts to undermine the decennial census will occur again regardless of whether the decennial census includes a citizenship question. There is no evidence that residents who are persuaded by these disruptive efforts are more or less likely to make their respective decisions about participation based specifically on the reinstatement of a citizenship question. And there are actions that the Census Bureau and stakeholder groups are taking to mitigate the impact of these attacks on the decennial census.

Additional empirical evidence about the impact of sensitive questions on survey response rates came from the SVP of Data Science at Nielsen. When Nielsen added questions on place of birth and time of arrival in the United States (both of which were taken from the ACS) to a short survey, the response rate was not materially different than it had been before these two questions were added. Similarly, the former Deputy Director and COO of the Census during the George W. Bush Administration shared an example of a citizenship-like question that he believed would negatively impact response rates but did not. He cited to the Department of Homeland Security's 2004 request to the Census Bureau to provide aggregate data on the number of Arab Americans by zip code in certain areas of the country. The Census Bureau complied, and Census employees, including the then-Deputy Director, believed that the resulting political firestorm would depress response rates for further Census Bureau surveys in the impacted communities. But the response rate did not change materially.

Two other themes emerged from stakeholder calls that merit discussion. First, several stakeholders who opposed reinstatement of the citizenship question did not appreciate that the question had been asked in some form or another for nearly 200 years. Second, other stakeholders who opposed reinstatement did so based on the assumption that the data on citizenship that the Census Bureau collects through the ACS are accurate, thereby obviating the need to ask the question on the decennial census. But as discussed above, the Census Bureau estimates that between 28 and 34 percent of citizenship self-responses on the ACS for persons that administrative records show are non-citizens were inaccurate. Because these stakeholder concerns were based on incorrect premises, they are not sufficient to change my decision.

Finally, I have considered whether reinstating the citizenship question on the 2020 Census will lead to any significant monetary costs, programmatic or otherwise. The Census Bureau staff have advised that the costs of preparing and adding the question would be minimal due in large part to the fact that the citizenship question is already included on the ACS, and thus the citizenship question has already undergone the cognitive research and questionnaire testing required for new questions. Additionally, changes to the Internet Self-Response instrument, revising the Census Questionnaire Assistance, and redesigning of the printed questionnaire can be easily implemented for questions that are finalized prior to the submission of the list of questions to Congress.

The Census Bureau also considered whether non-response follow-up increases resulting from inclusion of the citizenship question would lead to increased costs. As noted above, this estimate was difficult to assess given the Census Bureau and Department's inability to determine what impact there will be on decennial census survey responses. The Bureau provided a rough estimate that postulated that up to 630,000 additional households may require NRFU operations if a citizenship question is added to the 2020 decennial census. However, even assuming that estimate is correct, this additional ½ percent increase in NRFU operations falls well within the margin of error that the Department, with the support of the Census Bureau, provided to Congress in the revised Lifecycle Cost Estimate ("LCE") this past fall. That LCE assumed that NRFU operations might increase by 3 percent due to numerous factors, including a greater increase in citizen mistrust of government, difficulties in accessing the Internet to respond, and other factors.

Inclusion of a citizenship question on this country's decennial census is not new – the decision to collect citizenship information from Americans through the decennial census was first made centuries ago. The decision to include a citizenship question on a national census is also not uncommon. The United Nations recommends that its member countries ask census questions identifying both an individual's country of birth and the country of citizenship. *Principals and Recommendations for Population and Housing Censuses (Revision 3)*, UNITED NATIONS 121 (2017). Additionally, for countries in which the population may include a large portion of naturalized citizens, the United Nations notes that, "it may be important to collect information on the method of acquisition of citizenship." *Id.* at 123. And it is important to note that other major democracies inquire about citizenship on their census, including Australia, Canada, France, Germany, Indonesia, Ireland, Mexico, Spain, and the United Kingdom, to name a few.

The Department of Commerce is not able to determine definitively how inclusion of a citizenship question on the decennial census will impact responsiveness. However, even if there is some impact on responses, the value of more complete and accurate data derived from surveying the entire population outweighs such concerns. Completing and returning decennial census questionnaires is required by Federal law, those responses are protected by law, and inclusion of a citizenship question on the 2020 decennial census will provide more complete information for those who respond. The citizenship data provided to DOJ will be more accurate with the question than without it, which is of greater importance than any adverse effect that may result from people violating their legal duty to respond.

To conclude, after a thorough review of the legal, program, and policy considerations, as well as numerous discussions with the Census Bureau leadership and interested stakeholders, I have determined that reinstatement of a citizenship question on the 2020 decennial census is necessary to provide complete and accurate data in response to the DOJ request. To minimize any impact on decennial census response rates, I am directing the Census Bureau to place the citizenship question last on the decennial census form.

Please make my decision known to Census Bureau personnel and Members of Congress prior to March 31, 2018. I look forward to continuing to work with the Census Bureau as we strive for a complete and accurate 2020 decennial census.

CC: Ron Jarmin, performing the nonexclusive functions and duties of the Director of the Census Bureau

Enrique Lamas, performing the nonexclusive functions and duties of the Deputy Director of the Census Bureau

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

THE American Community Survey

This booklet shows the content of the American Community Survey questionnaire.

INFORMATIONAL COPY

People are our most important resource. This Census Bureau survey collects information about education, employment, income, and housing—information your community uses to plan and fund programs. Your response is important, and we keep your answers confidential.

If you need help or have questions about completing this form, please call **1-800-354-7271**. The telephone call is free.

Telephone Device for the Deaf (TDD):
Call 1–800–582–8330. The telephone call is free.

¿NECESITA AYUDA? Si usted habla español y necesita ayuda para completar su cuestionario, llame sin cargo alguno al **1–877–833–5625.**

For more information about the American Community Survey, visit our web site at: http://www.census.gov/acs/www/

USCENSUSBUREAU

Start Here

This form asks for three types of information:
- basic information about the people who are living or staying at the address on the mailing label above
- specific information about this house, apartment, or mobile home
- more detailed information about each person living or staying here

What is your name? Please PRINT the name of the person who is filling out this form. Include the telephone number so we can contact you if there is a question, and today's date.

Last Name

First Name MI

Area Code + Number

Date (Month/Day/Year)

How many people are living or staying at this address?

Number of people

Please turn to the next page to continue.

FORM **ACS-1(INFO)(2005)** [5-26-2004] OMB No. 0607-0810

ACS-1(INFO)(2005), Page 1, Base (Black)
ACS-1(INFO)(2005), Page 1, GREEN Pantone 354 (20% and 100%)

List of Residents

READ THESE INSTRUCTIONS FIRST

Please fill out this form as soon as possible after receiving it in the mail.

- **LIST** everyone who is living or staying here for more than 2 months.
- **LIST** anyone else staying here who does not have another usual place to stay.
- **DO NOT LIST** anyone who is living somewhere else for more than 2 months, such as a college student living away.

If this place is a **vacation home** or a **temporary residence** where no one in this household stays for more than 2 months, do not list any names in the List of Residents. **Complete only pages 4, 5, and 6 and return the form.**

IF YOU ARE NOT SURE WHOM TO LIST, CALL 1-800-354-7271.

	1 What is this person's sex?	2 What is this person's age and what is this person's date of birth? *Print numbers in boxes.*	3 How is this person related to Person 1?
Person 1 Last Name *(Please print)* First Name MI	☐ Male ☐ Female	Age (in years) Month Day Year of birth	☒ Person 1 *(Person 1 is the person living or staying here in whose name this house or apartment is owned, being bought, or rented. If there is no such person, start with the name of any adult living or staying here.)*
Person 2 Last Name *(Please print)* First Name MI	☐ Male ☐ Female	Age (in years) Month Day Year of birth	*Relationship of Person 2 to Person 1* ☐ Husband or wife ☐ Son or daughter ☐ Brother or sister ☐ Father or mother ☐ Grandchild ☐ In-law ☐ Other relative ☐ Roomer, boarder ☐ Housemate, roommate ☐ Unmarried partner ☐ Foster child ☐ Other nonrelative
Person 3 Last Name *(Please print)* First Name MI	☐ Male ☐ Female	Age (in years) Month Day Year of birth	*Relationship of Person 3 to Person 1* ☐ Husband or wife ☐ Son or daughter ☐ Brother or sister ☐ Father or mother ☐ Grandchild ☐ In-law ☐ Other relative ☐ Roomer, boarder ☐ Housemate, roommate ☐ Unmarried partner ☐ Foster child ☐ Other nonrelative
Person 4 Last Name *(Please print)* First Name MI	☐ Male ☐ Female	Age (in years) Month Day Year of birth	*Relationship of Person 4 to Person 1* ☐ Husband or wife ☐ Son or daughter ☐ Brother or sister ☐ Father or mother ☐ Grandchild ☐ In-law ☐ Other relative ☐ Roomer, boarder ☐ Housemate, roommate ☐ Unmarried partner ☐ Foster child ☐ Other nonrelative
Person 5 Last Name *(Please print)* First Name MI	☐ Male ☐ Female	Age (in years) Month Day Year of birth	*Relationship of Person 5 to Person 1* ☐ Husband or wife ☐ Son or daughter ☐ Brother or sister ☐ Father or mother ☐ Grandchild ☐ In-law ☐ Other relative ☐ Roomer, boarder ☐ Housemate, roommate ☐ Unmarried partner ☐ Foster child ☐ Other nonrelative

If there are more than five people, list them here. *We may call you for more information about them.*

Person 6
Last Name *(Please print)*
First Name MI

Person 7
Last Name *(Please print)*
First Name MI

Person 8
Last Name *(Please print)*
First Name MI

After you've created the List of Residents, answer the questions across the top of the page for the first five people on the list.

INFORMATIONAL COPY

NOTE: Please answer BOTH Questions 5 and 6.

4 What is this person's marital status?	5 Is this person Spanish/ Hispanic/Latino? *Mark (X) the "No" box if not Spanish/Hispanic/Latino.*	6 What is this person's race? ***Mark (X) one or more races*** *to indicate what this person considers himself/herself to be.*		
☐ Now married ☐ Widowed ☐ Divorced ☐ Separated ☐ Never married	☐ **No**, not Spanish/Hispanic/Latino ☐ Yes, Mexican, Mexican Am., Chicano ☐ Yes, Puerto Rican ☐ Yes, Cuban ☐ Yes, other Spanish/Hispanic/ Latino — *Print group.*	☐ White ☐ Black or African American ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*	☐ Asian Indian ☐ Chinese ☐ Filipino ☐ Japanese ☐ Korean ☐ Vietnamese ☐ Other Asian – *Print race.*	☐ Native Hawaiian ☐ Guamanian or Chamorro ☐ Samoan ☐ Other Pacific Islander – *Print race below.* ☐ Some other race – *Print race below.*
☐ Now married ☐ Widowed ☐ Divorced ☐ Separated ☐ Never married	☐ **No**, not Spanish/Hispanic/Latino ☐ Yes, Mexican, Mexican Am., Chicano ☐ Yes, Puerto Rican ☐ Yes, Cuban ☐ Yes, other Spanish/Hispanic/ Latino — *Print group.*	☐ White ☐ Black or African American ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*	☐ Asian Indian ☐ Chinese ☐ Filipino ☐ Japanese ☐ Korean ☐ Vietnamese ☐ Other Asian – *Print race.*	☐ Native Hawaiian ☐ Guamanian or Chamorro ☐ Samoan ☐ Other Pacific Islander – *Print race below.* ☐ Some other race – *Print race below.*
☐ Now married ☐ Widowed ☐ Divorced ☐ Separated ☐ Never married	☐ **No**, not Spanish/Hispanic/Latino ☐ Yes, Mexican, Mexican Am., Chicano ☐ Yes, Puerto Rican ☐ Yes, Cuban ☐ Yes, other Spanish/Hispanic/ Latino — *Print group.*	☐ White ☐ Black or African American ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*	☐ Asian Indian ☐ Chinese ☐ Filipino ☐ Japanese ☐ Korean ☐ Vietnamese ☐ Other Asian – *Print race.*	☐ Native Hawaiian ☐ Guamanian or Chamorro ☐ Samoan ☐ Other Pacific Islander – *Print race below.* ☐ Some other race – *Print race below.*
☐ Now married ☐ Widowed ☐ Divorced ☐ Separated ☐ Never married	☐ **No**, not Spanish/Hispanic/Latino ☐ Yes, Mexican, Mexican Am., Chicano ☐ Yes, Puerto Rican ☐ Yes, Cuban ☐ Yes, other Spanish/Hispanic/ Latino — *Print group.*	☐ White ☐ Black or African American ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*	☐ Asian Indian ☐ Chinese ☐ Filipino ☐ Japanese ☐ Korean ☐ Vietnamese ☐ Other Asian – *Print race.*	☐ Native Hawaiian ☐ Guamanian or Chamorro ☐ Samoan ☐ Other Pacific Islander – *Print race below.* ☐ Some other race – *Print race below.*
☐ Now married ☐ Widowed ☐ Divorced ☐ Separated ☐ Never married	☐ **No**, not Spanish/Hispanic/Latino ☐ Yes, Mexican, Mexican Am., Chicano ☐ Yes, Puerto Rican ☐ Yes, Cuban ☐ Yes, other Spanish/Hispanic/ Latino — *Print group.*	☐ White ☐ Black or African American ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*	☐ Asian Indian ☐ Chinese ☐ Filipino ☐ Japanese ☐ Korean ☐ Vietnamese ☐ Other Asian – *Print race.*	☐ Native Hawaiian ☐ Guamanian or Chamorro ☐ Samoan ☐ Other Pacific Islander – *Print race below.* ☐ Some other race – *Print race below.*

Person 9	Person 10	Person 11	Person 12
Last Name *(Please print)*	Last Name *(Please print)*	Last Name *(Please print)*	Last Name *(Please print)*
First Name MI	First Name MI	First Name MI	First Name MI

When you are finished, turn the page and continue with the Housing section. 3

Housing



Housing information helps your community plan for police and fire protection.

Please answer the following questions about the house, apartment, or mobile home at the address on the mailing label.

1 **Which best describes this building?** *Include all apartments, flats, etc., even if vacant.*
- ☐ A mobile home
- ☐ A one-family house detached from any other house
- ☐ A one-family house attached to one or more houses
- ☐ A building with 2 apartments
- ☐ A building with 3 or 4 apartments
- ☐ A building with 5 to 9 apartments
- ☐ A building with 10 to 19 apartments
- ☐ A building with 20 to 49 apartments
- ☐ A building with 50 or more apartments
- ☐ Boat, RV, van, etc.

2 **About when was this building first built?**
- ☐ 2005 or later
- ☐ 2000 to 2004
- ☐ 1990 to 1999
- ☐ 1980 to 1989
- ☐ 1970 to 1979
- ☐ 1960 to 1969
- ☐ 1950 to 1959
- ☐ 1940 to 1949
- ☐ 1939 or earlier

3 **When did PERSON 1 (listed in the List of Residents on page 2) move into this house, apartment, or mobile home?**

Month Year

☐☐ ☐☐☐☐

Answer questions 4–6 ONLY if this is a one-family house or a mobile home; otherwise, SKIP to question 7.

4 **How many acres is this house or mobile home on?**
- ☐ Less than 1 acre → *SKIP to question 6*
- ☐ 1 to 9.9 acres
- ☐ 10 or more acres

5 **IN THE PAST 12 MONTHS, what were the actual sales of all agricultural products from this property?**
- ☐ None
- ☐ $1 to $999
- ☐ $1,000 to $2,499
- ☐ $2,500 to $4,999
- ☐ $5,000 to $9,999
- ☐ $10,000 or more

6 **Is there a business (such as a store or barber shop) or a medical office on this property?**
- ☐ Yes
- ☐ No

7 **How many rooms are in this house, apartment, or mobile home?** *Do NOT count bathrooms, porches, balconies, foyers, halls, or half-rooms.*
- ☐ 1 room
- ☐ 2 rooms
- ☐ 3 rooms
- ☐ 4 rooms
- ☐ 5 rooms
- ☐ 6 rooms
- ☐ 7 rooms
- ☐ 8 rooms
- ☐ 9 or more rooms

8 **How many bedrooms are in this house, apartment, or mobile home; that is, how many bedrooms would you list if this house, apartment, or mobile home were on the market for sale or rent?**
- ☐ No bedroom
- ☐ 1 bedroom
- ☐ 2 bedrooms
- ☐ 3 bedrooms
- ☐ 4 bedrooms
- ☐ 5 or more bedrooms

9 **Does this house, apartment, or mobile home have COMPLETE plumbing facilities; that is, 1) hot and cold piped water, 2) a flush toilet, and 3) a bathtub or shower?**
- ☐ Yes, has all three facilities
- ☐ No

10 **Does this house, apartment, or mobile home have COMPLETE kitchen facilities; that is, 1) a sink with piped water, 2) a stove or range, and 3) a refrigerator?**
- ☐ Yes, has all three facilities
- ☐ No

11 **Is there telephone service available in this house, apartment, or mobile home from which you can both make and receive calls?**
- ☐ Yes
- ☐ No

12 **How many automobiles, vans, and trucks of one-ton capacity or less are kept at home for use by members of this household?**
- ☐ None
- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4
- ☐ 5
- ☐ 6 or more

Housing (continued)

13 **Which FUEL is used MOST for heating this house, apartment, or mobile home?**

- ☐ Gas: from underground pipes serving the neighborhood
- ☐ Gas: bottled, tank, or LP
- ☐ Electricity
- ☐ Fuel oil, kerosene, etc.
- ☐ Coal or coke
- ☐ Wood
- ☐ Solar energy
- ☐ Other fuel
- ☐ No fuel used

14 **a. LAST MONTH, what was the cost of electricity for this house, apartment, or mobile home?**

Last month's cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ No charge or electricity not used

b. LAST MONTH, what was the cost of gas for this house, apartment, or mobile home?

Last month's cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ Included in electricity payment entered above
- ☐ No charge or gas not used

c. IN THE PAST 12 MONTHS, what was the cost of water and sewer for this house, apartment, or mobile home? *If you have lived here less than 12 months, estimate the cost.*

Past 12 months' cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ No charge

d. IN THE PAST 12 MONTHS, what was the cost of oil, coal, kerosene, wood, etc., for this house, apartment, or mobile home? *If you have lived here less than 12 months, estimate the cost.*

Past 12 months' cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ No charge or these fuels not used

15 **At any time DURING THE PAST 12 MONTHS, did anyone in this household receive Food Stamps?**

- ☐ Yes → **What was the value of the Food Stamps received during the past 12 months?**

  Past 12 months' value – *Dollars*

  $ .00
- ☐ No

16 **Is this house, apartment, or mobile home part of a condominium?**

- ☐ Yes → **What is the monthly condominium fee?** *For renters, answer only if you pay the condominium fee in addition to your rent, otherwise, mark the "None" box.*

  Monthly amount – *Dollars*

  $ .00

  OR

  - ☐ None
- ☐ No

17 **Is this house, apartment, or mobile home –**

- ☐ Owned by you or someone in this household with a mortgage or loan?
- ☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?
- ☐ Rented for cash rent?
- ☐ Occupied without payment of cash rent? → *SKIP to* **19**

Answer questions 18a and b ONLY IF you PAY RENT for this house, apartment, or mobile home. Otherwise, SKIP to question 19.

18 **a. What is the monthly rent for this house, apartment, or mobile home?**

Monthly amount – *Dollars*

$ .00

b. Does the monthly rent include any meals?

- ☐ Yes
- ☐ No

Answer questions 19–23 ONLY IF you or someone else in this household OWNS or IS BUYING this house, apartment, or mobile home. Otherwise, SKIP to **24** *on the next page.*

19 **What is the value of this property; that is, how much do you think this house and lot, apartment, or mobile home and lot, would sell for if it were for sale?**

- ☐ Less than $10,000
- ☐ $10,000 to $14,999
- ☐ $15,000 to $19,999
- ☐ $20,000 to $24,999
- ☐ $25,000 to $29,999
- ☐ $30,000 to $34,999
- ☐ $35,000 to $39,999
- ☐ $40,000 to $49,999
- ☐ $50,000 to $59,999
- ☐ $60,000 to $69,999
- ☐ $70,000 to $79,999
- ☐ $80,000 to $89,999
- ☐ $90,000 to $99,999
- ☐ $100,000 to $124,999
- ☐ $125,000 to $149,999
- ☐ $150,000 to $174,999
- ☐ $175,000 to $199,999
- ☐ $200,000 to $249,999
- ☐ $250,000 or more – *Specify*

$ .00

Housing (continued)

20 **What are the annual real estate taxes on THIS property?**

Annual amount – *Dollars*

$ .00

OR

☐ None

21 **What is the annual payment for fire, hazard, and flood insurance on THIS property?**

Annual amount – *Dollars*

$ .00

OR

☐ None

22 **a. Do you or any member of this household have a mortgage, deed of trust, contract to purchase, or similar debt on THIS property?**

☐ Yes, mortgage, deed of trust, or similar debt
☐ Yes, contract to purchase
☐ No → *SKIP to question 23a*

b. How much is the regular monthly mortgage payment on THIS property? *Include payment only on FIRST mortgage or contract to purchase.*

Monthly amount – *Dollars*

$ .00

OR

☐ No regular payment required → *SKIP to question 23a*

c. Does the regular monthly mortgage payment include payments for real estate taxes on THIS property?

☐ Yes, taxes included in mortgage payment
☐ No, taxes paid separately or taxes not required

d. Does the regular monthly mortgage payment include payments for fire, hazard, or flood insurance on THIS property?

☐ Yes, insurance included in mortgage payment
☐ No, insurance paid separately or no insurance

23 **a. Do you or any member of this household have a second mortgage or a home equity loan on THIS property?**

☐ Yes, home equity loan
☐ Yes, second mortgage
☐ Yes, second mortgage and home equity loan
☐ No → *SKIP to* **24**

b. How much is the regular monthly payment on all second or junior mortgages and all home equity loans on THIS property?

Monthly amount – *Dollars*

$ .00

OR

☐ No regular payment required

Answer question 24 ONLY IF this is a MOBILE HOME. Otherwise, SKIP to **25**

24 **What are the total annual costs for personal property taxes, site rent, registration fees, and license fees on THIS mobile home and its site?** *Exclude real estate taxes.*

Annual costs – *Dollars*

$ .00

Answer questions 25a–c ONLY IF you listed at least one person on page 2. Otherwise, SKIP to page 24 for the mailing instructions.

25 **a. Do you or any member of this household live or stay at this address year round?**

☐ Yes → *SKIP to the questions for Person 1 on the next page*
☐ No

b. How many months a year do members of this household stay at this address?

Months

c. What is the main reason members of this household are staying at this address?

☐ This is their permanent address
☐ This is their seasonal or vacation address
☐ To be close to work
☐ To attend school or college
☐ Looking for permanent housing
☐ Other reason(s) – *Specify*

Continue with the questions about PERSON 1 on the next page.

SAMPLE

Person 1

Your answers are important! Every person in the American Community Survey counts.

Please copy the name of Person 1 from the List of Residents on page 2, then continue answering questions below.

Last Name

First Name MI

7 Where was this person born?

- ☐ In the United States – *Print name of state.*
- ☐ Outside the United States – *Print name of foreign country, or Puerto Rico, Guam, etc.*

8 Is this person a CITIZEN of the United States?

- ☐ Yes, born in the United States → *Skip to 10a*
- ☐ Yes, born in Puerto Rico, Guam, the U.S. Virgin Islands, or Northern Marianas
- ☐ Yes, born abroad of American parent or parents
- ☐ Yes, U.S. citizen by naturalization
- ☐ No, not a citizen of the United States

9 When did this person come to live in the United States? *Print numbers in boxes.*

Year

10 a. At any time IN THE LAST 3 MONTHS, has this person attended regular school or college? *Include only nursery or preschool, kindergarten, elementary school, and schooling which leads to a high school diploma or a college degree.*

- ☐ No, has not attended in the last 3 months → *SKIP to question 11*
- ☐ Yes, public school, public college
- ☐ Yes, private school, private college

b. What grade or level was this person attending? *Mark (X) ONE box.*

- ☐ Nursery school, preschool
- ☐ Kindergarten
- ☐ Grade 1 to grade 4
- ☐ Grade 5 to grade 8
- ☐ Grade 9 to grade 12
- ☐ College undergraduate years (freshman to senior)
- ☐ Graduate or professional school *(for example: medical, dental, or law school)*

11 What is the highest degree or level of school this person has COMPLETED? *Mark (X) ONE box. If currently enrolled, mark the previous grade or highest degree received.*

- ☐ No schooling completed
- ☐ Nursery school to 4th grade
- ☐ 5th grade or 6th grade
- ☐ 7th grade or 8th grade
- ☐ 9th grade
- ☐ 10th grade
- ☐ 11th grade
- ☐ 12th grade – **NO DIPLOMA**
- ☐ **HIGH SCHOOL GRADUATE** – high school DIPLOMA or the equivalent *(for example: GED)*
- ☐ Some college credit, but less than 1 year
- ☐ 1 or more years of college, no degree
- ☐ Associate degree *(for example: AA, AS)*
- ☐ Bachelor's degree *(for example: BA, AB, BS)*
- ☐ Master's degree *(for example: MA, MS, MEng, MEd, MSW, MBA)*
- ☐ Professional degree *(for example: MD, DDS, DVM, LLB, JD)*
- ☐ Doctorate degree *(for example: PhD, EdD)*

12 What is this person's ancestry or ethnic origin?

(For example: Italian, Jamaican, African Am., Cambodian, Cape Verdean, Norwegian, Dominican, French Canadian, Haitian, Korean, Lebanese, Polish, Nigerian, Mexican, Taiwanese, Ukrainian, and so on.)

13 a. Does this person speak a language other than English at home?

- ☐ Yes
- ☐ No → *SKIP to question 14*

b. What is this language?

For example: Korean, Italian, Spanish, Vietnamese

c. How well does this person speak English?

- ☐ Very well
- ☐ Well
- ☐ Not well
- ☐ Not at all

14 a. Did this person live in this house or apartment 1 year ago?

- ☐ Person is under 1 year old → *SKIP to the questions for Person 2 on page 10.*
- ☐ Yes, this house → *SKIP to* 15
- ☐ No, outside the United States – *Print name of foreign country, or Puerto Rico, Guam, etc., below, then SKIP to* 15
- ☐ No, different house in the United States

b. Where did this person live 1 year ago?

Name of city, town, or post office

c. Did this person live inside the limits of the city or town?

- ☐ Yes
- ☐ No, outside the city/town limits

Name of county

Name of state **ZIP Code**

Answer questions 15 and 16 ONLY IF this person is 5 years old or over. Otherwise, SKIP to the questions for PERSON 2 on page 10.

15 Does this person have any of the following long-lasting conditions:

	Yes	No
a. Blindness, deafness, or a severe vision or hearing impairment?	☐	☐
b. A condition that substantially limits one or more basic physical activities such as walking, climbing stairs, reaching, lifting, or carrying?	☐	☐

16 Because of a physical, mental, or emotional condition lasting 6 months or more, does this person have any difficulty in doing any of the following activities:

	Yes	No
a. Learning, remembering, or concentrating?	☐	☐
b. Dressing, bathing, or getting around inside the home?	☐	☐

ORIGINAL

7

Person 1 (continued)

Answer question 17 ONLY IF this person is 15 years old or over. Otherwise, SKIP to the questions for PERSON 2 on page 10.

17 **Because of a physical, mental, or emotional condition lasting 6 months or more, does this person have any difficulty in doing any of the following activities:**

	Yes	No
a. Going outside the home alone to shop or visit a doctor's office?	☐	☐
b. Working at a job or business?	☐	☐

Answer question 18 ONLY IF this person is female and 15–50 years old. Otherwise, SKIP to question 19a.

18 **Has this person given birth to any children in the past 12 months?**

☐ Yes
☐ No

19 **a. Does this person have any of his/her own grandchildren under the age of 18 living in this house or apartment?**

☐ Yes
☐ No → *SKIP to question 20*

b. Is this grandparent currently responsible for most of the basic needs of any grandchild(ren) under the age of 18 who live(s) in this house or apartment?

☐ Yes
☐ No → *SKIP to question 20*

c. How long has this grandparent been responsible for the(se) grandchild(ren)? *If the grandparent is financially responsible for more than one grandchild, answer the question for the grandchild for whom the grandparent has been responsible for the longest period of time.*

☐ Less than 6 months
☐ 6 to 11 months
☐ 1 or 2 years
☐ 3 or 4 years
☐ 5 or more years

20 **Has this person ever served on active duty in the U.S. Armed Forces, military Reserves, or National Guard?** *Active duty does not include training for the Reserves or National Guard, but DOES include activation, for example, for the Persian Gulf War.*

☐ Yes, now on active duty
☐ Yes, on active duty during the last 12 months, but not now
☐ Yes, on active duty in the past, but not during the last 12 months
☐ No, training for Reserves or National Guard only → *SKIP to question 23*
☐ No, never served in the military → *SKIP to question 23*

21 **When did this person serve on active duty in the U.S. Armed Forces?** *Mark (X) a box for EACH period in which this person served, even if just for part of the period.*

☐ September 2001 or later
☐ August 1990 to August 2001 (including Persian Gulf War)
☐ September 1980 to July 1990
☐ May 1975 to August 1980
☐ Vietnam era (August 1964 to April 1975)
☐ March 1961 to July 1964
☐ February 1955 to February 1961
☐ Korean War (July 1950 to January 1955)
☐ January 1947 to June 1950
☐ World War II (December 1941 to December 1946)
☐ November 1941 or earlier

22 **In total, how many years of active-duty military service has this person had?**

☐ Less than 2 years
☐ 2 years or more

23 **LAST WEEK, did this person do ANY work for either pay or profit?** *Mark (X) the "Yes" box even if the person worked only 1 hour, or helped without pay in a family business or farm for 15 hours or more, or was on active duty in the Armed Forces.*

☐ Yes
☐ No → *SKIP to question 29*

24 **At what location did this person work LAST WEEK?** *If this person worked at more than one location, print where he or she worked most last week.*

a. Address (Number and street name)

If the exact address is not known, give a description of the location such as the building name or the nearest street or intersection.

b. Name of city, town, or post office

c. Is the work location inside the limits of that city or town?

☐ Yes
☐ No, outside the city/town limits

d. Name of county

e. Name of U.S. state or foreign country

f. ZIP Code

25 **How did this person usually get to work LAST WEEK?** *If this person usually used more than one method of transportation during the trip, mark (X) the box of the one used for most of the distance.*

☐ Car, truck, or van
☐ Bus or trolley bus
☐ Streetcar or trolley car
☐ Subway or elevated
☐ Railroad
☐ Ferryboat
☐ Taxicab
☐ Motorcycle
☐ Bicycle
☐ Walked
☐ Worked at home → *SKIP to question 33*
☐ Other method

Answer question 26 ONLY IF you marked "Car, truck, or van" in question 25. Otherwise, SKIP to question 27.

26 **How many people, including this person, usually rode to work in the car, truck, or van LAST WEEK?**

Person(s)

27 **What time did this person usually leave home to go to work LAST WEEK?**

Hour Minute

☐ a.m.
☐ p.m.

28 **How many minutes did it usually take this person to get from home to work LAST WEEK?**

Minutes

Answer questions 29–32 ONLY IF this person did NOT work last week. Otherwise, SKIP to question 33.

29 **a. LAST WEEK, was this person on layoff from a job?**

☐ Yes → *SKIP to question 29c*
☐ No

b. LAST WEEK, was this person TEMPORARILY absent from a job or business?

☐ Yes, on vacation, temporary illness, labor dispute, etc. → *SKIP to question 32*
☐ No → *SKIP to question 30*

c. Has this person been informed that he or she will be recalled to work within the next 6 months OR been given a date to return to work?

☐ Yes → *SKIP to question 31*
☐ No

30 **Has this person been looking for work during the last 4 weeks?**
- ☐ Yes
- ☐ No → *SKIP to question 32*

31 **LAST WEEK, could this person have started a job if offered one, or returned to work if recalled?**
- ☐ Yes, could have gone to work
- ☐ No, because of own temporary illness
- ☐ No, because of all other reasons (in school, etc.)

32 **When did this person last work, even for a few days?**
- ☐ Within the past 12 months
- ☐ 1 to 5 years ago → *SKIP to question 35*
- ☐ Over 5 years ago or never worked → *SKIP to question 41*

33 **During the PAST 12 MONTHS, how many WEEKS did this person work?** *Count paid vacation, paid sick leave, and military service.*

Weeks

34 **During the PAST 12 MONTHS, in the WEEKS WORKED, how many hours did this person usually work each WEEK?**

Usual hours worked each WEEK

Answer questions 35–40 ONLY IF this person worked in the past 5 years. Otherwise, SKIP to question 41.

35–40 CURRENT OR MOST RECENT JOB ACTIVITY. *Describe clearly this person's chief job activity or business last week. If this person had more than one job, describe the one at which this person worked the most hours. If this person had no job or business last week, give information for his/her last job or business.*

35 **Was this person –**
Mark (X) ONE box.
- ☐ an employee of a PRIVATE FOR PROFIT company or business, or of an individual, for wages, salary, or commissions?
- ☐ an employee of a PRIVATE NOT FOR PROFIT, tax-exempt, or charitable organization?
- ☐ a local GOVERNMENT employee (city, county, etc.)?
- ☐ a state GOVERNMENT employee?
- ☐ a Federal GOVERNMENT employee?
- ☐ SELF-EMPLOYED in own NOT INCORPORATED business, professional practice, or farm?
- ☐ SELF-EMPLOYED in own INCORPORATED business, professional practice, or farm?
- ☐ working WITHOUT PAY in family business or farm?

36 **For whom did this person work?**
If now on active duty in the Armed Forces, mark (X) this box → ☐ *and print the branch of the Armed Forces.*

Name of company, business, or other employer

37 **What kind of business or industry was this?** *Describe the activity at the location where employed. (For example: hospital, newspaper publishing, mail order house, auto engine manufacturing, bank)*

38 **Is this mainly** – *Mark (X) one box.*
- ☐ manufacturing?
- ☐ wholesale trade?
- ☐ retail trade?
- ☐ other (agriculture, construction, service, government, etc.)?

39 **What kind of work was this person doing?** *(For example: registered nurse, personnel manager, supervisor of order department, secretary, accountant)*

40 **What were this person's most important activities or duties?** *(For example: patient care, directing hiring policies, supervising order clerks, typing and filing, reconciling financial records)*

41 **INCOME IN THE PAST 12 MONTHS.**

Mark (X) the "Yes" box for each type of income this person received, and give your best estimate of the TOTAL AMOUNT during the PAST 12 MONTHS. (NOTE: The "past 12 months" is the period from today's date one year ago up through today.)

Mark (X) the "No" box to show types of income NOT received.

If net income was a loss, mark the "Loss" box to the right of the dollar amount.

For income received jointly, report the appropriate share for each person – or, if that's not possible, report the whole amount for only one person and mark the "No" box for the other person.

a. Wages, salary, commissions, bonuses, or tips from all jobs. *Report amount before deductions for taxes, bonds, dues, or other items.*
- ☐ Yes → $ .00
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

b. Self-employment income from own nonfarm businesses or farm businesses, including proprietorships and partnerships. *Report NET income after business expenses.*
- ☐ Yes → $ .00 ☐ Loss
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

c. Interest, dividends, net rental income, royalty income, or income from estates and trusts. *Report even small amounts credited to an account.*
- ☐ Yes → $ .00 ☐ Loss
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

d. Social Security or Railroad Retirement.
- ☐ Yes → $ .00
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

e. Supplemental Security Income (SSI).
- ☐ Yes → $ .00
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

f. Any public assistance or welfare payments from the state or local welfare office.
- ☐ Yes → $ .00
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

g. Retirement, survivor, or disability pensions. *Do NOT include Social Security.*
- ☐ Yes → $ .00
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

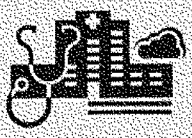
h. Any other sources of income received regularly such as Veterans' (VA) payments, unemployment compensation, child support or alimony. *Do NOT include lump sum payments such as money from an inheritance or the sale of a home.*
- ☐ Yes → $ .00
- ☐ No — TOTAL AMOUNT for past 12 MONTHS

42 **What was this person's total income during the PAST 12 MONTHS?** *Add entries in questions 41a to 41h; subtract any losses. If net income was a loss, enter the amount and mark (X) the "Loss" box next to the dollar amount.*
- ☐ None OR $ .00 ☐ Loss
- TOTAL AMOUNT for past 12 MONTHS

→ **Continue with the questions for Person 2 on the next page. If only 1 person is listed in the List of Residents, SKIP to page 24 for mailing instructions.**

9

Person 2



Survey information helps your community get financial assistance for roads, hospitals, schools, and more.

The balance of the questionnaire has questions for Person 2, Person 3, Person 4, and Person 5. The questions are the same as the questions for Person 1.

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ACS-1(INFO)(2005), Page 11, Base (Black)

ACS-1(INFO)(2005), Page 11, GREEN Pantone 354 (100%)

Mailing Instructions

Please make sure you have..

- put all names on the List of Residents and answered the questions across the top of the page
- answered all Housing questions
- answered all Person questions for each person on the List of Residents.

Then...

- put the completed questionnaire into the postage-paid return envelope. If the envelope has been misplaced, please mail the questionnaire to:

U. S. Census Bureau
P.O. Box 5240
Jeffersonville, IN 47199-5240

- make sure the barcode above your address shows in the window of the return envelope.

Thank you for participating in the American Community Survey.

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POP EDIT PHONE

EDIT CLERK TELEPHONE CLERK

JIC1 JIC2

JIC3 JIC4

The Census Bureau estimates that, for the average household, this form will take 38 minutes to complete, including the time for reviewing the instructions and answers. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Paperwork Project 0607-0810, U.S. Census Bureau, 4700 Silver Hill Road, Stop 1500, Washington, D.C. 20233-1500. You may e-mail comments to Paperwork@census.gov, use "Paperwork Project 0607-0810" as the subject. Please DO NOT RETURN your questionnaire to this address. Use the enclosed preaddressed envelope to return your completed questionnaire.

Respondents are not required to respond to any information collection unless it displays a valid approval number from the Office of Management and Budget. This 8-digit number appears in the bottom right on the front cover of this form.

Form ACS-1(INFO)(2005) (5-20-2004)

13199013

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

THE American Community Survey

This booklet shows the content of the American Community Survey questionnaire.

INFORMATIONAL COPY

Start Here

Respond online today at:
https://respond.census.gov/acs
OR
Complete this form and mail it back as soon as possible.

This form asks for information about the people who are living or staying at the address on the mailing label and about the house, apartment, or mobile home located at the address on the mailing label.

If you need help or have questions about completing this form, please call **1-800-354-7271.** The telephone call is free.

Telephone Device for the Deaf (TDD):
Call 1–800–582–8330. The telephone call is free.

¿NECESITA AYUDA? Si usted habla español y necesita ayuda para completar su cuestionario, llame sin cargo alguno al **1-877-833-5625.** Usted también puede completar su entrevista por teléfono con un entrevistador que habla español. O puede responder por Internet en: https://respond.census.gov/acs

For more information about the American Community Survey, visit our website at: http://www.census.gov/acs

Please print today's date.
Month Day Year

Please print the name and telephone number of the person who is filling out this form. We will only contact you if needed for official Census Bureau business.
Last Name
First Name MI
Area Code + Number

How many people are living or staying at this address?
- **INCLUDE** everyone who is living or staying here for more than 2 months.
- **INCLUDE** yourself if you are living here for more than 2 months.
- **INCLUDE** anyone else staying here who does not have another place to stay, even if they are here for 2 months or less.
- **DO NOT INCLUDE** anyone who is living somewhere else for more than 2 months, such as a college student living away or someone in the Armed Forces on deployment.

Number of people

Fill out pages 2, 3, and 4 for everyone, including yourself, who is living or staying at this address for more than 2 months. Then complete the rest of the form.

FORM **ACS-1(INFO)(2019)**
(08-02-2018)
30

OMB No. 0607-0810
OMB No. 0607-0936

13199021

Person 1

(Person 1 is the person living or staying here in whose name this house or apartment is owned, being bought, or rented. If there is no such person, start with the name of any adult living or staying here.)

1 What is Person 1's name?
Last Name *(Please print)* First Name MI

2 How is this person related to Person 1?
☒ Person 1

3 What is Person 1's sex? *Mark (X) ONE box.*
☐ Male ☐ Female

4 What is Person 1's age and what is Person 1's date of birth?
Please report babies as age 0 when the child is less than 1 year old.
Print numbers in boxes.
Age (in years) Month Day Year of birth

→ **NOTE: Please answer BOTH Question 5 about Hispanic origin and Question 6 about race. For this survey, Hispanic origins are not races.**

5 Is Person 1 of Hispanic, Latino, or Spanish origin?
☐ **No,** not of Hispanic, Latino, or Spanish origin
☐ Yes, Mexican, Mexican Am., Chicano
☐ Yes, Puerto Rican
☐ Yes, Cuban
☐ Yes, another Hispanic, Latino, or Spanish origin – *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.*

6 What is Person 1's race? *Mark (X) one or more boxes.*
☐ White
☐ Black or African Am.
☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*
☐ Asian Indian ☐ Japanese ☐ Native Hawaiian
☐ Chinese ☐ Korean ☐ Guamanian or Chamorro
☐ Filipino ☐ Vietnamese ☐ Samoan
☐ Other Asian – *Print race, for example, Hmong, Laotian, Thai, Pakistani, Cambodian, and so on.*
☐ Other Pacific Islander – *Print race, for example, Fijian, Tongan, and so on.*
☐ Some other race – *Print race.*

Person 2

1 What is Person 2's name?
Last Name *(Please print)* First Name MI

2 How is this person related to Person 1? *Mark (X) ONE box.*
☐ Opposite-sex husband/wife/spouse ☐ Father or mother
☐ Opposite-sex unmarried partner ☐ Grandchild
☐ Same-sex husband/wife/spouse ☐ Parent-in-law
☐ Same-sex unmarried partner ☐ Son-in-law or daughter-in-law
☐ Biological son or daughter ☐ Other relative
☐ Adopted son or daughter ☐ Roommate or housemate
☐ Stepson or stepdaughter ☐ Foster child
☐ Brother or sister ☐ Other nonrelative

3 What is Person 2's sex? *Mark (X) ONE box.*
☐ Male ☐ Female

4 What is Person 2's age and what is Person 2's date of birth?
Please report babies as age 0 when the child is less than 1 year old.
Print numbers in boxes.
Age (in years) Month Day Year of birth

→ **NOTE: Please answer BOTH Question 5 about Hispanic origin and Question 6 about race. For this survey, Hispanic origins are not races.**

5 Is Person 2 of Hispanic, Latino, or Spanish origin?
☐ **No,** not of Hispanic, Latino, or Spanish origin
☐ Yes, Mexican, Mexican Am., Chicano
☐ Yes, Puerto Rican
☐ Yes, Cuban
☐ Yes, another Hispanic, Latino, or Spanish origin – *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.*

6 What is Person 2's race? *Mark (X) one or more boxes.*
☐ White
☐ Black or African Am.
☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*
☐ Asian Indian ☐ Japanese ☐ Native Hawaiian
☐ Chinese ☐ Korean ☐ Guamanian or Chamorro
☐ Filipino ☐ Vietnamese ☐ Samoan
☐ Other Asian – *Print race, for example, Hmong, Laotian, Thai, Pakistani, Cambodian, and so on.*
☐ Other Pacific Islander – *Print race, for example, Fijian, Tongan, and so on.*
☐ Some other race – *Print race.*

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2

13199039

Person 3

1 What is Person 3's name?
Last Name *(Please print)* First Name MI

2 How is this person related to Person 1? *Mark (X) ONE box.*

- ☐ Opposite-sex husband/wife/spouse
- ☐ Opposite-sex unmarried partner
- ☐ Same-sex husband/wife/spouse
- ☐ Same-sex unmarried partner
- ☐ Biological son or daughter
- ☐ Adopted son or daughter
- ☐ Stepson or stepdaughter
- ☐ Brother or sister
- ☐ Father or mother
- ☐ Grandchild
- ☐ Parent-in-law
- ☐ Son-in-law or daughter-in-law
- ☐ Other relative
- ☐ Roommate or housemate
- ☐ Foster child
- ☐ Other nonrelative

3 What is Person 3's sex? *Mark (X) ONE box.*

☐ Male ☐ Female

4 What is Person 3's age and what is Person 3's date of birth?
Please report babies as age 0 when the child is less than 1 year old.
Print numbers in boxes.
Age (in years) Month Day Year of birth

→ **NOTE: Please answer BOTH Question 5 about Hispanic origin and Question 6 about race. For this survey, Hispanic origins are not races.**

5 Is Person 3 of Hispanic, Latino, or Spanish origin?

- ☐ **No,** not of Hispanic, Latino, or Spanish origin
- ☐ Yes, Mexican, Mexican Am., Chicano
- ☐ Yes, Puerto Rican
- ☐ Yes, Cuban
- ☐ Yes, another Hispanic, Latino, or Spanish origin – *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.*

6 What is Person 3's race? *Mark (X) one or more boxes.*

- ☐ White
- ☐ Black or African Am.
- ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*
- ☐ Asian Indian
- ☐ Chinese
- ☐ Filipino
- ☐ Japanese
- ☐ Korean
- ☐ Vietnamese
- ☐ Native Hawaiian
- ☐ Guamanian or Chamorro
- ☐ Samoan
- ☐ Other Asian – *Print race, for example, Hmong, Laotian, Thai, Pakistani, Cambodian, and so on.*
- ☐ Other Pacific Islander – *Print race, for example, Fijian, Tongan, and so on.*
- ☐ Some other race – *Print race.*

Person 4

1 What is Person 4's name?
Last Name *(Please print)* First Name MI

2 How is this person related to Person 1? *Mark (X) ONE box.*

- ☐ Opposite-sex husband/wife/spouse
- ☐ Opposite-sex unmarried partner
- ☐ Same-sex husband/wife/spouse
- ☐ Same-sex unmarried partner
- ☐ Biological son or daughter
- ☐ Adopted son or daughter
- ☐ Stepson or stepdaughter
- ☐ Brother or sister
- ☐ Father or mother
- ☐ Grandchild
- ☐ Parent-in-law
- ☐ Son-in-law or daughter-in-law
- ☐ Other relative
- ☐ Roommate or housemate
- ☐ Foster child
- ☐ Other nonrelative

3 What is Person 4's sex? *Mark (X) ONE box.*

☐ Male ☐ Female

4 What is Person 4's age and what is Person 4's date of birth?
Please report babies as age 0 when the child is less than 1 year old.
Print numbers in boxes.
Age (in years) Month Day Year of birth

→ **NOTE: Please answer BOTH Question 5 about Hispanic origin and Question 6 about race. For this survey, Hispanic origins are not races.**

5 Is Person 4 of Hispanic, Latino, or Spanish origin?

- ☐ **No,** not of Hispanic, Latino, or Spanish origin
- ☐ Yes, Mexican, Mexican Am., Chicano
- ☐ Yes, Puerto Rican
- ☐ Yes, Cuban
- ☐ Yes, another Hispanic, Latino, or Spanish origin – *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.*

6 What is Person 4's race? *Mark (X) one or more boxes.*

- ☐ White
- ☐ Black or African Am.
- ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*
- ☐ Asian Indian
- ☐ Chinese
- ☐ Filipino
- ☐ Japanese
- ☐ Korean
- ☐ Vietnamese
- ☐ Native Hawaiian
- ☐ Guamanian or Chamorro
- ☐ Samoan
- ☐ Other Asian – *Print race, for example, Hmong, Laotian, Thai, Pakistani, Cambodian, and so on.*
- ☐ Other Pacific Islander – *Print race, for example, Fijian, Tongan, and so on.*
- ☐ Some other race – *Print race.*

INFORMATION ONLY

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Person 5

1 What is Person 5's name?
Last Name *(Please print)* First Name MI

2 How is this person related to Person 1? *Mark (X) ONE box.*

- ☐ Opposite-sex husband/wife/spouse
- ☐ Opposite-sex unmarried partner
- ☐ Same-sex husband/wife/spouse
- ☐ Same-sex unmarried partner
- ☐ Biological son or daughter
- ☐ Adopted son or daughter
- ☐ Stepson or stepdaughter
- ☐ Brother or sister
- ☐ Father or mother
- ☐ Grandchild
- ☐ Parent-in-law
- ☐ Son-in-law or daughter-in-law
- ☐ Other relative
- ☐ Roommate or housemate
- ☐ Foster child
- ☐ Other nonrelative

3 What is Person 5's sex? *Mark (X) ONE box.*

☐ Male ☐ Female

4 What is Person 5's age and what is Person 5's date of birth?
Please report babies as age 0 when the child is less than 1 year old.
Print numbers in boxes.
Age (in years) Month Day Year of birth

→ **NOTE: Please answer BOTH Question 5 about Hispanic origin and Question 6 about race. For this survey, Hispanic origins are not races.**

5 Is Person 5 of Hispanic, Latino, or Spanish origin?

- ☐ **No,** not of Hispanic, Latino, or Spanish origin
- ☐ Yes, Mexican, Mexican Am., Chicano
- ☐ Yes, Puerto Rican
- ☐ Yes, Cuban
- ☐ Yes, another Hispanic, Latino, or Spanish origin – *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.*

6 What is Person 5's race? *Mark (X) one or more boxes.*

- ☐ White
- ☐ Black or African Am.
- ☐ American Indian or Alaska Native – *Print name of enrolled or principal tribe.*
- ☐ Asian Indian
- ☐ Chinese
- ☐ Filipino
- ☐ Japanese
- ☐ Korean
- ☐ Vietnamese
- ☐ Other Asian – *Print race, for example, Hmong, Laotian, Thai, Pakistani, Cambodian, and so on.*
- ☐ Native Hawaiian
- ☐ Guamanian or Chamorro
- ☐ Samoan
- ☐ Other Pacific Islander – *Print race, for example, Fijian, Tongan, and so on.*
- ☐ Some other race – *Print race.*

→ **If there are more than five people living or staying here, print their names in the spaces for Person 6 through Person 12.** *We may call you for more information about them.*

Person 6

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

Person 7

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

Person 8

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

Person 9

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

Person 10

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

Person 11

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

Person 12

Last Name *(Please print)* First Name MI

Sex ☐ Male ☐ Female **Age (in years)**

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4

13199054

Housing

Please answer the following questions about the house, apartment, or mobile home at the address on the mailing label.

1 Which best describes this building?
Include all apartments, flats, etc., even if vacant.

- ☐ A mobile home
- ☐ A one-family house detached from any other house
- ☐ A one-family house attached to one or more houses
- ☐ A building with 2 apartments
- ☐ A building with 3 or 4 apartments
- ☐ A building with 5 to 9 apartments
- ☐ A building with 10 to 19 apartments
- ☐ A building with 20 to 49 apartments
- ☐ A building with 50 or more apartments
- ☐ Boat, RV, van, etc.

2 About when was this building first built?

- ☐ 2000 or later – *Specify year* →
- ☐ 1990 to 1999
- ☐ 1980 to 1989
- ☐ 1970 to 1979
- ☐ 1960 to 1969
- ☐ 1950 to 1959
- ☐ 1940 to 1949
- ☐ 1939 or earlier

3 When did PERSON 1 (listed on page 2) move into this house, apartment, or mobile home?

Month Year

A *Answer questions 4 – 5 if this is a HOUSE OR A MOBILE HOME, otherwise, SKIP to question 6a.*

4 How many acres is this house or mobile home on?

- ☐ Less than 1 acre → *SKIP to question 6a*
- ☐ 1 to 9.9 acres
- ☐ 10 or more acres

5 IN THE PAST 12 MONTHS, what were the actual sales of all agricultural products from this property?

- ☐ None
- ☐ $1 to $999
- ☐ $1,000 to $2,499
- ☐ $2,500 to $4,999
- ☐ $5,000 to $9,999
- ☐ $10,000 or more

6 a. How many separate rooms are in this house, apartment, or mobile home?
Rooms must be separated by built-in archways or walls that extend out at least 6 inches and go from floor to ceiling.

- *INCLUDE bedrooms, kitchens, etc.*
- *EXCLUDE bathrooms, porches, balconies, foyers, halls, or unfinished basements.*

Number of rooms

b. How many of these rooms are bedrooms?
Count as bedrooms those rooms you would list if this house, apartment, or mobile home were for sale or rent. If this is an efficiency/studio apartment, print "0".

Number of bedrooms

7 Does this house, apartment, or mobile home have –

	Yes	No
a. hot and cold running water?	☐	☐
b. a bathtub or shower?	☐	☐
c. a sink with a faucet?	☐	☐
d. a stove or range?	☐	☐
e. a refrigerator?	☐	☐

8 Can you or any member of this household both make and receive phone calls when at this house, apartment, or mobile home?
Include calls using cell phones, land lines, or other phone devices.

- ☐ Yes
- ☐ No

9 At this house, apartment, or mobile home – do you or any member of this household own or use any of the following types of computers?

	Yes	No
a. Desktop or laptop	☐	☐
b. Smartphone	☐	☐
c. Tablet or other portable wireless computer	☐	☐
d. Some other type of computer *Specify*	☐	☐

10 At this house, apartment, or mobile home – do you or any member of this household have access to the Internet?

- ☐ Yes, by paying a cell phone company or Internet service provider
- ☐ Yes, without paying a cell phone company or Internet service provider → *SKIP to question 12*
- ☐ No access to the Internet at this house, apartment, or mobile home → *SKIP to question 12*

11 Do you or any member of this household have access to the Internet using a –

	Yes	No
a. cellular data plan for a smartphone or other mobile device?	☐	☐
b. broadband (high speed) Internet service such as cable, fiber optic, or DSL service installed in this household?	☐	☐
c. satellite Internet service installed in this household?	☐	☐
d. dial-up Internet service installed in this household?	☐	☐
e. some other service? *Specify service*	☐	☐

IMPORTANT NOTICE

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Housing (continued)

12 **How many automobiles, vans, and trucks of one-ton capacity or less are kept at home for use by members of this household?**

- ☐ None
- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4
- ☐ 5
- ☐ 6 or more

13 **Which FUEL is used MOST for heating this house, apartment, or mobile home?**

- ☐ Gas: from underground pipes serving the neighborhood
- ☐ Gas: bottled, tank, or LP
- ☐ Electricity
- ☐ Fuel oil, kerosene, etc.
- ☐ Coal or coke
- ☐ Wood
- ☐ Solar energy
- ☐ Other fuel
- ☐ No fuel used

14 **a. LAST MONTH, what was the cost of electricity for this house, apartment, or mobile home?**

Last month's cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ No charge or electricity not used

b. LAST MONTH, what was the cost of gas for this house, apartment, or mobile home?

Last month's cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ Included in electricity payment entered above
- ☐ No charge or gas not used

c. IN THE PAST 12 MONTHS, what was the cost of water and sewer for this house, apartment, or mobile home? *If you have lived here less than 12 months, estimate the cost.*

Past 12 months' cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ No charge

d. IN THE PAST 12 MONTHS, what was the cost of oil, coal, kerosene, wood, etc., for this house, apartment, or mobile home? *If you have lived here less than 12 months, estimate the cost.*

Past 12 months' cost – *Dollars*

$ .00

OR

- ☐ Included in rent or condominium fee
- ☐ No charge or these fuels not used

15 **IN THE PAST 12 MONTHS, did you or any member of this household receive benefits from the Food Stamp Program or SNAP (the Supplemental Nutrition Assistance Program)?** *Do NOT include WIC, the School Lunch Program, or assistance from food banks.*

- ☐ Yes
- ☐ No

16 **Is this house, apartment, or mobile home part of a condominium?**

- ☐ Yes → **What is the monthly condominium fee?** *For renters, answer only if you pay the condominium fee in addition to your rent; otherwise, mark the "None" box.*

  Monthly amount – *Dollars*

  $ .00

  OR

  - ☐ None
- ☐ No

17 **Is this house, apartment, or mobile home –** *Mark (X) ONE box.*

- ☐ Owned by you or someone in this household with a mortgage or loan? *Include home equity loans.*
- ☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?
- ☐ Rented?
- ☐ Occupied without payment of rent? → *SKIP to* **C** *on the next page*

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Housing (continued)

B *Answer questions 18a and b if this house, apartment, or mobile home is RENTED. Otherwise, SKIP to question 19.*

18 a. What is the monthly rent for this house, apartment, or mobile home?

Monthly amount – *Dollars*

$ .00

b. Does the monthly rent include any meals?

- ☐ Yes
- ☐ No

C *Answer questions 19 – 23 if you or any member of this household OWNS or IS BUYING this house, apartment, or mobile home. Otherwise, SKIP to* **E**.

19 About how much do you think this house and lot, apartment, or mobile home (and lot, if owned) would sell for if it were for sale?

Amount – *Dollars*

$ .00

20 What are the annual real estate taxes on THIS property?

Annual amount – *Dollars*

$ .00

OR

- ☐ None

21 What is the annual payment for fire, hazard, and flood insurance on THIS property?

Annual amount – *Dollars*

$ .00

OR

- ☐ None

22 a. Do you or any member of this household have a mortgage, deed of trust, contract to purchase, or similar debt on THIS property?

- ☐ Yes, mortgage, deed of trust, or similar debt
- ☐ Yes, contract to purchase
- ☐ No → *SKIP to question 23a*

b. How much is the regular monthly mortgage payment on THIS property? *Include payment only on FIRST mortgage or contract to purchase.*

Monthly amount – *Dollars*

$ .00

OR

- ☐ No regular payment required → *SKIP to question 23a*

c. Does the regular monthly mortgage payment include payments for real estate taxes on THIS property?

- ☐ Yes, taxes included in mortgage payment
- ☐ No, taxes paid separately or taxes not required

d. Does the regular monthly mortgage payment include payments for fire, hazard, or flood insurance on THIS property?

- ☐ Yes, insurance included in mortgage payment
- ☐ No, insurance paid separately or no insurance

23 a. Do you or any member of this household have a second mortgage or a home equity loan on THIS property?

- ☐ Yes, home equity loan
- ☐ Yes, second mortgage
- ☐ Yes, second mortgage and home equity loan
- ☐ No → *SKIP to* **D**

b. How much is the regular monthly payment on all second or junior mortgages and all home equity loans on THIS property?

Monthly amount – *Dollars*

$ .00

OR

- ☐ No regular payment required

D *Answer question 24 if this is a MOBILE HOME. Otherwise, SKIP to* **E**.

24 What are the total annual costs for personal property taxes, site rent, registration fees, and license fees on THIS mobile home and its site? *Exclude real estate taxes.*

Annual costs – *Dollars*

$ .00

E *Answer questions about PERSON 1 on the next page if you listed at least one person on page 2. Otherwise, SKIP to page 28 for the mailing instructions.*

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Person 1

Please copy the name of Person 1 from page 2, then continue answering questions below.

Last Name

First Name MI

7 Where was this person born?

- ☐ In the United States – *Print name of state.*
- ☐ Outside the United States – *Print name of foreign country, or Puerto Rico, Guam, etc.*

8 Is this person a citizen of the United States?

- ☐ Yes, born in the United States → *SKIP to question 10a*
- ☐ Yes, born in Puerto Rico, Guam, the U.S. Virgin Islands, or Northern Marianas
- ☐ Yes, born abroad of U.S. citizen parent or parents
- ☐ Yes, U.S. citizen by naturalization – *Print year of naturalization*
- ☐ No, not a U.S. citizen

9 When did this person come to live in the United States? *If this person came to live in the United States more than once, print latest year.*

Year

10 a. At any time IN THE LAST 3 MONTHS, has this person attended school or college? *Include only nursery or preschool, kindergarten, elementary school, home school, and schooling which leads to a high school diploma or a college degree.*

- ☐ No, has not attended in the last 3 months → *SKIP to question 11*
- ☐ Yes, public school, public college
- ☐ Yes, private school, private college, home school

b. What grade or level was this person attending? *Mark (X) ONE box.*

- ☐ Nursery school, preschool
- ☐ Kindergarten
- ☐ Grade 1 through 12 – *Specify grade 1 – 12*
- ☐ College undergraduate years (freshman to senior)
- ☐ Graduate or professional school beyond a bachelor's degree *(for example: MA or PhD program, or medical or law school)*

11 What is the highest degree or level of school this person has COMPLETED? *Mark (X) ONE box. If currently enrolled, mark the previous grade or highest degree received.*

NO SCHOOLING COMPLETED

- ☐ No schooling completed

NURSERY OR PRESCHOOL THROUGH GRADE 12

- ☐ Nursery school
- ☐ Kindergarten
- ☐ Grade 1 through 11 – *Specify grade 1 – 11*
- ☐ 12th grade – **NO DIPLOMA**

HIGH SCHOOL GRADUATE

- ☐ Regular high school diploma
- ☐ GED or alternative credential

COLLEGE OR SOME COLLEGE

- ☐ Some college credit, but less than 1 year of college credit
- ☐ 1 or more years of college credit, no degree
- ☐ Associate's degree *(for example: AA, AS)*
- ☐ Bachelor's degree *(for example: BA, BS)*

AFTER BACHELOR'S DEGREE

- ☐ Master's degree *(for example: MA, MS, MEng, MEd, MSW, MBA)*
- ☐ Professional degree beyond a bachelor's degree *(for example: MD, DDS, DVM, LLB, JD)*
- ☐ Doctorate degree *(for example: PhD, EdD)*

F *Answer question 12 if this person has a bachelor's degree or higher. Otherwise, SKIP to question 13.*

12 This question focuses on this person's BACHELOR'S DEGREE. Please print below the specific major(s) of any BACHELOR'S DEGREES this person has received. *(For example: chemical engineering, elementary teacher education, organizational psychology)*

13 What is this person's ancestry or ethnic origin?

(For example: Italian, Jamaican, African Am., Cambodian, Cape Verdean, Norwegian, Dominican, French Canadian, Haitian, Korean, Lebanese, Polish, Nigerian, Mexican, Taiwanese, Ukrainian, and so on.)

14 a. Does this person speak a language other than English at home?

- ☐ Yes
- ☐ No → *SKIP to question 15a*

b. What is this language?

For example: Korean, Italian, Spanish, Vietnamese

c. How well does this person speak English?

- ☐ Very well
- ☐ Well
- ☐ Not well
- ☐ Not at all

15 a. Did this person live in this house or apartment 1 year ago?

- ☐ Person is under 1 year old → *SKIP to question 16*
- ☐ Yes, this house → *SKIP to question 16*
- ☐ No, outside the United States and Puerto Rico – *Print name of foreign country, or U.S. Virgin Islands, Guam, etc., below; then SKIP to question 16*
- ☐ No, different house in the United States or Puerto Rico

b. Where did this person live 1 year ago?

Address (Number and street name)

Name of city, town, or post office

Name of U.S. county or municipio in Puerto Rico

Name of U.S. state or Puerto Rico **ZIP Code**

FOR REFERENCE ONLY

13199096

Person 1 (continued)

16 **Is this person CURRENTLY covered by any of the following types of health insurance or health coverage plans?** *Mark "Yes" or "No" for EACH type of coverage in items a – h.*

	Yes	No
a. Insurance through a current or former employer or union (of this person or another family member)	☐	☐
b. Insurance purchased directly from an insurance company (by this person or another family member)	☐	☐
c. Medicare, for people 65 and older, or people with certain disabilities	☐	☐
d. Medicaid, Medical Assistance, or any kind of government-assistance plan for those with low incomes or a disability	☐	☐
e. TRICARE or other military health care	☐	☐
f. VA (enrolled for VA health care)	☐	☐
g. Indian Health Service	☐	☐
h. Any other type of health insurance or health coverage plan – *Specify*	☐	☐

G *Answer question 17a if this person is covered by health insurance. Otherwise, SKIP to question 18a.*

17 **a. Is there a premium for this plan?** *A premium is a fixed amount of money paid on a regular basis for health coverage. It does not include copays, deductibles, or other expenses such as prescription costs.*

☐ Yes
☐ No → *SKIP to question 18a*

b. Does this person or another family member receive a tax credit or subsidy based on family income to help pay the premium?

☐ Yes
☐ No

18 **a. Is this person deaf or does he/she have serious difficulty hearing?**

☐ Yes
☐ No

b. Is this person blind or does he/she have serious difficulty seeing even when wearing glasses?

☐ Yes
☐ No

H *Answer questions 19a – c if this person is 5 years old or over. Otherwise, SKIP to the questions for Person 2 on page 12.*

19 **a. Because of a physical, mental, or emotional condition, does this person have serious difficulty concentrating, remembering, or making decisions?**

☐ Yes
☐ No

b. Does this person have serious difficulty walking or climbing stairs?

☐ Yes
☐ No

c. Does this person have difficulty dressing or bathing?

☐ Yes
☐ No

I *Answer question 20 if this person is 15 years old or over. Otherwise, SKIP to the questions for Person 2 on page 12.*

20 **Because of a physical, mental, or emotional condition, does this person have difficulty doing errands alone such as visiting a doctor's office or shopping?**

☐ Yes
☐ No

21 **What is this person's marital status?**

☐ Now married
☐ Widowed
☐ Divorced
☐ Separated
☐ Never married → *SKIP to* **J**

22 **In the PAST 12 MONTHS, did this person get –**

	Yes	No
a. Married?	☐	☐
b. Widowed?	☐	☐
c. Divorced?	☐	☐

23 **How many times has this person been married?**

☐ Once
☐ Two times
☐ Three or more times

24 **In what year did this person last get married?**

Year

J *Answer question 25 if this person is female and 15 – 50 years old. Otherwise, SKIP to question 26a.*

25 **In the PAST 12 MONTHS, has this person given birth to any children?**

☐ Yes
☐ No

26 **a. Does this person have any of his/her own grandchildren under the age of 18 living in this house or apartment?**

☐ Yes
☐ No → *SKIP to question 27*

b. Is this grandparent currently responsible for most of the basic needs of any grandchildren under the age of 18 who live in this house or apartment?

☐ Yes
☐ No → *SKIP to question 27*

c. How long has this grandparent been responsible for these grandchildren? *If the grandparent is financially responsible for more than one grandchild, answer the question for the grandchild for whom the grandparent has been responsible for the longest period of time.*

☐ Less than 6 months
☐ 6 to 11 months
☐ 1 or 2 years
☐ 3 or 4 years
☐ 5 or more years

27 **Has this person ever served on active duty in the U.S. Armed Forces, Reserves, or National Guard?** *Mark (X) ONE box.*

☐ Never served in the military → *SKIP to question 30a*
☐ Only on active duty for training in the Reserves or National Guard → *SKIP to question 29a*
☐ Now on active duty
☐ On active duty in the past, but not now

28 **When did this person serve on active duty in the U.S. Armed Forces?** *Mark (X) a box for EACH period in which this person served, even if just for part of the period.*

☐ September 2001 or later
☐ August 1990 to August 2001 (including Persian Gulf War)
☐ May 1975 to July 1990
☐ Vietnam era (August 1964 to April 1975)
☐ February 1955 to July 1964
☐ Korean War (July 1950 to January 1955)
☐ January 1947 to June 1950
☐ World War II (December 1941 to December 1946)
☐ November 1941 or earlier

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Person 1 (continued)

29 **a. Does this person have a VA service-connected disability rating?**

- ☐ Yes (such as 0%, 10%, 20%, ... , 100%)
- ☐ No → *SKIP to question 30a*

b. What is this person's service-connected disability rating?

- ☐ 0 percent
- ☐ 10 or 20 percent
- ☐ 30 or 40 percent
- ☐ 50 or 60 percent
- ☐ 70 percent or higher

30 **a. LAST WEEK, did this person work for pay at a job (or business)?**

- ☐ Yes → *SKIP to question 31*
- ☐ No – Did not work (or retired)

b. LAST WEEK, did this person do ANY work for pay, even for as little as one hour?

- ☐ Yes
- ☐ No → *SKIP to question 36a*

31 **At what location did this person work LAST WEEK?** *If this person worked at more than one location, print where he or she worked most last week.*

a. Address (Number and street name)

If the exact address is not known, give a description of the location such as the building name or the nearest street or intersection.

b. Name of city, town, or post office

c. Is the work location inside the limits of that city or town?

- ☐ Yes
- ☐ No, outside the city/town limits

d. Name of county

e. Name of U.S. state or foreign country

f. ZIP Code

32 **How did this person usually get to work LAST WEEK?** *Mark (X) ONE box for the method of transportation used for most of the distance.*

- ☐ Car, truck, or van
- ☐ Bus
- ☐ Subway or elevated rail
- ☐ Long-distance train or commuter rail
- ☐ Light rail, streetcar, or trolley
- ☐ Ferryboat
- ☐ Taxicab
- ☐ Motorcycle
- ☐ Bicycle
- ☐ Walked
- ☐ Worked from home → *SKIP to question 40a*
- ☐ Other method

K *Answer question 33 if you marked "Car, truck, or van" in question 32. Otherwise, SKIP to question 34.*

33 **How many people, including this person, usually rode to work in the car, truck, or van LAST WEEK?**

Person(s)

34 **LAST WEEK, what time did this person's trip to work usually begin?**

Hour Minute

- ☐ a.m.
- ☐ p.m.

35 **How many minutes did it usually take this person to get from home to work LAST WEEK?**

Minutes

L *Answer questions 36 – 39 if this person did NOT work last week. Otherwise, SKIP to question 40a.*

36 **a. LAST WEEK, was this person on layoff from a job?**

- ☐ Yes → *SKIP to question 36c*
- ☐ No

b. LAST WEEK, was this person TEMPORARILY absent from a job or business?

- ☐ Yes, on vacation, temporary illness, maternity leave, other family/personal reasons, bad weather, etc. → *SKIP to question 39*
- ☐ No → *SKIP to question 37*

c. Has this person been informed that he or she will be recalled to work within the next 6 months OR been given a date to return to work?

- ☐ Yes → *SKIP to question 38*
- ☐ No

37 **During the LAST 4 WEEKS, has this person been ACTIVELY looking for work?**

- ☐ Yes
- ☐ No → *SKIP to question 39*

38 **LAST WEEK, could this person have started a job if offered one, or returned to work if recalled?**

- ☐ Yes, could have gone to work
- ☐ No, because of own temporary illness
- ☐ No, because of all other reasons (in school, etc.)

39 **When did this person last work, even for a few days?**

- ☐ Within the past 12 months
- ☐ 1 to 5 years ago → *SKIP to* **M**
- ☐ Over 5 years ago or never worked → *SKIP to question 43*

40 **a. During the PAST 12 MONTHS (52 weeks), did this person work EVERY week? Count paid vacation, paid sick leave, and military service as work.**

- ☐ Yes → *SKIP to question 41*
- ☐ No

b. During the PAST 12 MONTHS (52 weeks), how many WEEKS did this person work? Include paid time off and include weeks when the person only worked for a few hours.

Weeks

41 **During the PAST 12 MONTHS, in the WEEKS WORKED, how many hours did this person usually work each WEEK?**

Usual hours worked each WEEK

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Person 1 (continued)

M *Answer questions 42a – f if this person worked in the past 5 years. Otherwise, SKIP to question 43.*

42 DESCRIPTION OF EMPLOYMENT

The next series of questions is about the type of employment this person had last week.

If this person had more than one job, describe the one at which the most hours were worked. If this person did not work last week, describe the most recent employment in the past five years.

a. Which one of the following best describes this person's employment last week or the most recent employment in the past 5 years? *Mark (X) ONE box.*

PRIVATE SECTOR EMPLOYEE
- ☐ **For-profit** company or organization
- ☐ **Non-profit** organization (including tax-exempt and charitable organizations)

GOVERNMENT EMPLOYEE
- ☐ **Local government** (for example: city or county school district)
- ☐ **State government** (including state colleges/universities)
- ☐ **Active duty** U.S. Armed Forces or Commissioned Corps
- ☐ **Federal government** civilian employee

SELF-EMPLOYED OR OTHER
- ☐ **Owner of non-incorporated** business, professional practice, or farm
- ☐ **Owner of incorporated** business, professional practice, or farm
- ☐ Worked **without pay** in a **for-profit** family business or farm for 15 hours or more per week

b. What was the name of this person's employer, business, agency, or branch of the Armed Forces?

c. What kind of business or industry was this? *Include the main activity, product, or service provided at the location where employed. (For example: elementary school, residential construction)*

d. Was this mainly – *Mark (X) ONE box.*
- ☐ manufacturing?
- ☐ wholesale trade?
- ☐ retail trade?
- ☐ other (agriculture, construction, service, government, etc.)?

e. What was this person's main occupation? *(For example: 4th grade teacher, entry-level plumber)*

f. Describe this person's most important activities or duties. *(For example: instruct and evaluate students and create lesson plans, assemble and install pipe sections and review building plans for work details)*

43 INCOME IN THE PAST 12 MONTHS

Mark (X) the "Yes" box for each type of income this person received, and give your best estimate of the TOTAL AMOUNT during the PAST 12 MONTHS. (NOTE: The "past 12 months" is the period from today's date one year ago up through today.)

Mark (X) the "No" box to show types of income NOT received.

If net income was a loss, mark the "Loss" box to the right of the dollar amount.

For income received jointly, report the appropriate share for each person – or, if that's not possible, report the whole amount for only one person and mark the "No" box for the other person.

a. Wages, salary, commissions, bonuses, or tips from all jobs. *Report amount before deductions for taxes, bonds, dues, or other items.*

☐ Yes → $ .00
☐ No
TOTAL AMOUNT for past 12 months

b. Self-employment income from own nonfarm businesses or farm businesses, including proprietorships and partnerships. *Report NET income after business expenses.*

☐ Yes → $ .00 ☐ Loss
☐ No
TOTAL AMOUNT for past 12 months

c. Interest, dividends, net rental income, royalty income, or income from estates and trusts. *Report even small amounts credited to an account.*

☐ Yes → $ .00 ☐ Loss
☐ No
TOTAL AMOUNT for past 12 months

d. Social Security or Railroad Retirement.

☐ Yes → $ .00
☐ No
TOTAL AMOUNT for past 12 months

e. Supplemental Security Income (SSI).

☐ Yes → $ .00
☐ No
TOTAL AMOUNT for past 12 months

f. Any public assistance or welfare payments from the state or local welfare office.

☐ Yes → $ .00
☐ No
TOTAL AMOUNT for past 12 months

g. Retirement income, pensions, survivor or disability income. *Include income from a previous employer or union, or any regular withdrawals or distributions from IRA, Roth IRA, 401(k), 403(b), or other accounts specifically designed for retirement. Do not include Social Security.*

☐ Yes → $ .00
☐ No
TOTAL AMOUNT for past 12 months

h. Any other sources of income received regularly such as Veterans' (VA) payments, unemployment compensation, child support or alimony. *Do NOT include lump sum payments such as money from an inheritance or the sale of a home.*

☐ Yes → $ .00
☐ No
TOTAL AMOUNT for past 12 months

44 What was this person's total income during the PAST 12 MONTHS? *Add entries in questions 43a to 43h; subtract any losses. If net income was a loss, enter the amount and mark (X) the "Loss" box next to the dollar amount.*

☐ OR $ .00 ☐ Loss
None
TOTAL AMOUNT for past 12 months

→ Continue with the questions for Person 2 on the next page. If no one is listed as Person 2 on page 2, SKIP to page 28 for mailing instructions.

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Person 2

The balance of the questionnaire has questions for Person 2, Person 3, Person 4, and Person 5. The questions are the same as the questions for Person 1.

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Mailing Instructions

Please make sure you have...

- listed all names and answered the questions on pages 2, 3, and 4
- answered all Housing questions
- answered all Person questions for each person.

Then...

- put the completed questionnaire into the postage-paid return envelope. If the envelope has been misplaced, please mail the questionnaire to:

  U.S. Census Bureau
  P.O. Box 5240
  Jeffersonville, IN 47199-5240

- make sure the barcode above your address shows in the window of the return envelope.

Thank you for participating in the American Community Survey.

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For Census Bureau Use

POP	EDIT	PHONE	JIC1	JIC2

EDIT CLERK	TELEPHONE CLERK	JIC3	JIC4

The Census Bureau estimates that, for the average household, this form will take 40 minutes to complete, including the time for reviewing the instructions and answers. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Paperwork Project 0607-0810 and 0607-0936, U.S. Census Bureau, 4600 Silver Hill Road, AMSD – 3K138, Washington, D.C. 20233. You may e-mail comments to AMSD.Paperwork@census.gov; use "Paperwork Project 0607-0810 and 0607-0936" as the subject. Please DO NOT RETURN your questionnaire to this address. Use the enclosed preaddressed envelope to return your completed questionnaire.

Respondents are not required to respond to any information collection unless it displays a valid approval number from the Office of Management and Budget. This 8-digit number appears in the bottom right on the front cover of this form.

Form ACS-1(INFO)(2019) (08-02-2018)

28

Employment Eligibility Verification

Department of Homeland Security
U.S. Citizenship and Immigration Services

USCIS
Form I-9
OMB No. 1615-0047
Expires 08/31/2019

▶ **START HERE: Read instructions carefully before completing this form. The instructions must be available, either in paper or electronically, during completion of this form. Employers are liable for errors in the completion of this form.**

ANTI-DISCRIMINATION NOTICE: It is illegal to discriminate against work-authorized individuals. Employers **CANNOT** specify which document(s) an employee may present to establish employment authorization and identity. The refusal to hire or continue to employ an individual because the documentation presented has a future expiration date may also constitute illegal discrimination.

Section 1. Employee Information and Attestation *(Employees must complete and sign Section 1 of Form I-9 no later than the **first day of employment**, but not before accepting a job offer.)*

Last Name *(Family Name)*	First Name *(Given Name)*	Middle Initial	Other Last Names Used *(if any)*

Address *(Street Number and Name)*	Apt. Number	City or Town	State	ZIP Code

Date of Birth *(mm/dd/yyyy)*	U.S. Social Security Number	Employee's E-mail Address	Employee's Telephone Number
	☐☐☐ - ☐☐ - ☐☐☐☐		

I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.

I attest, under penalty of perjury, that I am (check one of the following boxes):

☐ 1. A citizen of the United States

☐ 2. A noncitizen national of the United States *(See instructions)*

☐ 3. A lawful permanent resident (Alien Registration Number/USCIS Number): _____

☐ 4. An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy): _____
Some aliens may write "N/A" in the expiration date field. *(See instructions)*

Aliens authorized to work must provide only one of the following document numbers to complete Form I-9: An Alien Registration Number/USCIS Number OR Form I-94 Admission Number OR Foreign Passport Number.

1. Alien Registration Number/USCIS Number: _____
OR
2. Form I-94 Admission Number: _____
OR
3. Foreign Passport Number: _____
Country of Issuance: _____

QR Code - Section 1
Do Not Write in This Space

Signature of Employee	Today's Date *(mm/dd/yyyy)*

Preparer and/or Translator Certification (check one):

☐ I did not use a preparer or translator. ☐ A preparer(s) and/or translator(s) assisted the employee in completing Section 1.

(Fields below must be completed and signed when preparers and/or translators assist an employee in completing Section 1.)

I attest, under penalty of perjury, that I have assisted in the completion of Section 1 of this form and that to the best of my knowledge the information is true and correct.

Signature of Preparer or Translator	Today's Date *(mm/dd/yyyy)*

Last Name *(Family Name)*	First Name *(Given Name)*

Address *(Street Number and Name)*	City or Town	State	ZIP Code

STOP *Employer Completes Next Page* STOP

Employment Eligibility Verification
Department of Homeland Security
U.S. Citizenship and Immigration Services

USCIS
Form I-9
OMB No. 1615-0047
Expires 08/31/2019

Section 2. Employer or Authorized Representative Review and Verification

(Employers or their authorized representative must complete and sign Section 2 within 3 business days of the employee's first day of employment. You must physically examine one document from List A OR a combination of one document from List B and one document from List C as listed on the "Lists of Acceptable Documents.")

Employee Info from Section 1	Last Name *(Family Name)*	First Name *(Given Name)*	M.I.	Citizenship/Immigration Status

List A Identity and Employment Authorization	OR	List B Identity	AND	List C Employment Authorization
Document Title Issuing Authority Document Number Expiration Date *(if any)(mm/dd/yyyy)*		Document Title Issuing Authority Document Number Expiration Date *(if any)(mm/dd/yyyy)*		Document Title Issuing Authority Document Number Expiration Date *(if any)(mm/dd/yyyy)*
Document Title Issuing Authority Document Number Expiration Date *(if any)(mm/dd/yyyy)*				
Document Title Issuing Authority Document Number Expiration Date *(if any)(mm/dd/yyyy)*				

Additional Information

QR Code - Sections 2 & 3
Do Not Write In This Space

Certification: I attest, under penalty of perjury, that (1) I have examined the document(s) presented by the above-named employee, (2) the above-listed document(s) appear to be genuine and to relate to the employee named, and (3) to the best of my knowledge the employee is authorized to work in the United States.

The employee's first day of employment *(mm/dd/yyyy)*: _____ ***(See instructions for exemptions)***

Signature of Employer or Authorized Representative	Today's Date *(mm/dd/yyyy)*	Title of Employer or Authorized Representative

Last Name of Employer or Authorized Representative	First Name of Employer or Authorized Representative	Employer's Business or Organization Name

Employer's Business or Organization Address (Street Number and Name)	City or Town	State	ZIP Code

Section 3. Reverification and Rehires *(To be completed and signed by employer or authorized representative.)*

A. New Name *(if applicable)*			B. Date of Rehire *(if applicable)*
Last Name *(Family Name)*	First Name *(Given Name)*	Middle Initial	Date *(mm/dd/yyyy)*

C. If the employee's previous grant of employment authorization has expired, provide the information for the document or receipt that establishes continuing employment authorization in the space provided below.

Document Title	Document Number	Expiration Date *(if any) (mm/dd/yyyy)*

I attest, under penalty of perjury, that to the best of my knowledge, this employee is authorized to work in the United States, and if the employee presented document(s), the document(s) I have examined appear to be genuine and to relate to the individual.

Signature of Employer or Authorized Representative	Today's Date *(mm/dd/yyyy)*	Name of Employer or Authorized Representative

LISTS OF ACCEPTABLE DOCUMENTS
All documents must be UNEXPIRED

Employees may present one selection from List A
or a combination of one selection from List B and one selection from List C.

LIST A Documents that Establish Both Identity and Employment Authorization	OR	LIST B Documents that Establish Identity	AND	LIST C Documents that Establish Employment Authorization
1. U.S. Passport or U.S. Passport Card		1. Driver's license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address		1. A Social Security Account Number card, unless the card includes one of the following restrictions: (1) NOT VALID FOR EMPLOYMENT (2) VALID FOR WORK ONLY WITH INS AUTHORIZATION (3) VALID FOR WORK ONLY WITH DHS AUTHORIZATION
2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551)		2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address		2. Certification of report of birth issued by the Department of State (Forms DS-1350, FS-545, FS-240)
3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa		3. School ID card with a photograph		3. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal
4. Employment Authorization Document that contains a photograph (Form I-766)		4. Voter's registration card		4. Native American tribal document
5. For a nonimmigrant alien authorized to work for a specific employer because of his or her status: a. Foreign passport; and b. Form I-94 or Form I-94A that has the following: (1) The same name as the passport; and (2) An endorsement of the alien's nonimmigrant status as long as that period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form.		5. U.S. Military card or draft record		5. U.S. Citizen ID Card (Form I-197)
		6. Military dependent's ID card		6. Identification Card for Use of Resident Citizen in the United States (Form I-179)
		7. U.S. Coast Guard Merchant Mariner Card		7. Employment authorization document issued by the Department of Homeland Security
6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI		8. Native American tribal document		
		9. Driver's license issued by a Canadian government authority		
		For persons under age 18 who are unable to present a document listed above:		
		10. School record or report card		
		11. Clinic, doctor, or hospital record		
		12. Day-care or nursery school record		

Examples of many of these documents appear in Part 13 of the Handbook for Employers (M-274).

Refer to the instructions for more information about acceptable receipts.

DC DRIVER LICENSE or IDENTIFICATION CARD APPLICATION

Unless you decline/opt out, information you provide on this form will be used to register you to vote or update your registration.

A. What do you need?

❑ Driver License	❑ Identification Card	❑ Motorcycle Endorsement

B. Tell us about yourself

Last Name	First Name	Middle Name	Jr./Sr./III, etc.

Address where you live (a mailing only address cannot be used)	Apt/Unit #	City & State	ZIP Code
		Washington, DC	

Date of Birth	Social Security #	U.S. Citizen	Gender
/ /		❑ Yes ❑ No	❑ Male ❑ Female ❑ Unspecified

Weight	Height	Hair Color	Eye Color	Other names you have used on a Driver License or ID Card.
LBS	FT IN			

Cell Phone	Alternate Phone	Text Notification	Email
( )	( )	❑ Yes Standard rates apply	

C. Tell us about your driving history

1. Have you ever had a Driver License?	*If yes, write from what country, state, or jurisdiction?* _____	❑ Yes ❑ No
2. Has your license ever been suspended or revoked?		❑ Yes ❑ No
3. Has your application for a Driver License been denied in another country or state?		❑ Yes ❑ No

D. Tell us about your medical history *Skip this section if you are only here for an ID card.*

1. Do you require corrective lenses or glasses for the vision screening test?	❑ Yes ❑ No
2. Are you required to wear a hearing device while driving?	❑ Yes ❑ No
In the past 5 years, have you had or been treated for any of the following? *If yes, to an item, please complete the Medical/Eye form.*	
1. Alzheimer's Disease	❑ Yes ❑ No
2. Insulin Dependent Diabetes	❑ Yes ❑ No
3. Glaucoma, Cataracts, or Eye Diseases	❑ Yes ❑ No
4. Seizure or Loss of Consciousness	❑ Yes ❑ No
5. Do you have other mental or physical conditions that would impair your ability to drive?	❑ Yes ❑ No

E. Tell us about your preferences

1. All males 18-26 years old will be registered with **Selective Service.** *To opt out, complete the opt-out form*		
2. I would like to add a **Veteran designation** to my license/ID card.	❑ Yes	*If yes, provide proof of your status*
3. I would like to be an **organ and tissue donor.**	❑ Yes	
4. What language should we use to communicate with you?	_____	
Special Designations (Optional): *Add the following indicators to my license/ID Card*	❑ Autism ❑ Intellectual Disability	❑ Visually Impaired ❑ Hearing Impaired

Office Use:

F. If you are 70+ years of age, your licensed medical practitioner MUST complete this section

Practitioner's Name *(print)*	Practitioner's Identification Number	Phone Number

Does the applicant have the ability to safely drive a vehicle?	❑ Yes, the applicant can safely drive a vehicle. ❑ No, the applicant cannot safely drive a vehicle.
Practitioner's Signature:	Date:

To confidentially report waste, fraud or abuse by a DC Government Agency or official, call the DC Inspector General at 1.800.521.1639

Office Use: *Form revised January 2019*

Employee Signature: Date:

Questions? Please visit our website at dmv.dc.gov or call 311 in DC or 202.737.4404 outside the 202 area code.

Continued on Next Page →

G. Voter Registration

We will use your information to register you to vote or update your voter registration. To register to vote, you must:

- Be a US Citizen
- Live in the District of Columbia (You may not vote in a District of Columbia election unless you have lived here for at least 30 days before the election)
- Not claim voting residence or the right to vote in another U.S. state or territory
- Be at least 17 years old and at least 18 years old by the next general election (You may vote in a **primary election** if you are at least 17 years old and you will be 18 years old by the next general election. You may vote in a **general or special election** if you are at least 18 years old. You may **pre-register** if you are at least 16 years old.)
- Not be in jail serving a sentence for conviction of a crime that is a felony in the District of Columbia; and
- Not have been found by a court of law to be legally incompetent to vote

Check the box below to decline/opt out of registering to vote or updating your voter registration if:

- You do not meet the requirements listed above
- You meet the requirements listed above but do not want to register to vote; or
- You are already registered in the District of Columbia and do not want to update your registration

If you check the box below, any information you provide in this section (G. Voter Registration) will not be sent to the DC Board of Elections.

❑ **I decline/opt out. Do not register me to vote or update my voter registration.**

(If you check this box, skip to Section H. Applicant Certification)

Party Registration. To vote in all contests in District of Columbia primary elections, you must be registered to vote in one of the following four (4) parties **(Check ONE box below):**

❑ Democratic Party ❑ Republican Party ❑ DC Statehood Green Party ❑ Libertarian Party

You may register as "No Party (independent)" or with a party that is not listed above by checking one of the boxes below. If you do so, you cannot vote for candidates in primary elections, but you can vote on any citywide ballot questions (for example, initiatives and referenda) that appear on primary election ballots.
If you do not choose any of the six options presented, you will be registered as "No Party (independent)" by default.

❑ No Party (Independent) ❑ Other (write party name here) _____

Address where you get your mail (if different from the address where you live provided in Section B.):

Name and address on your last voter registration (include city and state if outside of DC):

Would you like information on serving as a poll worker in the next election? ❑ Yes ❑ No

If you need help with voting, please tell us what type of help you need (optional):

Important Notices. Voter registration information is public, with the exception of social security numbers, dates of birth, email addresses, and phone numbers.

If you decline to register/opt out of registering to vote, your decision will remain confidential and will be used only for voter registration purposes. If you choose to register to vote, the identity of the agency where you registered will remain confidential and will be used only for voter registration purposes.

In order for your residence and/or mailing address to be kept confidential, you must submit a court order to the DC Board of Elections which directs that such information must be kept confidential.

If you believe that someone has interfered with your right: a) to register to vote; b) to decline to register to vote; c) to privacy in deciding whether to register or in applying to register to vote, or; d) to choose your own political party or other political preference, you may file a complaint with the DC Board of Elections, 1015 Half Street SE, Suite 750, Washington, DC 20003. You may check the status of your registration at https://dcboe.org/VoterRegistrationStatus.
Questions? Visit our website at www.dcboe.org, or call 202.727.2525•1.866.328.6837(toll-free) • 711 (TDD)

H. Applicant Certification

I hereby certify, under penalty of perjury, that the information contained on this application is true and correct. If I am applying to register to vote, I swear or affirm that I meet each requirement listed in Section G. I understand that: a) any person using a fictitious name or address and/or knowingly making any false statement on this application is in violation of DC Law and subject to a fine of up to $1,000 and/or up to180 days imprisonment (DC Official Code 22-2405), and; b) any person who registers to vote or attempts to register and makes any false representations as to their qualifications for registering is in violation of DC Law and subject to a fine of up to $10,000 and/or up to 5 years imprisonment (DC Official Code 1-1001.14(a)).

Applicant Signature:_____ Date:_____

Information about the Wisconsin
Driver License (DL) Application (form MV3001)

You will need to visit a **DMV service center** and present an MV3001 application when you:

- apply for an original or duplicate* driver license or instruction permit
- renew an existing driver license
- apply for an occupational license

An application may only be submitted through the mail if you are unable to renew or obtain a duplicate driver license because you are a Wisconsin resident who is temporarily out-of-state.

More information about:

- **renewing when out of state**
- **fees**
- **applying for a license**

* **Note:** You may be eligible to order a duplicate driver license online rather than visit a DMV service center. See our online **duplicate driver license application** for further information.

WISCONSIN DRIVER LICENSE (DL) APPLICATION

Wisconsin Department of Transportation
MV3001 1/2019 Ch. 343 Wis. Stats.

Clear Form

An unexpired Wisconsin driver license is acceptable photo ID for voting. (s. 5.02(6m) Wis. Stats.)

Acceptable proof of name and date of birth, legal presence, identity and Wisconsin residency are required. Please see DOT publication BDS316 or wisconsindmv.gov/dl-docs for a list of acceptable documents.

- **ALL applicants,** complete the top section on back. If under age 18, also complete the **'UNDER AGE 18'** section below.
- **CDL applicants,** complete the **'CDL APPLICANT ONLY'** section below. Your Federal Medical Certificate is required unless you drive a school bus or drive for a political subdivision.

DONOR Check the box if you wish to help others by donating your organs, tissue and eyes upon your death. Your gift will be used to save and improve lives through transplantation, therapy, research or education. If you are at least 18, checking the box indicates your legal consent for donation. You do not have to answer this question to obtain a license.

ADA The Wisconsin Department of Transportation complies with the Americans with Disabilities Act (ADA).

INVISIBLE DISABILITY Notice to law enforcement form: *wisconsindmv.gov/inv-dis* or at DMV Service Centers.

SOCIAL SECURITY NUMBER (SSN) If you have a SSN, you must provide it (s. 343.14(2)(bm) Wis. Stats.). Your SSN may be used for purposes authorized by law and to link your driver license and vehicle registration records. Your SSN must correspond with the number issued by the Social Security Administration. Federal regulation 49 CFR, Part 383.153 requires a SSN for commercial driver license privileges.

NOTICE TO MALES AGE 18–25 By submitting this application, you consent to be registered with the Selective Service System, if required by Federal law. You also authorize the Department of Transportation to forward any information contained in this application that is requested by the Selective Service System for the purpose of registering you as provided in s. 343.14(2)(em) and s. 343.234 Wis. Stats.

WARNING Any applicant for a driver license who presents fraudulent or altered documents or makes a false statement to the issuing officer or agency, may be subject to a fine of not more than $1,000, imprisonment for not more than six months or both. The driver license privilege may also be revoked for one year. (s. 343.14(5) Wis. Stats.)

OPT OUT Under Wisconsin open records laws, WisDOT must provide information from its records to requesters. If you do not want your name and address included in requests we receive for ten or more records, you may ask WisDOT to withhold your name and address from those lists by checking the box on the application.

INSURANCE No person may operate a motor vehicle in Wisconsin unless the owner or driver of the vehicle has liability insurance in effect for the vehicle being operated and carries proof of insurance whenever driving. Failure to have insurance could result in a fine up to $500. Refer to s. 344.61-344.65 Wis. Stats. for full details.

COMMERCIAL DRIVER LICENSE APPLICANT ONLY

If applying for a HAZMAT endorsement (HME), complete *Driver License Hazardous Materials Endorsement Application*, form MV3735.
If applying for a school bus endorsement, complete *School Bus or Alternative Vehicle License Information Request*, form MV3740.

	YES	NO
1. In the past 5 years, have you had a loss of consciousness or muscle control caused by a neurological condition, for example, seizure disorder?	☐	☐
2. In the past 2 years, have you taken insulin to control a diabetic condition?	☐	☐
3. In the past 2 years, have you taken oral medication to control a diabetic condition?	☐	☐
4. Is your hearing impaired? (hard of hearing)	☐	☐
5. Have you held a valid operator's license in the last 10 years from any jurisdiction (state) other than Wisconsin? If yes, list all states: _____	☐	☐
6. Is the vehicle you will be operating equipped with air brakes?	☐	☐
7. Do you meet all the driver qualifications as required by 49 CFR 391 to operate a commercial vehicle? If not, see *Motor Carrier Safety FAQs* in the Wisconsin Commercial Driver's Manual.	☐	☐
8. **School Bus, CDL Instructional Permit and New CDL Class/Endorsement Applicants Only.** Is the vehicle in which you will take the commercial driver license skills test representative of the type of vehicle you will operate or intend to operate?	☐	☐
9. **School Bus Applicants Only.** Have you been convicted of an offense identified on *School Bus or Alternative Vehicle License Information Request*, form MV3740 in Wisconsin or any other jurisdiction? If yes, list date and place: _____	☐	☐

DRIVER LICENSE APPLICANT UNDER AGE 18 ONLY

Applicant Certification: I certify that in the past six months I have not been ticketed for a moving violation that has or may result in a conviction. I understand that falsifying this statement will result in the cancellation of my probationary license. Applicant Signature – **REQUIRED**.

X

School Certification: I certify that this applicant is enrolled in approved behind-the-wheel training which begins no later than 60 days from date signed.

School ID Number	School Name

Official WisDOT Test Results (line out if not used)

Knowledge Test		Highway Sign Test	
Pass ☐	Fail ☐	Pass ☐	Fail ☐

X
(Authorized School Official/Instructor Signature) (Date Signed)

Sponsor Certification: As the adult sponsor under s. 343.15 Wis. Stats., I accept liability and verify that the minor is not a habitual truant and meets the educational requirements for licensure. If required for this application, I certify that the applicant has accumulated at least 30 hours of driving experience, 10 of which were at night.

Minor Name – Print

Sponsor Name – Print	Relationship to Applicant

Sponsor Wisconsin DL/ID Number	Sex	Birth Date (mm/dd/yyyy)

X
(Sponsor Signature – Must be Witnessed by DMV Agent or Notarized)

State of Wisconsin County of	Subscribed and sworn to before me on this date

X
(DMV Authorized Agent or Notary Signature) (My Commission Expires)
DO NOT Use Notary Seal

WISCONSIN DRIVER LICENSE (DL) APPLICATION

Wisconsin Department of Transportation MV3001 1/2019 Ch. 343 Wis. Stats.

Clear Form Print

ALL APPLICANTS – *Please Print*

Social Security Number	Applicant Name – First, Middle, Last	Birth Date (mm/dd/yyyy)
- -		- -

Residence Address – Street	Apt #	City	State	ZIP Code	County of Residence

Mailing Address – ONLY IF DIFFERENT from Residence	Apt #	City	State	ZIP Code

Sex	Race	Eyes	Hair	Weight	Height

Former Name (if changed since last license or ID card)	Reason for Name Change
	Marriage ☐ Divorce ☐ Other ☐ List: _____

1. Do you wish to register to be an organ, tissue and eye donor? YES ☐
2. **OPT OUT** – Do you wish to have your name and address withheld from lists WisDOT sells? YES ☐
3. I am a veteran registered with WDVA and wish to have my veteran status indicated on my driver license. *(DMV is required to verify your status with WDVA)* YES ☐
4. Has your license, ID card or operating privilege ever been revoked, suspended, cancelled, disqualified or denied? YES ☐ NO ☐
   If yes, list date and place: _____
5. Have you been convicted of operating while intoxicated OUTSIDE of Wisconsin? YES ☐ NO ☐
   If yes, give date and place: _____
6. Do you hold a valid driver license/identification card from another state/country? YES ☐ NO ☐
   If yes, list: _____
   Years of licensed driving experience in the United States, its territories and Canada. List: _____
7. Do you need glasses or contact lenses for driving? YES ☐ NO ☐
8. Are you missing a limb? YES ☐ NO ☐
   If yes, have you successfully passed a road test with this condition? YES ☐ NO ☐
9. In the past year have you had a loss of consciousness or muscle control caused by any of the following conditions? YES ☐ NO ☐
   If yes, check condition(s) and list date(s): _____
   Traumatic Brain or Head Injury (2) ☐ Stroke (2) ☐ Muscle or Nerve (2) ☐ Mental (3) ☐ Seizure Disorder (4) ☐ Diabetes (5) ☐ Heart (6) ☐ Lung (7) ☐
10. **Check ONLY ONE** of the following three boxes.
    I certify that I am a:
    ☐ U.S. Citizen ☐ Temporary Visitor
    ☐ Permanent or Conditional Permanent Resident
11. Will you donate $2 to organ, tissue and eye donation efforts? YES ☐

I understand that I must surrender for cancellation any driver license or identification card previously issued by another state before I may be issued a driver license or identification card in the State of Wisconsin. The State of Wisconsin will notify the other state that my driver license or identification card is surrendered and cancelled, and that I have been issued a Wisconsin license or identification card. (ss. 343.11(1) and (2), and 343.50(1)(b) Wis. Stats.) I certify that the information on this application is true under penalty of perjury and I am a resident of Wisconsin. (s. 343.14(5) Wis. Stats.)

X _____
(Applicant Signature) (Date)

OFFICE USE ONLY

Reason for Reissue:

Date	Processor ID			☐ REAL ID	Product Type ☐ REGI ☐ CLP ☐ CYCI ☐ SPRI ☐ JUVI ☐ MPDI ☐ PROB ☐ RGLR ☐ OCCL ☐ SPRR ☐ JUVP ☐ NON
Wisconsin or Out-of-State License Number	State	Expiration Date			
Hearing (CDL Only)	Examiner ID			Application Type ☐ ORG ☐ RNW ☐ DUP ☐ REI ☐ RSM ☐ AMD ☐ COA	
Skill Test Score	Highway Signs	Knowledge		Class(es) Issued ☐ A ☐ B ☐ C ☐ D ☐ M	Endorsements ☐ H ☐ N ☐ P ☐ S ☐ T ☐ F
				Federal Medical Certificate Shown ☐ NO ☐ YES, Expires	
X (Processor Signature)		(Processor ID)		Payment ☐ Check ☐ Cash ☐ CC ☐ Acct.	Amount $

VISION

☐ Check if vision section completed by DMV Examiner

Visual Acuity	Without RX	With RX	Temporal Field of Vision In Degrees
Right Eye	20/	20/	
Left Eye	20/	20/	

Being duly licensed to practice ☐ Optometry ☐ Medicine, in: ☐ Wisconsin, or ☐ Other

Name of State or Country

I certify that the findings are correct and I examined this applicant on: _____ (Exam Date)

Corrective lenses required while driving ☐ YES ☐ NO

Color Perception ☐ Normal ☐ Deficient

Progressive eye disease or cataracts ☐ YES ☐ NO

If Yes, to Progressive eye disease or cataracts ☐ One Eye ☐ Both Eyes

X _____
(Eye Examiner Signature) (License #)

State of Ohio
Application for License to Carry a Concealed Handgun

Type or Print in Ink

Issuing Agency Use Only
License #: _____ Fee Collected: _____
Date Issued: _____ Receipt #: _____
Type: ☐Original ☐Renewal

I am applying for a:
☐ new license
☐ renewed license
☐ CLEO certification

Applicant Photo

SECTION I

This application will not be processed unless all applicable questions have been answered and until all required supporting documents as described in Ohio Revised Code (ORC) Section 2923.125(B) or (F) and, unless waived, the applicable license fee or license renewal fee have been submitted. FEES ARE NONREFUNDABLE. Consult your sheriff for acceptable forms of payment.

SECTION II

Name of Applicant: _____
Last First Middle

County of Residence: _____ Date of Birth: _____
MM/DD/YYYY

Current Residence: _____
Street City State ZIP

Mailing Address (if different from above):

_____
Street City State ZIP

Social Security Number (optional): _____ Place of Birth: _____

Residence Telephone Number: _____ Cell Phone: _____

Sex of Applicant: ☐ Male ☐ Female

Race/National Origin of Applicant:
☐ Indian/Alaskan
☐ Asian/Pacific Islander
☐ Black
☐ Hispanic
☐ White
☐ Other

SECTION III

ANSWER THE FOLLOWING QUESTIONS.

(1) Are you legally living in the United States? ☐ YES ☐ NO
(2) Have you lived in Ohio for the past five years or more? ☐ YES ☐ NO
(3) Are you at least 21 years of age? ☐ YES ☐ NO
(4) Are you a fugitive from justice? ☐ YES ☐ NO
(5) Are you prohibited by federal law from possessing a firearm? ☐ YES ☐ NO

FOR THE FOLLOWING QUESTIONS 6, 7A, 7B, DO NOT INCLUDE ANY CONVICTION FOR WHICH A COURT HAS ORDERED SEALED OR EXPUNGED OR RELATIVE TO WHICH A COURT HAS GRANTED RELIEF FROM DISABILITY PURSUANT TO ORC 2923.14, OR A CONVICTION FOR A MINOR MISDEMEANOR LEVEL OFFENSE.

(6) Are you under indictment for or otherwise charged with a felony, or have you ever been convicted of or pleaded guilty to a felony, or have you ever been adjudicated as a delinquent child for committing an act that would be a felony if committed by an adult? ☐ YES ☐ NO
(7A) Are you under indictment for, or otherwise charged with, or have you been convicted of, or pleaded guilty to an offense under ORC 2925, 3719, or 4729, that involves illegal possession, use, sale, administration, distribution of, or trafficking in a drug of abuse? ☐ YES ☐ NO
(7B) Have you ever been adjudicated a delinquent child for committing an act that would, if committed by an adult, be an offense under ORC 2925, 3719, or 4729, that involves illegal possession, use, sale, administration, distribution of, or trafficking in a drug of abuse? ☐ YES ☐ NO

SECTION III, continued

(8) Have you ever been convicted of, or pleaded guilty to, a misdemeanor offense of violence, charge of domestic violence, or a similar offense, in this or any other state? ☐ YES ☐ NO

(9) Are you under indictment for, or otherwise charged with, or, except for a conviction or guilty plea the records of which a court has ordered sealed or expunged or relative to which a court has granted relief from disability pursuant to ORC 2923.14, have you been convicted of or pleaded guilty to, within three years of the date of this application, except for a conviction or guilty plea the records of which a court has ordered sealed or expunged or relative to which a court has granted relief from disability pursuant to ORC 2923.14, a misdemeanor that is an offense of violence or the offense of possessing a revoked or suspended concealed handgun license, or, except for a conviction or guilty plea the records of which a court has ordered sealed or expunged or relative to which a court has granted relief from disability pursuant to ORC 2923.14, have you been adjudicated as a delinquent child within three years of the date of this application for committing an act that would be a misdemeanor of that nature, if committed by an adult? ☐ YES ☐ NO

(10) Are you under indictment for or otherwise charged with, or, except for a conviction or guilty plea the records of which a court has ordered sealed or expunged or relative to which a court has granted relief from disability pursuant to ORC 2923.14, or have you been convicted of or pleaded guilty to, within 10 years of the date of this application, resisting arrest, or, except for a conviction or guilty plea the records of which a court has ordered sealed or expunged or relative to which a court has granted relief from disability pursuant to ORC 2923.14, have you been adjudicated as a delinquent child for committing, within 10 years of the date of this application, an act that if committed by an adult would be the offense of resisting arrest? ☐ YES ☐ NO

(11) (a) Are you under indictment for, or otherwise charged with, assault or negligent assault?
(b) Have you been convicted of, pleaded guilty to, or adjudicated as a delinquent child two or more times for committing assault or negligent assault within five years of the date of this application?
(c) Except for a conviction, guilty plea, or delinquent child adjudication the records of which a court has ordered sealed or expunged or relative to which a court has granted relief from disability pursuant to ORC 2923.14, have you ever been convicted of, pleaded guilty to, or adjudicated as a delinquent child for assaulting a peace officer? ☐ YES ☐ NO

(12) (a) Have you ever been adjudicated as mentally incompetent or mentally defective? ☐ YES ☐ NO
(b) Have you ever been committed to a mental institution? ☐ YES ☐ NO
(c) Have you ever been involuntarily committed to a mental hospital or facility for purposes other than observation? ☐ YES ☐ NO
(d) Have you ever been adjudicated as mentally defective (which includes having been adjudicated as incompetent to manage your own affairs, or ever been committed to a mental institution? ☐ YES ☐ NO

(13) Are you currently the subject of a civil protection order, a temporary protection order, or a protection order issued by a court of this or any other state? ☐ YES ☐ NO

(14) Are you currently subject to a suspension imposed under ORC 2923.128(A)(2) of a license to carry a concealed handgun or a temporary emergency license to carry a concealed handgun that previously was issued to you, or are you subject to a similar suspension by another state? ☐ YES ☐ NO

(15) Are you a member of the United States Military on permanent change of station (PCS) orders to Ohio? ☐ YES ☐ NO

(16) Are you a permanent resident of Ohio on permanent change of station (PCS) orders to a military assignment outside of Ohio? ☐ YES ☐ NO

(17) Are you a resident of another state? ☐ YES ☐ NO

State of residence _____ If a resident of another state, are you employed in Ohio? ☐ YES ☐ NO

SECTION IV

THESE QUESTIONS ARE REQUIRED TO DETERMINE IF YOU CAN PASS THE NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM AND RECEIVE AN OHIO CONCEALED HANDGUN LICENSE:

(1) Are you under indictment or information in any court for a felony, or any other crime, for which the judge could imprison you for more than one year? ☐ YES ☐ NO

(2) Have you ever been convicted in any court of a felony, or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence, including probation? ☐ YES ☐ NO

(3) Are you a fugitive from justice? ☐ YES ☐ NO

(4) Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance as defined in 21 U.S.C. 802? ☐ YES ☐ NO

(5) Have you ever been adjudicated mentally defective (which includes a determination by a court, board, commission, or other lawful authority that you are a danger to yourself or others or are incompetent to manage your own affairs) or have you ever been committed to a mental institution? ☐ YES ☐ NO

(6) Have you ever been discharged from the Armed Forces under dishonorable conditions? ☐ YES ☐ NO

(7) Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner of a child? ☐ YES ☐ NO

(8) Have you ever been convicted of, pleaded guilty to, or adjudicated a delinquent child in any court of a misdemeanor crime of domestic violence? ☐ YES ☐ NO

(9) Have you ever renounced your United States citizenship? ☐ YES ☐ NO

(10) Are you an alien illegally in the United States? ☐ YES ☐ NO

(11) Are you an alien admitted to the United States under a nonimmigrant visa? ☐ YES ☐ NO

(12) If you are an alien admitted to the United States under a nonimmigrant visa, do you fall within any of the exceptions set forth in the instructions to question 12 on the ATF Form 4473? (If you meet any of these exceptions, you must provide supporting documentation)? ☐ YES ☐ NO

(13) What is your state of residence (if any)? _____

(14) What is your country of citizenship? _____

(15) If you are not a citizen of the United States, what is your U.S.- issued alien number or admission number? _____

SECTION V

YOU MUST COMPLETE THIS SECTION OF THE APPLICATION BY ANSWERING THE QUESTION POSED IN PART (1) BELOW AND, IF THE ANSWER TO THE QUESTION IS "YES," BY PROVIDING IN PART (2) THE INFORMATION SPECIFIED. IF YOU NEED MORE SPACE, COMPLETE AN ADDITIONAL SHEET WITH THE RELEVANT INFORMATION, ATTACH IT TO THE APPLICATION, AND NOTE THE ATTACHMENT AT THE END OF THIS SECTION.

(1) Have you previously applied in Ohio or in any other state for a license to carry a concealed handgun or a temporary emergency license to carry a concealed handgun? ☐ YES ☐ NO

(2) If your answer to the question in part (1) of this section of the application is "yes," you must complete this part by listing each county in Ohio, and each other state, in which you previously applied for either type of license and, to the best of your knowledge, the date on which you made the application.

Previous application made in _____ (Ohio County or Other State) on _____ (Application Date).

Previous application made in _____ (Ohio County or Other State) on _____ (Application Date).

Previous application made in _____ (Ohio County or Other State) on _____ (Application Date).

SECTION VI

AN APPLICANT WHO KNOWINGLY GIVES A FALSE ANSWER TO ANY QUESTION OR SUBMITS FALSE INFORMATION ON, OR A FALSE DOCUMENT WITH, THE APPLICATION MAY BE PROSECUTED FOR FALSIFICATION TO OBTAIN A CONCEALED HANDGUN LICENSE, A FELONY OF THE FOURTH DEGREE, IN VIOLATION OF ORC 2921.13.

(1) I have read the publication that explains Ohio firearms laws, provides instruction in dispute resolution and explains the Ohio laws related to that matter, and provides information regarding aspects of the use of deadly force with a firearm, and I am knowledgeable of the provisions of those laws and of the information on those matters.

(2) I desire a legal means to carry a concealed handgun for defense of myself or a member of my family while engaged in lawful activity.

(3) I have never been convicted of or pleaded guilty to a crime of violence in the state of Ohio or elsewhere (if you have been convicted of or pleaded guilty to such a crime, but the records of that conviction or guilty plea have been sealed or expunged by court order or a court has granted relief pursuant to ORC 2923.14 from the disability imposed pursuant to ORC 2923.13 relative to that conviction or guilty plea, you may treat the conviction or guilty plea for purposes of this paragraph as if it never had occurred). I am of sound mind. I hereby certify that the statements contained herein are true and correct to the best of my knowledge and belief. I understand that if I knowingly make any false statements herein I am subject to penalties prescribed by law. I authorize the sheriff or the sheriff's designee to inspect only those records or documents relevant to information required for this application.

(4) The information contained in this application and all attached documents is true and correct to the best of my knowledge.

_____ _____

Signature of Applicant 55 Date

TO BE COMPLETED BY THE ISSUING AUTHORITY ONLY

Certificate of Competency: ☐ Original ☐ Renewal ☐ Prior Equivalent

If Original or Renewal, Date Certificate Issued: _____ Entity Name: _____

Instructor Name: _____ ID #: _____ (OPOTC or NRA ID #)

If Prior Equivalent, what type: ☐ Law Enforcement Retirement date: _____

What documents have been provided to evidence Prior Equivalent Training Experience: _____

_____

_____

☐ Military • Active/Reserve, provide Active Duty credentials _____

• Retired/Honorable Discharge, date: _____

What documents have been provided to evidence Prior Equivalent Training Experience: _____

_____

_____

Does Competency Certification provided meet the requirements specified in ORC 2923.125(B)(3)(a)-(f)? ☐ Yes ☐ No

Application received: _____ (MM/DD/YYYY) Name of Intake Person: _____

Application review is to be completed by: _____ (MM/DD/YYYY) Application reviewed by: _____ Date: _____ (MM/DD/YYYY)

Foreign notification sent: _____ (MM/DD/YYYY) Foreign notification response received: _____ (MM/DD/YYYY)

Background completed: _____ (MM/DD/YYYY) Background records destroyed: _____ (MM/DD/YYYY) Destroyed By: _____

Approved date: _____ (MM/DD/YYYY)

Process suspended date: _____ (MM/DD/YYYY) Reason: _____

Denied date: _____ (MM/DD/YYYY) Reason: _____

LEADS entry date: _____ Entry #: _____ Entered By: _____

NICS Response: _____ Date: _____ (MM/DD/YYYY)

NOTES:

Rev. 03/17

STATE OF CALIFORNIA
BOF 116 (Rev. 09/2016)

DEPARTMENT OF JUSTICE
PAGE 1 of 3

CALIFORNIA DEPARTMENT OF JUSTICE
BUREAU OF FIREARMS
Personal Firearms Eligibility Check Application

Penal Code Section 30105

This application must be notarized by a licensed California Notary Public.
See reverse for instructions and fees.

Last Name | Suffix | First Name | Middle Name

Alias Last Name (if any) | Suffix | Alias First Name | Alias Middle Name

Date of Birth (mm/dd/yyyy) | Sex | California Driver License or ID No. (copy must accompany application) | U.S. Citizen? ◯ Yes ◯ No | If no, enter Alien Registration No. or I-94 No.

Height | Weight | Eye Color | Hair Color | Race | Telephone Number

Residence Street Address | City | State | Zip Code

Mailing Address (if different) | City | State | Zip Code

No person or agency may require or request another person to obtain a firearms eligibility check or notification of firearms eligibility check pursuant to Penal Code section 30105, subdivision (h). A violation of this subdivision is a misdemeanor.

If the applicant for a firearms eligibility check purchases, transfers, or receives a firearm through a licensed dealer as required by law, a waiting period and background check are both required.

CERTIFICATE OF ACKNOWLEDGEMENT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California
County of _____
On _____ *before me,* _____, *personally appeared* _____

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity (ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature _____ ***(Seal)***

Applicant Right Thumbprint

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. I expressly authorize the Department of Justice to perform firearms eligibility checks of all relevant state and federal databases as permitted under the law. I also understand that if I currently possess/own firearms and the results of this check reveal that I am ineligible to lawfully either possess or purchase firearms, I must relinquish any and all firearms in my possession.

Signature (must be notarized above) | Date

FOR DOJ USE ONLY

Date Received: _____	PFEC No.: _____	Eligible: _____
Date Paid: _____	Date Processed: _____	Ineligible: _____
Complete Submission: _____	Processed by: 57	Determination could not be made: _____

STATE OF CALIFORNIA
BOF 116 (Rev. 09/2016)

DEPARTMENT OF JUSTICE
PAGE 2 of 3

CALIFORNIA DEPARTMENT OF JUSTICE
BUREAU OF FIREARMS
Personal Firearms Eligibility Check Application

Penal Code Section 30105

Application Instructions

Personal Firearms Eligibility Check Application Submission Requirements:

- Please type or print clearly in blue or black ink. The application must be completed in full.
- The applicant's right thumbprint impression must be provided on the application and **must** be of fingerprint identification quality.
- You **must** include a photocopy of your California driver license or California identification card. If you are a non-U.S. citizen, you **must** also provide a copy of your Alien Registration or I-94 card.
- The Personal Firearms Eligibility Check (PFEC) fee is $20. Please submit a check or money order payable to the Department of Justice. DO NOT SEND CASH.
- The application **must** be notarized by a licensed California Notary Public. To find a Notary Public in your area, please consult your telephone directory. Also, many website search engines provide area searches for notaries public.
- Please be advised that federal law does not authorize a check of the National Instant Criminal History Background Check System (NICS) as part of a Personal Firearms Eligibility Check (PFEC). Therefore, the results of a PFEC might indicate that you are eligible to possess and purchase firearms but you could still be prohibited based on information in a federal database that the California Department of Justice was not authorized to check.

The Department of Justice will make every effort to process PFECs within 30 days, however, please allow 90 to 120 days for the processing of your application. You will be notified by U.S. mail.

Mail completed application package and fee to the following address:

DEPARTMENT OF JUSTICE
BUREAU OF FIREARMS - PFEC
P.O. BOX 820200
SACRAMENTO, CA 94203-0200

STATE OF CALIFORNIA
BOF 116 (Rev. 09/2016)

DEPARTMENT OF JUSTICE
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CALIFORNIA DEPARTMENT OF JUSTICE
BUREAU OF FIREARMS

Personal Firearms Eligibility Check Application

Privacy Notice

As Required by Civil Code § 1798.17

Collection and Use of Personal Information: The Division of Law Enforcement, Bureau of Firearms in the Department of Justice collects the information on this application pursuant to Penal Code section 30105, subdivision (c). The Bureau of Firearms uses this information to conduct a personal firearms eligibility check. In addition, any personal information collected by state agencies is subject to the limitations in the Information Practices Act and state policy. The Department of Justice's general privacy policy is available at http://oag.ca.gov/privacy-policy.

Providing Personal Information: All personal information on this application is mandatory. Failure to provide the mandatory personal information will result in your application not being processed.

Access to Your Information: You may review the records maintained by the Division of Law Enforcement, Bureau of Firearms in the Department of Justice that contain your personal information, as permitted by the Information Practices Act. See below for contact information.

Possible Disclosure of Personal Information: In order to conduct a personal firearms eligibility check, we may need to share the information you provide us with any Bureau of Firearms representative or any other person designated by the Attorney General upon request. The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies when necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations, licensing, certification, or regulatory purposes;
- To another government agency as required by state or federal law.

Contact Information: For questions about this notice or access to your records, you may contact the Staff Services Analyst in the Customer Support Center at (916) 227-7527, via email at firearms.bureau@doj.ca.gov, or by mail at P.O. Box 820200, Sacramento, CA 94203-0200.

ST/ESA/STAT/SER.M/67/Rev.3

Department of Economic and Social Affairs
Statistics Division

Principles and Recommendations for Population and Housing Censuses

Revision 3

United Nations
New York, 2017

Department of Economic and Social Affairs

The Department of Economic and Social Affairs of the United Nations Secretariat is a vital interface between global policies in the economic, social and environmental spheres and national action. The Department works in three main interlinked areas: (*a*) it compiles, generates and analyses a wide range of economic, social and environmental data and information on which States Members of the United Nations draw to review common problems and to take stock of policy options; (*b*) it facilitates the negotiations of Member States in many intergovernmental bodies on joint courses of action to address continuing or emerging global challenges; and (*c*) it advises interested Governments on the ways and means of translating policy frameworks developed in United Nations conferences and summits into programmes at the country level and, through technical assistance, helps build national capacities.

Notes

The designations used and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory, city or area, or of its authorities, or concerning the delimitation of its frontiers or boundaries.

The term "country" as used in this publication also refers, as appropriate, to territories or areas.

The designations "developed regions" and "developing regions" are intended for statistical convenience and do not necessarily express a judgement about the stage reached by a particular country or area in the development process.

Symbols of United Nations documents are composed of capital letters combined with figures. Mention of such a symbol indicates a reference to a United Nations document.

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Preface

Since its earliest years, the United Nations has issued a series of international principles and recommendations on population and housing censuses to assist national statistical offices and census officials, throughout the world, in planning and carrying out improved and cost-effective censuses. The first set of principles and recommendations for population and housing censuses was issued in 1958 at the request of the Statistical Commission of the United Nations in response to a need for developing international standards and as a cornerstone of the first World Population and Housing Census Programme. Although the scope of these recommendations has evolved over time in response to current practices and national needs, they usually provide guidance on the main characteristics of population and housing censuses, general material on census operations and methods and more detailed guidance on the content of censuses.

Over the years, the United Nations Statistics Division has played a pivotal role in the coordination of the World Population and Housing Census Programme by issuing and revising international recommendations, providing technical assistance to countries in census operations, and compiling and disseminating census results from countries or areas. The last global census recommendations were published in 2008 under the title *Principles and Recommendations for Population and Housing Censuses*, Revision 2.[1]

[1] United Nations publication, Sales No. E.07.XVII.8.

Noting that this publication is a vital resource for countries in planning and conducting their population and housing censuses, the Statistical Commission, at its forty-third session,[2] welcomed the suggestion to initiate early enough a programme of work for the third revision of the *Principles and Recommendations for Population and Housing Censuses*, in preparation for the 2020 World Population and Housing Census Programme.

[2] *Official Records of the Economic and Social Council*, Supplement No. 4, E/2012/24-E/CN.3/2012/34 (2012), chapter I, paragraph 2.

The current revision of the principles and recommendations was carried out by an expert group comprising census experts representing all regions of the world, whose contributions were organized around the following working groups and subgroups:

1) Working Group on Population and Housing Topics: (i) Subgroup on Population Topics, (ii) Subgroup on Housing Topics;
2) Working Group on Census Planning and Methodology: (i) Subgroup on Census Operations, (ii) Subgroup on Use of Technology in the Census, (iii) Subgroup on Alternative Censuses; and
3) Working Group on Census Products and Data Utilization.

As Secretariat of the World Population and Housing Census Programme, the United Nations Statistics Division coordinated the revision process for the current revision. This was done mainly through convening two meetings of the expert group[3] to review the text of the *Principles and Recommendations for Population and Housing Censuses*, Revision 2 and prepare the third revision of the *Principles and Recommendations for Population and Housing Censuses* taking into account contemporary practices in census taking. At its forty-sixth session in 2015, the United Nations Statistical Commission adopted the draft *Principles and Recommendations for Population and Housing Censuses*, Revision 3 and encouraged countries

[3] Reports of expert group meetings, available from http://unstats.un.org/unsd/demographic/meetings/egm/default.htm.

to begin its implementation keeping in mind the importance of setting quality standards for the conduct of the census.[4]

The salient features of the draft *Principles and Recommendations for Population and Housing Censuses*, Revision 3 compared to Revision 2 include a restructuring of the guidelines to make them more intuitive and user-friendly by following as closely as possible the Generic Statistical Business Process Model.[5] Consequently, the revised draft is divided into four parts: Part one: Essential features and census methodology; Part two: Planning, organization and management; Part three: Census operation activities; and Part four: Population and housing census topics.

The revised census recommendations also provide more elaboration on alternative methodologies to the traditional census for producing census statistics based on national experiences of the 2010 census round and also introduce major changes to concepts and terminology related to economic characteristics in accordance with the new International Labour Organization conceptual framework for work statistics.[6] In addition, the current revision includes an entirely new chapter on the use of technology in census operations, owing mainly to the increasing and significant use of advanced technologies, in all phases of the census, as countries aspire to increase overall response, quality and timeliness of census data. Other notable changes include sections on archiving of individual records, and on the overall evaluation of the census.

Unlike its predecessor, the *Principles and Recommendations for Population and Housing Censuses*, Revision 3 does not contain tabulation shells. Instead, the accompanying set of tabulations is posted on the United Nations website.

In the context of the importance of statistical information for development policy formulation and monitoring, the *Principles and Recommendations for Population and Housing Censuses*, Revision 2 contained a section on development indicators, which referred to the use of census data for monitoring of the Millennium Development Goal indicators. At the finalization of the *Principles and Recommendations for Population and Housing Censuses, Revision 3*, the international community was actively engaged in discussions on the post-2015 development agenda and a new set of global development goals that would succeed the Millennium Development Goals after 2015. While a set of proposed sustainable development goals and their targets was submitted to the General Assembly in September 2014,[7] the exact scope and content of the new development agenda is yet to be agreed upon among Member States, pending the United Nations Sustainable Development Summit, 25-27 September 2015, New York, United States of America. Consequently, the expert group recommended that the section on development indicators be appropriately modified once complete information on sustainable development goals, targets and indicators becomes available, to be issued as an addendum to the print publication.[8]

4 *Official Records of the Economic and Social Council*, Supplement No. 4, E/2015/24-E/CN.3/2015/40 (2015), chapter I, section C, decision 46/102, available from http://unstats.un.org/unsd/statcom/doc15/Report-E.pdf.

5 See www1.unece.org/stat/platform/display/GSBPM/GSBPM+v5.0.

6 Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Work, Employment and Labour Underutilization* (Geneva, 2013).

7 *The Road to Dignity by 2030: Ending Poverty, Transforming All Lives and Protecting the Planet.* Synthesis report of the Secretary-General on the post-2015 sustainable development agenda, paragraph 51 (A/69/700, presented at the General Assembly, Sixty-ninth Session).

8 *United Nations Expert Group Meeting on Revising the Principles and Recommendations for Population and Housing Censuses Meeting Report*, New York, 29 April-2 May 2014, available from http://unstats.un.org/unsd/demographic/meetings/egm/NewYork/2014/report.pdf.

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The United Nations Statistics Division expresses its appreciation to the members of the expert group on the 2020 World Population and Housing Census Programme for their contribution to the revision of these recommendations. The expert group was chaired by Marc Hamel (Canada) and comprised of three working groups and five sub-groups with the following lead experts:

- Ian White (United Kingdom), Working Group on Population and Housing Topics
  - — Andrew Mukulu (Uganda), Subgroup on Population Topics
  - — Arona Pistiner (United States), Subgroup on Housing Topics
- C. Chandramouli (India), Working Group on Census Planning and Methodology
  - — Feng Nailin (China), Subgroup on Census Operations
  - — Andrea Diniz da Silva (Brazil), Subgroup on Use of Technology in the Census
  - — Sven Ake Gunnar (Sweden), Subgroup on Alternative Censuses
- Pali Lehohla (South Africa), Working Group on Census Products and Data Utilization

The revision benefited from the vital contribution of numerous census experts from national statistical offices and from subregional, regional and international organizations: Duncan Young (Australia), Jane Badets (Canada), Sofia Mora Steiner (Costa Rica), Emad Nassif Mahrous (Egypt), Stefan Schweinert-Albinus (Germany), David Yenukwa Kombat (Ghana), Sairi Hasbullah (Indonesia), Fabio Crescenzi (Italy), Valerie Nam (Jamaica), Rozita Talha (Malaysia), Argisofia Perez Moreno and Elsa Resano Pérez (Mexico), Amarbal Avirmed (Mongolia), Liina Ndafewayo Kafidi (Namibia), Yaqoob Al Zadjali (Oman), Moran Flores Gaspar Humberto and Juan Valverde Quezada (Peru), Minerva Eloisa Esquivias (Philippines), Hyungseog Kim (Republic of Korea), Svetlana Nikitina (Russian Federation), Celia de Klerk (South Africa), Jorge Luis Vega Valle (Spain), Abdallah Najjar (State of Palestine), Eartha Groenfelt (Suriname), Furkat Mirpochchoev (Tajikistan), Sebnem Canpolat and Dilek Guder (Turkey), Aisha Al Ali and Abdulla Hassan Abdulla Al Shaer (United Arab Emirates), Garnett Compton (United Kingdom), Maurice Mubila (African Development Bank), Giampaolo Lanzieri and David Thorogood (Eurostat), Jairo Castano and Pietro Gennari (FAO), Elisa Benes (ILO), Arthur Jorari (Secretariat of the Pacific Community), Arman Bidar Bakhtnia (SIAP), Patrick Gerland and Clare Menozzi (United Nations Population Division), Raj Gautam Mitra (UNECA), Paolo Valente (UNECE), María-Isabel Cobos and Magda Ruiz (UNECLAC), Friedrich Huebler (UNESCO Institute for Statistics), Ralph Hakkert, Samson Lamlenn and Sabrina Juran (UNFPA), Gora Mboup (UN-HABITAT), Tarek Abou Chabaké (UNHCR), Julie Weeks and Mitch Loeb (Washington Group).

The United Nations Statistics Division, as Secretariat of the World Population and Housing Census Programme, coordinated the revision process, including organization of expert group meetings, review of text and preparation of the publication. The following staff

contributed to the revision process: Keiko Osaki-Tomita, Srdjan Mrkic, Margaret Mbogoni, Seiffe Tadesse and Meryem Demirci.

The United Nations Statistics Division appreciates the close collaboration and contribution of the UNECE to the revision of the principles and recommendations, particularly with regard to efforts taken to ensure harmonization, to the extent possible, between the European and the global census recommendations for the 2020 round of population and housing censuses.

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Introduction

Human capital is the most critical capital for contemporary societies' well-being and progress. Providing an accurate and reliable assessment of this capital at small-area, regional and national levels is of paramount value for evidence-based action by governments, civil societies, academics, researchers and other stakeholders. The essential purpose of the population and housing census is to provide that assessment.

Aside from the answer to the question "How many are we?", there is also a need to provide an answer to "Who are we?" in terms of age, sex, education, labour force status, occupation and other crucial characteristics, as well as to "Where do we live?" in terms of housing, access to water, availability of essential facilities and access to the Internet. The answers to these questions provide a numerical profile of a nation that is the sine qua non of evidence-based decision-making at all levels, and are indispensable for monitoring universally recognized and internationally adopted post-2015 development agenda goals.

A number of countries are capable of generating this numerical profile for small areas from administrative records or through a combination of data sources. The majority of countries, however, produce detailed statistics on population and housing by conducting a traditional census, which in principle entails canvassing the entire country, reaching every single household and collecting information on all individuals within a brief stipulated period of time.

The traditional census is among the most complex and massive exercises a nation undertakes. It requires mapping the entire country, mobilizing and training an army of enumerators, conducting a massive public campaign, canvassing all households, collecting individual information, compiling vast amounts of completed questionnaires and analysing and disseminating the data.

With the increasingly potent data-processing power available to users of statistics, it is becoming critical to ensure that census data are exploited as comprehensively as possible. Detailed small-area statistics are imposing themselves as irreplaceable in pointing to the segments of everyday life that need to be improved in terms of living conditions, access to services, adequate infrastructure and fulfilment of essential human rights, such as the right to be registered or the right to vote.

Equally important, a traditional population and housing census is a unique opportunity for making statistics visible, both in terms of operations and results. For many people the census may be the only time that the State reaches them and asks them a question. In addition, successfully conducting a census becomes a matter of national pride for many countries.

Ensuring confidentiality is crucial for the census to succeed. Thus, it has to be made clear that the only reason for collecting individual data is for the production of statistics, and that there will be no dissemination of individual information or any non-statistical linkage with existing records in other government databases and data collections. Indeed, principle 6 of the Fundamental Principles of Official Statistics states: "Individual data collected by statistical agencies for statistical compilation, whether they refer to natural or legal persons, are to be strictly confidential and used exclusively for statistical purposes."

The United Nations recommends that all countries or areas of the world produce detailed population and housing statistics for small-area domains at least once in the period 2015-2024, around the year 2020. For most nations that means conducting a traditional census, and the present revision of the principles and recommendations for population and housing censuses thus focuses on the traditional census while also describing in some detail other approaches for generating reliable small-area statistics on population and housing.

The population and housing census is part of an integrated national statistical system, which may include other censuses (for example, of agriculture), surveys, registers and administrative files. It provides, at regular intervals, the benchmark for population count at national and local levels. For small geographic areas or subpopulations, it may represent the only source of information for certain social, demographic and economic characteristics. For many countries the census also provides a framework to develop sampling frames.

Part one

Essential features and census methodology

I. Essential roles of the census

1.1. Evidence-based decision-making is a universally recognized paradigm of efficient management of economic and social affairs and of overall effective governing of societies today. Generating relevant, accurate and timely statistics is a sine qua non of this model; producing detailed statistics for small areas and small population groups is its foundation. The role of the population and housing census is to collect, process and disseminate such small-area detailed statistics on population, its composition, characteristics, spatial distribution and organization (families and households). Censuses are conducted periodically in the majority of the countries in the world; they have been promoted internationally since the end of the nineteenth century, when the International Statistical Congress recommended that all countries in the world conduct them.[9] Since 1958, the United Nations has also been actively promoting the population and housing census by compiling the principles and recommendations for population and housing censuses and launching regular decennial worldwide programmes on population and housing censuses.

[9] *Report of the Proceedings of the Fourth Session of the International Statistics Congress, Held in London July 16th, 1860, and the Five Following Days* (London, George Edward Eyre and William Spottiswoode, 1861).

1.2. While the roles of the population and housing census are many and will be elaborated in detail throughout the present revision of *Principles and Recommendations for Population and Housing Censuses*, several of the essential roles are listed below:

(*a*) The population and housing census plays an essential role in public administration. The results of a census are used as a critical reference to ensure equity in distribution of wealth, government services and representation nationwide by informing the distribution and allocation of government funds among various regions and districts for education, health services, delineating electoral districts at the national and local levels and measuring the impact of industrial development, to name a few. Establishing a public consensus on priorities would be almost impossible to achieve if it were not built on census counts. A wide range of others, including the corporate sector, academia, civil society and individuals, make use of census outputs.

(*b*) The census also plays an essential role in all elements of the national statistical system, including the economic and social components. Census statistics are used as benchmarks for statistical compilation or as a sampling frame for sample surveys. Today, the national statistical system of almost every country relies on sample surveys for efficient and reliable data collection, notwithstanding the emergence of contemporary sources of statistics such as "big data". Without the sampling frame and population benchmarks derived from the population and

housing census, the national statistical system would face difficulties in providing reliable official statistics for use by the government and the general public.

(*c*) The basic feature of the census is to generate statistics on small areas and small population groups with no or minimum sampling errors. While statistics on small areas are useful in their own right, they are important because they can be used to produce statistics on any geographic unit with arbitrary boundaries. For example, in planning the location of a school, it is necessary to have the data on the distribution of school-age children by school area, which may not necessarily correspond to the administrative area units. Similarly, small-area data from the census can be combined to approximate natural regions (for example, water catchments or vegetation zones) that do not follow administrative boundaries. Since census data can be tabulated for any geographic unit, it is possible to provide the required statistics in a remarkably flexible manner. This versatile feature of the census is also invaluable for use in the private sector for applications such as business planning and market analyses.

(*d*) The census results are used as a benchmark for research and analysis. Population projections are one of the most important analytical outputs based on census data; future population projections are crucial for all segments of the public and private sectors.

1.3. In addition to the roles outlined above, it is critically important to produce detailed statistics for small areas and small population groups as a building block for efficient governance at all levels. For a vast majority of nations the method of choice for assembling this building block will be by conducting a population and housing census through universal and simultaneous individual enumeration of each individual within the nation's boundaries. Some nations will adopt alternative approaches; yet, all of these methods must result in identical outputs: detailed statistics for small areas and small population groups at the same moment in time.

II. Definitions and essential features

A. Definitions

1. Population census

1.4. A population census is the total process of planning, collecting, compiling, evaluating, disseminating and analysing demographic, economic and social data at the smallest geographic level pertaining, at a specified time, to all persons in a country or in a well-delimited part of a country.

1.5. Population is basic to the production and distribution of material wealth. In order to plan for and implement economic and social development, administrative activity or scientific research, it is necessary to have reliable and detailed data on the size, distribution and composition of population. The population census is a primary source of these basic benchmark statistics, covering not only the settled population but also homeless persons and nomadic groups. Data from population censuses should allow presentation and analysis in terms of statistics on persons and households and for a wide variety of geographic units, ranging from the country as a whole to individual small localities or city blocks.

2. Housing census

1.6. A housing census is the total process of planning, collecting, compiling, evaluating, disseminating and analysing statistical data relating to the number and condition of housing units and facilities as available to the households pertaining, at a specified time, to all living quarters[10] and occupants thereof in a country or in a well-delimited part of a country.

[10] For the definition of *living quarters*, see paragraph 4.421.

1.7. The census must provide information on the supply of housing units together with information on the structural characteristics and facilities that have a bearing upon the maintenance of privacy and health and the development of normal family living conditions. Sufficient demographic, social and economic data concerning the occupants must be collected to furnish a description of housing conditions and also to provide basic data for analysing the causes of housing deficiencies and for studying possibilities for remedial action. In this connection, data obtained as part of the population census, including data on homeless persons,[11] are often used in the presentation and analysis of the results of the housing census, if both operations are conducted together or there is a link between them.

[11] For the definition of *homeless persons*, see paragraph 2.37.

B. Essential features

1.8. The essential features of population and housing censuses are individual enumeration, universality within a defined territory, simultaneity, defined periodicity and small-area statistics.

1. Individual enumeration

1.9. The term "census" implies that each individual and each set of living quarters is enumerated separately and that the characteristics thereof are separately recorded. Only by this procedure can the data on the various characteristics be cross-classified. The requirement of individual enumeration can be met by the collection of information in the field, by the use of information contained in an appropriate administrative register or set of registers, or by a combination of these methods.

2. Universality within a defined territory

1.10. The census should cover a precisely defined territory (for example, the entire country or a well-delimited part of it). The population census should include every person present and/or residing within its scope, depending upon the type of population count required. The housing census should include every set of living quarters irrespective of type. This does not preclude the use of sampling techniques for obtaining data on specified characteristics, provided that the sample design is consistent with the size of the areas for which the data are to be tabulated and the degree of detail in the cross-tabulations to be made.

3. Simultaneity

1.11. Each person and each set of living quarters should be enumerated as of the same well-defined point in time and the data collected should refer to a well-defined reference period. The time reference period need not, however, be identical for all of the data collected. For most of the data, it will be the day of the census; in some instances, it may be a period prior to the census.[12]

[12] For example, collecting information on the core topic of household deaths in the past 12 months (see paragraph 4.250).

4. Defined periodicity

1.12. Censuses should be taken at regular intervals so that comparable information is made available in a fixed sequence. A series of censuses makes it possible to appraise the past, accu-

rately describe the present and estimate the future. It is recommended that a national census be taken at least every 10 years. Some countries may find it necessary to carry out censuses more frequently because of the rapidity of major changes in their population and/or its housing circumstances.

1.13. The census data of any country are of greater value nationally, regionally and internationally if they can be compared with the results of censuses of other countries that were taken at approximately the same time. Therefore, countries should make all efforts to undertake a census in years ending in "0" or at a time as near to those years as possible. It is obvious, however, that legal, administrative, financial and other considerations often make it inadvisable for a country to adhere to a standard international pattern in the timing of its censuses. In fixing a census date, therefore, such national factors should be given greater weight than the desirability of international simultaneity.

5. Capacity to produce small-area statistics

1.14. The census should produce data on the number and characteristics of the population and housing units down to the lowest appropriate geographic level, compatible with national circumstance, and for small population groups, all the while protecting confidentiality of personal information on each individual.

III. Uses of population and housing censuses

1.15. Population and housing censuses are a principal means of collecting basic population and housing statistics as part of an integrated programme of data collection and compilation aimed at providing a comprehensive source of statistical information for economic and social development planning, administration, assessing conditions in human settlements, research and commercial and other uses.

1.16. The value of either a population or a housing census is increased if the results can be employed together with the results of other investigations, as in the use of the census data as a basis or benchmark for current statistics, and if it can furnish the information needed for conducting other statistical investigations. It can, for example, provide a statistical frame for other censuses or sample surveys. The population census is also important in developing the population estimates needed to calculate vital rates from civil registration data (see paragraphs 1.57-1.59). In addition, these censuses are a major source of data used in official compilations of social indicators, particularly on topics that usually change slowly over time. The purposes of a continuing coordinated programme of data collection and compilation can best be served, therefore, if the relationship among the population census, the housing census and other statistical investigations is considered when census planning is under way and if provision is made for facilitating the joint use of the census and its results in connection with such investigations. The use of consistent concepts and definitions throughout an integrated programme of data collection and compilation is essential if the advantages of these relationships are to be fully realized. Of course, census-type information can also be derived from population registers and also can be estimated from sample surveys without undertaking a complete enumeration. These alternative data sources are presented under "Census methodology" in paragraphs 1.63-1.119.

1.17. A population and housing census also serves as the logical starting point for work on the organization and construction of computerized statistical products to serve continuing national and local needs for data in the intercensal period.[13]

[13] See part three, chapter X, of this publication.

1.18. In addition to the statistical value directly obtained from the census results themselves, there are further indirect benefits from taking a census, particularly to the organization responsible for the census, or the national statistical office. These benefits include:

(*a*) Improved skills and experience: varied sets of skills are often required for administering a census that are not necessarily prominent in other parts of the organization, such as project management, procurement, and commercial, communication, human resources and information technology (IT) skills.

(*b*) Technological advancement: often a census requires new technology to support complex data collection and processing requirements. These developments may be reused for other exercises within the national statistical office or lead to new technological developments.

(*c*) New methods: the development of methods for enumerating the whole population, or statistical methods (such as editing and imputation) developed for processing census results, can often be reused for other statistical exercises within the national statistical office.

(*d*) Halo effect: the extensive promotion of the census may also have a positive effect, the "halo effect", on other surveys, resulting in increases in response rates.[14]

[14] The halo effect is a cognitive bias in which an observer's overall impression of a person, company, brand or product influences the observer's feelings and thoughts about that entity's character or properties. It was named by psychologist Edward Thorndike in reference to a person being perceived as having a halo or aureole. Subsequent researchers have studied it in relation to attractiveness and its bearing on the judicial and educational systems. The halo effect is a specific type of confirmation bias, wherein positive feelings in one area cause ambiguous or neutral traits to be viewed positively. Edward Thorndike originally coined the term referring only to people; however, its use has been greatly expanded, especially in the area of brand marketing.

A. Uses of population censuses

1. Uses for policymaking, planning and administrative purposes

1.19. The fundamental purpose of the population census is to provide the facts essential to national policymaking, planning and administration. Information on the size, distribution and characteristics of a country's population is essential for describing and assessing its economic, social and demographic circumstances and for developing sound policies and programmes aimed at fostering the welfare of a country and its population. The population census, by providing comparable basic statistics for a country as a whole and for each administrative unit, locality and small area therein, can make an important contribution to the overall planning process and the management of national affairs. Counts of the population overall, or of subgroups within the population, by geographic region are often used for the distribution of government funding and services. Population censuses in many countries represent the very foundation of their national statistical systems, with census data providing important baseline data for policy development and planning, for managing and evaluating programme activities across a broad range of sectoral applications, and for monitoring overall development progress. An emerging use for census data is the assessment of good governance by civil society groups. The performance of a democratically elected government in improving the welfare of its citizens can be monitored from one census to the other by ordinary citizens through the widespread and timely dissemination of census results.

1.20. Population censuses serve many programme needs by providing statistical information on demographic, human settlement, social and economic issues for local, national, regional and international purposes. For example, population censuses provide basic information for the preparation of population estimates or projections and detailed demographic and socioeconomic analysis of the population. The census also provides data for the calculation of social indicators, particularly those that may be observed infrequently because they measure phenomena that change slowly over time, and those that are needed for small areas or small population groups.

2. Uses for research purposes

1.21. In addition to serving specific governmental policy purposes, the population census provides indispensable data for the scientific analysis and appraisal of the composition, distribution and past and prospective growth of the population. The changing patterns of urban-rural concentration, the development of urbanized areas, the geographic distribution of the population according to such variables as occupation and education, the changes in the sex and age structure of the population, and the mortality and fertility differentials for various population groups, as well as the economic and social characteristics of the population and the labour force, are questions of scientific interest that are of importance both to research and for solving practical problems of industrial and commercial growth and management.

3. Uses for business, industry and labour

1.22. In addition to those uses given above, the census has many important uses for individuals and institutions in business, industry and labour. Reliable estimates of consumer demand for an ever-expanding variety of goods and services depend on accurate information on the size of the population in subnational areas and its distribution at least by sex and age, since these characteristics heavily influence the demand for housing, furnishings, food, clothing, recreational facilities, medical supplies and so forth. Furthermore, the census can be used to generate statistics on the size and characteristics of the supply of labour needed for the production and distribution of such commodities and services in conformity with International Labour Organization statistical standards.[15] Such statistics on the local availability of labour may be important in determining the location and organization of enterprises.

[15] Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Work, Employment and Labour underutilization* (Geneva, 2013).

4. Uses for boundary delimitation

1.23. One of the basic administrative uses of census data is to support political and administrative mapping. Detailed information on the geographic distribution of the population is indispensable for this purpose. Certain aspects of the legal or administrative status of territorial divisions may also depend on the size and characteristics of their populations, for example, whether a previously rural area is now to be declared as urban.

1.24. A compelling use of census data is in the redrawing of electoral constituency boundaries in most countries. This is often enshrined in the country's constitution and provides a legal basis for census-taking. The current distribution of a country's population is thereby used to assign the number of elected officials who will represent people in the country's legislature.

5. Use as a sampling frame for surveys

1.25. Population censuses constitute the principal source of records for construction of a sampling frame for surveys during the intercensal years on many topics, such as the labour force, fertility and migration histories.

1.26. An essential ingredient of probability sample design is the existence of a complete, accurate and up-to-date sampling frame. A sampling frame is a list of all (or most) of the N units in the universe. A sampling frame may be a list of small areas. It may also be a list of structures, households or persons. The census can be used to construct either type of frame, or both; indeed, most countries do use their census for such purposes. The census frame is often the departure point for the design of a household sample survey.

1.27. It is important to give careful consideration to the construction of a census for subsequent use as a survey sample frame when the census is in the planning stage. The above-mentioned requirements—accuracy, completeness and up-to-datedness—must be addressed. This means, for example, that care must be taken to ensure that the entire country is divided into enumeration areas without any omissions or overlaps, i.e., all land area belongs to one and only one enumeration area. In terms of their size, enumeration areas are important not only for the census itself but also for later uses as a potential stage of sampling for surveys; this feature should therefore also be given due consideration by census planners.

1.28. Maps and prior census information concerning small areas are very important for devising a good sample plan. The maps are particularly valuable if they unambiguously indicate boundaries of small areas that can be used as primary or secondary sampling units. Population and household counts for the enumeration areas, taken from the census, are also a highly useful ingredient for post-census sample survey design planning. This information is often used to establish measures of size for the selection of first- or second-stage sampling units, or to help in various stratification schemes. Early developments in sampling theory and methods concentrated on efficient designs and associated estimation techniques for population totals or means. In consequence, it is generally believed that while censuses covering total population and housing provide statistical information on a uniform basis for small areas and subgroups of the population, large sample sizes may have to be considered to produce similar results for the long-form topics (see paragraph 1.69).

1.29. More recently, however, the methods for analysis of survey data that take into account the complexity of the sampling design (both sampling and non-sampling errors) have developed rapidly. Therefore, even though sample surveys used alone cannot provide data for small areas or small population groups, they can be used in combination with a census on specific topics. For instance, aggregates of variables recorded on every individual in the population, which are often used for stratification of enumeration areas, may in turn be used as calibrator or independent variables when models are fitted and used in estimation of aggregates of variables recorded for samples only, and for small areas not in the sample. Information users, however, must be made aware whenever results obtained in this fashion are published. Related techniques have been used in some census operations when checking information for internal coherence and in some approaches for imputation of missing or incoherent information.

B. Uses of housing censuses

1. Uses for development of benchmark housing statistics

1.30. The housing census produces benchmark statistics on the current housing situation and is vital for developing national housing and human settlements programmes. The housing census is also valuable for providing the sampling frame for special housing and related surveys during the intercensal years.

1.31. Housing benchmark statistics are also critical for emergency planning for response to natural hazards (such as destructive storms, earthquakes, tsunami and fires), or post-conflict situations. Following such situations, these statistics can be used to estimate the numbers of people and structures affected, the need for emergency response and reconstruction requirements.

1.32. National statistical authorities would need to develop, from housing censuses, the sort of benchmark statistics in housing that could be supplemented by current building and construction statistics and would provide continuous up-to-date information of the hous-

ing position needed for the consideration of housing programmes. Since not all the basic information required to assess housing needs or to formulate housing programmes can be obtained through a housing census, additional data must be obtained through the population census, special housing surveys and environmental surveys, and from vital statistics, economic statistics and so forth; but data obtained from the housing census will constitute the basic framework within which the estimates are made, indices computed and further statistical enquiries planned.

1.33. When population and housing censuses are carried out as a single operation or independently but in a well-coordinated fashion, the combined information provided is of much higher value, since the essential features of both censuses are interrelated. The information on housing censuses may be analysed in association with the demographic and socioeconomic conditions of the occupants and, similarly, the demographic characteristics of the population may be analysed in association with the data on housing conditions.

2. Uses for the formulation of housing policy and programmes

1.34. The formulation of housing policy and programmes represents one of the principal uses of housing census data. Housing policy is normally influenced by social and economic as well as political considerations, and available factual data concerning the housing situation provide objective criteria, which are important for policymakers to take into account.

1.35. In most countries, housing programmes encompass both governmental and private activity. The data derived from a housing census are used by governmental authorities for making an analysis or diagnosis of the housing situation. Housing conditions are analysed in quantitative and qualitative terms and data from previous censuses are used to indicate the changes in the housing situation that have occurred during the intercensal periods; the housing stock and future housing requirements are estimated and compared with the rates of dwelling production being attained; and the characteristics of the households in need of housing are considered in relation to the availability and cost of housing. As part of overall development plans, such an analysis is necessary for the formulation of national housing programmes and for their execution.

1.36. Commercial users also study housing census data. Those engaged by the construction industry, financing institutions, and manufacturers of housing fixtures and equipment and household appliances assess the possible demand for housing and perceive the scope of their activities within the overall programme.

3. Assessment of the quality of housing

1.37. The materials used for the construction of housing units (roof, walls, floors) are a significant pointer to the quality of life in different parts of a country. Trends indicated by census data with regard to the type of housing materials can show improvements in the welfare of the citizenry as the percentage of poor-quality or slum-like housing facilities is decreased.

C. Relationship between the population census and the housing census

1.38. An especially close association exists between population censuses and housing censuses. The two censuses may constitute one statistical operation or they may be two separate

but well-coordinated activities, but in either case they should never be considered completely independently of each other because essential elements of each census are common to both. For example, an essential feature of a population census is the identification of each occupied set of living quarters and of the persons living therein, and an essential feature of a housing census is the collection of information on the characteristics of each set of living quarters in association with the number and characteristics of its occupants.

1.39. In many countries, the population and housing censuses are taken concurrently, often with the use of a single schedule. In this way, the information on population and living quarters can be more readily matched, processing is facilitated and extensive analysis can be carried out. This also makes it possible to relate to the housing census data the information on demographic and economic characteristics of each household member that is routinely collected in the population census.

1.40. The advantages of simultaneous investigation may be offset to some extent by the additional burden on the respondent and the enumerator resulting from the increased amount of information that must be collected at one time. In countries where this is likely to be a serious problem, consideration might be given to collecting data for a limited number of topics on the basis of a complete enumeration in the population and housing census, with more complex data in both fields being collected on a sample basis only, either concurrently with or immediately following the full enumeration. Alternatively, consideration might be given to carrying out the housing census as part of the advance-listing operations of the population census.

1.41. The relationship between the population census and the housing census will affect the means by which data on homeless persons are obtained. In the case of simultaneous censuses of population and housing, data on homeless persons will be obtained as part of the population census. Where the housing census is carried out independently of the population census, it may be necessary to try to enumerate homeless persons in the housing census. Information collected from enumerating homeless persons may reflect, among other things, the magnitude of the housing problem in a given locality.

D. Relationship of population and housing censuses to intercensal sample surveys

1.42. The rapidity of current changes in the size and other characteristics of populations, and the demand for additional detailed data on social and economic characteristics of population and housing characteristics that are not appropriate for collection in a full-scale census have brought about the need for continuing programmes of intercensal household sampling surveys to collect current and detailed information on many topics.[16]

[16] *Designing Household Survey Samples: Practical Guidelines No. 98* (United Nations publication, Sales No. E.06.XVII.13).

1.43. The population and housing census can provide the frame for scientific sample design in connection with such surveys (see paragraphs 1.25-1.29); at the same time, it provides benchmark data for evaluating the reasonableness of the overall survey results as well as a base against which changes in the characteristics investigated in both enquiries can be measured. To allow for the comparison of census and survey results, the definitions and classifications employed should be either identical or harmonized, while remaining consistent with the aims of each investigation. Because of the relative permanence of living quarters, the lists available from the housing census (with suitable updating) may also provide a convenient frame for carrying out enquiries dealing with topics other than population and housing.

E. Relationship of population and/or housing censuses to other types of censuses and other statistical investigations

1. Census of agriculture

1.44. While the population and housing censuses have a close relationship, their relationship with the agricultural census is less well defined. However, as the result of increasing integration within programmes of data collection, the relationship between the population and housing census and the agricultural census is now far closer than in the past, and countries are increasingly looking at new ways to strengthen this relationship.

1.45. One conceptual issue in relating the two censuses is that they use different units of enumeration. The unit of enumeration in the agricultural census is the agricultural holding,[17] which is the economic unit of agricultural production, while the units of enumeration in the population census are the household and the individual within the household. In many developing countries, however, there is usually a one-to-one relationship between households with own-account agricultural production[18] and agricultural holdings. In these cases the same unit is enumerated in both types of censuses. For countries where most agricultural production activities are carried out by households (that is in the household sector), establishing links between the two censuses is particularly relevant.

1.46. The agricultural census collects various household or individual data for members of the agricultural holder's household. The World Programme for the Census of Agriculture 2010[19] recommends the collection of data on household size and limited data on demographic characteristics and economic activity of members of the agricultural holder's household, as well as some optional data on farm labour, such as persons working as employees on the holding. Users may find some agricultural activity data from the agricultural census more comprehensive than from the population census because the latter normally investigates the main work activity of each person during a short time reference period and this may not identify persons connected with agricultural activity on a seasonal basis or as a secondary activity. On the other hand, the population census provides data on all persons working in agriculture, including as paid employees. Such information is not available from the agricultural census, which only covers households with own-account agricultural production. To get a complete picture, agricultural data users will need both agricultural census data and population census data.

1.47. In planning the population and housing census, every opportunity for developing the relationship between this census and the agricultural census should be explored. This can take several forms. Definitions used in the population and housing censuses should be compatible with those used in the agricultural census so that meaningful comparisons can be made between the two data sets. The population and housing census can also be of use in the preparation of the agricultural census, such as in the demarcation of enumeration areas, the preparation of the frame for the agricultural census or, if applicable, the sample design.

1.48. In planning the national census programme, serious consideration should be given to the possibility of collecting key agricultural information as part of the population and housing census exercise that would facilitate the preparation of the frame of agricultural holdings in the household sector for a subsequent agricultural census. This could be done as part of the pre-census cartographic work and/or listing exercise or by adding a few questions to the census questionnaire (as elaborated in paragraphs 4.387-4.396). In the latter case, additional items at the household level could be included to identify whether any member of the household is engaged in own-account agricultural production activities. It may also be useful to collect additional data at the individual person level to identify persons involved in agricultural production activities during a longer period, such as a year. Information on

[17] An agricultural holding is an economic unit of agricultural production under single management comprising all livestock kept and all land used wholly or partly for agricultural production purposes, without regard to title, legal form or size.

[18] That is, households with members engaged in agricultural activities as self-employed workers or as own-use producers.

[19] Food and Agriculture Organization of the United Nations, *A System of Integrated Agricultural Censuses and Surveys, Volume 1: World Programme for the Census of Agriculture 2010*, Statistical Development Series No. 11 (Rome, 2005).

occupation or industry and status in employment, and participation in own-use production of agricultural goods where relevant, could together facilitate identification of households with own-account agricultural production. Where countries choose to adopt this approach of using the population and housing census to establish a frame for the agricultural census, the agricultural census should be synchronized with the population and housing census and conducted as soon as possible after the population and housing census, while the frame is still up to date. This approach is detailed in the *Guidelines for Linking Population and Housing Censuses with Agricultural Censuses with Selected Country Practices*.[20]

[20] Food and Agriculture Organization of the United Nations and the United Nations Population Fund, *Guidelines for Linking Population and Housing Censuses with Agricultural Censuses with Selected Country Practices* (Rome, 2012).

1.49. Linking population and agricultural census data can bring many benefits. This could add considerable analytical value to data sets from both censuses and save on data collection costs. Many of the demographic and activity status data collected in the population census are also collected in the agricultural census. If data from the two censuses could be linked, it would no longer be necessary to collect these data again in the agricultural census, while still allowing for comprehensive cross-tabulations.

1.50. A few countries conduct the data collection for the population and agricultural censuses as a joint field operation. Normally, each census retains its separate identity and uses its own questionnaire, but field operations are synchronized so that the two data collections can be done at the same time by the same enumerators. Occasionally, the two censuses are merged into one. This may have a number of advantages; however, as this is an increasingly complex operation, its impact on field operations and data quality needs to be carefully considered.

2. Census of establishments

1.51. Although the collection of information on industrial and commercial establishments does not constitute a part of the population census, the information that is collected from employers and own-account workers regarding the economic units they operate, such as the kind of economic activity and the size of the unit, can be used for preparing listings of the proprietors of such establishments. They can also be used to prepare listings of the establishments themselves, if information is requested on their location or when the establishments are located within the living quarters (or dwellings). Experience shows that these listings can be used in a subsequent census of establishments or for supplementing the registers of establishments maintained by most countries and utilized as a list-based or area-based sampling frame for their establishment surveys.

1.52. Many business registers cover only establishments with fixed visible premises in which more than some minimum of persons (usually 5 or 10) are employed. In these cases, the population census can be used to collect basic information (such as kind of activity and size) on those establishments with employment below the minimum number of persons by identifying the self-employed persons that operate them. However, special care should be taken in the choice of the unit of enumeration to ensure that there is no double counting of establishments.

1.53. When the information from the population census is to be used to construct a list-based sample frame, it is essential that the information from the population census be available and used shortly after the enumeration is carried out because this information can quickly become outdated. This requirement is less imperative when the information is to be used to construct an area-based sample frame.

1.54. The population census information needed for these purposes is the status in employment, in order to identify employers and own-account workers. For this subset of workers, information needs to be collected on the number of establishments operated, and for each of these, the kind of economic activity, the name and address of the establishment (if any), the number of workers engaged (including contributing family workers and employees) and

whether the establishment is operated in partnership with other persons. If all of this information appears in the census questionnaire, the number of small establishments can be extracted from the schedule or from the processing documents after the enumeration.

3. Census of buildings

1.55. In certain circumstances, it may be necessary, as part of the housing census operations, to enquire whether or not all buildings (both residential and non-residential) are occupied. Thus, it may be convenient to record basic information for all buildings at the time of the housing census, even though detailed data may be collected only for those in which housing units or other sets of living quarters are located. The comprehensive list thus obtained sometimes provides the basis for a census of buildings, carried out concurrently with, or subsequent to, the housing census, or it may provide for the identification of special types of buildings significant for other enquiries, such as the census of establishments or the census of schools. If a listing of households is to be carried out before the actual enumeration, this would be most ideal for carrying out such an exercise.

4. System of current housing statistics

1.56. Current housing statistics refer to housing activity. They reflect the number of dwellings constructed and certain related information such as value, number of rooms, floor space, and so forth, as well as number of dwellings destroyed or demolished. These data are usually obtained from a system of data collection based on the administrative procedures required in connection with the activity in question. For example, construction statistics may be derived from permits issued for the construction of dwellings, from records of dwelling starts or completions, or from certificates of occupancy. Statistics on dwellings destroyed may be obtained from the records maintained for the levying of rates and the collection of taxes. Compiled monthly or quarterly, current housing statistics reflect changes in the housing inventory and, although they may serve other purposes, they are also used to update the benchmark data obtained from housing censuses.

5. Civil registration and vital statistics

1.57. Population census data serve as denominators for the computation of vital rates, especially rates specific for characteristics normally investigated only at the time of the census. Conversely, census results, time adjusted by vital and migration statistics, can provide estimates of the future size, distribution and other characteristics of the population of the total country and subnational areas. Furthermore, census data on fertility can provide a benchmark check on the reliability of current birth statistics, and vice versa. It is consequently desirable that procedures for the collection of population census data, vital statistics and migration statistics be closely coordinated with regard to coverage, concepts, definitions, classifications and tabulations.

1.58. It may be noted that some countries have linked individual census returns for infants less than 1 year of age with birth registration reports for the year preceding the census date as a means of checking on the completeness of one or the other type of investigation. Linkage of death reports with census returns has been used to compare the information on characteristics of the deceased as reported in the two sources.[21] While the many problems posed in the past by the one-to-one matching of two types of records have not been entirely solved, their severity has been mitigated by developments in computer technology. Before undertaking either of the procedures, however, countries should consider carefully the possible advantages of using household sample survey returns rather than census returns in the operation. Moreover,

[21] An elaboration of comparison between census and vital statistics is provided in *Principles and Recommendations for a Vital Statistics System*, Revision 3 (United Nations publication, Sales No. E.13.XVII.10), paras. 595-597).

such operations have to be carried out in complete accord with national laws and policies governing the confidentiality of information obtained in the census if public confidence in the census is to be maintained.

1.59. In the establishment of a vital registration system, census results on the geographic distribution of the population can be useful in the consideration of appropriate locations for registration offices.

6. Administrative data sets

1.60. There is an increasing availability of a range of government and private data sets containing information on the persons or the households within a country. The utility of these data sets for statistical analysis is usually limited by their lack of population coverage, data accuracy or range of characteristics. The linkage of these data sets with the census file, with its complete coverage of the persons and households, can provide the ability to create new insights and new statistical products to leverage more value from the census.

1.61. Administrative data can replace census data—for example, in some countries income data from the taxation or revenue department can replace the need to directly collect those data in the census. Administrative data can also extend census data—for example, census data can be linked with visa information or health information to extend the census data set into areas that may be too sensitive to collect on the census form, or with past education data to analyse longitudinally the impact of education on labour force outcomes. Administrative data can also replace missing data—for example, in one country health records have been used to impute the count and characteristics of usual residents that were non-responding during the census enumeration period.

1.62. As described above in paragraph 1.58, linkage operations should be undertaken with caution, ensuring not only that all national laws are met but also that the trust of the public in the census and the statistical systems is maintained.

IV. Census methodology

1.63. Summarizing the experiences of the previous population and housing census round,[22] it became evident that a number of countries were exploring the use of alternative methodologies with respect to the traditional census for producing census statistics. The use of registers—primarily population registers—in combination with other sources is being considered in a number of countries for the purpose of producing detailed small-area statistics on population and housing, as well as the application of continuous survey methodology for the same purpose. Furthermore, these alternatives to the traditional method of conducting population and housing censuses are becoming more diverse in terms of developing combinations of various data collection methods (see paragraph 1.95), and it is thus a challenge to summarize and categorize them using generally accepted data source methodologies.

[22] The 2010 round of population and housing censuses was inaugurated by the Economic and Social Council of the United Nations and covered the period from 2005 until 2014.

1.64. It should be noted that most countries are expected to continue using the traditional census approach—soliciting information from each household in a country—in the 2020 round of censuses,[23] while at the same time it is anticipated that increasing numbers of countries will intend to use alternative methodologies. There are quite a few reasons for exploring alternative approaches, and the following presents a sample: (*a*) the need to produce more frequent and timely statistics; (*b*) budgetary limitations for census taking; (*c*) reluctance of the population to participate in the census; and (*d*) increased technical capacities to manipulate data sources.

[23] The 2020 round of censuses covers the decade 2015-2024.

1.65. This section aims to briefly elaborate on possible methodologies for conducting censuses based on the recent experiences of countries. The section also describes the necessary conditions for using a specific methodology, its advantages and disadvantages, and its implications for the content and administration of the census. It should be kept in mind that countries using a specific census methodology might have significant differences in implementation of the methodology, arising from differing country conditions and expectations. Regardless of the approach, the crucial principle of providing detailed statistics at the lowest geographic level remains of paramount importance.

1.66. The various census methodologies are represented in a matrix in table 1, where the rows describe data collection through field enumeration and the columns represent use of administrative or population registers as census data sources. The matrix presents only those options that either have been used or are likely to be used by countries and does not present all possible combinations, including theoretical ones that have yet to be tested by any country.

1.67. The different approaches are explained in table 2.[24] First, the full field enumeration and the register-based census are presented; then the combined methodologies are described. Alternative approaches have been adopted in different ways by different countries, depending on national preferences and practices and the availability of appropriate data sources.

[24] For more details see United Nations Economic Commission for Europe, *Using Administrative and Secondary Sources for Official Statistics: A Handbook of Principles and Practices*, ECE/CES/13 (Geneva, 2011); and *Register-based Statistics in the Nordic Countries: Review of Best Practices with Focus on Population and Social Statistics* (United Nations publication, Sales No. E.07.II.E.11).

1.68. The columns in the matrix present different types of registers: administrative registers, statistical registers and base registers. Administrative registers are registers that are created and used mainly for administrative purposes outside the national statistical authorities. An administrative register will be edited, corrected and perhaps imputed into a statistical register inside a statistical institute and can then be used for statistical purposes. A statistical register can also be established inside a statistical institute for statistical purposes; one example could be a register of occupations that in many cases does not have any administrative purposes. Base registers are registers, such as the population register, dwelling register or enterprise register, that create a population base for individuals, dwellings and enterprises. Other registers will then be matched with a base register. The household register will be created by combining the population and dwelling registers.

Table 1.

Overview of census-taking methodological approaches

Type of data collection	Use of registers as census data sources		
	No registers (fully field enumeration based or sample surveys)[a]	Base registers (individuals, households, dwellings)	Integrated administrative sources[b]
Full field enumeration	Full field enumeration only (traditional census)	Base registers and full field enumeration	Integrated administrative sources and full field enumeration
Rolling surveys (continuous surveys)	Full field enumeration and rolling surveys	n.a.	n.a.
	Rolling census		
Ad hoc sample surveys	n.a.	Base registers and ad hoc sample surveys	Integrated administrative sources and ad hoc sample surveys
Existing sample surveys	n.a.	Base registers and existing sample surveys	Integrated administrative sources and existing sample surveys
No field enumeration (fully register based)	n.a.	n.a.	Fully register based

[25] In a fully field enumeration-based census, data from registers are not used as a census data source, even though registers may be used as a frame and to support field operations.

[26] Integrated administrative sources with information on business, tax, education, employment and other relevant registers.

Table 2.
Descriptions of approaches

Approach	Description
Full field enumeration (traditional census) or full field enumeration and rolling surveys	Information on census topics concerning individuals and households is collected by census questionnaire directly from respondents using enumerators or other modes of data collection (e.g. telephone interview, mail out/mail back, Internet), or by applying a combination of different modes of data collection. In a traditional census, full field enumeration may include an in-built ad hoc survey by use of the long form or can be combined with a rolling survey. It is common that a short form is used together with a long form. Both forms are utilized during the same time frame of the census. While the long form estimates are not based on full coverage, they are regarded as census output. Through modelling, the full field enumeration with the continuous cumulative survey is used to generate yearly (or other interval) estimates of detailed characteristics for different geographic levels. With this approach, the sample can be cumulated over time to produce statistics at the lowest levels of geographic detail to provide more frequent and relevant data.
Rolling census	Information on individuals and households is collected through a continuous cumulative survey covering the whole country over a period of time (generally years), rather than a particular day or short period of enumeration. The two main parameters of a rolling census are the length of the period of enumeration (which is linked to the frequency of updates required) and the sampling rate (which depends on the geographic levels required for dissemination purposes).
Combined methodology	Information on individuals and households is collected by combining data collected from one or more surveys or full field enumeration with administrative or statistical registers. Data from registers are employed not only as a frame or to support field operations, but directly as a data source for some census information. In some cases, register data are used to prefill the questionnaires to be verified or corrected during data collection. Ad hoc sample surveys are used to provide information on census topics not available from administrative sources or to adjust data that are of poor quality in registers.
Base register and existing sample surveys or integrated administrative sources and existing samples survey	Information on individuals and households is collected from existing administrative sources, namely different kinds of registers, of which the following are of primary importance: individuals, households and dwellings. These are linked at the individual level with information from existing sample surveys. No field data collection will take place. Existing sample surveys include intercensal sample surveys on different topics, such as the labour force survey and the living standards survey.
Fully register based	Information on individuals and households is collected from existing administrative sources, namely different types of registers, of which the following are of primary importance: individuals, households and dwellings. These are linked at the individual level with information taken from other administrative or statistical sources, such as business, tax, education, employment and other relevant registers.

A. Full field enumeration (traditional census)

1.69. The full field enumeration or traditional approach comprises a complex operation of actively collecting information from individuals and households on a range of topics at a specified time, accompanied by the compilation, evaluation, analysis and dissemination of demographic, economic and social data pertaining to a country or a well-delimited part of the country. Members of the public respond to a census questionnaire, or interviewers are deployed to collect information from respondents. For interviewer-based censuses, enumerators assigned to different enumeration areas cover all households and persons in the enumeration area during a specified and usually short period of time in order to meet the requirements of universality and simultaneity. Either a single long form is universally canvassed, or a combination of short and long forms used. In the latter case, the short form contains only questions intended for universal coverage, while the long form is used to collect information from only a sample of households and population. This form usually contains detailed questions on a particular topic in addition to covering complex topics such as fertility. Both forms are utilized during the same time frame of the census. While the long form estimates are not

based on full coverage, they are regarded as census output. Overburdening the census form is likely to adversely affect response rates and the quality of data.

1.70. A variant of this approach consists in modelling the full field enumeration with a continuous cumulative survey in order to generate yearly (or at other intervals) estimates of detailed characteristics of population and housing. The primary advantage of this approach is to provide more frequent and relevant data on population and housing than would be available when a census is conducted only once a decade. However, such a programme might be costly and technically difficult, as it requires a multi-year round of comprehensive planning, development and testing.

1.71. As various methods can be used for collecting the data, including a mailed or dropped-off questionnaire, the telephone, the Internet, personal visit follow-up, or a combination of such methods, countries employing the traditional design may utilize very different collection approaches in doing so.

1.72. The traditional census has merit in providing a snapshot of the entire population at a specified period and data for small geographic domains. In that sense, the traditional census is perhaps unique in nature. This approach is particularly suitable for countries requiring population numbers by various social and economic characteristics simultaneously for all geographic levels to meet the needs of planning and the allocation of funds. The delimitation of electoral boundaries requires simultaneity, and for that reason also the traditional approach may be more appropriate. But at the same time, traditional censuses have been singled out as the most elaborate, complex and costly data collection activity that national statistical authorities undertake. In addition to costs, this complex task requires full awareness and agreement of the public to participate in it.

Necessary conditions

1.73. It is essential to have national legislation for conducting the population and housing census to ensure confidentiality, transparency and the cooperation of the population. A permanent central census organization, which may or may not be part of the statistical office, needs to exist in the country, which can be expanded during the time of the census. Since a traditional census requires substantial resources, sufficient funding for a field operation covering the entire country and subsequent data processing needs to be ensured. Other conditions necessary for this approach are the support of and general acceptance by the public to participate in the enumeration, and trust towards the statistical office or census agency.

Advantages and disadvantages

1.74. The two biggest advantages of a traditional census are comprehensiveness of coverage and simultaneity. Another major advantage is the flexibility in deciding the topics to be covered and design of the questionnaire. There is lesser need for complex data adjustment since processing of raw data provides all inputs. The census frame becomes the base for all subsequent sampling frames. Finally, the focused and time-bound nature of the field operation implies that the data collection is finished in a short period and does not require long-term or constant monitoring.

1.75. One of the biggest disadvantages of a traditional census is its cost and administrative complexity. Another disadvantage is that it has a very long processing time. Also, since it can be conducted only after 5- or 10-year intervals, data tend to become outdated. The burden on respondents can be considered a disadvantage, especially in countries where participation in the enumeration is declining. Finally, many countries experience increasing difficulties in enumerating specific population groups, such as persons with high mobility or with multiple residences, or who are difficult to reach for other reasons.

Some considerations for census taking and content

1.76. Very precise planning is required for every stage of census taking in the traditional approach, due to the sheer volume of work and overlapping time frames. The recruitment and training of a large number of census takers adds to cost and complexity. Involvement of administrative machinery at the central, provincial and local levels is essential for successful field operations.

1.77. Since the data obtained in the traditional method are respondent- and enumerator-based, there is scope for error in canvassing the questions and in the quality of response. This, however, can be minimized through proper design of the questionnaire, effective training and wide publicity.

1.78. Data can be provided for every administrative level subject to privacy and confidentiality considerations, which may not always be possible with other methods if some parts of the data collection are based on sample surveys.

1.79. Essential features of a population and housing census are fully satisfied with the traditional census method.

B. Register-based census

1.80. The concept of producing census-like results based on registers developed in the 2000 round of censuses, although it has been debated and tested to various degrees since the 1970s, and several countries succeeded in using this approach to generate census data in the 1990 round of censuses. The philosophy underlying this concept is to take advantage of existing administrative sources, namely different kinds of registers on individuals, households and dwellings. These registers are linked at the individual record level with information held on business, tax, education, employment and other relevant registers. While it is theoretically possible to link records on the basis of the name and other unique details of the individuals, the existence of a unique identification number for each individual, household and dwelling allows a much more effective and reliable linkage of records from different registers.

1.81. Administrative registers are produced on the basis of administrative processes to collect information on units (persons and housing units) and variables that are defined by administrative rules and demands in a country. Although the content and process of registers would differ from one country to another, the types of the registers are usually very similar. The following provides definitions of the main concepts used in the system of administrative registers.[27]

(*a*) A *register* is defined as systematic collection of unit-level data organized in such a way that updating is possible. Updating is the processing of identifiable information with the purpose of establishing, updating, correcting or extending the register.

(*b*) *Administrative registers* are registers primarily used in an administrative information system. This means that the registers are used in the production of goods and services in public or private institutions or companies, or that the information is a result of such production. Administrative registers used for statistical purposes are normally operated by the State or jointly by local authorities, but registers operated by private organizations are also used.

(*c*) *Administrative base registers* are kept as a basic resource for public administration. The function is to keep stock of the population and to maintain identification information. Statistical base registers are based on the corresponding adminis-

[27] *Register-Based Statistics in the Nordic Countries: Review of Best Practices with Focus on Population and Social Statistics* (United Nations publication, Sales No. E.07.II.E.11).

trative registers. Their principal tasks are to define important populations and contain links to other base registers.

(*d*) *Specialized registers* are registers that, unlike base registers, serve one specific purpose or a clearly defined group of purposes. Specialized registers often receive information on the population and some basic data from a base register, but supply other data themselves (such as the register of vehicles).

(*e*) *Statistical registers* are created by processing data from administrative registers for statistical purposes. A statistical register could be based on one or several administrative registers. Statistical registers are also referred to as secondary registers.

1.82. The process involves collecting information on the characteristics of individuals, which has been provided to an administrative register for non-statistical purposes. To be effective, access to administrative data for statistical purposes must be given by law or by agreement, providing the capability to (*a*) transfer the data as individual records to the statistical database; or (*b*) temporarily link the registers to form a proxy register for statistical purposes.

1.83. Administrative registers are maintained primarily for administrative purposes. Units and variables of administrative data are described according to administrative rules and demands. Before a register is used for census purposes, the suitability of its data in terms of definitions, concepts, content, reference date, accuracy and other criteria should be statistically tested by comparing them with previous census and survey results, and conducting quality and compatibility surveys. A pilot census may be used for this purpose. Some backbone registers and administrative sources are:

(*a*) Population register (base—usually covers births, deaths, marriage and migration);

(*b*) Buildings and dwelling or address register (base);

(*c*) Business register (base);

(*d*) Taxation register;

(*e*) Employment register;

(*f*) Pension register;

(*g*) Social welfare register;

(*h*) Jobseeker register;

(*i*) Student register.

1.84. All persons within the defined territory who meet the register's rules are enumerated. In concept, the enumeration is taken from a population register in which the fields for different census attributes are populated from subsidiary registers relating to specific topics. Information is extracted from the register as it reflects the situation of individuals at the predefined census reference date. The timing of the census extraction may require careful thought where register update cycles vary. Registration delays and administrative delays in updating between regional and national databases can otherwise have a serious impact on the quality of the output.

1. Register source with existing sample survey

1.85. A special case of register-based census is when population and/or integrated administrative registers are combined with existing sample survey(s). Different data sources are integrated as part of a "virtual census"[28] process. The data for the census exercise are derived from many types of registers and surveys, covering different population groups throughout the country and its subregions. Compared to conventional census methods, this process is

[28] The term *virtual census* originated in the Netherlands, where it was first developed, and here it refers to that specific methodology.

lower in cost and staff requirements, and uses more frequently updated data sources. More significantly, by combining data that are already available from other sources, the virtual census makes no additional respondent burden, increasing its public acceptability.

1.86. A weakness of the use of sample data within the census exercise is that for the variables derived from the sample surveys the sample size may not be sufficient to offer the geographically detailed outputs that are an essential feature of the census. Importantly though, the use of data from existing regular surveys will often mean that time series of data are available. By combining samples for several survey exercises, it may be possible to produce reliable estimates for small geographic areas.

1.87. However, the use of existing surveys does present a number of problems compared to the use of ad hoc surveys. The timing, content, statistical definitions and sampling approaches used in an existing survey may not be appropriate to allow the data to be readily combined with data from the administrative source(s). For example, many major household surveys are not designed to cover persons living in institutional households (such as student accommodation, hospitals, prisons and military establishments), meaning that an additional source of information is needed for these persons.

2. Necessary conditions

1.88. Among the essential preconditions to conduct a register-based census is that the country should have:

(*a*) A national legislation providing for the creation of a population register and permission to use the data contained in it for statistical purposes;

(*b*) An established central population register;

(*c*) High-quality data in the population register;

(*d*) Comprehensive geographic coverage in the register;

(*e*) An effective system of continuous updating of the population register.

With regard to other administrative registers used, the following are essential:

(*a*) Access to data in the various registers should be allowed through legislation;

(*b*) The concepts and definitions used in the various registers should be harmonized;

(*c*) A universal personal identification (unique identity) system should be in place to facilitate proper linking of data;

(*d*) Quality and consistency checks should be conducted to verify the suitability of the data contained in various registers.

3. Advantages and disadvantages

1.89. The primary advantages of a register-based approach are reduced costs and greater frequency of data. However, establishing and maintaining administrative registers involve higher costs than the census alone may justify. The need for the register will largely be based on its contribution to more reliable and efficient administration. The use for statistics may be valuable but is likely to be a secondary consideration.

1.90. Certain potential drawbacks with the use of administrative data sources also need to be taken into account. One limitation is that the scope of statistical topics, key definitions and, indeed, the population base of the exercise depend on the information that can be compiled from the available registers. These, in turn, will be based on the underlying administrative purpose and procedures of the registers. In addition, it is common for national legislation

to restrict or prevent the use of administrative registers for other purposes, including the production of statistics. This may impose restrictions with respect to the characteristics that are available for description, and may also undermine international comparability. When a registered data item is changed, new or updated information is not always registered immediately. In certain cases, new or updated information may not be registered at all. Where this occurs, the register information does not accurately reflect real circumstances.

4. Some considerations for census taking and content

1.91. Administrative registers can, depending on content and quality, be used in all phases of census-taking. In principle, where greater amounts of information can be obtained from administrative sources, the production of census-type statistics will be faster, cheaper and more complete. The most complete use of registers will be where all core, and in some countries non-core, census topics can be based on register information. It is possible to improve the quality of data collected through the administrative register by conducting a sample survey or surveys. The sample survey(s) may either use the register as a sampling frame, or else be completely independent of the register.

1.92. The use of register data may reduce the flexibility of the census exercise in terms of the variables that are available and their definitions. It may be difficult to change the variables as these are defined in line with administrative priorities. A significant potential risk for the success of the census exercise is that the administrative source will often be outside the control of the statistical authority. The influence of the statistical authority over the administrative source can be very limited. The content and availability of the administrative source may change at relatively short notice and without reference to statistical needs. For example, a change in taxation legislation may mean that a key administrative register may no longer collect information needed for the census. This risk can be minimized by establishing close and regular communication between the statistical authority and the owners of the administrative sources.

1.93. In practice, only persons legally present in the various registers would get covered through this approach. For example, unregistered births, deaths or marriages, illegal immigrants, homeless persons, nomadic or floating populations, persons involved in illegal activities, etc., are not likely to be recorded in any such administrative register. On the other hand, registers may include persons who are actually not living (any longer) in the country, for example persons who emigrated but were not cancelled from the registers.

1.94. Summing up, subject to the caveats mentioned in the paragraphs above, the feature of individual enumeration is satisfied in this approach as separate information is collected regarding the characteristics of each individual. As regards "universality within a defined territory", this criterion is satisfied as the enumeration is taken from a population register in which the fields for attributes are populated from subsidiary registers relating to specific topics. With regard to "simultaneity", the timing of the census extraction may require careful thought where register update cycles vary. With respect to "periodicity", this approach allows extraction at desired frequencies, including "at least once in 10 years", noting again the need to manage the updating cycles for the registers. Finally, in most cases, the requirement in terms of producing small-area statistics is largely met, as the information in the registers allows for such aggregates to be generated.

C. Combined methodologies

1.95. In recent years, it has been observed in a number of countries that:

(*a*) The quality of the administrative registers is relatively good (at least for certain key census variables);

(*b*) Information for some census topics is not available in the administrative registers or the quality is not sufficiently high;

(*c*) The population generally, and certain population groups (in particular people difficult to enumerate), are becoming more sensitive to the handling of personal information, and possibly more reluctant to cooperate with the statistical office or more difficult to enumerate due to their high mobility or other reasons.

1.96. In these cases, a combined census that uses register(s) and questionnaire(s) could be an option. Essentially, the combined methodology makes use of registers relevant to a census, complemented by surveys or complete enumeration. The use of survey and enumeration data is intended to:

(*a*) Improve the accuracy of the population counts;

(*b*) Provide information for census variables that cannot be reliably based on administrative data;

(*c*) Check, update and improve the quality of census data derived from administrative sources;

(*d*) Add additional variables to the census;

(*e*) Be a linking frame in order to bring together different sources.

1.97. Information on individuals, households and dwellings is collected by combining data from registers with data collected from one or more surveys. Data collection may be based on full field enumeration, an ad hoc sample and rolling survey methods. Data from registers are employed not only as a sampling frame or to support field operations, but also directly as the data source for some census information. In a case where registers are used along with total enumeration, data from registers may be prefilled in questionnaires, and respondents may be asked to check, update and confirm their details. Other questions relating to fields not available in the registers may also be canvassed during this exercise. In the case of new individuals, households or dwellings that do not feature in the register, all fields of information that are required for the register and the census are to be canvassed afresh. When registers are used along with sample surveys (ad hoc sample or rolling surveys), some census tables may be produced entirely from the information available on the register(s), while for other census tables, information from the survey(s), duly weighted to the population totals, could be used. The surveys would also serve to evaluate the accuracy of the register counts.

1. Necessary conditions

1.98. The option of a register-based census with sample surveys can be adopted only if all necessary census information is available from the various administrative or survey sources, and it is possible to link the information from the different sources at the record level. During the process of integrating individual records, care should be taken to check the accuracy of the data and remove inconsistencies prior to the production of statistical outputs.

1.99. The data sources would include verified and accurate personal information (name, ID number, date of birth, sex, marital status, family structure, etc.) and a dwelling register. In an ideal situation, a "base" register can be envisaged, to include unified identity codes for both people and address components in order to link more efficiently the related register and survey data. The link between persons and their dwellings is equally important, giving the

household unit. Other administrative data sources include tax files, social security files, public records of unemployed and registers of educational qualifications. It is preferable to have a centralized base register. If this is not available, regional registers will need to be consolidated.

2. Advantages and disadvantages

1.100. The register-based census combined with full enumeration or surveys offers several advantages:

(*a*) It can be much cheaper than a traditional census with a full enumeration collecting all census items from the whole population;

(*b*) It will reduce the burden of enumerators and respondents;

(*c*) It will reduce non-response in case information is obtained from registers;

(*d*) It should be possible to correct the survey data for differing levels of non-response in different population groups.

1.101. Micro-integrated data might be expected to provide very reliable results, because they are based on a maximum amount of information. The coverage of subpopulations may be more reliable because when data are missing in one source, another source may be used. Another advantage of micro-integration is that there will be less reason for confusion among statistics users. For example, there will be one figure on each socioeconomic phenomenon, instead of several different figures depending on which sources have been used.

1.102. A disadvantage is that it involves more work to produce the tables from the sample survey microdata, as weighting problems may arise. As the combined census may lack the high public profile and publicity of a traditional census, there may be less interest in and use of the census results, as there is no longer a single census event to attract public attention. Other potential disadvantages may be a lack of transparency (no one external to the process may be able to reproduce the information) and data quality.

3. Some considerations for census taking and content

1.103. Data validation, processing and dissemination may be more complicated, as this approach involves both total counts based on the register and sample data from surveys. In addition, as some variables are based only on sample data, it may be impossible to meet the level of statistical and geographic detail required in some tables. On the other hand, the possibilities of reducing cost and response burden provide a very strong reason to adopt this approach.

1.104. Some of the required variables will need to be constructed from different sources. The census results obtained may differ to some extent from those that would be obtained from a full enumeration covering all census topics. This may have a negative impact on the comparability of results between countries and over time. An advantage of registers is that, in effect, they offer complete coverage subject to the quality of the data contained (see also paragraph 1.93). It is preferable that statistical authorities make full use of the register data that are available.

1.105. For the combined census method, a number of different methods can be used to collect information, including paper, Internet, handheld devices and telephone interviews. Electronic devices have important advantages that influence the quality of the information obtained: validation controls can be included in the different questions, time to answer the questions is reduced and the analysis and dissemination of information is faster. Where data are collected via different routes (such as Internet collection in parallel with face-to-face interviews), controls are needed to avoid duplication of information.

4. Examples of combined methodologies

1.106. There are many different approaches to the implementation of combined census methodologies. These differences can be categorized according to whether a non-continuous or continuous approach is adopted, and the ways and extent to which the different data sources are used. Methods used by countries using either a fully register-based census approach or one based partly on administrative sources are examined in detail in a research report.[29] This report presents information for six fully register-based and ten partly register-based countries, giving information on the methods used to combine register and survey data, and to compensate for missing information. The use of repeated weighting, register estimation methods, calibration of data, and microdata or macrodata integration are discussed.

4.1. Non-continuous approach

(a) Base register[30] and/or integrated administrative sources[31] with full field enumeration

1.107. One approach can be to combine the full enumeration with a base register or registers.[32] The questionnaire used in the total enumeration then contains fewer questions compared to a traditional census questionnaire, but still covers the whole population of individuals, households and dwellings. Over time, countries may decide to adopt this model, increasing in successive censuses the use of integrated administrative registers and reducing the number of questions in the questionnaire. The registers can be used to prefill such information as name, address, family composition, education, occupation and dwelling characteristics on the questionnaire. These prefills can then be used to ask the respondents if the information is still valid or needs to be changed. That can greatly reduce the work involved in coding of the census questionnaire.

Advantages and disadvantages

1.108. The main advantages with using this model is that it will reduce the response burden for respondents and reduce the cost of the census. The model also allows the preparation of small-area statistics as all variables are collected as total counts. However, this model will still involve a large data-collection exercise with the use of enumerators. Mail out/mail back data collection may sometimes be used, but a significant proportion of respondents may require enumerator follow-up and assistance in completing the questionnaire.

(b) Base register and/or integrated administrative sources with ad hoc sample survey(s)

1.109. Another model involves the use of an ad hoc sample survey instead of a full enumeration.[33] The backbone register could then be used as a sample frame and also to prefill some information such as name and address on the questionnaire. The ad hoc sample survey questionnaire can be specifically designed to complete and statistically correct the data coming from registers, covering those variables not available from the register. The sample can be sized and stratified in such a way that data are available for small groups and geographic areas.

Advantages and disadvantages

1.110. This model requires far fewer enumerators than a full enumeration, so a more specific training operation with skilled and prepared professional interviewers can be carried out. The follow-up of the operation is also simpler. There is no need to obtain information from each member of the population, giving a clear reduction in response burden. Non-response can be corrected in the sample by the use of statistical techniques to ensure information is still representative of the population.

[29] Eric Schulte Nordholt, *Efficiency in Population Censuses: The Situation of the European Register-Based 2011 Censuses*, available from www.statistics.gov.hk/wsc/STS067-P3-S.pdf.

[30] Examples of base registers could be population register and/or dwelling register; and address register and/or business register.

[31] Examples of integrated administrative sources could be administrative or statistical registers of education and/or occupation.

[32] In Europe in the 2010 round of censuses, four countries applied this approach: Estonia, Latvia, Liechtenstein and Lithuania. For more details, see United Nations Economic Commission for Europe, *Measuring Population and Housing: Practices of UNECE Countries in the 2010 Round of Censuses* (Geneva, 2014), p. 12, available from www.unece.org/fileadmin/DAM/stats/publications/2013/Measuring_population_and_housing_2010.pdf.

[33] In the 2010 round of censuses, countries that applied this approach included Germany, Israel, Poland, Spain, Switzerland and Turkey. For more details, see United Nations Economic Commission for Europe, *Measuring Population and Housing: Practices of UNECE Countries in the 2010 Round of Censuses* (Geneva, 2014), p. 12, available from www.unece.org/fileadmin/DAM/stats/publications/2013/Measuring_population_and_housing_2010.pdf.

1.111. By using a sample and a much smaller number of enumerators, a significant reduction in the cost of the census is possible, in particular when compared with the traditional approach.

1.112. The extent to which this model can produce detailed statistics (in particular for municipalities or smaller geographic areas) will depend on the size of the sample survey. A larger sample should allow more detailed statistics to be produced but this will correspondingly increase the financial cost of the exercise. Even with a large sample, the availability of detailed information is likely to be lower than if a comprehensive approach were taken—such as with a traditional census or fully register-based exercise.

4.2. Continuous approach

(a) Rolling census

1.113. In a rolling census, information is collected on individuals, households and dwellings by a continuous cumulative survey covering the whole country over a period of time (generally years), rather than a particular day or short period of enumeration.[34] The two main parameters of a rolling census are the length of the period of enumeration and the sampling rate (which depends on the geographic levels required for dissemination purposes). For example, it is possible to build a sample framework in order to produce national results with one annual survey, regional results by cumulating three annual surveys, and small-area results by cumulating data over five years. Annual surveys may be conducted over the full course of the year or in a particular month or other shorter time frame.

[34] In the 2010 round of censuses France was the only country applying this concept.

1.114. Implementation of such an approach requires highly complex sampling and modelling techniques; a high-quality sampling frame in order to allow sampling at very low levels of geography; and successful consultation to gain acceptance of the approach with major stakeholders, including national and local governments and the user community.

Necessary conditions

1.115. The necessary conditions partly depend on the complexity of the sample framework. If the sampling units are addresses, a master address file is to be built first. But if the sampling units are larger, for example municipalities, it is only necessary to have enough information to spread the municipalities over the different years. It will be necessary to explain to statistics users the impact of the rolling sample on the use and interpretation of data, as many users are more used to snapshot data rather than period data.

Advantages and disadvantages

1.116. The main advantage of the rolling census approach is the higher frequency for updating data: a traditional census provides benchmarks every five or, more commonly, ten years. In contrast, the rolling census provides annual updates. Another advantage is the reduction in the burden on the public. The high peak costs and labour requirements of a traditional census are instead spread over a longer period. Furthermore, it is possible to improve the census process over time, and to test methodological refinements and new technologies as they emerge.

1.117. The disadvantage is that the rolling census approach no longer provides a snapshot of the whole population, complicating comparisons between areas due to different enumeration times. In addition, as the rolling census covers the whole country over a period of time, some respondents will move. Thus some people may be surveyed several times and others may not be surveyed at all. As a result, universality might not be ensured unless careful methodological adjustments are made.

5. Some considerations for census taking and content

1.118. It is better to begin a rolling census just after a full traditional census, in order to exploit the recent census information to build the sample framework. As the operation is annual, the process must be very carefully prepared, since any delay can be problematic for the following stages.

1.119. A rolling census is able to include all usual census topics. There is also the possibility of changing the questions more regularly than in a decennial cycle. This enables the census to be more reactive to changes in the needs of users, even if comparability over time should in principle be preserved. However, only if the questions are stable over a number of years can a rolling census produce statistics at the same level of detail. Depending on the census organization and procedures, it may be possible to add some thematic surveys if required.

V. Operational aspects for register-based census or combined methodology

1.120. This section presents general operational aspects that apply to various census methodological approaches making use of data from registers, including register-only-based censuses, and censuses based on a combination of data from registers and other sources, such as ad hoc sample surveys or full field enumeration.

A. General aspects and preconditions

1.121. Population and housing censuses are an integral part of the system of official statistics in each country. They are expected therefore to fully encompass the fundamental principles of official statistics.

(a) Legal framework

1.122. If administrative data are used for census purposes, statistical authorities should have a clear legal mandate to collect administrative data for statistical purposes. Individual historical, cultural and political factors of each country lead to highly diverse legal frameworks.

- **Data access.** A legal basis should enable the statistical authority to collect administrative data. The required data sources should be described clearly. Data supply by governmental or private organizations should be specified as compulsory. Limitations to the data access (for example duration of access, confidentiality) should be described.
- **Privacy, integrity and security.** To secure the handling of data and strengthen the trust from the general public, some legal acts should be in place. Examples of these are a statistical act, a privacy act and a data act. These should regulate how data can be transferred, handled and delivered inside the statistical institute and between the institute and other departments, organizations and users.
- **Data use.** All variables of census relevance, with metadata, including identifiers of administrative data sources, should be listed completely and described clearly. Limitations to the data use (for example duration of use, deletion of microdata) should be described. Furthermore, it should be clearly defined that data compiled

for statistical purposes will not be retransmitted to the data-providing organization or other governmental authorities.

(b) Cooperation

1.123. A joint effort towards register-based statistics production requires firm and explicit commitment at the highest possible political level, as well as close collaboration among relevant authorities. Cooperation between statistical and administrative authorities generates a mutual and deeper understanding of the primary purpose of the registers and the needs of the statistical authority.

(c) Confidentiality and public approval

1.124. In the context of a census, the most important principle for the population is the confidential use of individual information, as stated in the sixth Fundamental Principle of Official Statistics, which requires that the use by statistical authorities of individual data, whether they refer to natural or legal persons, be strictly confidential and used exclusively for statistical purposes.

1.125. The political decision concerning the use of administrative data in a census can be highly influenced by public approval or refusal. In the run-up to implementing a new or modified census methodology it is helpful to inform the public about the project. It can be expected that people will become increasingly sensitive towards the collection and analysis of personal data by governmental authorities. In addition to outlining the general benefits and risks of the use of administrative data, information to the public should focus on the confidentiality of personal microdata. Clear limits and rules regarding the use of administrative data provide a common understanding that individual data collected for statistical purposes will not be passed on to other governmental authorities.

(d) Administrative routines

1.126. A decision about the use of register data for statistical purposes largely depends on the nature of the register itself, including qualities such as integrity, reliability and lifespan. For this reason, there should be confidence in the administrative authority's capacity to be a reliable partner and data supplier. This implies the presence of administrative routines and safeguards. Does the administrative authority have extensive experience with the collection of the data that may be used for statistical purposes? Is the administrative authority well organized and is it anticipated that the necessary data collection will continue into the future? Are there existing quality guidelines for the administrative authority that guarantee long-term data quality? These are some of the questions that need to be elaborated upon in terms of assessing the feasibility of exploiting administrative registers for statistical purposes in general, and for the purposes of generating census statistics in particular.

(e) Identifiers

1.127. Regardless of the census methodology adopted, it is extremely important that a unique primary key variable is used in all the data sources. The use of a unique identifier is essential in order to link information successfully. This primary key may already exist in the country—for example, a national personal identification number. Where it does not exist, or exists but with poor quality (for example, too many duplicates), it can be artificially created for statistical purposes. A statistical linkage key can be built from unchanging variables for persons, such as "family name at birth", "first name", "date of birth", "sex" and "place of birth". Care needs to be taken with alternative spellings, for example, incorrect or incomplete registry entries, transcription errors, and the varying transcription of foreign languages, names or place names.

1.128. Unique identifiers assist in the detection (and correction as necessary) of identical statistical units (duplicates). Duplicate records most often arise when collecting data from more than one decentralized register, but are also possible within one centralized register. The problem with duplicate data entries is the risk of multiple counting of identical statistical units.

1.129. In the case of fully register-based censuses, information from different registers should be matched using good-quality identifiers. It is important to define how often information from different sources is updated and the reference date of the information stored in the different registers. When two or more data deliveries with the same content from the same administrative authority are planned, a linkage key will enable validation of data quality with regard to the statistical reference period.

1.130. Successful data linkage may be compromised by poor quality of the source data. Information stored or provided by data owners may have errors resulting in non-linkage or multi-linkage of records. In these situations, probabilistic approaches that choose the closest candidate, or the use of geographic information (starting from the lowest detail level and gradually increasing), can help to improve the linkage process.

B. Collection and processing

1.131. Partially (combined) or fully register-based censuses have several important advantages when compared with the traditional approach. For example, the response burden on the population can be reduced.[35] Methods may be adapted to the specific national circumstances. Non-response can be treated with methods that make use of the information that exists in other data sources.[36] Depending on the amount of information available from different data sources and its degree of integration, data processing can be more complex with these census methods than with a traditional census, although good-quality results can be obtained.

[35] Statistical variables can be derived using one or more administrative variables from different data sources.

[36] For example, information that exists in other registers or in different surveys.

1.132. The decision to use administrative sources in the statistical production process requires close collaboration between the administrative authorities and the national statistical offices. During preparations for data delivery, all parties concerned must agree on date(s) of delivery and the content of the data. This implies a bilateral agreement at a high hierarchical level on a detailed data set description, scheduled delivery dates and the statistical reference period. Test data deliveries help to solve or minimize problems with the subsequent data processing by the national statistical authority. Validation techniques appropriate to administrative data should be applied, including checks on the plausibility, completeness and reference periods.

1.133. For combined census methodologies, it is important to store control information and indicators at the lowest geographic level available in the central database, covering issues related to the census operation, such as progress with the fieldwork, response rates and comparisons with information in registers. This control information—normally based on web reports and analysed daily by project managers or regional offices—can be used to detect problems that appear during the fieldwork and to plan necessary actions to overcome these problems. If data are analysed on a daily basis, close monitoring of the continuing field operation and data entry is possible.

1.134. Register information may contain errors (for example, records showing people as being implausibly old, invalid occupations, information about migration that is not consistent with other data). Edit rules may be defined to highlight inconsistent or implausible information. Correction or imputation of records with errors can be attempted in different ways: first, if possible, using another data source (register) that also has information about that specific record and topic; or second, carrying out probabilistic imputation based on available information that is thought to be reliable.

1.135. Missing or implausible data can create serious problems for data analysis. Cases that have missing or implausible values may be deleted, but this can result in a loss of representativeness and completeness, and the introduction of bias. Various imputation methods can be considered, with a general distinction between single and multiple imputation techniques.

1.136. Sometimes information about topics can be obtained through different data sources (registers and survey). In this situation, it is very common that calibration techniques are used in order to reduce inconsistencies between data from different sources. However, calibration only guarantees coherence to a certain geographic level, generally modifying or adjusting the sampling factors. It may be necessary to explain to users the reasons for any remaining differences.

VI. Use of sampling in population and housing censuses

1.137. The potential role of sampling in population and housing censuses is extensive. On the one hand, sampling can be an integral part of the planning, data collection and operations, analysis and evaluation of the census.[37] On the other hand, the census may serve as a sampling frame for subsequent sample surveys or survey programmes.

1.138. The elaboration of the features of acceptable sampling operations presented below refers primarily to the traditional census; however, it also applies to any of the combined methods wherein sample surveys represent a critical component of the method.

A. Features of acceptable sampling operations

1. Accuracy and precision

1.139. The use of sampling in a census entails an awareness of the precision desired in sample estimates. The higher the levels of precision or the smaller the domain of estimation, the larger and more complex, and hence the more expensive, the sample. A distinction is to be made between the precision of a sample estimate and its accuracy. Precision can be measured by the standard error (which gives a measure of the error due to sampling compared with a complete enumeration under the same general conditions of enquiry), while accuracy is measured by the difference between the true value (which is generally unknown) and that obtained from an enquiry, whether on a sample or complete enumeration basis.

1.140. Sampling methods employed in census-taking, with the exception of pilot tests, should make use of probability samples as opposed to judgemental, purposive or other non-scientific methods. For the successful execution of a probability-based sampling plan, it is essential that scientifically designed selection procedures be strictly followed. The sampling procedures must be such that a known positive probability of selection can be assigned to every unit in the population. The inverse of these probabilities must be calculable so that they can be used to estimate population values and to calculate the measure of precision of the estimates (in other words, their sampling error). Selection procedures must be faithful to the design so that deviations from prescribed standards or instructions are minimal.

1.141. Of course, estimated results based on samples are subject to sampling errors in addition to various types of non-sampling errors that are also present in a complete enumeration. The smaller scale of a sample operation may make it possible, nevertheless, to employ

[37] Reference is made to paragraphs 3.9-3.17 and 3.220-3.227 of this publication and to United Nations Statistics Division, *Post Enumeration Surveys: Operational Guidelines, Technical Report* (2010), available from https://unstats.un.org/unsd/demographic/standmeth/handbooks/Manual_PESen.pdf.

interviewers with advanced training, to devise and pose questions of greater detail and to minimize response errors. As a result, non-sampling errors, which affect the accuracy of the estimates, are likely to be fewer in a well-executed sample than in a complete enumeration.

1.142. Whenever sampling is used in the census data collection, provision should be made for computing estimates of sampling error (variances), at least for the major items of interest. While a variety of techniques can be employed to estimate variances, the particular technique adopted should be one that reflects the actual sample design used.

B. Census resources

1.143. Effective planning of sample operations consists to a large extent in making judicious use of whatever expert knowledge and equipment are available in a particular country. Specific sample plans aimed at the same objective may vary from country to country, depending on the quality and quantity of census resources. In planning a sample operation as part of the census effort, it is important to bear in mind considerations of cost and competent direction.

1.144. The question of cost in sampling is of crucial significance, and cost may be the reason why it was decided not to collect the same information through a complete enumeration in the first place. Numerous factors govern the cost of sampling, and it is essential that these be fully weighed before a decision is made to associate a sample plan with a complete count. One important factor, for instance, is the size and complexity of the sample, which in turn is governed by the objectives of the survey and the procedures that are regarded as most efficient.

1.145. Sample operations should be conducted under the direction of a competent statistician who is conversant with the theory of sampling and of statistical analysis from sample data, and the practical operations of carrying out sample surveys in the field. The advice of such a sampling statistician is indispensable at all stages of the sample operations, from planning and sample design to estimation and calculation of variance.

1.146. In order to ensure that the sample is selected strictly according to the design and to avoid any possibility of bias in sample selection, it is strongly recommended that the actual selection of the sample units should be carried out either in the central office or in regional offices under the direct supervision of a sampling statistician.

Part two

Planning, organizing and management

I. Introduction

2.1. This and the subsequent part of the *Principles And Recommendations* focus on traditional population and housing censuses. Part two elaborates on planning, organization and management of the population and housing census, as this is a peculiar and most complex statistical exercise requiring a multidimensional and simultaneous approach to preparation and management, while part three follows the Generic Statistical Business Process Model[38] in presenting census operation activities.

[38] United Nations Commission for Europe, on behalf of the International Statistical Community, *Generic Statistical Business Process Model (GSBPM)*, Version 5 (2013).

II. Overall census planning

2.2. A population and housing census (or a population census by itself) consists of a complex series of interrelated steps, and constitutes perhaps the single most extensive, complicated and expensive operation that a country undertakes. Some of these steps, for example the printing of the census questionnaires, may be massive in scale; other steps, for example the training of the supervisory staff, must be carried out in a uniform manner in all parts of the country; and still others, for example the actual enumeration, must incorporate both features. Also, since censuses take place after five to ten years, the planning and preparation for each new census round has to take into account changes in field conditions, census methodology, technological innovations, user requirements, census questions, personnel and societal conditions.

2.3. To ensure that the diverse operations occur in their proper sequence and in a timely manner, the entire census and its various component steps must be planned carefully in advance. An apparently minor oversight in planning may lead to serious defects in the census results and to costly inefficiencies in the census operations. Careful planning is therefore critically important to a successful census, not only in countries with comparatively little statistical experience but also in those with a well-developed system of statistics. Coupled with the need for careful planning is the need for appropriate organizational and administrative arrangements and procedures. Such arrangements and procedures are necessary to ensure both that the extensive human and material resources mobilized for the census are effectively and efficiently used, and that its very tight time schedules and massive logistic requirements are met.

2.4. It must be stressed, however, that at each stage of census planning and implementation, the various administrative arrangements developed will need to be guided by sound technical considerations. The quality and timeliness of the census data will almost certainly suffer unless sufficient and appropriate weight is given throughout the census to a wide range of subject matter and statistical requirements. This is especially valid in the case of cross-cutting issues, such as information technology, present throughout many essential phases of the census. It is

for this reason that the management of a large statistical operation, and especially a population and housing census, cannot be considered a routine administrative assignment.[39]

[39] For a discussion of statistical management generally, see *Handbook of Statistical Organization, Third Edition: The Operation and Organization of a Statistical Agency*, Studies in Methods, No. 88 (United Nations publication, Sales No. E.03.XVII. 7).

2.5. Not all censuses follow a uniform pattern but there are certain major elements that must be taken into account in every one of them. In general, census operations can be divided into seven phases: (*a*) preparatory work and testing, (*b*) enumeration, (*c*) data processing, (*d*) building of databases, (*e*) evaluation of the results, (*f*) dissemination of the results, and (*g*) analysis of the results. In addition, distinct sets of operations related to the systematic recording of census experience and the quality assurance and improvement programme must accompany and support the main census operations. It will be readily apparent that these phases are not entirely separate chronologically or mutually exclusive. For example, some census results are usually released before all data-processing activities are completed; the analysis and the dissemination of census results overlap quite extensively; and the systematic recording of census experience should start at the beginning of the preparatory work and continue through all subsequent phases. Furthermore, certain elements that are discussed below, such as the budget and staff, may have to be amended according to the circumstances arising at a later stage of operations. The elements of each of these phases are discussed below in terms of their implications for sound census management.

2.6. When the housing and population censuses are carried out together, the planning, organization and administration of the two censuses should be considered separate aspects of a single, integrated field and processing operation; that is, the separate technical requirements of each census have to be taken into account in planning and carrying out the combined operation. A combined population and housing census will be more costly and complex than each census considered by itself but less expensive than the total operation of carrying out both censuses independently. Moreover, the combined census will be capable of providing a greater wealth of cross-tabulations than both censuses carried out independently. Each country will have to decide on the trade-offs involved in light of its own needs and circumstances (see also paragraphs 1.38-1.41). However, from the perspective of overall census planning and management, the decision is not a critical one. Whether the census is a combined operation or a separate population or housing census, the basics of census planning, organization and administration as described below remain unchanged, except for the added cost and complexity of the combined operation.

III. Strategic objectives and management

A. Strategic objectives

2.7. The development of plans for a census should include the early preparation of a set of strategic aims and objectives that may be used to guide the implementation of the plans, set standards and form a set of benchmarks against which outcomes can be assessed to help determine the success of the census. Ideally, the starting point for developing these objectives would lie in combining information derived from evaluating previous census experience, from understanding user requirements for information from the census and from assessing changes in both society and technology. In practice, some of this information is difficult to obtain and often provides conflicting guidance. Nevertheless, such objectives can be used to assist in planning major elements of the process. Although the strategic objectives of the census will be specific to individual countries and will differ according to local circumstances, they can be described under the following headings: census content, impact on the public and on census staff, production of census results, cost-effectiveness and cost-benefit.

2.8. **Census content.** The aim is to ensure that the topics are appropriate for meeting the demonstrated requirements of users, taking into account considerations of cost-effectiveness, human resources, time availability and respondent burden. Subsidiary objectives under this element relate to (*a*) suitable consultation with existing and potential users at all stages; (*b*) establishment of measurable standards of reliability incorporating user views on priorities; and (*c*) adequate testing of new topics to ensure successful collection and production of reliable results.

2.9. **Impact on the public and on census staff.** The aim is to ensure that all the aspects of collection operations and the dissemination of results are acceptable to the public and fully comply with legal and ethical standards for protecting the confidentiality of individual responses. The public should be fully informed about census objectives, content and methods, as well as about their rights and obligations with respect to the census. Similarly, all census staff must be fully aware of their responsibilities. Subsidiary objectives include such issues as (*a*) keeping completed forms and other records containing personal information secure and confidential; (*b*) ensuring that public support for all aspects of the census is as strong as possible; and (*c*) producing requested customized output in a manner consistent with preventing disclosure of personal information, adhering to established reliability standards for the release of data, and implementing policies designed to safeguard the access of all users to census results.

2.10. **Production of census results.** The aim is to deliver census products and services, and to meet legal obligations and user needs with stated quality standards and a predetermined timetable. Subsidiary objectives include (*a*) producing outputs with a minimum of error suitable for the purposes for which the data are to be used; (*b*) providing standard outputs for the main results and services for customized output; (*c*) providing access to output; (*d*) using geographic bases appropriate for collecting and referencing data for output; (*e*) improving methods of enumeration, particularly in difficult areas, so as to reduce levels of undercoverage and response error; (*f*) improving methods of evaluation and the means to convey findings to users; and (*g*) developing a measure of quality and targets.

2.11. **Cost-effectiveness.** The aim is to plan and carry out a census as inexpensively as possible without compromising other strategic objectives. Subsidiary objectives relate to minimizing costs by (*a*) adopting more efficient data collection, data capture and data-processing approaches and related technologies; (*b*) contracting out appropriate parts of the operation; (*c*) exploring possible sources of alternative funding and, if appropriate, developing proposals for cost recovery and income generation; (*d*) international collaboration and reuse of systems; (*e*) encouraging the public to self-complete forms online or on paper where possible; and (*f*) replacing direct collection of data with use of administrative data.

2.12. **Cost-benefit.** The aim is to increase the value or benefit generated from the census while also managing the overall cost. Increasingly, large programmes such as the census are expected to demonstrate and quantify the benefits that the census programme will deliver. In effect, the value of the census should be greater than, or at least equal to, the cost of conducting the census. No programme can be considered a success unless the benefits of that programme are realized. The benefits from census products and services are those that are realized through the uses of the census, some of which are outlined in paragraphs 1.19 to 1.37. Some of the benefits generated through the use of the data can be quantified, while other benefits of the data are more difficult to measure, but are nonetheless important and should be noted in any cost-benefit analysis for conducting a census. Some of these benefits depend on statistical agencies being open with information to encourage and inform debate about the effectiveness of government and government policies. Therefore, key to the planning of the census is to ensure that there is some identification of the benefits (whether estimated in financial terms or not) and that the plans focus on realizing these benefits.

2.13. In the context of costs, it is of paramount importance to aim at emphasizing the benefits of the population and housing census in terms of the information it generates. In essence, a cost-benefit analysis needs to be incorporated as one of the major components of the census so as to outline the costs of not having the necessary information and its consequences. While the benefits of the census and statistics it generates transcend local, regional and national needs and can and should be clearly quantified, there are also intangible benefits such as national pride in conducting such an exercise. Subsidiary objectives include illustrating the value of the census as an educational tool and framework, for comparative purposes at national and international level and as a cornerstone of the national statistical system.

2.14. These objectives can be used as benchmarks to assess user requirements and may also be built into appraisal systems that, with suitable weighting, can be used to compare and review options. In general, strategic objectives of the population and housing census need to be clearly emphasized throughout the process of preparing, conducting and exploiting census data.

B. Strategic management

2.15. The primary value of strategic management is to assist census organizations to operate successfully in a dynamic, complex environment. The strategy drives key strategic decisions and choices over the term of the census undertaking in response to external and internal forces. The crafting of a strategy for a project or programme such as a census is critical for successful execution, and is dependent on a variety of knowledge and skills in different areas. While the crafting of the strategy is an art, it is important that it is governed by a systematic process to ensure careful examination and consideration of all issues that might have an influence on the future state of the programme. Census organizations may consider adopting the following strategic management process that will guide census operations in all its phases.

2.16. The strategic management process consists of four phases, namely:

(*a*) Strategy analysis;

(*b*) Strategy formulation;

(*c*) Strategy implementation;

(*d*) Strategy monitoring and review.

2.17. *Strategy analysis* is about ascertaining the issues that need to be addressed to take corrective action or to chart a new direction. It seeks to change the organizational set-up to one that is systemic, holistic, comprehensive and coordinated. Strategy analysis consists of:

(*a*) Setting the direction for the census operation, with the objective of reaffirming its purpose and the way it should conduct its business;

(*b*) Setting strategic goals for the census operation by way of defining what the system aims to achieve in terms of defining its highest goals and strategic outcomes. Strategic outcomes and goals must be aligned to what the user can expect and must therefore address user needs and requirements. A strategy driven by outcomes means "planning backwards" from the desired outcome through how best to achieve it;

(*c*) Strategic analysis of the census operations by defining its current and previous status or situation and identifying the key issues that need to be addressed. Analysing the internal and external environment provides the evidence base to inform the development of the strategy. This analysis of the situation forms the basis of the strategy and its objectives to be defined. Census organizations may consider using a SWOT (strengths, weaknesses, opportunities, threats) analysis to do a strategic analysis of the internal and external environment.

2.18. *Strategy formulation* is about defining how and where the census organization must respond. The key steps involved in this phase include (*a*) develop and review the value chain; (*b*) develop strategic objectives and subobjectives; (*c*) compile a strategy map; (*d*) define the strategic intent; (*e*) identify critical success factors; (*f*) identify strategic risks; and (*g*) identify or develop strategic interventions.

2.19. Strategic objectives drive a strategy. They provide direction on what should be done to achieve the strategic goals and outcomes. All activities in the census should be linked to a strategic objective, whether it is a new activity, an improvement initiative or maintaining the current status. Strategic objectives provide specific direction to the activities of the census operation and form the foundation upon which decisions are made. They also provide the direction for everyone in the organization and motivate people to achieve them, especially if they are rewarded. Strategic objectives affect other aspects of management, such as planning, organizing and leading, and provide a benchmark for performance measurement as well as a mechanism of control through provision of corrective measures. Finally, strategic objectives form the basis for delegation of authority. Good objectives are helpful in effective delegation of authority.

2.20. The strategic objectives, as formulated, must be specific, measurable, achievable, relevant and time-bound (SMART).

2.21. *Strategy implementation* is the process that turns strategies and plans into actions in order to accomplish strategic goals, outcomes and objectives. Implementing the strategic plan is as important as, or even more important than, developing the strategy. The key steps involved in this phase include:

(*a*) Compiling a census strategic plan, work programme and operational plan with the following elements:

i. *Work planning*: Compiling the operational plan by defining the inputs, processes and outputs;

ii. *Resource planning*: Identifying what human and other resources are required and how these resources should be deployed and developed to create the competences need to deliver the strategy;

iii. *Financial planning*: Compiling the budget outlining the funding required to implement the strategy;

iv. *Risk planning*: Identifying the operational risks and developing control and mitigating actions in response to those risks;

(*b*) Translating the strategy into action through:

i. Defining the body of work (identifying key performance indicators, outputs to be delivered, targets and milestones that will deliver the strategy);

ii. Defining the method of work (developing a value chain at conceptual and operational levels, including the quality management process that defines how customer value will be delivered);

iii. Defining the organization of work (designing an organizational structure that implement the strategy),

(*c*) Managing the implementation and strategic change.

2.22. *Strategy monitoring and review* is about monitoring and reporting on the progress, achievements and challenges in the programme; taking corrective action where required; and evaluating the impact of the changes and improvements. Implementation must be monitored to be successful. Due to constantly changing external and internal conditions, census managers must continuously review both environments as new strengths, weaknesses, opportunities

and threats may arise. The key element in strategy monitoring is to get the relevant and timely information to take corrective actions where required.

C. Avoiding gender biases and biases affecting indigenous peoples and minorities

2.23. Gender-based stereotypes can introduce serious biases in census data and the conclusions drawn from these data. These biases are discussed in more detail in part four (see for example paragraphs 4.129-4.135 and 4.289-4.351 relating to household relationships and economic characteristics, respectively). There is much that can be done in the preparatory stages of the census to help minimize gender-based biases. These preparatory activities are of two broad types: those related to census content and those related to census operations.

2.24. Issues of census content, including what information is sought and how, the definitions and classifications used, and the manner in which databases and tabulations are specified, are important in generating data needed to examine questions of gender equity. In addressing these content issues, census planners and users will need to be alert to prevailing stereotypes so as to develop a census that both minimizes the influence of the stereotypes that respondents and enumerators may hold and avoids further perpetuation of these stereotypes.

2.25. With regard to census operations, particular attention will need to be given to the selection, training and supervision of the field staff. This involves ensuring that both men and women are recruited to the field staff (both as interviewers and supervisors) and that manuals and training materials cover gender bias issues just as they do other important sources of error. Consultations with women's groups and others concerned with gender equity can help in addressing both content and operational issues.

2.26. Gender-related stereotypes and biases are concerns that have relevance for all countries. Census authorities in a number of countries must also be alert to the possibility of stereotypes and biases affecting data on minority population groups. Such groups may include ethnic, linguistic, national, racial, religious, indigenous and nomadic populations. Persons with disabilities may often be subject to similar bias. As with gender issues, the problem will need to be addressed in terms of both census content and census operations. Representatives of these minority groups can often provide census planners with important information and insights relevant to both census content and operations (for detailed information about difficult-to-enumerate groups, see paragraphs 3.125-3.134 and 4.48). Thus, special efforts should be made to consult with them when planning the census. In the case of indigenous and minority populations living in isolated settlements or enclaves, such consultations are often critical for minimizing underenumeration among these populations.

IV. Units, place and time of enumeration

A. Units of enumeration

2.27. Since individual enumeration is an essential feature of a population and housing census, clarity about the unit of enumeration is an essential element of census planning. In the case of the population census, the primary unit of enumeration is the person. There are two general frameworks within which individuals are identified: (*a*) households, and (*b*) institutions, as a subset of collective living quarters. The household is a general framework within which most individuals are identified, since the majority of the population live in households,

and the household is also a unit of enumeration in its own right. Because the household is also a unit of enumeration for the housing census, careful identification as a preliminary step in the enumeration can facilitate the efficient collection of the data and the control of its completeness in both types of census.

2.28. As mentioned in the previous paragraph, the second framework within which individuals are identified comprises "institutions", as a subset of collective living quarters. In addition to persons identified within households, there are persons living in institutions who are not members of a household. This group constitutes the "institutional population", which is also investigated in population censuses.

2.29. For the housing census, the household is one of the three units of enumeration; the other two units are living quarters (in other words, housing units and collective living quarters) and buildings. It is important to bear in mind that, in conceptual terms, these three units are clearly distinguishable. There is not necessarily an identity or exact correspondence among these concepts nor are the terms themselves interchangeable. Several households may live together in one set of living quarters and one household may occupy more than one set of living quarters. Similarly, several sets of living quarters may together occupy one building and one set of living quarters may occupy more than one building.

2.30. It is recognized that there may be difficulty in some countries in maintaining independent concepts of "household" and of "housing unit".[40] However, the advantages in terms of the usefulness of the data that result from preserving separate concepts usually outweigh the additional effort required in maintaining them.

[40] For further discussion on the concept of *households*, see paragraphs 2.33-2.37; also, for the definition of *housing unit*, see paragraph 4.427.

2.31. In carrying out a census, it is essential that the units of enumeration be clearly defined and that the definitions be included in manuals of instruction for the enumeration and, to provide appropriate guidance for users of the resulting statistical information, in census reports. In order to reduce the possibility of difficulties in applying the definitions recommended below, countries may find it necessary to expand the definitions and to illustrate them in terms of national conditions and circumstances. Post-enumeration field checks can provide a useful means of determining to what extent the national definitions of the units of enumeration have been applied in the field and the consequent effects on census results.

1. Person

2.32. For census purposes, the term "person" denotes each individual falling within the scope of the census. As emphasized above (paragraph 2.27), a person can be identified as belonging to the household population (that is to say, the population living in households) or to the institutional population (that is to say, the population living in institutions, as a subset of collective living quarters), as defined in paragraph 2.39 below. Although each person must be included in the count of the population, there will be some variation in regard to the persons for whom information is collected on different topics. The variations usually depend on the person's age (for example, questions relating to economic activity, in which case the age boundary may be driven by national legislation), sex (for example, questions relating to children born), or relationship to the head or other reference member of the household. It may be recommended that information on a particular topic should be investigated for less than the total population, and the group of persons for which a given topic should be investigated is indicated below under the definitions and specifications of such topics presented in part four, chapter I, section IV. In addition, the recommended tabulations for population censuses on the website of the United Nations Statistics Division are accompanied by a description of the population to be included in each tabulation. Similarly, the scope of the census should clearly indicate the persons to be covered and those to be left out.

2. Household

2.33. The concept of *household* is based on the arrangements made by persons, individually or in groups, for providing themselves with food and other essentials for living. A household may be either (*a*) a one-person household, that is to say, a person who makes provision for his or her own food and other essentials for living without combining with any other person to form a multiperson household; or (*b*) a multiperson household, that is to say, a group of two or more persons living together who make common provision for food and other essentials for living. The persons in the group may pool their resources and may have a common budget; and they may be related or unrelated persons, or constitute a combination of persons both related and unrelated.

2.34. The concept of *household* provided in paragraph 2.33 is known as the "housekeeping concept". It does not assume that the number of households and housing units are or should be equal. A housing unit, as defined in paragraph 4.427, is a separate and independent place of abode that is intended for habitation by one household, but that may be occupied by more than one household or by a part of a household (for example, two nuclear households that share one housing unit for economic reasons or one household in a polygamous society routinely occupying two or more housing units).

2.35. Some countries use a concept different from the housekeeping concept described in the previous paragraph, namely, the "household dwelling" concept, which regards all persons living in a housing unit as belonging to the same household. According to this concept, there is one household per occupied housing unit. Therefore, the number of occupied housing units and the number of households occupying them are equal and the locations of the housing units and households are identical. However, this concept can obscure information on living arrangements, such as doubling up, that is relevant for evaluating housing needs.

2.36. Households usually occupy the whole or a part of, or more than, one housing unit, but they may also be found in camps, boarding houses or hotels or as administrative personnel in institutions, or they may be homeless. Households consisting of extended families that make common provision for food, or of potentially separate households with a common head resulting from polygamous unions, or households with vacation or other second homes, may occupy more than one housing unit. For more discussion of household occupancy, see paragraphs 4.471-4.475.

2.37. A household may also consist of one or more homeless people. The definition of the homeless can vary from country to country because homelessness is essentially a cultural definition based on concepts such as "adequate housing", "minimum community housing standard" or "security of tenure",[41] which can be perceived in different ways by different communities. The following two categories or degrees of homelessness are recommended:

[41] For the definition of *tenure*, see paragraphs 4.556-4.559.

(*a*) Primary homelessness (or rooflessness): This category includes persons living in streets or without a shelter that would fall within the scope of living quarters;

(*b*) Secondary homelessness: This category may include the following groups:

i. Persons with no place of usual residence who move frequently between various types of accommodation (including dwellings, shelters or other living quarters);

ii. Persons usually resident in long-term (also called "transitional") shelters or similar arrangements for the homeless.

These definitions should be supported by a data collection strategy that ensures, for example, that dwellings are properly identified as shelters and not households.

2.38. For some topics investigated in housing censuses, the household may serve more efficiently than living quarters as the unit of enumeration. For example, tenure, if investigated in the census, should be collected with reference to households rather than living quarters. Information about household possessions that are normally included as part of the equipment of living quarters (radio and television receivers, for example) should be collected with reference to households. Information on rent, an item of significance in relation to both living quarters and households, would of necessity be collected in relation to the household.

3. Population in collective living quarters

2.39. As emphasized in paragraph 2.27, institutions represent the second general framework within which persons, as major units of enumeration, are identified. The institutional population comprises persons who are not members of households. These include persons living in military installations, correctional and penal institutions, dormitories of schools and universities, religious institutions, hospitals and so forth.[42] Personnel responsible for the running of an institution and not living in dormitories or similar accommodations should be excluded from the institutional population.

[42] For more detailed definition and specifications of *institutions* as a subset of *collective living quarters*, see paragraphs 4.453-4.455.

2.40. Persons living in hotels or boarding houses are not part of the institutional population and should be distinguished as members of one-person or multiperson households, on the basis of the arrangements that they make for providing themselves with the essentials for living.

4. Building

2.41. The building is regarded as an indirect but important unit of enumeration for housing censuses since the information concerning the building (building type, material of construction and certain other characteristics) is required for proper description of the living quarters located within the building and for the formulation of housing programmes. In a housing census, the questions on building characteristics are normally framed in terms of the building in which the living quarters enumerated are located, and the information is recorded for each of the housing units or other living quarters located within it.

2.42. A *building* is any independent free-standing structure comprising one or more rooms[43] or other spaces, covered by a roof and usually enclosed within external walls or dividing walls[44] that extend from the foundations to the roof. However, in tropical areas, a building may consist of a roof with supports only, that is to say, one without constructed walls; in some cases, a roofless structure consisting of a space enclosed by walls may be considered a building.[45]

[43] For the definition of *rooms*, see paragraph 4.482.

[44] The term *dividing walls* refers to the walls of adjoining buildings (for example, of row houses) that have been constructed so as to be contiguous.

[45] For a more detailed discussion of the definition of *building* and related concepts, see paragraphs 4.526-4.529.

2.43. In some countries, it may be appropriate to use the *compound* as a unit of enumeration, either in addition to the building or as a substitute for it. In some areas of the world, living quarters are traditionally located within compounds and the grouping of living quarters in this way may have certain economic and social implications that it would be useful to study. In such cases it may be appropriate, during the census, to identify compounds and to record information suitable for linking them to the living quarters located within them.

5. Living quarters

2.44. The principal units of enumeration in a census of housing are living quarters. Only by precise recognition of these identities can data be obtained that will provide a meaningful description of the housing situation and a suitable basis for the formulation of housing programmes and policies.

2.45. *Living quarters* are structurally separate and independent places of abode. They may (*a*) have been constructed, built, converted or arranged for human habitation, provided that they are not at the time of the census used wholly for other purposes and that, in the case of improvised housing units and collective living quarters, they are occupied; or (*b*) although not intended for habitation, actually be in use for such a purpose at the time of the census.[46]

[46] For a more detailed discussion of the definition of *living quarters* and of the concepts of separateness and independence as used in the definition, see paragraphs 4.428-4.429.

B. Place of enumeration

1. Concepts relating to the place of enumeration

2.46. In the context of the population census, a country may wish to enumerate all persons present in the territory and/or supposedly belonging to the population of interest. *Population to be enumerated* is the group of persons who the country decides should be covered by the census regardless of their later inclusion in a population count.

2.47. The place of enumeration would be either the place where the person is found or the place of usual residence of the person at the census reference moment. It should be ensured that each person should have only one place of enumeration. Countries should document the definition of place of enumeration that they have adopted for their census and also provide explicit instructions on how this definition should be applied at the time of enumeration to enumerators for use during an interview or to respondents when filling in self-administered questionnaires.

2.48. In general, *usual residence* is defined for census purposes as the place at which the person lives at the time of the census, and has been there for some time or intends to stay there for some time.

2.49. Most individuals enumerated have not moved for some time and thus defining their place of usual residence is unambiguous. For others, the application of the definition can lead to many interpretations, particularly if the person has moved often.

2.50. It is recommended that countries apply a threshold of 12 months when considering place of usual residence according to one of the following two criteria:

(*a*) The place at which the person has lived continuously for most of the last 12 months (that is, for at least six months and one day), not including temporary absences for holidays or work assignments, or intends to live for at least six months;

(*b*) The place at which the person has lived continuously for at least the last 12 months, not including temporary absences for holidays or work assignments, or intends to live for at least 12 months.[47]

[47] This approach is consistent with the Conference of European Statisticians Recommendations for the 2020 round of censuses. It is also consistent with what is recommended in the *Recommendations on Statistics of International Migration*, Revision 1, Statistical Papers No. 58, Rev. 1, (United Nations publication, Sales No. E.98.XVII.14).

2.51. Persons who move frequently and do not have a place of usual residence should be enumerated at the place where they are found at the time of the census.

2.52. Regardless of the criteria used to define the 12-month period, countries should ensure that each person should have one and only one place of usual residence.

2.53. There are various population groups for which some uncertainty may arise about their inclusion in the usual resident population. The following persons would generally be considered in the usually resident population:

(*a*) Persons found at the moment of enumeration that cannot identify their place of usual residence, such as those who move often;

(*b*) National military, naval and diplomatic personnel and their families, located outside the country;

(*c*) Foreign persons working for international organizations (not including foreign diplomats or military forces), provided that they meet the criteria for usual residence in the country;

(*d*) Merchant seafarers and fishers usually resident in the country but at sea at the time of the census (including those who have no place of residence other than their quarters aboard ship);

(*e*) Persons who may be illegal, irregular or undocumented migrants, as well as asylum seekers and persons who have applied for or been granted refugee status or similar types of international protections, provided that they meet the criteria for usual residence in the country;

(*f*) Persons who cross a frontier daily or weekly to work or study in another country, provided that they meet the criteria for usual residence in the country;

(*g*) Children born in the 12 months before the census reference time and whose families are usually resident in the country at the census reference time;

(*h*) Persons of minor age studying abroad for one year or more to attain the primary or secondary level of education, regardless of the frequency of return to the family home located within the country. If the person is also working abroad, the same rules for cross-border workers apply;

(*i*) Persons who regularly live in more than one country during a year, if they are present in the country at the moment of the enumeration.

On the other hand, the following group of persons need to be considered for being excluded from the usual resident population:

(*a*) Foreign military, naval and diplomatic personnel and their families, located in the country, regardless of their place of usual residence;

(*b*) Persons of minor age attending the primary or secondary level of education whose family home is located abroad, regardless of the duration of their stay. However, if these persons are also working in the country, then the identification of the place of usual residence follows the same rules as for cross-border workers;

(*c*) Third-level students who are absent from the country for one year or more;

(*d*) Persons who regularly live in more than one country during a year, if they are not present in the country at the moment of the enumeration.

2.54. The concept of usual residence may be referred to as though it is synonymous with the concept of de jure residence. In certain circumstances, however, the term "de jure" may carry with it a requirement that the person's residence at that place has a basis in the legal system applicable to that specific place. In turn this implies that people without such a legal basis should not be enumerated in that area. It is not recommended that censuses of population and housing enumerate only those people with a legal right to be in a place but rather, as described in section 2 below, should include either all those present at the place on census night or all those whose usual residence on census night was at the place of enumeration.

2. Operational issues relating to the place of residence and the place of enumeration

2.55. In a population census, information about each person can be collected and entered in the census questionnaire either where he or she is (or was) present on the day of the census or at his or her usual residence.

2.56. In compiling the census results by geographic areas, however, each person who is part of a household can be included in either (*a*) the household (and hence the geographic area) where the person was present on the day of the census; or (*b*) the household (and the geographic area) where he or she usually resides. The same should apply for the institutional population. This allocation is not necessarily dependent upon the place at which information was collected for the individual, but it can be simplified by the proper choice of a place of enumeration.

2.57. If a "present-in-area" population distribution is wanted, it is logical to enumerate each person at the place where he or she is (or was) present at the time of the census. If a distribution by usual residence only is required, it is more satisfactory to collect the information about each person at the person's place of usual residence. It should be noted, however, that it is not always possible to collect information about each individual at his or her usual residence, as, for example, when an entire household is away from its usual residence at the time of the census. Some provision must therefore be made for collecting information about such persons at the place where they are found at the time of the census.

2.58. With the growing need for information on households and families and on internal migration, it is becoming increasingly desirable to prepare tabulations on the basis of usual residence rather than on place-where-present, since the latter is often temporary and so is not useful for the investigation of the above-mentioned topics. It is comparatively simple to enumerate each person where-present on the day of the census and thus to obtain a present-in-area population distribution of the population. However, a usual residence distribution of the population is likely to be more useful for presentation and analysis of the resulting information than that of the present-in-area population during the enumeration.

2.59. If the objective is to obtain information on both the usually resident population and the present-in-area population, then either each person present in each household or institution on the census day or each person present and each usual resident temporarily absent can be enumerated at the appropriate household or institution. A clear distinction must then be made in the questionnaire, as applicable, between (*a*) persons usually resident and present on the day of the census; (*b*) persons usually resident but temporarily absent on the day of the census; and (*c*) persons not usually resident but temporarily present on the day of the census.

2.60. Depending on the categories of persons enumerated at any given place, information may then be collected on the usual residence (address) of those only temporarily present and on the place (address) at which each temporarily absent person can be found. This information can be used for the purpose of allocating persons to the household (or institution) and geographic area within which they are to be counted and of checking to be certain that no person is counted twice (namely, at both the usual residence and the place where present). The procedures to be followed at the enumeration and through the subsequent allocation of persons must, however, be very carefully planned and strictly adhered to if the allocation is to be accurate.

2.61. With the exception of mobile housing units (see discussion in paragraph 2.63), living quarters and buildings have a fixed location and therefore the place where they are to be enumerated does not have, therefore, to be considered in taking a housing census. Information on households, however, and the persons in households can be collected and entered in the housing census questionnaire either where they are (or were) present on the day of the census or at the usual residence. The procedure followed in the housing census should be governed by that adopted in carrying out the population census if the two censuses are carried out simultaneously. If the housing census is an independent operation, however, the procedure to be followed should be carefully considered since it may have a significant effect on the validity of the results of the housing census.

2.62. Where persons and households are allocated to the place of usual residence, they should also be allocated to the living quarters that they usually occupy. The living quarters that they are actually occupying at the time of the census should be counted as vacant if they are conventional dwellings, or they should be excluded from the census if they are non-conventional dwellings.[48]

[48] To be considered as living quarters, non-conventional housing units and collective living quarters are required to be occupied in order to be included in the census.

2.63. Mobile housing units represent a special case as far as the place of enumeration is concerned. They should be enumerated where they are found on the day of the census; however, in accordance with the procedure adopted for the allocation of the population, mobile housing units may also be allocated to the area where the occupants usually reside, provided that they are the usual living quarters of the occupants in the area of usual residence. Where they are not the usual living quarters of the occupants in the area of usual residence, the occupants will be allocated to their usual living quarters and the mobile housing unit will be excluded from the census.

C. Enumeration point of time

2.64. One of the essential features of population and housing censuses is that each person and each set of living quarters must be enumerated as nearly as possible with respect to the same well-defined point of time. This is usually accomplished by fixing a census "moment" at midnight at the beginning of the census day. This moment is the "census reference moment".

2.65. For the population census, each person alive up to the census moment is included in a census schedule and counted in the total population, even though the process of completing the schedule does not take place until after the census moment or even after the census day, and the person may have died in the interim. Infants born after the census moment are not to be entered in a schedule or included in the total population, even though they may be living when the other persons in their household are enumerated.

2.66. For the housing census, each set of living quarters that has reached an established stage of completion and is not scheduled for, or in the process of, demolition should be included in a census schedule and counted as a part of the housing inventory even though the process of completing the schedule does not take place until after the census moment or even after the census day, and the living quarters may have been scheduled for demolition in the interim. Living quarters that have attained the prescribed state of completion after the census moment are not to be entered in a schedule (unless special instructions are issued for recording living quarters under construction), nor should they be included in the total number of sets of living quarters.

2.67. Where the amount of time allotted for enumeration in the census is considered to be so long that the population is not likely to be able to supply information as of a single moment in the past, it may be necessary to employ different points of time in the enumeration, even to the extent of using the night before the visit by the enumerator. If such a procedure is followed, it should be clearly explained in the census report and the total duration of the enumeration should be stated. For ease of reference and for the computation of intercensal indices, it is useful to designate a single date in the enumeration period as the official "census date". This date could be, for example, the day by which half of the population was enumerated. This date is the "census reference (average) day" or, if reference is made to a period of time, the "census reference period". Another method could be to canvas the entire population before the census moment, and revisit every household within a fixed number of days immediately after the census moment to collect data on any changes that have occurred with reference to the census moment.

D. Time reference period for data on the characteristics of the population and of living quarters

2.68. The data collected about the characteristics of the population and of living quarters should be pertinent to a well-defined reference period. The time reference period need not, however, be the same for all of the data collected. For most of the data, it will be the census moment or the census day; in some instances (as is the case for current economic characteristics and rental arrangements), however, it may be a brief period just prior to the census or (as is the case for fertility questions, usual economic activity and information on the period of construction of the building in which living quarters are located) a longer period of time.

V. Legal basis

2.69. Legal authority for the census is required for regulating primary administrative responsibility, for obtaining the necessary funds, for determining the general scope and timing of the census, and for placing a legal obligation upon the public to cooperate and provide truthful answers, a legal obligation upon the enumerator to record the responses faithfully, and specific responsibilities upon other census field personnel at various supervisory levels. In addition, the confidentiality of the individual information should be strongly and clearly established in the census legislation and guaranteed by adequate sanctions so as to provide a basis for the confident cooperation of the public. In countries that lack permanent legal authority for the taking of periodic censuses, it is important to act early to establish ad hoc legal authority or, preferably, legislation calling for a system of periodic censuses.

2.70. The principle of conceptual and organizational flexibility should be observed in drafting the census legislation. The legislative provisions should ensure data security and confidentiality. However, the inclusion of provisions that are too rigid regarding the type of data to be collected or the structure and relationships of the various parts of the census organization is undesirable. Rather, necessary details should be contained in the census regulations promulgated by the census authorities. Moreover, provision may have to be made, in either the legislation or the regulations, for sanctioning the use of simplified administrative procedures, including the appropriate delegations of authority for the procurement of equipment and supplies and the recruitment of personnel during the operational phase of the census.

2.71. While the content of the census legislation will inevitably depend on national legal practices and procedures, as well as on the organization of the national civil service, the following components are usually represented: the purpose of the law; the coverage of the census; assigning the mandate for conducting a census to a specific institution; the purpose of the census; the obligations and rights of the citizens; the modes of financing the census; the organization of the census; administering the census; the rights and obligations of enumerators and supervisors; census data dissemination and exploitation; treatment of individual data; confidentiality and privacy of respondents and their data; and archiving.

2.72. A comprehensive and well-timed legislative framework is of utmost importance for ensuring the legality and authority of conducting the census itself. In the case of an ad hoc approach to the census legislation, that is, in the case where it is done before each census, it often also contains the census topics clearly spelled out, thus providing additional legal weight to the composition of the questionnaire and the content of the census.

VI. Financial management

A. Financial basis for censuses

2.73. A census is the primary source of data about the size and characteristics of the population; it provides a demographic profile of a country and is the basis for developing area sampling frames for use in surveys. A census, however, is usually one of the largest and costliest statistical activities that governments and their national statistical offices undertake. As a result, countries have been forced to delay or even cancel a census owing to funding constraints. Countries that have been able to secure partial funds or secure funds but at a late stage of their census preparation have been forced to compromise their data collection, data processing and dissemination of census results. It is therefore recommended that all census operations, including planning, cartography, enumeration, processing, analysis and dissemination, be budgeted from the beginning, and efforts be made to mobilize the required funds. Inflation should be taken into account, keeping in mind that duration has an impact on cost.

2.74. Hence, there is growing pressure to look into the solutions to census funding, taking into account the role of key stakeholders, namely governments and their statistical agencies, and the greater involvement of international donors and the private sector. Concurrently, cost-effective strategies need to be put in place that would reduce census costs without compromising the quality of census data.

2.75. It should be emphasized, however, that censuses cannot be carried out merely by national statistical and census offices alone. Rather, conducting a census should be seen as a national task involving all stakeholders. Thus, government departments, non-governmental organizations and private sector end users should be consulted at all stages to ensure the legitimacy of and need for conducting the census and, at the same time, to improve advocacy for sufficient funding. Although conducting a census is principally financed by the government, the census must be designed in partnership with all political actors so as to obtain their involvement in the census process. A high-level committee consisting of the government, the private sector and civil society, including non-governmental organizations, communities and donors, could be formed to discuss issues related to the cost and funding of the census.

2.76. National statistical and census offices need to advocate the importance of investing in censuses within their own governments. It is also important for the national statistical and census authorities to ensure continuous feedback and promote the use of statistical data from previous censuses, in order for users to recognize the importance of the population census as a source of vital statistical data and give their support. The possibility of cost sharing with other government departments, such as education and health ministries, should be further explored. These institutions could be supportive in providing logistics arrangements for the census, such as the use of existing infrastructure, transportation and communications facilities, and sharing of employees of other government departments.

2.77. Good planning is essential not only for achieving a cost-effective census (see paragraph 2.11) but also for securing comprehensive financial support for its funding. Technologies and methods that will be used in mapping, data collection and processing, questionnaire design and other activities must be decided upon in advance, as these have an influence on costs. Census planning must bring out the links between the various components, which will include types of resources (such as personnel, cost of stationery or printing) and tasks (including data collection and capture, data processing, and data management and dissemination). Cost tags must be attached to each of these components together with a justification. Experience from past censuses or similar activities must be considered when estimating costs for the next census. Where multiple modes of data collection and new technologies are being used for the first time, these must be tested for data quality and cost implications.

2.78. For each stage of the census the costs must be optimized. A careful choice of the appropriate technology will greatly assist in this. Recent advances in technologies throughout the census process, such as digital mapping, computer-assisted or Internet data collection, scanning, data processing and data management and archiving, and census data analysis and dissemination, may be of assistance in achieving significant reductions in cost (or doing more within the same cost). In addition, the proper selection and use of such technologies will speed up the computation of results and enhance their preservation. However, the choice of technology should be made only after carefully evaluating the costs and benefits of possible options. Some potential risks to canvass include the following: some approaches only become cost-effective for large operations; some are dependent on expensive and scarce inputs (for example very high-quality satellite images or paper for scanning); some are dependent on services that may not be available throughout the country (for example Internet access); and others require significant investments in high-quality computers and upfront investment in human resources. The options examined in the cost-benefit analysis could incorporate consideration of leasing (rather than purchasing) equipment or sharing it between countries that are undertaking censuses at convenient times.

2.79. Outsourcing to the private sector could be considered as another cost-saving option, particularly in the context of publicity or for systems development for data collection, processing and dissemination. Outsourcing can contribute technical expertise or resources not readily available within the national statistical office.

2.80. It is anticipated that international donors will continue to play a pivotal role in helping to fund census costs in many countries. Technical cooperation and assistance from international agencies have also contributed greatly to the success of censuses in many countries. It is worth noting that a population and housing census has some intangible positive values. It is an opportunity for mobilizing the whole country and reaching even the most remote corners of it. In the life of many citizens, a regular census is often the only time that the State reaches out to them and asks them some questions. Successfully conducting a census is a matter of pride in many countries and a welcome opportunity to recruit a massive labour force and generate jobs and train people in valuable tasks (such as data entry) or in other ways to add to the national infrastructure.

2.81. In general, population and housing censuses are exclusively the responsibility of national governments and structures; this is particularly true for funding the census. Thus, all activities related to funding need to be elaborated, documented, justified and presented to all stakeholders in a transparent and comprehensive manner.

B. Budget and cost control

2.82. While no universal system of census budgeting and cost control can be suggested since financial practices vary greatly among countries, a few generally accepted principles can be noted. First and foremost, effective planning and control of the various census operations are not possible without a very careful financial estimate of the cost of each census operation, including all of its components, no matter how small. It is recommended to draft a detailed list of activities related to censuses and, as much as possible, to draft the budget in such a way that it corresponds to this list of activities. Second, it is critical for this census plan and budget to be presented by national statistical and census agencies to their respective governments with adequate lead time, to facilitate the appropriation of sufficient resources from national budgets or, where required, from the international development community. Moreover, funding of the census must be accompanied and developed on a sound and adequate legal basis if effective national census operations are to be enabled.

2.83. Information on expenditures from the previous census, classified by census phases, starting with the expenditure for different elements of the preparatory work and ending with expenditure for the dissemination of the census results, provides an important basis for estimating the budget of the census. Figures from the previous census will of course have to be reviewed and modified in order to take into account quantitative and qualitative changes in hardware and software, changes in wage rates and the costs of equipment, supplies and so on, planned changes in census content, methods and procedures, and anticipated changes in the population itself (for example, total size, percentage urban, and average household size), all of which may affect the cost structure of the census. In most countries, several cost elements tend to increase (for example, wage rates and the size of population) so that there is considerable pressure to achieve economies in other items of the census budget.

2.84. The census offices need to implement transparent accounting procedures and financial management systems to ensure speedy disbursement of funds, proper receipting of expenditures and an efficient audit. This would enable prompt release of periodic allocations of census funds by national governments. A clean outcome from a financial audit adds credibility to the census process so that the government and civil society are more likely to accept the final results.

2.85. In the case of external or donor funds, the required conditions should be established well in advance by discussion between the donor and the national statistical or census office. This will avoid delay in the release of such funds for census operations.

2.86. Control measures and monitoring systems must be developed for cost-effectiveness. Activities to be outsourced must be clearly defined and contracts for outsourcing should be well prepared with clear deliverables and timelines.

2.87. For planning the costs of a census, detailed and precise data will be required on the following: (*a*) number and cost of census staff classified by function and manner of payment; (*b*) type of equipment and material used for the census, manner of acquisition (purchase or rental) and cost; (*c*) office space (surface measurement), classified by use and type of cost (that is, for construction or for rent); and (*d*) type of services used for census operations. The usefulness of the above information would be enhanced if the information could be recorded by source of funding, in other words, in terms of whether the expenditure has come from (*a*) the official census budget; (*b*) other funds of the census office (for example, a regular annual budget not specifically intended for census purposes, or general funds of the governmental agency or department of which the census office is a part); (*c*) other parts of the government; (*d*) non-governmental organizations; or (*e*) international donors. This information is needed not only for fiscal planning and control but also in order to examine the trade-offs in terms of costs and benefits among alternative ways of carrying out various census operations. Although cost experience from a previous census in a country may provide useful experience for planning the next census, much more caution should be exercised in using the cost parameters from other countries. Differences in census content, organization and operations, as well as in cost accounting, can introduce serious incompatibilities into such country-to-country cost comparisons.[49]

[49] See United Nations Economic Commission for Europe, *Measuring Population and Housing: Practices of UNECE Countries in the 2010 Round of Censuses* (New York and Geneva, 2014).

2.88. It is important that the persons at the administrative and supervisory levels who will be responsible for the execution of each operation participate in estimating the budget items. Such an organization of the work presupposes detailed advance planning and "cost consciousness" on the part of those responsible for a census.

2.89. The census plan as executed will certainly change in a number of respects after the making of the original calculations. Consequently, a perfect correspondence between the estimates and the final costs is not to be expected. Changes in the prices of major components of census costs should be monitored on a regular basis with either the census budget adjusted accordingly or the census plans modified. Indeed, the development of the census budget is

usually an incremental process in which rough initial estimates are replaced by more detailed and precise statements of resource requirements. Throughout the period of census taking and compilation of census results, the budget will have to be re-examined and performance compared with plans. With detailed information on expenditure, the governmental and census authorities will be better able to exercise control over keeping the development of census operations within the census budget and to assess and control the effectiveness and efficiency of these operations. This information is also very useful for studying possible improvements in census techniques and census methodology.

2.90. As with any project, particularly ones as large and complex as the census, it will not go according to plan and there will be difficulties. Accepting this at the outset and making sure there are arrangements in place to deal with delays, changes or other unforeseen issues is essential. In particular, there must be resources set aside to enable such issues to be dealt with quickly. Therefore some contingency funding should be included within the overall costs of the census, and some controls put in place to monitor and allocate the contingency pot. Different methods exist for estimating the cost of the contingency budget, such as risk modelling, but a good starting point might be to allocate a percentage of the annual budget (say 15 per cent) each year for such contingency.

VII. Administrative organization

A. Overall overview

2.91. In planning the organization and administration of a census, it is important to consider the role and relationship of the various executive and advisory organs. National, subnational and local commissions and committees are frequently useful in the planning and preparations of a census. Such bodies may be composed of representatives of governmental agencies, community leaders with due representation to all sections of society, and non-governmental users of the census data, particularly those involved in policy-oriented analysis of census results and analytical studies of the social, economic and demographic situation of the country. This ensures broad-based and complete participation of the people to enable proper canvassing of sensitive issues such as ethnicity, gender, disability, migration, and marginalized groups. It is important, however, that their advisory and promotional functions be clearly defined and that the final responsibility for planning and execution rest with the executive agency.

2.92. There are well-documented and proven advantages in having an office continuously responsible for census work established as an integral part of the statistical system of a country. Such an office assures continuity in census work and is the principal centre for the formulation of the programme and the initiation of preparatory work for the next census. Its permanence permits the development of specialized and experienced personnel and the maintenance of statistical and cartographic information, including cross-cutting issues such as information technology, essential for planning the next census.

2.93. At the pre-enumeration stage, the census office will need to be expanded to form the nucleus of the full census organization, which must be capable of directing the field organization during the preparatory work as well as during the enumeration and processing. In order to provide immediate supervision in each area, field offices at various levels are needed for the later part of the preparatory work, including staff recruitment and training, as well as for the enumeration period. Supervisory personnel in such offices should be persons who, being familiar with the particular area and the local language, are able to deal with local problems. This does not mean, however, that all supervisory positions need necessarily be filled by persons from the

area. Personnel may be transferred from the central office or from other areas as the need arises. Prior training of all such available personnel is necessary, so that they have a working knowledge of all aspects of the current census programme. An essential part of the preparatory work is local administrative planning, which would set out the likely problems and challenges specific to the local area and how they are to be dealt with. Adequate coordination with local public authorities is always important so that the enumeration work is not interrupted due to other activities.

2.94. Subsequent to the enumeration, the census organization is usually readjusted to meet the needs involved in compiling, evaluating, analysing and publishing the results and to provide the continuity desirable for promoting the continued use of census materials. Census organizations need to pay special attention to continuity of knowledge and skills from one census to the next, since the intervening gap, which is usually a whole decade, is likely to cause loss of institutional memory and attrition of qualified personnel. Comprehensive documentation of census activities while they are being carried out is essential, as is training of younger personnel to create a pool of knowledgeable and experienced persons by the time the next census comes.

B. Statistical leadership

2.95. The period of preparation for the population and housing censuses represent a unique opportunity to exercise leadership in promoting the use of statistics in overall development of societies, with the focus on improving service delivery and policy development. Statistical leadership needs to be built and should rely on international standards and guidelines, such as the *Fundamental Principles of Official Statistics*,[50] on national statistical legislation and on the national statistical code of ethics.

[50] Adopted by the Economic and Social Council of the United Nations, available from http://unstats.un.org/unsd/dnss/gp/fundprinciples.aspx.

2.96. An important role of the head of the national statistical office or statistical agency responsible for census undertaking is to ensure a successful census programme that delivers results for use in evidence-based policy development, evaluation and research, and decision-making. It is therefore recommended that heads of national statistical offices or statistical agencies responsible for census undertaking drive the following activities:

(*a*) Establishing statistical legislation that mandates the undertaking of a census;

(*b*) Setting policy and strategy by defining targeted outputs and outcomes for the programme;

(*c*) Strategic engagement with stakeholders by mobilizing participation across government, business and the public at large;

(*d*) Raising the profile of and commitment to use statistical information, providing an opportunity for engagement on key policy issues and strengthening relationships between information providers, policymakers and opinion leaders;

(*e*) Adhering to the Fundamental Principles of Official Statistics and ensuring best practice is embedded in statistical procedures;

(*f*) Aligning to international standards and frameworks;

(*g*) Establishing statistical infrastructure and resources for undertaking the census;

(*h*) Setting up the census management project structure.

2.97. Preparing and conducting a population and housing census offers the opportunity to exercise statistical leadership by promoting official statistics and their use for development at all levels of society. As the census usually takes place only once in a decade, there is a need to carefully take advantage of this event in terms of exercising statistical leadership to the fullest extent possible under the understanding that statistics are numerical facts for statecraft.

VIII. User consultation, communication and publicity

2.98. A comprehensive programme of communications for a population and housing census covers three distinct audiences: (*a*) major users of census data, (*b*) persons and institutions participating in the census operations and (*c*) the general public. Since the census is a national activity that is completely dependent for its success upon the wholehearted cooperation and assistance of the general public and many governmental and local organizations, the entire communications effort should be developed as a coordinated activity in close conjunction with the other substantive preparations for the census. These communications activities are valuable not only for informing others about the census but also for providing census authorities with early and continuing information about the reactions to census plans and activities of the general public in various parts of the country and of key persons, groups and institutions.

2.99. Consultation with users of census data on topics, on definitions and, particularly, on planned tabulations and other outputs and the development of the census database is an indispensable step in the preparations for the census that should be taken early. These consultations will assist the census authorities in planning for a census that, within the resources available, is as responsive as possible to user needs in terms of the collection, processing, tabulation, storage and availability of meaningful statistics. Such consultations can also serve to foster a wider and more informed understanding of and support for census plans and activities. The users to be consulted should be from governmental departments, ministries, universities and other research institutions, the private sector and other organizations (or individuals) representing the economic, social, educational and cultural life of a country. Many countries will want to include in the groups to be consulted organizations or bodies representing ethnic communities, religious and faith groups, persons with disabilities, housing associations and those agencies with particular interests in catering to the homeless. Other key stakeholders may include partners with whom the census office collaborates for the provision of specialist services, and donors who may help fund elements of the census operation.

2.100. Taking into account the importance of the census in providing data for local planning and administration, it is also often advisable to have consultations with users in provincial and local governments and institutions in various parts of the country. Particularly in large countries or countries where the provincial or local governments have a comparatively high degree of autonomy, consultation with users at the subnational level is essential if the full potential of the census is to be achieved. Strategies should be chosen according to the target group.

2.101. The consultation process can take many forms. If done in the form of meetings, it is often more useful to hold separate consultations with different types of users with common interests, such as administrators, policymakers, planners, demographers, researchers, users in the business community and so forth, rather than a simultaneous consultation with all data users. Consultations involving different types of stakeholders in the same setting frequently prove frustrating to participants because there are substantial differences among users in their technical background and in their concern with the details of census content and operations.

2.102. Meeting data users is very informative but imposes physical and budget limitations. Broad consultation can be implemented on the website of the census office or government. The strategy can be used both to collect suggestions from users and also to provide transparency in the census preparation activities. Other forms of technology can be considered to hold decentralized or remote consultations. Users may be sent an electronic questionnaire to collect their priority information requirements, or invited to complete the questions online.

Social media may need to be taken into consideration in this respect, as they reach a substantial number of users.

2.103. In order to complete the preparatory work for the census and to carry out the census enumeration itself, the census office will have to expand its staff substantially. In addition, numerous governmental and non-governmental organizations outside the census office may be called upon to provide personnel, equipment, supplies, space, transportation or communications facilities and so on to help in the census work. As a result, large numbers of temporary personnel will have to be trained (see paragraphs 2.119-2.124) and the contributions of a diverse group of national and local organizations will have to be effectively mobilized. A well-planned communications programme can contribute to both efforts.

2.104. An effective communications strategy, together with far-reaching publicity and information campaigns, play an essential role in ensuring the success of the census. This is especially so for those countries adopting a field enumeration methodology, either wholly or in part, where the general public is expected to actively participate in the census activities as respondents and, possibly, as temporary employees either as part of the field staff or in the data-processing operation. Particularly in the case of countries that undertake a significant field operation, public acceptance and cooperation is essential to ensure the success of the census. A large-scale publicity and information campaign is recommended to inform the population of the census and to explain its purpose. Implementation of the publicity programme is best undertaken by experts in the field of public relations, advertising and sociology. Such expertise is frequently not found within the national statistical office itself, and it may therefore be appropriate to outsource some or all of this work. The publicity programme may include:

(*a*) A public relations campaign;

(*b*) A community liaison (or outreach) programme;

(*c*) An advertising campaign;

(*d*) Monitoring of public opinion;

(*e*) Media relations, including monitoring of the mass media.

2.105. There are several main messages that census agencies will need to communicate to the public in order to maximize outcomes for the census. Census publicity campaigns should encompass a wider set of messages, whose components might include (*a*) making the public aware of the census; (*b*) educating the public about the benefits (to them and to the country) of the census; (*c*) reminding people about their legal obligation and duty to take part in the census; (*d*) explaining to the public what to do and when; (*e*) informing the public that privacy and confidentiality will be protected; and (*f*) expressing thanks to the public for taking part in the census. Care is necessary in finding the correct balance between these different messages. For example, an overemphasis on the obligatory nature of the census may serve to reinforce negative perceptions that the census is an imposition by the State on the population, rather than an activity for the common good.

2.106. Publicity for a census operation entails an educational campaign, the purpose of which is to enlist the interest of the general public and its cooperation. The aims, as a general rule, are not only to dissipate any anxiety regarding the purposes of the census but also to explain the reasons for the various questions in the questionnaire and to offer some guidance as to the manner in which these questions should be answered. The publicity campaign may also be an important tool for increasing the completeness of census coverage, particularly among hard-to-enumerate groups. It is desirable that planning for the general publicity campaign should start as soon as the census is authorized. The campaign itself should be closely synchronized with other census activities and full-scale publicity should not begin too far in advance of the date on which enumeration is scheduled to start. Plans for the publicity programme should

be closely coordinated with those for the census tests (see paragraphs 3.110-3.114). The programme will have to provide the publicity needed to carry out the census tests. In addition, the programme can use these tests to study the impact of alternative publicity materials and methods. If either the cartographic or house-listing operations require extensive fieldwork and widespread contacts with the public, it should be recognized that personnel involved in these activities often provide the public with its first impression of the census. Training and publicity programmes should take this factor into account.

2.107. The general campaign should be directed to all sections of the country and all segments of the population through the use of all available publicity media, with special emphasis on the use of contemporary Internet-based social media. The general campaign may be supplemented by a number of specialized campaigns aimed at specific segments of the population to sensitize on specific subjects, such as gender, migration, ethnicity and disability, in which the quality of response may depend on the level of prior sensitization in the general public. In multilingual countries, creating campaigns in the local languages is crucial. Apart from national and local mass media, such as newspapers, television and radio, the use of interactive media, such as a toll-free helpline, social media such as Facebook and Twitter, short messaging service (SMS), multimedia messaging service (MMS) and local events where the public can participate, go a long way towards improving public awareness and building trust.

2.108. Disseminating information about the rationale of the census and its utility helps alleviate possible misconceptions among the general public, thus increasing participation and coverage. Media advisories issued by the statistical office will usually be widely covered by the media at no cost. Outreach campaigns involving different organizations and enlisting the support of local leaders and opinion makers to spread the word about the census in their area of influence is also a good strategy. In addition to recruiting such organizations and leaders as partners, the census organization may develop key messages, web buttons, posters and other material to support them in their activities. The use of publicity may also be considered to support the recruitment of field personnel.

2.109. Many countries successfully develop a census "brand", including a logo and slogan. A simple but effective slogan and distinct logo can be used in all national and local advertising campaigns and in all types of media, booklets, posters, brochures and souvenirs. The slogan and logo should be memorable and positively perceived. A slogan and logo that are well recognized from the initial stages of the publicity campaign may serve to improve "brand recognition" for the census. The aim should be to encourage the respondent to feel more reassured that the census is an inclusive and beneficial activity.

2.110. Special attention is often given to identifying and targeting hard-to-reach population groups in order to ensure consistent levels of response across the country. In essence, the aim of these is to engage, educate, explain and encourage, and (if necessary) to enforce participation. Students (particularly older students living away from home), young men (particularly those in urban areas), older persons, the infirm or persons with disabilities, and recent immigrants are among population groups that are generally hard to enumerate. Other groups that may need to be specially targeted included the homeless, people with literacy and language difficulties, and inhabitants of inner cities and dense urban areas.

2.111. In rural areas, weekly markets, fairs and public festivals are a good opportunity to publicize the census message among people who may not have much exposure to mass media. An excellent opportunity exists to create widespread awareness of the census through a campaign targeted at schools. Other kinds of local-level publicity, such as wall writing and village announcements, can be planned according to local circumstances.

2.112. Census organizations should monitor public opinion and the mass media to assess the effectiveness of publicity campaigns. Public opinion could be monitored through surveys that can provide information on public attitudes to the census. Monitoring of mass media involves an analysis of mass media publications concerning the issues of the census, and particularly the extent to which different population groups have been targeted. It is an ongoing accumulation of information, detection and prevention of the development of negative published comments on the census, and preparation of adequate answers to negative reports and information. Increasingly the media has a significant influence on people's behaviour and even minor distractions and mistruths can have a detrimental effect on the outcome of the census. Therefore, in developing their publicity campaigns, national statistical offices should give particular attention to preparing for unexpected events (such as negative attitudes, malicious lobbying, technical difficulties, delays and misleading information). It is also recommended that all official participants involved in census operations know their roles in the communication process both with the media and with the public at large.

2.113. An integral part of census communication and publicity is informing key census data users and the general public about the availability of the census results and their utility (see paragraphs 1.19-1.37). Awareness about census data and utilization should be done during the intercensal period before the commencement of the next census. This is to make sure that the public recognizes the importance of the census and appreciate statistics that are generated from it. It is critical that such communication strategies be developed as an integral part of census planning and not left as an optional add-on. It has been the experience of quite a few countries that the engagement of professional media and communication personnel adds value to the campaign.

IX. Census calendar

2.114. An indispensable element in the planning of a census is a calendar or timetable indicating the sequence and estimated duration of each of the component operations of the census. At the early stages of census planning, a provisional calendar of selected key dates should be prepared as an overall framework for the census. The calendar must be shared with stakeholders in advance for advice and support. The calendar should be revised and made more detailed as planning proceeds, with the aim of establishing final dates as soon as practicable.

2.115. Such calendars are essential, since they indicate the dates on which each of the numerous operations that make up a census are to be started and completed, and they serve as a guide for measuring the progress of each stage of the census operation. Serious delays in work, or errors in time estimates, can be detected by comparing the calendar target dates with the actual dates of each operation. A census calendar is a very efficient instrument not only in the timing control of each census operation but also in the control of the complex of all census operations that are interdependent. Therefore, when modifications in the census timetable are necessary, all related operations should be taken into consideration in order to avoid disruptions in the whole census programme. Obviously, the time schedule will differ for each national census depending upon the general census plan and the resources that are available.

2.116. The census calendar usually shows the various operations grouped into three broad sectors: (*a*) pre-enumeration, (*b*) enumeration and (*c*) post-enumeration. The last-named sector includes evaluation and analysis as well as processing and dissemination. The basic date on which the census calendar and the scheduling of all other operations hinge is the starting date for the general enumeration of the population. For purposes of control, many operations that in fact overlap are shown separately in the calendar. Census calendars sometimes take the

form of a chart or graph, in addition to a detailed checklist of operations. Project management software may help in the preparation of the census calendar.

2.117. In establishing the census calendar, it is necessary to consider the relationship of the population and housing censuses to one another as well as to other statistical projects or other large-scale national activities. Although a joint population and housing census operation is likely to constitute, for the period of its duration, the major statistical undertaking of the government, care should be taken that it does not interfere unduly with the other regular statistical activities that may be going on at the same time. A balanced statistical programme should avoid having too many simultaneous competing enquiries, which might place too heavy a burden on the statistical services and on the public, with a possible resultant loss of both administrative efficiency and public cooperation.

2.118. It is often useful to draw up a comprehensive diagram showing the sequence, interrelationship and timing of all the various steps in the census programme—a Gantt chart would be a good example.[51] This type of analysis often reveals the consequences of a delay at one step in terms of delays at other steps in the programme. It can therefore be a useful instrument against which the actual progress of census preparations may be compared. Indeed, some countries have attempted to use such critical path analyses not only as an aid to census planning but also as a tool for the ongoing management of their census operations. In these instances, it is essential to establish procedures for revising the critical path analysis in response to actual progress. It should be stressed, moreover, that the usefulness of such devices depends on how soundly they are designed, applied and understood. Project management software can be useful in linking the diagrammatic structure of census operations with information about nodes or centres of responsibility for individual broad or detailed operations so as to control the chain of responsibility. Alternatively, event calendars can provide a broad view of the steps of the census programme and allow follow-up. Different tools can be found on the Internet for download or online use. Online versions allow immediate update and make it easier to work in a group, but are dependent on Internet access. Other tools, commonly referred to as groupware and collaboration software, as well as Internet and social media forums, can support census operations by providing an environment for exchange of information, files and data among dispersed teams.

[51] The Gantt chart was developed around 1910 by Henry Gantt of the United States, based on the work of Karol Adamiecki of Poland. It is a type of bar chart that illustrates a project schedule and is available in a number of office software packages.

X. Human resources management

2.119. Early arrangements are necessary to secure the proper number and type of personnel required for each of the various census operations. For reasons of efficiency and economy, it is important that the staff be selected on the basis of competence. Consideration may also be given to the use of the same staff for successive operations, thus reducing the turnover of personnel. While the preparatory and processing work generally calls for office employees possessing or able to learn certain specialized skills (cartographers, coders, data entry operators, programmers and so on), the enumeration stage usually demands a large number of persons capable of going to their assigned urban or rural enumeration areas and collecting the information according to specific definitions and instructions. The number of enumerators required being quite high compared to normal staff strengths, and the period for which their services are needed being rather short, the method of recruiting them needs to be worked out carefully in advance to facilitate quick, simultaneous and transparent hiring, and subsequently compensating them and relieving them of their duties promptly and efficiently. Consideration should be given to computer skills if electronic means of enumeration are going to be used. It is essential that the enumerators and, to the extent possible, their immediate supervisors be conversant with the languages or dialects of the area in which they will be

working. In addition, attention should be paid to physical fitness, ability to read maps and communication skills in general. It is only prudent to recruit and train sufficient reserves to take care of any attrition that may occur in the process.

2.120. Once the cartographic preparations are substantially complete and the questionnaire has been sent for printing, perhaps the single most important means that the census authorities have for influencing the success of the census is the training programme. The contribution that a well-planned and executed training programme can make to the quality of the census results cannot be stressed too strongly. Such a training programme must of course focus on the widely dispersed and difficult-to-supervise field staff (namely, the enumerators and their immediate supervisors) but it must also cover others (for example, the higher-level supervisors, editors, coders and computer operators). Giving all office employees who are working with the census preparations a brief, uniform basic training on all aspects of the census has two prime advantages: first, all personnel understand the importance and the context of their part of the task; and second, since they are conversant with the basics, they can be swiftly deployed in the field for supervision or coordination during the actual census operations whenever and wherever needed.

2.121. The entire census training programme should be designed to cover each phase of the work and provide an efficient and consistent means of effectively equipping large numbers of fresh employees with the necessary skills. The programme will need to correspond closely to the needs of the various operations and, where appropriate, may include both theoretical and practical instruction, with emphasis on the latter. In the case of the enumerators and their immediate supervisors, the training is most effective if it includes several opportunities for the trainees to participate in practice interviews and role-playing exercises, including the use of adopted IT solutions, if any. In countries in which multiple languages are used, the method and content of the enumerator training programme will need to be suitably adjusted. For example, if the questionnaire is printed in another language, provision will have to be made for instructing enumerators on the correct formulation of the census questions in the vernacular. Enumerators and supervisors should be trained as close to the field operations as possible so as to avoid recall lapses. This leaves very limited time for conducting the training. Therefore, the logistics need to be worked out carefully in advance. The training programme for editors, coders, operators of data recording equipment and so forth should also provide opportunities for the trainees to practise under the supervision of the trainers. The intermediate- and higher-level technical staff, such as programmers and system analysts, should also be given special training with emphasis on recent technical developments of relevance to the forthcoming census and on the interrelationships among the various aspects of census plans and operations. Thorough training in census practices is an extremely important component of quality assurance. Detailed and clear documentation of instructions with appropriate illustrations is a basic requirement in this regard. A proper training methodology and a variety of training aids would go a long way in enhancing the training effort.

2.122. The organization and conduct of training courses should be entrusted to those having the necessary qualifications to carry out this task successfully, taking into account not only their professional abilities but also their ability in teaching. This means that staff in charge of training should have certain qualifications that will enable them to stimulate the interest of trainees and to transfer the required knowledge, since otherwise well-qualified technical personnel who are unable to transfer their knowledge to the trainees in a satisfactory manner will be unsuitable as instructors for group training activities. This must be taken into consideration when selecting instructors, and it is recommended that objective criteria should be used. In practice, however, it is difficult to find the necessary number of instructors who have both the professional and the teaching qualifications; for this reason, the instructors selected should themselves undergo training in how to organize and conduct training courses. The

use of professionally designed training guides can add immense value to the training effort. The involvement of experienced professional experts in the design and delivery of training programmes is also very useful. It should however be noted that the content should be the responsibility of the census authorities and not that of outside experts.

2.123. It is important that training manuals for each training programme are made available to the census organizers and training instructors. Such a manual would be a valuable guide and would help considerably in the efficient training of census staff. It would also contribute to the uniformity of training, which is an essential factor for a successful enumeration, taking into account the great number of census instructors who will be engaged in training. Simple audiovisual aids (for example film strips, posters, compact disk recordings) can also be used to help make the training more effective and uniform throughout the country. If available, new multimedia technologies can facilitate the provision of training at distant locations (distance learning) and be effective and efficient supplementary tools for training. Standardized training may also be provided in e-learning format on the Internet and on handheld devices.

2.124. It is very important to determine the time required to train staff for the various aspects of the census. This depends on several factors, such as the task for which they are being trained, the complexity of the content, the educational level of trainees, the number of instructors available and the funds available. Apart from fixing the number of days for training, it is also important to allocate appropriate time for each subject. Drawing up lesson plans for each session of training is an effective way of ensuring that all subjects are covered, with the right amount of time being devoted to each.

XI. Logistics management

2.125. A population and housing census differs in many respects from other statistical operations. It requires efficient communication between many different components, including the procurement operation and storage of a large variety of items, most of which have to be distributed to all geographic areas of the country and then recollected.

2.126. Logistics management is a process of planning, implementing and controlling the flow of census materials and equipment needed for implementation of census operations. Logistics planning requires careful coordination between different phases of the census operation, such as mapping, training, field enumeration, data processing and dissemination. The scope of the logistics programme usually differs from one country to another, but mostly covers the following activities: (*a*) renting central and field offices; (*b*) installing furniture and equipment; (*c*) providing help desk support; and (*d*) delivering and collecting all census materials, including manuals, questionnaires and publicity materials.

2.127. National statistical offices may need to establish a special team for planning, implementation and controlling the logistics programme. The functions of this team should be clearly determined in order to avoid overlap or omission of any activity. During the planning phase of the logistics programme, outsourcing of some activities should be carefully examined as an option.[52] In the context of census logistics, procurement plays a particularly important role throughout the whole exercise.

[52] For a detailed discussion on outsourcing of census activities, see paragraphs 2.140-2.154.

A. Procurement management

2.128. Developing a strategic approach to procurement is another particular element for successful implementation of a census operation. Taking into consideration the complexity

of the process, procurement planning requires logistical coordination with multiple census activities and counterparts. Proper planning contributes to efficient procurement processes and reduces the risk of confronting problems that may lead to additional costs and delays. Procurement planning is a complicated exercise and emergency work and last-minute operations are usually unavoidable. However, the benefits of procurement planning early in the census operation usually outweigh the disadvantages.

2.129. In the context of censuses, procurement planning entails the process of assessing and projecting the procurement needs of census operations. Needs assessment, cost estimation and requirement definition are the first steps in the procurement process, and are essential components in procurement planning. The purpose of requirement definition is to identify the precise needs of the census operation and to search for the best solution to meet those needs. The needs must be described in the requirement definition in a way that will facilitate the procurement process. The requirement definition is often done in parallel with supplier sourcing and market research in order to let information from the market research influence the requirement definition.

2.130. Procurement practices vary greatly among countries; therefore, no universal system of procurement management can be suggested. However, a few generally accepted procurement principles can be noted. First is the principle of *best value for money*. Best value for money represents an optimal combination of technical and financial attributes—that is, the balance between price and performance that provides greatest overall benefit under the specified selection criteria. This does not necessarily mean selecting the lowest initial price option, but rather represents the best return on the investment, following a proper evaluation of offers under appropriate criteria contained in the solicitation documents. It requires an integrated assessment of technical, commercial, organizational and pricing factors in light of their relative importance. Best value for money can include non-cost factors such as fitness for purpose, quality, service and support, as well as cost-related factors such as price, life cycle costs and transaction costs associated with acquiring, using, holding, maintaining and disposing of the goods or services. The principle of best value for money should be applied throughout the procurement process in order to attract the offer that most effectively meets the stated requirements of the census operation.

2.131. Second is the principle of *effective competition*. Effective competition is best explained as a situation in which at least three independent contractors acting on their own (that is, not in collusion with each other) effectively compete for the same business opportunity and each submit a responsive bid. The procurement processes should foster effective competition as a means of ensuring fairness, integrity, transparency and achieving best value for money. The competitive process should, as necessary, include (*a*) procurement planning for developing an overall procurement strategy; (*b*) market research for identifying potential suppliers; (*c*) consideration of prudent commercial practices and applicable national regulations, rules and procedures relating to procurement; and (*d*) formal methods of solicitation, utilizing invitations to bid or requests for proposals on the basis of advertisement or direct solicitation of invited suppliers; or informal methods of solicitation, such as requests for quotations.

2.132. Another important principle is *fairness*. The manner in which the procurement process is carried out must give all stakeholders the assurance that the process is fair. The concept of fairness includes that the procurement process should be free from favouritism, self-interest or preference in judgment. The assurance of a fair process promotes *transparency*, a principle that ensures that timely information about existing conditions, decisions and actions relating to procurement activities and about procurement policies, procedures, opportunities and processes are clearly defined and made known simultaneously to all interested parties. A transparent system has clear rules and mechanisms to ensure compliance with those rules.

A transparent system of procurement further ensures that procurement records are open, as appropriate, to inspection by auditors. In line with the procurement principles of transparency, every step in the procurement process should be documented and kept on file, preferably electronically as well as in hard copy.

B. Forward and reverse logistics

2.133. The type of census materials would differ depending on census methodologies and technologies used for enumeration and data processing. However, any kind of materials related to fieldwork has to be supplied to the field staff and returned. Strategies for distribution and return of materials should be carefully planned according to the type of materials, volume and final destination of delivery.

2.134. As a first stage in this process, decisions must be made concerning the nature and responsibilities of the centrally controlled distribution and return operation. For example, a decision should be made about what geographic levels the materials will be distributed to—regional office, local census committee, supervisors or other. These decisions must be made by countries, keeping in mind the impact of the amounts of material to be transported, the transport available to field staff and the condition or existence of roads or other means of transport. Once these decisions have been made, the key inputs to the dispatch and return of materials are as follows:

(*a*) Workload estimates from the mapping programme to establish packing volumes for transport requirements;

(*b*) Name and address details for delivery and pickup points.

2.135. During the design of enumeration areas and mapping activities, an estimate will be made of the number of enumeration areas, and the amount of work in each. This information can be used to calculate how much material will be needed by each enumerator, supervisor, manager and so on. This method should provide a more accurate estimate of the total volume of all the materials.

2.136. The majority of these tasks are usually carried out under contract by a government transport service or commercial operator. The contractor will use specifications and consignment details provided by the national statistical offices. If the volume is small, the postal service may be a feasible method.

2.137. A significant task in planning field operations is establishing the specifications for the packing and transport of materials. These specifications need to be developed regardless of whether these activities are carried out by the census agency itself or contracted out to another government agency or private company.

2.138. The role of the national statistical authority with regard to dispatch and return tasks is primarily one of liaison and monitoring. For the most part, the contractor will contact regional managers and supervisors directly about the delivery or pickup of material. The national statistical authority can expect to be involved as a liaison between the contractor and field staff in the early stages of the operation or if there are any particular problems experienced by either field staff or the contractor. The national statistical authority management staff should meet frequently with the contractor to discuss the operation and liaison arrangements. Part of the planning of the operation will include arrangements to enable the national statistical authority's management staff to monitor the delivery and return of materials. In particular, when material is picked up from supervisors, the national statistical authority's management staff should maintain a close watch over what is taking place in the field as the transport of completed census forms is involved.

2.139. Distribution and collection of census materials can be monitored through use of a management information system (see paragraphs 3.145-3.146). Timely information can be produced about the progress in delivering census materials and questionnaires and collecting completed questionnaires and the other return materials. Depending on the logistics programme, the information needed for monitoring the logistics activities will differ. In general, the following information would be needed for both forward and reverse delivery: (*a*) type of materials, (*b*) timing of delivery, (*c*) number of delivered materials, and (*d*) name of the persons involved in the delivery. The periodic reports produced from the management information system will be crucial to ensure the timeliness of fieldwork across the country by giving an alert if there is any delay or any other problems regarding the delivery of census materials.

XII. Contracting out

2.140. It is a contemporary practice in many countries to contract out tasks or activities of the population and housing census as a way of increasing efficiency by utilizing the advanced methods and technologies not necessarily available in the national statistical office or public sector responsible for conducting the census. At the same time, reduction can be achieved through a competitive selection process. However, not all census tasks are appropriate for outsourcing or contracting out, and doing so will not necessarily bring the desired benefit of strengthening national capacities. Census activities may be broadly classified as core and non-core activities. As a general rule of thumb, core activities should not be contracted out. If for some reason core activities need to be contracted out, then it is essential that the strategic control of such activities should firmly be with the census authorities at all times.

2.141. In the context of contracting out components of census operations, the national statistical authority would need to build the capacity to ensure proper outsourcing. This is of primary importance at the preparatory stages, as outsourcing requires a solid and comprehensive knowledge of contemporary technologies and their advantages and disadvantages, as well as past experiences at home or in other countries. Consequently, the national statistical authority would need to plan and develop a particular unit for the purpose of ensuring adequate and efficient outsourcing well in advance of the census itself, as there would need to be extensive testing of the products and services that were contracted out.

2.142. The terms of engagement (scope of work), the deliverables and the timelines should be clearly laid down with definite dispute redresser mechanisms. Illustrative examples of items of work that can be contracted out are as follows:

(*a*) Layout and printing of census questionnaires;

(*b*) Packaging of census questionnaires;

(*c*) Dispatch and delivery of census material;

(*d*) Census mapping;

(*e*) Publicity and public relations;

(*f*) Training;

(*g*) Return collection of census questionnaires and other material;

(*h*) Inventory and storage of filled-in questionnaires;

(*i*) Scanning and data entry;

(*j*) Data processing and tabulation;

(*k*) Publication and dissemination.

2.143. Time is of the essence in all these activities, and it is vital that adequate time is allocated. At the same time, backup plans should be in place in order to deal with any failure on the part of the vendors. Fundamentally, census operations are time-critical and commercial compensation is secondary. Depending on whether an activity is on the critical path or not, adequate flags should be provided. Milestones and timelines are also essential. The moment there is a failure in achieving any milestone, alerts should automatically be raised. Risk assessment represents a critical component for outsourcing; the risk of failure, and the costs involved in developing contingencies in case of failure, require particular consideration.

2.144. The appropriateness of contracting out should be determined step by step and after subdividing the overall census tasks into stages. In the context of quality management, the outsourcing of components of census operations still requires the national statistical office to take full responsibility for, and manage the quality of, the census data. Throughout the overall process, activities should be conducted by a method (considering accuracy and timeliness of the results) that can best satisfy the general public. No part of the work should be done by a method that may result in loss of trust of the general public. When outsourcing, the statistical office needs to ensure that it continues to be in a position to understand and manage elements that contribute to final data quality. So, in judging the propriety of contracting out, it is recommended that national statistical offices should carefully consider the following criteria:

(*a*) Strict protection of data confidentiality;

(*b*) Method of confidentiality assurance that satisfies the general public;

(*c*) Guaranteed measures of quality assurance;

(*d*) Ability to manage and monitor the outsourced census tasks or activities;

(*e*) Control over the core competence of the national statistical office, and appropriateness of judgement, considering the specific situation of each country.

2.145. Confidentiality assurance is the first and most important issue that should be considered by national statistical offices. National statistical offices are responsible for data confidentiality, in terms of both perception and reality. It is extremely problematic for national statistical offices to find leakage or misuse of confidential information by ex post facto monitoring and controls. Consequently, contracting out of tasks that have the risk of such an incidence should be avoided. For example, in the phase of data gathering, it is highly recommended that contracting out should be avoided because the task is closely related to the earning of trust from citizens and the strict protection of confidentiality. Where temporary enumeration staff are engaged under contract, this should be done in such a way that they are subject to strict measures of monitoring and control by the national statistical office. These enumeration staff should be engaged in such a way that their activities are governed by the relevant statistical legislation to preserve the confidentiality of the data they collect.

2.146. The second important and related issue that should be considered carefully is conveying confidentiality assurance to the general public. As described in the "Essential roles of the census" (see paragraphs 1.1-1.3), a census should be undertaken by the method that can produce the most reliable results and in a manner that ensures the trust of the general public in terms of both perception and reality. If either one of these attributes is not met, then the method used as well as the results obtained may not meet the approval of the general public and could result in the census itself being questioned. Thus, protecting data confidentiality refers not just to the actual protection of confidential data, but also to protecting the perception of confidentiality among the general public and providing a sense of inward security.

2.147. The third significant issue to be considered in outsourcing is the guarantee of quality assurance in the outsourcing environment. The key point is that the national statistical office is satisfied that the goods or services paid for are provided. Cost should not be the first priority in considering and judging the successful bidder in this respect unless prescribed by procure-

ment rules. Although it is desirable to engage in fair competition among several companies to reduce costs, it is worth mentioning that merely considering low-price bidding as a determinant factor may adversely affect the quality of the job to be done by the successful bidder. Low-quality work could cause a significant loss of trust among the general public. To assess the quality of work, as part of the contract allocation process, potential contractors should be required to provide samples of their work (for example, for printing, manufacturing satchels, and other work), or if this is not possible, to list referees who could be contacted to verify their claims, or sites at which previous work can be inspected. The contracting process should state all the key requirements for the services sought and bidders should be measured against these. Although not a guarantee of quality, it will minimize surprises. Once the contract has been awarded, continuous monitoring of the progress of work entrusted to the selected company is necessary and the national statistical office should ensure that a system for monitoring quality is built into the contract. Consequently, in considering the proper contracting-out procedures, national statistical offices should also take into account the costs for constructing a system of surveillance for monitoring progress of the work being contracted out.

2.148. In addition to monitoring the providers of goods and services, national statistical offices need to plan for continuous interface with the providers. This implies an additional step to monitoring and amounts to a necessity to work side by side on a regular basis in order to ensure the best quality of the products and services and to meet the standards and needs of the census operations. This coordinated work refers to providing technical and technological advice, as well as following the development of the services and applications from the substantive point of view. While the national statistical office may not have the full capability to develop certain products or applications, it certainly possesses considerable technical experience and understanding of producing statistics on a regular basis. Therefore, planning for and implementing a regular and continuous interface with providers when parts of the operations are outsourced needs to be incorporated in the overall planning from the beginning.

2.149. The fourth major issue in outsourcing census activities is the procedure of assessment and evaluation of the capabilities of the candidate providers. A quality assurance framework (for a detailed discussion on quality assurance, see paragraphs 2.169-2.228) and implementation should be established in a first phase of outsourcing. Through this procedure national statistical offices should fully assess both the capabilities and the disabilities of companies in order to select the winner to which the activities in question are to be outsourced. It is highly recommended that practical and financial peculiarities of providers should be considered after the assessment of their capabilities. Each private company has a potential risk of bankruptcy or of changing the field of its activity. It should be kept in mind that if a selected company is unable to fulfil the assigned tasks, the probable problems might not be resolved by applying penalties. However, a very significant problem that could occur is that users might not be able to make use of accurate and timely census results. In such a case, national statistical offices might lose the trust of the general public in the census and even in future censuses or other routine statistical projects conducted by the statistical office. It is, therefore, very important for national statistical offices to adopt a method in which risks are as low as possible.

2.150. Some approaches to outsourcing put an emphasis on a "turnkey" arrangement, by which contractors deliver the system according to a set of predetermined client specifications with the expectation that the client focuses solely on the outputs and not the internal working of the system. This assumes that the national statistical office completely understands and can fully anticipate all data quality issues that might arise during the census and has included these in the specifications. The client is not expected to have any understanding of how these systems work or how they might contribute to the final outputs. Any changes to the system typically require cumbersome processes to determine contractual responsibilities and heavy financial costs. This sort of approach effectively hands over the quality of the census data to

the contractor, while the risks associated with intervention remain with the census agency. It removes any flexibility and greatly restricts the ability of the census agency to react to quality problems that emerge during processing.

2.151. Suppliers should be made fully aware of the quality targets at the outset of the census programme, and the quality requirements of the outsourced components that enable the overall census quality target to be achieved. Operational quality control should apply to outsourced services in the same way as those that are not outsourced.

2.152. In addition to managing the outsourced activities or tasks, the ability or the flexibility to cope with sudden or unpredicted change in the situation is also very important. It should be mentioned that contracting out does not necessarily mean lower costs; sometimes the burden of monitoring cost, emergency costs and other matters may jeopardize the census. It is recommended that the national statistical offices themselves should do some tasks or activities that are hard to manage. National statistical offices should judge and determine whether to contract out census activities from this viewpoint.

2.153. It should also be recommended that for critical activities, such as the coding of education, occupation and industrial classification, special care should be taken to ensure adequate training of the personnel to undertake the task, particularly when it is contracted out. The same amount of care and training is required even when the task is performed by the national statistical office. This is due to the fact that the coding depends on the minor differentiation and level of coding (general and detailed classifications according to different coding standards), as well as the coding manual and the education of the coders. In the light of such subtle criteria for judgement, it is difficult to prepare a complete coding manual in advance before checking the filled questionnaire.

2.154. Censuses are large operations with massive quantities of data that require coding and editing. To reduce the staff resources required and to improve timeliness, uniformity and accuracy, automated coding procedures may be employed. Some countries have already implemented automated coding procedures for addresses, countries, education, occupation and industry. The development of the application software could be contracted out, although the rules to be followed must be carefully specified by the national statistical office, which should retain responsibility for implementing the system. The software application can often be used for other statistical collections undertaken by the national statistical office. When outsourcing, the staff of the national statistical office should be able to modify the parameters of such operations themselves at little cost and in a timely manner. By having this ability, the national statistical office can manage the appropriate balance between data quality, cost and timeliness.

XIII. Use of technology

2.155. Technological developments and subsequent access to modern technology has largely eased the way in which the business of a population census is undertaken. Modern technology permits end-to-end embedding of processes in the census value chain. This possibility ranges from planning, monitoring and implementation to evaluating outcomes. Many facets of census activities can benefit from the use of technology. Remote sensing and imaging technology can now generate live maps with coordinates against which enumeration activities can be tracked. Fieldworkers can be paid their salaries and stipends using mobile device technology. Handheld devices with inbuilt edit functions and geopositioning capabilities can improve the consistency of responses while tracking geo-activities, including those that can report on spatial coverage. Given how pervasive technology can be, it would be imperative to

select carefully at the planning stage what technological innovation elements will be adopted in the census value chain.

2.156. Rapid innovation has led to both exponential growth and reduction in costs of technology. These changes have seen an increased adoption of technology across many aspects of the census in a variety of different ways. While on the one hand this is providing considerable benefit, on the other it is increasing dependence on technology providers and introducing new challenges and risks. The key to the successful use of technology in a census is to clearly understand the rationale or the objective of the technology introduction, and consider a range of key success factors for technology adoption, which may include suitability, security, scalability, stability, safety and skills.

2.157. The understanding of the value of technology is critical to forming a business case and assessing whether or not to proceed with the project, and if so what technology choices to make. As the introduction of technology can be an expensive and risky exercise, it is important to ensure that there is sufficient value in its introduction for each specific census.

2.158. The most common reasons for the introduction of technology in censuses operations are:

- **Efficiency and reduction of costs.** Technology provides an opportunity to reduce the number of personnel involved in different aspects of the census—for example, scanning and character recognition can reduce manual data entry and increase data accuracy, satellite imagery can reduce manual mapping and Internet self-response can reduce fieldwork. Technology can also reduce other non-labour expenses such as printing, freight and travel. In some cases, technology can simplify business processes and thus reduce cost or risk.
- **Data quality and consistency.** Technology, and in particular the automation of processes, can increase the consistency of census data and reduce data errors—for example, scanning and character recognition reduces data entry errors, and automated validation rules or edits ensure that data are checked and changed in consistent ways rather than relying on manual, dispersed field processes.
- **Timeliness.** Technology can reduce the time needed to conduct census enumeration, data processing, data analysis and preparation of results for publishing. The faster the census data are released, the more valuable the data are to census users, and thus the use of technology for data scanning, recognition, processing and publishing should be considered for its ability to advance publish dates.
- **Public and user expectations.** The census relies on the general public to provide data. The census needs data users to access and utilize census statistics in order for them to have value. Public and user expectations, and sometimes legal rights, may make it advisable or necessary to implement specific technologies to support these users. These interactions may be in the form of completing a census questionnaire, applying for census jobs online or receiving census results online. There is some evidence that the provision of online questionnaires has had a positive impact on census response rates.
- **Event management.** The coordination and monitoring of census enumeration across the complete nation or area has always been challenging and has relied on dispersed accountability and manual processes. Technology may be implemented to provide better visibility, oversight and capacity to monitor performance indicators and respond to enumeration events.
- **Data retention and utility.** The costs of conducting census enumeration are significant, and thus attempts should be made to optimize the value achieved from

the census results. The use of technology enables census data to be safely managed, secured and retained, as well as opening up opportunities for statistical data integration and data reuse, such as for time series analyses and other analytical needs.

- **Assurance and anticorruption.** The adoption of technology can reduce the risk of fraud or corruption through providing more standardized, controlled and auditable records of actions, for example for the records of financial expenditure.

2.159. When considering the reasons listed above in a business case for a technology project, it is likely to become clear that there is some tension between these reasons, and there will be some trade-offs that should be considered openly and transparently. For example, a solution that attempts to meet more user expectations may ultimately cost more and thus while being positive from this perspective would be negative in relation to programme efficiency.

2.160. While the conduct of significant technology projects is becoming increasingly commonplace across government, there is limited evidence to suggest that mere technology introduction would deliver the projects on time and within budget. Careful planning and management is critical to the success of these projects. The unique size, timing and nature of a census throw up unique challenges, which need careful consideration. The following factors should be taken into consideration in the context of optimizing the use of contemporary technology for census operations:

- **Suitability.** The functions and benefits of any new technology need to be assessed thoroughly and objectively against specific national needs, priorities, laws and capability to ensure that the potential of the technology can be translated into value for the census. Consideration of whether the technology has adequate user-friendliness for the intended user is another important point.
- **Scalability.** It is pertinent to consider at the outset whether, given the enormous scale of the census, it is even possible for the solution to handle the load, not just how to implement the solution. If the technology solution is not designed, implemented and tested to be able to handle the number of users, the number of data or the volume of paper that is required, then it is likely to slow down, stop or cause errors. This can have a disastrous and unrecoverable impact on the census overall, as well as on the reputation of the national statistics authority conducting the census. Hardware and software used in delivering technology must be scalable to the actual load of each business process during the census project.
- **Security.** The security of census data is critical for guaranteeing the confidentiality of respondents' personal information. The use of technology creates an environment that can facilitate the disclosure of individual information compared to the use of paper questionnaires if appropriate security measures are not put in place. The use of technology also creates opportunities for an increased number and location of potential attackers trying to access census data or disrupt the census programme. Census systems, especially an online census, must be secured to protect privacy of respondent data and to ensure respondent confidence in the system. Systems need to preserve confidentiality, integrity and availability of census information.
- **Stability.** A census relies on the successful conduct of enumeration in a tightly time-bound period. As the reliance on technology increases, it introduces the potential for one central failure having an impact across the whole enumeration process, with disastrous results. In contrast, in a more manual, traditional census, failures are more likely to have localized impacts. The failure of a key piece of technology—such as the census call centre, self-response portal or self-help

website—close to census day may have an unrecoverable impact on data response rates, particularly in countries using self-response.

- **Safety.** The introduction of technology, whether it be paper cutters ("guillotines") to assist with the form preparation for scanning or handheld devices for field officers, introduces safety risks for employees that need to be assessed alongside the technology and during the technology's implementation.
- **Skill.** The census organization, whether planning to outsource or deliver the solution internally, must ensure that it has the adequate skill, knowledge and capacity to lead and manage this project.

2.161. Census technology projects require strong project management expertise and thus adequately competent, experienced, motivated and knowledgeable staff need to be assigned to this role.

2.162. Detailed business requirements (what the technology needs to do and how it needs to do it) need to be developed by a suitably skilled business analyst in order to ensure that the technical specifications and implementation are aligned to the needs of the census.

2.163. Testing is essential for the statistical or census office to know the various stages that are affected by the new technology. Separate tests should be conducted to prove new technologies and identify potential problems linked to implementation. Depending on the extent and characteristics of information technology, these tests should include all information technology components related to fieldwork, data transfer or entry and processing well ahead of the census itself. Tests should include the application systems and the equipment, as well as the underlying circumstances necessary to avoid equipment malfunctioning.

2.164. A pilot census ensures that technology can be tested as part of a complete, end-to-end business process and highlights major implementation challenges with functionality or capability. However, the pilot census alone is insufficient to fully test technology due to its reduced size, reduced public profile and non-existence of some risks that are present in a fully fledged census operation. The pilot test should be accompanied by activities to test whether technology solutions are scalable, secure, accessible and robust enough for the real census. Stress tests should be conducted during the testing phase to ensure technology use can handle the maximum load of each module or business case and sustain data integrity.

2.165. There is an increasing adoption of technology in every national statistical office across the world. A number of nations have been developing their own technology solutions to support different aspects of the census, with some of these products being made available for statistical organizations in other countries. When making decisions around technology selection or development approaches, there should be strong, favourable consideration of existing products within the international census community, and where products do not already exist, the preference should be to undertake co-development with other members of the statistics community.

2.166. There are a number of risks or drawbacks associated with the introduction of technology that should be considered and managed, otherwise these could lead to increases in expenditure, delays to the census timetable or impacts on the quality of the census. These include:

- Incompatibility or other integration issues between different hardware and software applications;
- Solution outage or failure (which could be for many reasons—lack of connectivity, hardware failure, battery life, GPS black spots, software bugs, device theft);
- Lack of skills or knowledge by system users, particularly temporary census staff;

- Insufficient or inadequate communication between technology staff and business staff, particularly leading to misunderstanding of requirements;
- Hacking, online attack or other information technology security event;
- Maintaining, upgrading or decommissioning old or legacy systems;
- Lack of documentation or reliance on a small number of key people;
- Huge amount of digital data available, creating a potential distraction for staff.

2.167. A wide range of technologies, covering all stages of the census from planning to data dissemination, is presented throughout all the chapters of these principles and recommendations. However, the integration of technologies in census operation requires taking into account various specific national needs and the value each technology would bring to a specific aspect of the census.

2.168. The utilization of technology is expected to vary considerably in statistical offices across the world, considering the need and the resources that are available to the national statistical system. Ultimately, technology is an enabler that can enhance efficiency, accuracy, speed and transparency of census operations. It can also lead to optimization of costs, depending on the circumstances of each nation. It is to be reiterated, however, that the choice of technology and its level of deployment should be diligently assessed by each country before introduction.

XIV. Quality assurance

A. Plans for quality assurance

2.169. Most countries conduct population and housing censuses once in 10 years, so carrying over experience from one census to the next is fairly limited. But experience from previous population and housing censuses as well as other censuses, such as agricultural censuses, is very useful to plan for a quality assurance and improvement programme for the current census. Moreover, numerous activities that comprise the census operation have to be carried out in a limited time period. This means that countries must employ a large number of persons for census work for a few weeks or months. Usually a different set of persons are employed on a temporary basis for each of these operations. As a result, the quality of work is likely to vary from person to person, from one area to another and from one time to another. It would be very useful—indeed of critical importance—if errors detected from previous censuses or similar activities were documented and used as the basis for developing quality assurance measures for the next census. Each country must have a quality assurance and improvement programme in place to measure the quality of each stage of the census. It is therefore important to be able to measure how well each census operation is proceeding by building in quality assurance procedures throughout the census. It should be stressed that a major goal of any quality assurance programme is to detect errors so that remedial actions can be taken even as the census operations continue. Thus, a quality assurance programme should also be viewed as a quality improvement programme. Without such a programme, the census data when finally produced may contain many errors, which can severely diminish the usefulness of the results. If data are of poor quality, decisions based on these data can lead to costly mistakes. Eventually the credibility of the entire census may be called into question.

2.170. The quality assurance and improvement system should be developed as part of the overall census programme and integrated with other census plans, schedules and procedures. The system should be established at all phases of census operations, including planning, pre-enumeration, enumeration, document flow, coding, data capture, editing, tabulation and

data dissemination. Following a detailed schedule will ensure that sufficient time is allocated to testing and evaluation activities at each stage, reducing the risks of errors. Establishing a quality assurance and improvement system at the planning stage is crucial to the success of the overall census operation.

B. Quality assurance components

2.171. Quality management should be comprehensive and should cover all activities including planning, development, data collection, processing, evaluation and dissemination of results. The consequences of census data being of poor quality may be detrimental to policy decisions; more importantly and ultimately, the credibility of the entire census, the competency of the national statistical system and the government itself will be put into question and the trust of society may never be fully recovered.

2.172. There is general agreement that, in the end, quality has to do with user needs and satisfaction. In statistics, quality used to be primarily associated with accuracy; in other words, taking mainly into account errors, both sampling and non-sampling, that influence the value of the estimates, and intervals based on such knowledge upon which precise confidence statements could be made. Such measures are still considered necessary, but it is recognized that there are other important dimensions to quality. Even if data are accurate, they do not have sufficient quality if they are produced too late to be useful, or cannot be easily accessed, or conflict with other credible data, or are too costly to produce. Therefore, quality is increasingly approached as a multidimensional concept.

2.173. Quality is the outcome of processes, and deficiencies in quality (for example, delays in processing or lack of accuracy in the results) are usually the result of deficiencies in process rather than the actions of individuals working in that process. Therefore, processes should at least show:

(*a*) *Methodological soundness* and adherence to professional methods and (internationally) agreed standards;

(*b*) *Efficiency*, the degree to which statistics are compiled in such a way that the cost and the respondent burden are minimized relative to output.

2.174. Quality will be better supported by sound institutional arrangements, such as:

(*a*) *Legal environment*, the degree to which statistical legislation is enacted in conformity with the Fundamental Principles of Official Statistics;

(*b*) *Planning mechanisms*, the degree to which countries have instituted procedures for systematic, long-term planning of statistical operations;

(*c*) *Resources*, the degree to which statistical systems are properly funded and staffed, taken in relation to (different types of) cost and to each other;

(*c*) *Administrative support* and coordination among census stakeholders and the administrative authority.

2.175. It is suggested that the output of any statistical exercise should possess some or all of the following attributes:

(*a*) *Relevance*, understood as the degree to which statistics meet user needs, and suggesting the need to avoid production of irrelevant data, namely data for which no use will be found;

(*b*) *Completeness*, the degree to which statistics fully cover the phenomenon they are supposed to describe;

(*c*) *Accuracy*, the distance between the estimated value and the (unknown) true value;

(*d*) *Comparability*, the degree to which statistics are comparable over space (between countries) and time (between different time periods);

(*e*) *Coherence*, the degree to which data from a single statistical programme, and data brought together across statistical programmes, are logically connected;

(*f*) *Timeliness*, the time elapsed between release of data and reference period;

(*g*) *Punctuality*, the degree to which preannounced release dates are met;

(*h*) *Clarity*, the degree to which statistics are understandable for non-expert users;

(*i*) *Accessibility*, the ease with which statistical data can be obtained by users;

(*j*) *Interpretability* of census data, including metadata, availability of information describing sources, definitions and methods;

(*k*) *Trust*, in terms of the public's trust in the national statistical authority and its deliveries.

2.176. In the census context, some attributes of quality assurance may be emphasized over the rest. The census should produce statistics that are relevant to data users. A census is a particularly expensive exercise to undertake and creates a burden on respondents. Therefore, it is crucial to ensure that any demand for data is met to a minimum and that topics for which there is little demand are not included on the census form. Consulting with users of census data as one of the first steps in designing the census process is a positive public relations undertaking and an efficient, transparent means of determining the demand for potential census topics.

2.177. The *relevance* of data or of statistical information is a qualitative assessment of the value contributed by these data. Value is characterized by the degree to which the data or information serve to address the purposes for which they are produced and sought by users. Value is further characterized by the merit of those purposes, in terms of the mandate of the agency, legislated requirements and the opportunity cost to produce the data or information. In the context of a census the concept of fitness for purpose as a measure of relevance is important. If it is only necessary that data are available at the broad level (for example, national or major civil division level of geography; broad demographic level), user requirements could be met more cheaply and effectively through a sample survey.

2.178. *Completeness* is an extension of relevance, for completeness means not only that statistics should serve user needs, but also that they should serve them as completely as possible, taking restricted resources and respondent burden into account.

2.179. *Accuracy* of data or statistical information is the degree to which those data correctly estimate or describe the quantities or characteristics that the statistical activity was designed to measure. Accuracy has many attributes, and in practical terms there is no single aggregate or overall measure of it. Of necessity these attributes are typically measured or described in terms of the error, or the potential significance of error, introduced through individual major sources of error, for example coverage, sampling, non-response, response, processing and dissemination.

2.180. Data are most useful when they enable reliable *comparisons* across space, such as between countries or between regions within a country, and over time. More and more emphasis is also put on enabling comparison of geography over time, as well as maintaining consistency and comparison of census topics from one census to another.

2.181. *Timeliness* of information reflects the length of time between its availability and the event or phenomenon it describes, but considered in the context of the time period that per-

mits the information to be of value and still acted upon. It is typically involved in a trade-off with accuracy.

2.182. *Accessibility* reflects the availability of information from the holdings of the agency, also taking into account the suitability of the form in which the information is available, the media of dissemination, the availability of metadata, and whether the user has reasonable opportunity to know they are available and how to access that information. The affordability of that information to users in relation to its value to them is also an aspect of this characteristic.

2.183. *Data coherence* reflects the degree to which the census data can be combined with other statistical information within an integrated framework over time. The use of standard concepts, definitions and classifications promotes coherence. Equally important is internal coherence of data, referring to the consistency of information across different topics of the census and census outputs. This coherence is usually addressed through the meticulous development of data edits.

2.184. The cost of providing information, respondent burden and ability of the respondent to provide the requested information are also components of the trade-off with accuracy and timeliness. If this were not so, data could achieve (near) perfect accuracy with little or no time delay.

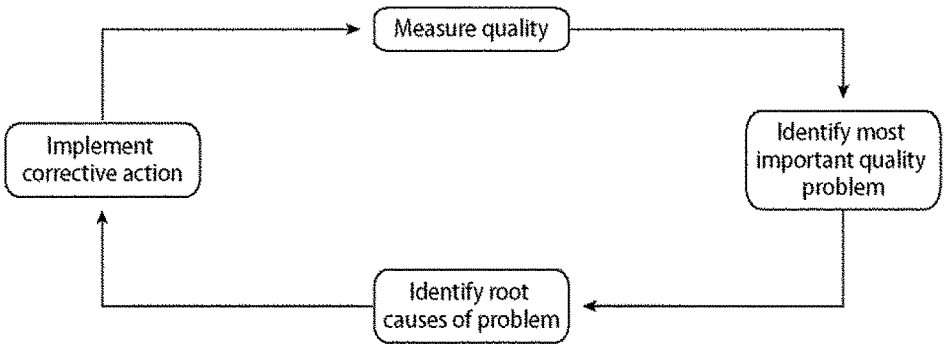
C. Need for a quality management system for the census process[53]

[53] This section draws heavily upon material in *Handbook on Census Management for Population and Housing Censuses*, Studies in Methods No. 83 (United Nations publication, Sales No. 00.XVII/Rev.1), chapter 1C.

2.185. The essential quality attribute of relevance of census output, and how to assure it, has been discussed above together with the need for consideration of accuracy, timeliness and cost. Quality is relative, and in the end is based on what is acceptable or fit for the purpose, rather than a concept of absolute perfection.

2.186. Deficiencies in quality (for example, delays in disseminating output) are usually the result of deficiencies in process rather than the actions of individuals working in that process. The key to quality assurance and improvement is to be able to regularly measure the cost, timeliness and accuracy of a given process so that the process can be improved when a decline in quality is indicated. The focus of quality assurance is to prevent errors from reoccurring, to detect errors easily and early, and to inform the workers so that they do not continue making them. This simple feedback loop is represented in figure 1.

Figure 1.
Quality assurance circle



2.187. Being iterative, the quality assurance circle is particularly applicable to tasks that are highly repetitive, such as the processing phase of the census. However, the general principle applies to all processes. For example, there is less opportunity to evaluate performance, identify problems and implement corrective actions in phases such as enumeration owing to time constraints, and the once-only nature of some of the processes and communication issues. However, it still can be established with careful planning and documentation in advance of the census.

2.188. It is important that a complete evaluation takes place and is documented at the end of each phase of the census. This should be done particularly for phases such as enumeration, so that the organizational learning inherent in the quality circle is carried forward to the next census.

2.189. Since people play a key role in most census processes, they are in a good position to identify problems with quality and provide solutions. Quality is therefore not just the outcome of mechanical application of predetermined measures but relies on a combination of:

(*a*) Established, documented processes, including quality targets (for example response rates, level of error in processing);

(*b*) Systems to monitor the outcomes of these processes;

(*c*) Active encouragement by management to involve staff undertaking the processes in identifying and resolving deficiencies with quality.

2.190. While elements of the quality circle, such as mechanisms to monitor quality, may have some superficial resemblance to some of the elements of traditional quality control approaches, they are quite different.[54] Traditional quality control is based on correction of error after the event, whereas the emphasis of the quality circle is on improving the process that caused the "error", which may be any of the cost, timeliness or accuracy attributes falling below specified levels. A simple error correction process may suffer from any of the following:

(*a*) It adds significantly to the cost of the operation;

(*b*) Errors in the inspection process can fail to detect true errors or falsely identify errors;

(*c*) The correction process can introduce errors into the data;

(*d*) Operators take less responsibility for the quality of their work, believing it to be the responsibility of the inspectors;

(*e*) Where a sample of units is inspected, the quality of data is only ensured for those units that are inspected.

2.191. The emphasis should be on process improvement rather than correction. Therefore, an important aspect of quality management may be to not correct errors detected through the quality monitoring process unless they are of a severe nature or are generally applicable. For example, a generally applicable error could be a systems error that miscodes every occurrence of a common event. Resources are thus better focused on improving processes and thus overall quality.

[54] *Handbook on Census Management for Population and Housing Censuses*, contains in annex IV a case study of a system combining the quantitative components of the traditional system within a conceptual framework of a quality management approach. Annex IV also illustrates the important differences between the two approaches.

D. The role of managers

2.192. Managers have a vital role in establishing quality. The biggest challenge to managers is first to establish a culture within the census agency that has a focus on quality issues and to obtain the commitment of staff to strive to achieve high-quality goals. At the same time, managers need to be aware that to achieve high-quality outcomes they need to give their staff

responsibility to achieve these outcomes. Managers who do not delegate responsibility will find it difficult, if not impossible, to establish teams that strive for high-quality outcomes.

2.193. The project manager is responsible for project work from the initial kick-off through to closure. Only the primary responsibilities are given in the list below, and so it can be expanded considerably. The responsibilities of the project manager include:

(*a*) Using quality project management tools and techniques;

(*b*) Identifying and managing the project stakeholders;

(*c*) Creating the conditions for good teamwork:

i. Setting team norms and behaviours within the team;

ii. Deciding responsibilities and coaching team members in new skills;

iii. Leading, guiding and directing team members;

iv. Controlling the work of the team—input and output;

v. Building trust and respect in the team;

vi. Encouraging personal growth, development, empowerment and continuous learning of the team members;

(*d*) Establishing a project support office:

i. Developing project plans and budgets aligned to established strategy;

ii. Prioritizing activities within the project;

iii. Allocating and securing resource (for example financial and technological) commitments;

iv. Working with established working practices and customs, and developing relevant policies, systems and processes to implement objectives and plans;

v. Developing a project communication plan;

vi. Developing a governance framework for the project;

vii. Monitoring and tracking project progress against set objectives and plans, and compiling relevant reports, for example progress, variance and status reports;

viii. Monitoring and controlling expenditure and compiling financial and variance reports;

ix. Solving problems that interfere with progress;

x. Informing stakeholders of progress and status;

(*e*) Identifying and managing project risks;

(*f*) Working with the unknown and unpredictable;

(*g*) Implementing improvement and change initiatives;

(*h*) Delivering project deliverables and benefits;

(*i*) Leading the project team;

(*j*) Evaluating and closing the project.

2.194. Managers must ensure that staff understand the philosophy behind the approach to quality. As mentioned above, staff involvement is a vital ingredient to quality improvement. Therefore, an environment needs to be established in which staff contributions are expected.

2.195. The second part of a manager's role is to ensure that clients' expectations are known, and that these expectations are built into planning objectives and into the systems that are to deliver them.

2.196. Third, processes need to be documented and understood by the staff implementing them. Systems and processes for implementing the quality circle also need to be documented and put in place. Questions such as how quality is going to be measured, who is involved in identifying root causes of problems with quality, and how the process improvements are going to be implemented need to be answered. These will vary greatly depending on the nature of the process. Appropriate quality assurance techniques for each phase of the census are summarized below.

2.197. The greatest test of management commitment to genuine quality improvement will occur in how management approaches problem solving. Staff will monitor management responses closely and adjust their own behaviour accordingly. Staff will act in accordance with how they see managers behave rather than what they hear managers say.

2.198. Managers who always react to problems by seeking people to blame, or who establish systems that focus disproportionately on the merits or demerits of individuals at the expense of the team, are sending messages that are contrary to the thrust of quality improvement. An environment where the emphasis is on fault finding, rather than on finding solutions to problems, or on excessive competition, will assure that staff cease to be part of the solution and become part of the problem. Managers need to take upon themselves the responsibility for problems, as they are ultimately responsible for the systems or processes that caused the problems. They should not seek to transfer the problems to lower-level staff.

2.199. However, even in the best-managed processes, there are circumstances where individuals can be justifiably responsible for negatively impacting quality. These may be individuals who do not possess adequate skills for performing their duties, and even deliberately flout procedures. These individuals need to be dealt with decisively, first and foremost, primarily by providing additional training and guidance all the way to administering disciplinary measures. Managers must deal promptly with these cases and act in a consistent manner. By doing so, managers will demonstrate to all other staff their commitment to quality.

2.200. To be successful, it is necessary to create a culture in which everyone has the opportunity to contribute to quality improvement. Most of the staff engaged in census operational work undertake routine tasks, and it is up to management to help them see the bigger picture, to motivate them and to encourage them to assume ownership of their work. This can be done by promoting a commitment to quality improvement and by adopting a consistent approach to management.

E. Quality improvement and the census

2.201. The quality circle can be applied to the entire census cycle with:

(*a*) Performance in the previous phase being evaluated at any given level of detail;

(*b*) Problems with quality ranked in order of importance;

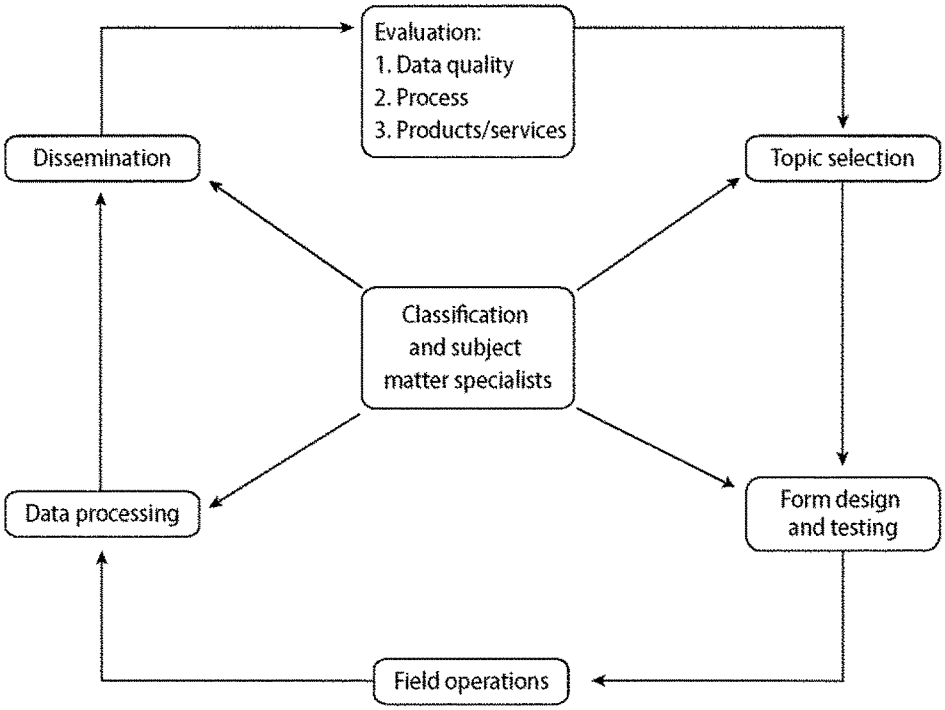
(*c*) Root causes identified and corrective action implemented.

2.202. The dependencies in the census cycle are represented in figure 2.

2.203. It is worth noting that it is possible to start at any point in the diagram and achieve the same result.

2.204. The following sections outline the way in which the concept of a quality circle is superimposed on the census cycle. Much of the discussion on form design, enumeration, processing and dissemination is in terms of relevance and accuracy. However, these are subject to constraints of time and cost that may be established prior to commencing the census cycle. These are discussed briefly below.

Figure 2.
Quality circle dependency chart



1. Topic selection

2.205. The first step in managing the quality of the product (namely, census statistics to be produced) is to ensure that the product will be relevant. The key process is extensive consultation with actual and potential users of census information. The key success factor in this process is full, frank and open communication with users and representatives of all areas concerned with the census (in particular, subject matter and classification experts). As should be expected, users are reluctant to propose their needs for a future census until they have been able to assess the extent to which their current needs have been satisfied by the output from the previous census. This should be seen as an evaluation process feeding into the current cycle, the first step of quality management.

2. Form design and testing

2.206. The next quality management task concerns the testing of each census question and the testing of the design of the form (paper or electronic version according to instrument(s) used). Again, the quality circle approach is used, with the results of each test being analysed and evaluated before being fed into further design and testing. The following areas are the key internal stakeholders of the form design process and their requirements need to be taken into account:

(*a*) The dissemination team (to ensure that the questions asked will deliver data that meets the needs of users);

(*b*) The subject matter specialist team;

(*c*) The team responsible for development of the processing system. For example, positioning of text and delineation of response areas may be dependent on data

capture and the processing methodology to be adopted. It is critical that there is ongoing coordination between the form design and processing areas;

(*d*) The field operations team, which is responsible for training the enumeration workforce and printing the form.

3. Field operations

2.207. The quality management process continues throughout the design of the census field operations. These are tested as far as possible in conjunction with form designs testing. The key internal client of field operations is processing. However, field operations can also impinge on other areas, such as dissemination and classification and subject matter areas where certain concepts, such as what constitutes a dwelling, are implemented during the field operations phase. Several components of field operations can be subject to specific quality circle mechanisms as these are likely to take some time and involve iterative processes. These components include:

(*a*) Demarcation of enumeration areas;

(*b*) Map production;

(*c*) Form printing, where a sample of forms is rigorously tested for adherence to standards.

2.208. All systems supporting data collection must be thoroughly tested before collection. This is especially critical if new collection technology is used, such as handheld or laptop computers. All data quality benefits of using such technology could be compromised if problems arise during enumeration.

2.209. Quality monitoring should be established for each of these components, and mechanisms put in place to ensure that the outcomes of the monitoring are used to improve processes. It is more difficult to implement the quality circle during actual enumeration owing to the very tight time constraints. However, this can be achieved by:

(*a*) Clearly establishing the aims of the field operations phase;

(*b*) Applying thoroughly documented procedures;

(*c*) Ensuring that the enumerators understand their role through appropriate training and providing inspection of corrupted forms;

(*d*) Providing opportunities for field staff to be observed operating on the job so that feedback can be given and retraining undertaken;

(*e*) Establishing communication and feedback loops with the general public through helplines, online forums, social media, etc., so that problems in the field can be detected and corrected in real time.

2.210. However, it has to be acknowledged that during the actual carrying out of the enumeration, this approach tends to identify "problem enumerators" rather than systemic or process errors. This means that evaluation following collection is vital. The evaluation should attempt to capture the experiences and suggestions of a range of enumerators and other field staff so that improvements can be made to the subsequent census.

2.211. A general overview of the quality of enumeration can be obtained through:

(*a*) Use of techniques such as post-enumeration surveys to gauge the level of underenumeration or overenumeration of people and dwellings;

(*b*) Overall response from the target population or level of non-response at the question level;

(*c*) Feedback from field staff;

(*d*) Measures of the quality of any coding undertaken by field staff;

(*e*) Mechanisms that may be in place to handle queries from the public;

(*f*) Analysis of administrative data.

2.212. The effectiveness of the public communication strategy may be assessed by the amount of press coverage (positive and negative) of the census and follow-up surveys to test the reaction to particular advertising.

4. Processing

2.213. The key clients of processing are the areas of the statistical agency responsible for disseminating and maintaining standard classifications, and those with special subject-matter knowledge. The dissemination area depends on the processing team to obtain data in an agreed format and compiled to agreed quality standards. This is necessary so that the data can be used in dissemination systems.

2.214. Since the census is part of an overall national statistical system, data from the census are likely to be used in conjunction with data from other collections. Thus the classification and subject matter specialist areas, which are responsible for those other collections, need to be satisfied that the coding, editing and other data transformation processes are conceptually sound and deliver data of acceptable quality.

2.215. Extensive testing of processing systems must be undertaken in advance of the census. Coding processes and training packages need to be prepared and tested using the type of staff likely to be involved in the operations. The processing phase gives the fullest scope for the use of quality improvement techniques, as many of the processes in this phase are repetitive and take a significant amount of time. This enables the quality circle to go through much iteration. It is vital that structures are put in place not only to monitor quality but also to involve processing staff in the identification of problems with quality and in proposing solutions.

2.216. It is generally not possible for processing to improve the accuracy of census data. At best, processes such as editing may reduce some inconsistencies within the data. However, in the end, the data coming from the processing system will not be of any better quality than the information supplied on census forms. Much effort can be expended in correcting apparently inconsistent or inaccurate census data with no real improvement in the fitness for the purpose of the data. It may be a better strategy to educate users to accept slight inconsistencies in census data, rather than developing complex procedures that may introduce other errors and impose heavy costs in terms of delay in release of the data and cost to the community.

5. Dissemination

2.217. Census dissemination can easily be overlooked in the chain of providing a quality outcome for the census as management attention is diverted to the costly and risky enumeration and processing operations. The dissemination area is responsible for the timely delivery of products and services to census data users. Therefore, insufficient planning and resources for this phase can have the effect of delaying the release of the data and thus compromising the overall achievement of census objectives. The dissemination phase should also be regarded as an ongoing process that will serve the needs of users over a long period of time.

2.218. Management of quality in census dissemination is driven by concerns to (*a*) deliver relevant products and services; (*b*) maintain accuracy of the data; and (*c*) ensure timeliness and predictability of data release within agreed cost constraints.

2.219. The first of these objectives is to provide relevant products and services. This can only be done by reviewing the experiences of the previous census products and services and by user consultation processes with both current and potential users of census data.

2.220. The second objective is to ensure that the data supplied from the processing system are accurately transformed into output products. A quality assurance strategy to ensure that data tabulations and transformations are carried out accurately needs to be documented and followed. The quality circle approach to these processes needs to be applied and any gaps identified and corrected through extensive testing prior to the census and ongoing process improvement during the dissemination phase.

2.221. The third objective is the timely and predictable release of data from the census. While this is the responsibility of all phases of the census programme, the role of dissemination is crucial. The dissemination area needs to be realistic about release dates and ensure that these are communicated to clients early so as to manage client expectations. The involvement of staff actually responsible for the dissemination phase in devising these dates is recommended where this is possible. Dissemination systems and processes need to be available, documented and tested prior to the release of data from the processing phase.

2.222. A release calendar needs to be prepared to keep the user community informed about the likely month of release so use of data can be planned in advance. A mechanism to provide metadata on census indicators and the geography level at which these are made available needs serious consideration. Every country should assess the requirements and put in place a dedicated team to assist data users. The services of call centres may be used if the number of data seekers cannot be handled in-house.

6. Evaluation

2.223. Evaluation of the overall census operation is vital for identifying strengths and weaknesses of census phases, including planning, enumeration, data processing and dissemination, and also for the purpose of analysing the quality of census statistics, which are the major output of these processes. With the quality assurance and improvement programme, the main objective is to ensure that quality assessment is consistently incorporated in all phases of the population and housing census, focusing on efforts in controlling the occurrence of errors and taking actions to ensure the highest quality of both the processes and their outcomes. Errors appear to be inevitable in such a complex undertaking—consequently, there needs to be a mechanism put in place to determine the deficiencies and their quantitative impact on census results.

2.224. Census evaluation with all dimensions of quality (see paragraph 2.175) requires a comprehensive evaluation programme for assessing and documenting the outcomes of each process using appropriate and customized methodologies. Methodologies for evaluation should be planned well in advance, in the planning phase of the census. It should be noted that this is a continuous process implemented from the planning to the end of census operations. It is also appropriate to consider it as being the first step in the subsequent census cycle. Similarly, evaluation of one process within a census cycle could be the first stage in the next process of the same census cycle.

2.225. Evaluation of the accuracy of the census data should also be undertaken, to the extent possible, by conducting a post-enumeration survey for measuring coverage and content errors, by comparing the census results with similar data from other sources and by applying demographic analysis. As for other sources, these include surveys and administrative records in a similar time frame, and previous census results. The purposes of evaluating the accuracy of the data are to inform users of the quality of the current census data and to assist in future improvements. Future improvement may be achieved by (*a*) improving processes and (*b*) establishing performance benchmarks against which the quality of the data from subsequent censuses can be measured.

2.226. Evaluation of data accuracy may have two parts. Preliminary evaluation will enable the identification of any problem areas that have not been previously detected through the quality management processes in earlier phases of the census. More extensive evaluation should be undertaken on data items where problems have been identified or where new questions or processes have been attempted.

2.227. The census evaluation programme would be undertaken by subject specialist staff according to the agreed goals and methodologies covering all possible dimensions of quality. The following are some examples:

(*a*) Identification of the deficiencies and achievements in data capture, coding and editing (through mechanisms developed for checking the quality of process and the work of personnel);

(*b*) Relevance of census data to user needs and satisfaction of users with dissemination tools and products (based on information collected through user consultation);

(*c*) Achievements and difficulties in use of new technologies and methodologies, and identification of possible improvements for the next census;

(*d*) Estimating coverage and content errors of census data (based on demographic techniques or a post-enumeration survey);

(*e*) Realization of the census calendar, including the calendar of releasing census results, and, in the case of changes to the calendar, the reasons and consequences.

2.228. The results of evaluations of census operation for both operational aspects and the quality of data should be made available to the stakeholders.

Part three

Census operation activities

I. Introduction

3.1. Part three of the Principles and Recommendations focuses on elaboration of census operations for a traditional census as it is described in part one. While the population and housing census is in essence a statistical data collection exercise, it still incorporates components that are not present in a routine statistical survey conducted within the frame of the national statistical system. In consequence, the layout of this part follows the frame and the logic of the Generic Statistical Business Process Model;[55] it also provides particular methodological and operational guidelines relevant to the population and housing census. This part of the *Principles and Recommendations*, therefore, starts with a discussion on developing the census questionnaire, building census infrastructure, mapping, testing, living quarters and household listings, field enumeration, data processing, evaluation of the results, dissemination, analysis, archiving, documentation and evaluation of overall census operations.

[55] United Nations Commission for Europe on behalf of the International Statistical Community, *Generic Statistical Business Process Model (GSBPM)*, Version 5 (2013).

II. Census questionnaires: content and design

3.2. The preparation of the census questionnaire refers to a well-designed process that should start at a very early stage of the census. This process includes developing various methods and tools that understand user needs and national priorities. In addition to communicating with users, other factors that would have impacts on selection of census topics, such as quality of data collected through the previous census, timeliness, national sensitivity for specific topics and available resources, should be taken into account.

3.3. Taking into consideration that the basic principle is to meet user needs and to make census statistics as useful as possible, the content of the census questionnaire would be determined with the involvement of census data users from different sectors, such as governmental organizations, research institutions, the private sector, the public, civil society and non-governmental organizations. The consolidation of the results of the consultation with all stakeholders needs to be balanced by factors such as the response burden, respecting respondents' privacy and other critical considerations such as costs.

3.4. The final content and design of the questionnaire will also be the result of rigorous and meticulous testing. It is necessary that all aspects of the census questionnaire, such as wording, structure of the questions and design, be carefully tested[56] to ensure successful application of the questionnaire in the field.

[56] For more information about census tests, see chapter IV.

3.5. Given its multidimensional features, preparation of the census questionnaire requires most careful consideration, since the handicaps of a poorly designed questionnaire cannot be overcome during and after enumeration. Successful implementation of this process will have significant impacts on quality of data and census outputs.

(a) Selection of census topics

3.6. As a first step in determining the content of the census questionnaires, the topics that will be covered in the census should be selected, taking into consideration the priorities of national needs, international recommendations,[57] historical comparisons, international comparability, suitability of topics for collecting reliable information and resources available for the census. Census takers should evaluate national needs in the light of possible new topics and the needs for continued assessment of the topics covered in the past. The topics that are not needed in the census because of changing data needs and availability of alternative data sources should be carefully reviewed in this process.

[57] Part four of these *Principles and Recommendations* focuses exclusively on core and non-core topics for population and housing censuses.

3.7. During the process of selection of census topics, data users and interested parties should be consulted for their views on the type and extent of socioeconomic information they believe the census should provide. The results from consultations should be reviewed in conjunction with resources available for the census and the burden to respondents. The length and complexity of the questionnaires should be carefully examined while deciding what topics will be covered in the census. More information on the factors determining the selection of census topics is given in chapters I and II of part four.

3.8. Another factor that should be considered in the process of selection of census topics is related to the decision on whether to use a single census questionnaire for all respondents or adopt a two-questionnaire approach—short-form and long-form questionnaires. Using a single questionnaire consists of a standard set of questions for all individuals and housing units covered in the census. In the latter approach, countries use a short-form questionnaire with basic questions for enumerating all of the population, while a long-form questionnaire is applied to a sample of population for collecting more detailed information. Subsequent paragraphs provide a more in-depth elaboration of this approach.

(b) Use of short and long questionnaires

3.9. With each new census and the advancement in processing and exploiting census statistics, there is an increased interest in adding topics to those historically covered by the population and housing census. Because of additional costs and burden on the respondents, imposing a long questionnaire on the total population, in many cases, does not seem to be appropriate. Hence, countries often decide to broaden the scope of the census by covering additional topics through the use of sampling methodology. In this approach, two questionnaires are used: (*a*) a short questionnaire containing only those questions intended for universal coverage and (*b*) a long questionnaire containing detailed questions on the specific census topics.

3.10. Use of a sampling methodology in conjunction with full enumeration requires careful planning for determining the topics for the long questionnaire. This approach might be cost-effective, considering less duration of data collection for all topics; on the other hand, it may create some complications regarding field organization.

3.11. The following paragraphs explain how a sampling can be integrated with the full enumeration and its possible advantages and limitations.

3.12. The expanded needs in most countries for extensive and reliable data have made the use of sampling a cost-effective part of census taking. Sampling is increasingly being used to broaden the scope of the census through asking a number of questions of only a sample of the population and households. This use of sampling makes it feasible to obtain urgently needed data of acceptable precision when factors of timing and cost would make it impractical to obtain such data on a complete count basis.

3.13. The suitability of particular questions for a sample enumeration depends on the precision with which results are needed for small areas and small population groups, and on the enumeration costs involved.

3.14. It is important to bear in mind, however, that national legal requirements may make it mandatory to collect certain information on a complete count basis. Legislation in many countries prescribes complete population enumerations at particular times or makes certain political or administrative dispositions dependent on particular results from a complete enumeration. For example, the apportionment of seats in the legislature among the civil divisions of a country often depends on the number of persons actually enumerated in each division. The data needed for this and similar purposes may not be collected by sampling.

3.15. Census information that is collected for only a sample of the population or housing units is usually obtained by one of two different methods. The first predesignates a systematic subset of census households to receive a so-called "long" questionnaire, or the census form that contains the detailed questions on all topics. Depending on the sample requirements, which in turn take account of considerations of cost and precision, the systematic subset that is designated for the long questionnaire may represent, for example, 1 in 4, 1 in 5, or 1 in 10 of census households. Under such a sampling scheme, all other households in the census will receive a short questionnaire containing only those questions intended for universal coverage. If countries choose this option, it is recommended that the predesignation of the sample households that are to receive the long questionnaire be carried out at a central location by supervisory statistical staff, since it has been shown that when the enumerators themselves actually identify the sample households the results are often biased.

3.16. The second method of sampling often used involves designating a sample of enumeration areas to receive the long questionnaire. In this approach, all households in the designated enumeration areas receive the long questionnaire and all households in the remaining enumeration areas receive the short questionnaire. The advantage of the first method over the second is that the sampling precision of results is greater because clustering effects increase the sampling variance when whole enumeration areas are used as sampling units. On the other hand, the advantage of the second method is that different enumerator staff may be trained more easily, since one set of enumerators can be trained only for the long questionnaire and the other set only for the short questionnaire.

3.17. It is important to make certain that asking questions that are not asked of all persons does not give rise to legal, administrative or even political issues, since census information is required under statute and often with penalty for refusal.

(c) Sections of the questionnaire

3.18. The unit of enumeration[58] is an important element for preparation of designing the census questionnaire, as each question aims to collect data for a specific unit of enumeration. The census questionnaire can be successfully structured if it is done based on the units.

[58] For more information about the units of enumeration, see chapter IV.

3.19. There is broad consensus on the following separate sections in the census questionnaire:

i. Persons living in housing units;
ii. Persons living in collective living quarters;
iii. Households;
iv. Housing units;
v. Dwellings;
vi. Buildings;
vii. Agriculture.

3.20. While designing the census questionnaire, the questions referring to a specific unit of enumeration should be given in distinguishable format. This structure has a positive impact in terms of better understanding of the meaning of the questions and carrying out the interview smoothly.

(d) Questionnaire design

3.21. Although a majority of countries are still using face-to-face interviews with paper questionnaires, many countries have started to explore multimodal enumeration methods. Some of these methods are: face-to-face interview with an electronic questionnaire, telephone interview, self-enumeration with a paper questionnaire collected by enumerators, self-enumeration with a paper questionnaire returned by mail, self-enumeration via the Internet, register-based enumeration and use of pre-existing administrative records. The methods of enumeration and technology used for data capture are among the main factors affecting the design of the questionnaires. For example, the design of the questionnaires that will be used for the face-to-face interview and self-enumeration will differ, as the former will be applied through enumerators while the latter will be directly used by the respondents. Whatever methods are chosen, these need to be tested and assessed in advance for data quality and feasibility. It is also important that data security and confidentiality is maintained whatever modes or approaches are used.

3.22. The design of the questionnaire must be based on the type of data collection mode and approach used. Questionnaire design should also be based on the approach for data processing, for example whether data processing will be done through scanning, manual entry or electronic transmission to the database.

3.23. The following paragraphs relate only to those approaches that involve direct enumeration of the individuals covered by the census. While many of the principles of designing a statistical questionnaire will also apply to the design of the administrative instruments underpinning a register-based approach, those instruments may also be based upon specific requirements of the administrative programmes they address.

3.24. Further, where countries utilize the Internet or handheld devices to collect their census information, or a portion of that, the layout and organization of the data collection instrument may differ from that of the paper questionnaire. It is important to note that most often, adopting an Internet approach also means moving from an enumerator-based approach to a self-completion approach. The questions must be designed to be completed by the respondent without outside assistance. Therefore census management should involve the information technology team right from the questionnaire preparation stage. While many of the same principles (for example clarity of wording, omission of unnecessary material) will apply also to an Internet-based or handheld device-based collection of information, specialized advice should be sought regarding such issues as (*a*) the technology employed to present the questions to the respondent; (*b*) the method of capturing the response; and (*c*) quality assurance checks employed during the capture process.

3.25. A crucial principle is that questionnaire design must be regarded as part of an integrated process of satisfying user demands by collecting, processing and disseminating information provided by respondents.

3.26. The type of questionnaire, its format and the exact wording and arrangement of the questions require most careful consideration, since the handicaps of a poorly designed questionnaire cannot be overcome during or after enumeration. Among the many factors that should be taken into account in designing the questionnaire are the method of enumeration, the type of questionnaire (see paragraphs 3.9-3.17), the data to be collected, the most suitable form and arrangement of the questions, technologies used and the processing techniques to be employed.

3.27. The method of enumeration—in particular, whether the form is to be canvassed and filled by the enumerator or by the respondent (see paragraphs 3.119-3.124)—governs to some extent the type of questionnaire that can be used (for example, single individual, single household or single set of living quarters, multiple household or multiple living quarters, combined population and housing). It may also impact where each type of questionnaire can be used, the framing of the questions and the amount of explanatory material that must accompany them.

3.28. It is important that questions and response options are free from ambiguity. Moreover, questions should not be offensive; in many cases this can be avoided by excluding extremely sensitive topics from the census questionnaire, but care must always be taken to consider the reaction of respondents when designing questions. In addition, it should be noted that the quality of information collected in a census will be reduced if the questionnaire is excessively long. These issues should be carefully assessed during the testing programme, including the cognitive test and the so-called "pilot" census (see paragraphs 3.113-3.114) since poorly worded questions not only will collect poor-quality data, but, by confusing respondents or enumerators, may also impact subsequent questions in the questionnaire.

3.29. Special provision will have to be made if two or more languages are used in the country. Several methods have been used to deal with this situation, such as (*a*) a single, multilingual questionnaire; or (*b*) one version of the questionnaire for each major language; or (*c*) translations of the questionnaire in the various languages available in the enumerators' manual or on the Internet site for the census. Information on the distribution of languages in the country is important for sound census planning and, if not available, will have to be collected at some stage of the census preparations. Staff recruitment and training procedures (see paragraphs 2.119-2.124) will also have to take language issues into account.

3.30. If the housing census and the population census are to be carried out concurrently, it will be necessary to consider whether a single questionnaire should be utilized to collect information on both population and housing topics. If separate questionnaires are used, they should be uniquely identified in a way that links the component forms so as to permit subsequent matching, both physical and automated, of the data for each set of living quarters with the data that refer to the occupants thereof. This will be particularly important where a single housing form is used to cover separate personal forms for each individual.

3.31. When paper questionnaires are used for data collection, the use of processing techniques, such as optical mark reading and intelligent character recognition, will have a significant effect upon the questionnaire design (see paragraphs 3.175-3.177). In the case of optical mark reading, it is necessary both to allow for the spacing of response areas and to ensure printing is undertaken to precise tolerances so that the data capture software is able to capture all required data but not any of the material around the designated response areas. With regard to intelligent character recognition, it is crucial to allow sufficient room for response areas and to ensure that these are designed according to the requirements of the processing system so that each response box contains only one character, and that the character is correctly formed (usually in upper case). As noted in paragraph 3.30, where the scanning process requires that a booklet questionnaire is separated into component pages, it is important that some form of linking (for example by serial numbers or barcodes) is employed to ensure that the correct information is amalgamated in the computer records.

3.32. Questionnaire design must be driven by a planning process based upon dialogue between the statistical agency and those demanding information. Information to be collected should respond to user needs both at national and international levels and therefore user consultation is crucial in this regard. Previous census questions that are no longer relevant should be dropped, as these do not add any more value. This is essential if the questionnaire

is to be designed to provide the information needed by users. This will, in turn, determine the tabulation programme, as it is to some extent conditioned by the limitations imposed by the questionnaire.

3.33. The final questionnaire must be drafted in time to allow for printing and developing the data collection application, in the case of using electronic questionnaire (making allowance for the many contingencies, such as industrial action, breakdown of printing equipment or delay of programming activities, that can arise in these processes); undertaking quality assurance checks to ensure the printing is of sufficient quality to be used in the data capture regime and the data collection application is running correctly under the data entry rules; adequate training of census officials at all levels; and adequate publicity to be generated on the content.

3.34. As some countries are also utilizing Internet portals and handheld devices for conducting the census, sufficient time must be given to design, develop, test and implement bug-free e-questionnaires and related software systems. Last-minute inclusion or changes in the questionnaire may affect the overall quality of the programs, and in turn the census results.

3.35. In view of the many issues to be addressed in designing a census questionnaire, it is not feasible to suggest specific model questions for the census topics covered in part two. However, images of all census questionnaires that have been made available to the United Nations Statistics Division have been placed on the Division's website (see http://unstats.un.org/unsd/demographic/sources/census/censusquest.htm) together with research papers relating to questionnaires used to collect information on the various topics recommended for collection and also using the different technologies (Internet, handheld devices).

III. Building census infrastructure

3.36. The traditional population and housing census requires a concentrated effort to build the intricate and complex infrastructure that is suitable for conducting massive activities simultaneously. This infrastructure refers to: the development of the census instrument questionnaire; logistic schemes for disseminating and collecting returns; processing, editing and validation; and dissemination of statistics. It also requires well-defined workflows, and testing of the production system as well as of the whole statistical business process.

3.37. Census infrastructure has to be put in place long before the data collection exercise itself, as all of the components need to be extensively tested in circumstances that are as real as possible. The importance of testing cannot be overestimated, especially in the context of the need to build process components for processing and analysing data.

3.38. Building census infrastructure should be based primarily on the experiences and lessons learned from the previous census. If the previous census took place a long time ago and the documentation and institutional memory are not sufficient, putting together census components should rely on statistical practice in conducting large surveys and on the schemes for developing and implementing a statistical business process.

3.39. Particular components of the census infrastructure may already be available within the national statistical office—for example, the statistical network of field offices covering the country's territory and staff experienced in collecting and producing statistics. Others will need to be built from the beginning, such as the training synopsis and schedules, recruitment procedures and logistical arrangements. Methodical planning is, needless to say, critical in

this process of building census infrastructure, and developing Gantt charts early on would significantly facilitate managing the process in a holistic manner.

3.40. In that context, clear and unambiguous delineation of responsibilities in terms of management is equally important with regard to the building process. Managers and supervisors need to have a comprehensive assignment from the very beginning and at all levels of managing. While improvising may be necessary in certain circumstances, all efforts should be put into anticipating risks and developing and testing strategies to allow managers to mitigate them and have alternatives at the ready.

3.41. In building new components of the census infrastructure—for example, outsourcing—it would be necessary to liaise with other parts of the government that may have more extensive experience in that respect. In most cases, government not only would have extensive experience—such as subcontracting for defence purposes —but also might have the capacity to provide goods and services that are needed. Therefore, the process of building needs to first screen carefully and methodically existing government capacities, and then extend beyond them.

3.42. The process of building has to be completely finished before the pilot census takes place. Certainly, parts or perhaps even whole components of the infrastructure might need to be adjusted and altered as a result of the pilot census; yet, that would represent a much easier task than facing the consequences of not having had the components in the first place.

3.43. Once the census takes place, all the steps in building the census infrastructure and its testing need to be meticulously documented and stored for future use. Certain components will certainly remain permanently as part of the broader national statistical infrastructure, such as computers and similar devices. However, documenting in a comprehensive manner is of paramount importance, not only for future censuses, but also for a better understanding of the one that has just taken place.

IV. Mapping and geospatial data

A. Strategic planning

3.44. Mapping has been an integral part of census taking for a long time. Over the years, census maps have played a critical role in all processes from preparation to dissemination of census results.

3.45. The census-mapping programme should be developed at a very early stage of census planning, considering the conditions and available resources of the country. Countries should evaluate available mapping options by considering the following factors: (*a*) available geographic resources; (*b*) requirements for new technologies and approaches; (*c*) available funds and the allocated time frame; (*d*) staff capacity needed for new approaches; and (*e*) requirements for developing an ongoing geographic system. Evaluation of these factors will determine the best mix of technology and other approaches for each individual case.

3.46. There are various options for mapping techniques. For example, traditional mapping techniques have been used successfully in many countries and are still relevant in some countries or at least some parts of many countries, particularly in remote areas. On the other hand, with the recent development in technology, countries are motivated to develop digital mapping techniques and improve the quality of census operation. Application of new technologies requires more careful and long-term operational and managerial plans based on a realistic assessment of costs and human resources required. In the case of not having internal

capacity, the activities that need to be outsourced should be examined carefully before deciding the possible options for census-mapping programmes.

3.47. Major technological advances include the widespread availability of personal computers, handheld devices, global positioning system (GPS) and geographic information system (GIS) software, and low-cost aerial and satellite imagery. These advances have put new tools in the hands of national statistical organizations to collect more accurate and timely information about their populations. At the same time, it is recognized that adopting such new methods would require long lead times for building capacity and organizational restructuring.

3.48. There is widespread recognition that it is important for national statistical agencies to develop a continuing mapping capability to serve their specialized mapping needs. Such a capability can make a major contribution to the population and housing census and other elements of the national statistical system. A continuing mapping capability within the statistical agency can also contribute to the analysis and presentation of census results.

3.49. In the process of creating or updating census maps, census organization should collaborate with other relevant agencies. Statistical agencies are usually not mapping agencies and should not, for the most part, try to duplicate the functions of one. Likewise, mapping agencies are not statistical agencies and often may not fully appreciate the statistical value of the information they hold or how best to present statistical information in map-based products. Despite this, undertaking a census can provide a catalyst for statistical and mapping agencies to work together to the benefit of both agencies and the community. Even more importantly and at both the global and regional levels there is a continuing initiative to ensure complete integration of statistical and geospatial information as a critical piece of national systems for providing a comprehensive overview of many social, economic and environmental phenomena. The ultimate goal is to develop a global statistical-geospatial framework that would make accurate, authoritative, reliable geospatial information readily available to support national, regional and global development.[59]

[59] The United Nations Global Geospatial Information Management (UN-GGIM) initiative was launched by the Statistical Commission of the United Nations to assist governments in improving policy, institutional and legal frameworks for developing effective strategies to build geospatial capacity in developing countries. For more details, see http://ggim.un.org.

3.50. While there is a range of techniques and technologies available for use in a census-mapping exercise, the following sections do not make recommendation as to which system would be most appropriate for specific countries. These recommendations aim at presenting and elaborating on essential principles for developing and implementing an effective mapping component of the census infrastructure.

B. The role of maps in the census

3.51. The role of maps in the census process is to support enumeration and to present aggregate census results in cartographic form. Very few enumerations during the last several census rounds were executed without the help of detailed maps.

3.52. In general terms, mapping serves several purposes in the census process, as follows:

(*a*) Maps ensure coverage and facilitate census operations (pre-enumeration). The census office needs to ensure that every household and person in the country is counted and that no households or individuals are counted twice. For this purpose, census geographers partition the national territory into small data collection units. Maps showing enumeration areas thus provide an essential control device that guarantees coverage of the census.

(*b*) Maps support data collection and can help supervise census activities (during enumeration). During the census, maps ensure that enumerators can easily identify their assigned geographic areas, in which they will enumerate households. Maps are also issued to the census supervisors assigned to enumerators to support

planning and control tasks. Maps can thus also play a role in supervising the progress of census operations. This allows supervisors to strategically plan, make assignments, identify problem areas and implement remedial action quickly.

(*c*) Maps make it easier to present, analyse and disseminate census results (post-enumeration). The cartographic presentation of census results provides a powerful means for visualizing the results of a census. This supports the identification of local patterns of important demographic and social indicators. Maps are thus an integral part of policy analysis in the public and private sectors.

3.53. The census enumeration team needs to have a set of unique maps covering the entire country that accurately defines the boundaries within which each enumerator has to work during the enumeration phase of the census. Therefore, the quality of maps used in the census has a major influence on the quality and reliability of census data.

3.54. The types of maps required for census management include the following: (*a*) small-scale reference maps for use in the census agency to manage the overall operation; (*b*) large-scale topographical maps for use by enumerators; and (*c*) maps of the subregions or administrative areas, for the use by managers, showing the location of small population settlements and dominant physical features, such as roads, rivers, bridges and the type of terrain. The use of satellite imagery to generate these maps is now increasingly common across countries.[60]

[60] It may be noted, however, that hand-drawn maps by the enumerators demarcating the enumeration area with all the houses and other physical features such as roads and rivers continue to have their utility in countries where the enumeration area boundary is provided to enumerators by description rather than through pregenerated maps.

3.55. Careful consideration should be given to organization and management of mapping activities during the census planning and preparation phases. The lead time necessary for creating, printing and distribution of maps for a country will be determined by a wide range of factors, including the number of maps to be produced, the technology available to produce them, the availability of funds to acquire additional resources and the time required for distribution of the maps to field staff.

3.56. It is still the case that in many countries there are only a limited range of maps available, and these often do not show sufficient detail to enable the boundaries of small areas to be clearly defined. This is particularly likely to apply in areas of unplanned settlement. It is thus common to supplement the maps with other material, such as (*a*) lists of households, preferably compiled by statistical agency staff as part of the process of delineating enumeration areas, but on occasion provided by local leaders (see paragraphs 3.115-3.118); or (*b*) a textual description of the boundary, including roads, railway lines, power lines, rivers and other physical features. This description may also include obvious landmarks on the boundary (school buildings, water points and other reference features).

3.57. Previous experience has shown that relying entirely on a list of households, written or verbal descriptions and directions, or local knowledge of the area boundaries will often lead to confusion and error because people tend to have mental images of places that may not align with the area as it is really reflected in the design of the enumeration area. Similarly, the supervisor's mental map of an enumeration area may differ markedly from that of an enumerator. To overcome such problems, it is important that the best possible quality maps be the basis for census enumeration operations and that the collection staff receive comprehensive training in the correct use of the maps and associated textual material if that is provided.

C. Census geography

3.58. Prior to developing the mapping programme for the census, consideration needs to be given to the geographic classification to be used and the mapping infrastructure available to carry out the mapping tasks. As the geography on which the census is collected will determine the geography on which the census data can be disseminated, a geographic clas-

sification should be devised in conjunction with the development of census mapping. The publishing of this geographic classification by the national statistical office so that it can be reused throughout the statistical system and for administrative purposes will increase the value of census data as they will be more relatable to other information. The details of designing a general geographic classification, including the definition of the various areas of the geographic classification and their relationship to one another, are more complex than those involved in census mapping and will not be covered further in this chapter.[61] However, the design of enumeration areas and other census management areas is of crucial importance for the census and is outlined in the following paragraphs.

[61] For a full elaboration and details, please see *Handbook on Geospatial Infrastructure in Support of Census Activities* (United Nations publication, Sales No. E.09.XVIII.8).

3.59. It is of critical importance to ensure that the boundaries of various administrative units are frozen at least six months in advance of the census date so that no further jurisdictional changes are effected until the enumeration is over. This would be of considerable help in delimiting enumeration areas and minimizing chances of omission or duplication.

(a) Administrative hierarchy

3.60. One of the earliest decisions in census planning pertains to the administrative areas for which census data will be reported. Administrative areas can be any special geographic unit, but mainly they are units of administration, that is, some governmental authority has jurisdiction over the territory. Census preparation involves creating a list of all administrative and statistical reporting units in the country. The relationships among all types of administrative and reporting unit boundaries should be defined. Every country has its own specific administrative hierarchy, that is, a system by which the country and each lower-level set of administrative units (except the lowest) are subdivided to form the next lower level.

3.61. Only some of these hierarchical levels may have actual administrative roles; for example, the province, district and locality levels may have capitals with local government offices that are responsible for those regions. Other units may have statistical roles alone; that is, they are designed for the display of data and not for administering territory. In some instances, however, administrative units may not be completely nested. Especially when considering both administrative and other statistical reporting units, the census office may need to deal with a very complex system of geographic regions.

3.62. In some regions, the establishment of a definitive list of units is a major operation because of difficulties arising from the frequent fragmentation, disappearance or combination of small localities, and from changes in name, variations in spelling, the existence of more than one name for the same place or the use of identical names for different places. This listing should be held as a formal database or as an integral component of the databases forming part of a geographic information system.[62]

[62] For further details on GIS mapping, see *Handbook on Geospatial Infrastructure in Support of Census Activities* (United Nations publication, Sales No. E.09.XVIII.8).

(b) Delineation of enumeration areas

3.63. Whether manual or digital cartographic techniques are used, the delineation of enumeration areas is similar. The design of enumeration areas should take various criteria into account. Correctly delineated, enumeration areas will:

(*a*) Be mutually exclusive (non-overlapping) and exhaustive (cover the entire country);

(*b*) Have boundaries that are easily identifiable on the ground;

(*c*) Be consistent with the administrative hierarchy;

(*d*) Be compact and have no pockets or disjoined sections;

(*e*) Have populations of approximately equally size;

(*f*) Be small and accessible enough to be covered by an enumerator within the census period;

(*g*) Be small and flexible enough to allow the widest range of tabulations for different statistical reporting units (if enumeration areas are being used as the basis of dissemination geography);

(*h*) Be useful for other types of censuses and data collection activities as well.

3.64. The size of enumeration areas can be defined in two ways: by area or by population. For census mapping, population size is generally the more important criterion, but surface area and accessibility also have to be taken into account to ensure that an enumerator can service an enumeration area within the time allotted. The chosen population size varies from country to country and is generally determined on the basis of pretest results. Average population size may also vary between rural and urban areas since enumeration can proceed more quickly in towns and cities than in the countryside. Under special circumstances, enumeration areas that are larger or smaller than average may have to be defined.

3.65. Before delineation of enumeration area boundaries, the number of persons living in an area and their geographic distribution needs to be estimated. Unless there is information from a recent survey, registration system or some other information source, these numbers need to be determined by counting the housing units, determining the associated number of households and multiplying by an average household size. The number of housing units can be determined through cartographic fieldwork, cooperation with government officials, extrapolation from previous census results or by means of aerial photographs or satellite imagery.

3.66. Enumeration area boundaries need to be clearly observable on the ground. Even if they do not have considerable geographic training, all enumerators need to be able to find the boundaries of the area for which they are responsible. Thus, population sizes between enumeration areas may be varied in order to produce an easily identifiable delineation. Natural features that can be used for this purpose are roads, railroads, creeks and rivers, lakes, fences or any other feature that defines a sharp boundary.

3.67. Procedures for delineation of enumeration areas should be developed that will allow comparability of areas from one census to the next. Change analysis at the local level is greatly facilitated if the units of enumeration remain compatible between censuses. A unique code should be assigned to each enumeration area and the changes (for example in the case of splitting areas with a high level of growth) should be tracked. The statistical office is often the custodian of coding schemes in the country and should also be the focal point for the design of the census-mapping codes. In cases where this is not possible, the criteria can outline design principles that will allow users to easily compare enumeration-area-based data across censuses. When the population and housing census are conducted separately, effort should be made to use the same enumeration area frame for both censuses as far as possible.

(c) Delineation of supervision areas

3.68. Supervisory areas provide the means for a group of enumerators to be effectively managed. After delineation of enumeration areas, the design of supervisory maps is usually straightforward. Supervision areas consist of groups of contiguous enumeration areas that share some of the same characteristics as enumeration areas. The enumeration areas assigned to the same supervisor should be compact, in order to minimize travel times, and of approximately equal size. They should be included in the same field office area, which usually is defined according to administrative units.

(d) Delineation of census management areas

3.69. Census management areas will consist of aggregations of supervisory areas brought together for ease of managing the enumeration staff. Where existing government staff and structure are used for enumeration purposes, the census management areas may be the same as the administrative regions. It should be noted that this may be a matter of administrative convenience and the particular hierarchy (or way of combining enumeration areas into larger areas) for this purpose need not necessarily be the same as that for the dissemination phase, which must be driven by the needs of users. However, the greater the congruence between enumeration areas and pre-existing administrative boundaries, the easier is the task of conducting the census.

(e) Geographic coding[63]

[63] This section draws heavily upon material in *Handbook on Geospatial Infrastructure in Support of Census Activities* (United Nations publication, Sales No. E.09.XVIII.8).

3.70. The coding of each housing or population unit to a small atomic area, often the enumeration area, or to a specific longitude and latitude, allows for flexible production of different geographic tabulations of outputs, and production of comparable area-based geography over time. Two somewhat different approaches are available for coding the location of housing or population units. The first approach is to code all units to the lowest-level enumeration area, sometimes referred to as the "enumeration district". The second approach, which at greater cost permits finer geographic specificity, is usually based on some coordinate or grid system, such as that of latitude and longitude.

3.71. A digital geographic database in vector format consists of a structured set of points, lines and polygons. Each geographic feature—each point, line or area—has a unique identifier that is used by the system internally. This internal identifier is not usually accessible by the user and should not be modified externally. A more meaningful identifier is needed that can be used to link the geographic features to the attributes recorded for them. For the enumeration areas and administrative units, this link is the unique enumeration area or administrative identifier, which is listed in the master file of all geographic areas relevant in the census.

3.72. Indeed, a unique code needs to be assigned to each enumeration area. This code is used in data processing to compile enumerated information for households in each enumeration area and to aggregate this information for administrative or statistical zones for publication. This is the numerical code that provides the link between the aggregated census data and the digital enumeration area boundary database stored in the case of using GIS. The coding scheme needs to be determined on a country-by-country basis, ensuring codes are unambiguous, and should be designed in collaboration with the national statistical office. The most important principles in the design of a coding scheme are flexibility, expandability and compatibility with other coding schemes in use in the country. The statistical office is often the custodian of coding schemes in the country and should also be the focal point for the design of the census-mapping codes.

D. Technology for census mapping

3.73. Before census mapping commences, the census agency needs to determine the appropriate technology for mapping. Countries need to choose technologies to improve efficiency of census operations, data quality and timeliness, balancing these with cost factors in view of their national needs and circumstances. The application of technology must also ensure that confidentiality of data is maintained.

3.74. In general, countries need to approach the use of technology for mapping as a continuous process rather than merely a sequence of mapping and dissemination operations. Use and application of geospatial technologies and geographic databases are very beneficial to improv-

ing the overall quality of census activities at all stages of the census. Major technological advances include the widespread availability of personal computers, handheld computers and personal digital assistants, GPS and GIS software, and low-cost aerial and satellite imagery. These advances would be of interest to national statistical organizations to collect more accurate data in a timely manner.

3.75. In circumstances where it has not been possible to acquire appropriate base maps for areas of geography, enumerators (or other enumeration staff) may produce hand-drawn maps, accompanied by a textual description of the boundary features, to enable a successful enumeration. Hand-drawn maps do not possess the level of accuracy offered by high-quality topographical maps, but are an option when maps for an area (*a*) do not exist; (*b*) are at too small a scale to provide sufficient detail for an enumeration area map; or (*c*) are seriously out of date and cannot be updated in the time available.

3.76. Where reasonable-quality topographical maps are available, they should be used as a base, and hand-drawn enumeration area boundaries can be added as an overlay on transparent film, and the combination photocopied for use by the enumerators. Alternatively, the enumeration area boundaries could be hand-drawn on the printed map, and the result can be used further. However, either of these kinds of combination maps need to be used with caution; field personnel need to be aware that the maps could possibly have errors or inconsistencies, which it is their responsibility to resolve and record when in the field. All base maps produced for the census should be referred to a unique, consistent, geodetic reference system all over the country.

3.77. Where accurate and current maps at relevant scales are not available for a country or part of a country, the technological alternatives described in the following paragraphs could be employed subject to consideration of the constraining factors described in paragraphs 3.79-3.82:

(*a*) *Satellite images.* A satellite image typically covers a large area and can be cost-effective compared to other sources. Imagery should be preprocessed by the supplier so that it is rectified and georeferenced (a known scale and orientation, with some latitudes and longitudes, is printed on the face of the image). Satellite image data have gained in volume, popularity and ease of use. Satellite imagery, if used pragmatically, can save countless person-hours by focusing attention on critical areas. Remote sensing data can be used as an independent check on the field verification process.

(*b*) *Aerial photography.* Acquisition of aerial photographs for large areas of a country may be expensive. However, existing archives of photographs can be an excellent resource for preliminary counts of dwellings and as a base for basic maps. In some cases digital aerial photographs can be a cost-effective way of initiating some components of a GIS.

(*c*) *Global positioning systems.* Making hand-drawn maps or digital maps from a GIS for use by enumerators in the field can be greatly assisted by GPS. A simple, handheld GPS receiver will give latitude and longitude coordinates with reasonable accuracy of key points. Depending upon the system selected, a GPS may also track linear features and thus be useful for mapping boundaries. Maps printed from a GIS or hand-drawn map can be enhanced by the addition of latitudes and longitudes recorded at key points to provide orientation, scale and absolute position. Such information will be particularly valuable for dissemination purposes or if the work is a component of developing a GIS for later use. The ability to record information directly without transcription has the benefit of removing several intermediate steps. Coordinates are captured and immediately displayed on the

portable computer screen, and if a digital base map is available, the coordinates can be displayed on top. Field staff can add any required attribute information and store these data in a geographic database at the home office. Given that notebook computers and other portable computing devices are becoming less expensive, integrated field-mapping systems are becoming a viable option for field data collection for census purposes. Advances in technology, including GPS, wireless communication and computer miniaturization, have made possible numerous new applications for handheld GIS, particularly the development of specialized software for census fieldwork.

(*d*) *Georeferenced address registry.* A high-quality, comprehensive, updated and georeferenced address registry of each building and dwelling can give great support in planning and organizing a census. A georeferenced list of addresses can play a central role in many fieldwork operations and will provide the key to accurate delivery, collection and follow-up of questionnaires. The best way to associate each address with a location in physical space of a map is to specify its coordinates in a proper geographic reference system. With geographic coordinates addresses can be entered in available maps or into the GIS. If it is not possible to get coordinates it is recommended at least to geocode addresses. Geocoding is the process of finding associated geographic coordinates from other geographic data. For example, as geographic coordinates of an address, the coordinates of the centre point (centroid) of the enumeration areas to which the address belongs could be taken.

3.78. Where a digital base map is prepared, this may be used in conjunction with a GIS technology as the basis for coding information supplied in the census. This could apply to address of usual residence now and/or in the past, place of work and similar topics.

3.79. The implementation of strategies using such technologies must be thoroughly planned with the guidance of qualified staff or external experts with formal qualifications in the use of advanced mapping technology. It is particularly important that the cost of acquiring and maintaining the hardware required to use this technology is factored into the budget (and a sound cost-benefit analysis undertaken to support such changes), and adequate plans are made to ensure the availability of sufficient quantities of hardware in time for the census.

3.80. It should be noted that there might be additional risks due to the need for equipment to be operated in suboptimal conditions, including poor weather, dusty conditions or poor lighting. Despite its versatility, GPS may not be able to differentiate the coordinates of overlapping or closely located dwellings in multistorey buildings and in this circumstance should only be regarded as providing coordinates for the building rather than the dwelling units within it.

3.81. It is important to ensure that where such systems are employed, they are clearly understood by enumeration staff. This should be achieved by ensuring that the staff, whether at the cartographic update (pre-enumeration) stage or enumeration stage, are given adequate training in the interpretation of the maps. Should the maps be incorporated in digital devices such as personal data assistants, the staff should be trained in the use of both the hardware and the software.

3.82. As with all other significant changes to census procedures, it is crucial that census geographic and mapping processes are successfully included in tests prior to being used in the main operation. This is particularly the case where a change in level of technology is being considered.

E. Geographic information systems

3.83. A geographic information system can be seen as a system of hardware, software and procedures designed to support the capture, management, manipulation, analysis, modelling and display of spatially referenced data. In practical terms, such a system may range from a simple desktop mapping facility to a complete GIS system that is capable of solving complex planning and management problems or producing detailed georeferenced inventories. Its ability to use space to integrate and manipulate data sets from heterogeneous sources can make its application relevant to planning and managing the census process itself. For example, a GIS provides functions for the aerial interpolation of statistical data in cases where the boundaries of aerial units have changed between censuses. However, the development and implementation of such a repository of georeferenced data are not easy tasks to accomplish, and simple desktop mapping systems generating thematic maps from a database of base maps and indicators will satisfy the needs of most census organizations.

3.84. GIS technology should be considered only at a level appropriate to the skills and resources available, and should constitute an integral part of the overall work of the organization. Cooperative arrangements with other agencies should be pursued particularly with regard to the acquisition and maintenance of base map data, which should not be the responsibility of the statistical organization. Statistical organizations should proceed with GIS development or implementation only where it is feasible to maintain such a system during the intercensal years and where there is no dependence on external support.

3.85. Statistical offices may nevertheless develop GIS applications with population data and other georeferenced data from other sources for more advanced forms of spatial analysis. The task could be shared with other institutions, or be delegated completely to specialists elsewhere. The role of the census office would then consist in supplying census data at the right level and in the right format for such a system. Census offices provide vital information on current demographic conditions and future trends for policymakers in a range of sectors such as health care, education, infrastructure planning, agriculture and natural resources management; and the provision of spatially referenced census databases is a prerequisite for the use of demographic data in these fields.

3.86. In this regard, it should be noted that the GIS should be capable of generating additional geographic delimitations beyond those used in the census, such as school districts, water catchment areas or power service units. These entities will have to be constructed from the smallest geographically identified units available in the census (for example block faces, grid squares or enumeration areas). If (as is the case in most developing countries) enumeration areas are the smallest unit, this will have important implications for the establishment of enumeration area boundaries. Cooperation with the authorities responsible for these geographic entities before the boundaries of enumeration areas are drawn can reduce later problems.

3.87. Being a rather complex technology and a resource-consuming one, GIS needs to be introduced in developing countries carefully and gradually. As an alternative to immediately launching full-scale GIS applications, countries may start with a simple and robust design that is likely to be understood and maintained by a wide array of users, transferable to a wide range of software packages and independent of any hardware platform. GIS implementation in a developing country may follow a hierarchical strategy, with the national statistical office employing a high-end commercial GIS with extensive capabilities for handling and analysing large amounts of spatial data. Widespread dissemination of databases can then be achieved by creating a version of the finished databases using a low-end mapping software format for distribution at low cost and through web dissemination of macroinformation in an online GIS.

3.88. In recent years, many countries have adopted the use of GIS to facilitate census mapping in the production of both enumeration maps and dissemination products. As the cost is declining and the basic technology is now well established, it is expected that this will continue. It is likely that the census could be a useful catalyst for increasing capacity within the statistical office (or the country as a whole). Adoption of GIS should thus be seen as a major strategic decision with impacts beyond the census operation, and many issues need to be considered. A GIS database, a census geographic database built at the enumeration area level, is an important infrastructure for the national statistical office to manage, analyse and disseminate census data, and monitor the continual change in geography between successive censuses. It also constitutes a fundamental component of a national geographic information infrastructure that allows the national statistical office and other national organizations to integrate socioeconomic and environmental data for evidence-based decision-making.[64] A prerequisite to the building of a geographic database at the enumeration area level is the development of a geocoding scheme, whereby each enumeration has a unique code, an administrative identifier that can be used to link the geographic features to the attributes recorded for them.

[64] See elaboration on GGIM in paragraph 3.49 above.

3.89. The (potential) benefits and costs of GIS are summarized as follows:[65]

(*a*) Benefits:

i. Closer linkage between maps for enumerators and map-based products for users;

ii. Enriched dissemination of census data as they can be visualized in geographic areas for easy understanding by users;

iii. The cost of intercensal updating of the base map will be less with a digital base map, enabling among other things the construction and updating of sampling frames;

iv. Producing duplicate maps may be less expensive with a GIS solution;

v. GIS will have increased ability to undertake quality assurance of geographic boundaries;

vi. The census agency will have a greater ability to perform spatial queries and advanced analysis under GIS;

vii. Space needed to store input maps for digital purposes will be far less.

(*b*) Costs:

i. GIS requires additional technical expertise;

ii. GIS will require a higher level of computing infrastructure;

iii. A clerical census system can proceed on the basis of basic maps. However, use of GIS in this task requires that a digital map base exists. If it is necessary to create the digital map base, significant lead times are required as well as significant funding. In both cases, more experienced technical staff are required;

iv. In most cases, the preparation of maps or GIS will not be the core business of a statistical agency.

[65] For more information, see the *Handbook on Geospatial Infrastructure in Support of Census Activities* (United Nations publication, Sales No. E.09.XVIII.8).

F. Contracting out for census mapping

3.90. The development of a mapping project beyond rudimentary clerical systems requires considerable knowledge of mapping, cartography and geographic systems. In the event that a census agency cannot draw on such skills from within the agency, it may be required to contract out some or all of the elements of preparation of census maps.

3.91. Mapping for field purposes under a contract or agreement basis requires the statistical agency to specify its requirements and prepare clear terms of reference to the contractor. These may include the following: (*a*) acquiring the base map data; (*b*) creating (or obtaining) the statistical boundaries and aligning them to the base map; (*c*) providing a process for enumeration area designers to advise on changes to boundaries (and updates to associated spatial data); (*d*) producing hard copy maps as specified for fieldwork.

3.92. The statistical agency should undertake the enumeration area design work and validation of the associated spatial data, as well as take delivery of the hard copy maps for quality assurance checks and subsequent delivery into the field. The statistical agency must also accept full responsibility for the quality standards and delivery of the maps to field staff as required. After the census, any feedback received from enumerators about the base map should be communicated to the mapping agency.

3.93. Mapping for dissemination purposes may be more challenging because the outputs will involve representation of statistical information (with, or as part of, a map) and will often be accompanied by analysis or commentary about the information. Advances in mapping software have made it easier for census agencies to produce a wide variety of standard thematic maps. However, advanced mapping products may require the expertise of a contractor. In these cases, it may be better for the statistical agency to focus on the statistics and let the contractor provide the technical skills required to produce the actual products with tight quality assurance procedures in place to ensure that the output from the contractor satisfies the end user requirements described above.

G. Implementation of census-mapping programme

3.94. The development of a mapping system within the census agency requires the coordination of a series of complex tasks with relatively long lead times. It is important that project plans are established to manage this process. The main activities to be reflected in such plans are discussed below:

(*a*) **Establishing a mapping unit.** The census-mapping project requires a specialized project team. Where mapping activities are outsourced, the mapping project teams will be responsible for specifying the requirements of the census for mapping products and coordinating arrangements with the provider of mapping services.

(*b*) **Developing a timetable.** The critical date is the date that maps must be delivered to the field. The mapping programme must commence early in the census cycle to allow sufficient time to produce national coverage of maps well before the census date and before training of field staff.

(*c*) **Sourcing of basic mapping and digital geographic data.** A major step in the mapping project is establishing a base map of the country, including digital mapping data if required. If a census-mapping project already exists, the agency may still require updates to their existing map holdings.

(a) Sources and types of hard copy maps

3.95. Where a hard copy base map is to be used, official published maps may be available from national or provincial government mapping agencies, the local government or municipal bodies. Other sources of maps may be other government agencies or private companies. Where the maps are obtained from sources outside the census agency, permission to use the maps collected must first be sought from the original source and any copyright issues addressed.

(b) Digital mapping data

3.96. When establishing a digital geographic database, a major consideration is the determination by the census agency of data requirements. With increasing amounts of digital spatial data becoming available, it is also important that standards and a common data specification be produced to ensure data validity and consistency.

3.97. The key rules to be followed in selecting data items for inclusion are to question whether (*a*) the data item will be useful to enumerators in navigating their way around their enumeration area; and (*b*) the data item is relevant to users. Assessing the utility of data items to users in a census-mapping context must place significant emphasis on the user needs for small or customized areas. Data items that meet neither of those criteria should not be included in the database.

(c) Updating maps or digital mapping data

3.98. Preparing or updating base maps, or the base map digital data, requires substantial resources. The final content of base maps will have a major bearing on the accuracy and completeness of enumeration area maps and, subsequently, the effectiveness of census enumeration. The updating of base maps should be scheduled according to priorities, based on areas in which changes to the number or characteristics of the people require the maps to be updated. Important features to be updated include (*a*) accurately named and presented roads and waterways; (*b*) administrative boundaries; and (*c*) landmark features, such as schools, place of worship, post offices, parks and large buildings.

(d) Operational design for enumeration and supervisory areas

3.99. Whether a hard copy or digital base is employed, an enumeration area design manual should be produced that contains the design criteria and the procedures to be followed when designing the enumeration area. The manual can be used as a basis of training for those involved in the design process.

3.100. If possible, enumeration area design should be conducted by regional statistical office staff who are primarily responsible for enumeration areas in their province or region. This ensures that local knowledge can be utilized in the design process. A considerable part of the process is the gathering of information on where population and boundary variations have occurred in order to determine the best way to design particular enumeration areas. As an output of enumeration area design, a list should be produced that provides the enumeration phase with all relevant field data for each enumeration area, and the dissemination phase with relevant geographic data.

3.101. The design of field supervisor and management area boundaries can be determined at the completion of the process through the aggregation of enumeration areas, and the allocation of geographic identification codes.

3.102. Quality assurance measures should be implemented to ensure that data are correct to a minimum standard, both for field navigation and for technical correctness in cases where a digital base is to be used as an output medium.

(e) Printing and content of field maps

3.103. Careful consideration should be given to the (considerable) time required for printing maps when establishing the project plan for census mapping.

3.104. Maps should be provided to every level of field staff. If paper maps are used, at least one map must be printed for every enumeration area in the country. It is recommended that two copies of the map be produced, one copy to be used by the enumerator and the other by the field supervisor for training and reference purposes (and subsequently retained by the

statistical office as input to the following census cycle). The use of computer technology for data collection, such as tablets, laptops and other handheld devices, may also be suitable for displaying maps available to field personnel.

3.105. Other considerations for the preparation of enumeration maps (whether based upon hard copy or digital data) include the following:

(*a*) Enumerators may be required to navigate in poor lighting conditions and thus details should be easily read;

(*b*) The maps must be easily interpreted with text and symbols readily identifiable and correctly placed, along with the information being presented in a standard format compared to other source maps;

(*c*) Boundaries (such as enumeration area boundaries) overprinted on the maps must be clear and unambiguous;

(*d*) Enumeration areas must be distinguishable when compared to the surrounding area;

(*e*) Folding or refolding of large paper maps (larger than A2 in size) is inefficient for staff;

(*f*) Paper and digital maps need to facilitate the addition of written enumerator comments;

(*g*) Production of the maps should be cost-effective;

(*h*) The maps should be suitable for reuse to meet dissemination purposes where this reflects user demands.

3.106. Maps for supervisors or regional managers should be of smaller scale, providing sufficient detail to identify major features. When using paper maps those should not be so large as to be difficult to handle easily in the field. In many cases, the use of inset or supplementary maps may be required if the map is to cover a relatively large area. For all levels of senior field staff, the maps should show the boundaries of all subsidiary units for which they are responsible.

H. Maps for dissemination purposes

3.107. Maps, which are now commonly in the form of digital products, play an increasingly important role in the dissemination phase of the census. Statistics compiled from census data can be geographically referenced and provide for methods of analysing the geographic characteristics of those statistics. Maps may then be used effectively to relate statistical data to the geographic area to which the census results refer. This makes the statistics easier to understand and more readily usable by both expert users and the general public.

3.108. If a complete digital census geographic database has been created, then statistical databases for administrative or statistical units can be produced simply through aggregation. For the countries that do not use digital techniques for the production of enumeration area maps, options still exist to develop a digital georeferenced census database at this stage for producing publication-quality maps to accompany census reports, for distribution to outside users who want to analyse census data spatially or for internal applications. This database can be compiled for a suitable level of the administrative hierarchy or for other aggregated statistical regions. At that level of aggregation, the resources required for producing a digital database are much less than those necessary for a complete digital enumeration area map database.

3.109. A comprehensive elaboration of the use of maps for dissemination of census statistics is presented in "Geographic products" under "Census data dissemination: products and services" (see paragraphs 3.349-3.366).

V. Census tests

3.110. The testing of various aspects of a census plan prior to the enumeration is of critical importance for all countries, and an essential one for countries without a long history of census-taking, especially for those in which fundamental changes in census methods or use of new technologies are being considered. Census tests can be designed for different purposes and in different ways. To yield full benefits, tests should be employed for all stages of the census, including enumeration, processing and evaluation of results. Separate tests should be conducted to test new technologies such as the Internet and handheld devices in order to allow identifying problems linked to the data collection application design and architecture, the data transfer system and the integrity and security of data transferred. Such tests can give important information on the adequacy of the field organization, training programme, extent of respondent burden, processing plan, budget and other important aspects of the census. They are particularly valuable in probing for weaknesses in the questionnaire, in the instructions or in enumeration procedures that might affect the quality of the data. They can be designed to provide information on the relative efficacy of alternative methods of enumeration and technology, and on the average time required for enumerating a single household or a single set of living quarters. Such information is useful in estimating staff and cost requirements. In addition, census tests serve as practical training for the nuclear staff of supervisors and other officials.

3.111. When carrying out census tests, probability samples of geographic areas or units are not usually necessary. Since the purpose of the pilot census and pretest is to judge the operational feasibility of a proposed course of action for the main census rather than make population estimates, purposive samples can usually be used for such tests. Purposive selection of one or a few geographic areas is generally preferable for such feasibility testing. Purposive samples are also particularly useful when it is necessary to test census questionnaires and methods in areas with particularly difficult conditions. On the other hand, when overall quantitative measures are needed for comparing efficiencies of different procedures (for instance, in examining the anticipated response errors arising from different systems of enumeration), random sampling procedures must be used.

3.112. The first kind of tests carried out during census preparations are questionnaire tests. Their purpose is to test the suitability of intended census questions, including their formulation and the instructions provided, as well as the suitability of the questionnaire design. Such tests can be particularly helpful in assessing the suitability of the proposed material for enumerating specific population groups, as well as the general public. These tests are also used for estimating the time requirements in enumeration. It is practical to carry out questionnaire tests on a small scale in several purposively selected places. Because they are relatively inexpensive, repeated rounds of questionnaire tests may be carried out until a satisfactory questionnaire has been evolved. In this regard, testing the questionnaire using eye-tracking technology is beneficial to design questionnaires more scientifically as reading patterns of respondents can be recognized technically through this test.

3.113. A comprehensive test of all census procedures is often called a "pilot census". Such large-scale tests should be designed and managed to thoroughly test the entire census infrastructure. Essential features of a pilot census are coverage of one or more sizeable administrative divisions and encompassment of the preparatory, enumeration and processing stages of a census, by which it thus tests the adequacy of the entire census plan and of the census organization. In order to best serve this purpose, care should be taken to ensure that conditions in the pilot census are as close to the conditions that would be present during the actual enumeration as possible. For this reason, it is often taken exactly one year before the planned

census so as to conform to the expected seasonal patterns of climate and activity. It is generally unwise to consider the pilot census a source from which to derive usable substantive data. Apart from the sampling problems involved, such a use inevitably detracts from the central purpose of the pilot, which is to prepare for the main census.

3.114. It is critically important to undertake a set of tests of the information and communication technology (ICT) solutions and production systems that are planned to be applied in the census. Depending on the extent and characteristics of ICT, these tests should include all ICT components related to the fieldwork and to data transfer, entry and processing well ahead of the census itself. This is particularly important if a new technology is being introduced, such as the Internet, handheld devices or other electronic collection tools, and scanning the questionnaires as a means of capturing data. Tests should include the testing of applications, systems and the equipment itself, as well as the underlying circumstances necessary to avoid equipment malfunctioning, such as climate, or significant delays due to inadequate quality of paper causing paper jams or unexpected problems in programming activities. In the context of new approaches using electronic data collection, testing should include daily data transfers to the major depository of data. Testing the efficiency of data entry rules, coding, editing and tabulation applications should be done based on results collected by the pilot census.

VI. Living quarters and household listing

3.115. A list of sets of living quarters, structures containing living quarters or households that are available at the start of the census is an instrument for the control of the enumeration, particularly in the absence of adequate and updated maps. Such a list is also useful for estimating the number of enumerators and the number of schedules and other census materials needed in an area, for estimating the time required for the enumeration and for compiling provisional results of the census. It is also very useful for determining the enumeration areas and for establishing necessary links between population and housing censuses when they are carried out separately. Finally, it can be used as guide to monitor the completeness and quality of the enumeration of the population in a given area.

3.116. Consideration should be given to providing permanent identification to streets and buildings, which can be used for successive censuses and for other purposes. A listing of sets of living quarters, particularly in densely settled places, cannot be made unless streets have names and buildings have unique numbers. Individual apartments in multi-dwelling buildings need to be numbered or otherwise unambiguously identified. Where these prerequisites do not exist, numbering immediately prior to the census would prove useful.

3.117. Where such information is available, it is useful to provide the enumerators with additional assistance in the form of lists of addresses to visit. Address lists will be essential if self-enumeration, whereby questionnaires are sent to the households by mail, is part of the plan. Some countries have population registers that allow more or less complete address lists to be generated relatively simply. The census can then not only use these lists, but also assist in further improving the population register by reporting any discrepancies found in the field. Where official population registers are not available, or insufficiently complete, it may be possible to obtain additional address lists from postal authorities, utility companies or the private sector (for example, mail order companies). A definitive list for the enumerators could then be prepared by merging the lists obtained from these various sources.

3.118. Where a functioning population register exists, it may be possible to prefill the household questionnaires with information such as the names of the persons expected to be mem-

bers of a household, already available from the register. This reduces the response burden, accelerates the information-gathering process, and helps to pinpoint deviations. On the other hand it might have a negative psychological effect if respondents believed that the authorities were monitoring them too closely. Using one or several registers as the point of departure for a census that still includes full coverage field enumeration is an approach applied in some countries; differences between the register(s) and the field situation will necessarily come to light, and rules will be required to deal with such differences.

VII. Field enumeration

3.119. In recent years, the use of new technologies in conducting censuses has introduced substantial changes in field enumeration. The traditional method of enumerating the population with face-to-face interviews can be applied in different ways, using a paper questionnaire or handheld devices to automatically capture data during enumeration. On the other hand, self-enumeration methods can also be applied in different methods using the Internet. The use of technology during enumeration would be the main challenge for most countries. It should be noted that only countries that have high penetration rates of information technology (including the Internet) have implemented Internet data collection, and mainly in conjunction with more traditional methods. However, these options may never entirely replace face-to-face enumeration, as even where society enjoys a high degree of information technology use, the entire population cannot reasonably be expected to comply to a mode of self-enumeration.

A. Method of enumeration

3.120. There are two major methods of enumeration. In the face-to-face (or enumerator) method, information for each individual (in a population census) and for each set of living quarters and the occupants thereof (in a housing census) is collected and entered in the questionnaire by a census official designated to perform this operation in a specified area. In the self-enumeration method, the major responsibility for entering the information is given to a person in the unit being enumerated (usually the reference person of the household), although the questionnaire may be distributed, collected and checked by a census official.

3.121. Traditionally, each household is contacted and enumerated on a face-to-face basis. This approach is still used in most developing countries and for at least part of the population in many developed countries. In those circumstances where up-to-date and comprehensive address or population registers exist or can be established and the level of literacy is high, the enumeration process often involves mailing out the census forms, or having the public mail back the completed forms. Where telephone and Internet services have broad coverage, telephone and Internet data collection can also be used. Approaches for self-enumeration using different modes of enumeration, such as mailing, telephone and Internet data collection, may also be used in combination with the face-to-face method. In some countries, Internet data collection and postal distribution of the questionnaire, with or without postal return, is used in conjunction with the self-enumeration method. Both procedures can be used exclusively or combined with checking by a census official. Whatever approach is to be used, the complete enumeration plan should be prepared well before enumeration begins. This involves (*a*) the determination of the enumeration method to be used and the basic procedures to be followed in the collection of the data and the control of the enumeration; (*b*) the procedures for the control of the quality of the data; and (*c*) an estimation of the number of sets of living quarters

and the probable size of the population to be enumerated so that the number of questionnaires and other materials required for the enumeration, and the number of enumerators and supervisors needed, can be properly ascertained.

3.122. Each method has its own advantages and limitations. The face-to-face method is the only method that can be used in largely illiterate populations or in other population groups that may be unwilling to complete the census forms themselves or find it difficult to do so. On the other hand, in countries where literacy is virtually universal and educational attainment relatively high, the self-enumeration method may often yield more reliable results at substantially lower costs, particularly if Internet data collection or a mail-out/mail-back procedure can be used. However, postal services may be used to distribute the census forms only when a comprehensive and up-to-date list of addresses is available or can be prepared. Another consideration is the emphasis to be placed in the census on obtaining responses, whenever possible, directly from the person concerned. The self-enumeration method allows for, and its instructions may encourage, at no extra cost to the census organization, consultations among family members when they complete the census form. In contrast, with the face-to-face method it may be prohibitively expensive to encourage enumerators to go beyond even the "first responsible adult" they encounter in each household. In the light of these considerations, it may sometimes be desirable to rely on one method for enumerating most of the population and to use another method in certain areas or for special groups of the population. With the advance of information technology, the penetration of the Internet has increased in recent decades. In these circumstances, it is recommended that Internet survey methodology should be explored depending on national circumstance. This method can be cost-effective, as the expense of printing questionnaires and wages of field staff can be cut down. Also, self-enumeration through the Internet can secure the privacy of respondents, so it would be welcomed as more and more people prefer to protect their privacy. However, a combination of a traditional method and Internet survey can result in duplication during enumeration. Therefore, careful consideration of the management of the dwelling/household list is essential. Overly complex designs should be avoided and adequate quality checks introduced to avoid duplications and frauds.

3.123. The decision regarding the method of enumeration to be employed should be taken at an early stage on the basis of thorough testing of the various alternatives in terms of their costs, the quality of the data produced and their operational feasibility. Even where a method has been followed traditionally, it is well to periodically reassess its relative advantages in light of current census needs and changing techniques. An early decision is required because the method of enumeration used affects the budget, the organizational structure, the publicity plan, the training programme, the design of the questionnaire and, to some extent, the kind of data that can be collected.

3.124. Challenges that affect or hinder the ability to achieve a response should be fully considered when developing the enumeration design and methods. The design should, as far as possible, reflect particular activities or actions that seek to increase the likelihood of receiving a response. Challenges can be grouped into two types: people and physical challenges. People challenges tend to focus on particular subgroups of the population that tend to be difficult to enumerate for a number of reasons. Physical challenges are ones that relate to the type of environment in which the people live. The two are not necessarily mutually exclusive.

3.125. The section on groups that are difficult to enumerate (paragraph 4.48) gives a thorough overview of the more common population groups that are difficult to enumerate and how these might be addressed through the enumeration. Other population groups that pose difficulty in enumerating include people with language difficulties, nomads, migrants, students and older persons.

3.126. **People with language difficulties.** Not all respondents will speak or understand the language(s) in which the census is being conducted. Therefore, consideration and thought need to be given to translation services and materials, with particular consideration given to understanding the types and concentrations of languages required.

3.127. **Nomads.** To successfully carry out the enumeration of nomads, it is particularly necessary to pay full attention to preparatory work in order to determine suitable enumeration techniques. It should be pointed out that there is no absolute methodology for the enumeration of nomads, and conditions vary from country to country. The particular method suitable for a country undertaking to enumerate nomads as part of the census should be determined only after a detailed preliminary study and after field testing. Some of the methods used to enumerate nomads and semi-nomads may be classified as follows: (*a*) group assembly approach, (*b*) tribal or hierarchical approach, (*c*) enumeration area approach, (*d*) water point approach and (*e*) camp approach. Sometimes a combination of two or more methods may be used.

3.128. In the group assembly approach, the nomads are asked to assemble at particular interview sites on certain fixed dates. This method can be adopted only through the administrative or tribal authorities. The tribal or hierarchical approach is a favourite method, since the nomads usually follow what is dictated by the tribal or hierarchical chief. The enumeration work can be carried out as a kind of administrative census by contacting the tribal chief and collecting, sometimes from memory and sometimes from a register, all the needed information on the chief's followers. The other approach is to contact those followers with the assistance of the chief or a representative and to collect the necessary data directly from the household. In this case, the unit of enumeration is not areal but tribal. The enumeration area approach presupposes creating conventional census enumeration areas and then contacting each nomadic household that happens to be staying in the enumeration area during the census. In the water point approach, a list of all water points available to the nomads during the period of enumeration is prepared. Since numerous temporary water points are created during the rainy season, a meaningful list of water points may be prepared with reference only to the dry season. The enumerator is given the task of locating and visiting every nomadic household that may be using a certain water point. In the camp approach to enumerating nomads, a list of camps is prepared together with the approximate location of each within the country, and enumerators are sent to visit all the households in each camp.

3.129. **Migrants.** Recent migrants to the country may be unfamiliar with the language or may be unfamiliar with the census and the reasons for collecting the information. Therefore, as part of developing the enumeration design consideration needs to be given to communicating with these groups, particularly about the benefits of the census, to ensure that they understand and are more likely to respond.

3.130. **Students.** Students can pose a risk to the quality of the enumeration as they tend to be large in numbers and highly concentrated around universities or other institutions for post-secondary education. Therefore some consideration should be given as to whether they require slightly different, more specific methods (particularly if they live in large living quarters) or tailored communication to ensure they understand the benefits of completing a census questionnaire.

3.131. **Older persons.** Particular assistance may be required for the population of older persons, where literacy rates may be lower, or some of the concepts (such as "age") are different to what they remember or relate to. For example, depending on the circumstances, additional materials may be required (such as a calendar of events to help remember or estimate their age) or specific activities to provide assistance in completing a questionnaire or interview from supporters (such as family members, village elders, residential home staff).

3.132. The more common physical challenges that need to be taken into consideration when developing methods for field enumeration include access-controlled properties and rurality.

3.133. **Access-controlled properties.** Some properties, establishments, communities or compounds have controlled access, presenting difficulties in gaining access to undertake an interview or to deliver or follow up on a questionnaire. Access control mechanisms may include locked gates with an intercom to each individual dwelling, or gates or doors managed by a concierge or security guards. When developing enumeration procedures, advice needs to be given as to how to gain access and actions to take if access proves difficult. Some of the activities may include building a relationship with the owner of the properties to approve access to engage with residents; using the postal service to deliver questionnaires to these properties; and additional communication methods (such as a letter informing residents about the census and how to complete their questionnaire or inviting them to arrange a particular time to complete their questionnaire via interview).

3.134. **Rurality.** Understanding the extent of rural populations and the associated logistical and management challenges with running a collection exercise in these areas needs careful consideration.

B. Timing and length of the enumeration period

3.135. The choice of the time of year in which the census will be taken is of great importance. The main consideration should be to select a period in which the census is likely to be most successful and to yield the most useful data. This may depend on a number of factors. First, it is necessary to avoid those seasons in which it will be difficult to reach all inhabited areas because of rains, flooding, snow and so forth or in which the work will be particularly arduous, as is the case during extremely hot weather. Second, a time should be chosen when most people are staying at their place of usual residence; such a choice will simplify the census operations both in a de jure and in a de facto enumeration, and it can make the results of a de facto enumeration more meaningful. Seasons of peak agricultural activity should be avoided because it is difficult to interview persons who work late every day and who may even stay nights on their land if the land is far from home. Great traditional festivals, pilgrimages and fasting periods are also unsuitable times for census work. Since in many developing countries the bulk of the field staff is recruited among schoolteachers and older students, the conduct of the census may be feasible only during school holidays, though, as already indicated, the days of major festivals should be avoided.

3.136. In a country that includes areas of sharply contrasting seasonal patterns of weather or activity or in which potential census personnel are in very short supply, it may be necessary to enumerate different parts of the country at different times or to enumerate the nomads or other special population groups at a different time from that established for the settled population. This, however, is generally not a very desirable solution both because the nomads cannot always be clearly differentiated, and because there may be mobility among the settled inhabitants. Furthermore, such a solution creates complications in respect of the use of the census data.

3.137. When a census has been taken and the census date is found to have been on the whole satisfactory, the next census should be taken at the same time of the year, unless there are strong reasons for changing this date. A regular census date enhances the comparability of the data and facilitates analysis. The tradition of a fixed census date in a country also provides administrative discipline, motivating all those involved in the census to make necessary preparations in a timely manner.

3.138. It is desirable to keep the enumeration period short in order to avoid double counting and omissions, which can occur in spite of a single reference date. On the other hand, the shorter the enumeration period, the greater the number of field staff that have to be recruited, trained and supervised. This increases the cost and may lower the quality of the data. How these different considerations should be reconciled depends on the size and nature of the country and on the resources at its disposal. The length of school holidays is sometimes a restricting factor, although governments of several developing countries, recognizing the great national importance of a census, have prolonged the school holidays in the census year in order to allow teachers and students to work on the census as long as required.

3.139. In recent censuses, most developing countries have allowed about one week to ten days for the training of enumerators, while the enumeration period has generally varied from a few days to two weeks. In the case of using a self-response method through the Internet, the enumeration period can take longer and enumerators may require less training if they are simply going to follow up on non-respondents. Short periods are often feasible in small countries while longer periods may be necessary in large countries with poor communications.

3.140. One method sometimes used to allow sufficient time for enumeration and yet make the census simultaneous is first to enumerate the population over a longer period, say a week or more, and then, in one single day, to recanvass all households, deleting and adding persons as needed to update the files. This procedure is, however, not practicable in very sparsely settled areas.

C. Management and supervision

3.141. A comprehensive and elaborate management system is necessary for resource management and providing timely managerial advice to the field staff. There is no unique approach for the management system; however, it is important to develop a hierarchical and geographically dispersed system for building a direct and effective communication mechanism between the managers and the field staff.

3.142. Adequate supervision of the enumeration is essential for ensuring the quality of the field enumeration. Many countries use a field supervisor/enumerator ratio ranging from 1:10 to 1:15. Periodic control of the quantity and quality of the work accomplished by enumerators and other field staff is recommended, in order to facilitate the correction of inefficiencies and to maintain satisfactory progress during the enumeration period. Periodic and systematic assessment should be carefully organized for ensuring the quality of the work and also for collecting appropriate information about the progress in enumeration for management and supervision of the fieldwork.

3.143. Each staff member involved in the management and supervision system should have a clear job description and should be fully trained for possible problems occurring during field enumeration and their solutions. For an efficient system, it is important to give clear instructions to the field staff for performing their own responsibilities. It is important to note that methods and technologies used during enumeration have a direct impact on the roles of managers and supervisors; consequently, a complete understanding of the characteristics and operational aspects of both the enumeration method and the enumeration technology is a prerequisite for efficient supervision of the enumeration component of the census.

3.144. Depending on the communication facilities and other infrastructure available in a country, different mechanisms for exchanging information among managers and field staff need to be developed. These mechanisms are important for ensuring consistent dispatch of field instructions and also sharing best practices, particularly for finding solutions to unexpected problems during the field operation. The use of portable phones and accompanying technologies, such as SMS, significantly increases communication capabilities.

(a) Management information system

3.145. A management information system for the field operation should be established to collect information needed for timely management and supervision of field operations. To establish this system, the following steps can be considered:

i. Determining information needed for supervising and managing fieldwork;

ii. How and when each piece of information would be collected;

iii. How and by whom each piece of information will be used.

It is important to collect the amount of information that can reasonably be collected with good quality and used effectively, otherwise every additional topic with low priority will affect the cost of collecting reliable information.

The following information can be collected through this system:

i. Information about particular activities that are implemented before enumeration, such as establishment of local census commissions and training of census field staff;

ii. Information about the field staff needed for administrative tasks, such as recruitment and hiring field staff, bank account information for payment, work accomplished;

iii. Progress of enumeration of population and housing units to evaluate if the field operation proceeds according to schedule;

iv. Information about logistics issues, such as shipment of census materials and questionnaires, timing of receiving and sending materials, and number and types of materials.

3.146. Census operations can be made more efficient through the availability of a management information system and use of this system by field staff for administrative tasks and supervision. It is possible to create a quick communication mechanism for key messages and work allocation. This system should be used for producing and submitting regular reports providing information about the progress of field activities and enumeration. There are several ways of collecting such information. Technology-based solutions include the use of SMS, websites and portals, and mobile or handheld applications.

(b) Supervising the enumeration

3.147. A supervision system to monitor the progress of the operation is important to allow for correction of errors and to make necessary adjustments in the course of the fieldwork. In countries where the Internet or handheld devices are used in data collection, a computerized online system can be developed and some automated procedures introduced for the supervision.

3.148. The key to rapid quality control of enumeration is the fast flow of information from supervisors to the local statistical committees and to the central statistical committee. The most efficient way of exchanging this information is via the Internet. If local and regional supervisors have Internet access, information can even be submitted through a password-protected database interface (a web-based application).

3.149. Close monitoring during the enumeration phase is essential to ensure coverage, quality and compliance with deadlines. It must be ensured that all staff involved in the data collection have access to up-to-date reports with relevant information. These reports should be made available periodically in printed or digital form. Data from previous census or other sources can be utilized to improve monitoring and form a database for management indicators.

3.150. As the enumeration is one of the core census processes, each task performed during the enumeration stage must be carefully planned, executed and supervised to achieve the

qualitative and quantitative targets. For successful monitoring of field enumeration, actual performance should be evaluated against the set targets. The following are recommended to achieve the desired outcomes.

i. Using historical data

3.151. Data from previous censuses and other relevant data sources such as household surveys and administrative registers should be used as a benchmark to determine the data needed for monitoring the performance of enumerators. This information can be used for monitoring actual performance in the enumeration against set goals and targets. Examples of historical information include total population of previous censuses; population growth rate; sex ratio; urbanization rate; proportion of vacant dwellings; and occasional use dwellings in relation to those occupied.

ii. Setting goals and targets

3.152. As a population census is a time-bound project, extension can be considered as failure. Setting goals and targets will be very important to measure if the series of activities is under control or not. Goals and targets for measuring the quality of enumeration and for systematic monitoring of enumeration can be set based on experience of previous censuses and other relevant data sources. The following indicators can be used for monitoring enumeration: (*a*) proportion of occupied and vacant dwellings; (*b*) average number of residents per dwelling; (*c*) response rate and refusal; (*d*) population size; and (*e*) population growth rate. Significant deviation between the target values and enumerated values may indicate a problem in the collection process. Estimation of housing units and population—if available—based on census maps and the listing of living quarters and households can also be used as information for monitoring the enumeration.

iii. Preparing policies and procedures

3.153. Policies and procedures to be used as the baseline for monitoring during enumeration should be defined at an early stage of the census, with endorsement from the highest levels of decision-making, for proper management support. Therefore, it is important that there is a stage of evaluation of the previous operation in order to identify gaps and improve control procedures and execution of work.

D. Use of technology

3.154. Technology is becoming increasingly important for conducting population and housing censuses. The technological tools and instruments described below are well documented in national practices in conducting the population and housing censuses in the 2010 round, covering the period 2005-2014, and as such can be considered in planning for the next round of censuses, taking into consideration particular conditions of each country.

(a) Electronic questionnaire

3.155. Combined with or completely replacing the paper questionnaire, an electronic questionnaire can be used in either the face-to-face or self-enumeration method. Electronic forms can provide improved data quality and operational efficiencies by implementing validation rules on individual questions, cross-validation between questions or with other records, automatic sequencing (leading the operator to the next appropriate question), more options in pull-down lists, capturing more detailed data, providing computer-assisted coding and the ability to ask tailored supplementary questions. Electronic questionnaires can give access to guidelines, explanatory material and even videos to provide instruction to the interviewer or household.

3.156. Electronic questionnaires can also provide census results more quickly by transferring data to a central database immediately or soon after the enumeration, either using real-time connectivity, or by transferring using physical media to a local centre. Online transmission should be encrypted and secured for confidentiality purposes. Electronic forms reduce the amount of material (such as questionnaires) to be printed, distributed and returned, and reduce data scanning and capture costs and errors. The electronic questionnaire can also capture a range of operational information that can be used to monitor operations and analyse responses, including the time taken to complete the form, the date and time the form was completed and the device used to complete the form.

i. Electronic questionnaire: face-to-face method

3.157. Census interviews can be undertaken using an electronic questionnaire on smart phones, tablets, laptops or other devices. Each device or enumerator can be linked with the enumeration area so that the records are tagged with the respective enumeration area to avoid duplication. The device may also be able to capture information on the location of the interview, time of day and other metrics that may be useful.

ii. Electronic questionnaire: self-enumeration method

3.158. Achieving a good percentage of enumeration using this method can reduce the operation costs substantially. Electronic questionnaires for households should be implemented in a secure Internet portal and also in secure documents that are distributed via email. Households are usually provided with a unique identifier that is used to initiate their questionnaire or resume a partially complete questionnaire via the Internet. Households may prefer to respond using an electronic rather than a paper questionnaire for its convenience. If the census is collected in a multimodal approach, for example offering both electronic and paper questionnaire options, a system will be required to track the status of each dwelling (questionnaire) throughout collection to ensure completeness of coverage and ensure non-response follow-up is not conducted with responding dwellings.

(b) Handheld or mobile devices

3.159. Whether using a mobile device for canvassing or, as is more often the case, for communication and supervision of fieldwork, it needs to be determined whether the census agency will purchase and provide the device, or whether the field officers will use their own devices. As the availability and proliferation of devices increases, there can be financial benefits, as well as reduced training needs, if field officers can utilize their current device rather than be provisioned with a new device. Although this does introduce a range of technical, security and legal considerations, this deployment option has been commonly used with mobile phones for the last ten years in a number of nations. Another significant consideration is the fact that mobile phones operate on different platforms; developing applications that would enhance communication and monitoring would necessitate developing for different platforms and that increases the costs and efforts.

(c) Geographic information system

3.160. Geographic information systems may be used to create digital maps on GPS-enabled handheld devices, as well as to produce paper maps. For each enumeration area, buildings can be identified within the application using GPS coordinates. As the households to be visited are known, GPS coordinates can be used by a navigation option built for the device to allow enumerators to reach the household easily. An extensive elaboration on the use of both GIS and GPS is presented in chapter IV above.

(d) Contact centre

3.161. The contact centre or call centre is an important element and can be used in each and every step of the census to support field operations. Interactive voice response technology can be used to address the call to a specific agent based on the options selected by the caller, or to resolve the call by providing a common answer. Website call-back and chat can be implemented to help respondents while filling the online e-questionnaire in the portal.

(e) Short messaging service (SMS)

3.162. SMS may be used in various stages of the census project to share information with field personnel and respondents. The service may be used to send passwords, guidelines, alerts, marketing messages, reminders, etc. If the SMS gateway is integrated to the central database of the census, alerts can be sent to the census management upon various critical business events and when violation occurs, for example when the monitoring system detects that "coverage is lower than expected".

VIII. Data processing

3.163. No matter how thorough and accurate the census enumeration is, the usefulness, quality and timeliness of the census tabulations will suffer unless the collected data are properly processed. An important element of a successful processing operation is the close and continuing collaboration, at all levels, between the data-processing staff, the subject matter staff and the general statistical staff. At a minimum, the subject matter and general statistical staff will need to become familiar with and take a continuing interest in the processing plans and operations, while the processing staff will need to become familiar with and take a continuing interest in the substantive aspects of the census.

3.164. Plans for data processing should be formulated as an integral part of the overall plan of the census, and those responsible for the processing of the census should be involved from the inception of the planning process. Data processing will be required in connection with the results of census tests, compilation of preliminary results, preparation of tabulations, evaluation of census results, analysis of census data, arrangements for storage in and retrieval from a database, identification and correction of errors, and so on. In addition, data-processing technologies are playing an increasing role in the planning and control of field operations and other aspects of census administration. Data processing has an impact on almost all aspects of the census operation ranging from the selection of topics and the design of the questionnaire to the analysis of the final results. Therefore, data-processing requirements in terms of personnel skills and knowledge, space, equipment and software (computer programs) need to be looked at from the point of view of the census as a whole and at an early stage in the planning.

3.165. The existing data-processing staff will certainly need to be expanded and will probably need some upgrading in terms of skills, particularly if new computer hardware or software is to be used in the census. Any training that is required should be completed early enough so that those benefiting from the training can play an active role in census planning and operations.

3.166. Decisions will need to be made concerning the location of the various data-processing activities within the country, including the extent to which the processing work is to be decentralized. This decision should be partly based on the ability to recruit the required personnel for the processing operations. Acquisition of both equipment and supplies can require long lead times; estimates of both data capture and computer processing workloads must be made

early to enable timely procurement. Closely related to the question of equipment is that of the provision of adequate space. Although the maintenance of most personal computer equipment no longer requires adherence to rigid standards in terms of temperature, humidity, dust and so on, attention to issues related to power supplies is still important. Inevitably, more important is the attention to be devoted to the maintenance of servers (especially heavy duty servers), where most of the information is likely to be processed and saved, as well as the data transmission infrastructure. The last issue is essential to ensure smooth and noiseless Internet and web communications between different units and centres engaged in census operations. Moreover, in the case of traditional archiving, a well-protected space for the storage of the completed census forms before, during and after processing will have to be secured.

3.167. In addition to considering the hardware, decisions will have to be made on the software to be used in editing and tabulating the census data. Several portable software packages are available for census editing or tabulation. Commercial personal computer spreadsheets, databases or tabulation packages are also available. Every country should assess its software requirements in the light of its own needs and resources. Regardless of the software used, sufficient time will have to be allowed for customization of the software and training staff in its use.

3.168. Outsourcing some of the predominantly IT-related operations may be considered. Outsourcing should be implemented in such a way as to bring immediate economic and quality advantages to census operations. Furthermore, national statistical offices should take adequate measures to ensure that outsourcing of census operations does not compromise data confidentiality and that necessary steps are taken so that the contractor does not have free access to the basic census databases. It is worth mentioning that responsibility for hosting of census databases rests with the national statistical offices and that outsourcing of these activities is not recommended. In short, outsourcing should be implemented so as to facilitate a transfer of knowledge into the census organization and always in such a way that essential features, such as the privacy of individual respondents and the confidentiality of the data, are fully protected.

A. Method of processing

3.169. The appropriate method of processing is determined by the circumstances of each country. Rapid advances in data-processing technology have greatly increased the speed and reliability of producing detailed tabulation, thereby making computer processing the standard method of processing around the world. Furthermore, an alternative to mainframes, whose computational power was necessary before the advent of lighter and more scalable IT hardware solutions, is the use of a client-server environment. Several lighter tasks, including editing and tabulation of data files, can very well be done on small-sized desktop systems that can be placed in substantive departments and in field offices. On the server side, most of the heavier computing operations, such as scanning, aggregation and analysis of large sets of microdata, coordination of data transmission, Intranet web hosting and so forth, can be executed more reliably than on microcomputers. However, a client-server environment to handle census data must operate over a robust and secure local area network (LAN) or wide area network (WAN). Therefore, computer work is not necessarily dependent on a centralized data-processing facility, provided that a robust LAN or WAN interconnects workstations dispersed over various offices, buildings and different parts of the country.

3.170. In a census office that utilizes a networked computer environment, the central file or database servers allow both data and programme files to be stored in a central location. This system economizes specifications of client computers and removes the need for much

physical movement of programs and data on other computer media. Data storage requires frequent backups of system information to avoid major data loss due to hardware or software faults. Thus, servers have a strategic importance, and their location and administration must be well-defined and secure enough to ensure data protection. Also, it is recommended that proper business continuity and security policies duly certified by the competent authorities should be in place.

3.171. In determining the type of equipment to be employed and the advisability of a new machine installation (either complete or partial), or of additions or upgrades to existing equipment, consideration should be given to all the processing requirements of the data collection programme for which the population and housing census is but one part. Only on this basis can a reasonable decision be made. Decisions on the type of data-recording equipment and computer equipment should be made at least one year in advance of the scheduled date of enumeration in order to allow appropriate questionnaire design and proper preparation of instructions to enumerators, development of coding schemes, specification of data-handling controls and procedures, and recruitment and training of data processing personnel. Rapid processing of a pretest or pilot census that covers end-to-end census operation, including enumeration, initial census result, output dissemination, and handing over and closure procedures, is particularly important for identifying improvements needed in the census questionnaire, instructions to enumerators, computer systems or whatever other preparations may be needed. It is recommended, therefore, that arrangements for using appropriate equipment and software be made well in advance of such tests. It is also recommended that all systems used to support census operation be thoroughly tested in advance of operations to ensure that they function as intended and that they are secure (that is, they will not lead to loss of data).

B. Preparation for data capture

3.172. In the case of paper questionnaires, the most common procedure is to have the census documents arrive in the processing centre in batches by enumeration area. Maintenance of these batches throughout the data processing is recommended, since documents for a given enumeration area reflect the work of one enumerator and may contain a series of errors typical of that person. To ensure the integrity of the batches, the census documents should be stored in a specially designed census document storage facility. The batch for each enumeration area should first be checked for completeness, geographic identification codes and other characteristics of acceptability before being sent to the next stage of data processing. Transcribing all coded data onto another sheet (for example, the coding form) should be avoided since it may add transcription errors. The same considerations apply to the case of electronic transmission of questionnaires or when the first phase of data processing consists of the scanning and text or image recognition of census questionnaires. In the case of questionnaires transmitted electronically (self-enumeration on the Internet or using e-forms), it is appropriate to set up a metadata model where the enumeration area can be recorded. As far as storage is concerned, if paper questionnaires are scanned, secure media for their backup, not only the originals in paper, should be planned for.

3.173. If the census is conducted in a multimodal approach, for example using self-response by Internet and field follow-up of non-respondents, it will not be possible to batch questionnaires by enumeration area for processing. A master control system will be required to track the status of each dwelling (questionnaire) throughout collection and processing operations and ensure completeness of coverage.

C. Data capture

3.174. Converting the information obtained in the census using paper questionnaires to a format that can be interpreted by a computer is called *data capture*. It is possible that several simultaneous and different methods for data capture are being used in a census. They include keyboard data entry, (including collection by Internet or using handheld or laptop computers), optical mark reading, optical character reading and image-processing techniques, such as intelligent character recognition. Computer-assisted keyboard data entry is usually carried out using personal computer data entry programs with built-in logic controls. Some of the tasks accomplished by the programs are (*a*) verifying that enumeration area codes are valid, and copying them automatically from one record to the next; (*b*) assigning a number to each person in a household automatically (and perhaps to each household within an enumeration area); (*c*) switching record types automatically if the program's logic requires it; (*d*) checking that variable values are always within predetermined ranges; (*e*) skipping fields if the logic indicates doing so; (*f*) supporting keyboard verification of the information entered earlier; and (*g*) generating summary statistics for the operator and the batch. In order not to delay the data capture task, data entry applications should limit checking to problems that are either very serious (for example, wrong enumeration area code), or likely to be caused by a simple misread or key entry mistake. More sophisticated checking is deferred until the editing stage.

3.175. Optical mark reading (often called optical mark recognition) equipment has been available for many years and has nowadays reached good levels of reliability. Optical mark reading is the simplest of the commonly available form data capture technologies. Owing to relatively stringent requirements for the successful data capture of the paper, countries with very dusty or humid climates and poor transport infrastructures are discouraged from using optical mark reading. It is necessary to heed special questionnaire design restrictions and consider the quality of the paper, and adhere to precise specifications regarding the printing and cutting of the sheets. In some developing countries, this may mean that local production of the questionnaires will be problematic. The need to reserve a relatively large space for marking areas and to adhere to other limitations imposed by optical mark reading equipment sometimes make it difficult to design the best questionnaire from the point of view of the enumeration process.

3.176. Optical mark reading questionnaires can be marked by the respondent or by the enumerator. Marking by respondents is attractive from a cost perspective, but it depends on the presence of a cooperative spirit and relatively universal literacy. A practical problem is that most optical mark reading devices put restrictions on the writing instrument and the colours that can be used in the marking. Assuming the rules are followed, the rejection rate for marked forms is often low, especially if the forms have been inspected visually before being fed into the readers. Converting a manually completed census questionnaire to optical mark reading format after it has been received in the census office is inefficient and becomes a source of errors, and should therefore be avoided.

3.177. Optical character reading (also called optical character recognition) and intelligent character recognition consist of the use of special equipment to read characters at specific locations in the questionnaire. These two terms identify very similar technological approaches. Specialized sources tend to identify with optical character reading the capability of recognizing printed characters only, whereas intelligent character recognition would extend this capability to handwritten text. There is no agreed definition of intelligent character recognition. In the context of censuses, therefore, this would require that handwritten text in the filled-in questionnaire be as standard as possible so as to enable efficient recognition. In general, recognition of numerals is more efficient in an uncontrolled environment, that is to say, where the machine has not been adapted to the writing style of a particular person. Optical character reading and intelligent character recognition technology has matured considerable with sophisticated recognition algorithms and the use of neural networks for self-learning.

3.178. Imaging techniques and scanner devices, together with optical character reading and intelligent character recognition software, have been used by several countries for data capture. Experience shows that significantly low error rates are achieved at an optimum cost using these techniques. The efficiency is greater in the case of numerical and alphanumerical characters written by trained enumerators. However, alphanumerical characters are prone to higher error rates. Extensive testing must be conducted well in advance to determine the best type of equipment and paper. The use of imaging techniques is also dependent on the availability of local maintenance and support capabilities. Whatever methods of coding and data capture are chosen, it is essential that they be carefully tested before final adoption. Recognition engines can be customized to recognize various sets of characters and scripts, but unless good experience is available at the census office, careful planning and preliminary work are needed in conjunction with the optical character reading or intelligent character recognition system providers. A combination of intelligent character recognition (for numerical characters) with computer-assisted coding (for alpha characters) is also an effective method used by some countries.

3.179. In addition to the benefits of the scanning technology for capturing the information, an important by-product of scanning census questionnaires is that this allows for the possibility of digitally filing and naming the scanned questionnaires. This increases the efficiency of storage and retrieval of the questionnaires for future use, particularly during subsequent data-editing operations.

3.180. The quantity and type of data entry equipment required will depend on the method of data capture selected, the time available, the size of the country, the degree of decentralization of the data capture operations, and a number of other factors, such as the use of digital enumeration approaches. For keyboard data entry, the average input rates usually vary between 5,000 and 10,000 keystrokes per hour. Among the factors that affect operator speed are (*a*) the supporting software and program with easily navigable screens, spell checker on the description fields if any, keyboard shortcuts throughout the program, less utilization of the computer mouse, and so forth; (*b*) the complexity of the operators' tasks; (*c*) the ergonomic characteristics, reliability and speed of the equipment; (*d*) the question of whether work is always available; (*e*) the training and aptitude of the recruited staff; and (*f*) the motivation of the workers.

3.181. Several options are available to help ensure that data entry operations are completed in a timely manner. They include (*a*) procuring more equipment; (*b*) increasing the number of working hours by working double or even triple shifts and during weekends; and (*c*) applying independent verification to varying extents. In the case of keyboard data entry, with the increasing safeguard of data quality by data entry programs, complete verification has become less necessary. Full independent verification may be applied only in the initial stage of data entry and may be reduced when each worker has achieved an acceptable level of quality. After that, a sample verification plan can be applied. Operators may be assigned to sample verification depending on their observed error rate. The work of reliable operators may be verified only for a small sample of the enumeration areas, while more extensive verification is continued for the more error-prone operators.

D. Coding

3.182. Whenever possible, precoded responses should be used in census questionnaires with numerical or alphanumerical codes. Since computer editing and tabulation of textual material are not practical, verbal responses will have to be replaced by a code. This can be done by a dedicated computer program for automatic coding or by a coder (possibly computer assisted) for situations where answers cannot be automatically coded. There are obvious advantages to directly coding the respondent's answer into the questionnaire during the interview, since the

respondent is still present to provide clarifications if necessary. Unfortunately, in most cases this is not practical because enumerators are normally insufficiently trained and they cannot be expected to carry the required codebooks and manuals during census enumeration. In any of the enumeration methods, the response can be collected as text, and later converted to proper code by coding experts. Given the size of the coding operations in a census, time should be spent optimizing the automatic coding operations to reduce human intervention (see paragraph 3.187).

3.183. Automatic or computer-assisted coding will efficiently support the coding activity, reducing coding errors and speeding up the coding process. When required, a coder normally works with one or several codebooks for various items in the questionnaires. Coders may specialize in certain variables, with one group of coders handling only geographic references, another responsible for detailed occupation and industry coding, and so forth. In any event, this is tedious work and can be a major source of errors. To avoid new sources of errors, coders should not rely only on their memory; they must base their function on the use of the codebooks.

3.184. Computer-assisted coding uses personal computers to assist the coders. The process requires that all the codes be stored in a database file and be accessed by coders during the coding operation. Computer-assisted coding is based on at least two general approaches. In the first one, coded answers are matched to a set of keywords. Textual information from the census questionnaire is parsed and compared to an indexed list of keywords, and then the likelihood of matching between found keywords and coded answers is measured and scored. If the score results are over a certain (high) threshold and there is no ambiguity, a sorted list of coded answers is presented to the coder, who retains the ultimate decision of accepting or refusing the system's proposed answers. In using this method, it may be advantageous to change the order of activities so that the capture of precoded information in the questionnaire occurs first, followed by the capture and computer-assisted coding of the remaining information.

3.185. In the second approach, which is mainly used in image processing of data (intelligent character recognition method) for non-Latin or multilingual countries, owing to the difficulty and existing problems in character (alphanumerical string) recognition, the procedure is as follows. After the scanning and during the coding operation phase, the image of the text will be shown on the monitor, and at the same time, a pull-down menu from a coding database will present the coder with the ability to enter as few key entries as possible to get to the full textual and coding content of a specific case. When the coder selects a code, it will be allocated and saved in the database for that specific case. Although this approach is more time consuming and costly in comparison to the first approach, the quality of coding is much higher than in the traditional way of coding.

3.186. On the other hand, both techniques have several similar advantages: (*a*) capturing the precoded information at an early stage leads to some data files becoming rapidly available, which opens up the possibility of generating and releasing preliminary census results; (*b*) the computer-assisted coding process provides an opportunity for a computer system to alert the operator to problems with data supposedly already captured, for example, missing information for a fully precoded variable; (*c*) the coder works directly on the computer screen; and (*d*) information from other variables may be helpful in determining applicable codes for write-ins.

3.187. Automatic coding is a process in which the decision about the code to be assigned is delegated to a computer program. The main difference from computer-assisted coding consists in the automatic acceptance of the answer if its score is over a predetermined threshold and relatively higher than possible identified alternatives. Both computer-assisted and automatic coding systems may exploit self-learning capabilities of neural networks to fine-tune their capacity of detection. A human operator becomes involved only in those cases where the software cannot resolve the issue. Computer coding may use, in addition to the written response

for the item in question, other relevant information available in the record or the questionnaire. Therefore automatic coding is more applicable in cases where the data-capturing process has already been completed, by Internet, handheld devices or other forms of electronic data collection, manually or by some form of automatic reading. Developing computer software for automatic coding is a complex task. Automatic coding methods need to be complemented by computer-assisted or conventional coding methods for unresolved responses.

E. Data editing[66]

3.188. Raw data files contain errors of many kinds, some generated by respondents and others caused by enumerators who misunderstood the respondents' answers. Further mistakes are introduced in the data-processing operations and during coding and data entry, or in the course of the transcriptions that take place. From an operational point of view, such errors are of two types: (*a*) those that have the potential of blocking further processing (critical errors); and (*b*) those that introduce distortions into census results without interrupting the logical flow of subsequent processing operations (non-critical errors). All of the first type of errors and as many as possible of the second type must be corrected. Prior to error correction operations and in case there is a need to go back over work, precautionary action should always be taken by following proper management procedures and versioning the changes with a backup copy of the original data file at every stage.

3.189. Since for large censuses manual correction is rarely economically feasible, the conditions for such corrections are usually specified in specially designed computer programs for automatic error scrutiny and imputation based on other information for the person or household or for other persons or households. Whenever imputation is used, a flag should be set so that analysts are able to distinguish between reported information and that imputed by the editing system. For cases where sufficient information is unavailable for the specific persons or household to correct apparent errors, imputation methods can be used such as the hot deck approach. This technique uses information obtained from previously processed persons, families or households with similar characteristics as the "best suited" value in replacing missing values or values that have failed processing edits. However, this technique requires careful programming work, considering that the search for appropriate information in the census database would slow down computer program execution.

3.190. In some cases, the best solution will be to move out-of-range or clearly inconsistent values into a special category, prior to deciding how such cases should be edited and classified. In this way, the pitfalls of introducing statistical biases are considerably reduced. But precautionary measures should also be defined and set for the fact that overambitious automatic editing programs may cause the so-called "corrected" data to be significantly flawed. In this respect, it would make sense to have an acceptable cut-off value for error rates at the enumeration area level. If a data scrutiny program finds that more than a certain percentage of the records in a particular batch have one or more serious problems, the whole batch should be rejected and subjected to human or fieldwork verification.

3.191. Editing and imputation rules should be formulated by subject matter specialists, not by computer programmers; also, an error scrutiny and editing plan should be elaborated at an early stage of the census. A set of consistency rules and corrective measures should be put in writing and made available to the programming staff, leaving no room for confusion, misinterpretation or unwarranted independent initiative. The computer programmers should implement these editing rules by working as a part of a team with the subject matter specialists. The programs should be tested by subject matter experts and software testing experts for various scenarios before using them with the census data set.

[66] For further details on census data editing, see *Handbook on Population and Housing Census Editing*, Revision 1, (United Nations publication, Sales No. E.09.XVII.11).

F. Validation

3.192. The outcome of editing is a set of records that are internally consistent and in which person records relate logically to other person records within the same household. This process does not, however, provide the full range of assurance necessary to accept the data set as the best possible. A range of conditions could cause errors that cause the data to be consistently wrong: for example, perhaps a condition in the editing suite itself is set incorrectly; proportions in an imputation program may be miscalibrated; or enumerators may complete a collection control panel incorrectly. To identify such consistent errors it is necessary to critically review some key aggregate tables to isolate outlier aggregates and identify the cause of the unusual values. These key tables may be a subset of those intended for output or may be tables specifically designed for this purpose.

3.193. It is recommended that a bottom-up approach be used in this process. That is, the tables should first be examined for a selection of enumeration areas, then the next level up and so on up to the first set of national tables. There are two reasons for this:

(*a*) The first enumeration area will complete the processing cycle well before any other geographic level. Thus, commencing at this level gives the earliest possible warning of a problem, enabling corrections to be made before a large amount of reprocessing is required.

(*b*) It is far simpler to examine a few hundred records within an enumeration area than to attempt to resolve the problem in the millions of records in a national file.

3.194. A crucial stage in the process is designing the analytical tables. One way of approaching this could be to identify a set of variables that are conceptually consistent with those in the previous census (or a major survey) or administrative records from various authorities in the country, such as expatriate visas issued, national ID programme or number of registered establishments. Thus a set of benchmark values could be constructed before the census operation commences and compared with those from the current enumeration. The content of the benchmark set will depend upon the content of the enumeration, and much of this must therefore be determined by each country. However, any census will include the variables age and sex, so a comparison of the age pyramid and sex ratio for each ten-year age cohort would be basic elements of such analysis.

3.195. A second component of the analysis is the compilation of a set of information regarding expected changes since the benchmark survey. For example:

(*a*) It is possible that in the time since the previous collection improvements in maternal health care programmes have led to an increased survival rate for women. Thus intercensal cohort survival ratios for females should be higher for younger women than older ones.

(*b*) If literacy is included in the analysis, and government policy has been to strongly support increased school attendance, an increase in the proportion of literate people could be expected.

3.196. There will be a need for careful judgement when the analytical tables show a significant and unexpected difference from the benchmarks. While it may be found that the difference is due to a problem with the current collection, it could also be due to:

(*a*) A problem in the collection that has generated the benchmarks;

(*b*) A genuine and previously undetected social change that is being correctly revealed by the current collection.

3.197. In the latter two cases it would be wrong to make any change to the current data set. However, it is crucial that details of the investigation are made known to users (by preparing suitable metadata) so that they would be able to treat and analyse the data correctly. If the

analysis indicates that there is a problem with the current collection, it will also be a matter for judgement on how to react to it. One proposition is to revise the input processing system in order to prevent the problem from being perpetuated. After applying such changes, and in order to avoid introducing further problems, it is essential that they be fully tested and accepted. The second proposition is to make a decision as to whether or not to reprocess the records that have already been processed. This decision should be guided by the following:

(*a*) Significance of the error;

(*b*) Number of questionnaires that have already been processed;

(*c*) Time duration for the reprocessing;

(*d*) Impact of such a decision on other consecutive phases of the census (such as tabulation and dissemination);

(*e*) Cost and expenditure of that decision.

G. Processing control

3.198. Careful planning and control are required to ensure an uninterrupted flow of work through the various stages from receipt of the census questionnaires through preparation of the database and final tabulations. The plan should provide for the computer edit to follow closely the coding, checking and recording of the data so that errors can be detected while knowledge related to them is fresh, and appropriate remedial actions may be taken.

3.199. Countries may wish to establish a computer-based processing management and control system to check individual forms or groups of forms for each enumeration area or for other processing units. Such a system should link the databases for enumeration areas and other geographic entities with the control information. The system would check and manage progress from process to process so as to ensure the completeness of records at each stage of the processing operations. As specified earlier, project management software may support the formal description of different processes and provide an environment to control the execution of all operations connected to an individual phase or status of the census. This system should be fed into the overall quality assurance and improvement system, the management of which is elaborated in paragraphs 2.192-2.200. If a computer-based processing system is established, a close and real-time communication between the headquarters, local offices and field enumerators should also be established. This is beneficial to the control of field staff and the management of logistics of enumeration materials. Also, as any problem occurs in the enumeration field, this solution can be shared through the bulletin board in the system, which can greatly reduce non-sampling error.

H. Master file

3.200. When data editing is in progress, new files consisting of clean data records for each person are produced; these can be assembled so as to build a master file for later tabulations (often called the microdata file). This master file, like the raw data files, can have a simple rectangular sequential format. There is usually no need for having the master file organized with a database structure with index files (but neither should it be discouraged). However, the master file should usually be maintained in geographic order, starting with the lowest geographic entity, sorted by housing unit, household or family. Another method commonly used to generate tabulations involving both the individual and the family, household or housing unit is to include in the head of household's record selected characteristics of these latter units. Alternatively, a single hierarchical file can be created involving, for example, person,

family and housing unit records. Whatever the chosen structure, the master file must allow for easy checks, controls and computations to be performed.

3.201. One of the most common and problematic errors in census files is that different enumeration areas carry, for one reason or another, the same identification codes. Upon sorting the file, these enumeration areas may have been merged, generating households with abnormal characteristics such as two heads of household, twice the usual number of members, two housing records, and so on. To avoid this problem, the enumeration area geocodes should be checked carefully prior to the editing phase. This is best done by keeping a check file of all expected code combinations, and marking a code as "used" once an enumeration area using the code has been processed. A module of this functionality can be part of the editing programme. The check file will serve to flag impossible or double identification codes, and towards the end will show which enumeration areas were expected but have not been processed.

3.202. Census master data files are usually very large and require powerful servers to process. Well-equipped desktop systems have higher computational power and are equipped with much bigger and cheaper mass storage devices than in the past. Nonetheless, the hardware infrastructure available to several countries is older, thus two strategies are applied to reduce file size and to make data management simpler. The first involves working with the next lowest geographic entity as a basis, processing the data on this level and aggregating later to obtain national results. The second remedy is to apply on-the-fly compression and decompression to the storage medium. Census files can be compressed quite significantly to less than 20 per cent of their original size. Since tabulation programs access the data in sequential order, using the compressed data will result in a faster reading process.

I. Methods of tabulation

3.203. Preparing the tabulation plan is the substantive responsibility of the demographers and other subject-matter specialists who have the necessary expertise in interpreting the census results. This will require consultation with principal users of the census information (see paragraphs 2.98-2.113). The duties of the data-processing department should be limited to checking the logic of the various accumulations, designing the required programs and producing correct results within the shortest possible time. It is possible that the need for initially unforeseen tables will become apparent, so the census organization should always be prepared to produce additional aggregations. This may involve newly defined classes for certain variables, new types of cross-classifications, differently defined geographic subdivisions, and so on. If the master file is organized according to the principles of relational databases in a relational database management system, original and additional aggregations can be designed according to relatively easy structured query language statements. In the case of a list of records with a rectangular structure, online analytical processing tools might be used to generate multidimensional tabulations. However, if the information needed to produce these aggregations is not available in the master file, it will usually be prohibitively expensive to attempt to add this information at a later date.

3.204. The use of software packages specifically designed to produce census tabulations is highly recommended. These packages will make the job of preparing a useful program much simpler (and thereby help prevent errors). Usually designed for maximum execution speed (given that large files are to be processed), these systems are often available free of cost, or for just a nominal fee.

3.205. Tabulation work can also be easily done by software belonging to either of two other classes: statistical analysis and database software. However, these packages have not been designed with large-scale sequential or geographic processing in mind. They may require

substantially more computer time than a specialized census tabulation system. In countries with a limited capacity of powerful computers, this can be an important consideration.

3.206. Other factors that should be taken into consideration when selecting software packages for tabulation work include:

(*a*) The availability of expertise in the census office. It makes no sense to switch to a software system that is only marginally better when this would require a major retraining effort;

(*b*) The need for customization of the software to perform advanced functions, such as random perturbation to preserve confidentiality.

Moving to a different software environment should be the result of a careful analysis of all the factors concerned.

IX. Evaluation of the results

3.207. A census evaluation programme should be developed as part of the overall census programme and integrated with other census activities. The scope and objectives of the evaluation programme should be decided well in advance to determine early enough the adequate resources (both financial and human) needed for the evaluation programme. It is important to establish a team responsible for the planning, organization and implementation of the evaluation programme. The cost of evaluation should be covered in the census budget as a separate item.

A. Purpose of census evaluation

3.208. The quality of population and housing census data is very important for many reasons, including building public trust in and understanding of the national statistical system. The purpose of census evaluation is to provide users with an acceptable level of accuracy and confidence when utilizing the data, and to explain errors in the census result. It is therefore important to choose an appropriate way of sending out these messages to the right group of stakeholders.

3.209. The evaluation methods discussed here are those that apply to traditional censuses. To some extent they also apply to register-based censuses and other census methodologies, but these also present their own particular challenges and solutions.[67]

[67] See, for example, UNECE Secretariat for the Eleventh Joint UNECE/Eurostat Meeting on Population and Housing Censuses, *Census Quality Evaluation: Considerations from an International Perspective*, Geneva, 13-15 May 2008, available from www.unece.org/stats/documents/2008.05.census.html.

3.210. It is universally accepted that a population census is not perfect, and that errors can and do occur at all stages of the census operation, but these errors should be measured. Errors in the census results are classified into two general categories—coverage errors and content errors. Coverage errors are the errors that arise due to omissions or duplications of any of the enumeration units—persons, households or housing units—in the census enumeration. The sources of coverage error include incomplete or inaccurate maps or lists of enumeration areas, failure on the part of enumerators to canvass all the units in their assignment areas, duplicate counting for persons who have two or more places of residence, persons who for one reason or another do not allow themselves to be enumerated, erroneous treatment of certain categories of persons such as visitors or non-resident aliens, and loss or destruction of census records after enumeration. Content errors are errors that arise from incorrect reporting or recording of the characteristics of persons, households and housing units enumerated in the census. Content errors may be caused by several factors, including poorly phrased questions or instructions,

or enumerator errors in phrasing the census questions; inability or misunderstanding on the part of respondents in respect of answering specific items; deliberate misreporting; errors due to proxy response; and coding or data entry mistakes.

3.211. Many countries have recognized the need to evaluate the overall quality of their census results and have employed various methods for evaluating census coverage as well as certain types of content error. Comprehensive evaluation should also include assessment of the success of census operations, in each of its phases, including evaluation of activities such as the census publicity campaign, data collection, data processing, data dissemination and data utilization. Countries should ensure, therefore, that their overall census evaluation effort addresses the census process, as well as the results. The present section is devoted to evaluation of the results. However, the section on the quality assurance and improvement programme (paragraphs 2.171-2.228) provides further recommendations relating to controlling and assessing the quality of census operations.

3.212. Evaluation efforts focused on census results should generally be designed to serve the following objectives: first, to provide users with some measures of the quality of census data to help them interpret the results; second, to identify as far as is practicable the types and sources of error in order to assist the planning of future censuses; and third, to serve as a basis for constructing a best estimate of census aggregates, such as the total population, or to provide census results adjusted to take into account identified errors at national or subnational levels if some errors such as coverage error are substantial and the validity of census results is questionable.

3.213. As the decision to adjust census figures is sensitive, it is bound to be decided at the highest levels of the government bureaucracy. There is also some critical statistical consideration that should be very carefully weighed in. Consideration must be given to what geographic domains the adjustment would cover, knowing that such adjustments have an effect on demographic distributions.

3.214. The final publication of census results should include an estimate of coverage error, together with a full indication of the methods used for evaluating the completeness of the data. The publication should also provide users with some cautions or important notes about the results, in addition to some guidance on how they might use the evaluation results. It is also desirable to provide, as far as possible, an evaluation of the quality of the information on each topic and of the effects of the editing and imputation procedures used.

3.215. The range and quality of editing in regard to the correction of the inconsistent data and imputation possible in a population census are greatly enhanced by the use of computer editing programs that permit inter-record checks (for example, the replacement of missing values based on one or more items on the basis of reported information for other persons or items). If any imputation is made, the topics affected, the methods used and the number of cases affected should be documented and clearly described in the census evaluation report.

3.216. The results of the evaluation of census results should be made available to users with a measure of the quality to help them interpret the results.

3.217. As discussed in the following subsection, a number of methods exist for carrying out a census evaluation. In practice, many countries use a combination of such methods in order to fully serve these objectives.

B. Methods of census evaluation

3.218. The choice of evaluation methods to be used depends upon the evaluation objectives. These, in turn, depend on national census experience in terms of past and anticipated errors, user and public concerns, and the financial and technical resources available for evalua-

tion. The decision needs to be made whether to measure coverage error, content error or a combination of the two. In addition, both gross and net error must be taken into account in developing the overall evaluation plan. Gross coverage error in a census is defined as the total of all persons omitted, duplicated or erroneously enumerated. Net coverage error takes into account the underestimates due to omissions and the overestimates due to duplications and erroneous inclusions. When omissions exceed the sum of duplications and erroneous inclusions, as is usually the case in most countries, a net undercount is said to exist; otherwise, a net overcount results. Similarly, both gross and net content errors have to be considered in the evaluation design.

3.219. Numerous methods are available to estimate the coverage and content error of censuses. These include simple techniques of quality assurance, such as internal consistency checks. Comparisons of results with other data sources, including previous censuses, current household surveys and administrative records, are also useful techniques. Such comparisons may be made in aggregate by comparing the overall estimates from two sources (net error only). Alternatively, record checking, whereby individual census records are matched against alternative sources and specific items of information are checked for accuracy, may be used. Both gross and net errors can be estimated in record checks, which may involve field reconciliation of differences, a costly exercise that cannot be overlooked. An important but complicating factor in the use of record checks is the requirement of accurate matching. It is essential to plan carefully for this aspect, since the operation can be tedious and costly. It should be noted that record checks are best employed to study the coverage of certain segments of a population, such as children whose birth records are complete, since these checks are, by definition, limited to subpopulations with complete, accurate records.

3.220. Demographic analysis and post-enumeration surveys[68] are two very important methods for evaluating census data, and these are discussed in further detail in the following two subsections.

[68] Note that for the purposes of this publication, a post-enumeration survey is defined as being a post-census evaluation survey.

C. Post-enumeration survey

3.221. The post-enumeration survey can be defined as the complete re-enumeration of a representative sample of the census population and matching each individual who is enumerated in the post-enumeration survey with information from the main enumeration. The objectives of the post-enumeration survey can be summed up as follows:

(*a*) To assess the degree of coverage during census enumeration;

(*b*) To examine the impacts of coverage deficiencies, if any, on the usefulness of the census data;

(*c*) To obtain information for the design of future censuses and surveys;

(*d*) To examine the characteristics of persons who may have been missed during census enumeration.

3.222. While a post-enumeration survey can be designed to provide a comprehensive evaluation of coverage and content error, especially when supplemented by and integrated with detailed demographic analysis of census quality, the methodology of a sound post-enumeration survey is complex, so that countries must accordingly weigh with care the demanding technical requirements and the costs of conducting a successful post-enumeration survey, and elaborate a clear statement of its objectives, before deciding to undertake such a survey.[69] Careful advance planning is crucial. To be valid, a post-enumeration survey has to function within a number of operational and statistical constraints. These include the requirement that the survey be carried out within a few months of the end of the census to ensure that the

[69] An elaboration of technical issues is provided in United Nations Statistics Division *Post Enumeration Surveys: Operational Guidelines, Technical Report* (2010), available from https://unstats.un.org/unsd/demographic/standmeth/handbooks/Manual_PESen.pdf.

impact of natural population changes (births, deaths and migration) and lapses in respondent recall do not hopelessly complicate the exercise.

3.223. Another basic property of post-enumeration survey design and execution involves matching and reconciliation. Matching the post-enumeration survey person record or household record against the corresponding census record is an operation whose performance must be of very high quality to ensure that inaccuracies in the post-enumeration survey itself do not effectively ruin the estimate of coverage error. Matching is especially difficult in countries where many surnames are identical or where individuals are known under more than one name, and well-defined street addresses do not exist. Part of the matching operation usually involves a field visit to reconcile differences between the census and the post-enumeration survey with regard to either coverage or content. Reconciliation of course adds another dimension of cost and complexity, since it entails a second visit to the field for purposes related to the post-enumeration survey.

3.224. Clearly defining the objectives of a post-enumeration survey is the first and most crucial step in planning the survey. The objectives might include estimation of coverage error at the national level; estimation of coverage error for major subnational domains or population subgroups, each with its own specified level of precision; and measurement of content error for specific census items.

3.225. As mentioned, the design of a post-enumeration survey is complex and there are various alternatives, primarily depending upon whether single or dual system estimation is to be utilized. A number of references are available that set out highly detailed procedures for designing a post-enumeration survey and the conditions under which they may or should be considered.[70] However, in general, when designing a post-enumeration survey, the following considerations should be taken into account:

(*a*) The time between the census and the post-enumeration survey should be minimized to avoid as much recall error as possible and the impact of population changes (births, deaths and migration).

(*b*) The post-enumeration survey must be independent of the census. Interviewers must not have census information about the areas where they are working. When interviewers have knowledge of census responses, they tend only to confirm what the census recorded.

(*c*) To preserve the independence of the post-enumeration survey, its data collection and processing operations must be completely separate from the census data collection and processing.

[70] United Nations Statistics Division, *Post Enumeration Surveys: Operational Guidelines* (2010), available from http://unstats.un.org/unsd/demographic/standmeth/handbooks/Manual_PESen.pdf.

3.226. The sample design for a post-enumeration survey must be based upon sound probability sampling methods taking account of the measurement objectives of the evaluation study. These usually include the need to estimate census coverage with a certain degree of reliability. In addition, estimates of coverage may be desired for geographic areas such as provinces or states and large cities, for urban-rural comparisons and so forth. Such requirements also greatly affect the sample design of a post-enumeration survey, as the necessary sample size is increased substantially when estimates of subnational coverage (or undercoverage) are required.

3.227. Sometimes a post-census survey is designed to measure content error only, in which case it is usually known as a reinterview survey. The advantage of a well-designed reinterview survey is that the results are more accurate than those of the census insofar as the operation is much smaller and can be more effectively controlled. Estimates of relative response bias can be obtained from a reinterview survey, which (rather than the census) is generally taken as the standard in this area on the grounds that the survey, with its better-trained interviewers and more intensive survey procedures, yields superior results.

3.228. As part of the design of some post-enumeration surveys, a sample of the original census enumeration districts, blocks or areas is chosen and recanvassed for the survey. As regards methodology, this constitutes a useful reinterview technique for measuring content error, and such an element in the design is often put into practice because the matching operation between survey and census records is then dramatically simplified.

D. Demographic analysis for census evaluation

3.229. Demographic analysis offers a powerful methodology for evaluating the quality of a census, and countries are encouraged to use it as part of their overall census evaluation methodology. A wide variety of demographic techniques have been developed and used, ranging from visual inspection of census data to comparative analysis of two census age distributions. A basic procedure for assessing census quality on age-sex data is graphical analysis of the population pyramid. Age heaping, or the tendency of respondents to report a particular ending digit, is a useful check of the quality of age reporting, as are sex ratios by age and certain summary indices of age-sex data, including the United Nations age-sex accuracy index, which extends age-sex ratio analysis by observing deviations of the observed age-sex ratios from the ones expected for each five-year age group and combining the results into a single score.[71] Other summary indices are Whipple's index and Myer's blended index, used for judging age heaping.

[71] See *Methods of Appraisal of Quality of Basic Data for Population Estimates: Manual II* (United Nations publication, Sales No. E.56.XIII.2).

3.230. Stable population theory has also been used in the past to assess the quality of census distributions by age and sex. It is based upon measuring the reported age-sex distribution against that of an appropriately chosen stable population, assuming that the population is not affected by significant international migration. However, nowadays there are few countries where the other two conditions assumed under the model, namely constant fertility and constant or recently declining mortality, are satisfied. Recent declines in fertility render the technique less useful as an evaluation tool, since the technique is sensitive to changes in fertility levels. Nevertheless, if the population is closed to migration, it can be assumed to have been stable in the not-too-distant past and if approximate estimates of recent fertility and mortality declines and recent growth rates are available, it may still be possible to assess the plausibility of the current age-sex structure in the light of these trends by iteratively fitting projected population structures to the observed numbers.

3.231. The methods mentioned above, while useful in providing an overall assessment of census quality, cannot differentiate the sources of census error in terms of the relative contributions from undercoverage (or overcoverage) or content error. Better information about coverage error, through demographic analysis, derives chiefly from comparative analysis of data from successive censuses, in which four methods are used.

3.232. The four methods are:

(*a*) Derivation of an expected population estimate taking account of vital registers of births, deaths and net migrants between censuses, as compared with the latest census;

(*b*) Population projections based on the results of the prior census plus data on fertility, mortality and migration from various sources and comparing the projected estimates with the new census results (cohort component method);

(*c*) Comparison of two census age distributions based on intercensal cohort survival rates; and

(*d*) Estimates of coverage correction factors using regression methods to make the age results from the two censuses mutually consistent (cohort survival regression method).[72]

[72] Detailed methodologies including step-by-step procedures for applying all the demographic techniques mentioned above, plus others, are contained in United States Department of Commerce Bureau of the Census, *Evaluating Censuses of Population and Housing* (Washington, D.C., 1985).

It should be noted that the first two methods would probably have to be restricted to evaluation studies of coverage at the national level, especially in countries that do not have good subnational data on migration.

E. Acceptance of results

3.233. In countries with limited prior census experience and without a well-functioning civil registration system, where population data are based largely on estimates, it is important to inform the users, particularly the governmental authorities, that the census results could differ from such estimates and to explain the reasons for these differences. In some cases, there may be doubts expressed about the census results; usually those doubts focus narrowly on the total population of the country, major subdivisions or population subgroups, rather than on the bulk of the census data relating to characteristics of the population or on the data for local areas. In this situation, it may be possible to take such doubts into account by modifying the census evaluation programme or by adding appropriate qualifications to the text of the census reports or in tabular footnotes. Nevertheless, the government may proceed with the processing and dissemination for official purposes. In any case, every effort should be made to process and evaluate the full census and to make appropriate use of as many of the census tabulations as possible.

X. Census products, data dissemination and utilization

A. Introduction

3.234. The population and housing census is a statistical operation of exceptional value to every country. It is the primary source of basic national population data for administration and for many aspects of economic and social planning. Consequently, data from national censuses represent a valuable public good that should be widely promoted by national statistical and census offices in order to enhance its utilization by the various users. Thus, the census should not be an end in itself but should be backed by the value of the results, in terms of utilization, and by the diverse categories of data users.

3.235. Timely and quality census data are indispensable for informed decision-making, development planning and better implementation outcomes. Specifically, census data are instrumental in understanding development challenges and the appropriate actions for influencing and informing change in relation to socioeconomic progress and environmental phenomena. Census data must therefore be transformed into usable formats to respond to the needs of stakeholders.

3.236. For some countries, the fundamental paradigm shift in the 2020 round of population and housing censuses is the utilization of statistics to increase public knowledge related to the progress of society and for transparency, mutual accountability and governance, results-based management and transformation. The role of statistical leadership is to anticipate and define measurement of policy questions. The increased use of statistics by government, business and citizens at large will drive different and better results and thereby succeed in mobilizing society for change.

3.237. The population and housing census represents one of the pillars for data collection on the number and characteristics of the population of a country and is part of an integrated

national statistical system, which may include other censuses (for example, agriculture), surveys, registers and administrative files. It provides at regular intervals the benchmark for population counting at national and local levels. For small geographic areas or subpopulations it may represent the only source of information for certain social, demographic and economic characteristics. For many countries the census also provides a unique source for a solid framework to develop sampling frames.

3.238. While the importance of disseminating census results to the fullest extent possible should be stressed, there are, nevertheless, some things that are essential for the national statistical or census office to keep in mind. Among these is the prerequisite for national statistical and census offices to ensure openness and transparency in the way the results are disseminated. It is equality important that national statistical and census offices maintain professionalism and demonstrate neutrality and objectivity in the presentation and interpretation of the results and are free from real or perceived political interference so that the objectivity and impartiality of the statistics is assured. This in turn will build trust in and acceptance of the results. Furthermore, the disseminated census results should be of sufficient quality to meet user needs, and safeguards should be in place to ensure individual information is kept confidential.

B. Plans for census products and data dissemination

3.239. In order to maximize the utilization of results from their population and housing censuses, national statistical and census offices should have a sound dissemination programme whose objective is to promote the benefits and applications of census data. The statistical or census office should develop and implement an effective strategy for producing and disseminating output products and providing related services based on the demonstrated needs of the diverse users of census data. What follows are some salient issues for an effective dissemination programme.

1. Developing a dissemination strategy

3.240. A census is not complete until the information collected is made available to users in a form suited to their needs. In order to fulfil this requirement, it is essential to develop a strategy for producing and disseminating outputs taking into account all potential users of the data. The objective of the dissemination process is to ensure that census products and services meet data user needs. This in turn requires identifying potential users of census data and their demonstrated needs so that appropriate products and related services can be developed.

3.241. A wide range of dissemination strategies must be developed for meeting the requirements of different users. Appropriate technologies and media need to be identified for effective and easy dissemination of census data and information. Use of GIS makes information more user friendly by including thematic maps. Census maps in printed or digital form should be included in the overall dissemination programme of a population and housing census. Budgetary provision should be made in the initial planning stage itself. In addition to preparing maps for the census reports, countries should also produce a population atlas and try to make most data available in a GIS on a CD-ROM, at different and nested levels of administrative geography, thus exponentially increasing the usefulness and utilization of census data. A number of census products have been developed that allow data users to visualize and customize data on maps. These are available as online and offline computer and mobile applications. Depending on the need and resources available, the development of such products should also be explored.

3.242. A number of key elements should be taken into account in the development of a strategy for census data dissemination, including identifying the diverse categories of users and their data needs and uses through (*a*) consultation, (*b*) products to be developed, (*c*) the media of dissemination, (*d*) metadata to aid in the interpretation of the results, (*e*) confidentiality and privacy measures, (*f*) assessing the required technologies to meet user needs, (*g*) dissemination policy, (*h*) quality assurance in terms of accuracy and timeliness, and (*i*) available financial and human resources. The first five elements are covered in subsequent sections of this chapter. The remaining are summarized below.

- **Technology.** Given the widespread availability and use of technology for easier production and access to census products, national statistical and census offices should evaluate which ones are suited to the needs of their data users, taking into account budgetary and human resource constraints. These technologies include use of GIS and thematic map generators, new sophisticated data base systems, and interactive web access, including client-customized table generators.
- **Dissemination policy.** When planning the dissemination programme, a dissemination policy should be established as well. This policy should cover issues such as ways of marketing the census products, which in most cases means mainly how to inform a wide range of potential users about the availability of the products. A clear pricing policy should also be determined, and a decision made as to the conditions under which external distributors are allowed to disseminate census data. The dissemination policy should also cover issues connected with the protection of the confidentiality and privacy of personal data, and the measures that will be used for each of the different products.
- **Quality assurance.** Quality refers primarily to user needs and satisfaction. Even if data are accurate, they do not have sufficient quality if they are produced too late to be useful, or cannot be easily accessed, or conflict with other credible data, or are too costly to produce. Therefore, quality is increasingly approached as a multidimensional concept. It has been suggested that the output of any statistical exercise should possess the following attributes: accuracy, relevance, reliability, timeliness, punctuality, accessibility, clarity, coherence, comparability and metadata.[73] Management of quality in census dissemination is driven by concerns to (*a*) deliver relevant products and services while (*b*) maintaining accuracy of the data, and (*c*) timeliness and predictability of data release within agreed cost constraints.
- **Budget and human resources.** Two obvious key elements (usually constraints) in the development of strategies for census data dissemination are the budget that can be allocated and the availability of human resources. With the high relevance of new technologies in all the census stages, and in particular for data dissemination, this is a factor that needs to be carefully analysed when deciding about the specific strategy of census data dissemination. The alternative to the recruitment of human resources may be contracting out some dissemination activities, in particular those connected with the development of more sophisticated systems. However, this solution needs to be carefully considered. It is extremely important to ensure that the contractor is committed to the census project until its very end and that at least some of the new abilities remain in the organization for further use.

[73] United Nations Statistics Division, *Guidelines for the Template for a Generic National Quality Assurance Framework (NQAF)* (2012), available from http://unstats.un.org/unsd/dnss/docs-nqaf/GUIDELINES%208%20Feb%202012.pdf.

(a) Consultation with data users

3.243. The demand for and use of statistical products and services must drive all census operations. National statistical and census offices should have a sound strategy for developing suitable products and services to respond to the diverse needs of data users so as to promote

the utilization of census results. Such strategies should be based on an active dialogue with the users regarding their needs in terms of products and the format of those products.

Anticipate user needs and provide support

3.244. The user consultation process in terms of census products is a major factor in the development of a dissemination programme. The type of consultation discussed in this section complements the consultation that is undertaken to determine census content (see paragraphs 2.98-2.102). The work done at this stage of the census is important in achieving the objective of ensuring that the census is relevant to users, which is a major indicator of the quality of the census. The selection of suitable census data products and related services should be guided by a detailed assessment of user requirements.

Create systems and infrastructure for access to and use of census results

3.245. Plans for what and how products will be disseminated should be made early in the planning process and shared with potential users in order to get their feedback. Based on this feedback, the national statistical or census office can tailor its data dissemination programme to suit the requirements of the users. Maintaining good communication and obtaining feedback from users is also important for making modifications to products and services, including being able to respond to user requests that become known later in the programme.

3.246. Based on the foregoing, it is important to note that the supply of census products and services goes far beyond the first couple of years after the census. It is important, therefore, that budget and human resources are available for many years after the end of census collection activities.

(b) Plans for outputs

3.247. It is important for census offices to consult stakeholders and identify their needs during the preparatory phase to proactively anticipate the type and format of census products to be produced. This is to ensure that census products are relevant, responsive and add value to the current policy questions and stakeholder needs. It is recommended that census offices include a census products plan and budget as part of the preparatory phase.

3.248. A wide range of statistical products can be made available to the public, the private sector, government agencies, local authorities and the academic and research communities. A detailed plan for producing different census outputs should be guided by early user consultations (see paragraphs 2.98-2.102) to ensure data and information requirements will be met in a format commensurate with user needs and demands; such a plan will also be a useful guide to prioritizing data processing and tabulations.

3.249. With the rapid development of technology, census data users have an increasing interest in a broad range of products and services from the census organization. The types of output that census offices may produce and disseminate must be current and may include printed products, static electronic products, interactive electronic products, customized products, user-interactive products and special audience products and services. Partnerships with key stakeholders are encouraged in the development of the various census products.

3.250. Some data users will need specialized products that the census organization is not planning to produce as part of the general census programme. It is recommended that the census organization establish a service to meet such specialized requests. Pricing of special products and services may be included in a pricing policy.

3.251. Printed publications, despite their production cost, remain in many countries the preferred vehicle for dissemination of the main results. Target dates for publication should

be determined well in advance and processing and printing programmes should be planned accordingly. In addition to traditional methods of printing, there are various methods of reproduction available that are fast, economical and of good quality, and these should be investigated. For an increasing number of users, computer-readable magnetic and optical media and online electronic data dissemination are a better means than printed paper, based on the factors of cost, storage capacity (and therefore weight of documents), ease of reproduction and direct availability of the data for further computer processing. In addition to the processed tabulations, sample data at the unit level are also provided by some countries for research purposes. In such cases, the sample should be carefully drawn to ensure an adequate level of representation while at the same time ensuring that anonymity is not compromised. Some countries have also adopted very creative techniques for data dissemination and visualization. The development of such data products should be part of the planning process of the census.

3.252. Not all of the processed materials need to be disseminated widely or in a single format. Tabulations required by only a few users can be supplied in unpublished form. Some data may not be tabulated until they are required at a later date. The information stored in the census database allows fast and relatively inexpensive production of additional tables. Countries may offer on-demand services to provide census information to users who require tables or other outputs not produced, or aggregates not available, through other means. If suitable electronic dissemination is available, customized tabulations and applications might also be designed and extracted directly by end users. In this case, the census organization should prepare in advance and then implement an authorization and security policy, so that the risk of breaching confidentiality in data provided to outside users is avoided.

2. Tabulation programme

3.253. In most countries, the tabulation programme represents a compromise between the full range of desired tabulations and the limits imposed by practical circumstances. To ensure that this compromise is made transparently and efficiently it is important that planning the census dissemination task is started at the earliest stage of the census development cycle by a round of user consultations. Once the census-testing programme has identified a practicable range of data items to be included in the questionnaire, data users should again be consulted on the specific cross-tabulations required and the relative priority for their production. It is essential that the programme be outlined sufficiently early so that the procedures and costs involved are investigated thoroughly before a final decision is reached. The type of questionnaire and the method of enumeration may limit the kinds and amounts of data that it is possible to collect. Publication time and costs, and the data-processing resources available, will determine the number and complexity of the tabulations that can be produced within a reasonable time. This will enable prospective census data users to make firm plans, and the census data processing staff to complete all systems analysis, programming and testing work in a timely manner.

3.254. The tabulations presented on the website of the United Nations Statistics Division are those fulfilling the most essential or generally required information. The databases of census information can be used throughout the intercensal period to address the needs of specialist users for whom these tabulations are not adequate.

3.255. It is important to plan the tabulation programme in such a way that final results can be issued within a reasonable period of time after the enumeration and before the information has become out of date for current needs. It is desirable that the details of the tables be prepared and the order of their preparation be decided early in the planning, so that the processing of the data is not be delayed.

3.256. Special tabulations may be requested at any time after the census enumeration. Once the census database has been produced by recording, editing and correcting the raw data, tabulation software packages can be introduced. These packages allow fast and relatively inexpensive production of tables for selected subsets of the total database or for alternative aggregates, assuming the information has been preserved in the database in terms of the needed detailed classifications.

3. Dissemination geography

(a) Linking collection to dissemination geography

3.257. An essential feature of the population and housing census is its diversity in terms of the geographic level at which data can be disseminated. This is due to the ability of the census to produce statistics that can be disseminated at the lowest geographic level (small area), through a geographic hierarchy up to the country level. Consequently, one of the earliest decisions in census planning relates to the administrative and geographic areas for which census data on diverse socioeconomic characteristics of the population will be reported and disseminated in order to satisfy the needs of the various data users.

3.258. In addition to administrative units, most countries will have a number of other sets of areas that are used for different purposes and for which census data will need to be compiled.[74] Such areas, which have special uses, include health regions, electoral districts, urban agglomeration or metropolitan areas, and utility zones (water or electricity supply districts). It should be noted that some of these areas may not fit perfectly into the administrative hierarchy of the country. It is important, therefore, that to the extent possible these reporting units are taken into account when designing enumeration areas in order to facilitate generation of census data for these regions. This draws attention to the fact that when delineating collection geography (enumeration areas), it is essential that dissemination geography is kept in sight.

[74] *Handbook on Geospatial Infrastructure in Support of Census Activities*, Studies in Methods, No. 104 (United Nations publication, Sales No. E.09.XVII.8).

3.259. Two somewhat different methods are available to provide the census with a flexible capability for generating tabulations in terms of a wide variety of geographic aggregations, including those needed for public and private sector data uses at the local level. The first method simply extends the traditional hierarchical system for coding all major and minor civil divisions so as to cover at the lowest level of the enumeration area, sometimes referred to as the "enumeration district". The second method, which at greater cost permits finer geographic specificity, is usually based on some coordinate or grid system, such as latitude and longitude. This method is often referred to as a "geocoding system". Particularly in the absence of a comprehensive system of street names, numbers or similar addresses, the first method, which uses the enumeration area as the key unit for the production of smallarea data, is to be preferred.

3.260. The fact that census data, whether published or unpublished, are available by enumeration area provides for considerable flexibility. Such flexibility can be of value given that the geographic divisions used by various branches of the administration or by other data users do not always coincide and may therefore require different regroupings. Moreover, when changes are planned in administrative boundaries, tabulation of census data by the planned new entities can also be facilitated through the enumeration area approach. However, if these changes cross enumeration area boundaries, and it is decided to try to retabulate the census according to the new boundaries, very complex recoding of individual records may be involved. As an alternative, statistical concordances, showing the quantitative relationship between the previous and current classifications, could be used. Further, where buildings or housing units have been geocoded, these geocodes can be used to directly allocate each household to the correct area under either classification.

(b) Uses of small area geographic data

3.261. Censuses provide data from the highest to the lowest geographic levels of aggregation. Tabulations from census results yield relevant statistics for any reasonable combination of characteristics for the country as a whole, regions or provinces, down to small areas such as localities, and even enumeration areas and geographic grids. This important feature of the census makes the data amenable to the development of estimates of variables of interest for small and local areas in two major ways: directly from the production of tables from the microlevel data for the required characteristics, and indirectly from applying estimation techniques by combining other sources, such as sample surveys and administrative statistics to the population and housing census results.

3.262. Census data are typically aggregations of data for many individual small areas, and may commonly be used to study large regions or entire nations. Data for small areas enable the user to obtain statistical information about any number of local areas of interest, in addition to showing variations among small areas in individual parts of the country. Modern computer technology greatly facilitates the utilization of census results for analysing the information for small areas, limited only by issues of confidentiality and collection design and statistical disclosure when cell entries in cross-tabulations become very small. For example, the analysis of whether population programmes have affected the level of fertility at a regional level may be carried out by analysing data from the smallest administrative units so as to observe local variations and produce more accurate assessments of cause and effect.

3.263. Implementation of various national social and economic development programmes is a function of the state, province or lower levels of government in many countries. Results of population and housing censuses are useful for planning and monitoring development at the local area, small town level or small area. Small-area data are also important for private businesses in developing their distribution and marketing strategies. For example, information on housing demand from the population and housing census may be used by local authorities, local real estate companies, building and housing development contractors, and manufacturers of construction materials, among others.

3.264. Census data have been traditionally aggregated by various types of administrative units (for example, towns, villages, provinces and electoral units). In addition, other types of small areas are sometimes used in the census that are essentially statistical in nature (for example, census tracts and grid squares that do not change from census to census, and very small units such as city blocks or block faces). There have also been increasing demands for small-area data that cut across the local administrative boundaries. Population and housing censuses provide a powerful tool for assessing the impact of population on the environment, for example on drainage basins and on water resource management systems. The spatial units for such a study may combine a group of local administrative areas. In this situation the availability of census databases with mapping capability (see paragraphs 3.107-3.108) is of great importance.

3.265. Tabulations for small areas may be prepared on the basis of the resident population of each area or on the basis of the population present in each area at the time of the census. Tabulations relating to the resident population are produced for the apportionment of representation in legislative bodies, the measurement of internal migration, the computation of measures of fertility and mortality by place of residence, and the planning and administration of such services as schools and housing, which have relevance only to the resident population. Tabulations based on the population present in the area at the time of the census are useful where this population is considerably larger than the resident population and thus raises the demand for products and services above the level required by the resident population alone. The combined population and housing census may also be used to make comparisons of

resident and daytime populations in specific localities, if an item on place of work is included in the population census. It is therefore important that users express their needs for particular data disseminated in a given format, based on the usual residence or place of enumeration, at an early stage of census preparations.

3.266. It was elaborated in part one, chapter I, how the population and housing census plays an essential role in the economic and social components of the national statistical system and also serves as a sampling frame for sample surveys. Another significant way in which the census results complement survey statistics is in small-area estimation, whereby models constructed from survey data are applied to census results for any specified geographic area. This estimation approach may be used for generating such indicators as employment, poverty and other economic indicators, for which measurement is required at the local area level.[75] The application of small-area estimation techniques to poverty measurement and mapping is an important extension of the use of census results. Many countries perform midyear population estimates at the national level; however, the application of small-area estimation techniques can be used to compile midyear population estimates at subnational and local levels. If such use is contemplated, it would need to be taken into account during the planning stages of the census exercise, when decisions about topics to be included in the census are being made.

[75] *Measuring the Economically Active in Population Censuses: A Handbook* (United Nations publication, Sales No. E.09.XVII.7).

4. Mode of dissemination of outputs

3.267. As has already been mentioned, a census is not complete until the information collected is made available to potential users in a format suited to their needs (paragraph 3.240). Consequently, meeting the needs of data users means that the data producer should not only provide data products to the users, but should also provide them in formats that are suitable to the needs of the users. The information in the products may be included in published tables and reports for general distribution, produced as tables in unpublished form for limited distribution or stored in a database and supplied upon request, or disseminated online either as static or interactive products.

3.268. It should be noted, however, that regardless of mode, all dissemination is subject to issues of (*a*) quality assurance; (*b*) possible disclosure of information about identifiable respondents; and (*c*) copyright and ownership. In addition, the issue of cost recovery has become important to many statistical organizations. Each medium of dissemination has its advantages and limitations, and the choice of one or more of them depends on the context, and on the intended categories of users. In most instances, these methods complement each other and can provide effective ways to reach out to the public and private sectors.

3.269. When data are provided in electronic form, special attention should be given to providing users with easy means of data retrieval. The options for obtaining the relevant meta-information and data should be accessible in standard and contemporary formats.

(a) Publication of printed tables and reports

3.270. Although more and more countries use software for online dissemination of their census results, printed publications remain an often-selected choice for the dissemination of the main census results. At least for the present, they reach out to the largest number of potential census data users. Paper media do not require that the user has any particular equipment, software or technical skills.

3.271. It is important that plans be made and sufficient funds be allocated to ensure publication of the tabulations of widespread interest. The final tabulations should be presented and explained in a way that will facilitate their extensive use. The data should be shown for appropriate geographic and administrative divisions and classified by important demographic

variables. The census publications should also contain information on how the data were collected and processed, results of available evaluation studies, and appraisals of the substantive significance of the results presented. In addition, a sufficient number of maps should be provided in the census publication to allow the identification of the geographic units for which the statistics are presented.

3.272. Using tabulation programs to produce output directly for publication allows the traditional method of dissemination of statistics through printed reports to be integrated more closely and more inexpensively with the statistical production process. If the software used for tabulation cannot produce camera-ready output, the files containing output tables can be moved into a document that could be assembled using desktop publishing or word-processing software. Manual retyping of tables once generated should be avoided as much as possible to prevent transcription errors and delays.

3.273. The choice of how the actual printing is to be done entails in fact a trade-off involving quality, cost and speed. The best results can usually be obtained by sending the documents in computer-readable format to a professional printing plant. This will allow high-quality typesetting and the use of supporting colours. Alternatively, master printouts can be made in the census office and sent to the printer for cheaper duplication or offset printing. There are also affordable high-speed printing systems that can be directly controlled by the computers in the census office.

3.274. Target dates for publication should be determined well in advance and processing, and reproduction programmes should be planned accordingly. In addition to traditional methods of printing, there are various methods of reproduction available that are rapid, economical and legible, and these should be investigated.

(b) Dissemination on computer media

3.275. For an increasing number of users, computer-readable magnetic and optical media are the preferred medium of dissemination. This is because data in this form are often less expensive to obtain, copy and store. In addition, they are directly available for further computer processing and analysis.

3.276. Technologies such as CD-ROM and DVD-ROM provide forms of distribution for large data sets that are not subject to frequent change or updating. Standard CD-ROMs and DVD-ROMs are read-only optical media. They have a very large storage capacity, they are durable, and they can be produced inexpensively. Because the results of a particular statistical enquiry such as a census are supposed to be final, dissemination on a read-only support should be satisfactory. Equally, widespread dissemination of census statistics uses flash drives or memory sticks, which are increasingly able to carry extremely large volumes of digital content.

3.277. Further development of media for storing digital content will inevitably have an impact on the dissemination of census results. It is thus necessary to keep abreast of developments in this field in order to meet the changing needs of users of census statistics.

(c) Online dissemination

3.278. Online dissemination of all kinds of information, including statistical information, has increased with new innovative formats for displaying census data. The advantages of online dissemination are found primarily in terms of speed, flexibility and cost, and making results accessible to a wide range of data users. The information is available to the user as soon as the provider has uploaded it to the server and cleared it for access by users. Information can be static or dynamic. The cost to the user is limited to the expenses of communication with the Internet service provider, plus whatever charge the information provider is placing

on top of these. There is no expense involved in the production and distribution of printed materials or other data supports. There are however financial resources needed for the implementation of the online data platform and potential training needed for staff to operate such technologies.

3.279. Online dissemination of data was common well before the Internet gained prominence. The simplest option open to statistical organizations was bulletin board systems, now largely replaced by Internet and intranet websites. The same website could be used for both internal and broad community communication, with the granting of access rights in certain areas to privileged users only. Security measures, including passwords and callback procedures, can be used to exclude unauthorized users from reaching these areas. This is however risky, since resourceful hackers may find their way around the barriers and gain entrance to confidential information. Firewalls are hardware or software security systems that limit the exposure of a computer or network to malicious infiltration from an external location. The census office website is probably the first dissemination medium where Internet-connected users would look for census information. It is recommended that microdata should not be stored on a website in direct contact with the public. It is also recommended that a powerful firewall constitute a security layer between the website that is visible to the public and the working network of the census office. Websites of public administrations are under constant attack from hackers and very sophisticated security measures must be adopted when "opening up" on the Internet. Internet security, despite being an issue of a technical nature, has to be mandated, demanded and resourced by the highest levels of management of the census office.

3.280. An Internet website can be used not only to make information available as soon as it has been cleared, but also for other forms of communication with users. Possibilities include online ordering of publications and one or more receiving areas for questions that would be answered later through the same medium by appropriate specialists. One such area could be the census forum or "chat room".

3.281. Internet websites may support "door" or "gateway" applications that allow users to run outside programs on the computer on which the Internet web server operates. Interactive access to census outputs can be offered to most types of databases and census products, including reports, publications, tables, maps and graphs. For example, there may be a database of aggregated census data for small areas or a microdata database that users can access in this way. When the required data are not readily available, users could run an on-the-spot query to obtain and retrieve results that satisfy their needs. This can be done by offering to Internet users census microdata samples and an interactive tabulation system. Users can then select records from these data sets that satisfy certain parameters and compute statistical information, such as two-dimensional cross-tabulations of either original or recoded variables. Program execution by users on the outside, however, raises important questions of cost, efficiency and confidentiality, which have to be resolved. For reasons of efficiency, it is recommended that information that is provided or likely to be heavily requested by users accessing the census website be made available in a static format, which is faster to download. Letting the user run data extraction on online databases, which would be a dynamic way of accessing the census information, is more resource-consuming and should be the second choice for users needing more detailed data than those available through static pages.

3.282. Other media such as social media are useful in disseminating census information targeted at different sectors of the population. More generalized media, such as the radio, television programmes, newspapers and press conferences, offer the possibility of reaching out to sectors of the population not otherwise reachable.

3.283. A hybrid solution for data dissemination that appears to combine the advantages of several approaches is one whereby the statistical or census organization makes basic data avail-

able to users on a computer-readable medium, usually through a website or optical media, while additional information may be provided by telephone or some other online protocols, such as file transfer protocol sites. This will usually take the form of a package that contains basic data, metadata and data browser software. The basic data may contain existing time series, report files and the like, as well as country and region maps that can be used to generate thematic maps with various indicators. Maps made available to general users need not ensure the same geographic detail as maps used for enumeration areas. Lighter versions of maps at any subnational level may be provided to the general public, and more sophisticated and detailed ones to those fewer users who would actually need an increased level of detail. It is thus important that the website specify the instructions on how to contact officers responsible for special dissemination needs.

3.284. For some users, if the particular statistical information is not yet available on the physical distribution medium, special access may be granted, provided that adequate screening of their credentials and security checks are performed, to protected areas of the Internet site where up-to-date census information becomes available. Since opening up online resources to users has to be planned carefully and a clear policy established in advance (so that criteria for deciding whether or not to grant access are unambiguous), it is not recommended. Instead, provision of an online data tabulation system for expert end users is advised.

5. Confidentiality and privacy

3.285. According to principle 6 of the Fundamental Principles of Official Statistics, "Individual data collected by statistical agencies for statistical compilation, whether they refer to natural or legal persons, are to be strictly confidential and used exclusively for statistical purposes".[76] Maintaining data confidentiality is an indispensable element of maintaining the trust of respondents. If respondents believe or perceive that a national statistical or census office will not protect the confidentiality of their data, they are less likely to cooperate or provide accurate data. This in turn affects the accuracy and relevance of the statistics.

[76] http://unstats.un.org/unsd/dnss/gp/fundprinciples.aspx.

3.286. All the information stored in the census database allows the production of tables both for very small areas (such as enumeration areas or villages) and for all individual units in these areas. Therefore, when a census database is constructed, not only technical considerations but also the maintenance of confidentiality and the protection of individual privacy—which must be a primary consideration in designing the data collection and data processing program—must be taken into account. Accordingly, microdata, such as name and local address, or the unique characteristics that permit the identification of individual respondents, must be removed from the database or otherwise altered.

3.287. The same care must be taken if a transcription of information from original questionnaires (that is to say, from a representative sample) is needed for use by qualified agencies and research institutes engaged in special studies beyond the purview of the regular census programme. Such needs have sharply decreased with the almost universal use of computer technology. However, when such a procedure is possible under the census law, individual privacy should be ensured and no exception should be authorized.

3.288. The ever-increasing demand from users for more data, especially microdata and at lower geographic levels, and also with more technological advancement for data linking, particularly over the Internet, has created more challenges for managing data confidentiality. As a result, national statistical and census offices should examine the data and make modifications, when necessary, prior to dissemination of the data. The objective of the modifications is to prevent identification of individual respondents, and also intentional or inadvertent disclosure

of their personal information. This is particularly the case when microdata are disseminated and when data are linked to location, such as with the use of GIS.

3.289. Data protection methods range from simple cell suppression to elaborate statistical applications for entire databases. The approaches used to limit disclosure are tailored according to the type of data and the product to be disseminated. The methods differ based on whether the underlying data are microdata (individual units) or aggregate estimates (formatted as frequency counts or aggregate magnitude data).[77] Different techniques are also employed depending upon the type of data product to be released (microdata files or tables).[78] The three most common practices that limit disclosure in microdata are (*a*) eliminating information that directly identifies individuals; (*b*) suppressing data that may indirectly identify individuals; and (*c*) introducing uncertainty into the reported data.

[77] P. Doyle, J.I. Lane, J.J.M. Theeuwes, and L.V. Zayatz, eds., *Confidentiality, Disclosure and Data Access: Theory and Practical Applications for Statistical Agencies* (Amsterdam, Elsevier, 2002).

[78] V.A. de Wolf, "Issues in accessing and sharing confidential survey and social science data", *Data Science Journal*, vol. 2, No. 17 (2003), pp. 66-74.

6. Metadata

3.290. In order to assist data users to better understand and interpret the data, it is important that there is adequate documentation providing a complete and clear description of the production process, including data sources, concepts, definitions and methods used. This information represents metadata that, it is recommended, should accompany all census products. Metadata will promote transparency and credibility of census results. Also, dissemination of census products with accompanying metadata ensures harmonization and comparability of census data with other data sets.

(a) Definition and content

3.291. Metadata comprise descriptive and structured information or documentation about data that informs users about the content, quality and condition of data. In this context, metadata provide guidance on the proper usage or interpretation of data by providing information on the processes of production and describing the structure of data sets, thereby making it easier to retrieve, use or manage the data. Metadata constitute a standardized way of organizing data and can be categorized as follows: (*a*) reference metadata, which allow understanding and interpretation of the corresponding statistical data by describing the concepts, definitions, methodology and quality of data, production and dissemination processes, data access conditions, etc.; and (*b*) structural metadata, or "data about data", which provide information about the structure of the data set and act as identifiers and descriptors of the data, making it possible to properly identify, retrieve, browse and further process the data.

(b) Uses of metadata

3.292. The need for comprehensive and easily accessible metadata to better understand the statistical data being presented cannot be emphasized enough. Metadata are a key element of census dissemination to ensure that the underlying concepts and definitions are well understood and that the results are well interpreted. Metadata are used by people or systems to make proper and correct use of statistical data in terms of capturing, reading, processing, interpreting, analysing and presenting the information.

3.293. All tabulations should include the following metadata or references to where this information can be obtained: census questions; reasons why they are asked; conceptual definitions (census dictionary); geographic hierarchies used; changes since the previous census with regard to content, operational methods or geographic boundaries; and quality indicators such as coverage rates and item non-response. Data files must also be accompanied with metadata, including names and codes for common variables, personal files and household files. If a long-form sample is used in the census, metadata should also provide information

on the sampling variability of the results. When the census tabulations include suppressed data cells due to small numbers, the metadata should also include a methodological note on the rules and methods of suppression. Metadata should be preserved for future reference. With the increased use of technology, properly designed metadata systems for web-based applications are recommended.

7. Promotion of, and training on, uses of census data

3.294. The main purpose of a census is to collect, process and disseminate information that will be used as the basis of informed, evidence-based decision-making. The benefits of this approach to decisions are not always apparent to users, especially in situations where other approaches may have been used in the past. It is therefore important to promote such uses of census results among users.

3.295. In other cases, users may be willing to use the information but require additional training to more fully understand the data. Such training may be usefully combined with training in statistical dissemination techniques or uses of more advanced data products. At a very basic level, some users may require training in such mundane issues as how to contact the national statistical office, or how to find the information they require within the systems of that office, or how to use the website and other electronic applications and tools.

3.296. Whichever approach is taken to enhancing promotion and training in the use of statistical data, a number of strategic issues need to be addressed. These include:

(*a*) Ensuring that the needs for training are identified early in the census planning process and that required funds are included in the census budget. In many cases the courses requested by users will be specific to those users; in such cases it may be desirable to request the user to provide funds to cover the marginal (or full) costs of the course.

(*b*) The proposed courses or materials should be fully integrated into the overall census advocacy or training programme. It is essential that messages about the use of data fully reflect the messages given when initially advocating conducting the census or seeking public cooperation with and participation in the collection phase.

(*c*) If the training facility is itself promoted properly, it is highly likely that the demand for training will far outstrip the ability of the statistical office to deliver it. In this case it will be necessary for the statistical office to have prepared transparent strategies that (*a*) identify those areas in which the statistical office wishes to participate (for example, dealing with lifeline clients, and topics on which the statistical office has particular knowledge or expertise); (*b*) establish partnerships with other bodies to provide training; (*c*) use approaches other than classroom training to provide learning-at-a-distance opportunities (for example, e-learning); and (*d*) have a pricing regime to cover costs where this is seen as desirable.

3.297. The list of target audiences and topics for such training must be determined by countries. It should be noted, however, that basic training in the use and interpretation of the results of one census is a very strong method of advocating support for future censuses. It is thus recommended that countries consider development of a basic course in (*a*) potential uses of census data; (*b*) how to access census data; (*c*) interpretation of census data at the broadest level, including the interpretation of its completeness and level of accuracy; and (*d*) spatial analysis. The target audience for such training should be key decision makers in the political and administrative hierarchy of the country. It should be outlined that the uses of census data at the local level (small areas) offer substantial potential for constructive use of census data; spatial distribution of population by age and sex, for example, provides an ideal framework

for local officials to address the most pressing issues of their constituents, such as location of schools, utilities, service delivery and so forth.

3.298. A second group of key importance are members of the mass media, such as print, radio and television journalists. A focus on training such personalities is important because they can carry the message to many other people. This will assist in the general raising of awareness in the population at large, as well as in generating an awareness of the census among the governmental, academic and business users who may not have contact with the statistical office on a regular basis. Obviously such training should be completely integrated with the overall public relations and advocacy work.

3.299. A third group to be targeted are schools, both students and teachers. A focus on training of teachers to use census data in the mathematics and geography curricula creates awareness among children about using statistics in decision-making and allows them to develop numerical skills using real data.

3.300. A fourth group to be targeted are geographers, with the aim of integrating census and survey data with GIS shapefiles in order to perform spatial statistical analysis. This training will enable specialists to better present statistics in space.

3.301. A fifth group to be targeted are non-users of census data. A number of stakeholders are unaware of how census data can be used in their area of work to make evidence-based decisions. Countries need to aim to increase the usefulness of census data by identifying non-users. User segmentation will be a valuable source of information to identify possible non-users to be targeted.

3.302. A sixth group to be targeted is the research community. The focus of the training and demonstrations will be on the application of various statistical techniques to census data. This will improve utilization of census data.

C. Census data dissemination: products and services

1. Provisional and final results

3.303. Some countries release provisional results very soon after enumeration is completed. Subject to change once the full data-processing and verification operations have been completed, they nevertheless provide a general picture of population trends. Provisional census results may be processed manually or by computer. For reasons of efficiency and quality, the use of computers is always preferable. The ability to verify data quality during the enumeration phase with the help of validation programs, quick indicator reports, data consistency reports, and tabulations greatly increases the confidence with which provisional results can be announced. Provisional results will normally cover information only on total population by sex and by major division. The number of households and housing units may also be derived easily from this exercise. The preliminary result of the census can be reported right after the end of the census by utilizing the summary of household lists without individual data processing. This can be possible as the summary usually includes the total population, households and housing unit in each major division.

3.304. The final census results will be the output of the main tabulation programme. Tabulations may be based on all of the returns or on a sample. If some of the topics are collected on a sample basis only, proper weights will have to be applied in the tabulation stage to produce valid national estimates. In addition, the census office should be prepared to facilitate the production of tables requested by researchers and users (see paragraphs 3.392-3.398).

3.305. Since provisional and final results may differ (for example, the summaries on which provisional results were based might contain errors), it is important that data users be made aware of and warned about the possibility of such differences. Implications of using provisional population counts must be outlined. It is recommended that quality assurance processes be put in place to minimize variances between the provisional and final results.

3.306. The final census results must be published as soon as possible. Countries may aim to publish the basic, essential results within one year of enumeration. The use of technology may reduce the time between the release of the provisional and final results, which may over time render provisional results obsolete. The dissemination of the final census results must be part of a comprehensive dissemination strategy and plan. The schedule and description of upcoming releases of final results and products should be made public early in the process to maintain interest by the public in the census (see also release calendar, paragraphs 2.114-2.118). The releases can be staggered, from simple, descriptive one-page summary fact sheets covering a country's major geographic divisions initially, to more comprehensive tabulations and descriptive reports later on.

2. Census reports

(a) Basic reports

3.307. Every effort should be made to publish the principal results of a population census (such as those on age, sex and geographic distribution of the population) and of a housing census (such as a geographic distribution of sets of living quarters, households and population by type of living quarters) as soon as possible after the enumeration, otherwise their usefulness and the extent of their interest to the public will be diminished. With technological advancements, the time required for processing and tabulating results has been significantly reduced. As a result, collection restrictions, in terms of cost and accuracy of the data, have a greater relative weight in determining the number and complexity of the tabulations that can be produced and disseminated. The tabulation plan must respond to user needs.

3.308. The population and housing census tabulations presented and illustrated on the website of the United Nations 2020 World Population and Housing Census Programme are intended to provide, in tabular form, the most important census information needed as a basis for programmes of economic and social development and to be used for research purposes. They do not in any way represent all of the tabulations that a given country may publish and certainly not all of the tabulations that may eventually be prepared for special purposes. The tabulations do not take into account the form in which information may be entered into a database, which may be more detailed than that required for these illustrative census tabulations.

3.309. A major goal of these recommendations is to provide a set of tabulations that need to be produced at the lowest geographic level pertaining to the same point in time so that a country or area is able to meet its data needs for evidence-based socioeconomic development planning and monitoring. While the majority of national statistical authorities use a population and housing census as the single most comprehensive vehicle to collect these necessary statistics, others use sample surveys, registers of population and vital events, and other administrative sources or a combination of these methods to derive them.

3.310. Three categories of tabulations are described below: (*a*) basic or essential, (*b*) recommended, and (*c*) optimum tabulations.

Basic or essential tabulations

3.311. These are tabulations that are deemed of top priority for production by countries. They are also regarded as essential for countries in difficult circumstances, such as those that have emerged from a conflict or those that have not carried out a census in a long time, in terms of providing minimum statistics to meet their basic data needs.

3.312. The set of basic or essential tabulations on population and on housing characteristics are listed on the website of the United Nations 2020 World Population and Housing Census Programme. The tabulations include elaborate classifications as well as relevant metadata for each of the tabulations.

Recommended tabulations

3.313. Recommended tabulations are those that are considered adequate for meeting the essential data needs for evidence-based planning, monitoring and implementation of national policies because of their perceived relevance at both the national and the international levels. These tabulations are also designed with the potential for producing statistics at the lowest geographic level and are expected to be produced by each country at least once in the 2020 census decade.

3.314. The recommended set of tabulations also includes the basic or essential tabulations discussed above. Schematic presentations of all tabulations are presented online at the United Nations 2020 World Population and Housing Census Programme.

3.315. Associated with the recommended tabulations are the core topics that go into their production. Core topics are therefore the main variables for the recommended tabulations. There are 31 core topics on population with 25 of them direct topics and 6 indirect (for a more detailed discussion of direct and indirect topics, see paragraph 4.19).

3.316. As stated in paragraph 4.1, the aim of the recommended tabulations is to permit national and international comparability of data due to use of common concepts and definitions of the core topics. For each of the recommended tabulations, the core topics that it represents are listed as part of the metadata. Other metadata that are presented for each of the recommended tabulations include (*a*) the source of statistics, that is to say, whether from a traditional census, register-based census, survey or rolling survey; (*b*) the type of population count, that is to say, whether a de jure or de facto population or a combination of these; and (*c*) the definition of urban and rural areas used.

Optimum tabulations

3.317. The optimum set of tabulations includes the basic or essential and the recommended tabulations discussed above, as well as additional tabulations, and is designed to meet the needs of most of the users at the national and the international levels. This set can be viewed as being equivalent to the complete set of tabulations that could be generated from a population and housing census.

3.318. In order to avoid producing census tabulations that are overly voluminous or that contain a large number of empty cells, some countries may find it necessary to employ a more restricted geographic classification than what is suggested in the illustrations. For example, basic facilities such as piped water or electricity may be almost completely lacking for large areas of some countries. Under these circumstances, tabulation of the relevant data for small geographic areas would not be appropriate. The geographic classification to be utilized needs to be carefully considered, taking into account the type of information being tabulated, its probable frequency distribution and the uses to which the data are likely to be put. Privacy and confidentiality of individuals and households must at all times be protected (paragraphs 3.285-3.289, 3.262, 3.394).

3.319. Some countries may also collect data on additional topics in the census questionnaire to address specific concerns, for example, whether or not the birth of an individual is registered, the age a woman first marries, or vocational and technical skills. In other cases, detailed tabulations for special populations may be required for use in planning or evaluation of programmes. Tabulations for the non-core topics may be done after the basic tabulations are completed. This should be based on user needs. Consequently, consultations with user groups at both the national and local levels may be helpful in determining the most suitable tabulation plan and method of dissemination.

(b) Thematic statistical or analytical reports

3.320. Many countries prepare different types of thematic or analytical reports. These reports must be planned and scheduled during the preparatory phase and published according to the release calendar in order to avoid outdated reports. The reports may range from volumes presenting extensive and detailed statistical tabulations, particularly cross-tabulations, to more analytical reports that combine tabular materials with some interpretative or analytical text. This latter group of reports might include, for example, volumes of regional analysis on such subjects as population or housing conditions of urban areas, major metropolitan areas or big cities, and regional distributions; locality reports on infrastructure; and comparisons of key social indicators such as education, living arrangements, housing conditions, sanitation and economic activities. Other such reports might include community profile analysis of, for example, the indigenous population, and profiles of specific population groups, such as families, children, youths, persons with disabilities and older persons. Reports on population growth and distribution that examine changes in the demographic characteristics of the country's population with breakdowns by two or three levels of administrative areas would be very useful. Such reports might focus on the growth, location and mobility of the population at the national and regional levels, and administrative areas. It should be pointed out that it is important that appropriate language is used to correspond to the target audience for each thematic report. It is recommended that multidisciplinary task teams be established, including line ministries and agencies, for the preparation of thematic and analytical reports in line with agreed guidelines. Partnership and external cooperation with academic institutions and other specialists in subject matter, which can facilitate such work and strengthen collaborations, may be sought whenever possible.

3.321. Thematic and analytical reports must be based on user needs and respond to a country's specific development needs and emerging issues. These reports can also be used to show time series and trend analyses of socioeconomic and demographic indicators and may combine census data with other data sources to provide a more comprehensive and current outlook.

(c) Methodological reports

3.322. Other published reports may include the census methodology, encompassing, if applicable, sampling design and methodology and a census evaluation report, which may include estimates of census coverage and the methodology used for their preparation.

3.323. It is important that users of census products be provided on a timely basis with as much relevant information regarding the census as possible. A publication that contains information on all types of products that will be available following the census is very useful to users. A brief description of each product should be provided including the estimated timing of release, the level of geographic detail that each product carries and, for products released periodically, the frequency of release. In the case of large census operations, several such documents tailored to the needs of different sets of users (for example, users in education, health or local government) may be useful.

3.324. Many countries publish a census dictionary, which contains comprehensive definitions of terms and concepts and detailed classifications used to present census outputs. Some countries also publish geographic classifications and codes, and the definitions of areas used in the census and their relationships with the administrative areas. Explanations of user-defined areas for specific census tabulations and the type of format available (printed or electronic) may be provided.

(d) Administrative report

3.325. One of the most important reports in the publication programme is the administrative report, which is a record of the entire census undertaking, including problems encountered and their solutions (see also paragraphs 3.468-3.472 on systematic recording and documentation of the census experience). The report may include the following topics: a brief history of the census in the country and the legal basis for conducting the census; budget requirements, expenditure and control; source and allotment of funding; census committees and their activities; stakeholder management; census organization and personnel structure; staff management; quality control procedures; census calendar; census cartographic work; development and design of the questionnaires; enumeration methodology; census promotion, publicity and communication; field organization; manual editing and coding; data-processing development and organization; data capture; computer editing and imputation procedure; capital, equipment and infrastructure management; computer hardware and software used; census evaluation; publication and data dissemination programme; and archiving. The census administrative report is very useful both for the users and for the census organization itself. The administrative report is an essential product for the planning of future censuses (see also paragraphs 3.471-3.472).

3.326. With developments in information technology, the census data files and publications have become increasingly available in electronic formats. A description of the procedure in the development of these data files may also be included in the procedural report. Consideration of a separate volume of the procedural report for the processing and dissemination phases may be considered to ensure the completion of the planning and field operations phases immediately after the census enumeration.

3. Databases

3.327. In order to expand the life and usability of the data, and as a complement to the standard production of tables, national statistical offices are encouraged to store the census data in various computerized database forms so as to better satisfy the full range of needs of internal and external data users. Census databases assist data users by providing easy access to a wide range of census data.

3.328. The establishment of such databases can enhance the dissemination of the census results as well as increase their usefulness by combining census data together with related information from other demographic enquiries in a common format. (An important special case is bringing together the data from prior censuses into a single database.) In addition, such databases can improve the coherence of the input and output processing systems.

3.329. Needs vary widely from user to user according to specific interests and circumstances. There is therefore no preferred approach to setting up a census or population database. For example, a basic decision must be made whether to provide microdata, aggregated data or both. Other basic design issues to be considered include whether an effort is to be made to incorporate the new census results in an existing database structure or whether one or more new census databases are to be established, and if the latter is the case, whether the

new database(s) will be exclusively in the form of a census database or constitute instead the nucleus of one or more population databases incorporating data from other sources. Consideration will also have to be given to such issues as identification of the different types of users, their information requirements, types of information to be stored in the database, sources of information, maintenance and update of information, processing of user queries, identification of the appropriate commercial software or, alternatively, whether it is feasible to develop such software, and selection of the appropriate hardware capable of supporting the current database and its anticipated growth.

3.330. Since building a census or population database requires careful planning and can be time-consuming, such implementation should fit within the global statistical framework of the organization, and be seen as an ongoing process both complementing the data dissemination strategy and strengthening the statistical capacity of the organization.

(a) Microdatabase

3.331. Microdata (records of individual persons and households) collected in the census can be stored either in their raw form, or in their final edited form, or in a file that combines both raw and edited records. To limit problems of conservation, the data should be stored preferably on a medium of excellent reliability such as, currently, compact disk read-only memory (CD-ROM) or a digital versatile disk read-only memory (DVD-ROM), which has much more capacity than a CD-ROM, or a universal serial bus (USB) flash drive, which provides even more storage space. New technologies for mass storage are constantly evolving. Such new technologies present two issues for census managers and technicians: (*a*) the issue of when it will be appropriate to adopt a new technology as the standard; and (*b*) that of the need to convert materials stored in older media to the new standard or otherwise provide accessibility to the older materials.

3.332. With technological advances in mass storage devices and media, it is now feasible to store the full census data file (one character per byte) as a single large rectangular file. After adding a data dictionary that describes the data format and a tabulation module, one obtains a set that could be described as a census database. The microdatabase requires a cross-tabulation program, which can be either part of the package or external. The software normally used for census tabulation still requires some prior training and may be confusing to inexperienced users. More intuitive tabulation software is available, but may be either too slow in processing or too limited in its options to be fully satisfactory.

3.333. The organization of the microdatabase may take several formats, for example the software may allow for reorganizing the data in a transposed format (for example, one separate file per variable). This can substantially reduce the need for storage space and increase the speed of tabulations. However, establishing this kind of database is more complex, technically demanding and time-consuming. There would be advantages in storing census microdata with standard commercial databases. This approach has the advantage that many users are already familiar with such software, and so it is easier to find programmers and system analysts in the labour market. Even though the storage space required would be comparatively larger, today's market for mass storage has made available very large and fast hard disks at much cheaper prices, and the hardware market seems to continue to follow this trend.

3.334. One of the main advantages of a microdatabase is that it permits the retrieval of data, at least in principle, at any level of detail. Since microdata could be used to obtain information on individual persons, families, households or family enterprises, privacy concerns must always be taken into consideration. In most countries, the use of census data to identify individuals is prohibited by law. Moreover, the long-term reputation of the national statisti-

cal authority may well be jeopardized if such disclosures occur. Full elaboration of principles and protocols for disseminating microdata is elaborated below in paragraphs 3.376-3.391.

3.335. As presented in this subsection, there are methods (such as sampling, introduction of random disturbances, recoding and aggregation) that can be used to make such microdata available while still protecting individuals' rights to privacy. All have in common the fact that they sacrifice some information in order to eliminate or greatly reduce the risk of disclosure. However, it is important that census organizations interested in disseminating microdata to outside users should take the appropriate precautions to protect privacy and confidentiality.

(b) Macrodatabase

3.336. Aggregated census data can be stored in many formats, either as the results for one census, as a database covering more than one demographic enquiry, or in a broad database of statistical information. Whereas microdata are saved to allow aggregations to be made that were not programmed initially, macrodata are stored to preserve earlier aggregations, to provide the broad public with readily usable information, and to prevent double work by those who may find that the summary data they require have already been produced.

Publication equivalents

3.337. The simplest form of what could be called a database for macrodata is a straight copy of a publication on a computer medium, usually on an optical disk (CD-ROM or DVD-ROM) or a flash drive or on the website of the census office. A machine-readable publication-equivalent database may have the advantage of being less expensive to prepare than its hard copy counterpart. In addition, electronic or paper copies can be made quickly, with copying of only part of the publication if only part is required. A disadvantage is that a user needs a computer, and one possibly provided with compatible software, in order to have access to the census information.

3.338. The original printed publication can be captured on the computer medium by (*a*) exporting the camera-ready output to some portable file formats or scanning the printed pages, which generates raster-type images; or (*b*) copying the original computer files in American Standard Code for Information Interchange (ASCII) text form and worksheet or database formats. The former approach makes it extremely simple to retain all the formatting and to include graphs and other illustrations. The latter solution has the big advantage of allowing the user to process the information further by computer without having to re-enter the data. This, as noted before, economizes effort and prevents transcription errors. The information content in this case is usually limited to tables, perhaps with some explanatory texts. Because of the important advantages of each of these storage methods, census organizations can use both. The user receives a computer medium holding the camera-ready output file or the scanned images as well as ASCII files of the tables. If tabulated data are provided in readable format, they may also be organized with some kind of data-browsing software. In this case, the software should always allow for downloading in a variety of non-proprietary and popular spreadsheet formats. This is possible especially when the medium has a large capacity.

Table-oriented databases

3.339. More advanced users may prefer that a census database of macrodata offer more than an equivalent of the printed publication. They might like to be able to manipulate the tables in various ways in order to obtain views or results that represent their specific requirements more precisely. Associated graphing and thematic mapping capabilities may also be welcome. Several statistical offices have successfully filled this need. However, a major problem often encountered is that there is no generally accepted definition of what constitutes a statistical table and of the rules that should be followed when designing one.

3.340. In a controlled environment, such as that of a given census or national statistical organization, it is possible to standardize table definitions. The most common way is to design a basic layout having a number of attributes that together fully describe a table. Appropriate software will then give users access to a number of operations that process the table or several tables at the same time. Examples of such operations are reclassifying a variable (for example, from 1-year to 5-year age groups), eliminating a dimension from a multidimensional table or joining tables that have a dimension in common.

3.341. The availability of a standard table description language offers important advantages in exchanging tables as data-processing objects among national and international organizations. However, as mentioned before, some statistical tables are not easily pressed into the mould provided by formal descriptions. In this respect, it should be noted that statistical tables have little in common with the structures known as relational tables in popular database management systems.

3.342. Nevertheless, census offices should be aware of the potential offered by extensible markup language (XML). XML is not, as a matter of fact, a language itself, but rather a metalanguage system designed to be used on the Internet. With XML, users can define their own "tags" to structure the information within a document. XML thus offers the potential of precisely describing all elements composing a statistical table: title, subtitle, units of measure, indicators, values, the time dimension and footnotes, in short the metadata. Other solutions, such as EDI/EDIFACT (electronic data interchange for administration, commerce and transport), are a set of internationally agreed standards, directories and guidelines for the electronic interchange of structured data between independent, computerized information systems.

Time series and indicator databases

3.343. Databases can also cover more than one demographic enquiry, and census results can be integrated with various other data sets, including the results of earlier censuses. In developing databases that are aimed at serving a heterogeneous user community, the issue of a number of basic trade-offs will have to be addressed. For example, on the one hand, the number of variables should be kept as small as possible to make the database easy to use; on the other hand, it should be as comprehensive as possible to address the broadest possible requirements. A minimum data set of versatile indicators should consist of those variables that are useful for a wide range of applications and consistently available across space and time, and whose characteristics are clearly defined. In developing such a database, not only storage of the key indicators and variables themselves, but also the inclusion of some basic figures (absolute numbers or basic data) as a way of standardizing the basic statistical framework, is recommended.

3.344. It would be ideal to have a broadly accepted storage format that could improve interchangeability between producers and users. The principal problem is that series usually contain a number of descriptive attributes that have not been standardized. Metadata such as key code, definition of the variable, periodicity, unit of measure, universe covered, number of terms recorded, base year (for an index), adjustment applied, and so on, are required to interpret the series properly.

3.345. In addition, various processing modules (custom made or commercial) can be attached, allowing seasonal adjustment, interpolation and extrapolation, model building, and adding or subtracting of series if relevant, and so on. Spreadsheet manipulation, as well as graphing and mapping capabilities, can greatly enhance data presentation and analysis.

(c) Graphing and mapping databases

3.346. By having associated graphing and mapping capabilities, databases will greatly increase their usefulness. Ideally users should be able to generate the graphs or maps required by themselves and then print or plot them, paste them into a report or make the images available for other uses.

3.347. Many users want data for relatively small areas concerning such matters as home ownership, educational profiles and the labour market. While the database may be for one census, some historical information can be included to allow users to observe prevailing trends over time.

3.348. Both microdata and macrodata can be at the basis of these dissemination products. However, owing to disclosure problems as well as in order to increase processing speed, some form of prior aggregation is usually applied, for example by using summary data. Such summary data could also be combined with the general purpose graphing and mapping software. However, this would result in a reduction of the user community to those able to handle rather more complicated processing jobs. Making available a census database with tightly integrated graphing and mapping capabilities (which usually implies a tabulation function) is an excellent way to improve the effectiveness of census information dissemination. If it is to be commercially successful, the product must be easy to use.

4. Geographic products

(a) Basic maps

3.349. Census offices should take advantage of emerging GIS technologies to make the census results more understandable and easier to use. The purpose of statistical maps is to present the results in terms of their geographic distribution and also to make it easier for the general public to understand census results than when information is presented only in the form of statistical tables. There is special interest in the current pattern of geographic distribution and also in changes in patterns that have occurred over time, particularly since the last census. Harmonization of the boundaries between the censuses is essential for comparability of data.

3.350. The provision of maps serves two purposes: first, census area identification maps locate and show the boundaries of all administrative areas and units for which data are reported in census publications; and second, statistical or thematic maps and graphs present the significant results of the census, thus allowing the general user to visualize the geographic distributions and patterns inherent in the data. Well-designed and attractive maps will interest the users of census reports, and may raise questions that send them to the statistical tables for further details.

3.351. There are three major types of area identification maps that are commonly used in most census publications in printed or GIS shapefile formats: (*a*) national maps showing the boundaries of the first- and second-order geographic divisions and of the major cities or metropolitan areas; (*b*) maps of each first-order division showing the boundaries of the second- and third-order divisions for which statistical tables will be prepared; and (*c*) urban or metropolitan maps showing small sub-area boundaries as well as general streets, roads and rivers.

(b) Thematic maps

3.352. A comprehensive map publication programme should be developed as part of the overall population and housing census publication programme so that the needed resources may be provided within the budget at the initial planning stages. In addition to preparing

maps for census tables and reports, many countries have also found it useful to produce a population atlas as a census output. Collaboration with other departments and interested agencies might be sought to facilitate the production of an atlas volume. The atlas would include maps depicting population and housing characteristics, as well as other data influencing the growth, composition and distribution pattern of population and housing (see paragraphs 3.83-3.93).

3.353. As regards thematic maps, priority indicators for a population and housing census are total population and its distribution by sub-area, population density, urban and rural population or metropolitan and non-metropolitan population, and changes in the population totals since the last census. Other important indicators include age, sex, fertility, mortality, migration, educational attainment, employment, household size, type of housing, ownership, number of rooms and sanitary facilities, with a growing demand also for data on communication (telephones, television, computers and Internet access), transport (vehicles), a broad range of household amenities, and recently also population-based development indicators such as household access to safe water, household waste management and multiple sources of household incomes, such as the incidence of remittances. This list of indicators is merely an illustration of the type of thematic maps individual countries might find useful to produce. Producing maps using the same set of indicators enables countries to meaningfully compare their results over time and with international or regional norms.

3.354. Maps are an invaluable aid in meaningfully comparing subnational results with national values or with other international and regional norms. Emerging technologies provide great flexibility in composing informative and visually appealing maps. Often several maps can be combined on a single page to show one indicator, for example, for urban and rural populations. Also, combining maps and statistical charts is an effective means of presenting census information.

3.355. By having associated graphing and mapping capabilities, databases will greatly increase their usefulness. Ideally users should be able to generate the graphs or maps for their own needs. Several census organizations have produced this kind of product, sometimes in cooperation with a commercial company. However, it is recommended that census offices develop mapping capabilities as a core competence for statistical production. Many users require small-area data concerning such matters as home ownership, educational profiles, the labour market, and so on. While the database may be for one census, some historical information can be included to allow users to observe prevailing trends over time. As with all time-series-type data, it is important to maintain consistency in both definition and spatial representations to ensure comparability.

3.356. Both microdata and macrodata can be at the basis of these dissemination products. However, owing to the need to maintain confidentiality, and in order to increase processing speed, some form of prior aggregation is usually applied, for example by using summary data. Such summary data could also be combined with the general purpose graphing and mapping software. Making available a census database with codes and names matching the GIS shapefiles with tightly integrated graphing and mapping capabilities (which usually implies a tabulation function) is an excellent way to improve the effectiveness of census information dissemination.

3.357. The following list presents some suggested topics for census maps. The list is not exhaustive: most topics that appear in the questionnaire as well as derived topics covered in part two can be presented in cartographic form. In some countries, special topics such as population distribution by ethnic or language group may be appropriate. Conversely, some of the listed maps present information on the same topic in somewhat different form, so that a statistical agency may wish to select the most suitable indicator for the needs of the country.

Illustrative list of thematic census maps

- *Population dynamics and distribution*
  - Percentage population change during intercensal period(s)
  - Average annual growth rate
  - Population density (persons per square kilometre)
  - Urban population as percentage of total population
  - Distribution and size of major cities and towns
  - In-migration, out-migration and net migration rates
  - Born in country and foreign born
  - Born in another division of the country
- *Demographic characteristics*
  - Sex ratio (males per 100 females), possibly by age groups
  - Percentage of population aged 0-14
  - Percentage of population aged 15-64
  - Percentage of population aged 65 and over
  - Percentage female population of childbearing ages 15-49
  - Total dependency ratio (population aged 0-14 and 65 and over, as percentage of population aged 15-64)
  - Marital status
  - Birth rate
  - Total fertility rate
  - Mean age at first marriage
  - Death rate
  - Infant mortality rate
  - Life expectancy at birth
  - Percentage of persons with disabilities
- *Socioeconomic characteristics*
  - Percentage of children not in primary school
  - Adult literacy rate (aged 15 and over)
  - Mean years of schooling (aged 25 and over)
  - Illiteracy rate of population aged 15 and over
  - Illiterate population aged 15 and over (total number)
  - Educational level of population aged 10 and over
  - Labour force as percentage of total population
  - Women's share of adult labour force
  - Percentage of labour force by economic sector, type of occupation and status in employment
  - Poverty mapping
- *Households and housing*
  - Average number of persons per household
  - Percentage of households headed by women
  - Average number of dwelling rooms per household

— Tenure status (owned, rented, and so forth)
— Type of construction material
— Percentage of population with access to adequate shelter
— Percentage of population with access to safe water
— Percentage of population with access to electricity
— Percentage of population with access to sanitation
— Percentage of population with access to health services

3.358. Where appropriate, the indicators can be presented disaggregated by gender as well as by urban or rural area (for example, where the rural population is greater than about 25 per cent of the total population). If information about an indicator is also available from a previous census, it is often very informative to produce change maps or to present maps for both time periods.

3.359. Also where appropriate, countries are encouraged to perform spatial statistical analysis by producing maps showing spatial clustering and outlier analysis of the variables of interest, such as electricity and water.

3.360. The development of locality (village, town, city, community, small area) population size maps by region is of particular value. These maps combine two types of information: locality population statistics and locality locations in each region or subnational area. More information can be presented on, for example, the locality location within the district and the region, habitable and non-habitable areas, densely populated localities, areas with no localities, and the proximity of localities. Locality population size maps can also be used as base maps for additional information on locality services and activities, and on location and distribution of localities without specific services, such as primary schools, dispensaries, piped water, and so forth.

(c) GIS for census data dissemination

3.361. Geographic information systems embody hardware and software configurations designed to support the capture, management, analysis and dissemination of spatially referenced data. Applied to census activities and outputs, such systems facilitate census cartography and data capture, and by linking population data (demographic, social and socioeconomic) to geographic areas, GIS provides very powerful data management functionalities in allowing users to explore, analyse, describe and communicate population census information according to their own data and information demands.

3.362. In practical terms, such systems may range from simple desktop mapping facilities to complete GIS systems capable of solving complex planning and management problems, producing detailed georeferenced inventories and spatial statistical analysis. The ability to use space to integrate and manipulate data sets from heterogeneous sources can make its application relevant to planning and managing the census process itself. For example, GIS provides functions for the aerial interpolation of statistical data in cases where the boundaries of aerial units have changed between censuses.

3.363. Geospatial analysis must become a core competence in any census office.

3.364. Statistical offices should develop GIS applications with population data and other georeferenced data from other sources for more advanced forms of spatial analysis. The role of the census office should be to supply census data at the right level and in the right format to users. Census offices provide vital information on current demographic conditions and future trends for policymakers in a range of sectors, such as health care, education, infrastructure planning, agriculture and natural resources management; and the provision of spatially referenced census databases is a prerequisite of the facilitation of the use of demographic data in these fields.

3.365. To achieve maximum efficiency gains, GIS applications should also be capable of generating additional geographic information beyond those used in the census, such as school and health districts, water and other biophysical catchment areas, and power and utility service units. These entities will have to be constructed from the smallest geographically identified units available in the census, such as census blocks, grid squares or enumeration areas. If, as is the case in most developing countries, enumeration areas are the smallest units, this will have important implications for the establishment of enumeration area boundaries. This requires close collaboration between national statistical organizations and national mapping and survey agencies on the one side, and school, health, water and power authorities on the other, when enumeration area boundaries are drawn or modified, to avoid potential discrepancies later on.

3.366. Apart from providing national statistical organizations with a very effective means to disseminate and increase the utilization of census data, GIS, more than any other data management system, provide easy and user-friendly access to census data in user-relevant formats. This allows analysts and planners to undertake policy analysis, planning and research that can more readily identify thematic and geographic priority areas and thus contribute to evidence-based and better-informed policy and decision-making at different levels of geography. Some of the spatial statistical analysis includes clustering, Moran's spatial autocorrelation, Anselin outlier analysis, Getis-Ord hotspot analysis, ordinary least squares regression and geographically weighted regression. It allows governments to effectively monitor development progress across different sectors at village, municipality and subregional levels; it raises awareness about the importance of census and other socioeconomic data; and it increases the institutional capacity of national statistical offices and social and economic planning agencies to engage in more in-depth analyses of social and economic data and deliver information products in even more user-friendly formats.

5. Interactive electronic outputs

3.367. It is of paramount importance that census data and information produced are widely disseminated and communicated, and that national statistical and census offices involved in this process have a pronounced customer, client and stakeholder focus. That means that national statistical and census offices should place more emphasis on providing a service and creating partnerships than on merely providing products, and should be guided by user-relevance and user-friendliness in all their operations, rather than by tradition in producing the tables, graphs and reports that they have always produced.

3.368. Given its importance and widespread use, the web has emerged as the primary means of providing general access to census statistics. Many national statistical and census offices have utilized the Internet as the principal channel for data communication, positioning their websites into comprehensive census data repositories, enabling users to have access to all published data online. When developing new census products, and when reviewing existing products, national statistical and census offices should consider all ways and means of making census statistics accessible, giving high priority to dissemination on the web. The advantages of online dissemination are primarily in terms of speed, flexibility and cost, as well as in providing accessibility to census results to a wide range of data users and allowing the delivery of data to be tailored to the level of sophistication of the user.

3.369. Making a census database available online along with integrated searching, tabulating, graphing, mapping and analysis capabilities is an important way to improve the effectiveness of census data dissemination. Most national statistical and census offices provide user access to electronic databases and data files through their websites, satisfying the full range of needs of internal and external data users. This is a valuable service that allows users to

access and display census data instantaneously and interactively. The establishment of such databases can enhance the dissemination of census results as well as increase their usefulness by allowing user interaction with census data. User interaction is a key concept whereby users are enabled and empowered to access and explore census data themselves, and build their own customized tables or spatially configure data outputs according to their own requirements.

3.370. Interactive web-based data tools provide a user-friendly entry point to the entire range of census outputs disseminated by national statistical and census offices. Basic design considerations of web-based interactive tools should factor issues such as identification of the different types of users, their information requirements and the types of information to be stored in the database. Content should be organized so that it can be easily understood and found, with an overview given to provide orienting information to users about the data that can be accessed using the interface. Context should always be provided to all outputs through metadata, links to related information, and cross-referencing to glossaries, publications and other background material.

3.371. In practical terms, interactive web-based data tools should enable users to access census data themselves, and build their own customized tables or spatially configure data outputs according to varying requirements. The tools should allow users to visualize and explore the data in column charts, line graphs, maps and scatterplots. The table-building functionality should also have the ability to sort and order tabular results, and more easily select survey years and indicators. Tools should also be provided for downloading, conducting analysis or retrieval for use in other software. Design considerations to improve the interactivity of data interfaces should include the provision of user support. It is highly recommended to help users to anticipate, interpret and evaluate results. Support to users should include demonstrations and tutorials intended to describe how to perform the various functions related to the interactive web-based tools.

3.372. In addition to the Internet, interactive electronic products can also be accessed through other media, including CD-ROM, DVD and flash drive.

6. Microdata dissemination[79]

(a) Definition of microdata

3.373. In general, when statistical agencies or other data producers conduct surveys or censuses or collect administrative data, they gather information from each unit of observation. Such a unit can be a household, a person, a firm or enterprise, an agricultural holding, a school, a health facility or other. In this context, microdata are the electronic data files containing information about each unit of observation. Microdata are thus opposed to macrodata or aggregated data, which provide a summarized version of this information in the form of means, ratios, frequencies or other summary statistics.

3.374. Typically, microdata are organized in data files in which each line (or record) contains information about one unit of observation. This information is stored in variables. Variables can be of different types (for example, numerical or alphanumerical, discrete or continuous). They can be obtained directly from the respondent via a questionnaire or by observation or measurement (for example, by GPS positioning), or imputed or calculated.

3.375. In the context of the population and housing census, microdata refer to electronic files consisting of individual records on persons, households and housing units. More specifically, microdata would typically be organized in multiple files: one with records on households, another with records on individuals, and yet another with records on housing units.

[79] The elaboration on the dissemination of microdata is largely based on Olivier Dupriez and Ernie Boyko, *Dissemination of Microdata Files: Principles, Procedures and Practices*, IHSN Working Paper No. 005 (2010).

(b) Core principles for disseminating census microdata[80]

3.376. The United Nations Fundamental Principles of Official Statistics[81] provide unambiguous guidance in administering official statistics at national and international levels. A particular emphasis of these principles is on confidentiality of information collected for statistical purposes. The sixth principle, governing international statistical activities, states: "Individual data collected by statistical agencies for statistical compilation, whether or not they refer to natural or legal persons, are to be strictly confidential and used exclusively for statistical purposes."[82]

3.377. Any principles for microdata access must be consistent with this recommended principle and the principles contained in the legislation pertaining to the national statistical authority. The following principles should be considered for managing the confidentiality of microdata:

Principle 1: Appropriate use of microdata

3.378. It is appropriate for microdata collected for official statistical purposes to be used for statistical analysis to support research as long as confidentiality is protected.

3.379. Making available microdata for research is not in contradiction with the sixth United Nations Fundamental Principle as long as it is not possible to identify data referring to an individual. Principle 1 does not constitute an obligation to provide microdata. The national statistical office should be the one to decide whether to provide microdata or not. There may be other concerns (for example, quality) that make it inappropriate to provide access to microdata. Or there may be specific persons or institutions to whom it would be inappropriate to provide microdata.

Principle 2: Microdata should only be made available for statistical purposes

3.380. For principle 2, a distinction has to be made between statistical or analytical uses and administrative uses. In the case of statistical or analytical use, the aim is to derive statistics that refer to a group (be it of persons or legal entities). In the case of administrative use, the aim is to derive information about a particular person or legal entity to make a decision that may bring benefit or harm to the individual. For example, some requests for data may be legal (a court order) but inconsistent with this principle. It is in the interest of public confidence in the official statistical system that these requests are refused. If the use of the microdata is incompatible with statistical or analytical purposes, then microdata access should not be provided. Ethics committees or a similar arrangement may assist in situations where there is uncertainty whether to provide access or not.

3.381. Researchers are accessing microdata for research purposes, but to support this research they may need to compile statistical aggregations of various forms, compile statistical distributions, fit statistical models or analyse statistical differences between subpopulations. These uses would be consistent with statistical purposes. To the extent that this is how the microdata are being used, it could also be said to support research purposes.

Principle 3: Provision of microdata should be consistent with legal and other necessary arrangements that ensure that confidentiality of the released microdata is protected

3.382. With respect to principle 3, legal arrangements to protect confidentiality should be in place before any microdata are released. However, the legal arrangements have to be complemented with administrative and technical measures to regulate the access to microdata and to ensure that individual data cannot be disclosed. The existence and visibility of such arrangements (whether in law or supplementary regulations, ordinances, and so forth) are necessary to increase public confidence that microdata will be used appropriately. Legal arrangements

[80] The elaboration of core principles for dissemination of microdata is quoted from *Managing Statistical Confidentiality and Microdata Access: Principles and Guidelines of Good Practice* (United Nations publication, Sales No. E.07.II.E.7).

[81] Presented at the United Nations Statistics Division website at: http://unstats.un.org/unsd/dnss/gp/fundprinciples.aspx.

[82] Ibid.

are clearly preferable, but in some countries this may not be possible, and some other form of administrative arrangements should be put in place. The legal (or other arrangements) should also be cleared with the privacy authorities of countries where they exist before they are established by law. If such authorities do not exist, there may be non-governmental organizations that have a "watchdog" role on privacy matters. It would be sensible to get their support for any legal or other arrangements, or at least to address any serious concerns they might have. In some countries, authorizing legislation does not exist. At a minimum, release of microdata should be supported by some form of authority. However, an authorizing legislation is a preferable approach.

Principle 4: The procedures for researcher access to microdata, as well as the uses and users of microdata, should be transparent and publicly available

3.383. Principle 4 is important to increase public confidence that microdata are being used appropriately and to show that decisions about microdata release are taken on an objective basis. It is up to the national statistical authority to decide whether, how and to whom microdata can be released. But their decisions should be transparent. The website of the national statistical authority is an effective way of ensuring compliance and also for providing information on how to access research reports based on released microdata.

(c) Microdata anonymization[83]

3.384. When disseminating census microdata files to the public, researchers or other agencies, the national statistical authority faces a conflicting mission. On the one hand, it aims to release microdata files supporting a wide range of statistical analyses; on the other, it must safeguard the confidentiality of respondents' identities. Processes aimed at the latter are referred to collectively as statistical disclosure control or anonymization.

3.385. A disclosure occurs when a person or organization recognizes or learns via released data something they did not know about another person. There are two types of disclosure risk: identity disclosure and attribute disclosure.[84] The former occurs when a respondent's identity is directly associated with a disseminated data record. This can occur easily when the data record includes variables unambiguously identifying the respondent—for instance, the respondent's name, address, passport or identification number, or telephone number. It is essential that such identifying variables be removed from any microdata files before dissemination. Attribute disclosure occurs when attribute values (or estimates thereof) in the disseminated data are associated with a particular respondent.

3.386. A combination of variables in a microdata record that can be applied to reidentify a respondent is referred to as a "key". Reidentification can occur (*a*) when a respondent is rare in the population with respect to a certain key value; and (*b*) when this key can be used to match a microdata file to other data files that might contain direct or other identifiers such as voter lists, land registers or school records (or even publicly accessible Internet search engines).

3.387. The essential component of dissemination of census microdata files is avoiding both identity and attribute disclosures. In that respect, there is a need to strictly apply statistical disclosure control or anonymization techniques for census microdata files. The first key step in anonymizing a microdata file is to remove all direct identifiers—variables that unambiguously identify the respondent. Thereafter, a microdata file can be anonymized further by applying statistical disclosure control techniques.[85]

(d) Protocols for dissemination of census microdata

3.388. Disseminating census microdata may be an unprecedented activity for the national statistical authority. In that context, there is a need to develop particular protocols that

[83] The elaboration of procedures for anonymizing microdata draws extensively from Anco Hundepool, Josep Dominho-Ferrer, Luisa Franconi, Sarah Giessing, Rainer Lenz, Jane Longhurst, Eric Schulte Nordholt, Giovanni Seri, Peter-Paul de Wolf, *Handbook on Statistical Disclosure Control*, Version 1.0 (Centre of Excellence for Statistical Disclosure Control, 2006).

[84] Diane Lambert, "Measures of Disclosure Risk and Harm", *Journal of Official Statistics* vol. 9, No. 2 (Statistics Sweden, 1993).

[85] For full elaboration of these techniques, refer to Olivier Dupriez and Ernie Boyko, *Dissemination of Microdata Files: Principles, Procedures and Practices*, IHSN Working Paper No. 005 (2010), chapter 7.

would comply with the essential principles for disseminating microdata, as described above, and would also spell out the necessary requirements and components of such dissemination. Hence, such a protocol would need to take into account the following components and requirements:[86]

[86] As presented in *OECD Principles and Guidelines for Access to Research Data from Public Funding, Organisation for Economic Co-operation and Development* (2007).

- **Openness.** Access on equal terms for the research community at the lowest possible cost, preferably at no more than the marginal cost of dissemination.
- **Flexibility.** Taking into account the rapid and often unpredictable changes in information technologies, the characteristics of each research field and the diversity of research systems, legal systems and cultures of each member country.
- **Transparency.** Information on research data and data-producing organizations, documentation on the data and specifications of conditions attached to the use of these data should be internationally available in a transparent way, ideally through the Internet.
- **Legal conformity.** Data access arrangements should respect the legal rights and legitimate interests of all stakeholders.
- **Protection of intellectual property.** Data access arrangements should consider the applicability of copyright or of other intellectual property laws that may be relevant to publicly funded research databases.
- **Formal responsibility.** Access arrangements should promote explicit, formal institutional practices, such as the development of rules and regulations, regarding the responsibilities of the various parties involved in data-related activities. These practices should pertain to authorship, producer credits, ownership, dissemination, usage restrictions, financial arrangements, ethical rules, licensing terms, liability and sustainable archiving.
- **Professionalism.** Institutional arrangements for the management of research data should be based on the relevant professional standards and values embodied in the codes of conduct of the scientific communities involved.
- **Interoperability.** Technological and semantic interoperability is a key consideration in enabling and promoting international and interdisciplinary access to and use of research data.
- **Quality.** The value and utility of research data depend, to a large extent, on the quality of the data. Data managers, and data collection organizations, should pay particular attention to ensuring compliance with explicit quality standards.
- **Security.** Specific attention should be devoted to supporting the use of techniques and instruments to guarantee the integrity and security of data.
- **Efficiency.** One of the central goals of promoting data access and sharing is to improve the overall efficiency of publicly funded data collection to avoid the expensive and unnecessary duplication of data collection efforts.
- **Accountability.** The performance of data access arrangements should be subject to periodic evaluation by user groups, responsible institutions and funding agencies.
- **Sustainability.** Due consideration should be given to the sustainability of access to publicly funded research data as a key element of the research infrastructure. This means taking administrative responsibility for the measures to guarantee permanent access to data that have been determined to require long-term retention.

(e) Dissemination of population and housing census microdata in practice

3.389. It can be expected that the 2020 round of population and housing censuses, taking into account the contemporary development of processing technology and power, brings considerable pressure on national statistical authorities in respect of dissemination of population and housing census microdata. In the context of implementing the principles and protocols described in the preceding paragraphs, national statistical authorities would need to ensure such dissemination in at least two different settings.

3.390. For the purpose of public dissemination, either online or on electronic media, only a representative sample of the individual records should be made available after ensuring the confidentiality or non-disclosure of individual information as elaborated above. The size of the sample would depend on the capacity and resources of the national statistical or census office.

3.391. The complete population and housing census master file should be made available to users using the model of the data enclave. This is a facility equipped with computers not linked to the Internet or an external network and from which no information can be downloaded via USB ports, CD, DVD or other drives. Users interested in accessing a data enclave will not necessarily have access to the full census data set—only to the particular data subset they require. They will be asked to complete an application form demonstrating a legitimate need to access these data to fulfil a stated statistical or research purpose and be briefed on the legal responsibility and repercussions related to maintaining the confidentiality of individual information. The outputs generated need to be scrutinized by way of a full disclosure review before release and they can contain only aggregates.

7. Customized products

3.392. The increasing activity in the field of economic and social planning and the attention of such planning to subnational areas are placing new demands on statistical information in general and on population and housing censuses in particular. There is an increasing need for tabulations and mapping not only by major and minor civil divisions and by other units of analysis such as metropolitan areas but even, beyond these, by small local areas.

3.393. Therefore, it is useful to establish an "on request" service for users who require aggregates not available through other means. This will be especially relevant in situations where outsiders cannot obtain census microdatabases. In essence, the service would require that users provide the census office with the details of the tables or other aggregates requested so that the census office could fulfil the request, normally against payment of a certain compensation fee. Offering and promoting this service, especially online, would place the statistical service in a more desirable proactive position, rather than a static one, and could be a strong catalyst for closer cooperation with census product users.

3.394. The cost of such special purpose tabulations, which require computer programming, could be high, especially for academic institutions and other users who do not have access to a large budget. Some statistical organizations allow users to do the necessary work using user-friendly software. A clearly written manual is required to guide users in using the software, including the contents of the census data dictionary and other relevant information. The resulting tables are checked for any possible breach of confidentiality, in particular table cells with very small values.

3.395. Many census organizations provide services for special requests for census products, such as thematic databases, tables, and graphic and mapping outputs that can be designed for small, medium and large businesses, communities or special interest groups. These services are normally provided to meet the increasing demand of data users for a wide range of

applications, such as monitoring trends, analysing unmet needs, identifying market potential, segmenting markets, identifying service areas and priority zones, determining optimum site locations, and designing and advertising new products and services. Each category of products should also be made available on various media (namely, paper, disk, online) for dissemination according to user requirements.

3.396. Once the databases are created and have served the policy needs, they can serve other data users if they have market value. Since the national statistical organization is normally the only source of many geographic databases related to census data applications, market demand for these products is increasing, particularly in the geographic and population-related areas. In such cases, census products could be governed by a licence. The licence permits the users to use the product without transferring ownership, since ownership remains with the government agency. Either of two different licensing arrangements may be applied. The first is offered to organizations that use the data for their own needs, and the other is offered to organizations that redistribute data or provide analytical services using census data to other persons or organizations for a fee.

3.397. Customized services of data on computer media are differentiated in terms of the forms of the data. Census products may be distributed in their original form, with or without other related information, or they can be distributed after making certain value-added modifications to meet the need of the users. Examples of such value-added activities include converting the data into another format (for use by other software packages), making the data more useful by creating subsets of the original data sets, merging the data from other sources and bundling with software. It is encouraged to disseminate census content in formats that comply with the requirements assessed by the Open Knowledge Foundation.[87] According to these requirements, the openness of the contents is assessed within the Open Knowledge conceptual framework and concerns the possibility to reuse, revise, remix and redistribute data. In cases where copyright laws protect census data ownership, some royalty fees and data usage fees may be charged to the distributors to ensure a minimum return. However, if prices are too high, such charges can also be a barrier to the use of the census data.

[87] See https://okfn.org/opendata.

3.398. Some countries may assist their users by merging selected variables with the GIS shapefiles as a customized product. This has proven to be beneficial for schoolchildren.

8. General interest and special audience products

3.399. Information generated by a census is by definition of use to a wide range of users with a variety of expertise. With the increase of demand for census products, efforts must be made by census offices to produce a variety of products for various stakeholder groups, including special interest groups. In order to address various stakeholder needs, census offices must segment stakeholders into groups to better know, understand and respond to their needs. This will form the basis of the various census products. In response to stakeholder needs, census offices may prepare special audience products for key variables such as policy summary reports; thematic and analytical reports; key findings reports; fact sheets; posters, brochures and flyers; basic reports; detailed tables and spreadsheets; articles; and video and social media products. Special audience analytical or thematic reports incorporate a high level of very sound analysis undertaken by staff who have a solid foundation in analytical techniques as well as the topic being analysed. In some cases, countries may undertake the analysis in collaboration with academic institutions or other specialists. Criteria used in establishing the topics chosen will have to be set by the country concerned, and may include particularly interesting facts shown by census data (perhaps confirming or rebutting conventional theories; confronting census data with material from other sources; or responding to issues raised by the public during user consultations of the collection).

3.400. It should be noted that the following products can only be effective in encouraging the use of census information if they are prepared in a timely and professional manner. This will require specialist skills from people familiar with communicating to the target audiences. These resources are expensive and countries are required to adequately plan and budget for these products and campaigns.

(a) Posters

3.401. One of the most common ways to disseminate census information consists of publishing posters highlighting key facts such as: How many are we? Where do we live? and summarizing a profile for the major civil divisions of a country. Posters might also be prepared addressing issues relevant to special population segments: teenagers, adults, indigenous populations, seniors and women's groups.

3.402. Since the objective of a poster is to catch the eye at a distance, relatively few facts should be presented so that the key message is immediately visible. Posters can be greatly enhanced by the addition of well-designed graphs, infographics and maps to increase the readability and comprehensibility of the key message. Posters and banners are short-term communication products and should be used to communicate key findings.

(b) Brochures and flyers

3.403. Professionally designed brochures and flyers are another way to disseminate basic census data. These brochures should be written in a very easy and comprehensible language indicating the demographic profile of the country illustrated with suitable graphics and explanatory material. In some countries these brochures might be addressed to specific issues on population. They are particularly suitable for preparation as promotional materials for people attending events and exhibitions, such as the launch of more traditional materials, or for inclusion on display racks in libraries of government offices.

(c) Videos, sketches, theatre and online videos

3.404. In order to create a better understanding among certain interest groups, the use of other communication media are recommended, including videos, sketches, theatre and online videos. In order to promote the story behind the numbers and increase the use of census data, graphics such as charts or maps could be included on videotape, CD or DVD, or memory sticks. These might indicate how census data can assist policymakers, planners and people in general with understanding their societies, and how census data can assist in identifying the main problems and assist with evaluation of solutions.

(d) Instructional materials

3.405. Instructional materials in an easy-to-understand form can be prepared for the general public, indicating the advantages and limitations of census data. Such material can often form the basis of information campaigns as part of the advocacy material for the next census.

3.406. A particular implementation of instructional materials can be the preparation of a kit for use in schools. Not only will this provide high-quality information for the students but, by including exposure to the use of statistical materials in the school process, it will encourage the use of evidence-based analysis throughout society. It should be noted that professional assistance should be sought in ensuring that these materials follow sound educational practices and can be accommodated within the appropriate curriculum.

(e) Social media

3.407. Internet-based social media have become an indispensable tool in disseminating information and marketing statistical products. Various social media platforms have been successfully used by countries as part of the dissemination of their census results. Interacting with followers and users on these platforms provides the census organization with an opportunity to disseminate information, build relationships with established and new users, and engage the public on a regular basis.

3.408. Social media platforms such as Facebook, Twitter and online video sites can be used to post all census-related advertisements and other videos.

3.409. During the build-up to the census phase, information about the upcoming census, informing the public about what to expect when field workers visit their homes and also the importance of conducting a survey of this magnitude, can be disseminated using social media.

D. Census data utilization

1. General uses of population and housing censuses

3.410. Population censuses are traditionally used for public and private sector policymaking, planning, administrative and research purposes at national and subnational level. One of the most basic of the administrative uses of census data is in the demarcation of constituencies and the allocation of representation on governing bodies. Certain aspects of the legal or administrative status of territorial divisions may also depend on the size of their populations. Housing censuses are used to develop benchmark housing statistics and to formulate housing policy and programmes, and in the private sector to assist in site selection for industrial, retail and service facilities, as well as for the commercial development of residential housing.

3.411. Information on the size, distribution and characteristics of a country's population is essential to describing and assessing its economic, social and demographic circumstances and to developing sound policies and programmes aimed at fostering the welfare of a country and its population. The population and housing census, by providing comparable basic statistics for a country as a whole and for each administrative unit and locality therein, can make an important contribution to the overall planning process and the management of national development. The availability of information at the lowest levels of administrative unit is valuable for the management and evaluation of such programmes as education and literacy, employment and human resources, reproductive health and family planning, housing and environment, maternal and child health, rural development, transportation and highway planning, urbanization and welfare. Population and housing censuses are also unique sources of data for producing relevant social indicators to monitor the impact of these government policies and programmes (see paragraphs 3.430-3.432).

(a) Uses of population censuses

3.412. The uses of population census results and the associated tabulations described in this volume are listed according to the topics presented in paragraph 4.21.

3.413. The total population and its distribution among major and minor territorial divisions and localities are frequently a legal requirement of the census because these results are used for determining the apportionment of representation in legislative bodies, for administrative purposes and for planning the location of economic and social facilities. Internal migration, one of the major sources of population change, frequently affects the trends in population distribution. Data on internal and international migration, together with fertility and mortal-

ity, are needed to prepare population estimates for planning purposes and for determining policies on migration and assessing their effectiveness.

3.414. The household, a basic socioeconomic unit in all countries, is often central to the study of social and economic development. The number, size and structure of households and changes in the rate of household formation are useful for planning and for developing special policies formulated for selected groups of the population, such as children, older persons and persons with disabilities. Therefore, the distribution of individuals within households is used to determine the living arrangements of families, the patterns of family structure observed, the time when new families are formed and changes in family structure due to death, divorce, migration or the departure of children to form their own households. The relationship among household members can be used to determine family structure and the existence of households composed, partially or completely, of unrelated persons.

3.415. Traditionally defined demographic and social characteristics collected from the population census include sex, age, marital status, religion, language and national or ethnic group. Sex and age are fundamental to the majority of the characteristics collected in the census. Census data provide more data than any other single source on gender differences.

3.416. Depending on national circumstances, cultural diversity may be measured by language spoken in the home or community, religion and national or ethnic group. For countries that are not homogeneous in terms of one or more of these variables, linguistic, religious and national or ethnic groups provide the basic information for a quantitative assessment of the relative size and age-sex distribution of this diversity.

3.417. Although census data on fertility and mortality cannot serve as a substitute for reliable birth and death statistics from civil registrations, they are particularly valuable for countries where birth or death registration is lacking or incomplete and vital statistics are therefore unavailable. Even in countries with complete registration of these events, the population census is useful as a supplement to satisfactory registration data because the fertility questions provide data for calculating lifetime fertility of the female population or cohort fertility.

3.418. Education has historically been one of the key factors determining the quality of life, and interest in education continues today in most countries of the world, with emphasis on improving access to education and the quality of education, as well as broadening the scope of basic education.[88] Education is also considered a major tool in closing the gap between women and men in respect of socioeconomic opportunities. Benchmark data obtained from national population censuses will therefore be of considerable importance towards fulfilling this objective. Census data reveal the disparity in educational opportunities between the sexes, age cohorts or generations, urban-rural populations and so forth, and provide important indications of the capacity of the nation for economic and social development. They furnish material for the comparison of the present educational attainment of the adult population with the present and anticipated requirements of educated human resources for various types of economic activities. Such a comparison may serve as a guide both for national policy in terms of the development of the educational system, and for the planning of the economic development programmes that it will be feasible to undertake in view of human resource requirements.

[88] *Final Report of the Education for All Summit of Nine High-Population Countries*, New Delhi, 12-16 December 1993 (Paris, UNESCO, 1994).

3.419. Census information on the economic characteristics of the population focuses on enumerating the labour force so as to provide benchmark data for current studies of employment and labour underutilization, in particular unemployment and the potential labour force. It provides information on the growth, composition and distribution of the labour force for use in policy formulation and the appraisal of human resource utilization. Economic data from censuses can also provide some input into statistics on the distribution of income, consumption and accumulation of households, and participation in agriculture and non-agricultural

activities. Furthermore, the data on the labour force may give an approximate indication of the number of workers who are responsible for the support of dependants.

3.420. Statistics obtained from different sources (for example, labour force surveys, agriculture surveys, establishment surveys and administrative records) rely on the census for sampling frames, and the use of common concepts in the different sources helps in securing comparability when multiple sources for changing patterns of economic activity are being relied upon.

3.421. As interest in the movement of people across national boundaries—in other words, international migration—has grown steadily among countries, census items and tabulations relative to international migration have grown in importance. Such tabulations are designed to assess the impact of migration on receiving countries, to understand patterns of diversity and develop programmes for the adaptation of migrants to new countries, and to serve as a source of information on emigration from sending countries.

3.422. The census is also an important source of data on persons with disabilities. Census data help to monitor the social and living conditions of persons with disabilities in terms of school attendance, educational attainment, employment, marital status and living arrangements. The data also provide a basis for developing policies to meet the needs of persons with disabilities and for evaluating the effectiveness of these policies.

3.423. The census is also an important source of information on household poverty and living conditions.

(b) Uses of housing censuses

3.424. The primary uses of information from housing censuses include development of a basis for planning housing and human settlement programmes and policies, public and private sector studies of urban and other non-agricultural land use, evaluation of the adequacy of housing stock and assessment of the need and market for new housing, and studies of the living conditions of the homeless and those living in temporary or substandard housing. Information collected on the number of sets, type and characteristics of living quarters and their occupants is crucial from the point of view of monitoring housing conditions and needs of the population. Combined with the information collected by regular annual statistical programmes on housing construction, data from the housing census provide a basis for identifying national, regional and local housing patterns, which are needed for the development of a rational housing market aimed at stimulating various types of housing construction. The type and quality of shelter in which people are housed, that is to say, the space, degree of crowding, facilities, surroundings and available transport, affect their economic activity, health, social intercourse and general outlook. The supply, characteristics and costs of housing are therefore subjects for which the housing census is an important source of information.

2. Analysis of the results

3.425. In order to ensure the fullest possible utilization of census results by national and local governmental authorities, by academic researchers and by others, it is advisable to draw up a comprehensive and coordinated programme of analytical studies, phased over a period of several years. This will help allocate effort and resources in such a way as to ensure that important policy needs are adequately met, undue duplication of research effort is avoided and priorities are observed as far as possible. In these studies, the data of the current census should be examined not only by themselves but also as complemented by relevant data from other sources and from earlier censuses, in order to obtain a broader context, improve the estimates and establish trends.

3.426. The analytical studies to be included in such a programme will vary according to the needs and circumstances of the country. The programme may include descriptive summaries of results, policy-oriented analyses of census results and detailed analytical studies of one or more aspects of the demographic and social situation of the country. Some of these studies may be undertaken by the census organization itself, but others, particularly the more time-consuming studies, can most effectively be carried out in cooperation with specialists in different subjects having experience in in-depth analytical studies from universities or other research centres. In any case, it is desirable to invite specialists from other governmental offices and experts outside government to take part in drawing up this programme of studies, and it is natural that they would play an important part in the execution of various parts of the analytical programme.

3.427. One important aspect to be considered in establishing a programme of analysis is the possible use of census results in achieving the goals and objectives of population, human settlements or similar policies and strategies at the national and local level, and in applying available resources effectively towards the improvement of conditions in these fields. For this purpose, it will be necessary to analyse population and housing census results within the framework provided by other available information so as to achieve an integrated approach to the solutions of population, human settlements and similar problems.

3.428. A permanent census office should be the central repository of all census results; it would thus be equipped with the information needed for comparative studies, which will indicate long-term trends in the phenomena investigated. However, to facilitate the fullest possible use of census results by others, subsidiary depositories should be established that serve different substantive or geographic groups of users.

3.429. Aside from the studies that are part of the overall census programme, additional analyses carried out on their own initiative by research organizations, universities or other experts should be encouraged.

3. Cross-cutting and emerging social issues

3.430. Reflecting the concerns and priorities among countries around the world, the United Nations convened a series of global conferences: on children, education, environment and climate change, human rights, population, sustainable development, women and human settlements. Each of these conferences recognized the importance of adequate information for formulating policy and monitoring progress in the achievement of conference goals, and called on countries and international organizations to develop and improve the requisite statistics and indicators. These recommendations are reflected for example in the Vienna Declaration and Programme of Action of the World Conference on Human Rights;[89] the Programme of Action of the International Conference on Population and Development;[90] the Copenhagen Declaration on Social Development and the Programme of Action of the World Summit for Social Development;[91] the Platform for Action[92] adopted by the Fourth World Conference on Women; the Post-2015 Development Agenda Declaration adopted by the General Assembly; and the Climate Change Declaration. The programmes of action adopted by these international conferences targeted many interrelated areas of concern, and called for improved statistics to monitor progress. In deciding which social groups merit monitoring in regard to measuring the disadvantages suffered by particular groups of people, each country should determine which groups within it need special attention. Some of the common factors leading to social disadvantage are gender, age, physical or mental impairment, race and creed. The disadvantaged are not necessarily small in number; they may constitute the majority of the population.[93]

[89] A/CONF.157/24 (part I), chapter III.

[90] *Report of the International Conference on Population and Development*, Cairo, 5-13 September 1994 (United Nations publication, Sales No. E.95.XIII.18), chapter I, resolution 1, annex.

[91] *Report of the World Summit for Social Development*, Copenhagen, 6-12 March 1995 (United Nations publication, Sales No. E.96.IV.8), chapter I, resolution 1, annexes I and II.

[92] *Report of the Fourth World Conference on Women*, Beijing, 4-15 September 1995 (United Nations publication, Sales No. E.96.IV.13), chapter I, resolution I, annex II.

[93] *Note by the Secretary-General Transmitting the Report of the Expert Group on the Statistical Implications of Recent Major United Nations Conferences* presented to the Working Group on International Statistical Programmes and Coordination at its Eighteenth Session, New York, 16-19 April 1996 (E/CN.3/AC.1/1996/R.4), annex, paras. 68-69..

3.431. To meet the need for statistics on gender, many activities have been undertaken during the last two decades at the national and international levels to improve concepts, definitions and classifications for collection of statistics related to women and men. In the present publication, the importance of the population and housing census as a data source has often been stressed. The population and housing census is also the principal or sometimes the only comprehensive national data source with respect to meeting the need for statistics on children, youths, older persons and persons with disabilities in the development of policies and programmes at the national and international levels. Therefore, it is important that countries identify data requirements concerning various population groups of particular interest when planning their censuses and ensure that the definitions and classification to be followed in censuses are appropriate and also consistent with those in use for the entire population.

Use statistical products to measure outcomes and impact measures to spur change

3.432. Furthermore, the census tabulation plan should ensure in advance the inclusion of all relevant details about special population groups and a range of crossclassifications for each group, with a view to analysing its social and economic conditions. Concepts and methods for the census and the tabulation plan should be reviewed with users concerned with statistics for each special population group. In the case of some groups, for example persons with disabilities, a special set of questions is required to identify members of the group. In the case of others, standard questions, for example on age, are sufficient to identify groups such as children, youths and older persons. In both cases, most variables needed for cross-tabulations are already provided for in the international recommendations and many national censuses. In the census operations, however, attention will often need to be given to improvement of coverage, quality-of-data issues and avoidance of stereotypic treatment. The present section deals with gender, a few special population categories such as children and youths, older persons, and persons with disabilities, so as to assist in the preparing of detailed tabulations and databases according to international standards.

(a) Statistics on gender

3.433. The global conferences on women have contributed to an increased awareness of the importance of statistics not only on women but, more broadly, on gender issues. For example, in developing census plans in a number of countries, efforts have been made to review and assess the adequacy of statistics for understanding the diversity of both women's and men's lives. It is now recognized that biases in statistics extend, in the case of women, to their economic roles, and in the case of men, to their roles in the family as husband and father and their roles in the household. Improvement of statistics and statistical methods related to gender should be an important priority in all stages of work on the census, in planning, data collection, analysis and dissemination, and in all other topics.

3.434. In addition to the more general problems of the quality of census data, two other types of problem that apply particularly to women and stem from gender-based stereotypes and biases have been noted. Similarly, the notion that only men can be heads of the household affects the way questions have been designed and asked in censuses. Such stereotypes also affect the way respondents reply to the questions. A common problem, for example, is classifying women automatically as homemakers without asking whether they perform any work for pay or profit, even as a part-time or secondary activity.

3.435. Another problem relates to biases in the collection, processing, compilation and presentation of data. For example, when census tabulations are prepared for the employed by occupation, they may be prepared either for males only or for both sexes, but only on the assumption that information on the occupational pattern of women is not of much use. Even when tabulations of the employed by occupation are disaggregated by sex, main gender

differences in occupations may be missed if the occupation data are presented only at the two-digit level of the classification. Rather, special tabulations showing, for example, the 10 or 20 detailed occupational groups with the highest concentrations of women or men would be needed to render visible gender-based occupational segregation.

3.436. During the past few decades, considerable effort has been devoted, on the one hand, to reviewing such bias and its impact on statistics concerning the situation of women and, on the other hand, to improving the concepts and methods involved in the collection of data in censuses and surveys. Related improvements in the revised *System of National Accounts* and latest recommendations concerning statistics of work, employment and labour underutilization adopted by the International Conference of Labour Statisticians are also of importance to the population census. They are intended to overcome the above-mentioned conceptual deficiencies and to identify and provide measures for all productive activities (that is, forms of work) performed by women and men, whether paid or unpaid. Similarly, efforts at the national level have been focused, for example, on eliminating biases in concepts, classifications and definitions of head of the household.

3.437. Important statistical series and measures on the status of women can be readily obtained based on the topics in paragraph 4.21 and recommended tabulations for preparation from censuses. Furthermore, in the case of most topics, the primary unit of classification is the individual, and therefore a vast array of indicators may be obtained by devising appropriate additional crossclassifications for the female and male populations separately. For an illustration of census topics and tabulations that are useful for developing comprehensive statistics on women, see "Statistics and indicators on women and men",[94] *Handbook for the Development of National Statistical Data Bases on Women and Development*,[95] *Integrating a Gender Perspective into Statistics*[96], *Methodological Guidelines for the Gender Analysis of National Population and Housing Census Data*.[97] The household and family status classifications presented in paragraph 4.148 are appropriate for analysing the living situation of women and men, with specific reference to single mothers and fathers and older women and men living alone.

3.438. It should be emphasized that while all data collected at the individual level can be presented by sex, this is not always done. Cross-classifications by sex tend to be suppressed when cross-tabulations become complex with multiple-variable tables. In order to satisfy one basic condition for gender statistics, which is that all statistics on individuals should be presented by sex, sex should be considered the overriding variable in all tables, irrespective of the medium of storage or dissemination. This disaggregation by gender should be provided in all publications, databases and computer printouts of census tables on individuals.

3.439. Another important consideration is to broaden the target of dissemination and use of census data by popularizing the statistics that are published. One approach to achieving this wide outreach is to present statistics in the form of charts and simplified tables, with a simple and clear interpretation of the data. Countries planning to issue an analytical report might wish to consider using such innovative techniques and formats. The analytical publication could cover the main census topics or alternatively a few areas that are especially important to understanding the relative position of women and men in the country.

(b) Statistics on children and youths

3.440. Extensive data on children and youths are available in censuses but may need improvements in terms of coverage and quality of information on specific characteristics, and on their presentation.

3.441. For statistical purposes, "children" are defined as persons under 15 years of age, and "youths" are defined as those aged 15-24. However, it is useful to further divide these special groups by 5-year age groups (or nationally, by groups of specific school ages) because of

[94] Available from http://unstats.un.org/unsd/demographic/products/indwm/indwm2.htm.

[95] United Nations publication, Sales No. E.89.XVII.9.

[96] United Nations publication, Sales No. E.13.XVII.9.

[97] UNFPA, 2014.

the rapid changes in characteristics in this age range, such as in school attendance, marital status and activity status. Also, because of differences by sex in the age at marriage, family or household status and entry into the labour market, data should be classified not only by age but also by sex. To this end, the distribution by single years of age and sex is useful. If single-year age distribution is not feasible for young children under age 5, it would be desirable to distinguish between those under 1 year of age (infants) and those aged 1-4. For youths aged 15-19, it would be desirable to distinguish between those 15-17 years of age and those 18-19 years of age, or to have a distinction corresponding to the age below which the country considers an individual to be a minor.

3.442. For the purpose of developing statistics on children, the principal topics in census recommendations include (*a*) sex, (*b*) age, (*c*) school attendance (for school-age children) and (*d*) relationship to head or other reference member of the household.

3.443. Given the priority on the girl child highlighted by the World Summit for Children (1990), the International Conference on Population and Development (1994) and the Fourth World Conference on Women (1995), special attention needs to be given to improving and disseminating statistics on children. Of particular concern is the situation of the girl child with respect to school attendance, mortality, early marriage and other issues of importance. A basic problem with statistics on the girl child is that data on children ever born and children surviving tend not to be disaggregated by sex at either the questionnaire design or the tabulation stage. These data are used for indirect estimates of child mortality.

3.444. The principal topics of investigation identified for children apply also to youths, with the following additions: (*a*) marital status, (*b*) literacy, (*c*) educational attainment, (*d*) economic activity status, (*e*) number of children born alive and (*f*) age at marriage.

3.445. Some of the useful statistics and measures can be readily compiled based on the above-mentioned topics, while any additional indicators can also be obtained based on more detailed cross-classifications using the existing recommended census topics or tabulations.

(c) Statistics on older persons

3.446. For older persons also, extensive data are available in population and housing censuses but may need detailed age-sex classification, as described below.

3.447. Older persons are defined by the United Nations as all persons aged 60 years and over. For purposes of classification, depending on the national situation, it is useful to tabulate data by five-year age groups up to age 100, instead of including them in the single broad age category 60 and over.

3.448. For the purpose of developing statistics and indicators on older persons, the principal topics in census recommendations include (*a*) sex, (*b*) age, (*c*) marital status, (*d*) economic activity status, (*e*) income, (*f*) household (or family) composition, (*g*) type of living quarters and (*h*) institutional population.

3.449. The statistics needed for studies of older persons are disparate, depending as they do on national policies and circumstances. Internationally, no illustrative list of indicators is available to ensure appropriate tabulations from the censuses.

(d) Statistics on persons with disabilities

3.450. The census can provide a valuable source of information on the frequency and distribution of disability in the population, at national, regional and local levels. Experience shows that although an increasing number of countries ask questions about disability in their censuses, the presentation of disability data has often been limited to tabulations showing

the number of specific severe disabilities present in the population. Unfortunately, cross-tabulations with other characteristics are not usually made.

3.451. A great deal of work on concepts, classifications and development of statistics on persons with disabilities has been undertaken in recent years, particularly through the work of the Washington Group on Disability Statistics,[98] and increasing numbers of countries are including disability as a topic in their censuses. For the second time, recommendations on including disability questions in a population census are included in these guidelines. A brief treatment of this topic is given below to highlight issues involved in preparing detailed census tabulations on persons with disabilities.

[98] For more information on the Washington Group on Disability Statistics, see www.cdc.gov/nchs/washington_group/index.htm.

3.452. For the purpose of developing statistics on the situation of persons with disabilities the principal topics in census recommendations that would be necessary for the assessment of equalization of opportunities include (*a*) sex, (*b*) age, (*c*) place of residence, (*d*) type of household, (*e*) marital status, (*f*) educational attainment and school attendance, (*g*) labour force status, (*h*) status of employment, (*i*) industry and (*j*) occupation.

3.453. Not only should the tabulation plan for disability data include prevalence rates by sex and age, but it is also very important that tabulations comparing persons with and without disabilities on key social and economic characteristics be presented. Tabulations based on the topics listed above provide information on prevalence of disability and on the situation of persons with disabilities. In addition, tabulations should be presented in a way that facilitates comparisons of persons with disabilities and those without.

(e) Ethnocultural characteristics

3.454. Receiving information about the ethnic composition of the population allows deeper study of the ethnic background of a country's population, especially with respect to indigenous population, international migrants and other specific groups of population (for example nomads).

3.455. There are some difficulties in collecting this information since some population groups may name their ethnic identification based on its local meaning, and in order to correctly allocate these persons to their particular ethnic group it is necessary to compile a list of ethnic groups, sub-ethnic groups and local definitions of small ethnic population groups. This will allow for obtaining accurate data about the ethnic composition of population. It would also be useful if scientists and specialists in the field of ethnography, as well as organizations dealing with indigenous people, would be involved in creating such a list.

3.456. In order to obtain comprehensive information characterizing ethnic composition of population, it would be useful to tabulate data by (*a*) sex, (*b*) age, (*c*) place of living, (*d*) marital status, (*e*) birth, (*f*) death, (*g*) education, (*h*) labour force status, (*i*) status in employment, (*j*) industry, (*k*) occupation, and (*l*) type and size of household.

3.457. It is important to obtain comprehensive information on indigenous populations in order to have statistics on the number as well as the demographic and socioeconomic structure of the given population group. These data would be valuable information to support the development of programmes for social support of indigenous peoples.

3.458. Statistics about the ethnic composition of international migrants together with information about country of birth and citizenship will help to more precisely determine the flows and volume of international migration.

3.459. Population censuses are also the sources of information about religious identification of the population. It would be useful to obtain this information by (*a*) sex, (*b*) age, (*c*) ethnic

group, (*d*) place of living, and (*e*) place of birth. This information would be useful to study distribution of religious affiliations.

3.460. Information about knowledge of languages is widely used. Countries find it useful to study the official language of the country as well as mother tongues or some other languages. In any case it would be useful to have this information by (*a*) sex, (*b*) age, (*c*) ethnic group, (*d*) place of living, and (*e*) place of birth.

3.461. Information about knowledge of the official language of the country would be very useful for studying the integration of international migrants and may be used, for example, for development of programmes to learn the language.

3.462. Information about knowledge of the mother tongue of indigenous populations is very important. This information could allow obtaining statistics of "indigenous" languages and would be very useful for development programmes to support the development of those languages.

(f) Statistics on poverty

3.463. The census data can provide a valuable source of information on conditions of life of households as a proxy measure of poverty to complement quantitative survey data. Census data provides a quantitative approach to measuring poverty.

3.464. In some cases, countries may compile multiple deprivation indices using census data.

4. Development indicators

3.465. Indicators are required by countries to track the progress of various developmental goals, and as such efforts must be made by census offices to produce relevant indicators to meet this need. In the 2010 round of population and housing censuses, most countries produced indicators based on the Millennium Development Goals as was recommended. The type of indicators necessary to meet international and national reporting requirements need to be taken into account early in the planning phase of the census.

3.466. It should be emphasized that both global and national reporting and monitoring require reliable and comparable national data for the compilation of indicators. In this regard, it is of paramount importance that countries have the statistical capacity to produce, analyse and disseminate the requisite data for these indicators. The availability of reliable statistics and the capacity of governments to systematically measure and monitor indicators is a critical success factor for the achievement of development goals. The lack of statistical capabilities in some developing countries makes it difficult to obtain good and reliable data. Many countries do not have a sustainable, coherent programme of household surveys, or administrative data systems that can be used to produce basic statistics routinely. Where basic statistical systems are not available, global monitoring may have to rely on national and international estimates of widely varying quality and reliability. This may lead to misjudgments regarding progress and may undermine the effectiveness of policy interventions at national and subnational levels.

3.467. Following the adopted of the Millennium Declaration in 2000, the Millennium Development Goals were set as the world's time-bound and quantified targets for addressing extreme poverty, with a 2015 deadline. It is acknowledged that while the Millennium Development Goals have made a huge impact in the lives of millions, much remains to be done. The international community is now engaged in consultative discussions on the post-2015 development agenda in order to address continuing inequalities as well as new challenges facing people and the planet. Once development goals for the 2015 development agenda have been adopted they will be incorporated into this section and be made available online.

XI. Documentation of census experience

3.468. The cumulative experience of past censuses in a country is very useful in the preparation of a new census. Because of the lapse of time between censuses (generally 10 years) and the likelihood that experienced staff may leave the census office, it is essential that there is a comprehensive record of how the census was planned, organized and conducted.

3.469. The census office should, therefore, plan for and implement a knowledge management system to assemble complete records on plans, activities, and decisions taken during the entire census operation. This would entail documentation and archiving of information related to plans and their implementation, as well as problems encountered and how they were resolved at each stage of the census cycle. It is recommended that documentation of census experience be undertaken at each stage of the census operation and not be left until the end of the census process. This would include plans, decisions and activities related to preparatory activities, the methodology of the census, fieldwork or other data collection activity, data processing, cost and implementation of the census budget, and evaluation of performance of each of these activities. Examples of items to track or monitor include implementation of activities, time taken to complete an activity, resources used and cost. All these should be assessed against set goals so that changes to plans can be recorded, including information on what changed and why. Tracking and systematically recording the census experience should also take into account risks encountered and how these risks were managed. For more information see part two, chapter XIV on "Quality assurance".

3.470. Use of knowledge management tools and techniques is thus beneficial for preserving institutional memory in a codified way so that lessons learned from the past may be used for better management of future census planning and execution. Records in the system should be arranged in such a way that information on each aspect of the census operation is found easily.

3.471. Systematic recording of census experience is not an end in itself. It is recommended that every country prepare and, if possible, publish an administrative and methodological report, as a census "historical memory", based on information that has been recorded in the knowledge management system (see paragraphs 3.325-3.326, "Administrative report"). Depending on the methodology of the census, the administrative and methodological report should contain information on the manner in which the census was planned, organized and conducted, as well as important methodological and other problems encountered at various stages of the programme. As appropriate, the report should provide specimens of the census questionnaires and forms, instructions for enumeration, and detailed information on the cost of the census and on the implementation of the census budget, as well as points to be considered in future censuses.

3.472. The structure of the report could be similar to the structure of the project plan. It is important that the report be as comprehensive as possible, covering all stages and aspects of census planning and operations, including fieldwork, processing, analysis, dissemination and evaluation. It is important to note that while such a report would be based on items and information in the knowledge management system, it may not necessarily contain detailed descriptions of all the processes or information, as some may be for internal use only. This report would both assist the users of the census results in appraising and interpreting the data and facilitate the proper planning of future data collection programmes, including population and housing censuses.

XII. Archiving individual records

A. Purpose of archiving individuals records

3.473. The focus of the following elaboration of archiving is on census individual records irrespective of the format—paper questionnaires or electronic records. The discussion on the complete process and characteristics of archiving all census documents is presented in paragraphs 3.468-3.472 on systematic recording and documentation of census experiences.

3.474. Individual census records refer to either census paper questionnaires in the case these were used for collecting information from the population, or to the digital records on each enumerated person and household if the data collection did not involve paper questionnaires, including direct identifiers, such as name, address and so forth. In the case of bimodal or multimodal data collection, that is, a combination of paper and non-paper questionnaires as in the case of using Internet forms and mail out/mail back paper questionnaires, the resulting collection of individual records would also be a combination of paper and digital recordings.

3.475. In the case of digital records the accompanying documentation becomes an indispensable part of the archiving process. As a number of variables in the digital record are presented as codes, it is necessary to archive all the codebooks and all the other documentation, such as the data collection instrument, that are needed for fully unlocking the value of each of the variables in the record. While this accompanying documentation is also valuable in the case of archiving paper questionnaires, these are by nature visual, thus requiring only reading skills and the knowledge of the language initially used for filling them to grasp the content, as long as they are in good physical shape.

3.476. The essential purpose of archiving individual census records is to keep them safe for future use, primarily in the domain of genealogical research and longitudinal social and anthropological studies, as well as for use by historians and demographers. The release of archived individual census records is subject to the passage of time as per the census legislation and usually encompasses many decades, thus ensuring that the use of individual information would not endanger the confidentiality and the privacy of the respondents.

3.477. Consequently, the importance of providing detailed guidance on the process of archiving individual census records in the census legislation cannot be overstated. These provisions provide the legal basis for maintaining the archives and procedures related to the release of archived records. The time lag between the data collection and the release of the archived records needs to be clearly indicated—it varies from 72 years (United States of America) to 92 years (Canada). In some cases, the original questionnaires are only temporarily stored before being fully disposed of, as in India, one year before the next census takes place.

B. Procedures for archiving

3.478. Archiving a vast amount of records represents a considerable challenge in all circumstances. In the case of individual census records it may be compounded by the sheer number and format. However, in all cases the national statistical authority needs to develop an institutional strategy for archiving based on three components: organizational infrastructure, technological infrastructure and resources.

3.479. *Organizational infrastructure* refers to the arrangements that need to be put in place within the national statistical office in such a manner as to ensure the efficiency of the archiving and eventual retrieval process. In most cases it is a centralized unit within the office that is put in charge of the archiving, maintenance, secure storage and eventual release of individual records. Once the time lapse mandated by the law for the release of records expires, the actual

release to the public is usually implemented by dispatching relevant batches to the libraries covering parts of the country to which the records refer and to a central national library.

3.480. *Technological infrastructure* refers to the actual technology used for archiving. In contemporary circumstances, storing huge numbers of paper questionnaires would prove not to be cost-effective, as it would require a significant physically secure structure, regulated temperature and humidity, and a host of other requirements, including protection from fire hazards, floods and extreme weather events. Consequently, in most cases the actual questionnaires are scanned and images of them stored in various electronic storage devices. As an example, the individual census schedules from the 1940 population and housing census of the United States are available from a website[99] in the form of scanned images.

[99] See http://1940census.archives.gov/.

3.481. The technological infrastructure does not refer only to the actual technology used in the archiving process—it also consists of a series of protocols for archiving and establishing cross-references that enable successful retrieval of records. In the example of the 1940 United States census, all the records were archived based on the enumeration district, as the first-level threshold, then county, then district and so forth. Therefore, the technology should be built around a well-developed archiving scheme that enables efficient identification and retrieval of the records.

3.482. In the case of archiving digital records, contemporary technology provides a vast array of possible solutions—however, it also requires a well thought-over archiving scheme that needs to ensure efficient storage and retrieval, as well as access to the accompanying metadata and documentation.

3.483. *Resources* for archiving need to be taken into account at the early stages of planning for the census, in the context of the technological and organizational infrastructure. In assessing the volume of the necessary funds it is necessary to adopt a strategic, long-term approach, as the archiving, maintaining and releasing would essentially constitute a perpetual activity as long as censuses are part of the national statistical systems: there would always be a need to prepare either for the next round of release of records or for archiving the newly acquired one.

C. Archiving individual records and microdata

3.484. Individual census records for archiving purposes as described above differ from census microdata in a most significant manner: they retain the direct identifiers—name, address, enumeration area—as these very identifiers represent essential information for genealogical, anthropological, historical and longitudinal social studies. In the case of microdata, these identifiers would be removed, as well as any others that can directly or indirectly identify the respondent. Microdata are defined as electronic records pertaining to each unit of observation; in the case of the population and housing censuses, it would be individuals, housing units and households. This information is stored in variables. Variables can be of different types (for example, numerical or alphanumerical, discrete or continuous). They can be obtained directly from the respondent via a questionnaire or by observation or measurement (for example, by GPS positioning) or imputed or calculated.[100]

[100] Olivier Dupriez and Ernie Boyko, *Dissemination of Microdata Files: Principles, Procedures and Practices*, IHSN Working Paper No. 005 (2010).

3.485. It is expected that the use of anonymized microdata becomes a standard feature of census data dissemination for the 2020 round of censuses. Consequently, paragraphs 3.376-3.388 of these *Principles and Recommendations* present a comprehensive elaboration of principles and protocols for dissemination of microdata files.

XIII. Overall evaluation of the census

A. Importance of evaluations

3.486. A population and housing census consists of a complex series of interrelated steps, and constitutes perhaps the single most extensive, complicated and expensive statistical operation that a country undertakes. Like any other project, the census needs to be evaluated to ensure that the effort and investment of resources have been worthwhile.[101] Evaluation of the census for coverage and also to assess the quality of the data is covered in part three, chapter IX, and quality assurance for the census in part two, chapter XIV. This section is concerned with the evaluation processes and procedures of the census operation.

[101] *Handbook on Census Management for Population and Housing Censuses*, Revision 1, Studies in Methods, No. 83/Rev.1 (United Nations publication, Sales No. E.00.XVII.15 Rev.1).

3.487. Evaluation of the census is important for a variety of reasons, among which is to provide lessons learned from one census to the other. For this reason, evaluation is generally regarded as the last stage of the census cycle or the first step in the next census cycle. Evaluation assesses the effectiveness of operations, systems and processes and their likely impact on data quality. In this connection, it is particularly important to assess various aspects of the census operation, especially when changes have been introduced compared to the previous census. Assessments provide valuable information on strengths and weaknesses of past operational procedures, which should be carefully reviewed prior to the development of the next census.

3.488. In addition to evaluation of the conduct and operational elements of the census, it is valuable to evaluate the use and value of census data and products. Evaluation of the outputs of the census can be conducted through the conduct of user surveys to gain subjective feedback or through looking at metrics around product use, for example number of visits to web products or the number of publications requested or purchased. Evaluation of census products can be used to measure whether the data and the selected topics are sufficiently accessible, timely, relevant, accurate, coherent, trusted and interpretable to meet user requirements. The outcomes of the evaluation might provide information that can be immediately acted upon and remedied in the intercensal period, and should certainly feed into the preparations for the subsequent census.

3.489. In recent years, countries have introduced new methodologies and technologies in conducting censuses in order to reduce census costs and also to improve the quality and timeliness of census data. There is use of new methodologies based on administrative registers and combinations of sources to produce census information and of new technologies in all phases of the census. Other changes relate to the use of multimodal enumeration methods as well as substantial outsourcing of some aspects of census operations.

3.490. Given the current state of affairs, evaluation of processes of census operations becomes even more warranted in order to assess how well the innovations have worked. Furthermore, evaluations are necessary so as to provide lessons learned not just for the countries concerned but also for those that want to adopt similar processes for their future censuses.

B. Planning for the evaluation

3.491. Evaluation of census processes should not be undertaken on an ad hoc basis. The evaluation programme should be included in the overall census plan and be appropriately budgeted for. Lack of proper budgeting and planning for activities that come after enumeration, such as the post-enumeration survey, has in some cases led to financial shortages with negative consequences for the activities concerned. The success of the programme of evaluation depends to a large extent on setting, early enough, clear and unambiguous objectives

to be served by the evaluation. Having clear objectives would help to design the best way to undertake the evaluation.

3.492. Ascertaining the objectives of the evaluation encompasses other aspects as well. It is important to establish the scope of the evaluation in terms of intended objectives, keeping in mind that the wider the scope the more complex the evaluation is likely to be. It should be noted also that evaluation of census processes and procedures could last several years and may cover different aspects of the census operation, as necessary, thereby resulting in a series of reports. As for other census activities, there is a cost associated with the evaluation and the more complex the undertaking or the more processes get evaluated, the higher the cost is likely to be.

3.493. In addition to the financial cost, human resources and skilled staff to undertake the evaluation should also be planned for. Depending on what aspects of the census operation will be evaluated, the national statistical or census office should ensure that they have adequate personnel (in type and quantity) to perform the evaluation. A related issue that should be taken into account is the extent to which the staff is equipped to undertake the evaluation. Lack of requisite skilled staff may limit the ability of the country to undertake some or all of the planned components of the evaluation. An alternative is to hire temporary staff with the required technical skills to conduct the evaluation or to collaborate with other agencies such as research institutions.

3.494. As has already been stated, plans for the evaluation of census processes and procedures should be an integral part of the overall census plan and must be planned for from the start of census activities. In addition, documentation of the census experience should have the provision of information for evaluation as one of its objectives. As presented in paragraphs 3.468-3.472 on "Documentation of census experience", the census organization should have a knowledge management system to document and archive complete records on plans, activities, and decisions made during the entire census operation, including on problems faced and how they were resolved. Documented evidence on how the census was undertaken provides valuable input for the evaluation programme. It should be noted, however, that depending on what has to be evaluated, some of the information may not be available until the end of the census operation.

Part four

Population and housing census topics

I. Population census topics

A. Factors determining the selection of topics

4.1. In line with the overall approach to revision 3 of *Principles and Recommendations for Population and Housing Censuses*, the selection of census topics is based on the outputs expected to be produced by the census. Therefore, the first step involves clear identification of user requirements for data; the core and additional topics are then decided on that basis. For each of the core topics there is a recommended tabulation. It is recommended that countries collect data on the core topics and also produce the recommended tabulations, as this would improve the international harmonization and comparability of statistics through the use of common concepts, definitions and classifications. Use of an agreed international approach would also enhance the capacity of countries to generate statistics for monitoring the socioeconomic situation of their populations, including for the provision of data for the internationally agreed development goals.

4.2. The topics to be covered in the census (that is, the subjects regarding which information is to be sought for each individual or household) should, however, be determined upon a balanced consideration of:

(*a*) The needs of the broad range of data users in the country at both the national and local area level (national priority);

(*b*) Achievement of the maximum degree of international comparability, both within regions and on a worldwide basis (international comparability);

(*c*) Sensitivity of the topics and respondent burden, that is, the willingness and ability of the public to give accurate information on the topics (suitability);

(*d*) Technical competence of the enumerators in regard to obtaining information on the topics (suitability);

(*e*) Total national resources available for conducting the census (resources);

(*f*) Availability of relevant information held in alternative data sources (alternative sources).

4.3. Such a balanced consideration will need to take into account the advantages and limitations of alternative methods of obtaining data on a given topic within the context of an integrated national programme for gathering demographic and related socioeconomic statistics (see paragraphs 1.63-1.68).

4.4. In selecting the population topics, regard should also be given to the usefulness of historical continuity, which provides the opportunity for comparison of changes over a period of time. Census takers should avoid, however, collecting information that is no longer required by users. Information should not be collected simply because it was traditionally collected in the past, bearing in mind changes in the socioeconomic circumstances of the country. It

becomes necessary, therefore, in consultation with a broad range of users of census data, to review periodically the value of even long-standing topics and to re-evaluate the need for their continued collection, particularly in the light of new data needs and alternative data sources that may have become available for investigating topics hitherto covered in the population census. Each of five key factors that need to be taken into account in reaching a final decision on census content are briefly reviewed in the following paragraphs.

1. National priority

4.5. Prime importance should be given to the fact that population censuses should be designed to meet national needs. In defining national data needs for population census data, the full range of national uses (for example, policy, administration and research) and national users (for example, national and local government agencies, those in the private sector, and academic and other researchers) should be considered. The prime consideration is that the census should provide information on those topics that are of greatest value to the country, with questions framed so as to elicit data of maximum utility.

4.6. Each country's decision with regard to the topics to be covered should depend upon a balanced appraisal of how urgently the data are needed and whether the information could be equally well or better obtained from other sources. Experience has shown that national needs will best be served if the census includes topics generally recognized as being of basic value and defined in accordance with regional and global standards. Global and regional census recommendations can help in this appraisal by providing information about standard census topics and related definitions and concepts based on a wide range of national census experience. It is recognized however that counties that rely more on administrative records as their prime data source may be more limited in the precise detail of the information that can be collected on particular topics.

4.7. Many countries may find it necessary to include in the census topics of national or local interest in addition to the topics included in these recommendations. Labour force or household survey data may supplement census data to obtain information on topics that cannot be included in the census for whatever reason. It is possible that some countries may omit from the census certain recommended topics either because there is no need to collect the data or because there are legal barriers or particular sensitivities in doing so, as for example may be the case for topics such as fertility, ethnicity and religion.

2. International comparability

4.8. The desirability of achieving regional and worldwide comparability should be another major consideration in the selection and formulation of topics to be included in the census. National and international objectives are usually compatible, however, since international recommendations are based on a broad study of country experience and practice, and the definitions and methods contained in international recommendations have successfully met general national needs in a wide range of circumstances. Furthermore, the analysis of census data for national purposes will often be facilitated if, through the use of international recommendations, it is possible to compare the data with those of other countries on the basis of consistent concepts, definitions and classifications. The post-2015 international development agenda, which places increasing demand on expanded data collection, is also another determining factor that countries should take into consideration.

4.9. If the particular circumstances within a country require a departure from international standards, every effort should be made to explain these departures in the census publications and to indicate how the national presentation can be adapted to the international standards.

3. Suitability

4.10. A prerequisite for the inclusion of topics in the census should be the willingness and ability of respondents to provide accurate information on them. It is advisable to avoid topics that could increase the burden on respondents and those that are likely to arouse fear, local prejudice or superstition or that might be used to deliberately promote political or sectarian causes as these are likely to have a detrimental effect on response rates and support for the census. In an interview-based census or where the collector needs to obtain information through observation, consideration needs to also be given to the level of knowledge and skill of the interviewer or collector and whether they can be adequately trained to collect this information accurately. Topics that are too complicated or difficult for the average respondent or enumerator to answer quickly should also not be included. The exact phrasing of a question that will obtain the most reliable responses may depend on national circumstances and, as described in part three of these recommendations, should be well tested prior to the census (see paragraphs 3.110-3.114).

4. Resources

4.11. The selection of topics should be carefully considered in relation to the total resources available for the census. An efficient collection of accurate data for a limited number of topics, followed by prompt tabulation and publication, is more useful than the collection of data for an overambitious list of topics that cannot be properly processed and disseminated in a timely, reliable and cost-effective manner. In balancing the need for data against resources available, the extent to which questions can be precoded is yet another consideration. Information from studies on the capacity of users and on the measurement of data utilization may also be an important factor in determining whether or not it is economically feasible to include certain topics in the census.

5. Alternative sources

4.12. In the selection of topics to be investigated in a census, consideration should be given to whether data are available from other sources, taking into account the relative advantages and limitations of the alternative sources. For example, data may be available from administrative records, or similar data may be collected by household surveys. While household surveys may not be able to collect the detailed information that can be obtained from censuses for small areas or small population groups, there are other advantages associated with interviewers collecting the data rather than, for example, the information being collected on a self-enumeration basis or from administrative records—such as, for example, administering and navigating through probing questions. Those topics for which no alternative sources exist should be given higher priority while those for which alternative sources are readily available should be accorded lower priority.

B. List of topics

4.13. The list of topics included in these recommendations for population censuses are based on the global and regional census experience of the last several decades. The topics included here are, with some minor revisions, generally the same as those included in the previous United Nations population census recommendations.[102] However, the concepts and definitions for some of the topics relating to economic characteristics have been substantially revised to reflect the more recent recommendations of the International Conference of Labour Statisticians.[103]

[102] *Principles and Recommendations for Population and Housing Censuses*, Revision 2, Statistical Papers No. 67/Rev.2 (United Nations publication, Sales No. E.07.XVII.8).

[103] For more detail see Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics Of Work, Employment And Labour Underutilization* (Geneva, 2013).

4.14. It should be stressed that no country should attempt to cover all the topics included in the list of population topics (see table 3). Rather, countries will need to make their selection of topics in light of the considerations discussed in paragraphs 4.1-4.12 above, bearing in mind any regional recommendations currently pertaining to census topics. In using the classifications of different topics presented in this part of the *Principles and Recommendations for Population and Housing Censuses*, it is necessary to outline that all the one- and two-digit classification levels are recommended, while those at the three-digit level are incorporated for illustrative and guidance purposes only.

4.15. Evolving census experience over the past several decades globally and in various regions has demonstrated that a set of topics exist on which there is considerable agreement in regard both to their importance and to the feasibility of collecting data on them in a census. Data on those within this set that are found to be excessively costly are probably best collected through separate surveys of a sample of the population. The exceptions to this consensus occur, at one extreme, among the countries with the most developed statistical systems, where adequate data on a number of the topics listed, including some of the core ones, are available from non-census sources; and, at the other, among the countries in which data collection opportunities are limited and it is felt that advantage must be taken of the possibilities offered by the census to investigate topics that, under more ideal circumstances, might be investigated more suitably by other means.

4.16. Although the set of topics covered in these recommendations is quite comprehensive in terms of those generally considered suitable for inclusion in a population census, it is also recognized that some countries may find it necessary to include one or more additional topics on which information is of particular national or local importance. However, before the final decision is made to include any such additional topics, their suitability should always be carefully tested.

4.17. To assist countries in using the present publication and in determining their own priorities, lists of recommended population topics are summarized in paragraph 4.21, with the core topics shown in boldface. These core topics correspond to those that were included as *priority topics* in the majority of the regional recommendations in previous census decades.

4.18. The topics listed in paragraph 4.21 are grouped into eight categories: geographic and internal migration characteristics, international migration characteristics, household and family characteristics, demographic and social characteristics, fertility and mortality, educational characteristics, economic characteristics, and agriculture.

4.19. Within each category, a distinction is made between topics collected directly (those that appear in the census schedule or questionnaire), and derived topics. Although data for the derived topics also come from information on the questionnaire, they do not necessarily come from replies to a specific question. *Total population*, for example, is derived from a count of the persons entered on the questionnaires as persons present or resident in each geographic unit. Such derived topics may perhaps be more correctly considered as tabulation components, but they are listed as topics in order to emphasize the fact that the questionnaire must in some way yield this information.

4.20. The paragraph numbers in parentheses after each entry in table 3 refer either to the paragraphs in which the group of topics as a whole is discussed in section IV below or to the paragraphs in which the definition and specifications of individual topics are discussed.

4.21. In the following list of population census topics, core topics are shown in bold and are represented by ♦ for topics that are collected directly, and by □ for those that are derived. Additional topics are represented by ○, and additional topics derived from a core topic are indicated with Δ.

Table 3.

List of population census topics

Legend: ♦ Core topic, collected directly (displayed in **bold**); □ Core topic, derived; ○ Additional topic; and Δ Additional topic, derived from a core topic.

A. Geographic and internal migration characteristics (paras. 4.50-4.100)		
(1)	**Place of usual residence** (paras. 4.52-4.57)	♦
(2)	**Place where present at time of census** (paras. 4.58-4.63)	♦
(3)	**Place of birth** (paras. 4.64-4.71)	♦
(4)	**Duration of residence** (paras. 4.72-4.74)	♦
(5)	**Place of previous residence** (paras. 4.75-4.76)	♦
(6)	**Place of residence at a specified date in the past** (paras. 4.77-4.81)	♦
(7)	**Total population** (paras. 4.82-4.88)	□
(8)	**Locality** (paras. 4.89-4.91)	□
(9)	**Urban and rural** (paras. 4.92-4.100)	□
B. International migration characteristics (paras. 4.101-4.120)		
(1)	**Country of birth** (paras. 4.105-4.109)	♦
(2)	**Country of citizenship** (paras. 4.110-4.115)	♦
(3)	Acquisition of citizenship (paras. 4.116)	○
(4)	**Year or period of arrival** (paras. 4.117-4.120)	♦
C. Household and family characteristics (paras. 4.121-4.148)		
(1)	**Relationship to the reference person of household** (paras. 4.129-4.139)	♦
(2)	**Household and family composition** (paras. 4.140-4.147)	□
(3)	Household and family status (para. 4.148)	○
D. Demographic and social characteristics (paras. 4.149-4.213)		
(1)	**Sex** (para. 4.150)	♦
(2)	**Age** (paras. 4.151-4.162)	♦
(3)	**Marital status** (paras. 4.163-4.171)	♦
(4)	Ethnocultural characteristics (paras. 4.172-4.173)	○
(5)	Religion (paras. 4.174-4.178)	○
(6)	Language (paras. 4.179-4.182)	○
(7)	Ethnicity (paras. 4.183-4.187)	○
(8)	Indigenous peoples (paras. 4.188-4.192)	○
(9)	**Disability status** (paras. 4.193-4.213)	♦
E. Fertility and mortality (paras. 4.214-4.257)		
(1)	**Children ever born alive** (paras. 4.228-4.233)	♦
(2)	**Children living** (paras. 4.234-4.236)	♦
(3)	**Date of birth of last child born alive** (paras. 4.237-4.240)	♦
(4)	Births in the past 12 months (paras. 4.241-4.243)	Δ
(5)	Deaths among children born in the past 12 months (paras. 4.244-4.246)	Δ
(6)	Age, date or duration of first marriage (para. 4.247-4.248)	○
(7)	Age of mother at birth of (date or time when) first child born alive (para. 4.249)	○
(8)	**Household deaths in the past 12 months** (paras. 4.250-4.254)	♦
(9)	Maternal or paternal orphanhood (paras. 4.255-4.257)	○
F. Educational characteristics (paras. 4.258-4.288)		
(1)	**Literacy** (paras. 4.258-4.264)	♦
(2)	**School attendance** (paras. 4.265-4.271)	♦
(3)	**Educational attainment** (paras. 4.272-4.280)	♦
(4)	Field of education and training, and educational qualifications (paras. 4.281-4.288)	○

G.	**Economic characteristics (paras. 4.289-4.386)**	
(3)	**Labour force status** (paras. 4.307-4.338)	♦
(5)	**Status in employment** (paras. 4.339-4.351)	♦
(6)	**Occupation** (paras. 4.352-4.355)	♦
(7)	**Industry** (paras. 4.356-4.359)	♦
(8)	Place of work (paras. 4.360-4.365)	○
(9)	Institutional sector of employment (paras. 4.366-4.368)	○
(10)	Working time (paras. 4.369-4.375)	○
(11)	**Participation in own-use production of goods** (paras. 4.376-4.381)	♦
(12)	Income (paras. 4.382-4.386)	○
H.	**Agriculture (paras. 4.387-4.396)**	
(2)	Own-account agriculture production (paras. 4.389-4.392)	○
(3)	Characteristics of all agricultural jobs during the last year (paras. 4.393-4.396)	○

C. Population count

4.22. The main objective of a population census is to provide a reliable basis for an accurate count of the population of a country at a point in time. An accurate population count is essential for the efficient planning and delivery of services, distribution of resources, defining of boundaries for electoral representation, policy development and a wide range of other administrative and statistical purposes.

4.23. A "population count" may be a subset of or the whole of the enumerated population. A country may have one or more population counts, all derived from the enumerated population.

4.24. Countries are most interested in the count and distribution of usual residents because usual residence is generally the best indication of where people will demand and consume services, and a count of usual residents is therefore most relevant for planning and policy purposes.

4.25. Some countries will supplement the population count from their census with information from other sources, for example on usual residents temporarily outside the country at the time of the census, to produce population estimates. Other countries will rely solely on the population count from the population census.

4.26. Information about each person can be collected and entered on the census questionnaire either where he or she is (or was) present on the day of the census or at his or her usual residence. Paragraphs 2.46-2.63 describe the place of enumeration basis for the census.

4.27. Population counts may be required on a population present basis, or for the usually resident population, or some other population base such as a service population. The choice of population count required will depend on national circumstances; some countries will require more than one. The information collected about each person by the census will need to enable the required population counts to be derived. In some cases, for regional comparison purposes, the population count based on the concept of usual residence might need to be produced.

4.28. The aim of the census is to achieve a full and unduplicated coverage of the population. In practice, countries face a range of challenges in enumerating the population at the place they decide (where present on census day or where usually resident), and in producing the population counts they require. Many of these challenges relate to the difficult-to-enumerate groups of the population and persons for whom the concept of *usual residence* is not easily

defined. The latter present an increasing problem as populations become more mobile (nationally and globally) and household and family structures less stable.

4.29. In developing strategies for enumerating the population and collecting information to support the required population counts, it is important to consider consistency with the standards for international migration statistics described in paragraphs 4.101-4.104.

1. Population present count

4.30. A population present count is the simplest form of population count from a population census. In a questionnaire-based census where no reference is made to usual residence, people are enumerated at the place where they are found, usually the dwelling where they spend census night. Foreign residents who are in the country at the time of the census will be included but usual residents of the country who are absent at that time will be excluded.

4.31. A population present count removes complications associated with the application of the concept of place of usual residence, and can reduce the incidence of double counting or missing people if the enumeration is carried out in a single day or reference can be made to the same census moment for the whole population. Apart from the benefit of simplicity, a population present count offers a cost advantage because the census does not need to collect additional information about usual residents not at their usual residence at the time of the census.

4.32. The major disadvantage of a population present count is that it does not enable a full count of usual residents to be derived, and may not provide a true geographic distribution of usual residents for effective planning and policy purposes.

4.33. A population present count may be a good proxy for a count and distribution of usual residents, particularly if nearly all the population will be at their usual residence at the time of the census, or if the characteristics of those persons present are very similar to the characteristics of usual residents. However, in many countries significant numbers of people will not be at their usual residence at the time of the census, and the characteristics of absent usual residents will be different from non-residents present, so that a population present count is not always a good proxy for a count of usual residents. Large seasonal movements of people due to weather changes, employment, holidays and other factors can add to this problem. The ability to produce accurate information on families and households is also reduced to the extent that persons are not enumerated with their families or households.

4.34. To produce a population present count, information is required on all persons present and the address where they are enumerated. It is also very useful to collect information to identify those persons present who are not at their usual residence and those persons who are not usual residents of the country.

4.35. Ideally a population present count should include all the persons present at the census reference moment, regardless of the difficulty of their enumeration. For some of these groups the concept of "at the time of the census" may need to be extended to allow the enumeration to take place. When, however, the enumeration is extended over a period of time, the risk of either overcount or undercount may increase. In fact, persons who are at multiple locations during this extended period may be counted at more than one location, or alternatively they may not be counted at any location. Those risks increase further when reference is made to a *census period* rather than to a *census moment*.

2. Usual resident population count

4.36. Countries increasingly prefer a usual resident population count because this count offers better information for planning and policy purposes on the demand for services, households, families and internal migration.

4.37. A *usual resident population count* is a count of all usual residents of a country at the time of the census. Although countries will determine the definition of a usual resident according to their own particular circumstances, it is recommended that in defining a usual resident and the place of usual residence, countries apply the definition contained in paragraph 2.50. Usual residents may or may not have citizenship of the country, and they may also include undocumented persons, applicants for asylum or refugees. Usual residents then may include foreigners who reside (legally or illegally), or intend to reside, in the country continuously for either most of the last 12 months or for 12 months or more, depending on the definition of place of usual residence that is adopted by the country. Persons who may consider themselves usual residents of a country because of citizenship or family ties, but were absent from the country for either most of the last 12 months, or for 12 months or more, depending on the definition adopted, should be excluded. Conversely, persons who are normally resident in the country but who are temporarily absent should be included in the usually resident population. Countries applying a different definition of a usual resident for national purposes should produce a usual resident population count using the recommended 12-month definition for the purposes of international comparability.

4.38. A usual resident count provides a comprehensive count of the population of a country for long-term planning and policy purposes, and a better distribution of the resident population within the country for planning and service delivery purposes at subnational geographic levels.

4.39. To achieve a usual resident count, the population can be enumerated either on a *place where present* basis or on a *where usually resident* basis, as described in paragraphs 2.55-2.63.

4.40. To produce a usual resident population count, information is required on all usual residents and the address of their usual residence, with sufficient detail to generate usual residence at the lowest geographic area level required for tabulation. If the census is taken on a population present basis, then the information collected needs to differentiate clearly between persons enumerated at their usual residence, persons usually resident who were elsewhere at the time of the census, and persons present who are usually resident elsewhere. Information should also be collected to identify those persons who are not usual residents of the country. If, however, the census is taken on a usual residence basis, then information about all usual residents needs to be collected with respect to their usual residence, regardless of whether they are present at the time of the census or not, to ensure full coverage.

4.41. There are difficulties in obtaining information from those usual residents who are absent from the country at the time of the census, particularly where no other person is present at the place of usual residence at the time of the census to provide information about those people. Estimates or imputations of the number and characteristics of these usual residents not enumerated by the census, and obtained from other sources, will be used by some countries to supplement the census population count.

4.42. There can be challenges in applying the concept of a "usual resident" if a person is considered to have more than one residence, sometimes in different countries. This is particularly so for people who may spend parts of the time in communal establishments or institutions, such as schools or military camps. There may also be those who do not consider themselves to have a usual residence at all, such as nomadic peoples or persons sleeping rough. In such cases place of usual resident can be considered to be the place where they are enumerated.

Countries will need to develop appropriate operational rules for resolving cases where it is not clear whether a person is a usual resident of the country, or where the usual residence of the person within the country is not clear.

4.43. There are population groups for which some uncertainty may arise in defining their place of usual residence within the country. The recommended conventional treatment of these cases is as follows:

(*a*) Persons who work away from home during the week and who return to the family home at weekends should consider the family home as their place of usual residence.

(*b*) Persons of minor age in primary and secondary education who are away from home during the school term should consider their family home as their place of usual residence.

(*c*) Students in tertiary education who are away from home while at college or university should consider their term-time address as their place of usual residence regardless of whether this is an institution (such as a boarding school) or a private residence.

(*d*) The institution should be taken as the place of usual residence of all inmates who at the time of the census have spent, or are likely to spend, six months or more in the relevant institution. Examples of inmates of institutions include patients in hospitals or hospices, old persons in nursing homes or convalescent homes, prisoners and those in juvenile detention centres.

(*e*) Where a person regularly lives in more than one residence within the country during the year, the one where he or she spends the majority of the week or year before the census should be taken as his or her place of usual residence. These persons are not considered to be persons with no usual residence.

(*f*) For the (national) military, naval and diplomatic personnel and their families located outside the country the following classification rules should be applied:

i. If they are residing abroad for less than 12 months and they are intending to return to the place of departure, they should be allocated within the country in accordance with the rules for usual residence. In particular, they could be allocated to (by decreasing order of priority):

— The family home address within the country, if any;

— The duty station within the country to which they were attached before leaving.

ii. If they are residing abroad for at least 12 months or if they are not intending to return to the place of departure (although returning to the country within a 12-month period), they should be attributed to a "virtual region" (extra-region) of the country of departure.

(*g*) The place of enumeration should be taken as the place of usual residence of homeless or roofless persons, nomads, vagrants and persons with no concept of usual residence.

(*h*) A child who alternates between two households within the country (for instance after his or her parents have divorced) should consider the household where he or she spends the majority of the year before the census as his or her place of usual residence. Where an equal amount of time is spent in both households, the place of usual residence should be as for the household where the child is staying at the census reference time.

3. Other population counts

3.1. Service population count

4.44. A service population count may be required if a population present count or usual resident population count does not accurately represent the demand for, or provision of, services in a country or part of a country. Service populations are relevant where a significant proportion of the population providing or using services in an area are not usual residents of that area. Types of service population counts include daytime populations, workplace populations and visitor populations. In some countries there may also be an interest in foreign service populations, consisting of foreign residents who cross the border regularly to provide or consume services. This is particularly important in the planning and provision of transport services.

4.45. A service population count may include some or all of the difficult-to-enumerate groups, depending on the type of service population required.

4.46. To produce a service population count, in addition to an estimate of usual residents, information is required about where people provide or demand services. For seasonal populations (holiday, resort), information is needed on the destination and timing of seasonal trips. Some countries will produce service population counts by supplementing the population present count or usual resident population count with information from other sources, such as visitor information from hotels and resorts, to produce visitor populations. Alternatively, additional information may be collected by the census. It should be pointed out that producing a service population count poses difficulty due to national circumstances and different practices in the use of data source and method.

3.2. Population subgroups for which counts are required

4.47. Accurate population counts, required for the efficient planning and delivery of services, distribution of resources, defining of boundaries for electoral representation, policy development and the design and analysis of household surveys, are required for various population subgroups within a country. These subgroups are typically based on geography, age and sex. There may also be a need to identify other populations such as the school population, working population, indigenous population or disadvantaged populations to enable more informed policy formation and better targeted service provision. A range of characteristics will be required to identify these populations and population subgroups, depending on the services being planned, the resources to be distributed and so on. The need for population counts for particular subgroups will determine the questions asked in the census.

4. Difficult-to-enumerate groups

4.48. The following difficult-to-enumerate groups are relevant to the production of any population count:

(*a*) **Nomads and persons living in areas to which access is difficult.** Making contact with these groups to enumerate them can be difficult, particularly as part of a point-in-time count. Enumeration may need to be done at a different time, over an extended period, or by using alternative methods to enable contact with these groups. For example, countries might consider asking those who provide services to these groups to assist with their enumeration. Seasonal movements may be identified in advance and this information can be used by collectors to enable contact. There needs to be planning and consultation, particularly with influential members of these groups, prior to the census to organize for their enumeration. Communications that publicize the benefits of the census and engaging appropriate leaders in support of the census may assist coverage. Awareness of

cultural issues relevant to specific groups should also be considered in developing enumeration strategies.

(*b*) **Civilian residents temporarily absent from the country.** As these persons will be absent from the country at the time of the census, they will be excluded from a usual resident population count. To produce a usual resident count countries may collect information on these people from another family or household member present at the time of the census, but where a complete family or household is outside the country at the time of the census, it may not be possible for the census to collect information about these people. Estimates for usual residents temporarily absent from the country based on other sources may be required to produce reliable estimates of usual residents for planning and policy purposes.

(*c*) **Civilian foreigners who do not cross a border daily and are in the country temporarily.** These include undocumented persons, or transients on ships in harbour at the time of the census. These groups may be in the country at the time of the census and therefore form part of the population present count. It is important to include these groups in the population count if their demand for services is to be considered for planning and policy development purposes. However, these groups may prefer not be counted, either because they fear ramifications from being counted or because they do not identify themselves as part of the population of the country. Language and communication may present challenges. Countries need to develop strategies, appropriate for their context, to include these groups in their enumeration.

(*d*) **Refugees, asylum seekers and internally displaced persons.** Refugee populations, asylum seekers and internally displaced persons (in and outside camps) should be enumerated and their numbers presented separately, allowing calculation of country population excluding such groups, when such a population count is required for non-demographic purposes.

(*e*) **Military, naval and diplomatic personnel and their families located outside the country and foreign military, naval and diplomatic personnel and their families located in the country.** Apart from the difficulties mentioned in (*b*) and (*c*) that are common to groups who are absent from their own country, enumeration of these groups is subject to diplomatic protocols. Detailed counts and characteristics of these groups may be considered sensitive on security grounds in some countries. Counts of these groups may be available from administrative records.

(*f*) **Civilian foreigners who cross a border daily to work in the country.** This group should be excluded from a usual resident population count. The practice of counting people where they spend census night removes much ambiguity and reduces possible duplication. The difficulty then is trying to include them in a service population if countries want to consider this group in policy development and in planning service delivery.

(*g*) **Civilian residents who cross a border daily to work in another country.** These persons are usual residents of the country and should be included in the population count.

(*h*) **Merchant seafarers and fishers resident in the country but at sea at the time of the census.** This group includes those who have no place of residence other than their quarters aboard ship. Identifying that the ship will be at sea at the time of the census may be problematic, so countries will need to develop strategies to ensure inclusion of this group in the population count. This may include providing this group with census forms before their ship goes to sea or enumerating the ship before the time of the census.

(*i*) **Homeless or roofless persons, vagrants and persons with no concept of usual residence.** These should be included in the population count, and the census office should work with local government agencies, charities and other supporting bodies that provide support for this population group to identify the best method of collecting census information from these people.

(*j*) **Persons living in buildings with restricted access.** Persons living in gated communities, condominiums and apartment buildings could be difficult to enumerate, particularly as part of a point-in-time count. Enumeration may need to be done at a different time, over an extended period, or by using alternative methods to enable contact with these groups.

(*k*) **Stateless persons.** These are individuals who are not considered as nationals by any State under the operation of its laws. They are often undocumented and may not wish to be enumerated. However, every effort should be made to include such persons in the census. The census office should work with responsible government agencies, non-governmental organizations familiar with this population group and the United Nations High Commissioner for Refugees (UNHCR) to establish the best method for identifying stateless persons and collecting census information on them. Country of citizenship is generally essential for the identification of this group, though the census office should consult with relevant ministries and agencies, including the UNHCR, to determine whether additional information (such as residence history or identity documentation) may be required to establish the status of a stateless person.

D. Definitions and specifications of topics

4.49. The present section contains the recommended definitions and specifications of all topics presented in the order in which they appear in table 3 above. It is important that census data be accompanied by the definitions used in carrying out the census. It is also important that any changes in definitions that have been made since the previous census are reported in the metadata and, if possible, accompanied by an assessment of the effect of such changes on the relevant data, in order to ensure that users will not confuse valid changes over a period of time with increases or decreases resulting from changed definitions.

1. Geographic and internal migration characteristics

4.50. It should be noted that "place of usual residence" and "place where present at time of census" may be considered alternative topics when countries do not have the resources to investigate both topics for general census purposes. Some countries, however, will want to investigate both topics for general purposes. The relationship between the two topics and their further relationship to the topic of "place of enumeration" are set out in part two, chapter IV (see paragraphs 2.55-2.63).

4.51. It is recommended that countries investigating only "place where present at time of census" for general purposes should also obtain information on "place of usual residence" for all persons who do not usually reside in the household where they were enumerated, to be used in connection with the information on "place of birth", "duration of residence", "place of previous residence" or "place of residence at a specified date in the past" for the purposes of determining internal migration status. If, in the compilation of the population of geographic units, persons are allocated to the place where they were present at the time of the census, information on the four above-mentioned migration characteristics will be irrelevant for persons who were only visiting, or transient in, the place at which they were present. Since

such persons must, in any case, be identified in the questionnaire as non-residents so that they will not be erroneously classified as recent in-migrants, information on place of usual residence should be collected, which will make it possible to include the entire population in the tabulation of internal migration characteristics.

1.1. Place of usual residence (core topic)

4.52. Information on the number of people usually residing in an area is basic to most informed decision-making about the area, whether it be a country, an urban agglomeration or a civil division. The number of residents determines the levels of most services required in an area.

4.53. The *place of usual residence* may be the same as, or different from, the place where the enumerated person was present at the time of the census or his or her legal residence. For a definition of place of usual residence, see paragraphs 2.48-2.50.

4.54. Although most persons will have no difficulty in stating their place of usual residence, some confusion is bound to arise in a number of situations where persons have more than one residential address. These cases might include persons who maintain two or more residences, students living at school, members of the armed forces living at a military installation but still maintaining private living quarters away from the installation, and persons who sleep away from their homes during the working week but return home for several days at the end of each week (see also paragraph 2.53). In some other circumstances, referring to the person's intentions for the future may assist the determination of the place of usual residence.

4.55. Problems may also arise with persons who have (*a*) been residing at the place where they are enumerated for some time, perhaps for more than half of the preceding 12 months, but do not consider themselves to be residents of that place because they intend to return to their previous residence at some future time; or (*b*) left the country temporarily but are expected to return after some time longer than 12 months from the departure. In such instances, clearly stated time limits of presence in or absence from a particular place must be based upon the 12-month limit and used to determine whether or not the person is usually resident there. The 12-month criterion is necessary for determining whether or not a person is usually resident in the country (so that there is international comparability for migration purposes), but less so for place of usual residence within the country for measuring internal migration, where a six-month rule might be more appropriate as it will refer more closely to the concept of "most of the time".

4.56. If each person is to be entered in the questionnaire only at his or her place of usual residence, the topic need not be investigated separately for each person, because the information will be available from the location information entered for the questionnaire as a whole.

4.57. Information on the place of usual residence should be collected in enough detail to enable tabulations to be made for the smallest geographic subdivisions required by the tabulation plan and to meet the requirements of the database within the cost limits and operational procedures required to code to a fine degree of detail.

1.2. Place where present at time of census (core topic)

4.58. In cases where the census is taken on the basis of "place where counted", this topic may fulfil some of the functions of place of usual residence.

4.59. The *place where present at time of census* is, in theory, the geographic place at which each person was present on the day of the census, whether or not this was his or her place of usual residence. In practice, the concept is generally applied to the place where the person was present at the moment of the census, because many persons may not be physically present at the place of enumeration during most of the day.

4.60. As mentioned in part two, chapter IV (see paragraphs 2.57-2.58), the concept is sometimes further extended to apply to the night preceding the day of actual enumeration in cases where the enumeration extends over a long period of time and persons are not likely to be able to supply information relating to a single moment in the past. Other departures from the definition may be necessary to deal with individual cases, such as persons travelling during the entire night or day of the census and persons who spent the night at work.

4.61. If each person is to be entered in the questionnaire only at the place where he or she was present at the time of the census, the topic need not be investigated separately for each person, because the information will be available from the location information recorded for the questionnaire as a whole.

4.62. Information on the place where each person was present should be collected in enough detail to enable tabulation to be made for the smallest geographic subdivisions required by the tabulation plan and to meet the requirements of the database within the cost limits and operational procedures required to code to a fine degree of detail.

4.63. For countries that collect information from administrative data sources, the concept of "present at the time of the census" may not be relevant.

1.3. Place of birth (core topic)

4.64. Information on the place of birth is a major input to development of policies relating to migration and the related issues of service delivery to migrants. For the purposes of measuring internal migration, migrants are defined as those persons who usually are residing in a civil division of the country at the time of the census, but were previously resident outside that division. That is, movements within the civil division should not be regarded as being migratory.

4.65. The *place of birth* for persons born within the country is the civil division in which the person was born; for those born in other countries, it is the country of birth. For persons born in the country (the native-born population), the concept of place of birth usually refers to the geographic unit where the mother of the individual resided at the time of the person's birth. In some countries, however, the place of birth is defined as the geographic unit in which the birth actually occurred. Either concept can be used depending on the information needs of the country; but each country should explain the definitions it uses both in the census enumerator instructions and in the census reports to aid the interpretation of the data.

4.66. The collection of information distinguishing between the native-born population and those born elsewhere (foreign-born) is necessary where any enquiry on place of birth is made. Even countries where the proportion of foreign-born population is insignificant, and who may only be interested in information on the place of birth of the native-born population, must first separate the native-born from the foreign-born population. It is therefore recommended that place of birth be asked of all persons. In countries that combine the questions on place of birth and country of birth (where the latter is used to measure international migration), the guidance on the country of birth (see paragraphs 4.105-4.109) should apply.

4.67. Information on the place of birth of the native population is usually used primarily for the investigation of internal migration. For countries that have been recently formed from parts of previously separate entities, however, such information may be of use in assessing the relative size of the population segments from each of those entities and their distribution throughout the country.

4.68. Information on whether or not a person is "born in the country" captures the population according to the boundaries at the time of the census. Using the "born in the country"

concept would account for individuals who may have been affected by changes to a country's boundary.

4.69. For the purposes of measuring internal migration, it is usually sufficient to collect information only on the major civil division (state, province or department, for example) in which the place of birth is located. If desired, more detailed information on the subdivision of a specific locality can be collected and used for accurate coding of the major division or for presenting data for smaller areas.

4.70. However, for more detailed studies of internal migration, data on the place of birth of the native population even in terms of major civil divisions may not be adequate. For better understanding of the movements of people since birth it may be necessary to collect information at the smallest possible geographic level, bearing in mind that:

(*a*) The boundaries of administrative units such as cities and other civil divisions will change over time, which may give rise to ambiguity in data reported;

(*b*) The costs of coding the reported data to these smaller units may be prohibitive, especially where there are many units and the population is highly mobile.

To overcome the first problem, to the extent possible, both national and subnational boundaries should refer to the boundaries applying at the time of the census. Countries must address the second problem in light of their own circumstances, bearing in mind the reduced value of place of birth as a measurement of internal migration in a very mobile population.

4.71. It is recommended that, for the study of internal migration, the data on place of birth be supplemented by information collected on duration of residence (see paragraphs 4.72-4.74) and place of previous residence (see paragraphs 4.75-4.76) or on residence at a specified date in the past (see paragraphs 4.77 and 4.81).

1.4. Duration of residence (core topic)

4.72. The *duration of residence* is the interval of time up to the date of the census, expressed in complete years, during which each person has lived in (*a*) the locality that is his or her usual residence at the time of the census; or (*b*) the major or smaller civil division in which that locality is situated.

4.73. In collecting information on duration of residence, it should be made clear that the interest is in length of residence in the major or smaller civil division, or the locality, but not in the particular housing unit. The concept of duration of residence also relates to the most recent move to the current place of usual residence.

4.74. Data on the duration of residence have only limited value in themselves because they do not provide information on the place of origin of in-migrants. Therefore, when the topic is investigated, the place of previous residence should also be investigated, if at all possible, so that the data can be cross-classified.

1.5. Place of previous residence (core topic)

4.75. The *place of previous usual residence* is the major or smaller civil division, or the foreign country, in which the individual resided immediately prior to migrating into the civil division of present usual residence.

4.76. Data on the place of previous residence have only limited value in themselves because they do not provide information on the time of in-migration. Therefore, when the topic is investigated and included in the census, the duration of residence (see paragraphs 4.72-4.74) should also be included so that the data can be cross-classified. Alternatively, countries may

choose to include a question on place of residence as a specified date in the past (see paragraphs 4.77-4.81 below).

1.6. Place of residence at a specified date in the past (core topic)

4.77. The *place of usual residence* at a specified date in the past is the major or smaller division, or the foreign country, in which the individual resided at a specified date preceding the census. The reference date chosen should be that most useful for national purposes. In most cases, this has been deemed to be one year or five years preceding the census (or both of these time frames in cases where internal migration is of particular importance to users and resources are sufficient to code the data).

4.78. The former reference date provides information for statistics of both recent internal and international migration during a single year, while the latter may be more appropriate for collecting data for longer-term analysis of migration. When selecting the reference date the ability of individuals to recall with accuracy their usual residence one year or five years earlier than the census date should be considered. For countries conducting quinquennial censuses, the date of five years earlier can be readily tied in, for most persons, with the time of the previous census, but it should be noted that a one-year recall is likely to result in more accurate information than a five-year recall.

4.79. Some countries, however, may wish to use a different time reference than either one year or five years preceding the census because these intervals may present recall difficulties. In such circumstances the time reference should be one that can be associated with the occurrence of an important event that most people will remember.

4.80. For foreign-born persons, the collection of information on year of first or last arrival in the country is recommended (see "International migration characteristics", paragraphs 4.101-4.120).

4.81. However, no matter what previous date is used, provision must be made for the treatment of infants and young children who are resident at the time of the census but were not yet born at the earlier date. Tabulations of the data should indicate the nature of the treatment of this group.

1.7. Total population (core topic)

4.82. For census purposes, the *total population* of the country consists of all the persons falling within the scope of the census. In the broadest sense, the total may comprise either all usual residents of the country or all persons present in the country at the time of the census. The total of all usual residents is generally referred to as the de jure population and the total of all persons present as the de facto population.

4.83. In practice, however, countries do not usually fully achieve either type of count, because one or more groups of the population are included or excluded, depending on national circumstances. The general term used to describe the total might imply a treatment opposite to the one given to any of these groups. It is recommended, therefore, that each country describe in detail the figure accepted officially as the total, rather than simply label it as "de jure" or "de facto".

4.84. The description should show clearly whether each group listed below was or was not included in the total. If the group was enumerated and identified as a separate group, its magnitude should be given; if it was not enumerated, an estimate of its size and the method of estimation should be given, if possible. If any group is not represented at all in the population, this fact should be stated and the magnitude of the group should be shown as "zero". This may occur particularly with groups (*a*), (*b*), (*d*) and (*n*) described below (see also paragraph 4.48).

4.85. The groups to be considered are:

(*a*) Nomads;

(*b*) Persons living in areas to which access is difficult;

(*c*) Military, naval and diplomatic personnel and their families located outside the country;

(*d*) Merchant seafarers and fishers resident in the country but at sea at the time of the census (including those who have no place of residence other than their quarters aboard ship);

(*e*) Civilian residents temporarily in another country as seasonal workers;

(*f*) Civilian residents who cross a border daily to work in another country;

(*g*) Civilian residents other than those in groups (*c*), (*e*) or (*f*) who are working in another country;

(*h*) Civilian residents other than those in groups (*c*), (*d*), (*e*), (*f*) or (*g*) who are temporarily absent from the country;

(*i*) Foreign military, naval and diplomatic personnel and their families located in the country;

(*j*) Civilian foreigners temporarily in the country as seasonal workers;

(*k*) Civilian foreigners who cross a frontier daily to work in the country;

(*l*) Civilian foreigners other than those in groups (*i*), (*j*) or (*k*) who are working in the country;

(*m*) Civilian foreigners other than those in groups (*i*), (*j*), (*k*) or (*l*) who are in the country temporarily;

(*n*) Refugees in camps;

(*o*) Transients on ships in harbour at the time of the census.

4.86. In the case of groups (*b*) and (*m*), it is recommended that an indication be given of the criteria used in determining that presence in, or absence from, the country is temporary.

4.87. In those countries where the total population figure has been adjusted for undercoverage or overcoverage (or net undercoverage), both the enumerated figure and the estimated adjusted population figure should be shown and described. In such cases, documentation should be provided for users explaining how the total population figure from the census has been adjusted. Ideally, where possible, the detailed tabulations should be consistent with the adjusted population figures. However, where this is not possible, if, for example, the costs of the methodology for undertaking these adjustments are prohibitive, the detailed tabulations will, of necessity, be based only on the actual enumerated population.

4.88. The population of each geographic unit of the country, like the total population of the country (see paragraph 4.82), may comprise either all usual residents of the unit (see paragraph 4.53) or all persons present in the unit at the time of the census (see paragraphs 4.58-4.59).

1.8. Locality (core topic)

4.89. For census purposes, a *locality* should be defined as a distinct population cluster (also designated as inhabited place, populated centre, settlement and so forth) in which the inhabitants live in neighbouring or contiguous sets of living quarters, and that has a name or a locally recognized status. It thus includes fishing hamlets, mining camps, ranches, farms, market towns, villages, towns, cities and many other population clusters that meet these criteria. Any departure from this definition should be explained in the census report as an aid to the interpretation of the data.

4.90. Localities as defined above should not be confused with the smallest civil divisions of a country. In some cases, the two may coincide. In others, however, even the smallest civil division may contain two or more localities. On the other hand, some large cities or towns may contain two or more civil divisions, which should be considered as subdivisions of a single locality rather than separate localities.

4.91. A large locality (that is to say, a city or a town) is often part of an urban agglomeration, which may comprise the city or town proper together with a suburban fringe or heavily populated area lying outside, but adjacent to, its boundaries. The urban agglomeration is therefore not coterminous with the locality but is an additional geographic unit, which may include more than one locality. In some cases, a single large urban agglomeration may comprise several cities or towns and their suburban fringes. The components of such large agglomerations should be specified in the census results.

1.9. Urban and rural (core topic)

4.92. Because of national differences in the characteristics that distinguish urban from rural areas, the distinction between the urban and the rural population is not yet amenable to a single definition that would be applicable to all countries or even, for the most part, to the countries within a region. Where there are no regional recommendations on the matter, countries must establish their own definitions in accordance with their own needs.

4.93. The traditional distinction between urban and rural areas within a country has been based on the assumption that urban areas, no matter how they are defined, provide a different way of life and usually a higher standard of living than rural areas. In many developed countries this distinction has become blurred, and the principal difference between urban and rural areas in terms of living standards tends to be the degree of population concentration or density. On the other hand, the differences between urban and rural ways of life and standards of living remain significant in developing countries, but even here rapid urbanization in these countries has created a great need for information related to different sizes of urban areas.

4.94. Hence, although the traditional urban-rural dichotomy is still needed, classification by size of locality can usefully supplement the dichotomy, or even replace it where the major concern is with characteristics related only to density along the continuum from the most sparsely settled areas to the most densely built-up localities.

4.95. A classification of areas as urban or rural should be done at the smallest administrative unit of the country, or the smallest census collection unit. The classification should be made, first and foremost, on a measure of population density. The distinction between urban and rural population density depends on the average area of the spatial units being assessed. Smaller spatial units may need a higher population density threshold and larger spatial units a lower population density.

4.96. Population density may not, however, be a sufficient criterion in many countries, particularly where there are large localities that are still characterized by a truly rural way of life. Such countries will find it necessary to use additional criteria in developing classifications that are more distinctive than a simple urban-rural differentiation. Some of the additional criteria that may be useful are the percentage of the population engaged in agriculture, the general availability of electricity or piped water in living quarters and the ease of access to medical care, schools, recreation facilities and transportation. For certain countries where such facilities are available in some areas that are still rural (where agriculture is the predominant source of employment), it might be necessary to adopt different criteria in different parts of the country. Care should be taken, however, to ensure that the definition used does not become too complicated for application to the census and for understanding the census results.

4.97. Even in industrialized countries, it may be considered appropriate to distinguish between agricultural localities, market towns, industrial centres, service centres and so forth, within size categories of localities.

4.98. Even where size is not used as a criterion, the urban-rural classification should be applied to the locality for national purposes as well as for international comparability. If it is not possible to use the locality, the smallest administrative unit of the country should be used.

4.99. Some of the information required for classification may be provided by the census results themselves, while other information may be obtained from external sources. The use of information provided by the census (as, for example, the size class of the locality or the percentage of the population engaged in agriculture), whether alone or in conjunction with information from other sources, means that the classification will not be available until the relevant census results have been tabulated. If, however, the census plans call for the investigation of a smaller number of topics in rural areas than in urban areas or for a greater use of sampling in rural areas, the classification must be available before the enumeration takes place. In these cases, reliance must be placed on external sources of information, even if only to bring up to date any urban-rural classification that was prepared at an earlier date.

4.100. The usefulness of housing census data (for example, the availability of electricity or piped water) collected simultaneously with, or not too long before, the population census should be kept in mind. Images obtained by remote sensing may be of use in the demarcation or boundaries of urban areas when density of habitation is a criterion. For assembling information from more than one source, the importance of a well-developed system of geocoding should not be overlooked.

2. International migration characteristics

4.101. Interest in the movement of people across national boundaries, namely, international migration, has steadily grown among countries concomitant with the increase in international migration. The decision to collect and disseminate information on international migration in a census is dependent upon a number of considerations and national circumstances, including, for example, the national needs for such data. Data on international migrants could provide information on the diversity of a population and can serve to identify subgroups of a population. The present section on international migration supplements and expands the topic "geographic and internal migration characteristics", which is covered above. Definitions of international migration and specific ways of applying them in population censuses, consistent with the United Nations *Recommendations on Statistics of International Migration*, Revision 1,[104] are presented in this section.

[104] Statistical Papers, No. 58 (United Nations publication, Sales No. E.98.XVII.14).

4.102. The revised United Nations *Recommendations on Statistics of International Migration* deals with both international migration flows and international migrant stock, and identifies population censuses as being the main source for collecting data on international migrants and their characteristics. This section is concerned chiefly with the topic of international migrant stock as derived from population censuses.

4.103. In the *Recommendations on Statistics of International Migration* (paragraph 185), the stock of international migrants present in a country is defined as "the set of persons who have ever changed their country of usual residence, that is to say, persons who have spent at least a year of their lives in a country other than the one in which they live at the time the data are gathered". However, given that this information can be difficult to obtain, it is often approximated by other population groups such as persons born abroad or persons whose country of citizenship differs from the country they reside in.

4.104. Consequently, for the study of international migration, census recommendations tend to focus on two subgroups of the population: the foreign-born population and the foreign citizens living in the country of enumeration. In order to identify members of those groups, two items must be recorded in the census: (*a*) the country of birth, and (*b*) the country of citizenship. In addition, it is important to record the year of arrival in the country of enumeration so as to establish the length of stay of international migrants residing in the country.

2.1. Country of birth (core topic)

4.105. *Country of birth* is the country in which the person was born. The concept of county of birth usually refers to the country where the mother of the individual resided at the time of the person's birth. In some countries, however, country of birth is defined as the country in which the birth actually took place. Either concept can be used depending on the information needs of the country; each country should explain which definition it used in the census. It should be noted that the country of birth of a person is not necessarily the same as his or her country of citizenship, which is a separate census topic dealt with below. It is recommended that country of birth be asked of all persons to distinguish the native-born from the foreign-born population. The collection of this information is necessary even in countries where the proportion of foreign-born population is small. For the foreign-born population, the collection of information on the specific country of birth is recommended so as to permit the classification of the foreign-born population by country of birth. For respondents who are born outside the country of enumeration and cannot identify their country of birth, at least the continent or region where that country is located should be ascertained.

4.106. For purposes of both internal consistency and international comparability, it is recommended that information on the country of birth be recorded according to national boundaries existing at the time of the census. Information on the year of arrival in the country (see paragraph 4.118 below) can be used to identify persons who owe their status of foreign-born to changes in national boundaries. It is essential that the coding of information on the country of birth be done in sufficient detail to allow for the identification of all relevant countries of birth.

4.107. For purposes of coding, it is recommended that countries use the numerical coding system presented in *Standard Country or Area Codes for Statistical Use*.[105] The use of standard codes for classification of the foreign-born population according to the country of birth will enhance the usefulness of such data, including an international exchange of foreign-born population statistics among countries. If countries decide to combine countries into broad groups, it is recommended that the standard regional and subregional classifications identified in the above-mentioned publication be adopted.

[105] United Nations, *Standard Country or Area Codes for Statistical Use*, available from http://unstats.un.org/unsd/methods/m49/m49.htm.

4.108. Countries with a significant number of international migrants may wish to collect information on the country of birth of parents (both father and mother), in which case the information should be asked of all respondents following the same guidelines given for country of birth. The decision to collect and disseminate information on country of birth of parents in a census is dependent upon a number of considerations and national circumstances, including for example the suitability and sensitivity of asking such a question that relates to persons who may not be in the country in which the census is taking place.

4.109. Information on the country of birth of parents can be used, in combination with information on the country of birth of the enumerated person, to identify native-born children of the foreign-born population (the so-called "second generation") and to study the integration processes and outcomes of migrants and their descendants. Moreover, in countries that have experienced return migration, information from this topic allows the identification of foreign-born children of native-born parents.

2.2. Country of citizenship (core topic)

4.110. *Country of citizenship* is defined as the country an individual is a citizen of and with which the individual enjoys a particular legal bond, acquired by birth, naturalization, marriage or some other mechanism. A citizen is a legal national of the country of enumeration; a foreign citizen is a non-national of the country (that is, a citizen of another country or a stateless person). Because the country of citizenship is not necessarily identical to the country of birth, both items should be collected in a census.

4.111. Information on the country of citizenship is particularly important for foreign citizens. It is important to record country of citizenship as such and not to use another concept to indicate citizenship, since some of those concepts may also be used to designate ethnic groups.

4.112. It is essential that the coding of information on country of citizenship be done in sufficient detail to allow for the individual identification of all countries of citizenship that are represented among the foreign population in the country. For purposes of coding, it is recommended that countries use the numerical coding system presented in *Standard Country or Area Codes for Statistical Use*. The use of standard codes for classification of the foreign population by country of citizenship will enhance the usefulness of such data and permit an international exchange of information among countries on their foreign populations. If countries decide to combine countries of citizenship into broad groups, it is recommended that the standard regional and subregional classifications identified in the above-mentioned publication be adopted. The category "stateless" should also be listed.

4.113. The reliability of reported citizenship may be doubtful in the case of persons whose citizenship has recently changed as a result of territorial changes, or among the population of some newly independent countries where the concept of citizenship may have only recently become important. Clear guidelines issued by the national statistical authority can help improve the quality of the data collected. As an aid to the analysis and interpretation of the results, notes on the likelihood of these and other possible causes of misstatement should accompany tabulations based on citizenship.

4.114. Enumeration and processing instructions should provide clear guidance on the treatment of stateless persons, persons with dual nationality, persons in the process of naturalization and any other groups with ambiguous citizenship. The treatment of these groups should be described in the census reports and be included in the metadata for accompanying tabulations.

4.115. In cases where people have more than one citizenship and where this information is useful for decision-making, details may be collected on whether the person holds one or multiple citizenship. If this information is to be published, care should be taken to explain how the possibility of people being included in the table more than once affects the marginal totals on the table. Usually, however, it may be more practicable for tabulations by citizenship to refer to one citizenship only. Thus, persons with multiple citizenships should be allocated to a single "primary" citizenship, for example by giving precedence to the citizenship of the "home" country.

2.3. Acquisition of citizenship

4.116. In addition to collecting information on citizenship, for countries where the population includes a significant proportion of naturalized citizens it may be important to collect information on the method of acquisition of citizenship so as to enable the classification of the population into (*a*) citizens by birth; (*b*) citizens by naturalization whether by declaration, option, marriage or other means; and (*c*) non-nationals. In such countries it may also be useful to ask questions on previous citizenship and year of naturalization.

2.4. Year or period of arrival in the country (core topic)

4.117. *Year or period of arrival in the country* refers to the calendar year and month of arrival of a foreign-born person to the country of enumeration. This information enables the calculation of the number of completed years between the time of arrival in the country and the time of enquiry, usually the census date. Information on the month and year of arrival also provides the flexibility of classifying foreign-born persons by period of arrival in terms of any prespecified period, such as 1975-1979, 1980-1984 and so forth. It is thus recommended that the period of arrival be shown, in any tabulation in which the variable appears, in terms of the actual year of arrival.

4.118. It is possible to collect information on either the date of first arrival in the country or the date of the most recent arrival in the country. Each has its own advantages and disadvantages. In making the choice of which information to collect, countries should be guided first and foremost by their policy and user needs.

4.119. Information on time since arrival can also be collected by asking how many years have elapsed since the time of arrival, instead of in what calendar year and month the person arrived. However, use of such a question is not recommended because it is likely to yield less accurate information.

4.120. Note that information on the year and month of arrival is focused mainly on persons born outside the country of enumeration, that is to say, persons who must have arrived in that country at some time after their birth. However, it should be noted that the phenomenon of "international return migration" is becoming increasingly common, and countries that have population groups that maintain links to other countries, migrating to or from another country at different life stages (for example, as students or pensioners), may have an interest in collecting information on returning migrants: in this case, the question on year and month of arrival could also be asked of native-born respondents who have ever lived in another country. In addition, it might also be important to collect information on previous country of residence for persons who have ever lived abroad.

3. Household and family characteristics

4.121. In considering the topics related to household characteristics, it is important to be aware of the differences between the concepts of household and family as used herein.

4.122. A *household* may be either:

(*a*) A one-person household, that is to say, a person who makes provision for his or her own food or other essentials for living without combining with any other person to form part of a multiperson household; or

(*b*) A multiperson household, that is to say, a group of two or more persons living together who make common provision for food or other essentials for living. The persons in the group may pool their resources and have a common budget; they may be related or unrelated persons or a combination of persons both related and unrelated. This arrangement exemplifies the "housekeeping" concept.

Some countries use a concept different from the housekeeping concept, namely, the "household dwelling" concept, which regards all persons living in a housing unit as belonging to the same household. According to this concept, there is one household per occupied housing unit. Therefore, the number of occupied housing units and the number of households occupying them are equal and the locations of the housing units and households are identical. Countries should specify in their census reports whether they used the "housekeeping" or the "household dwelling" concept of a private household.

4.123. A household may be located in a housing unit (see paragraph 4.427) or in a set of collective living quarters such as a boarding house, a hotel or a camp, or may comprise the administrative personnel in an institution.

4.124. The *family* within the household, a concept of particular interest, is defined as those members of the household who are related, to a specified degree, through blood, adoption or marriage. The degree of relationship used in determining the limits of the family in this sense is dependent upon the uses to which the data are to be put and so cannot be established for worldwide use. See paragraph 4.141 for a definition of the family nucleus.

4.125. Although in practice most households are composed of a single family consisting of a married couple without children or of one or both parents and their children, it should not be assumed that this identity always exists; census tabulations should therefore clearly indicate whether they relate to households or to families within households.

4.126. From the definitions of "household" and "family", it is clear that these are different concepts that cannot be used interchangeably in the same census. The differences between the household and the family are that:

(*a*) A household may consist of only one person but a family must contain at least two members;

(*b*) The members of a multiperson household need not be related to each other, while the members of a family must always be related.

4.127. A household can contain more than one family, or one or more families together with one or more non-related persons, or it can consist entirely of non-related persons. A family typically will not comprise more than one household. However, the existence of polygamous families in some countries, as well as shared child custody and support arrangements in others, means that individual countries should decide how best to derive and report data on families.

4.128. It is recommended that the household be used as the unit of enumeration (as defined in paragraphs 2.33-2.38) and that the family be a derived topic only. The place of usual residence is recommended as the basis for assigning persons to households where they normally reside. Where the de facto approach is used as the method of enumeration (see paragraphs 2.55-2.63), household lists should, where feasible, also include usual residents temporarily absent. The place of usual residence is where a person usually resides and it may or may not be the person's current or legal residence. The latter terms are usually defined in the laws of most countries and need not correspond to the concept of place of usual residence, which, as employed in the census, is based on conventional usage. In published reports, countries should indicate whether or not household information refers to usual residents and also what the time limits are in respect of being included or excluded as a usual resident. For a more detailed discussion on the difficulty of collecting information on place of usual residence, see paragraphs 4.52-4.57.

3.1. Relationship to the reference person of household (core topic)

4.129. In identifying the members of a household (as defined in paragraphs 4.122-4.123), it is useful to identify first the household reference person and then the remaining members of the household according to their relationship to the reference person. Countries may use the term they deem most appropriate to identify this person (household reference person, head of household, householder, among others) as long as the person so identified is used solely to determine relationships between household members. It is recommended that each country present, in published reports, the concepts and definitions that are used.

4.130. With respect to selecting the household reference person, it is important to specify criteria for choosing that person in relation to whom household members would be best distinguished, especially in polygamous, multi-family and other households, such as those composed only of siblings without a parent and those composed entirely of unrelated persons. This information should be included in training materials and instructions to enumerators.

4.131. The traditional notion of head of household assumes that most households are family households (in other words, they consist entirely, except possibly for domestic servants, of persons related by blood, marriage or adoption) and that one person in such family households has primary authority and responsibility for household affairs and is, in the majority of cases, its chief economic support. This person is then designated as the head of household.

4.132. Where spouses consider themselves to be equal in household authority and responsibility and may share the economic support of the household, the concept of head of household is no longer considered valid even for family households. In order for the relationship among members of the household to be determined under these circumstances, it is essential that either:

(*a*) The members of the household designate one among them as a reference member with no implication of headship; or

(*b*) Provision be made for designation of joint headship where desired.

In any case, it is important that clear instructions be provided in the census as to how this situation is to be handled.

4.133. Even in the many countries where the traditional concept of head of household is still relevant, it is important to recognize that the procedures followed in applying the concept may distort the true picture, particularly with regard to female heads of households. The most common assumption that can distort the facts is that no woman can be the head of any household that also contains an adult male. Enumerators and even respondents may simply take such an assumption for granted.

4.134. This common sex-based stereotype often reflects circumstances that may have been true in the past but are true no longer, insofar as the household and economic roles of women continue to change. It is therefore important that clear instructions be provided as to who is to be treated as the reference person of the household so as to avoid the complications of enumerator or respondent preconceptions on the subject and the bias that such preconceptions may create. The procedure to follow in identifying a reference person when the members of the household are unable to do so should be clear and unambiguous and should avoid sex-based bias. Where alternative definitions are used, this should be made explicitly in the census questionnaire and in the tabulated census results.

4.135. The selection of the one reference person in a household to whom all other persons in the household report, or designate, their relationship requires careful consideration. In the past the person considered to be the "head of the household" was generally used as the reference person, but this concept is no longer considered appropriate in many countries. It has also sometimes been proposed that the person designated as the reference person should be the oldest person in the household or the one who contributes the most income. However, given that the primary purpose of the question is to assign family status and to assign individuals into families, both of these approaches have weaknesses. The automatic selection of the oldest person may be undesirable because in multigenerational households many explicit kin relationships can be reported where the reference person is selected from the middle generation. Similarly, the selection of the person with the highest income may be a person who will not solicit the broadest range of explicit kin relationships. Given below is some guidance on the selection of the reference person, which will yield some explicit kin relationships:

(*a*) Either the husband or the wife of a married couple living in the household (preferably from the middle generation in a multigenerational household);

(*b*) Either partner of a consensual union couple living in the household where there is no married couple present (where applicable);

(*c*) The parent, where one parent lives with his or her sons or daughters of any age; or

(*d*) Where none of the above conditions apply, any adult member of the household may be selected.

Note that these categories are neither comprehensive nor mutually exclusive.

4.136. After identification of the reference member of the household, each of the remaining members of the household should be distinguished in relation to that person, as appropriate, as one of the following:

(*a*) Spouse;

(*b*) Partner in consensual union (cohabiting partner), where applicable;

(*c*) Child;

(*d*) Spouse of child;

(*e*) Grandchild or great-grandchild;

(*f*) Parent (or parent of spouse);

(*g*) Other relative;

(*h*) Domestic employee; or

(*i*) Other person not related to the head or other reference member.

Where this classification is considered too detailed for successful collection of the information, categories (*f*) and (*g*) may be consolidated as "Other relative" and (*h*) and (*i*) can be consolidated as "Other unrelated person".

4.137. As an aid to the identification of family nuclei (as defined in paragraphs. 4.141-4.143) within the household, it might be helpful if persons were recorded on the census questionnaire to the extent possible in the order of nuclear relationship. Thus, the first person entered after the head or other reference person would be the spouse of that person, followed by unmarried children and then by married children, their spouses and children. For polygamous households, the order of entry could be such that each wife and her unmarried children appeared in succession.

4.138. For estimating fertility by the *own children* method (see paragraph 4.217), the natural mother of each child under 15 years of age should be identified if she appears in the same questionnaire as her child. One way of doing this is to provide the line number of the mother alongside that of the child, if both are living in the same household. The information is not relevant for stepchildren, adopted children or foster children under permanent or temporary care.

4.139. In order to meet increased data needs on households and families, countries may wish, while conducting their population censuses, to collect more detailed information on relationships. In households where the relationship structure is complex, including those with foster children, obtaining accurate information on the relationships between household members may be difficult. Some countries may supplement information on relationship to the reference person of the household with information on direct relationships between household members by, for instance, relating a child to its parents even when neither parent is the reference person of the household. Enumerators should be encouraged to probe for a clear relationship (such as child, niece or aunt). The recording of non-specific responses such as "relative" should be avoided. It is recommended that specific guidance be provided on acceptable responses,

that relationships be specified completely in the census questionnaire, and that any precoded categories used should be sufficiently detailed to produce desired outputs.

3.2. Household and family composition (core topic)

4.140. Household and family composition can be examined from different points of view, but for census purposes it is recommended that the primary aspect considered should be that of the family nucleus.

4.141. A *family nucleus* is of one of the following types (each of which must consist of persons living in the same household):

(*a*) A married couple without children;

(*b*) A married couple with one or more unmarried children;

(*c*) A father with one or more unmarried children;

(*d*) A mother with one or more unmarried children.[106]

Couples living in consensual unions may, where appropriate, be regarded as constituting a family nucleus.

[106] In countries where a different definition of family nucleus is used, it should be clearly stated in the census report.

4.142. The concept of family nucleus as defined above limits relationships between children and adults to direct (first-degree) relationships, that is to say, between parents and children. In some countries, numbers of skip-generation households, that is to say, households consisting of grandparent(s) and one or more grandchildren with no parent of those grandchildren present, are considerable. Therefore, countries may include such skip-generation households in their family nucleus definition, and the census report should clearly state whether or not skip-generation households are included in the family nucleus definition.

4.143. The family nucleus is identified from the answers to the question on relationship to the reference member of the household, supplemented where necessary by information on name and marital status. The identification of offspring and their mother and the order in which persons are entered in the questionnaire may be of additional assistance in this respect. The identification of family nuclei is likely to be more complete in de jure than in de facto enumerations, because the latter do not take account of temporarily absent household members who may constitute part of a nucleus.

4.144. For census purposes, a child is any unmarried individual, regardless of age, who lives with his or her parent(s) and has no children in the same household. Consequently, the definition of a child is primarily a function of an individual's relationship to other household members, regardless of age. In accordance with this definition, a household consisting of a married couple with two never-married children, divorced son, and a married daughter and her husband would be considered to be composed of two family nuclei, with the divorced child being regarded as a member of the parents' family and the married daughter and son-in-law as a second family. As used here, the term "child" does not imply dependency, but rather is used to capture household living arrangements of persons who are in a parent-child relationship. Countries need to be clear in their metadata how they treat foster and adopted children.

4.145. The family nucleus does not include all family types, such as brothers or sisters living together without their offspring or parents, or an aunt living with a niece who has no child. It also excludes the case of a related person living with a family nucleus as defined above, for example, a widowed parent living with her married son and his family. The family nucleus approach does not, therefore, provide information on all types of families. Countries may extend the investigation of families beyond that of the family nucleus, in accordance with their own interests.

4.146. Households should be classified by type according to the number of family nuclei they contain and the relationship, if any, between the family nuclei and the other members of the household. The relationship should be through blood, adoption or marriage, to whatever degree is considered pertinent by the country (see paragraph 4.139). Given the complexity of this item, it is important that information on relationship to the household reference person be properly processed. The types of household to be distinguished could be:

(*a*) One-person household;

(*d*) *Nuclear household*, defined as a household consisting entirely of a single family nucleus. It may be classified into:

i. Married couple family:

a. With child(ren);

b. Without child(ren);

ii. Partner in consensual union (cohabiting partner):

a. With child(ren);

b. Without child(ren);

iii. Father with child(ren);

iv. Mother with child(ren);

(*c*) *Extended household*, defined as a household consisting of any one of the following:[107]

i. A single family nucleus and other persons related to the nucleus, for example, a father with child(ren) and other relative(s) or a married couple with other relative(s) only;

ii. Two or more family nuclei related to each other without any other persons, for example, two or more married couples with (or without) child(ren) only;

iii. Two or more family nuclei related to each other plus other persons related to at least one of the nuclei, for example, two or more married couples with other relative(s) only;

iv. Two or more persons related to each other, none of whom constitutes a family nucleus;

(*d*) *Composite household*, defined as a household consisting of any of the following: [108]

i. A single family nucleus plus other persons, some of whom are related to the nucleus and some of whom are not, for example, mother with child(ren) and other relatives and non-relatives;

ii. A single family nucleus plus other persons, none of whom is related to the nucleus, for example, father with child(ren) and non-relatives;

iii. Two or more family nuclei related to each other plus other persons, some of whom are related to at least one of the nuclei and some of whom are not related to any of the nuclei, for example, two or more couples with other relatives and non-relatives only;

iv. Two or more family nuclei related to each other plus other persons, none of whom is related to any of the nuclei, for example, two or more married couples one or more of which has child(ren) and non-relatives;

v. Two or more family nuclei not related to each other, with or without any other persons;

vi. Two or more persons related to each other but none of whom constitute a family nucleus, plus other unrelated persons;

vii. Non-related persons only;

(*e*) Other;

(*f*) Unknown or not stated.

[107] The subdivisions in this category should be modified to suit national circumstances.

[108] The subdivisions in this category should be modified to suit national circumstances.

4.147. In the census tabulations, all countries should at least distinguish between one-person, nuclear, extended and composite households. Where feasible, some or all of the subcategories shown above should also be distinguished, although countries may find it appropriate to modify the classification according to national circumstances. For example, in countries where almost all households contain only one family nucleus at most, the distinction between nuclear, extended and composite households may be applied only to households containing one nucleus or no nucleus; multinuclear households may then be shown as an additional category without any further classification by type. In countries where multinuclear households are comparatively common, further breakdowns of extended and composite households, distinguishing between those with three, four or more family nuclei, may be helpful.

3.3. Household and family status

4.148. For purposes of determining household and family status and identifying how a person relates to other household or family members, persons may be classified according to their position in the household or family nucleus. Classifying persons according to household and family status has uses in social and demographic research and policy formulation. Census data could be presented according to both household and family status for a variety of purposes. Although status itself is based on information derived from responses to the item on relationship to the head or other reference member of the household and other items, the classification of persons by their household and family status is a different approach from the traditional one of classifying household members solely according to their relationship to the head or reference person. The following household and family status classifications illustrate how such an approach may be used.[109] Care should be taken at the planning stages to relate this item to the classification of households by type as recommended in paragraph 4.146.

[109] To date, only the population and housing census recommendations for the Economic Commission for Europe region contain household and family status classifications.

Persons living in households are classified by household status as:

1. Person in a household with at least one family nucleus
   - 1.1. Married spouse
   - 1.2. Partner in consensual union (cohabiting partner)
   - 1.3. Lone mother[110]
   - 1.4. Lone father[111]
   - 1.5. Child living with both parents
   - 1.6. Child living with lone mother
   - 1.7. Child living with lone father
   - 1.8. Not a member of a family nucleus
     - 1.8.1. Living with relatives
     - 1.8.2. Living with non-relatives
2. Person in a household with no family nucleus
   - 2.1. Living alone
   - 2.2. Living with others[112]
     - 2.2.1. Living with sibling(s)
     - 2.2.2. Living with other relatives
     - 2.2.3. Living with non-relatives

[110] Person living with children, without spouse.

[111] Person living with children, without spouse.

[112] The subdivisions in this category should be modified to suit national circumstances.

Persons are classified by family status as:[113]

1. Spouse
   - 1.1. Husband
     - 1.1.1. With child(ren)
     - 1.1.2. Without child

[113] The subdivisions in this category should be modified to suit national circumstances.

1.2. Wife
1.2.1. With child(ren)
1.2.2. Without child
2. Lone parent
2.1. Male
2.2. Female
3. Child
3.1. With both parents
3.2. With lone parent
3.2.1. With lone father
3.2.2. With lone mother
4. Not member of a family nucleus
4.1. Relative of husband or wife
4.1.1. Parent of husband or wife
4.1.2. Sibling of husband or wife
4.1.3. Other relative of husband or wife
4.2. Non-relative

4. Demographic and social characteristics

4.149. Sex and age are considered to be the most basic of all demographic variables. Of all the topics included in population censuses, sex and age are more frequently cross-classified with other characteristics of the population than are any other topics. Apart from the importance of the age-sex structure of the population in itself, accurate information on the two topics is fundamental to the great majority of the census tabulations. A very important use of census data on the sex and age composition of the population is the evaluation of the data, especially with respect to coverage. The variables are therefore very crucial, and it is important that this information be reported in respect of every person for whom census information has been collected. It is therefore recommended that where this information is incomplete it should be imputed for census purposes rather than being reported as "not stated". Possible difficulties in securing accurate age data are often not recognized because the topic appears to be a simple one. The difficulties associated with this topic are therefore highlighted in paragraphs 4.151-4.162 below.

4.1. Sex (core topic)

4.150. The sex of every individual should be recorded on the census questionnaire for those countries that collect their census information in this way. The disaggregation of data by sex is a fundamental requirement for gender statistics. For many socioeconomic and demographic characteristics that could be collected through a census, such as education, economic activity, marital status, migration, disability and living arrangements, there are generally variations by sex. The successful planning and implementation of gender-sensitive policies and programmes requires the disaggregation of data by sex to reflect problems, issues and questions related to both men and women in society. Sex, together with age, represents the most basic type of demographic information collected about individuals in censuses and surveys, as well as through administrative recording systems, and the cross-classification of these data with other characteristics forms the basis of most analyses of the social and demographic characteristics of the population, as it provides the context within which all other information is placed.

4.2. Age (core topic)

4.151. *Age* is the interval of time between the date of birth and the date of the census, expressed in completed solar years. Every effort should be made to ascertain the precise and accurate age of each person, particularly of children and older persons.

4.152. Information on age may be secured either by obtaining the date (year, month and day) of birth or by asking directly for age at the person's last birthday.

4.153. The first method yields more precise information and should be used whenever circumstances permit. It also allows for the calculation of age at reference dates other than census day for the purposes, for example, of deriving annual census-based mid- or end-year population estimates. If neither the exact day nor even the month of birth is known, an indication of the season of the year can be substituted if this information can be easily recorded. The question on date of birth is appropriate wherever people know their birth date, whether in accordance with the solar calendar or a lunar calendar, or whether years are numbered or identified in traditional folk culture by names within a regular cycle. It is extremely important, however, that there should be a clear understanding between the enumerator and the respondent about which calendar system the date of birth is based on. If there is a possibility that some respondents will reply with reference to a calendar system different than that of other respondents, provision must be made in the questionnaire for noting the calendar system that has been used. It is not advisable for the enumerator to attempt to convert the date from one system to another. The necessary conversion can be best carried out as part of the data-editing work.

4.154. Where the information is taken from administrative data sources, date of birth is usually more accurately recorded.

4.155. The direct question on age is likely to yield less accurate responses for a number of reasons. Even if all responses are based on the same method of reckoning age, there is the possibility of a misunderstanding on the part of the respondent as to whether the age wanted is that at the last birthday, the next birthday or the nearest birthday. In addition, asking a direct question on age can result in occurrences, with comparative ease, of rounding to the nearest age ending in zero or five, providing estimates not identified as such and deliberate misstatements. Difficulties may arise in the reporting or in the recording of the information for children under 1 year of age, which may be given erroneously as "1 year of age" rather than "zero years of age". These difficulties may be mitigated by collecting information on the date of birth of all children reported as "1 year of age", while using only the direct age question for the remainder of the population. Another possible approach is to obtain age in completed months for children under 1 year of age. This method, however, can give rise to another type of recording error, that is to say, the substitution of years for months, so that a 3-month-old child, for example, might be entered in the questionnaire as being 3 years of age.

4.156. Some countries have made improvements in the quality of age data by asking both questions on age and date of birth.

4.157. An additional complication may occur with the use of the direct question if more than one method of calculating age is in use in the country. In some countries, certain segments of the population may use an old traditional method whereby persons are considered to be 1 year of age at the time of birth and everyone advances 1 year in age at the same fixed date each year. Other segments of the population in the same countries may use the Western method, in which a person is not regarded as being 1 year of age until 12 months after the date of birth, and advances 1 year in age every succeeding 12 months. If there is a risk of different methods of age calculation being used by respondents, provision must be made to

ensure that the method used in each case is clearly indicated in the questionnaire and that the conversion is left to the data-editing stage.

4.158. In spite of its drawbacks, the direct question on age is the only one that should be used when people cannot provide even a birth year. As regards persons for whom information on age is unavailable or appears to be unreliable, an estimated age may have to be recorded. This may occur in isolated cases in societies where knowledge of age is widespread or in general in cultures where there is little awareness of individual age and no interest in it. In the latter circumstances, criteria for making estimates should be provided in the instructions for the enumerators.

4.159. One of the techniques that have been used to aid enumerators consists in providing them with calendars of historic events of national or local significance to be used either in probing questions or in identifying the earliest event the respondent recalls. Another technique consists in pre-identifying locally recognized age cohorts in the population and then asking about membership in the cohorts. Enumerators may also ask if the person in question was born before or after other persons whose ages have been roughly determined. Furthermore, use can be made of age norms for weaning, talking, marriage and so forth. Whatever techniques are used, enumerators should be impressed with the importance of securing age data that are as accurate as possible within the amount of time that they can devote to the topic.

4.160. In view of the possible difficulties in the collection of age data, census tests should be used, as appropriate, to determine the difference in results with the use of a question on age as compared with a question on date of birth, what calendar or method of age reckoning most people use, and in what parts of the country age will have to be estimated for the majority of the population and what techniques to use as an aid in estimation. Testing of the calendar or method of age reckoning that most people use is particularly important where an official change from one calendar or method of reckoning to another calendar or method has taken place recently enough so that the new calendar or method of reckoning may not yet be in popular use among some or all of the population.

4.161. Enumerators who are likely to be called upon to estimate age in a substantial number of cases should be given training in the applicable techniques as part of their general training.

4.162. As noted in paragraph 4.149 it is recommended that where this information is incomplete it should be derived or imputed for census purposes rather than being reported as "not stated".

4.3. Marital status (core topic)

4.163. Despite the changing nature of marriage, marital status remains a useful demographic variable. The direct relationship between marriage and fertility is still recognized, as is the indirect relationship with other demographic, social and economic characteristics. Numerous variations exist in many countries but it is important that marriage be defined in terms of the laws and customs of individual countries.

4.164. *Marital status* is the personal status of each individual in relation to the marriage laws or customs of the country. The categories of marital status to be identified should at least include the following:

(*a*) Single (in other words, never married);

(*b*) Married;

(*c*) Married, but separated;

(*d*) Widowed and not remarried;

(*e*) Divorced and not remarried.

4.165. In some countries, category (*b*) may require a subcategory of persons who are contractually married but not yet living as man and wife. In all countries, category (*c*) should comprise both the legally and the de facto separated, who may be shown as separate subcategories if desired.

4.166. In some countries, it will be necessary to take into account customary unions, such as registered partnerships and consensual unions, which are legal and binding under law. In countries with legal provision for registered or legal partnership (for opposite-sex couples or same-sex couples), or where same-sex couples can legally marry, subcategories may either be included in the category (*b*) Married or in a legally registered partnership, namely (*b*)(i) "Opposite-sex marriage/partnership", (*b*)(ii) "Same-sex marriage/partnership".

4.167. The treatment of persons whose only or latest marriage has been annulled is dependent upon the relative size of this group in the country. Where its size is substantial, the group could constitute an additional category; if its size is insignificant, however, the individuals in the group should be classified according to their marital status before the (annulled) marriage took place.

4.168. At times countries have experienced difficulties in distinguishing between (*a*) formal marriages and de facto unions and (*b*) persons legally separated and those legally divorced. If either of these circumstances necessitates a departure from the recommended classification of marital status, the composition of each category shown in the tabulations should be clearly stated.

4.169. If complete information on marital status is needed, then this information should be collected and tabulated for persons of all ages, irrespective of the national minimum legal age, or the customary age for marriage, because the population may include persons who were married in another country with a different minimum marriage age. In most countries, there are also likely to be persons who were permitted to marry below the legal minimum age because of special circumstances. In order to permit international comparisons of data on marital status, however, any tabulations of marital status not cross-classified by detailed age should at least distinguish between persons under 15 years of age and those 15 years of age and over.

4.170. The collection of additional information related to customs in particular countries (such as concubinage, polygamous or polyandrous marital status, or inheritance of widows) may be useful in meeting national needs. For example, at times countries may wish to collect data on the number of spouses of each married person. Modifications of the tabulations to take account of such information should be made within the framework of the basic classification in order to maintain international comparability as far as possible.

4.171. The concept of marital status and the marital status categories described above should not be confused with the concept of de facto union status, which describes extralegal unions (including some consensual unions) of varying degrees of stability common in some countries. It should be recognized also that these marital status categories do not adequately describe the prevalence of formal legal marriage combined with the relatively stable de facto union that may exist outside the marriage. Information on these relationships is very useful in studies of fertility, but it is not possible to provide an international recommendation on this matter because of the different circumstances prevailing among countries. It is suggested, however, that countries wishing to investigate these relationships should consider the possibility of collecting separate data for each person on de facto unions and on the duration of each type of union (see paragraphs 4.247-4.248). Information on these relationships can also be derived from information collected on the relationship to head or reference person or other persons in the household, in order to distinguish between people who are living in either a consensual union or marriage, and those who are not.

4.4. Ethnocultural characteristics

4.172. Countries with a culturally diverse population may wish to collect information on the ethnic identity (or composition) of the population, on mother tongue, on the knowledge and practice of languages and on religious communities and denominations. They are all characteristics that allow people the flexibility to express their ethnocultural identity in the way that they choose. Data on such ethnocultural characteristics of the population are of increasing relevance to countries in the context of migration, integration and minority policies.

4.173. Ethnocultural characteristics generally have a subjective dimension, as there is often no common understanding as to what characteristic or concept is really being measured in a particular census. Moreover, different countries will adopt different concepts. Ethnocultural characteristics can also be politically sensitive and may apply to very small, yet identifiable, population subgroups. The free and open declaration of the respondents is therefore of essential importance. Members of certain minority groups may be particularly vulnerable to discrimination on the grounds of ethnic group or religion. Special care, therefore, may be required in census procedures and outputs relating to ethnic group and religion in order to demonstrate to respondents that appropriate data protection and disclosure control measures are in place. In some cases, countries may even wish to collect such data on a voluntary basis if this is permitted by national legislation.

4.5. Religion

4.174. Each country that investigates religion in its census should use the definition most appropriate to its needs and should display the definition that has been used as part of the metadata in the census publications and dissemination programme.

4.175. For census purposes, *religion* may be defined as either:

(*a*) Religious or spiritual belief of preference, regardless of whether or not this belief is represented by an organized group; or

(*b*) Affiliation with an organized group having specific religious or spiritual tenets.

4.176. The decision to collect and disseminate information on religion in a national census is dependent upon a number of considerations and national circumstances, including, for example, the national needs for such data, and the suitability and sensitivity of asking a religion question in a country's census. Owing to the sensitive nature of a question on religion, special care may be required to demonstrate to respondents that appropriate data protection and disclosure control measures are in place. It is important that the responding public be informed of the potential uses and needs for this information.

4.177. The amount of detail collected on this topic is dependent upon the requirements of the country. It may, for example, be sufficient to enquire only about the religion of each person; on the other hand, respondents may be asked to specify, if relevant, the particular sect to which they adhere within a religion. In countries where a large number of sects or denominations exist there will be implications for space on any census questionnaire and implications for data capture, especially in cases where "write-in" responses are required. In an effort to ensure international comparability as far as possible, it is recommended that religion or religious affiliation should be measured directly by a question that asks "What is your religion?" rather than use of a filter question that asks for example "Are you religious?" and if so "What is your religion?" Response categories should include "No religion/religious affiliation" together with a "Religious but prefer not to disclose" or "Not stated" category, in effect making responses to such a question voluntary.

4.178. For the benefit of users of the data who may not be familiar with all of the religions or sects within the country, as well as for purposes of international comparability, the clas-

sifications of the data should show each sect as a subcategory of the religion of which it forms a part. A brief statement of the tenets of religions or sects that are not likely to be known beyond the country or region would also be helpful.

4.6. Language

4.179. There are four types of language data that can be collected in a census, namely:

(*a*) *Mother tongue*, defined as the language usually spoken in the individual's home in his or her early childhood;

(*b*) *Main language*, defined as the language that the person commands best;

(*c*) *Usual language*, defined as the language currently spoken, or most often spoken, by the individual in his or her present home;

(*d*) *Ability to speak* one or more designated languages, including the country's official language(s).

4.180. Each of these types of information serves a very different analytical purpose. Each country should decide which, if any, of these types of information is applicable to its own needs. International comparability of tabulations is not a major factor in determining the form of the data to be collected on this topic.

4.181. In compiling data on the usual language or on the mother tongue, it is desirable to show each language that is numerically important in the country and not merely the dominant language.

4.182. Information on language (including any sign language) should be collected for all persons. In the tabulated results, the criterion for determining language for children not yet able to speak should be clearly indicated.

4.7. Ethnicity

4.183. The decision to collect and disseminate information on ethnic or national groups of a population in a census is dependent upon a number of considerations and national circumstances, including, for example, the national needs for such data, and the suitability and sensitivity of asking ethnicity questions in a country's census. Owing to the sensitive nature of questions on ethnicity, special care may be required to demonstrate to respondents that appropriate data protection and disclosure control measures are in place. It is important that the responding public be informed of the potential uses and need for data pertaining to ethnicity, as this improves public support for the census exercise. Data on ethnicity provide information on the diversity of a population and can serve to identify subgroups of a population. Some areas of study that rely on such data include demographic trends, employment practices and opportunities, income distributions, educational levels, migration patterns and trends, family composition and structure, social support networks, and health conditions of a population.

4.184. Broadly defined, *ethnicity* is based on a shared understanding of history and territorial origins (regional and national) of an ethnic group or community, as well as on particular cultural characteristics such as language or religion. Respondents' understanding or views about ethnicity, awareness of their family background, the number of generations they have spent in a country, and the length of time since immigration are all possible factors affecting the reporting of ethnicity in a census. Ethnicity is multidimensional and is more a process than a static concept, and so ethnic classification should be treated with movable boundaries.

4.185. Ethnicity can be measured using a variety of concepts, including ethnic ancestry or origin, ethnic identity, cultural origins, nationality, race, colour, minority status, tribe, language, religion or various combinations of these concepts. Because of the interpretative difficulties that may occur with measuring ethnicity in a census, it is important that, where such an investigation is undertaken, the basic criteria used to measure the concept are clearly explained to respondents and in the dissemination of the resulting data. The method and the format of the question used to measure ethnicity can influence the choices that respondents make regarding their ethnic backgrounds and current ethnic identification. The subjective nature of the term (not to mention increasing intermarriage among various groups in some countries, for example) requires that information on ethnicity be acquired through self-declaration of a respondent and also that respondents have the option of indicating multiple ethnic affiliations. Data on ethnicity should not be derived from information on country of citizenship or country of birth. The classification of ethnic groups also requires the inclusion of the finest levels of ethnic groups, self-perceived groups, regional and local groups, as well as groups that are not usually considered to be ethnic groups, such as religious groups and those based on nationality. Countries collecting data on ethnicity should note that the pre-coding or preclassification of ethnic groups at the time of data capture may have a tendency to lose detailed information on the diversity of a population unless space to record write-in, free-form responses is provided.

4.186. Respondents should be free to indicate more than one ethnic affiliation or a combination of ethnic affiliations if they wish so. Countries should explain in the census instructions and the census documentation how the ethnicity of children from mixed couples is to be reported (for example, explicit instructions to allow respondents to provide multiple responses or to allow for responses such as "Biracial"). Also, to guarantee the free self-declaration of ethnicity, respondents should be allowed to indicate "None" or "Not declared".

4.187. Because the ethnocultural composition of a country can vary widely from country to country and due to the diversity in the approach and the various criteria for establishing ethnicity, it is recognized that there is no single definition or classification that could be recommended that would be applicable to all countries. However, countries should document the basic criteria and classification procedures for ethnicity and inform the data users about the concepts on which they are based.

4.8. Indigenous peoples

4.188. Facilitating the collection of data on indigenous peoples for national and international needs can serve to improve socioeconomic and active participation of indigenous peoples in the development process for many countries. The sensitive nature of questions pertaining to the indigenous population requires care in assuring the public that the appropriate disclosure and data protection methods are being enforced. The responding public should be informed on the potential uses and need for such data to improve public support for the census exercise.

4.189. Dissemination of census data pertaining to indigenous peoples contributes to research in areas such as the socioeconomic conditions of the indigenous population, trends, causes for inequities, and the effectiveness of existing policies and programmes. Availability of these data can also assist indigenous communities in assessing their conditions of living and give them the information they need to participate and advocate in the development of programmes and policies affecting their communities, such as those impacting health systems, models of economic production, environmental management and social organization. In addition, the development of indicators relevant to the indigenous population and the measurement of such indicators in the data collection process can be used to monitor the human development of indigenous populations.

4.190. Generally, *indigenous peoples* of a particular country are social groups with an identity that is distinct from the social and cultural identity of the dominant society in that country. Questions on indigenous identity should abide by the principle of self-identification. It is important that, where such an investigation is undertaken, multiple criteria are developed to accurately capture identity and socioeconomic conditions of indigenous peoples. Defining the indigenous population can be done in many ways, such as through a question on ethnic origin (that is to say, ancestry) or on indigenous identity. Identifying the indigenous community also requires recognition of the diversity in this subpopulation, including nomadic, semi-nomadic and migrating peoples, peoples in transition, displaced persons, indigenous peoples in urban areas, and particularly vulnerable sects. It is important to point out that there is no single term among countries to describe the indigenous population. Consequently, countries tend to use their own national concepts to identify the indigenous population. For example, in Australia the terms "aboriginal" or "Torres Strait Islander" are used, while in New Zealand the term "Maori" is used.

4.191. Differing national contexts also imply that enumerating the indigenous population can be done in multiple ways, for example, by way of specific questions on the census form, with specialized questionnaires for the indigenous population, or with follow-up or complementary surveys. In Canada, for example, identification of the indigenous population comes not only from its national census, but also from a post-censal survey. In Australia, in addition to the national census, there is the National Aboriginal and Torres Strait Islander survey, while in Argentina there is a complementary survey after the census targeting indigenous peoples. In addition to a general census, Paraguay also administers a specific census in the same year to identify the indigenous population.

4.192. Involvement of the indigenous community in the data development and data collection processes provides the arena for capacity-building and helps to ensure the relevance and accuracy of the data collection on indigenous peoples. Using local indigenous languages, employing local indigenous people (as interpreters, for example), and training and building the capacity of local indigenous people in data collection processes can facilitate the collection and dissemination of this information. Non-indigenous professionals and technicians should also be informed of the culture and practices of indigenous peoples.

4.9. Disability characteristics

4.193. A census can provide valuable information on disability in a country. For countries that do not have regular special population-based disability surveys or disability modules in ongoing surveys, the census can be the only source of information on the frequency and distribution of disability and functioning in the population at national, regional and local levels. Countries that have a registration system providing regular data on persons with the most severe types of impairments may use the census to complement these data with information related to selected aspects of the broader concept of disability and functioning based on the International Classification of Functioning, Disability and Health (ICF).[114] Census data can be utilized for general planning programmes and services (prevention and rehabilitation), monitoring selected aspects of disability trends in the country, evaluation of national programmes and services concerning the equalization of opportunities, and international comparison of selected aspects of disability prevalence in countries.

[114] Adopted in 2001, the ICF is the international standard for describing and measuring health and disability at both the individual and population levels. More information on the ICF framework is available from www.who.int/classifications/icf/en/.

(a) Disability status (core topic)

4.194. *Disability* status characterizes the population into those with and those without a disability. Persons with disabilities are defined as those persons who are at greater risk than the general population for experiencing restrictions in performing specific tasks or participating in role activities. This group would include persons who experience limitations in basic activity functioning, such as walking or hearing, even if such limitations were ameliorated

by the use of assistive devices, a supportive environment or plentiful resources. Such persons may not experience limitations in specifically measured tasks, such as bathing or dressing, or participation activities, such as working or going to church or shopping, because the necessary adaptations have been made at the personal or environmental levels. These persons would still, however, be considered to be at greater risk of restrictions in activities or participation than the general population because of the presence of limitations in basic activity functioning, and because the absence of necessary accommodations would jeopardize their current levels of participation.

4.195. A comprehensive measure to determine disability would include the following six domains of functioning in a way that can be reasonably measured using a census and that would be appropriate for international comparison:

(*a*) Walking;

(*b*) Seeing;

(*c*) Hearing;

(*d*) Cognition;

(*e*) Self-care;

(*f*) Communication.

4.196. The first four domains (*a*) to (*d*) are to be considered essential in determining disability status. The additional domains (*e*) and (*f*) comprise a more comprehensive measure for determining disability.

(b) Use of the census to measure disability at the aggregate level

4.197. A census format offers only limited space and time for questions on any one topic such as disability. Since ICF offers several dimensions for use to develop a census measure, it is best to focus on a few of those dimensions, leaving the remaining dimensions for use in more extensive household surveys. Short sets of disability questions, which can be included in censuses and extended sets to be recommended for inclusion in population-based surveys, have been developed and tested by the Washington Group on Disability Statistics.[115] The aim of the recommended sets is to improve comparability of disability and functioning data across countries.

[115] The Washington Group on Disability Statistics, a United Nations City Group that focuses on proposing international measures of disability, has developed these questions. See www.cdc.gov/nchs/washington_group.htm for updates on the question wording and more information supporting the collection and use of data on disability.

4.198. The definition of disability status (see paragraph 4.194) requires that disability be defined in terms of limitations in basic activity functioning that would place a person at greater risk than the general public of restricted performance of or participation in organized activities (such as educational attendance or work participation). Given the complexity of disability definition and measurement and, in certain cultures, the sensitivity attached to people identifying as having a disability, it is recommended that several functional activity domains be defined whereby people can respond to questions about their difficulty in performing those activities rather than enquiring directly whether or not they have a particular disability.

i. Essential domains

4.199. It is suggested that only those domains that have satisfied a set of selection criteria be eligible for inclusion in a short set of questions recommended for use in censuses. Criteria for inclusion include cross-population or cross-cultural comparability, suitability for self-reporting and space on the census form. Other suggested criteria include the importance of the domain in terms of public health problems. Based on these criteria, the Washington Group on Disability Statistics has developed a Short Set on Functioning (WG SS-F) questions in the six domains for the purpose of measuring disability in a census format. The four basic domains are con-

sidered to be essential: walking, seeing, hearing and cognition. In addition, if space permits, two other domains have been identified for possible inclusion: self-care and communication.

4.200. *Walking* fulfils the criteria of cross-cultural applicability and space requirements for comparable data since walking is a good indicator of a central physical function and is a major cause of limitation in participation.

4.201. While *seeing* also represents a public health problem, self-reporting of seeing limitation is more problematic, particularly when individuals use glasses to correct visual impairments. Similar difficulties are associated with asking about hearing activity.

4.202. Assistive devices, such as glasses and hearing aids, provide almost complete accommodation for a large proportion of those with impaired functioning. It is often argued that asking about seeing without the use of glasses greatly increases the number of persons with disabilities and makes the group too heterogeneous, that is, the group would include persons at very little risk of participation problems along with those at greater risk. As a result, questions on difficulty seeing or hearing should be asked with the use of glasses or hearing aids if they are usually worn.

4.203. Of the four essential domains, *cognition* is the most difficult to operationalize. Cognition includes many functions such as remembering, concentrating, decision-making, understanding spoken and written language, finding one's way or following a map, doing mathematical calculations, reading and thinking. Deciding on a cross-culturally similar function that would represent even one aspect of cognition is difficult. However, remembering and concentrating or making decisions would probably serve the cultural compatibility aspects the best.

ii. Additional domains

4.204. In additional to the four essential domains, two other have been identified for possible inclusion: self-care and communication. The self-care domain is intended to identify persons who have some problems with taking care of themselves independently. Washing and dressing represent self-care tasks that occur on a daily basis and are considered to be basic activities.

4.205. The purpose of the communication domain is to identify persons who have some problems with talking, listening or understanding speech such that it contributes to difficulty in doing their daily activities. Two aspects of communication are considered: understanding others (receptive communication) and being understood by others (expressive communication). Communicating (understanding and being understood) refers to the exchange of information or ideas between two people through the use of language.

4.206. Beyond the six domains identified above, there are further physical functioning domains that could be included in a set of census questions depending on the space available. The Washington Group Extended Set on Functioning (WG ES-F) includes questions that address functioning in domains such as upper body (functioning of the arms, hands and fingers), affect (anxiety and depression), pain and fatigue.

(c) Census question wording

4.207. It is recommended that special attention be paid in designing census questions to measure disability. The wording and the construct of questions greatly affect the precision in identifying persons with disabilities. Each domain should be asked through a separate question.[116] The language used should be clear, unambiguous and simple. Negative terms should always be avoided. The disability questions should be addressed to each single household member and general questions on the presence of persons with disabilities in the household should be avoided. If necessary, a proxy respondent can be used to report for the family

[116] When domains are combined, such as asking a question about seeing or hearing, respondents frequently are confused and think they need to have difficulty in both domains in order to answer yes. In addition, having the numbers with specific limitations is useful for both internal planning and for cross-national comparisons.

member who is incapacitated. The important thing is to account for each family member individually rather than ask a blanket question. Scaled response categories can also improve the reporting of disability. The census questions on disability endorsed by the Washington Group include four response categories:

(*a*) No (meaning no difficulty at all);

(*b*) Yes—some difficulty;

(*c*) Yes—a lot of difficulty;

(*d*) Cannot do [the activity] at all.

Disability prevalence is determined based on any response that is "a lot of difficulty" or "cannot do at all" for any of the questions.

4.208. The information that results from measuring disability status (see paragraph 4.194) is expected to:

(*a*) Represent a large proportion of, but not all, persons with limitation in basic activity functioning in any one country (only the use of a wider set of domains would potentially cover close to all such persons, but as stated this would not be possible in a census context);

(*b*) Represent the most commonly occurring basic activity limitations within any country;

(*c*) Capture persons with similar problems across countries.

4.209. The questions identify the population with limitations in basic activities that have the potential to limit independent participation in society. The intended use of these data would be to compare levels of participation in employment, education, or family life for those with disability as measured by the question set versus those without disability to see if persons with disabilities have achieved social inclusion. In addition, the data could be used to monitor prevalence trends for persons with limitations in the particular basic activity domains selected.

4.210. Because disability is a complex concept, it is necessary to adopt an explicit definition based on the ICF domains used when developing census or survey questions that will be used to identify disability status. The recommended set of questions for censuses is based on such an explicit definition (as described above). It is essential that estimates or tabulations based on the recommended set be accompanied by information on how disability is defined and how the questions are asked. This information should be included as part of the metadata associated with the questions and data set, and it should be included as a footnote to tables that include these estimates.

(d) Use of census to screen for disability and follow-up with other surveys

4.211. Countries that are planning specialized surveys on disability may want to use the census to develop a sampling frame for these surveys and include a screening instrument to identify persons who will be interviewed subsequently. The main purpose of a screening instrument is to be as inclusive as possible in order to identify the largest group of people who could be further studied. The screening question should be designed so that false negatives[117] are minimized, while false positives[118] should be less of a concern.

4.212. The same recommendations highlighted in paragraphs 4.207-4.210 should also be considered when a screening module is designed.

4.213. Before embarking on using the census to develop a frame for a follow-up survey, it is important that the legal implications of using the census data for this purpose are fully considered. Respondents should be informed that the data may be used for follow-up studies

[117] Persons who have disabilities but are not identified in the census as having disabilities.

[118] Persons who are identified with disabilities in the census but in reality do not have disabilities (as assessed in the largest instrument used in the follow-up survey).

and national authorities responsible for ensuring the privacy rights of the population may need to be consulted in order to obtain their approval.

5. Fertility and mortality

4.214. The investigation of fertility and mortality in population censuses is particularly important in countries lacking a timely and reliable system of vital statistics because of the opportunity the data provide for estimating vital rates that would not otherwise be available. Even in countries with complete birth and death registration, some of the topics (such as "children born alive", "children living", "age at marriage or union" and "age at first birth") are equally appropriate because they provide data that are not easily available from registration data but are necessary for the computation of cohort and period fertility tables. The census provides an opportunity to collect data for estimating fertility and mortality at national and subnational levels in a cost-effective manner. The inclusion of these topics in population censuses for the purpose of estimating fertility and mortality rates and other related indicators is both prudent and cost-effective, particularly in countries where civil registration and vital statistics systems are weak, and costs of conducting large periodic demographic surveys are high. Nevertheless, it is important to note that census information is a poor substitute for complete and reliable vital registration data. If countries desire accurate and detailed estimates of fertility and mortality, they must establish, and need to maintain, civil registration systems and ensure their universal coverage.

4.215. To obtain information on fertility, information may be collected on "children ever born", "date of last child born alive" and "age of mother at birth of first child born alive". In addition, questions on age, date or duration of marriage or union may improve fertility estimates based on children ever born (see paragraph 4.247). For the collection of reliable data, some of the topics may require a series of probing questions that, because they are time-consuming, are more suitable for use in sample surveys than in censuses.

4.216. The universe for which data should be collected for each of the topics included in this section consists of women 15 years of age[119] and over regardless of marital status. It is acknowledged that in some countries certain cultural sensitivities (for example, regarding the collection of information on childbearing from never-married women) exist towards collecting information from all women aged 15 years of age and over without regard to marital status. In such cases, every effort should be made to collect the information. In countries that do not use the data for women 50 years of age and over, it may be appropriate to limit data collection to women under the age of 50, allowing more concentrated effort on data collection for such women.

4.217. In addition to the topics indicated above that are used to estimate fertility, another useful topic that allows the estimation of fertility is the "own children" method[120] and birth history reconstruction.[121] The application of these methods requires the identification of the "natural mother" of each child in the household when the natural mother appears in the same questionnaire as the child. In cases where it is difficult to ascertain the identity of the natural mother, one may use as a proxy the relationship to the reference person of the household (see paragraphs 4.129-4.139) or children living (see paragraphs 4.234-4.236) to establish the identity of the natural mother. In essence, information on the child's age and the mother's age are used to estimate a series of annual fertility rates for years prior to the census. The reliability of the estimates produced depends, among other things, on the proportion of mothers enumerated in the same questionnaire as their own children, the accuracy of age reporting for both mothers and their children and the accuracy of available estimates of mortality for women and children. In the case of subnational estimates, the fertility rates may be affected

[119] It may be appropriate in some countries to reduce the lower age limit by several years.

[120] For methodological details, see *Handbook on the Collection of Fertility and Mortality Data*, Studies in Methods, Series F, No.92 (United Nations publication, Sales No. E.03.XVII.11), chapter V, section B, available from http://unstats.un.org/unsd/publication/SeriesF/SeriesF_92E.pdf; United Nations (1983). *Manual X: Indirect Techniques for Demographic Estimation*, Population Studies, No. 81 (United Nations Publication, Sales No. E.83.XIII.2), chapter VIII, section C, available from www.un.org/esa/population/publications/Manual_X/Manual_X.htm; and L-J. Cho, R. D. Retherford and M.K. Choe, *The Own-Children Method of Fertility Estimation* (Honolulu, Population Institute, 1987).

[121] For methodological details, see *Handbook on the Collection of Fertility and Mortality Data*, Studies in Methods, Series F, No. 92 (United Nations publication, Sales No. E.03.XVII.11), chapter V, section C, available from http://unstats.un.org/unsd/publication/SeriesF/SeriesF_92E.pdf; and N.Y. Luther and L-J. Cho, "Reconstruction of Birth Histories from Census and Household Survey Data", *Population Studies* 42 (3) (1988), pp. 451-472.

by migration patterns of mothers who leave their children with other family members while they pursue work elsewhere.

4.218. Mortality topics include infant and child mortality, obtained from data on children ever born and children living, and adult mortality, obtained from household deaths in the past 12 months and maternal or paternal orphanhood. The extent to which mortality (particularly infant and child) can be adequately measured from population census data is largely dependent on the quality of the training of field staff to minimize non-response to questions on maternal and adult mortality and the reporting of erroneous information. Enumerator manuals should include the measures that are needed to minimize such errors. Accurate responses to the questions described here are often difficult to obtain, thus resulting in faulty data. Nevertheless, it is often possible to derive usable adjusted estimates from this information.

4.219. As far as possible, efforts should be made to obtain information on fertility, child mortality (or survival) and marriage directly from the woman or mother involved, because she is more likely to recall correctly the details of her fertility, the mortality of her offspring and her marital experiences than any other member of the household. Information on household deaths, by date, sex and age, in the 12-month period prior to the census should be collected from the head of the household (or household reference person). Information on maternal orphanhood and paternal orphanhood should be collected for each person in the household regardless of age. As with fertility, mortality questions may be limited to a survey sample.

4.220. A number of countries have restricted the collection of data from fertility and mortality questions in the census to a sample of enumeration areas,[122] entailing the introduction of more vigorous training and permitting the selection of more suitable field staff. When those items are included in the census, certain precautions to ensure accuracy and completeness should be observed. As mentioned above, every effort should be made to collect all relevant information directly from the woman concerned. To reduce underreporting of events and to improve the accuracy of responses to questions on fertility and mortality, enumerators need to receive specific training on probing questions that highlight common errors and omissions.

4.221. The limitations of the data collected and of the estimates based on them should be made clear in the census reports. Furthermore, since some of the estimation procedures are only suitable for use in certain circumstances, it is important that census data producers consult specialists or carefully evaluate the methodologies for estimating the indicators for their appropriateness in a given situation. In general, the data in the basic tabulations resulting from these questions should not be used for the direct calculation of fertility and mortality rates. Reliable estimation of fertility and mortality levels using census data requires adjustment based on methods of demographic analysis.[123]

4.222. As a general guide, only one of the items related to fertility discussed below ("children ever born") is recommended for inclusion in all situations. Even in countries with reliable vital registration of births, census information on this topic can be useful for assessing the completeness of the registration system and for estimating levels of lifetime fertility for older cohorts.

4.223. In countries where vital registration of births and deaths is incomplete or unreliable, it is recommended that a subset of the remaining items should be included as well. Among these, one item ("date of birth of last child born alive") is useful for the indirect estimation of current fertility levels. Two additional items ("children living" and "household deaths in the past 12 months") are especially important, as they allow for the indirect estimation of mortality levels.

4.224. The three remaining items have lower priority: "age, date or duration of first marriage/union"; "age of mother at birth of first child born alive"; and "maternal or paternal orphan-

[122] For the use of sampling in the enumeration, see part one, chapter VI.

[123] *Manual X: Indirect Techniques for Demographic Estimation*, Population Studies, No. 81 (United Nations publication, Sales No. E.83.XIII.2); National Academy of Sciences Committee on Population and Demography, *Collecting Data for the Estimation of Fertility and Mortality*, Report No.6 (Washington, D.C., National Academy Press, 1981), p. 220; *Handbook of Population and Housing Censuses*, Part II, Studies in Methods, No. 54 (United Nations publication, Sales No. E.91.XVII.9), chapters III and IV; *Step-by-Step Guide to the Estimation of Child Mortality*, Population Studies, No. 107 (United Nations publication, Sales No. E.89.XIII.9); T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds., *Tools for Demographic Estimation* (Paris: International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org.

hood". However, in situations where a country has included one of these items in consecutive previous censuses, it may be useful to collect comparable information to measure changes over time and because cohort analysis, particularly of the prevalence of orphanhood, can be useful in assessing levels of mortality.

4.225. For countries with low fertility and mortality settings, and where the vital registration is not reliable, further consideration should be given to the item "age of mother at birth of first child born alive", since it improves the timeliness of estimates of child mortality based upon children ever born and children surviving.

4.226. In countries with high adolescent birth rates and common child marriages (with large proportion of women married before age 18), it is recommended that the questions on "age or date of first marriage/union" and "age of mother at birth of first child born alive" are included, since it improves understanding of the spatial distribution of extent of early childbearing and marriage that surveys cannot provide.

4.227. It is worth emphasizing that all estimates of fertility and mortality derived from census data are approximate and subject to various sorts of error. Therefore, in the absence of complete and reliable civil registration data, it may be desirable to have more than one type of census information on each topic (for example, both household deaths in the past 12 months and maternal or paternal orphanhood for the purpose of estimating adult mortality). Lastly, it should also be born in mind that while fertility surveys can provide data on current fertility, they cannot provide the small-area data that the census can. Therefore, a fertility question in the census can still be a priority for many countries.

5.1. Children ever born alive (core topic)

4.228. Information on number of *children born alive* (lifetime fertility) should include all children born alive (that is to say, excluding foetal deaths) during the lifetime of the woman concerned up to the census date. The number recorded should include all live-born children, whether born in or out of marriage, whether born in the present or a prior marriage, or in a de facto union, or whether living or dead at the time of the census. In the event of multiple births (for example twins), each child should be counted as individual birth.

4.229. Data on the total number of live-born children should preferably be collected for all women 15 years of age[124] and over, regardless of marital status. If, from a cultural standpoint, it is not acceptable in some countries to attempt to obtain the information for single women, it should be collected at least for all women 15 years of age and over who are or have been married or in a union (in other words, all ever-married or ever cohabiting women), a group that also includes all widowed, divorced and separated women. In either case, the group of women for whom the data have been collected should be clearly described in the census report so as to avoid ambiguity in the analysis of the results. In some countries, there can be substantial misreporting of ages or dates in the census, which distorts fertility and mortality estimation based on children ever born and children living cross-tabulated by age or years since first birth of the woman.[125]

4.230. In order to improve the completeness of coverage and to assist the respondent in recalling her children ever born alive, it is recommended that a sequence of questions be included in the following order:

(*a*) "total number of sons ever born alive during the lifetime of the woman";

(*b*) "total number of sons living (surviving) at the time of the census"; and

(*c*) "total number of sons born alive who have died before the census date";

and then:

[124] It may be appropriate in some countries to reduce the lower age limit by several years.

[125] The data on children ever born and children surviving at the time of the census become distorted by errors either in the reported number of children ever born and surviving or in the classification of women, in particular age/duration-of-marriage groups. Such distributions (biases) result in gross underestimation of fertility and mortality levels, particularly when data are disaggregated for small geographic areas. See *Handbook on the Collection of Fertility and Mortality Data*, Studies in Methods. Series F, No.92 (United Nations publication, Sales No. E.03.XVII.11), available from http://unstats.un.org/unsd/publication/SeriesF/SeriesF_92E.pdf. For additional methodological details on the uses of the data, see T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds., *Tools for Demographic Estimation* (Paris: International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org.

[126] As indicated in paragraph 2.146, couples living in consensual unions may, where appropriate, be regarded as married.

(*d*) "total number of daughters ever born alive during the lifetime of the woman";

(*e*) "total number of daughters living (surviving) at the time of the census"; and

(*f*) "total number of daughters born alive who have died before the census date".

The responses to topics (*b*), (*c*), (*e*) and (*f*) allow for a checking of the responses to (*a*) and (*d*). Inconsistencies in the figures, if any, can sometimes be resolved during the interview.

4.231. The number of sons and daughters should comprise all children ever born alive whether born of the present or a prior marriage or union[126] and should exclude foetal deaths and adopted children. Also, the number of children, male and female, who are alive at the time of the census should include those living with the mother in the household and those living elsewhere, no matter where the latter may reside and regardless of their age and marital status.

4.232. The collection of data on children ever born specified by sex not only improves accuracy of information but also provides data for indirect estimation of sex differentials in infant and child mortality, in combination with data on children living (surviving) by sex (see paragraph 4.234). If the information on "children ever born alive by sex" is collected for only a sample of women, the data on "children living by sex" should also be obtained for the same sample.

4.233. Collecting data on the "total number of children ever born alive by sex" is desirable as it may improve the value of the information by providing a check on their quality, such as in ascertaining that sex ratios of births follow an expected pattern and do not behave oddly.

5.2. Children living[127] (core topic)

4.234. Data on *children living*, in conjunction with those on children ever born, are used in indirect estimation of infant and child mortality in situations where there are no reliable data from a civil registration.

4.235. It is expected that improved coverage and quality of data on the total number of children ever born will be achieved if more detailed questions about the current residence of children ever born are asked, in terms of the following:

(*a*) "Total number of sons living in the household";

(*b*) "Total number of sons living elsewhere";

(*c*) "Total number of sons born alive who have died before the census date";

(*d*) "Total number of daughters living in the household";

(*e*) "Total number of daughters living elsewhere";

(*f*) "Total number of daughters born alive who have died before the census date".

These questions not only give a more complete and accurate reporting of children ever born alive specified by sex but also increase the questions' suitability for subsequent analysis.

4.236. The identification of the natural mother of each child under 15 years of age in the same household, to be used in the "own children" method of estimating fertility (see paragraph 4.217), should be made by asking each woman who reports one or more of her children as being born alive and living in the household to identify these children in the census questionnaire. The section of the questionnaire on "relationship to the head of the household or to the reference person in the household" may be used for identifying the natural mother of each child living in the household.

[127] For methodological details on the uses of the data, together with data on live-born children, see the publications mentioned in footnote 120.

5.3. Date of birth of last child born alive (core topic)

4.237. Information on date of birth (day, month and year) and sex of the last child born alive is used for estimating current fertility, and data on the sex of the child can also be used to evaluate the sex ratio at birth and to detect potential sex-selective birth omissions, misreporting or coding errors. This information can be useful as a means of deriving both national and subnational fertility estimates. In countries lacking adequate data from civil registration, sample surveys have become a major source of information for estimating national fertility levels, but surveys usually do not permit the derivation of reliable estimates at subnational levels.

4.238. At the data-processing stage, an estimate of the number of live births during the 12 months immediately preceding the census date can be derived from information on "date of birth of last child born alive". For estimating current age-specific fertility rates and other fertility measures, the data provided by this approach are more accurate than information that may have been collected in earlier censuses from a question on the number of births to a woman during the 12 months immediately preceding the census.[128] Information on the date of birth of the last child born alive provides the number of women who had at least one live-born child during the 12-month period, not the number of births during the 12-month period. However, generally only a very small proportion of women will have had more than one child in a year and hence that omission will not significantly affect the fertility estimate derived from it.

[128] The approach to calculating fertility rates from these data is described in T.A. Moultrie, "Evaluation of data on recent fertility from censuses", in *Tools for Demographic Estimation*, T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds. (Paris, International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org/content/evaluation-data-recent-fertility-censuses.

4.239. The information needs to be collected only for women between 15 and 50 years of age who have reported having at least one live birth during their lifetime. Also, the information should be collected for all the marital or union status categories of women for whom data on children ever born by sex (see paragraph 4.228) are collected. If the data on children ever born are collected for a sample of women, information on date of birth for the last child born alive should be collected for the same sample.

4.240. A census question on "date of birth of last child born alive" should always be paired with a simple follow-up question about whether the child is still alive, from which information on deaths of children born in the last 12 months can be rederived (see paragraph 4.244 below), and which yields data that can be used for studying child mortality (see paragraph 4.250).

5.4. Births in the past 12 months

4.241. Births in the past 12 months refers to the total number of children born alive to the woman concerned during the 12 months immediately preceding the census. The topic is more suitable for investigation in a sample survey than in a census.

4.242. Because of errors and omissions commonly encountered in the reporting of live births within a 12-month retrospective period, this topic by itself cannot generally be relied on to generate accurate estimates of current fertility. It is recommended that an estimate of the number of live births during the 12 months immediately preceding the census date be derived from information on "date of birth of last child born alive" (see paragraph 4.238). For estimating current age-specific fertility rates and other fertility measures, the data provided by this approach are more accurate than information that may have been collected in earlier censuses from a question on the number of births to a woman during the 12 months immediately preceding the census.[129] Only if a country's population is characterized by low levels of date numeracy—that is, there is a strong indication of deficient accuracy of the replies—should a direct question on number of births in the last 12 months be asked. In all other cases, the core question on date of last child born alive should be sufficient.

[129] Ibid.

4.243. If the topic needs to be introduced into the census, information should be collected for all the marital status categories of women for whom data on children born alive are collected. In countries in which current births to mothers at ages below 15 years are statistically significant, the age limit for the investigation of current fertility may be lowered to include mothers at appropriate younger ages.

5.5. Deaths among children born in the past 12 months

4.244. Deaths among children born in the past 12 months refers to the number of deaths that occurred among the live births within the 12 months preceding the census reported for the woman concerned. Hence, the topic should be investigated only if live births within this period are also investigated.

4.245. It is recommended that information on the topic be derived from a pair of census questions on "date of birth of last child born alive" and the follow-up question about "whether the child is still alive" (see paragraph 4.240). Although this pair of questions does not produce a valid estimate of the infant mortality rate (since the numerator excludes infant deaths occurring below age 1 in the past 12 months among children born 1-2 years before the census date), it can provide useful information on differences in child survival by age of mother or other socioeconomic characteristics.

4.246. The information needs to be collected only for women for whom at least one live birth during the reference period was reported.

5.6. Age, date or duration of first marriage

4.247. *Date of first marriage* comprises the day, month and year when the first marriage took place. In countries where date of first marriage is difficult to obtain, it is advisable to collect information on age at marriage or on how many years ago the marriage took place (duration of marriage). The information should relate to all types of marriages such as contractual first marriages and de facto unions, customary marriages and religious marriages.

4.248. For women who are widowed, separated or divorced at the time of the census, information on the "date of/age at/number of years since dissolution of first marriage" should be collected. Information on dissolution of first marriage (if pertinent) provides data necessary to calculate "duration of first marriage" as a derived topic at the data-processing stage. In countries in which duration of marriage is reported more reliably than age, tabulations of children ever born by duration of marriage yield better fertility estimates than those based on data on children born alive classified by age of the woman.[130] Data on duration of marriage can be obtained by subtracting the age at marriage from the current age, or directly from the number of years elapsed since the marriage took place.

5.7. Age of mother at birth of (date or time since) first child born alive[131]

4.249. Date of first birth comprises the day, month and year when the woman's first live birth took place. In countries where date of first birth is difficult to obtain, it is advisable to collect information on age of mother at first birth or on how many years ago the first birth took place (time since first birth). In countries in which time since first birth is reported more reliably than age, tabulations of children ever born and children surviving by time since first birth yield more timely child mortality estimates than those based on data on children born alive classified by age of the woman.[132] If the topic is included in the census, information should be obtained for each woman who has had at least one child born alive.

[130] *Manual X: Indirect Techniques for Demographic Estimation*, Population Studies, No. 81 (United Nations Publication, Sales No. E.83.XIII.2), chapter II, section D, available from www.un.org/esa/population/publications/Manual_X/Manual_X.htm; and *Handbook on the Collection of Fertility and Mortality Data*, Studies in Methods Series F, No. 92 (United Nations publication, Sales No. E.03.XVII.11), chapter V, section D, available from http://unstats.un.org/unsd/publication/SeriesF/SeriesF_92E.pdf.

[131] Ibid., chapter II, section B.3.

[132] See K. Hill, "Indirect Estimation of Child Mortality" in *Tools for Demographic Estimation*, T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds. (Paris: International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org/content/indirect-estimation-child-mortality; and J.K. Rajaratnam, , L.N. Tran, A.D. Lopez, and C.J.L. Murray, "Measuring under-Five Mortality: Validation of New Low-Cost Methods, *PLoS Med* 7(4) (2013), available from http://demographicestimation.iussp.org/content/indirect-estimation-child-mortality.

5.8. Household deaths in the past 12 months[133] (core topic)

4.250. Information on household deaths in the past 12 months classified by sex of deceased and age at death is used to estimate the level and pattern of mortality in countries that lack satisfactory continuous death statistics from civil registration. In order for estimation derived from this item to be reliable, it is important that all deaths to household members occurring during the 12 months preceding enumeration be reported as completely and as accurately as possible. Typically, reports of deaths in censuses underestimate the overall number of deaths if only because some deaths result in the disintegration of households so that household survivors, if any, may not report their occurrence (in particular, deaths of persons living alone at the time of death are unlikely to be reported). Nevertheless, provided that there are no serious errors in the reporting of age at death, estimates of completeness of death reporting can be derived via indirect estimation and adequate mortality estimates obtained.[134]

4.251. Ideally, information on mortality should be collected for each household in terms of the *total number of deaths in the 12-month period* prior to the census date. For each deceased person reported, name, age, sex and date (day, month and year) of death should also be collected. Care should be taken to clearly specify the reference period to the respondent so as to avoid errors due to its misinterpretation. For example, a precise reference period could be defined in terms of a festive or historic date for each country.

4.252. When information is collected on household deaths in the previous 12 months (or some other reference period), countries may wish to ask a pair of follow-up questions concerning cause of death. After ascertaining the name, age and sex of the deceased person and date of death, two additional questions could be asked:

(*a*) Was the death due to an accident, violence, homicide or suicide?

(*b*) If the deceased was a woman aged 15[135] to 49, did the death occur while she was pregnant or during childbirth or during the six weeks after the end of pregnancy?

4.253. Data derived from such questions can help to assess trends in levels, and some causes, of adult mortality. At the data-processing stage, reported deaths can be tabulated according to broad categories of cause of death: external, pregnancy-related, other and unknown. Ignoring the "unknown" responses, both external and pregnancy-related deaths can provide valuable information in countries where no other sources of information to systematically obtain causes of death are available. Of course, such information is approximate and must be interpreted with caution after careful evaluation and often adjustment. Nevertheless, using these simple questions should make it possible to derive some useful information about major trends in mortality that are otherwise difficult to obtain.

4.254. There is no universal agreement about the feasibility of collecting reliable cause of death information as part of a population and housing census. More research is needed on both the feasibility and methods of collecting cause of death information as part of a national census.

5.9. Maternal or paternal orphanhood[136]

4.255. Some countries may also wish to collect information on maternal or paternal orphanhood in another attempt to ascertain the level and patterns of mortality in the population. Census data from these two topics are intended for indirect estimation of mortality by sex. Estimates are based on the proportion of persons classified by age whose natural mothers or fathers are still alive at the time of the census.

4.256. For the collection of information on orphanhood, two direct questions should be asked, regardless of whether or not the mother and father are enumerated in the same household, namely:

[133] See *Handbook on the Collection of Fertility and Mortality Data*, Studies in Methods, Series F, No. 92 (United Nations publication, Sales No. E.03.XVII.11), available from http://unstats.un.org/unsd/publication/SeriesF/SeriesF_92E.pdf; *Methods for Estimating Adult Mortality* (United Nations publication ESA/P/WP.175), available from www.un.org/esa/population/techcoop/DemEst/methods_adultmort/methods_adultmort.html; and Rob E. Dorrington, "The Brass Growth Balance Method and the Preston-Coale Method for One Census, and the Generalized Growth Balance Method and Synthetic Extinct Generations Methods Upon the Availability of Deaths from Two Censuses", in *Tools for Demographic Estimation*, T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds. (International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org.

[134] See chapter 4 on methods for data evaluation and adjustment in WHO, *WHO Guidance for Measuring Maternal Mortality from a Census* (Geneva, World Health Organization, 2013), available from http://apps.who.int/iris/bitstream/10665/87982/1/9789241506113_eng.pdf; and T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds., *Tools for Demographic Estimation* (International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org.

[135] It may be appropriate in some countries to reduce the lower age limit by several years.

[136] For methodological details on the uses of the data, see I.M. Timæus, "Indirect estimation of adult mortality from orphanhood" in *Tools for Demographic Estimation*, T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds. (International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org/content/Indirect-adult-mortality-orphanhood);

(*a*) Whether or not the natural mother of the person enumerated in the household is still alive at the time of the census;

(*b*) Whether or not the natural father of the person enumerated in the household is still alive at the time of the census.

The investigation should secure information on biological parents. Thus, care should be taken to exclude adopting and fostering parents. It should be kept in mind, however, that overcounting may occur in the case of parents with more than one surviving child among the respondents, particularly in high fertility societies.

4.257. It is preferable for these questions to be collected from every person in the household regardless of age (not just children under 18, which would otherwise make the information useless for estimating adult mortality). Not only is this important for estimating mortality at older ages, but also for estimating the extent of age exaggeration at the older ages. Whenever the context allows, the date of death should be collected to help to improve knowledge of the timing of death, and in other contexts a simple follow-up question about whether the parent was still alive five years ago can help to narrow down the timing of death and to improve adult mortality measurement for recent years by analysing these data as successive cross-sectional enquiries.[137]

and *Methods for Estimating Adult Mortality* (United Nations publication ESA/P/WP.175), available from www.un.org/esa/population/techcoop/DemEst/methods_adultmort/methods_adultmort.html.

[137] See I.M. Timæus, "Indirect estimation from orphanhood in multiple inquiries", in *Tools for Demographic Estimation*, T.A. Moultrie, R.E. Dorrington, A.G. Hill, K. Hill, I.M. Timæus and B. Zaba, eds. (International Union for the Scientific Study of Population, 2013), available from http://demographicestimation.iussp.org/content/indirect-adult-mortality-orphanhood.

6. Educational characteristics

6.1. Literacy (core topic)

4.258. *Literacy* has historically been defined as the ability both to read and to write, distinguishing between "literate" and "illiterate" people. A literate person is one who can both read and write, with understanding, a short, simple statement on his or her everyday life. An illiterate person is one who cannot, with understanding, both read and write such a statement. Hence, a person capable of reading and writing only figures and his or her own name should be considered illiterate, as should a person who can read but not write as well as one who can read and write only a ritual phrase that has been memorized. However, a more modern understanding referring to literacy as a continuum of skills, levels, domains of application and functionality is now widely accepted.

4.259. The notion of literacy applies to any language insofar as it exists in written form. In multilingual countries, the census questionnaire may also enquire into the languages in which a person can read and write. Such information can be essential for the determination of educational policy. This item would, therefore, be a useful additional subject of enquiry.

4.260. It is preferable that data on literacy be collected for all persons 10 years of age and over. In a number of countries, however, some children may only become literate through school between the ages of 10 and 14 years. The literacy rate for this age group may be misleading. Therefore, in an international comparison of literacy, data on literacy should be tabulated for all persons 15 years of age and over. Where countries collect the data for younger persons, the tabulations on literacy should at least distinguish between persons under 15 years of age and those 15 years of age and over.

4.261. Straightforward operational criteria and instructions for collecting literacy statistics should be clearly established on the basis of the concept given in paragraph 4.258, and applied during census taking.[138] Accordingly, although data on literacy should be collected so as to distinguish between persons who are literate and those who are illiterate, consideration should be given to distinguishing broad levels of literacy skills. Simple questions with response categories that reflect different levels of literacy skills should be used. In addition, since literacy is an applied skill, it needs to be measured in relation to a particular task, such as reading, with understanding, personal letters and newspapers or magazines, or writing a

[138] Depending on the need for small-area data and the circumstances in a country, literacy may best be measured through surveys.

personal letter or message. Respondents may be able to do so easily, with difficulty or not at all, reflecting the different levels of literacy skills. Reading and writing may be measured separately to simplify the questions.

4.262. It would be preferable to use standardized questions, harmonized across countries to ensure comparability. The United Nations Educational, Scientific and Cultural Organization (UNESCO) has developed a reference database of model questions. In addition, UNESCO recommends that literacy tests should be administered in order to verify as well as improve the quality of literacy data. Nevertheless, administering a literacy test to all household members in the course of enumeration may prove impractical and affect participation, therefore limiting the utility of the results. Instead, administering such a test to a sample of respondents may be considered either in the census itself or in a targeted post-enumeration follow-up survey. Some countries have regularly used simple self-assessment questions within a census to provide an indication of literacy rates at the small-area level. An evaluation of the quality of statistics should be provided with census statistics on literacy.

4.263. The collection and tabulation of statistics on literacy during the population census should not be based on any assumed linkages between literacy, school attendance and educational attainment. In operational terms, this means systematically enquiring about the literacy status of each household member irrespective of school attendance or highest grade or level completed.

4.264. The literacy question currently varies across countries and, as a result, the data based on it are not always internationally comparable. Literacy should not be derived as an educational attainment proxy because although the two are related, there are substantial differences. For example, there are numerous cases where people leave school with only partial literacy skills, or lose them because of a lack of practice. Therefore educational attainment is not a good proxy measure of literacy skills.

6.2. School attendance (core topic)

4.265. *School attendance* is defined as regular attendance at any regular accredited educational institution or programme, public or private, for organized learning at any level of education at the time of the census or, if the census is taken during the vacation period, at the end of the school year or during the previous school year. According to the International Standard Classification of Education (ISCED), education is taken to comprise all institutionalized, intentional and planned activities designed to meet learning needs. Instruction in particular skills that is not part of the recognized educational structure of the country (for example, in-service training courses in factories) is not normally considered "school attendance" for census purposes.

4.266. Information on school attendance should, in principle, be collected for persons of all ages. It relates in particular to the population of official school age, which ranges in general from 5 to 29 years of age but can vary from country to country depending on the national education structure. In the case where data collection is extended to cover attendance in pre-primary education or other systematic educational and training programmes organized for adults in productive and service enterprises (such as the in-service training courses mentioned in paragraph 4.265), community-based organizations and other non-educational institutions, the age range may be adjusted as appropriate.

4.267. Data on school attendance should be cross-classified with data on educational attainment, according to the person's current level and grade (see paragraph 4.272). This cross-classification can provide useful information on the correspondence between age and level or grade of educational attainment for persons attending school.

4.268. The issue surrounding the number of out-of-school children has grown in importance within recent decades, particularly within the context of the UNESCO Education for All goal with regard to achieving universal primary education. The target year for Education for All was 2015, and new goals for the post-2015 period were not yet defined at the time this document was prepared. The census offers an opportunity to measure the number of "out-of-school" (reciprocal of attendance) or "ever-in-school" children.

4.269. There is a difference between "attending school" and "enrolled in school", thus results from censuses and administrative data may differ. A child can be enrolled in school but not necessarily be attending. It is recommended that these concepts be clearly defined so that countries can determine which variable they wish to collect via the census.

4.270. It is also recommended that Member States consider the need for internationally harmonized questions in order to measure school attendance and school enrolment.

4.271. For purposes of international comparison, data on school attendance should be presented by the ISCED-P (or ISCED-Programmes) levels listed below, which are used for the classification of education programmes in ISCED 2011. Correspondence between a national education system and ISCED can be established through mapping of national education programmes to the ISCED classification.[139]

[139] The UNESCO Institute for Statistics maintains a database with ISCED mappings at www.uis.unesco.org/ISCED.

ISCED level 0: Early childhood education
ISCED level 1: Primary education
ISCED level 2: Lower secondary education
ISCED level 3: Upper secondary education
ISCED level 4: Post-secondary non-tertiary education
ISCED level 5: Short-cycle tertiary education
ISCED level 6: Bachelor's or equivalent level
ISCED level 7: Master's or equivalent level
ISCED level 8: Doctoral or equivalent level

6.3. Educational attainment (core topic)

4.272. The recommendations on "educational attainment" (see paragraph 4.273) and "educational qualifications" (see paragraph 4.287) make use of categories of the 2011 revision of ISCED, issued by UNESCO.[140] In accordance with national conditions and requirements, many countries can continue to apply national classifications of levels and grades of education and of fields of education in collecting and tabulating statistics from population censuses. Special attention needs to be paid to establishing appropriate level or grade equivalence for persons who have received education under a different or foreign educational system. These national classifications, however, should be able to be converted or mapped to the ISCED 2011 classification system, this typically being achieved during post-census processing.

[140] UNESCO Institute for Statistics, *International Standard Classification of Education: ISCED 2011*, (Montreal, UIS, 2012), available from www.uis.unesco.org/Education/Documents/isced-2011-en.pdf.

4.273. *Educational attainment* is defined as the highest ISCED level successfully completed by an individual. Educational attainment is usually measured with respect to the highest education programme successfully completed, which is typically certified by a recognized qualification. Some countries may also find it useful to present data on educational attainment in terms of the highest grade completed. For international purposes a "grade" is a specific stage of instruction usually covered in the course of an academic year. Information on educational attainment should preferably be collected for all persons 5 years of age and over.

4.274. To produce statistics on educational attainment, a classification is needed that indicates the qualifications certifying the successful completion of primary, secondary and post-secondary education. Since the educational structure may have changed over time, it is necessary to make provisions for persons educated at a time when the national educational system

differed from that in place at the time of the census. In addition to focusing attention on the collection of educational attainment data, enumerator instructions, coding and data processing need to be designed in a way that will take account of any changes in the educational system of a country over the years and of those educated in another country, as well as those educated in the current system.

4.275. Information collected on the highest level of education successfully completed by each individual, typically certified by a recognized qualification, facilitates flexible regrouping of the data according to various kinds of aggregation. Recognized intermediate qualifications are classified at a lower level than the programme itself. Information on intermediate qualifications or on the highest grade completed can be used to distinguish between persons who did and persons who did not complete each level of education.

4.276. For international comparison, data from the population census are needed for all levels of education defined in ISCED. To the extent possible, countries should classify statistics on educational attainment by the individual ISCED-A (or ISCED-Attainment) levels listed below, which are used for the classification of educational attainment in ISCED 2011 (or by their equivalent as set forth according to the national classification of levels of education):

ISCED level 0: Less than primary education

ISCED level 1: Primary education

ISCED level 2: Lower secondary education

ISCED level 3: Upper secondary education

ISCED level 4: Post-secondary non-tertiary education

ISCED level 5: Short-cycle tertiary education

ISCED level 6: Bachelor's or equivalent level

ISCED level 7: Master's or equivalent level

ISCED level 8: Doctoral or equivalent level

4.277. For the classification of educational attainment, ISCED level 0 has a different meaning in ISCED 2011 than for the classification of education programmes (see paragraph 4.271): it means not having successfully completed ISCED level 1. This includes individuals who have never attended an education programme, who have attended some early childhood education (defined as ISCED level 0 in the classification of education programmes), or who have attended some primary education but have not successfully completed ISCED level 1. Any differences between national and international definitions and classifications of education should be explained in the census publications in order to facilitate comparison and analysis.

4.278. Countries could consider asking a question that captures levels of education not successfully completed, should this be of interest to policymakers or other users. This could be in the form of a direct question asking if a person has some education at the relevant level or via a question asking the last grade or year completed from any given level of education.

4.279. Data on school attendance, educational attainment and literacy status should be collected and tabulated separately and independently of each other, without (as elaborated in paragraph 4.263) any assumption of linkages between them.

4.280. In order to ensure continued and improved international comparability of census data by level of education, it is recommended that countries continue to ensure that the educational attainment variable can be mapped into the ISCED 2011 classification. This is typically achieved in post-census processing.

6.4. Field of education and educational qualifications

(a) Field of education and training

4.281. Information on persons by level of education and field of education and training is important for examining the match between the supply and demand for qualified workers with specific specializations within the labour market. It is equally important for planning and regulating the production capacities of different levels, types and branches of educational institutions and training programmes.

4.282. A question on field of education and training needs to be addressed to persons 15 years of age and over who attended at least one grade in secondary education, or who attended other organized educational and training programmes at equivalent levels.

4.283. The ISCED Fields of Education and Training 2013 (ISCED-F 2013) distinguishes between broad fields (two-digit codes), narrow fields (three-digit codes) and detailed fields (four-digit codes) of education and training.[141] The broad fields are listed here:

00 Generic programmes and qualifications
01 Education
02 Arts and humanities
03 Social sciences, journalism and information
04 Business, administration and law
05 Natural sciences, mathematics and statistics
06 Information and communication technologies (ICTs)
07 Engineering, manufacturing and construction
08 Agriculture, forestry, fisheries and veterinary
09 Health and welfare
10 Services
99 Unknown

[141] UNESCO Institute for Statistics, *ISCED Fields of Education and Training 2013 (ISCED-F 2013)* (Montreal, UIS, 2014), available from www.uis.unesco.org/Education/Documents/isced-fields-of-education-training-2013.pdf.

4.284. Countries may wish to consider collecting data on narrow and detailed fields of education and training, not only on the broad fields. For this, countries should make use of the classification and coding of fields of education and training of ISCED.

4.285. Countries coding field of education and training according to a national classification should establish correspondence with ISCED, either through double coding or through conversion from the detailed national classification to ISCED. A problem may arise in identifying the exact fields of education and training of persons with interdisciplinary or multidisciplinary fields of specialization. In these cases it is recommended that countries follow the procedure of identifying the major or principal field of education and training of those with multidisciplinary specialization.

4.286. In order to ensure continued and improved international comparability of census data by field of education and training, it is recommended that the classification structure for the fields of education and training continue to be based on the most recent version of ISCED.

(b) Educational qualifications

4.287. *Educational qualification* is the official confirmation, usually in the form of a document, certifying the successful completion of an education programme or a stage of a programme. Qualifications can be obtained through (*a*) successful completion of a full education programme; (*b*) successful completion of a stage of an education programme (intermediate qualifications); or (*c*) validation of acquired knowledge, skills and competencies, independent of participation in an education programme.

4.288. According to national needs, information on qualifications may be collected from persons who have reached a certain minimum age or level of educational attainment. Such information should refer to the title of the highest certificate, diploma or degree received.

7. Economic characteristics

7.1. Introduction

4.289. Statistics on the economic characteristics of persons are needed from population censuses for many reasons. Information on the productive activities of persons is vital to establish a comprehensive picture of the economic structure of a country, and the work patterns, labour market participation and extent of labour underutilization of its population. This information, when combined with other personal, household and dwelling characteristics collected in the census, enables assessments of the socioeconomic situation of persons and households, which are essential to inform the planning of a wide range of economic and social policies and programmes related to such areas as employment creation, poverty reduction, work-life balance, vocational education and training, provision of social security and other social benefits, gender justice and social inclusion.

4.290. Such statistics can be obtained from other sources, such as household-based surveys or administrative records, but these other sources have certain limitations. Household surveys, especially labour force surveys, are particularly well suited for generating a broad range of statistics on the economic characteristics of the population at aggregate levels, such as national and broad regional groupings. Data obtained from labour force surveys, however, are subject to sampling error and, therefore, rarely provide reliable estimates for small areas, small population groups, or detailed groups of industries and occupations. In contrast, population censuses can provide certain core statistics at the lowest levels of aggregation for such small population groups and for detailed occupation and industry groups. Administrative records may not have the same quality of occupational and industry coding, nor have the same comprehensiveness in population or activity coverage, generally excluding productive activities that are informal or unpaid.

4.291. The population census also provides benchmark information to which statistics from other sources can be related. Population censuses likewise provide the sample frames for most household-based surveys, including labour force surveys. In countries with a limited or infrequent household survey programme, the population census may represent the main or only source of information on the economic characteristics of the population.

4.292. In deciding which topics relating to the economic characteristics of the population to include in the population census, countries will need to assess the existence of other sources of statistics and their complementary uses. The aim should be to cover the core topics needed as benchmark information for the preparation of sample frames, and to provide essential statistics for small areas and small population groups, and for detailed occupation and industry groups, as relevant in the national context.

4.293. International resolutions and guidelines to produce statistics relating to the economic characteristics of the population are adopted by the International Conference of Labour Statisticians and endorsed by the Governing Body of the International Labour Organization.[142] Recommendations on topics amenable for inclusion in population censuses are discussed in general in Box 1. The complete labour statistics standards are available from www.ilo.org /global/statistics-and-databases/standards-and-guidelines/lang--en/index.htm.[143]

[142] See www.ilo.org/stat.

[143] Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Work, Employment and Labour Underutilization* (Geneva, 2013), available from www.ilo.org /global/statistics-and-databases /meetings-and-events /international-conference -of-labour-statisticians/19 /WCMS_230304/lang--en /index.htm.

Box 1.

New international recommendations concerning statistics of work, employment and labour underutilization

In October 2013, the Nineteenth International Conference of Labour Statisticians adopted the *Resolution concerning statistics of work, employment and labour underutilization*.[143] This resolution replaced the previous international recommendations relating to the measurement of the economically active population, employment, unemployment and underemployment dating from 1982 (Thirteenth International Conference of Labour Statisticians) and related guidelines.

These new standards introduced a number of important revisions, among which are a conceptual framework for work statistics consistent with the System of National Accounts; guidelines for separately measuring different forms of work, including a more targeted definition of employment as *work for pay or profit*, and for expanding the range of measures of labour underutilization beyond the traditional unemployment. New terminology was also introduced, as relevant, and terms considered to be out of date, particularly "economically active/inactive", were replaced with "labour force/outside the labour force."

Important elements from the previous standards essential to the internal consistency of the statistics remain unchanged. The refinements to the definition of employment and new measures of labour underutilization may result, however, in breaks in the historical series of statistics of the economically active population, employment, unemployment and underemployment. In particular, productive activities carried out without pay, such as those listed below, are no longer included within the scope of employment:

- Production of goods intended for own final use by the household;
- Unpaid work by apprentices, interns and trainees;
- Organization-based volunteer work;
- Direct volunteering to produce goods for other households.

Participation in these activities is now to be measured separately through the newly defined forms of work: own-use production work, unpaid trainee work and volunteer work, respectively.

Countries are encouraged to develop their statistical system so as to cover work statistics, including statistics on the labour force, based on their specific national needs and resources. In the case of the measures affected by the Nineteenth International Conference of Labour Statisticians *Resolution*, the updated international standards would ideally be implemented over time, in a way that is feasible for national statistical systems. During the transition period it is of utmost importance that the institutions and persons responsible for planning and managing the production of statistics on the economic characteristics of the population develop a strategic and coordinated approach that takes into account all official sources of statistics, including the population census, labour force survey and other household-based surveys and administrative records. Data users will need to be kept well informed of the process, including by widely disseminating the relevant metadata and by maintaining parallel series for a specified period following their implementation.

7.2. Conceptual framework for work statistics

(a) Work

4.294. Measurement of the economic characteristics of the population is based on the conceptual framework for work statistics (see Box 1). In this framework, work is defined for reference purposes as "any activity performed by persons of any sex and age to produce goods or to provide services for use by others or for own use".

4.295. The concept of work is aligned with the general production boundary as defined in the *System of National Accounts 2008* (2008 SNA), enabling full integration between work statis-

tics and production statistics. All work or productive activities are thus included, irrespective of their formal or informal character or the legality of the activity. Excluded are activities that do not involve producing goods or services (for example begging and stealing), self-care (for example personal grooming and hygiene), and activities that cannot be performed by another person on one's own behalf (for example sleeping, learning and activities for own recreation).

4.296. Work can be performed in any kind of economic unit, including market units (for example corporations, quasi-corporations and household unincorporated market enterprises); non-market units (for example government and non-profit institutions serving households); and households that produce goods or services for own final use by the producers.[144]

[144] *System of National Accounts 2008* (United Nations publication, Sales No. E.08.XVII.29).

4.297. The conceptual framework for work statistics identifies five mutually exclusive forms of work for separate measurement (see figure 3):

(*a*) *Own-use production work*, comprising production of goods and services for own final use;

(*b*) *Employment work*, comprising work performed in exchange for pay or profit;

(*c*) *Unpaid trainee work*, comprising work performed for others without pay to acquire workplace experience or skills;

(*d*) *Volunteer work*, comprising non-compulsory work performed for others without pay;

(*e*) *Other work activities*, including unpaid compulsory work performed for others, such as community service and work by prisoners, when ordered by a court or similar authority, and unpaid military or alternative civilian service.

4.298. During a given reference period, persons may engage in one or more forms of work in parallel or consecutively, that is, persons may be employed, volunteering, doing unpaid trainee work or producing for own final use, in any combination.

4.299. To meet different objectives, countries may measure the economic characteristics of the population with respect to their participation in one or in several forms of work. In particular, in the population census, this may include measurement of the following:

(*a*) *Persons in employment* is essential as part of the preparation of labour force statistics that include unemployment and other measures of labour underutilization. It is needed to assess the labour market participation of the population and to classify the population according to their labour force status in a short reference period (see paragraphs 4.307-4.333).

(*b*) *Persons in own-use production of goods* is especially important in countries where particular groups of the population engage in agriculture, fishing or hunting and gathering for own final consumption, including for subsistence (see paragraphs 4.376-4.381), and to enable integration of the population census with the agricultural census (see paragraphs 1.44-1.50).

(*c*) *Persons in unpaid trainee work* may be advisable where unpaid apprenticeships, internships and traineeships may be a main mechanism of labour market entry for particular groups such as youths or for specific occupations such as mechanics or tailors, given their likely overall small size in the country and limited availability of alternative statistical sources.

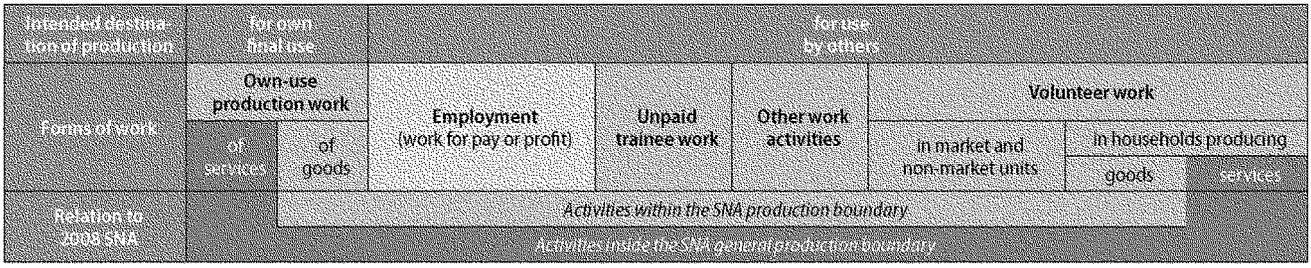
4.300. Given the need for detailed probing, measurement of participation in own-use provision of services, *unpaid trainee work* and *volunteer work* is more appropriate through household surveys or, if desired, through the population census by means of a long form applied to a subset of the population.[145]

[145] Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Work, Employment and Labour Underutilization* (Geneva, 2013), paras. 22(c) and 37-39.

4.301. Additional information may also be collected in the population census in order to classify the population according to their main form of work based on self-declaration, in a short or long reference period.[146]

[146] Ibid, paragraph 17.

Figure 3.
Forms of work and the System of National Accounts 2008



(b) Working time

4.302. The concept of *working time* comprises the time associated with productive or work activities and the arrangement of this time during a specified reference period.[147] Working time relates to each form of work.

[147] Eighteenth International Conference of Labour Statisticians, *Resolution Concerning the Measurement of Working Time*, (Geneva, 2008).

4.303. The number of persons engaged in a given form of work provides only a very rough estimate of the volume of work performed, particularly when the work is performed on a part-time, casual or occasional basis. Information on working time is necessary to prepare estimates of the volume of work or labour input for complete national production accounts. It is also essential to support the design, monitoring and evaluation of economic, social and labour market policies and programmes targeting labour market flexibility, work-life balance and conditions of work, including situations of underemployment due to insufficient working time (that is, time-related underemployment) and of excessive working time.

4.304. The population census can serve to provide information on two measures of working time in particular: hours usually worked and hours actually worked. Where the census is the only available data source it may as a minimum incorporate a single question on hours usually worked for persons in employment (see paragraphs 4.369-4.375) and for persons in own-use production of goods, as relevant (see paragraph 4.381).

(c) Population coverage and age limits

4.305. Information on the economic characteristics of the population should in principle cover the entire population, regardless of country of origin, citizenship or geographic location of their place of work. In practice, a lower age limit is usually set in accordance with the conditions in the country. Where national programmes of statistics on the working-age population or on child labour exist, the statistics derived from the population census will serve to complement those bodies of statistics. For purposes of compiling statistics on the working-age population, international standards recommend that countries set the lower age limit taking into consideration the minimum age for employment and exceptions specified in national laws or regulations, or the age of completion of compulsory schooling.[148] For compiling child labour statistics, the relevant international standards identify the target population as all persons in the 5 to 17 years age group.[149] Countries in which many children participate in employment or in other forms of work, including in agriculture, will need to select a lower minimum age than countries where work of children is uncommon. Census tabulations of economic characteristics should at least distinguish between persons under 15 years of age and those 15 years of age and over.

[148] Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics Of Work, Employment and Labour Underutilization* (Geneva, 2013), para. 65.

[149] Eighteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Child Labour* (Geneva, 2008).

4.306. In general, an upper age limit is not recommended, so as to permit comprehensive coverage of work activities of the adult population and to examine transitions between

employment and retirement. Many people continue to be engaged in employment and in other forms of work beyond retirement age, and the numbers involved are likely to increase as a result of factors associated with the "ageing" of the population. Countries may, however, wish to balance the cost of collecting and processing information relating to the productive activities of older persons (those aged 75 years or more) and the additional response burden imposed on them against the significance and reliability of the information provided.

7.3. Labour force status (core topic)

4.307. A classification of persons by their *labour force* status provides important information about their relation to the labour market, in particular to *work for pay or profit*, in a short reference period.

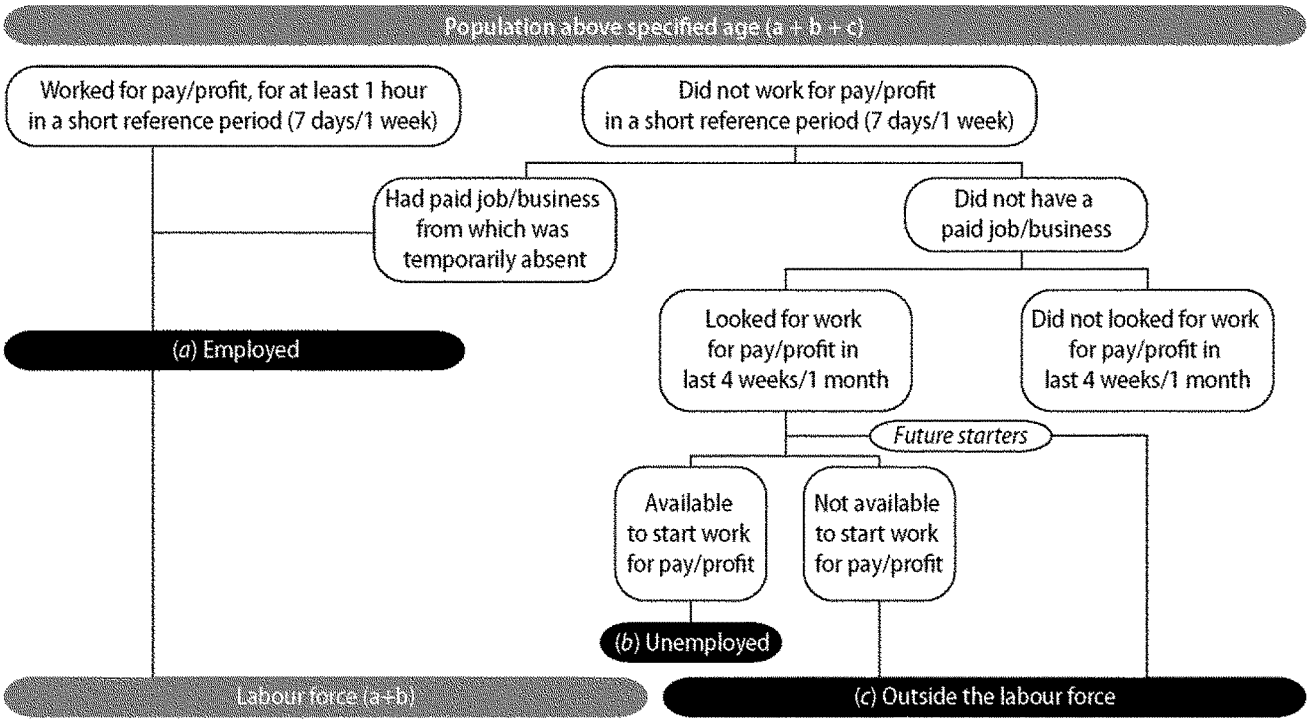
4.308. Persons may be classified in a short reference period according to their *labour force* status as being employed, unemployed, or outside the labour force as defined below in paragraphs 4.312-4.333. The three categories of *labour force status* are mutually exclusive and exhaustive. While even during a short period persons may be engaged in multiple activities, to establish their *labour force status*, priority is given to employment over other forms of work, and over unemployment; and to unemployment over outside the labour force (see figure 4). Thus, a volunteer worker who also has a part-time employee job should be classified as *employed*, a student who is also seeking and available for employment should be classified as *unemployed*, and a person who has a part-time job working only a few hours for pay and who is also seeking another job should be classified as *employed*. The sum of persons in employment plus persons in unemployment comprises the *labour force*.

4.309. The *labour force status* of persons is established with regard to a short reference period of seven days or one week, which may be the last seven days prior to the specified census day, the last completed calendar week or a specified recent fixed week. For comparability purposes, it is particularly useful to apply the same short reference period for the census as for the national labour force survey, if any. This short reference period serves to provide a snapshot picture of labour market participation in the country around the time of the census. As such, the *labour force* (that is, persons in employment plus persons in unemployment) reflects the supply of labour for the production of goods and services in exchange for pay or profit at a specified point in time. Seasonal variations in employment and unemployment levels, which may be significant both in industrialized and in developing economies, will not be captured. Assessments of such temporal variations in work patterns are more adequately captured through sub-annual household surveys (for example monthly, quarterly).

4.310. Depending on the way the relevant parts of the census questionnaire have been constructed, the determination of the labour force status of a person may be influenced by respondents' or enumerators' subjective understanding of the concepts of employment and unemployment. In this regard, particular attention should be given to special groups for which the determination of labour force status may be difficult. These groups include youths, women and older persons after the normal age of retirement, in particular those working as contributing family members. Their participation in employment and job search activities is frequently overlooked and needs close attention. In particular, the common notion that women are generally engaged in homemaking duties, or cultural perceptions relating to gender roles, can result in serious omissions with respect to measuring women's participation in employment and job search activities. To reduce underreporting, enumerators need to be explicitly instructed, or the questionnaires specifically designed, to ask about the possible jobs, including part-time, casual, temporary and informal jobs, or job search activities of every woman and man above the specified age in the household.

4.311. The addition of probing questions in an interview, or more detailed questions in a self-administered questionnaire, may lengthen the time required to complete the questionnaire and increase the cost of the census. Accordingly, it will be necessary to balance the gains in terms of minimizing response errors when such questions are used against the added costs associated with their inclusion. Given the importance of reliable data on labour force status, however, serious consideration should be given to minimizing classification errors. To this end, the training of enumerators should highlight likely sources of omission or gender bias leading to underestimation of participation in employment.

Figure 4.
Classification of working age population by labour force status



(a) Employed persons

4.312. *Employed persons* are all those above the specified age who during a short reference period of seven days or one week were engaged in any activity to produce goods or provide services for pay or profit. The notion "for pay or profit" refers to work done as part of a transaction in exchange for remuneration payable in the form of wages or salaries for time worked or work done or in the form of profits derived through market transactions from the goods and services produced. It includes remuneration in cash or in kind, whether actually received or not, payable directly to the person performing the work or indirectly to a household or family member.

4.313. Two categories of persons in employment are (*a*) employed persons "at work", that is, who worked for pay or profit for at *least* one hour; and (*b*) employed persons "not at work" due to working-time arrangements (such as shift work, flexitime and compensatory leave for overtime) or to "temporary absence" from a job for pay or profit.

4.314. Use of the one-hour criterion serves to ensure coverage of all types of jobs engaged in, including part-time, temporary or casual jobs, thereby supporting identification of all persons

in employment and analysis of their working conditions. This criterion is also essential in order to ensure that unemployed persons refer to those without *any* employment, who are seeking and available for work for pay or profit. Moreover, this criterion is a prerequisite for the consistency of employment statistics with national accounts data on production. When information on working time is also collected (see paragraphs 4.369-4.375), it is recommended that employed persons be classified by specified bands of working time so as to enable identification of persons with both short and excessive working time.

4.315. Persons on "temporary absence" from a job, including as employees or self-employed, should be considered as in employment, provided that they were "not at work" for a short duration and maintained a job attachment during the absence. The existence of a job attachment should be established on the basis of the reason for the absence and, in the case of certain reasons, the continued receipt of remuneration or the total duration of the absence (in general not greater than three months).

(*a*) Reasons for absence where job attachment is generally maintained and thus do not require further probing include sick leave due to own illness or injury (including occupational); public holidays, vacation or annual leave; and periods of maternity or paternity leave as specified by legislation.

(*b*) Reasons for absence requiring further assessment of continued receipt of remuneration or total duration include parental leave, educational leave, care for others, other personal absences, strikes or lockouts, reduction in economic activity (for example temporary lay-off, slack work), disorganization or suspension of work (for example due to bad weather, mechanical, electrical or communication breakdown, problems with ICT, and shortage of raw materials or fuels).

Treatment of specific groups

4.316. According to international standards, the following groups of persons should be classified as in employment:

(*a*) Persons with a job for pay or profit who, during the reference period, were on training or skills enhancement activities required by their job or for another job in the same economic unit;

(*b*) Apprentices, interns or trainees who work for pay in cash or in kind;

(*c*) Persons who work for pay or profit through employment promotion programmes;

(*d*) Persons who work in their own economic units to produce goods intended *mainly* for sale or barter, even if part of the output is consumed by the household or family;

(*e*) Persons with seasonal jobs during the off season, if they continue to perform some tasks and duties of the job, excluding, however, fulfilment of legal or administrative obligations (for example pay taxes);

(*f*) Regular members of the armed forces and persons on military or alternative civilian service who perform this work for pay in cash or in kind.

4.317. Persons who either work in a market unit operated by a family member living in the same or in another household (that is, contributing family workers) or perform tasks or duties of an employee job held by a family member living in the same or in another household should also be classified as in employment. These groups of workers are included in employment, regardless of the number of hours actually worked, as they contribute their labour to produce goods and services for pay or profit, payable to the household or family.

4.318. In accordance with the priority rule to establish their labour force status (see paragraph 4.308), persons who during the reference period were primarily students, homemakers,

pensioners, registered unemployed, or engaged in other forms of work, and at the same time were engaged in employment, as defined above, should be classified as in employment.

4.319. Excluded from employment are:

(*a*) Apprentices, interns and trainees who work *without* pay in cash or in kind (that is, unpaid trainee work);

(*b*) Participants in skills training or retraining schemes within employment promotion programmes, when *not* engaged in the production process of an economic unit;

(*c*) Persons who are required to perform work as a condition of continued receipt of a government social benefit such as unemployment insurance;

(*d*) Persons with seasonal jobs during the off season, if they *cease* to perform the tasks and duties of the job;

(*e*) Persons who retain a right to return to the same economic unit but who were absent for reasons specified in paragraph 4.315(b), when the total duration of the absence exceeds the specified threshold or if the test of receipt of remuneration is not fulfilled;

(*f*) Persons on indefinite lay-off who do not have an assurance of return to employment with the same economic unit;

(*g*) Persons who work to produce goods intended *mainly* or *exclusively* for consumption or use by the household or family, even if a surplus or part of the output is sold or bartered (that is, own-use production of goods, see paragraphs 4.376);

(*h*) Household members who provide *unpaid* services for consumption or use by their household (that is, own-use provision of services);

(*i*) Persons who work voluntarily and *without* pay to produce goods or services through or for other economic units, including market, non-market units and households (that is, volunteer work).

4.320. Information should be given in the census reports describing how the above-mentioned groups and other relevant groups were treated. Consideration should also be given to the desirability of identifying some of the groups (for example paid apprentices, interns and trainees) separately in tabulations.

(b) Unemployed persons

4.321. *Unemployed persons* are all those above the specified age who (*a*) were not in employment, (*b*) carried out activities to seek employment during a specified recent period and (*c*) were currently available to take up employment given a job opportunity.

4.322. To be classified as unemployed, a person must satisfy all of the three criteria, where:

(*a*) "Not in employment" (that is, not engaged in work for pay or profit) is assessed with respect to the short reference period for the measurement of employment as defined in paragraph 4.312.

(*b*) To "seek employment" refers to any activity when carried out, during a specified recent period comprising the last four weeks prior to enumeration or calendar month, for the purpose of finding a job or setting up a business or agricultural undertaking. This includes also part-time, informal, temporary, seasonal or casual employment, paid apprenticeships, internships or traineeships, within the national territory or abroad. Examples of such activities are arranging for financial resources; applying for permits or licences; looking for land, premises, machinery, supplies or farming inputs; seeking the assistance of friends, relatives or other types of intermediaries; registering with or contacting public or private

employment services; applying to employers directly, or checking at worksites, farms, factory gates, markets or other assembly places; placing or answering newspaper or online job advertisements; and placing or updating résumés on professional or social networking sites online.

(*c*) "Currently available" serves as a test of readiness to start a job in the present, assessed with respect to the same short reference period that is used to measure employment. Depending on national circumstances, the reference period may be extended to include a short subsequent period not exceeding two weeks in total, so as to ensure adequate coverage of unemployment situations among different population groups.

4.323. Unemployment has been one of the most widely used measures of labour underutilization. However, it only captures persons in situations of complete lack of work for pay or profit, and where opportunities for job search exist. In circumstances where there are few channels for seeking employment or where labour markets are limited in scope, or when labour absorption is inadequate, unemployment will not capture fully all persons with an unmet need for employment, as persons will take any available jobs, create their own jobs, often as own-account workers, become discouraged, or engage in production of goods for own final use (for example, subsistence agriculture or fishing). Additional measures of underutilized labour include the *potential labour force*,[150] defined in paragraph 4.330, and persons in *time-related underemployment*.[151] Separate identification of these groups of persons supports better assessment of the different types of underutilization affecting labour markets across settings, and for more targeted policymaking.

[150] Replaces the optional relaxation of the "seeking work" criterion in the previous International Conference of Labour Statisticians standards.

[151] See Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Work, Employment and Labour Underutilization* (Geneva, 2013).

4.324. It may be useful to distinguish first-time jobseekers, who have never worked before, from other jobseekers in the classification of the unemployed. Such a separation would be useful for policy purposes as well as in improving the international comparability of employment statistics. To do so, however, may require an additional question regarding previous work experience, which may impose too much of a burden for a population census.

Treatment of specific groups

4.325. Also classified as unemployed according to international standards are:

(*a*) *Future starters*, defined as persons "not in employment" and "currently available" who did not "seek employment" because they had already made arrangements to start a job within a short subsequent period, set according to the general length of waiting time for starting a new job in the national context but generally not greater than three months;

(*b*) Participants in skills training or retraining schemes within employment promotion programmes, who, on that basis, were "not in employment", not "currently available" and did not "seek employment" because they had a job offer to start within a short subsequent period, generally not greater than three months;

(*c*) Persons "not in employment" who carried out activities to migrate abroad in order to work for pay or profit but who were still waiting for the opportunity to leave.

4.326. In accordance with the priority rule to establish their labour force status (see paragraph 4.308), persons who during the reference period were mainly students, homemakers, pensioners, registered unemployed or engaged in forms of work other than employment (for example, own-use production work, volunteer work), and who at the same time were "not in employment", carried out activities to "seek employment" and were "currently available", as defined above, should be classified as in unemployment. Information should be given in the census reports on how persons in these and any other specific groups were treated.

(c) Persons outside the labour force

4.327. *Persons outside the labour force* comprise all those who in the short reference period were neither employed nor unemployed as defined above, including persons below the minimum age specified for the collection of economic characteristics.

4.328. Different classifications of persons outside the labour force may be used for analytical purposes. Particularly useful for informing labour market and social policies and programmes are classifications by degree of labour market attachment and by main reason for not entering the labour force. These alternative classifications can be derived from the same questions used to identify the unemployed and may be used separately or in combination to enable further analysis.

4.329. *Persons outside the labour force* may be classified by the degree of labour market attachment into the following groups:

(*a*) *Unavailable jobseekers*, that is, those "seeking employment" but not "currently available";

(*b*) *Available potential jobseekers*, that is, those not "seeking employment" but "currently available";

(*c*) Willing non-jobseekers, that is, those neither "seeking employment" nor "currently available" but who want employment;

(*d*) *Others*, that is, persons neither "seeking employment" nor "currently available" who do not want employment.

4.330. The classification of persons outside the labour force by degree of labour market attachment allows identification of the *potential labour force*, computed as the sum of (*a*) *unavailable jobseekers* plus (*b*) *available potential jobseekers*. Together with unemployment, the potential labour force is a key measure of labour underutilization, relevant both in more and less developed settings, especially where the conventional means of seeking employment are of limited relevance, where the labour market is largely unorganized or of limited scope, when labour absorption is, at the time, inadequate, or where persons are largely self-employed.

4.331. Although not a part of the potential labour force, the group (*c*) willing non-jobseekers represents another group of persons outside the labour force with an expressed interest in employment and is particularly relevant for social and gender analysis in specific contexts.

4.332. Persons outside the labour force may also be classified by their main activity or reason for not entering the labour market into the following groups. Some persons may be classifiable in more than one category. In such situations, priority should be given to the possible categories in the following order:

(*a*) *Attending an educational institution* refers to persons outside the labour force, who attended any regular educational institution, public or private, for systematic instruction at any level of education, or were on temporary absence from the institution for relevant reasons corresponding to those specified for employed persons "not at work".

(*b*) *Performing unpaid household services* refers to persons outside the labour force engaged in the unpaid provision of services for their own household, such as spouses and other relatives responsible for the care and management of the home, children and older persons. (Domestic and personal services provided by domestic employees working *for pay* in somebody else's home are considered as employed in line with paragraph 4.312 above).

(*c*) *Retiring on pension or capital income* refers to persons outside the labour force who receive income from property or investments, interests, rents, royalties or pensions from former employment.

(*d*) *Other reasons* refers to all persons outside the labour force who do not fall into any of the above categories (for example, children not attending school, those receiving public aid or private support and persons with disabilities).

4.333. Additional reasons for not entering the labour force that are considered particularly important at national or regional level, such as "engaged in own-use production of goods" (for example, foodstuffs from agriculture, fishing, hunting or gathering) should also be taken into account in the classification of population outside the labour force.

7.4. Characteristics of jobs and establishments

4.334. Once the labour force status of persons has been established, additional important topics regarding the labour market participation of the population relate to the characteristics of their jobs and of the establishments in which they work. These include in particular status in employment, occupation, place of work, industry, institutional sector, working time and income.

4.335. A *job* is defined as the set of tasks and duties performed or meant to be performed by one person for a single economic unit. Persons in employment can and do sometimes have more than one job in the reference period. In such cases the main job is defined in the international standards as that with the longest hours usually worked even if the employed person was not at work in the reference period.[152]

[152] Nineteenth International Conference of Labour Statisticians, *Resolution Concerning Statistics of Work, Employment and Labour Underutilization* (Geneva, 2013), para. 12(*b*).

4.336. Job-related characteristics are generally collected in reference to the main job for persons in employment, and may also be collected in reference to the *last main job* (if any) for persons not in employment (that is, unemployed or outside the labour force). This allows for classification of the labour force (that is, employed persons and unemployed persons) and of persons outside the labour force by characteristics of their (last) main job. Once the (last) main job is identified, it is essential that all subsequent questions refer to that same job, even if the respondent was not at work in the reference period. The census questionnaire or the census information taken from registers should be designed in a way that will ensure that the variables "status in employment", "occupation", "industry", and "institutional sector" are measured for the same job. This should be a central concern also for countries that rely on the use of administrative registrations for the capturing of the correct values of these variables.

4.337. The collection of data on characteristics of the *last main job* of unemployed persons, especially occupation, industry and status in employment, may be useful in order to inform policies aimed at promoting employability and job creation. To serve this purpose, it is generally recommended to set a time limit for past employment experience (for example, during the last five or ten years) and only collect information on the characteristics of the last main job if it was held within the time limit.

4.338. When secondary jobs held in the reference period are also identified, the questionnaire should be designed so as to enable clear and separate identification of characteristics relating to main and secondary jobs. Identification of secondary jobs is particularly important in countries where multiple job holding is commonplace, particularly in agriculture, and when collecting information on income from employment and working time, in order to support analysis of the relationship between employment, income and poverty.

7.5. Status in employment (core topic)

4.339. *Status in employment* refers to the type of explicit or implicit contract of employment with other persons or organizations that the employed person has in his or her job. The basic criteria used to define the groups of the classification are the type of economic risk, an element of which is the strength of the attachment between the person and the job, and the type of authority over establishments and other workers that the person has or will have in the job. Care should be taken to ensure that an employed person is classified by status in employment on the basis of the same job used for classifying the person by "occupation", "industry" and "sector".

4.340. For purposes of international comparison, it is recommended that the main job of employed persons be classified by status in employment in accordance with the latest standards for statistics on this topic. At the time the present set of census recommendations was approved, a revision of these standards was under way and expected to be completed by 2018.[153] The latest standard was the International Classification of Status in Employment (ICSE-93) adopted by the Fifteenth International Conference of Labour Statisticians in 1993.[154] Based on ICSE-93, jobs may be classified by status in employment as follows:

(*a*) Employees;

(*b*) Self-employed:

i. Employers;

ii. Own-account workers;

iii. Members of producers' cooperatives;

iv. Contributing family workers;

(*c*) Persons not classifiable by status.

4.341. An *employee* is a person who works in a job where the explicit or implicit contract of employment gives the incumbent a basic remuneration that is independent of the revenue of the unit for which he or she works (this unit can be a corporation, a non-profit institution, a government unit or a household). *Employees* are typically remunerated by wages and salaries, but may be paid by commission from sales, or through piece rates, bonuses or in-kind payment such as food, housing or training. Some or all of the tools, capital equipment, information systems and premises used by the incumbent may be owned by others, and the incumbent may work under the direct supervision of or according to strict guidelines set by the owner or persons in the owner's employment.

4.342. A *self-employed person* is one who works in a job where the remuneration is directly dependent upon the profits (or the potential for profits) derived through market transactions from the goods and services produced. The term "self-employed" refers to all the subcategories under (*b*) in paragraph 4.340: employers; own-account workers; members of producers' cooperatives; and contributing family workers.

4.343. An *employer* is a person who, working on his or her own account or with one or a few partners, holds a self-employment job and, in this capacity, has engaged on a continuous basis (including the reference period) one or more persons to work for him or her as employees. The incumbent makes the operational decisions affecting the enterprise, or delegates such decisions while retaining responsibility for the welfare of the enterprise. Some countries may wish to distinguish among employers according to the number of persons they employ.

4.344. An *own-account worker* is a person who, working on his or her own account or with one or a few partners, holds a self-employment job, and has not engaged any employees on a continuous basis. (Note, however, that during the reference period an own-account worker may have engaged one or more employees on a short-term and non-continuous basis without being thereby classifiable as an employer.) Persons engaged in agriculture (including

[153] Information about the issues that may be addressed in the revision of these standards may be found in Nineteenth International Conference of Labour Statisticians, "Room Document 8", *Revision of the International Classification of Status in Employment (ICSE-93)* (Geneva, 2013).

[154] For more details see Fifteenth International Conference of Labour Statisticians, *Resolution Concerning the International Classification of Status in Employment* (Geneva, 1993).

livestock care), fishing, hunting and gathering, intended mainly for own consumption by their households, are no longer included in employment on the sole basis of that activity and should therefore not be considered as "own-account workers". Instead, participation in these productive activities is to be measured through the separate concept of "own-use production of goods" (see paragraphs 4.376-4.381).

4.345. A *member of a producers' cooperative* is a person who holds a self-employment job in an establishment organized as a cooperative, in which each member takes part on an equal footing with other members in determining the organization of production, sales or other work, investments and the distribution of proceeds among the members. Note that employees of producers' cooperatives are not to be classified as in this group but should be classified as "employees".

4.346. A *contributing family worker* is a person who holds a self-employment job in a market-oriented establishment operated by a related person living in the same or in another household, and who cannot be regarded as a partner (that is to say, an employer or own-account worker) because the degree of his or her commitment to the operation of the establishment, in terms of working time or other factors to be determined by national circumstances, is not at a level comparable with that of the head of the establishment. Where it is customary for young persons, in particular, to work without pay in a market-oriented enterprise operated by a related person who does not live in the same household, the requirement that the person lives in the same household may be relaxed.

4.347. *Persons not classifiable by status* include those persons with jobs about which insufficient information is available, or who cannot be included in any of the preceding categories (for example, persons assisting with the tasks or duties of an employee job held by a family member living in the same or in another household).

4.348. When members of the armed forces paid in cash or in kind are counted among the employed, they should be included in the category of employees. However, because of the wide range of national practices in the treatment of the armed forces, it is recommended that census tabulations and related notes provide an explicit indication of the status in employment category in which they are included.

4.349. There are several groups of workers that are on the margin between employee and self-employed, such as owner-managers of incorporated enterprises (see following paragraph), outworkers, contract workers and commission workers.[155] Consultations between national accountants and labour market analysts will be necessary to make decisions about the treatment of these groups in a consistent manner, and depending on the descriptive and analytical purposes of the statistics.

[155] For a discussion of the treatment of these groups, see Fifteenth International Conference of Labour Statisticians, *Resolution Concerning the International Classification of Status in Employment* (Geneva, 1993); and Nineteenth International Conference of Labour Statisticians, "Room Document 8", *Revision of the International Classification of Status in Employment (ICSE-93)* (Geneva, 2013).

4.350. *Owner-managers of incorporated enterprises* are workers who hold a job in an incorporated enterprise in which they (*a*) alone, or together with other members of their families or one or a few partners, hold controlling ownership of the enterprise; and (*b*) have the authority to act on its behalf as regards contracts with other organizations and the hiring and dismissal of employees, subject only to national legislation regulating such matters and the rules established by the board of the enterprise.

4.351. In most census questionnaires, the information concerning status in employment will be captured through precoded alternatives where only a few words can be used to convey the intended meaning of each category. This may mean that classification of some of the situations on the borderline between two or more categories will be carried out according to the subjective understanding of the respondent rather than according to the intended distinctions. This should be kept in mind in designing the questionnaire and also when presenting the resulting statistics. Countries that rely on the direct use of administrative records for the classification of persons according to status in employment may find that the group "contributing family workers" cannot be separately identified. Those who would have been classified

as being in this group when using a questionnaire may either be classified as part of one of the other groups or excluded from persons in employment.

7.6. Occupation (core topic)

4.352. *Occupation* refers to the type of work done in a job by the person employed (or the type of work done in the last job held, if the person is unemployed), irrespective of the industry or the status in employment in which the person's job should be classified. Type of work is considered in terms of the main tasks and duties performed in the job.

4.353. For purposes of international comparison, it is recommended that countries make it possible to prepare tabulations involving occupations in accordance with the latest revision available of the International Standard Classification of Occupations (ISCO). At the time the present set of census recommendations was approved, the latest revision was the one adopted by a Tripartite Meeting of Experts in Labour Statistics in 2007 and endorsed by the Governing Body of the International Labour Organization in 2008[156] and generally known as ISCO-08. Countries coding occupation according to a national standard classification should establish a correspondence with ISCO either through double coding or through mapping from the detailed groups of the national classification to ISCO.

[156] "Structure", "Group Definitions" and "Correspondence Tables", *International Standard Classification of Occupations (ISCO-08)*, vol. 1 (Geneva, International Labour Office, 2012).

4.354. Countries should code the collected occupational responses at the lowest possible level of ISCO or a related national classification supported by the information given in each response. In order to facilitate detailed and accurate coding, it would be useful for the census questionnaire to ask each employed person for both the occupational title and a brief description of the main tasks and duties performed on the job. Information provided in response to the industry questions (see following section) may also be used to assist in the coding of occupation data, where the occupation response on its own is insufficient to assign a detailed occupation classification code.

4.355. In preparation for the coding of the occupation responses, the organization responsible for the census should prepare a coding index reflecting the type of responses that will be given by the respondents. The coding index should be constructed by occupational classification experts on the basis of responses to similar questions in other data collections, such as previous censuses, census tests and labour force surveys, as well as input from job placement officers of the employment service and the content of newspaper advertisements of vacant jobs. The coding index should clearly distinguish between responses belonging to "not elsewhere classified" categories and responses that do not provide enough information to determine an occupational group.

7.7. Industry (core topic)

4.356. *Industry* (branch of economic activity) refers to the kind of production or activity of the establishment or similar unit in which the job(s) of the employed or unemployed person was located during the time reference period established for data collection on economic characteristics.[157]

[157] For those persons who are recruited and employed by one enterprise but who actually work at the place of another enterprise (called *agency workers* or *seconded workers* in some countries), there would be user interest in gathering information about the industry of the employer as well as the industry of the place of work. However, the collection of both would be more appropriate in a labour force survey rather than in a population census. The industry of the actual place of work may provide more reliable reporting of the "industry" variable in a population census. Any such choice should, however, be consistent with the treatment of this group in the *System of National Accounts*.

4.357. For purposes of international comparison, it is recommended that countries compile information on industry according to the most recent revision of the International Standard Industrial Classification of All Economic Activities (ISIC) available at the time of the census. At the time this present set of census recommendations was approved, the fourth edition of ISIC, adopted by the United Nations Statistical Commission at its thirty-seventh session in 2006, was the latest revision available. Countries coding industry according to a national standard classification should establish correspondence with ISIC either through double coding or through mapping from the detailed groups of the national classification to ISIC.

4.358. Countries should code the collected industry responses at the lowest possible level of ISIC or a related national classification supported by the information given in each response. In order to facilitate detailed and accurate coding, for each job to be coded, the census questionnaire should ask for the main products and services produced or the main functions carried out at the establishment or enterprise in which the person was employed. It is recommended that the name and address of the establishment should also be collected (see also paragraph 4.363). Countries with business registers that are complete and up to date can then use this response as a link to the register in order to obtain the industry code given to the establishment.

4.359. In preparation for the coding of the industry responses that cannot be matched to a precoded register, the organization responsible for the census should create a coding index that reflects the type of responses that will be given on the census questionnaire. This coding index should be constructed by industry classification experts on the basis of available lists of enterprises, establishments, businesses and so forth, as well as from responses to similar questions in other data collections, including previous censuses, census tests and labour force surveys. The coding index should clearly distinguish between responses belonging to "not elsewhere classified" categories and responses that do not provide enough information to allow for the coding of a detailed industry group.

7.8. Place of work

4.360. Two main topics related to the place of work of persons in employment are the *type of workplace* and its *geographic location*. The type of workplace refers to the nature of the place where the person performed his or her *main job* and distinguishes between the home and other workplaces, whether fixed or otherwise.

4.361. Three main categories, or a variation thereof necessitated by national circumstances, are recommended for classifying the *type of workplace*:

(*a*) *Work at home.* This category includes those who perform the tasks and duties of their main job from within the home, such as farmers who work and live on their farms, homeworkers, self-employed persons operating (work)shops or offices inside their own homes, and persons working and living at work camps.

(*b*) *No fixed place of work.* This category should be restricted to persons who, in performing the tasks and duties of their main job, travel in different areas and who do not report daily in person to a fixed address as a work base, for example, travelling salespersons, long-distance commercial vehicle drivers, seafarers, fishers and own-account taxi drivers. It also includes ambulant vendors, operators of street or market stalls that are removed at the end of the workday, construction workers working at different sites during the reference period and push-cart operators.

(*c*) *With a fixed place of work outside the home.* All other persons in employment should be included in this category, including persons who move around in their job but have a fixed-base location to which they report daily, such as bus and taxi drivers (with a base), train and airline staff, and operators of street and market stalls that are not removed at the end of each workday. This group may also include individuals who travel to work, on a regular basis, across the national border to a neighbouring country.

4.362. It is likely that for some jobs, performance is at more than one location (for example, at home some of the time or season and in a fixed location outside the home at other times) or the category cannot be clearly distinguished. One approach, in the case of the former, would be to select the place where the individual spends or spent a major part of his or her working time. Where the distinction between categories is blurred, as is the case for work done, for example, on a rented plot of land adjacent to one's home, it would be useful to identify borderline cases,

according to national circumstances. Specific instructions should be given to the enumerators on how to select between two or three possible responses to classify borderline cases.

4.363. The *geographic location* of the place of work can provide useful information for planning when used together with information on place of residence. To this end, countries may collect, for employed persons with a fixed place of work outside the home, information on the location of the place of work (or the reporting place) during the reference period. The information collected should relate to the smallest civil division in which the job is performed, for example, in order to establish commuter flows from the place of residence to the place of work. Some countries investigating this topic in the population census have recorded the actual address of the place of work, allowing detailed tabulations and mapping of place of residence by geographic location of place of work. Information on actual address of the place of work can also be useful for industry coding (see paragraph 4.358) in countries where a business register has been developed that shows the industry code of each recorded establishment.

4.364. In some countries there may be concerns about the sensitivity of questions on the address of place of work owing to fears that there may be follow-up to a respondent's employer. In many developing countries, it may not be possible to gather information on actual address of place of work because street addresses do not exist, and for proxy responses, the address may not be known. In those situations, it would be useful to consider collecting information on the village, suburb, or similar low level of geography.

4.365. Additional questions may also be asked on the method of travel to work in order to produce statistics on travel-to-work patterns, valuable as basis for transportation planning.

7.9. Institutional sector of employment

4.366. The *institutional sector of employment* relates to the legal organization and principal functions, behaviour and objectives of the enterprise with which a job is associated.

4.367. Following the definitions provided in the *System of National Accounts*, distinction should be made between the following institutional sectors:

(*a*) *Corporation*, comprising non-financial and financial corporations (in other words incorporated enterprises, private and public companies, joint stock companies, limited liability companies, registered cooperatives, limited liability partnerships, and so forth) and quasi-corporations (that is to say, an unincorporated enterprise that is managed as if it were a corporation, in that a complete set of accounts is kept), as well as non-profit institutions, such as hospitals, schools and colleges that charge fees to cover their current production costs;

(*b*) *General government*, comprising central, state and local government units together with social security funds imposed or controlled by those units, and non-profit institutions engaged in non-market production controlled and financed by government, or by social security funds;

(*c*) *Non-profit institutions serving households* (for example, churches, professional societies, sports and cultural clubs, charitable institutions and aid agencies) that provide non-market goods and services for households (that is to say, free or at prices that are not economically significant) and whose main resources are from voluntary contributions;

(*d*) *Households* (including unincorporated enterprises owned by households) comprising unincorporated enterprises directly owned and controlled by members of private and institutional households (made up of persons staying in hospitals, retirement homes, convents, prisons and so forth, for long periods of time), either individually or in partnership with others. Partners may be members of the same household or from different households.

4.368. In most census questionnaires, the information concerning institutional sector of employment will be captured through precoded alternatives where only a few words can be used to convey the intended meaning of each category. This may mean that classification of some units on the borderline between two or more categories will be carried out according to the subjective understanding of the respondent rather than according to the intended distinctions. This should be kept in mind when presenting the resulting statistics.

7.10. Working time

4.369. The number of employed persons provides only a very rough estimate of the volume of work performed, especially when such persons have non-standard working hours. Inclusion in the census of an item on time worked helps to ensure a more accurate measurement of the concept by capturing the full contribution of persons who were in and out of the workforce or who worked only for a brief time during the year.

4.370. To provide a comprehensive measure of working time in employment that will best inform policy and analytical needs, it may be preferable to collect information about the total hours worked in all jobs rather than to limit the information to hours worked in the main job.

4.371. Information on two distinct concepts of working time can be collected in a population census: *hours actually worked* and *hours usually worked*.

4.372. *Hours actually worked* is defined as the time spent in a job for the performance of activities that contribute to the production of goods and/or services during a specified reference period. It covers the time spent in "direct hours", in "related hours", "down time" and short "resting time". "Direct hours" is the time spent carrying out the tasks and duties of the job—and may be performed in any location. "Related hours", while not leading directly to goods produced or services provided, is the time spent maintaining, facilitating or enhancing productive activities, including upkeep of the workplace, changing time or decontamination of work clothes, purchasing or transporting materials, waiting for business, customers or patients, on-call duties, travelling between work locations, and work training or skills enhancement required by the economic unit. In practice, "down time" includes unavoidable, temporary interruptions to work (for example machinery or Internet breakdown, lack of supplies). "Resting time" is inactive time for short rest or refreshment in the course of performing job-related activities, (for example coffee breaks). Longer breaks for meals, time spent not working because of vacation, holidays, sickness, industrial disputes, etc., commuting to work (if not also performing job tasks or duties) and educational leave even if paid, are excluded from hours actually worked.

4.373. Measurement of hours actually worked in employment, in the context of the population census, is usually collected using one direct question; it is optimally measured using a set of questions, requesting hours separately for each day of the week. For employed persons not at work in the short reference period, it is possible to have a value for hours actually worked of zero (for persons away on leave) or reduced (if a part of the reference period was taken off for sickness, holiday, or other purpose).

4.374. *Hours usually worked* is defined as the typical value of the hours actually worked in a job per short reference period (for example one week) over a long observation period (month, quarter, season, year) that comprises the short reference period itself. This "typical value" of time worked during a normal or typical week may be the modal number of the hours actually worked in the short period as distributed over the long period. This would include overtime hours regularly worked whether paid or unpaid. Days and hours not usually worked and unusual periods of overtime are not included.

4.375. Measurement of hours usually worked in employment relating to the short reference period of one week can be done with one direct question: how many hours do you usually

work per week (in your main job or in all jobs)? For persons with more than one job during the reference week, to record both working time in the main job (for which the other descriptive variables are collected) and total working time (sum of working time in all jobs) the questionnaire would require at minimum two questions.

7.11. Participation in own use production of goods (core topic)

4.376. Countries where production of goods for own final use (such as foodstuffs from agriculture, fishing, hunting and gathering, water, firewood and other household goods) represents an important component of the livelihood of a part of the population, whether as a main or secondary activity, will need to consider collecting information in the population census on the number of persons engaged in this form of work (previously included within the concept of employment). Such information is essential for benchmarking purposes, especially where household surveys are not frequent, for comprehensive sectoral analysis, particularly of work in agriculture, forestry and fishing, and to enable integration of the population census with the agricultural census (see also paragraphs 4.387-4.396).

4.377. *Persons in own-use production of goods* are all those above the specified age who, during a specified reference period, performed "any activity" to produce goods for own final use. The notion "for own final use" is interpreted as production where the intended destination of the output is *mainly* for final use by the producer in the form of capital formation, or final consumption by household members, or by family members living in other households.

4.378. According to international standards, "any activity" to produce goods (within the *2008 System of National Accounts* production boundary) covers work performed for at least one hour in the following activities, when the intended destination of the output is mainly for own final use, as specified above:

(*a*) Producing and/or processing for storage agricultural, fishing, hunting and gathering products;

(*b*) Collecting and/or processing for storage mining and forestry products, including firewood and other fuels;

(*c*) Fetching water from natural and other sources;

(*d*) Manufacturing household goods (such as furniture, textiles, clothing, footwear, pottery or other durables, including boats and canoes);

(*e*) Building, or effecting major repairs to, one's own dwelling, farm buildings, etc.

4.379. For measurement purposes, the intended destination of the output is established in reference to the specific goods produced, based on self-declaration (that is, mainly for own final use). In the case of goods from agriculture, fishing, hunting or gathering intended mainly for own consumption, a part or surplus may nevertheless be sold or bartered.

4.380. Persons may engage in own-use production of goods as a main or secondary activity, throughout the year or on a seasonal basis. To ensure complete coverage, the census questions on participation in own-use production of goods should be applied to all persons above the specified age for collecting information on the economic characteristics of the population, irrespective of their labour force status. The reference period may refer to the last 12 months, calendar year, agricultural year or season, as relevant to national circumstances. Where pertinent, the choice of reference period should promote coherence with the agricultural census (see also paragraphs 1.44-1.50).

4.381. For assessments of the volume of work performed by persons in own-use production of goods, particularly when using a long reference period, it may be useful to include a question on working time, in particular hours usually worked (see paragraph 4.374), or based on broad categories such as part time or full time, part year or full year, number of months, as feasible and relevant to the main uses of the statistics.

7.12. Income

4.382. Countries may wish to collect information on the amounts of income received by individual persons or households during a specified reference period, from any source. If this topic is included in the census, it is recommended that data be obtained for all persons above a specified age, whether they are employed or not. Income may be measured at the household level, or for each individual in the household.

4.383. *Income* may be defined as all receipts whether monetary or in kind (goods and services) that are received by the household or by individual members of the household at annual or more frequent intervals, but excluding windfall gains and other such irregular and typically one-time receipts. Household income covers (*a*) income from employment (both paid and self-employment); (*b*) income from the production of goods for own final use; (*c*) income from the provision of household services for own final use; (*d*) property income; and (*e*) current transfers received.[158]

[158] Seventeenth International Conference of Labour Statisticians, *Resolution Concerning Household Income and Expenditure Statistics* (Geneva, 2003), paras. 4-5, available from www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/normativeinstrument/wcms_087503.pdf.

4.384. The collection of reliable data on income, especially income from self-employment and property income, is extremely difficult in general field enquiries, particularly population censuses. The inclusion of non-cash income further compounds the difficulties. Collection of household income data in a census, even when confined to cash income, presents special problems in terms of burden of work, response errors, and so forth. Therefore, this topic is generally considered more suitable in a sample survey of households or from administrative data sources such as tax or social security records. Depending on the national requirements, countries may nonetheless wish to obtain limited information on personal or household income, by covering only some of the income components (such as income from employment), for shorter reference period (such as one month), and cover only cash income. As thus defined, the information collected can provide some input into statistics that have many important uses.

4.385. According to international standards on the subject, the income from employment of employed persons should include wages and salaries of employees, income of members from producers' cooperatives and the mixed income of employers and own-account workers operating business and unincorporated enterprises. In addition to the income from employment of employed household members, the total income of the household should include, for example, the interest, dividends, rent, social security benefits, pensions and life insurance annuity benefits of all its members. The Handbook on household income statistics[159] provides further guidance on concepts and methods related to this topic.

[159] *Canberra Group Handbook on Household Income Statistics*, 2nd ed. (2011), available from www.unece.org/fileadmin/DAM/stats/groups/cgh/Canbera_Handbook_2011_WEB.pdf.

4.386. The concepts involved in determining income are not simple to grasp and respondents may be unable or unwilling to provide exact information. For example, income should include social security benefits, pension fund contributions and direct taxes withheld from employees' salaries, but some persons will undoubtedly not include these amounts in reporting their salaries. Significant items of total household income may also be excluded or misstated. Despite instructions given to enumerators, the data collected can therefore only be expected to be approximate. Accordingly, in the presentation of results it is usually appropriate to use broad income or earnings size classes. As an aid to the interpretation of the results, tabulations of the data should be accompanied by a description of the items of income assumed to be included and, if possible, an estimate of the accuracy of the figures.

8. Agriculture

8.1. Introduction

4.387. In this section two non-core topics on agriculture are presented. These two alternative topics could be considered by countries that would like to collect information in their

population census that would facilitate the preparation of the frame of agricultural holdings in the household sector, for a subsequent agricultural census (see also paragraph 1.44-1.50).

4.388. With the first topic, at the household level, information is collected on whether any member of the household is engaged in own-account agricultural production activities at their place of usual residence or elsewhere. This information can be restricted to limited key items or may include a more comprehensive agricultural module. With the second topic, at the individual person level, information is collected to identify persons involved in agricultural activities during a long reference period such as a year before the census, in contrast to most of the topics included in a population census for which the information generally relates to the shorter reference period of a week before the census.

8.2. Own-account agriculture production

4.389. Some countries may want to use the population census to identify households engaged in own-account agricultural production. This information is useful for agriculture-related analysis of the population census and for use as a frame for a subsequent agricultural census or other surveys. In this case, information should be collected for all households on whether any member of the household is engaged in any form of own-account agricultural production activities.

4.390. Where possible, information should be collected to identify whether the household is engaged in any form of own-account agricultural production, covering the main agricultural activities important to the country (which can include crops, livestock and related activities). Information may also be collected on forestry, fishery and aquaculture activities in case they are important for a country. Additional information should also be collected giving a measure of farm size—such as the area or number of plots used for agricultural purposes. Countries wishing to collect more comprehensive agricultural data may wish to include an agriculture module with the core data items recommended by the *FAO World Programme for the Census of Agriculture 2020* (WCA 2020) and the *FAO/UNFPA Guidelines for Linking Population and Housing Censuses with Agricultural Censuses* (FAO and UNFPA, 2012).

4.391. Where aquacultural production is important at the household level, information can also be collected on whether or not any member of the household is engaged in any form of own-account aquacultural production activities.

4.392. Agricultural production activities refer to groups 011, 012, 013, 014 and 015 of ISIC (Rev. 4.0), namely:

Group 011: Growing of non-perennial crops
Group 012: Growing of perennial crops
Group 013: Plant propagation
Group 014: Animal production
Group 015: Mixed farming.

Aquacultural production activities refer to group 032 of ISIC (Rev. 4.0), namely:

Group 032: Aquaculture

8.3. Characteristics of all agricultural activities during the last year

4.393. The population census normally collects information about a person's main job or work activity during a short reference period, which may not cover all persons working in agriculture because of the seasonality of many agricultural activities and because agriculture may not be the main activity of the person. To overcome this problem, information should be collected on all persons that carried out agricultural activities during the year preceding the population census day. The information to be collected should include the occupation and status of employment of all agricultural jobs, and could be expanded to cover working

time and whether the job was performed as a main or secondary activity. Given the newly adopted conceptual framework for work statistics, information should also be collected on participation in own-use production of agricultural goods, particularly in countries where subsistence agriculture is practised by part of the population (see paragraphs 4.376-4.381).

4.394. Information on occupation and status in employment of all agricultural jobs (main and secondary), and on participation in own-use production of agricultural goods, can be used as an alternative way to facilitate identification of households engaged in own-account agricultural production activities (see paragraphs 4.389-4.392). Status in employment and participation in own-use production of agricultural goods could be used to distinguish between households that are engaged in own-account agricultural production activities and households with members engaged in agricultural activities only as paid employees, which would not qualify them as households with own-account agricultural production.

4.395. Where aquacultural production is important in a country, similar information on occupation and status in employment of all aquacultural jobs, and on participation in own-use production of aquacultural goods, during the year preceding the population census day can also be included. The information to be collected could be expanded, as required, to include working time and whether the job was performed as a main or secondary activity.

4.396. An agricultural job or work activity is defined as a job or work activity in the agricultural industry as defined by groups 011, 012, 013, 014 and 015 of ISIC (Rev. 4.0); namely:

Group 011: Growing of non-perennial crops
Group 012: Growing of perennial crops
Group 013: Plant propagation
Group 014: Animal production
Group 015: Mixed farming.

An aquacultural job or work activity is defined as a job or work activity in the aquacultural industry as defined by group 032: Aquaculture of ISIC (Rev. 4.0).

II. Housing census topics

A. Factors determining the selection of topics

4.397. In line with the overall approach to revision 3 of *Principles and Recommendations for Population and Housing Censuses*, the selection of housing census topics, as with the population topics described in chapter I, is based on the outputs expected to be produced. Therefore, the first step involves the clear identification of expected outputs; the core and additional topics are then decided on that basis. It is recommended that countries collect data on the core topics and also produce the recommended tabulations, as this would improve the international harmonization and comparability of statistics through the use of common concepts, definitions and classifications. Use of an agreed-upon international approach would also enhance the capacity of countries to generate statistics for monitoring the socioeconomic situation of their populations, including for the provision of data for the internationally agreed-upon development goals.

4.398. Also with reference to the selection of topics to be included in a housing census, limiting statistical enquiries to the collection of data that can be processed and published within a reasonable period of time was deemed important. Such cautions are especially applicable to a housing census, since it is customary to conduct housing and population censuses as simultaneous or consecutive operations. There is a high probability that the number of data required

from a census may be beyond the capacity of enumerators to collect or census agencies to process. It may be sufficient in some developing countries, for example, to ascertain only the number of housing units and other sets of living quarters of various types, the number and characteristics of the occupants thereof and the availability of a water supply system.

4.399. In this context, countries should not attempt to collect housing data that are so incomplete that they fail to serve the principal purposes for which they are required. It is important, therefore, for census takers to consult closely with the principal users at an early planning stage in order to identify the data that are of highest priority and the means of supplying them in the most useful formats.

4.400. The topics, therefore, to be covered in a housing census (that is to say, the subjects regarding which information is to be collected for living quarters, households and buildings) should be based on a balanced consideration of:

(*a*) The needs of the broad range of data users in the country at both the national and local area level (national priority);

(*b*) The achievement of the maximum degree of international comparability, both within regions and on a worldwide basis (international comparability);

(*c*) The sensitivity of the topics and respondent burden, that is, the willingness and ability of the public to give accurate information on the topics (suitability);

(*d*) The technical competence of the enumerators in regard to obtaining information on the topics (suitability);

(*e*) The total national resources available for conducting the census (resources);

(*f*) The availability of relevant information held in alternative data sources (alternative sources).

4.401. Such a balanced consideration will need to take into account the advantages and limitations of alternative methods of obtaining data on a given topic within the context of an integrated national programme for gathering housing statistics.

4.402. In selecting housing topics, regard should be given to the usefulness of historical continuity, which provides the opportunity for measuring changes over time. Census takers should avoid, however, collecting information that is no longer required. Information should not be collected simply because it was collected in the past. It becomes necessary, therefore, to review periodically the value of even long-standing topics and to re-evaluate the need for their continued collection.

4.403. In selecting the housing topics, regard should also be given to the usefulness of historical continuity, which provides the opportunity for comparison of changes over a period of time. Census takers should avoid, however, collecting information that is no longer required by users. Information should not be collected simply because it was traditionally collected in the past, bearing in mind changes in the socioeconomic and housing circumstances of the country. It becomes necessary, therefore, in consultation with a broad range of users of census data, to review periodically the value of even long-standing topics and to re-evaluate the need for their continued collection, particularly in the light of new data needs and alternative data sources that may have become available for investigating topics hitherto covered in the population and housing census. Each of five key factors that need to be taken into account in reaching a final decision on census content are briefly reviewed in the following paragraphs.

1. National priority

4.404. The priority of designing a housing census should be to meet national needs. Should there be any conflict between such national needs and regional or global recommendations, national needs should take precedence, followed by regional recommendations and finally by global recommendations. The prime consideration is that the census should provide information on those topics that are of greatest value to the country, with questions framed so as to elicit data of maximum utility.

4.405. Each country's decision with regard to the topics to be covered should depend upon a balanced appraisal of how urgently the data are needed and whether the information could be equally well or better obtained from other sources. Experience has shown that national needs will best be served if the census includes topics generally recognized as being of basic value and defined in accordance with regional and global standards. Global and regional census recommendations can help in this appraisal by providing information about standard census topics and related definitions and concepts based on a wide range of national census experience. It is recognized however that counties that rely more on administrative records as their prime data source may be more limited in the precise detail of the information that can be collected on particular topics.

4.406. Many countries may find it necessary to include in the census topics of national or local interest in addition to the topics included in these recommendations. Housing survey data may supplement census data so as to obtain information on topics that cannot be included in the census for whatever reason. It is possible that some countries may omit from the census certain recommended topics because there is not a need to collect the data. For example, a particular amenity, such as electricity or toilet facilities, might be available virtually everywhere in a country, and, consequently, there may be no need to collect such information in a census at all. Conversely, some topics may not be included in a census because of the almost total absence of certain amenities, particularly in the rural areas of some developing countries.

4.407. In all cases, the importance of involving stakeholders in the process of identifying priorities and policy needs has to be taken into consideration early in the process of designing the housing census. The topics that are of particular interest to policymakers need to be carefully assessed in terms of applicability, reliability of data and census limitations (number of questions, and so forth). More detailed information on involvement of stakeholders is presented in part two in chapter VIII, on "User consultation, communication and publicity" (paragraphs 2.98-2.113), and also in the *Handbook on Census Management for Population and Housing Censuses*.[160]

[160] United Nations publication, Sales No. E.00XVII.15 Rev.1.

2. International comparability

4.408. The desirability of achieving regional and worldwide comparability should be another major consideration in the selection and formulation of topics to be included in the census. National and international objectives are usually compatible, since broad studies of countries' experiences and practices are the basis of international recommendations.

4.409. If particular circumstances within a country necessitate a departure from international standards, every effort should be made to explain these departures in the census publications and to indicate how the national presentation can be adapted to the international standards.

3. Suitability

4.410. A prerequisite for the inclusion of housing topics in the census should be the willingness and ability of respondents to provide accurate information on them. It is advisable to

avoid topics that could increase the burden on respondents and those that are likely to arouse fear, local prejudice or superstition or which might be used to deliberately promote political or sectarian causes, as these are likely to have a detrimental effect on response rates and support of the census. In an interview-based census or where the collector needs to obtain information through observation, consideration needs also to be given to the level of knowledge and skill of the interviewer or collector and whether they can be adequately trained to collect this information accurately. Topics that are too complicated or difficult for the average respondent or enumerator to answer quickly should also not be included. The exact phrasing of a question that will obtain the most reliable responses may depend on national circumstances and, as described in part three, should be well tested prior to the census (see paragraph 3.28).

4. Resources

4.411. The selection of topics should be carefully considered in relation to the total resources available for the census. An efficient collection of accurate data for a limited number of topics, followed by prompt tabulation and publication, is more useful than the collection of data for an overambitious list of topics that cannot be properly processed and disseminated. In balancing the need for data against resources available, the extent to which questions can be precoded is yet another consideration. This may be an important factor in determining whether or not it is economically feasible to include certain topics in the census.

5. Alternative sources

4.412. In the selection of topics to be investigated in a housing census, consideration should be given to whether data are available from other sources, taking into account the relative advantages and limitations of the alternative sources. Those topics for which no alternative sources exist should be given higher priority while those for which alternative sources are readily available should be accorded lower priority.

B. List of topics

4.413. The units of enumeration for housing censuses are buildings, living quarters, households and occupants. The building is often an indirect but important unit of enumeration for housing censuses since the information concerning the building (building type, material of construction of external walls and certain other characteristics) is required to describe properly the living quarters located within the building and for the formulation of housing programmes. In a housing census, the questions on building characteristics are normally framed in terms of the building in which sets of living quarters being enumerated are located, and the information is recorded for each of the housing units or other sets of living quarters located within it.

4.414. The principal direct enumeration unit in a housing census is the living quarters. Only by recognizing this as such can data be obtained that will provide a meaningful description of the housing situation and a suitable basis for the formulation of housing programmes.

4.415. The second direct unit of enumeration is the households occupying the living quarters. For each household, it is often useful to collect information on the characteristics of the head or reference person, tenure in the housing unit, and other relevant characteristics.

4.416. The final units of enumeration are the occupants within households. However, the detailed characteristics of each individual household member are collected in a population census and are covered in chapter I.

4.417. The list presented below is based on the global and regional census experience of the last several decades. The topics included are those on which there is considerable agreement on their importance and feasibility for inclusion in a census for the purpose of measuring and evaluating housing conditions and formulating housing programmes. Those that are likely to present difficulties and require time-consuming questioning can probably best be investigated in a separate housing survey of a sample of living quarters.

4.418. Core topics are those of common interest and value to countries and also of importance in enabling comprehensive comparison of statistics at the international level. Other topics refer to data that need to be collected in order to meet the additional requirements of national users.

4.419. It should be emphasized that the topics or variables on housing contained herein are for tabulation and production of outputs as this is the overall orientation of these guidelines. Issues that pertain to data collection are addressed in other parts of the *Principles and Recommendations for Population and Housing Censuses* and other relevant United Nations handbooks.

Table 4.
Housing census topics by unit of enumeration

Legend: ♦ Core topic, collected directly (displayed in bold); □ Core topic, derived; ○ Additional topic

No.	Topic	Living quarters: Housing unit	Collective living quarters	Building	Household
1	**Living quarters—type of** (paras. 4.421- 4.462)	□	♦		
2	**Location of living quarters** (paras. 4.463- 4.470)	□	♦	□	□
3	**Occupancy status** (paras. 4.471- 4.475)	♦			
4	**Ownership—type of** (paras. 4.476- 4.481)	♦			
5	**Rooms—number of** (paras. 4.482- 4.484)	♦			□
6	Bedrooms—number of (paras. 4.485- 4.486)	○			○
7	Useful floor space—(paras. 4.487- 4.489)	○	○		○
8	**Water supply system** (paras. 4.490- 4.493)	♦	○		□
9	**Drinking water—main source of** (paras. 4.494- 4.495)	♦	○		□
10	**Toilet—type of** (paras. 4.496- 4.499)	♦	○		□
11	**Sewage disposal** (para. 4.500)	♦			□
12	**Solid waste disposal—main type of** (paras. 4.501- 4.502)	♦			□
13	**Bathing facilities** (paras. 4.503- 4.505)	♦	○		□
14	**Kitchen—availability of** (paras. 4.506- 4.509)	♦	○		□
15	**Fuel used for cooking** (para. 4.510)	♦			□
16	**Lighting and/or electricity—type of** (paras. 4.511- 4.512)	♦	○		□
17	Heating—type and energy used (paras. 4.513- 4.514)	○			○
18	Hot water—availability of (para. 4.515)	○			○
19	Piped gas—availability of (para. 4.516)	○			○
20	Use of housing unit (paras. 4.517- 4.518)	○			○
21	**Occupancy by one or more households** (paras. 4.519- 4.523)	□			♦
22	**Occupants—number of** (paras. 4.524- 4.525)	♦	♦		□
23	**Building—type of** (paras. 4.526-4.534)			♦	
24	Year or period of construction (paras. 4.535- 4.539)	○		○	
25	Dwellings in the building—number of (para. 4.540)	○		○	
26	Position of dwelling in the building (paras. 4.541- 4.543)			○	

No.	Topic	Living quarters: Housing unit	Collective living quarters	Building	Household
27	Accessibility to dwelling (para. 4.544)	○			
28	**Construction material of outer walls** (paras. 4.545- 4.547)	♦		♦	
29	Construction material of floor and roof (para. 4.548)	○		○	
30	Elevator—availability of (paras. 4.549- 4.550)	○		○	
31	Farm building (para. 4.551)	○		○	
32	State of repair (paras. 4.552- 4.553)	○		○	
33	**Age and sex of the reference person of the household** (paras. 4.554- 4.555)				
34	**Tenure** (paras. 4.556- 4.559)				
35	Rental and housing costs (paras. 4.560- 4.562)				
36	Furnished/unfurnished (para. 4.563)	○			○
37	**ICT devices—availability of** (paras. 4.564- 4.571)				○
38	Cars—number of available (para. 4.572)				○
39	Durable household appliances—availability of (para. 4.573)				○
40	Outdoor space—access to (para. 4.574)				○

C. Definitions and specifications of topics

4.420. Paragraphs 4.421-4.574 below contain the recommended definitions. It is important that census data be accompanied by the definitions used in carrying out the census. It is also important that any changes in definitions that might have been made since the previous census be indicated and, if possible, accompanied by estimates of the effect of such changes on the relevant data. In this way, users will not confuse valid changes over time with increases or decreases that have occurred as the result of changed definitions.

1. Living quarters—type of (core topic)

1.1. Definition of living quarters

4.421. *Living quarters* are structurally separate and independent places of abode. They (*a*) may have been constructed, built, converted or arranged for human habitation, provided that they are not at the time of the census used wholly for other purposes and that, in the case of non-conventional housing units and collective living quarters, they are occupied at the time of the census; or (*b*) though not intended for habitation, were in use for such a purpose at the time of the census.

4.422. In any census with a field enumeration, instructions should be issued to field staff so that it is clearly understood at what stage of completion living quarters should be in order to be included. Living quarters being demolished or awaiting demolition should normally be excluded. The system used should be consistent with that employed for the system of current housing statistics and should avoid double counting where construction statistics are used to bring the census data up to date. Special instructions will need to be issued concerning "core dwellings" in countries where these are provided within a preliminary phase of dwelling construction (see paragraphs 4.438-4.441).

1.2. Classification of living quarters

4.423. Living quarters are either housing units or collective living quarters. Normally, the collection of information concerning buildings and housing units located within buildings

is of prime importance in a housing census, since it is in buildings and housing units that the majority of the population permanently lives. Furthermore, housing units are intended for occupancy, or are occupied, by households, and it is with the provision of accommodation for households that housing programmes and policies are mainly concerned. However, certain types of "collective living quarters" are also of significance with respect to the housing conditions of households; these include hotels, rooming houses and other lodging houses and camps occupied by households. Housing units should be classified so as to distinguish conventional dwellings from other types of housing units. It should be emphasized that without an adequate classification of living quarters, no meaningful analysis of housing conditions based on housing census data is possible.

4.424. The classification outlined below (see also figure 5) and a system of three-digit codes have been designed to group in broad classes housing units and collective living quarters with similar structural characteristics. The distribution of occupants (population) among the various groups provides valuable information about the housing accommodation available at the time of the census. The classification also affords a useful basis of stratification for sample surveys. Living quarters may be classified into the following categories:

1. Housing units
   - 1.1. Conventional dwellings
     - 1.1.1. Has all basic facilities
     - 1.1.2. Does not have all basic facilities
   - 1.2. Other housing units
     - 1.2.1. Semi-permanent housing units
     - 1.2.2. Mobile housing units
     - 1.2.3. Informal housing units
     - 1.2.4. Housing units in permanent buildings not intended for human habitation
     - 1.2.5. Other premises not intended for human habitation
2. Collective living quarters
   - 2.1. Hotels, rooming houses and other lodging houses
   - 2.2. Institutions
     - 2.2.1. Hospitals
     - 2.2.2. Correctional institutions (prisons, penitentiaries)
     - 2.2.3. Military institutions
     - 2.2.4. Religious institutions (monasteries, convents, and so forth)
     - 2.2.5. Retirement homes, homes for older persons
     - 2.2.6. Student dormitories and similar
     - 2.2.7. Staff quarters (for example, hostels and nurses' homes)
     - 2.2.8. Orphanages
     - 2.2.9. Other
   - 2.3. Camps and workers' quarters
     - 2.3.1. Military camps
     - 2.3.2. Worker camps
     - 2.3.3. Refugee camps
     - 2.3.4. Camps for internally displaced people
     - 2.3.5. Other
   - 2.4. Other

4.425. Not all the categories in the above classification are of importance under all circumstances. For example, in some countries certain categories may not need to be considered separately, while in others it may be convenient to subdivide them. However, some of the

categories are of special significance for assessing the housing situation and should be distinguished even where a simplified classification is employed. The distinction between conventional and informal housing units is referred to particularly.

1.3. Definitions of each type of living quarters

4.426. A description of the categories listed in paragraph 4.424 is given below.

1.4. Housing units

4.427. A *housing unit* is a separate and independent place of abode intended for habitation by a single household, or one not intended for habitation but occupied as living quarters by a household at the time of the census. Thus it may be an occupied or vacant dwelling, an occupied non-conventional housing unit or any other place occupied as living quarters by a household at the time of the census. This category includes housing of various levels of permanency and acceptability and therefore requires further classification in order to provide for a meaningful assessment of housing conditions.

4.428. The essential features of housing units are separateness and independence. An enclosure may be considered separate if surrounded by walls, fences, and so forth, whether or not covered by a roof, so that a person or group of persons can isolate themselves from other persons in the community for the purposes of sleeping, preparing and taking their meals, and protecting themselves from the hazards of climate and environment. Such an enclosure may be considered independent when it has direct access from the street or from a public or communal staircase, passage, gallery or grounds, in other words, when the occupants can come in and go out of their living quarters without passing through anybody else's premises.

4.429. Attached rooms having an independent entrance, or detached rooms for habitation that clearly have been built or rebuilt or converted for use as part of living quarters, should be counted as part of the living quarters. Thus, living quarters may comprise rooms or groups of rooms with independent entrances, or separate buildings.

4.430. It should be noted that housing units on the grounds or within the buildings housing an institution, camp, and so forth should be separately identified and counted as housing units. For example, if, on the grounds of a hospital, there is a separate and independent house intended for the habitation of the director and his or her family, the house should be counted as a housing unit. In the same way, self-contained apartments located in hotel buildings should be counted as housing units if they have direct access to the street or to a common space within the building. Similar cases will need to be identified and described in the instructions for the enumeration.

(a) Conventional dwellings

4.431. A "conventional dwelling" is a room or suite of rooms and its accessories in a permanent building or structurally separated part thereof, which, by the way it has been built, rebuilt or converted, is intended for habitation by one household and is not, at the time of the census, used wholly for other purposes. It should have a separate access to a street (direct or via a garden or grounds) or to a common space within the building (staircase, passage, gallery and so on). Therefore, there are four essential features of a conventional dwelling:

(*a*) It is a room or suite of rooms;

(*b*) It is located in a permanent building;

(*c*) It has separate access to a street or to a common space;

(*d*) It was intended to be occupied by one household.

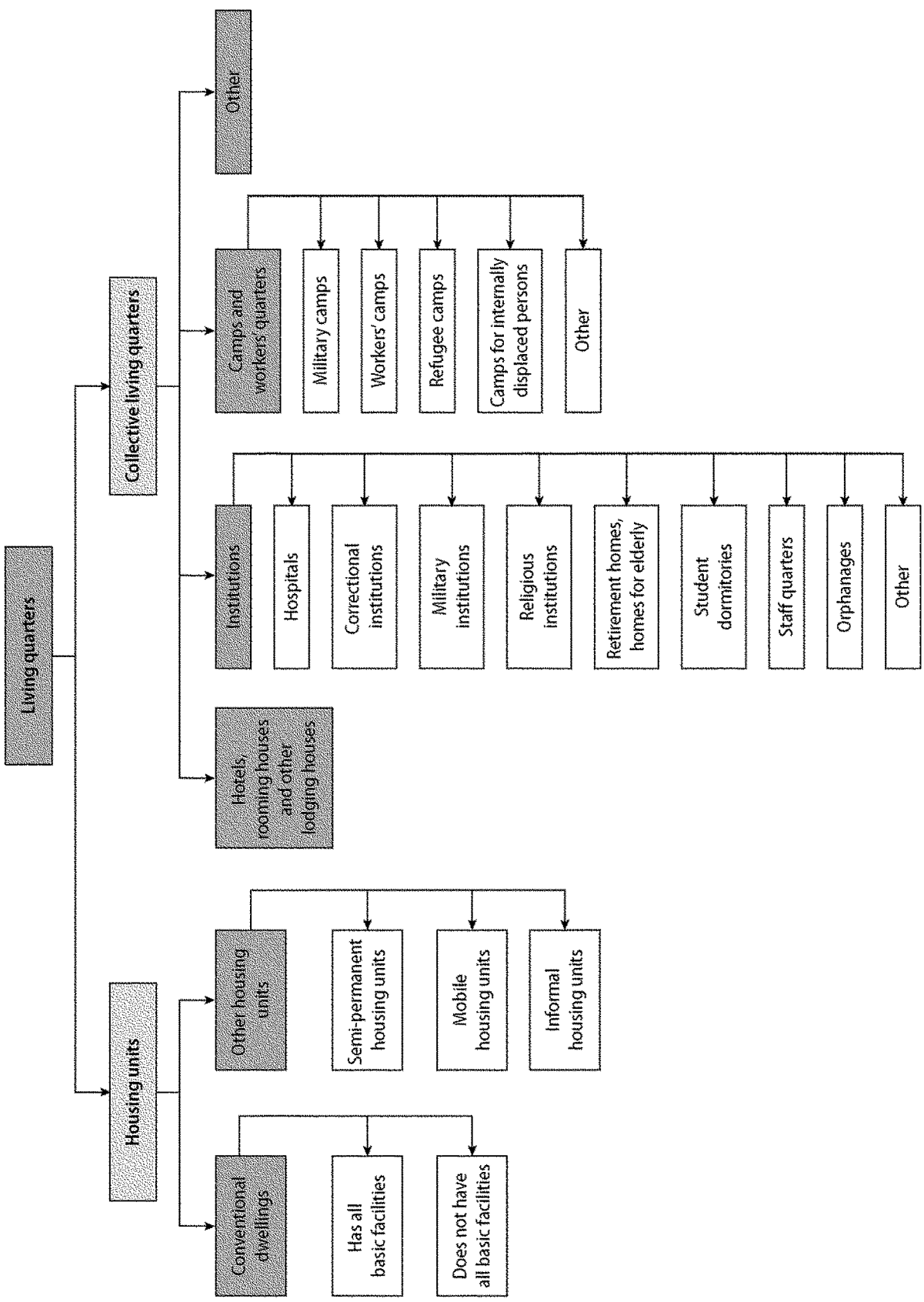


Figure 5.
Classification of living quarters

4.432. Examples of conventional dwellings are houses, flats, suites of rooms and apartments. Although a conventional dwelling is a housing unit intended, that is to say, constructed or converted, for habitation by one household, it may, at the time of the census, be vacant or occupied by one or more households. It may be noted that the terms dwelling, dwelling unit, dwelling house, residential dwelling unit, family dwelling, house, *logement, vivienda, unidad de vivienda* and so forth have been used indiscriminately to refer to housing units of any type. The referent of the term "dwelling" is here limited to a housing unit located in a permanent building and designed for occupancy by one household.

4.433. A "permanent building" is understood to be a structure that is not intended to be moved and that may be expected to maintain its stability for 15 years or more, depending on the way countries define durability. It is recognized that the criterion of permanency or durability (particularly with respect to the significance of materials and methods of construction) may be difficult to apply either in the field or from information held in administrative records and that its adaptation to local conditions would require considerable study and experimentation by the national offices. In some cases, it may be of greater significance nationally to apply the criteria of construction materials and methods of construction directly in order to establish whether or not the building containing the housing unit is of permanent construction, rather than to translate these criteria into a time period.

i. Conventional dwelling—has all basic facilities

4.434. A conventional dwelling that has all basic facilities refers to a unit that meets all the needs of the household within its confines, such as protection from elements, cooking and maintaining hygiene. Thus, in addition to the four essential features of a conventional dwelling described in paragraph 2.431, all of the following facilities must be available for a dwelling to fall in this category:

(*a*) Piped water within dwelling;

(*b*) Toilet within dwelling;

(*c*) Fixed bath or shower within dwelling;

(*d*) Kitchen or other space for cooking within dwelling.

ii. Conventional dwelling—does not have all basic facilities

4.435. The conventional dwellings that fall in this category are dwellings that have the essential features of a conventional dwelling (see paragraph 4.431) and some, but not all, of the basic facilities described in paragraph 4.434.

4.436. With increased urbanization, the need for building low-cost housing units within the city limit has been increasing in many countries. This housing most frequently consists of buildings containing a number of separate rooms whose occupants share some or all facilities (bathing, toilet or cooking facilities). Those units do not meet all the criteria of a conventional dwelling with all basic facilities available within the dwelling, especially from the point of view of maintaining health standards and privacy. For example, these units are known as *casa de palomar* in Latin America.

(b) Other housing units

i. Semi-permanent housing unit

4.437. The term "semi-permanent housing unit" refers to a structure that, by the way it has been built, is not expected to maintain its durability for as long a period of time as a conventional dwelling, but has some of the main features and facilities of a conventional dwelling. As discussed earlier, durability needs to be specifically defined on the basis of national standards

and practices. The number of these units in some countries and areas may be substantial. Semi-permanent housing is not to be confused with informal housing units.

4.438. For example, in some countries "core" or "nuclear" dwellings around which a dwelling will eventually be constructed are provided as part of the housing programmes. In others, a significant proportion of the housing inventory is composed of dwellings that are constructed of locally available raw materials and may be less durable than conventional dwellings.

4.439. Many countries with insufficient resources to meet their housing needs have attempted to alleviate the housing conditions of the population living in squatter areas by providing core or nuclear dwellings. Under these programmes, the households move their improvised shacks from the squatter area to a new location, the idea being that gradually, and generally with government assistance, the households with core or nuclear dwellings will keep adding to the nucleus until they can abandon their shacks entirely.

4.440. A core dwelling is sometimes only a sanitary unit containing bathing and toilet facilities, to which may be added, in subsequent phases, the other elements that will finally make up the completed dwelling. Such units do not fall within the definition of a conventional dwelling. However, although the household obviously continues to occupy its original shelter (which would probably be classified as an "improvised housing unit"), its housing situation is a vast improvement over that of households remaining in the squatter areas, and the provision of the cores is a significant step towards the alleviation of housing shortages.

4.441. The problem is thus one of reflecting in the statistics the improvements brought about by programmes such as those described above without distorting the data that refer to fully constructed conventional dwellings. It is recommended, therefore, that core dwellings should be counted as dwellings in the census if at least one room[161] in addition to the sanitary facilities, is completed, and also that those dwellings that have not reached this stage of completion should be recorded as cores. Arrangements should be made so that the facilities available in the core can be related during data processing to the households for whose use they have been provided.

[161] For the definition of *room*, see paragraph 2.482.

4.442. In other countries and areas, the population has developed, over time, a traditional and typical type of housing unit that does not have all the characteristics of conventional dwellings but is considered somewhat suitable from the point of view of climate and tradition. This is especially the case in many tropical and subtropical rural areas where housing units have been constructed or built with locally available raw materials such as bamboo, palm, straw or any similar materials. Such units often have mud walls, thatched roofs and so forth, and may be expected to last only for a limited time (from a few months to several years), although occasionally they may last for longer periods. This category is intended to cover housing units that are typical and traditional in many tropical rural areas. Such units may be known, for example, as *cabins*, *ranchos* or *bohíos* (Latin America), *barastis* (Bahrain), or *bahay kubo* (the Philippines).

ii. Mobile housing units

4.443. A "mobile housing unit" is any type of living accommodation that has been produced to be transported (such as a tent) or is a moving unit (such as a ship, boat, barge, vessel, railroad car, caravan, trailer or yacht) occupied as living quarters at the time of the census. Trailers and tents used as permanent living quarters may be of special interest in some countries.

4.444. Although mobile housing units are significantly different from other housing units in that they can be readily moved or transported, mobility in itself is not necessarily an indicator of low quality. For the assessment of housing conditions in countries with a substantial number of mobile units, it may be useful to classify them further as tents, wagons, boats, trailers or other unit types.

iii. Informal housing units

4.445. The term "informal housing unit" refers to a unit that does not have many of the features of a conventional dwelling and is generally characterized as unfit for human habitation, but that is used for that purpose at the time of the census. Therefore, it is neither a permanent structure nor one equipped with any of the essential facilities. Depending on national circumstances, countries should develop detailed instructions to distinguish between informal and semi-temporary housing units.

4.446. Informal housing units comprise three subgroups: "improvised housing units", "housing units in permanent buildings not intended for human habitation" and "other informal housing units". These units are characterized by the fact that they are either makeshift shelters constructed of waste materials and generally considered unfit for habitation (squatters' huts, for example) or places that are not intended for human habitation although in use for that purpose at the time of the census (barns, warehouses, natural shelters and so on). Under almost all circumstances, such places of abode represent unacceptable housing and they may be usefully grouped together in order to analyse the housing conditions of the population and to estimate housing needs. Each subgroup is defined below.

Improvised housing units

4.447. An improvised housing unit is an independent, makeshift shelter or structure, built of waste materials and without a predetermined plan for the purpose of habitation by one household, which is being used as living quarters at the time of the census. Included in this category are squatters' huts, *poblaciones callampas* (Chile), *bongos* (Peru), *favelas* (Brazil), *sarifas* (Iraq), *barong barong* (the Philippines) and any similar premises arranged and used as living quarters, though they may not comply with generally accepted standards for habitation, and may not have many of the characteristics of conventional dwellings. This type of housing unit is usually found in urban and suburban areas, particularly at the peripheries of the principal cities.

4.448. There is a wide variation in the procedures and criteria used in classifying these units. There are many borderline cases, and countries will need to make decisions and issue detailed instruction on how to enumerate and classify such housing units.

Housing units in permanent buildings not intended for human habitation

4.449. Included in this category are housing units (in permanent buildings) that have not been built, constructed, converted or arranged for human habitation but that are actually in use as living quarters at the time of the census. These include housing units in stables, barns, mills, garages, warehouses, offices, booths and so forth.

4.450. This category may also cover units and their occupants in buildings initially built for human habitation but later abandoned with all services cut because of deterioration. These dilapidated buildings can be found, especially in large cities, still standing, although marked for demolition. They should be included in this category if inhabited.

4.451. Premises that have been converted for human habitation, although not initially designed or constructed for this purpose, should not be included in this category, but classified as "other informal housing units".

Other informal housing units

4.452. This category refers to living quarters that are not intended for human habitation or located in permanent buildings but that are nevertheless being used as living quarters at the time of the census. Caves and other natural shelters fall within this category.

1.5. Collective living quarters

4.453. *Collective living quarters* include structurally separate and independent places of abode intended for habitation by large groups of individuals or several households and occupied at the time of the census. Such quarters usually have certain common facilities, such as cooking and toilet installations, baths, lounge rooms or dormitories, which are shared by the occupants. They may be further classified into hotels, rooming houses and other lodging houses, institutions and camps.

4.454. Housing units on the grounds or within the building housing an institution, camp, hotel and so forth should be separately identified and counted as housing units.

4.455. The criteria established for the identification of collective living quarters are not always easy to apply, and it is sometimes difficult for an enumerator to decide whether living quarters should be classified as a housing unit or not. This is particularly true in the case of a building occupied by a number of households. Enumerators should be given clear instructions as to when the premises occupied by a group of people living together are to be considered a housing unit and when collective living quarters. This may be less of a problem where census information is collected from administrative data sources and where such buildings are registered as being for communal living.

(a) Hotels, rooming houses and other lodging houses

4.456. This group comprises permanent structures that provide lodging on a fee basis and in which the number of borders or lodgers exceeds five.[162] Where there are less than five, the living quarters should be classified as a housing unit. Hotels, motels, inns, boarding houses, pensions, lodging houses and similar structures fall within this category. If there is any accommodation within a hotel or similar establishment that is occupied by a household and which fulfils the requirement of a conventional dwelling it should be classified as such.

[162] The threshold of five lodgers is the one most used. However, depending on national circumstances, this number might be adjusted accordingly.

(b) Institutions

4.457. This group covers any set of premises in a permanent structure or structures designed to house (usually large) groups of persons who are bound by either a common public objective or a common personal interest. Such sets of living quarters usually have certain common facilities shared by the occupants (for example baths, lounges and dormitories). Hospitals, military barracks, boarding schools, convents, prisons and so forth fall within this category (see the categories in paragraph 4.424).

4.458. It may be useful, depending on national needs, to require that an institution be used as the principle usual residence of at least one person at the time of the census.

(c) Camps

4.459. Camps are sets of premises originally intended for the temporary accommodation of persons with common activities or interests. Included in this category are military camps, refugee camps and camps established for the housing of workers in mining, agriculture, public works or other types of enterprises.

(d) Other

4.460. This is a residual category for collective living quarters that may not conform to the definitions of those included in groups 2.1 through 2.3. It should be used only when the number of units in question is small. Where the number is substantial, additional groups of living quarters that have common characteristics and that are of significance for an improved appraisal of housing conditions should be established.

4.461. In some countries, it seems that certain types of multi-household living quarters have emerged in response to the particular needs of the population, and that the characteristics of these quarters enable them to be readily identified by an enumerator. It may be useful in these countries to provide a separate subgroup for any such special types.

4.462. It should be stressed that the types of living quarters to be included in this category are those intended for communal habitation by several households, that is to say, constructed or converted for this purpose. Housing units intended for occupancy by one household, but at the time of the census are occupied by several households, are not to be included as collective living quarters because this obscures the identification of households doubling up in dwellings (an important element in estimating housing needs). It is suggested that, in carrying out the census, a strict distinction be maintained between a housing unit occupied by more than one household and living quarters constructed or converted for communal habitation by several households.

2. Location of living quarters (core topic)

4.463. A great deal of information relevant to the location of living quarters is contained under the definition of "locality" and "urban and rural" (see paragraphs 4.89-4.100). It is important for those concerned with carrying out housing censuses to study this information, because the geographic concepts used in carrying out a housing census to describe the location of living quarters are extremely important both for the execution of the census and for the subsequent tabulation of the census results. When the housing census is combined with, or closely related to, a population census, these concepts need to be carefully coordinated so that the geographic areas recognized in carrying out the two censuses are of optimum value for both operations.

4.464. Information on location should be collected in sufficient detail to enable tabulations to be made for the smallest geographic subdivisions required by the tabulation plan. To satisfy the requirements of the geographic classifications recommended in the tabulations as a virtual part of this publication, information is needed on whether the living quarters are located in an urban or rural area, the major civil division, the minor civil division and, for living quarters located in principal localities, the name of the locality.

4.465. Where a permanent system of house or building numbers does not already exist, it is essential for the census to establish a numbering system so that the location of each set of living quarters can be adequately described. Similarly, in cases where streets do not have names or numbers properly displayed, such identification should be provided as one of the pre-census operations. Adequate identification provides the basis for the preparation of census control lists (see also "living quarters and household listing" in paragraphs 3.115-3.118); it is required in order to monitor and control the enumeration, and to identify living quarters for possible callbacks and post-enumeration evaluation surveys as well as for other post-censal enquiries that use the census as a sampling frame or other point of departure. Ideally, each building or other inhabited structure should be provided with a number, as should each set of living quarters within buildings or structures. In preparing a census control listing, it is the practice to identify further each household within the living quarters.

4.466. Living quarters that are not located in areas with a conventional pattern of streets, such as those in squatter areas or in some places not intended for habitation, may require special identification. Since it may not be possible to describe the location of these units in terms of a formal address, it may be necessary to describe them in terms of their proximity to natural or created landmarks of various kinds or in relation to buildings that are located in areas where a formal address is possible.

4.467. The various geographic designations that together define the location of living quarters are discussed below.

2.1. Address

4.468. Information that describes the place where the living quarters are to be found and distinguishes them from other living quarters in the same locality falls within this category. As a rule, the information includes the name or number of the street and the number of the living quarters; in the case of apartments, the building number and the apartment number are required.

2.2. Locality

4.469. For the definition of "locality", see paragraphs 4.89-4.91.

2.3. Urban and rural

4.470. For the definition of "urban and rural", see paragraphs 4.92-4.100.

3. Occupancy status (core topic)

4.471. *Occupancy status* refers to whether or not a conventional dwelling is occupied at the time of the census. For those dwellings not occupied (because they are vacant or in secondary use), the reason for not being occupied should be classified.

4.472. Information should be obtained for each conventional dwelling to show whether the dwelling is occupied or vacant at the time of the census. For vacant units intended for year-round occupancy, the type of vacancy (for rent or for sale, for example) should be reported. Occupancy status applies only to conventional dwellings, since all other types of living quarters are required by definition to be occupied in order to fall within the scope of the census.

4.473. The enumeration of vacant conventional dwellings is likely to pose difficult problems, but at least a total count should be made for purposes of controlling the enumeration. The type of vacancy is frequently indicated by "for sale" or "for rent" signs posted on the dwelling. Although it may not be feasible to investigate all of the topics included in the census for vacant units, as much information as possible should be collected, including information on whether the living quarters are vacant seasonally or non-seasonally.

4.474. Vacant units intended for seasonal or secondary occupancy may represent a substantial proportion of the housing stock in resort areas and in areas where large numbers of seasonal workers are employed. The separate identification of such categories may be necessary for the correct interpretation of the overall vacancy rate, as well as for an evaluation of the housing situation in the area concerned.

4.475. Whether or not living quarters whose occupants are temporarily absent or temporarily present should be recorded as occupied or vacant will need to be considered in relation to whether a de jure or de facto population census is being carried out. In either case, it would seem useful to distinguish as far as possible conventional dwellings that are used as a second residence. This is particularly important if the second residence has markedly different characteristics from the primary residence, as is the case, for example, when agricultural households move during certain seasons of the year from their permanent living quarters in a village to rudimentary structures located on agricultural holdings. The recommended classification of occupancy status for conventional dwellings is as follows:

1. Occupied
2. Vacant / not occupied

2.1. Seasonally vacant

2.1.1. Holiday homes

2.1.2. Seasonal workers' quarters

2.1.3. Other

2.2. Secondary residences

2.3. For rent/sale

2.4. For demolition

2.5. Other

4. Ownership—type of (core topic)

4.476. This topic refers to the type of ownership of the housing unit itself and not of that of the land on which it stands. Type of ownership should not be confused with tenure, which is a characteristic of the household and is covered in paragraphs 4.556-4.559.

4.477. Information should be obtained to show:

(*a*) Whether the housing unit is owned by the public sector (central government, local government, public corporations);

(*b*) Whether the housing unit is privately owned (by households, private corporations, cooperatives, housing associations and so on). The question is sometimes expanded to show whether the housing units are fully paid for, being purchased in instalments or mortgaged. The classification of housing units by type of ownership is as follows:

1. Owner-occupied
2. Non-owner-occupied
   - 2.1. Publicly owned
   - 2.2. Privately owned
   - 2.3. Communally owned
   - 2.4. Cooperatively owned
   - 2.5. Other

4.478. Housing units are defined as owner-occupied if used wholly or partly for own occupation by the owner. In principle, if a housing unit is being purchased in instalments or mortgaged according to national legal systems and practices, it should be enumerated as being owned. Instructions should also cover other arrangements, such as housing units in cooperatives or housing associations.

4.479. The information on ownership may be classified, as a minimum, into two main groups, namely "private ownership" and "other ownership". Depending upon the prevalence of various types of ownership and their significance with respect to housing conditions and the formulation of housing programmes, it may be useful to dissect the category "other ownership" into the relevant examples of the subgroups shown. The categories used should be consistent with those employed in the system of national accounts of the country concerned and in accordance with the recommendations contained in the *System of National Accounts 2008*.[163]

[163] United Nations publication, Sales No. E.08.XVII.29.

4.480. It has been observed that the collection of information on type of ownership in a general census may be hampered by the fact that the occupants might not know who the owner of the property is and that the owners or their representatives may be situated outside the enumeration zone. Furthermore, there are numerous cases of borderline and mixed owner-

ship, which make the topic difficult for nationwide enumeration. This is one of the topics for which more accurate information might be obtained through a housing survey.

4.481. In countries where there is a substantial amount of employer-issued housing, it would be useful to include the subcategories "issued by the employer" and "not issued by the employer" under the category "privately owned" (or publicly owned where the employer is a public sector entity). It is important that such information be known from the point of view of assessing the impact of job loss, in order to gauge the magnitude of the population whose loss of a job would include loss of housing as well.

5. Rooms—number of (core topic)

4.482. A *room* is defined as a space in a housing unit enclosed by walls reaching from the floor to the ceiling or roof covering, or to a height of at least 2 metres, of an area large enough to hold a bed for an adult, that is, at least 4 square metres. Usually only information on rooms in housing units is collected in a census. The total number of types of rooms therefore includes bedrooms, dining rooms, living rooms, studies, habitable attics, servants' rooms, kitchens, rooms used for professional or business purposes, and other separate spaces used or intended for dwelling purposes, so long as they meet the criteria concerning walls and floor space. Passageways, verandas, lobbies, bathrooms and toilet rooms should not be counted as rooms, even if they meet the criteria. Separate information may be collected for national purposes on spaces of less than 4 square metres that conform in other respects to the definition of "room" if it is considered that their number warrants such a procedure.

4.483. Rooms used exclusively for business or professional purposes should be counted separately, as it is desirable to include them when calculating the number of rooms in a dwelling but to exclude them when calculating the number of persons per room. This procedure allows density levels to be studied according to the number of rooms available for living purposes in relation to the number of occupants. In any event, each country should indicate the procedure that has been followed.

4.484. It is recommended that kitchens be included in the count of rooms provided they meet the criteria concerning walls and floor space. Kitchens or kitchenettes that have an area smaller than 4 square metres or that have other characteristics that disqualify them should be excluded. For national purposes, countries may wish to identify and count kitchens within a separate group that may be analysed with respect to size and utilization, and to consider separately those used exclusively for cooking.

6. Bedrooms—number of

4.485. A *bedroom* is defined as a room equipped with a bed and used for night rest.

4.486. In addition to enumerating the number of rooms, some countries may wish to collect information on the number of bedrooms in a housing unit in order to provide a measure of overcrowding.

7. Useful floor space

4.487. This topic refers to the useful and liveable floor space in housing units, that is to say, the floor space measured inside the outer walls of housing units, excluding non-habitable cellars and attics. Information on this topic is often collected to supplement that on the number of rooms. In some countries, however, such information is collected in preference. In multiple-dwelling buildings, all common spaces should be excluded.

4.488. For collective living quarters, it would be more useful to collect information on the useful floor space per occupant of the set of collective living quarters. Data should be derived by dividing the total useful floor space by the number of occupants who are living in the space.

4.489. Collecting information on the floor space available to occupants of housing units may prove to be difficult; occupants often may not know the exact or even the approximate area of the housing unit they occupy, and training enumerators to calculate the floor space would be complicated and costly, and would result in inaccuracies. In this context, and taking into account the importance of the information concerned, countries should take into consideration developing detailed instructions on proper procedures for assessing these data (for example, a request for information on floor space from the official documents available to the occupants, such as the rental agreement and the title, which are supposed to include such information).

8. Water supply system (core topic)

4.490. Basic information to be obtained in the census is whether housing units have or do not have a piped water installation, in other words, whether or not water is provided to the housing unit by pipes from a community-wide system or a private installation, such as a pressure tank or pump. The unit of enumeration for this topic is a housing unit. It is also recommended that countries should indicate whether the unit has tap water inside or, if not, whether it is within a certain distance from the door. The recommended distance is 200 metres, assuming that access to piped water within that distance allows occupants of the housing unit to obtain water for household needs without being subjected to extreme efforts. Besides the location of the tap water relative to the housing unit, the source of water available to households is also of interest. Therefore, the recommended classification of housing unit by water supply system is as follows:

1. Piped water inside the unit
   - 1.1. From the community scheme
   - 1.2. From an individual source
2. Piped water outside the unit but within 200 metres
   - 2.1. From the community scheme
     - 2.1.1. For exclusive use
     - 2.1.2. Shared
   - 2.2. From an individual source
     - 2.2.1. For exclusive use
     - 2.2.2. Shared
3. Other (see category 3 of the classification in paragraph 4.495 for more details)

4.491. A community scheme is one that is subject to inspection and control by public authorities. Such schemes are generally operated by a public body but, in some cases, they are operated by a cooperative or private enterprise. An individual source of water refers to a source of water that is not part of a community scheme, such as an individual or shared water reservoir.

4.492. As noted above the unit of enumeration for this topic is the housing unit. However, some countries may find it useful to collect information on the availability of piped water for the use of occupants in collective living quarters. Such living quarters are usually equipped with multi-facilities for the use of large groups, and information on the water supply system in relation to the number of occupants would be significant in respect to analysing housing conditions. The water supply system in collective living quarters constitutes an additional topic.

4.493. The most significant information from a health point of view is whether the living quarters have piped water within the premises. However, a category may be added to distinguish cases where the piped water supply is not within the living quarters but rather within

the building in which the living quarters are situated. It may also be useful to collect information that would show whether the water supply is for the sole use of the occupants of the living quarters being enumerated or whether it is for the use of the occupants of several sets of living quarters, as indicated in the above classification at the three-digit level. Where there is a large proportion of housing units with no piped water, this category may be expanded to specify sources commonly used in a country. Additional information may be sought on the availability of hot as well as cold water and on the kind of equipment used for heating water.

9. Drinking water—main source of (core topic)

4.494. Having enough water for drinking and personal hygiene is essential, but quantity by itself is not sufficient. The quality of the water is also a crucial health issue. Consequently, one of the targets of the "water supply, sanitation and hygiene" (WASH) post-2015 recommendations[164] proposed by the WHO/UNICEF Joint Monitoring Programme on Water Supply and Sanitation (JMP) is "universal access to basic drinking water, sanitation and hygiene", assessed in part by having access at home to safely managed drinking water. A safely managed drinking water service is defined as one that reliably delivers water that is sufficient to meet domestic needs and does not represent a significant risk to health. This implies a system that delivers water to the household and includes measures to prevent risks and to verify water quality through compliance monitoring. An improved water source (piped water, public tap or standpost, tubewell or borehole, protected dug well, protected spring, rainwater) can be safely managed. Unimproved sources, which by definition are not safely managed, include unprotected dug well, unprotected spring and surface water from a river, stream, dam, lake, pond, canal or irrigation channel. Delivered water (for example, through trucks, carts, sachets or bottles) can potentially be safely managed, but if these are the primary drinking water sources, other improved sources of water must be accessible at the household for other domestic uses (for example, washing, bathing).

[164] See WHO/UNICEF Joint Monitoring Programme on Water Supply and Sanitation, *WASH Post-2015: Proposed Targets and Indicators for Drinking-Water, Sanitation and Hygiene* (2014), available from www.wssinfo.org/.

4.495. Countries are encouraged to collect the information on the main source of drinking water for the household, particularly where there is considerable difference between sources of water for general household use and for drinking. For those countries wishing to collect this information, the following categories of main source of drinking water are recommended:

1. Piped water inside the unit
   - 1.1. From the community scheme
   - 1.2. From an individual source
2. Piped water outside the unit but within 200 metres
   - 2.1. From the community scheme
     - 2.1.1. For exclusive use
     - 2.1.2. Shared
   - 2.2. From an individual source
     - 2.2.1. For exclusive use
     - 2.2.2. Shared
3. Other
   - 3.1. Borehole/tubewell
   - 3.2. Protected dug well
   - 3.3. Protected spring
   - 3.4. Rainwater collection tank
   - 3.5. Delivered water—bottled, sachet
   - 3.6. Delivered water—tanker trucks, carts
   - 3.7. Unprotected dug well/spring/river/stream/lake/pond/dam/canal/irrigation channel

10. Toilet—type of (core topic)[165]

4.496. A *toilet* may be defined as an installation for the disposal of human excreta. A flush toilet is an installation provided with piped water that permits humans to discharge their wastes and from which the wastes are flushed by water. The unit of enumeration for this topic is a housing unit.

4.497. For housing units reported as having a toilet, additional information may be sought to determine whether the toilet is used exclusively by the occupants of the living quarters being enumerated or is shared with the occupants of other living quarters. For living quarters reported as having no toilet, it would be useful to know if the occupants have the use of a communal facility and the type of facility, or if they have the use of the toilet of other living quarters and the type, or if there is no toilet of any kind available for the use of the occupants.

4.498. Some countries have found it useful to expand the classification for non-flush toilets so as to distinguish certain types that are widely used and indicate a certain level of sanitation. The recommended classification of housing unit by toilet facilities is as follows:

1. With toilet within housing unit
   - 1.1. Flush/pour flush[166] toilet
   - 1.2. Other
2. With toilet outside housing unit
   - 2.1. For exclusive use
     - 2.1.1. Flush/pour flush toilet
     - 2.1.2. Ventilated improved pit latrine[167]
     - 2.1.3. Pit latrine without ventilation with covering
     - 2.1.4. Holes or dug pits with temporary coverings or without shelter
     - 2.1.5. Other
   - 2.2. Shared
     - 2.2.1. Flush/pour flush toilet
     - 2.2.2. Ventilated improved pit latrine
     - 2.2.3. Pit latrine without ventilation with covering
     - 2.2.4. Holes or dug pits with temporary coverings or without shelter
     - 2.2.5. Other
3. No toilet available
   - 3.1. Service or bucket facility (excreta manually removed)
   - 3.2. Use of natural environment, for example, bush, river, stream.

4.499. As noted above the unit of enumeration for this topic is the housing unit. However, some countries may find it useful to collect information on the availability of toilet facilities for the use of occupants in collective living quarters. Living quarters of this type are usually equipped with multi-facilities for the use of large groups, and information on the number and type of toilets in relation to the number of occupants would be significant in terms of analysing housing conditions. The availability of toilets for collective living quarters represents an additional topic.

11. Sewage disposal (core topic)

4.500. Information on toilets should be combined with the sewage disposal system to which they are connected in order to determine the adequacy of sanitation facilities of the housing unit. To be considered adequate sanitation, toilets or latrines have to be connected to non-clogged sewage disposal systems. The information on housing units by type of sewage disposal system may be classified as follows:

[165] It is also necessary to distinguish between conventional dwellings with all main facilities and other conventional dwellings.

[166] A *pour flush toilet* uses a water seal, but unlike a flush toilet, a pour flush toilet uses water poured by hand for flushing (no cistern is used).

[167] A *ventilated improved pit latrine (VIP)* is a dry pit latrine that uses a hole in the ground to collect the excreta and a squatting slab or platform that is firmly supported on all sides, easy to clean and raised above the surrounding ground level to prevent surface water from entering the pit. The platform has a squatting hole, or is fitted with a seat.

1. Empties into a piped system connected to a public sewage disposal plant
2. Empties into a piped system connected to an individual sewage disposal system (septic tank, cesspool)
3. Other—toilet empties into an open ditch, a pit, a river, the sea, and so forth
4. No disposal system

12. Solid waste disposal—main type of (core topic)

4.501. Securing sustainable development and, in this context, the usual manner of treatment of solid waste (garbage) generated by the household, has prompted the incorporation of this topic in a number of national housing censuses.

4.502. This topic refers to the usual manner of collection and disposal of solid waste or garbage generated by occupants of the housing unit. The unit of enumeration is a housing unit. The classification of housing units by type of solid waste disposal is according to the following guidelines:

1. Solid waste collected on a regular basis by authorized collectors
2. Solid waste collected on an irregular basis by authorized collectors
3. Solid waste collected by self-appointed collectors
4. Occupants dispose of solid waste in a local dump supervised by authorities
5. Occupants dispose of solid waste in a local dump not supervised by authorities
6. Occupants burn solid waste
7. Occupants bury solid waste
8. Occupants dispose solid waste into river, sea, creek, pond
9. Occupants compost solid waste
10. Other arrangement

13. Bathing facilities (core topic)

4.503. Information should be obtained on whether or not there is a fixed bath or shower installation within the premises of each set of housing units. The unit of enumeration for this topic is a housing unit. Additional information may be collected to show whether or not the facilities are for the exclusive use of the occupants of the living quarters and where there is a supply of hot water for bathing purposes or cold water only. In some areas of the world the distinction proposed above may not be the most appropriate for national needs. It may be important, for example, to distinguish in terms of availability among a separate room for bathing in the living quarters, a separate room for bathing in the building, an open cubicle for bathing in the building and a public bathhouse. The recommended classification of housing units by availability and type of bathing facilities is as follows:

1. With fixed bath or shower within housing unit
2. Without fixed bath or shower within housing unit
   - 2.1. Fixed bath or shower available outside housing unit
     - 2.1.1. For exclusive use
     - 2.1.2. Shared
   - 2.2. No fixed bath or shower available

4.504. Alternatively, and in line with the elaboration in the preceding paragraph, the following classification may be more appropriate in certain circumstances:

1. Separate room for bath or shower within the housing unit
2. No separate room for bath or shower but bathing space available within the housing unit (for example, in an open area around the well within the housing unit, in the courtyard)

3. Bathing room available but outside the housing unit for exclusive use
4. Shared bathing room outside the housing unit
5. No specific bathing room available

4.505. As noted above the unit of enumeration for this topic is the housing unit. However, some countries may find it useful to collect information on the availability of a bath or shower for the use of occupants in collective living quarters as well. Living quarters of this type are usually equipped with multi-facilities for the use of large groups, and information on the number of fixed baths or showers in relation to the number of occupants would be significant in terms of analysing housing conditions. The number of fixed baths or showers in collective living quarters would represent an additional topic.

14. Kitchen—availability of (core topic)

4.506. Information should be obtained on whether the housing unit has a kitchen, whether some other space is set aside for cooking, such as a kitchenette, or whether there is no special place set aside for cooking. The unit of enumeration for this topic is a housing unit.

4.507. A *kitchen* is defined as a space that conforms in all respects to the criteria for a room, and is equipped for the preparation of the principal meals of the day and intended primarily for that purpose.

4.508. Any other space reserved for cooking, such as a kitchenette, will fall short in respect of possessing the attributes of a room, although it may be equipped for the preparation of the principal meals of the day and is intended primarily for that purpose. The collection of data on the availability of a kitchen may provide a convenient opportunity to collect information on the kind of equipment that is used for cooking, for example, a stove, hotplate or open fire, and on the availability of a kitchen sink and a space for food storage so as to prevent spoilage. The recommended classification of housing units by availability of a kitchen or other space reserved for cooking within the housing unit is as follows:

1. With kitchen within housing unit
   - 1.1. For exclusive use
   - 1.2. Shared
2. With other space for cooking within housing unit, such as kitchenette
   - 2.1. For exclusive use
   - 2.2. Shared
3. Without kitchen or other space for cooking within housing unit
   - 3.1. Kitchen or other space for cooking available outside housing unit
     - 3.1.1. For exclusive use
     - 3.1.2. Shared
   - 3.2. No kitchen or other space for cooking available

4.509. As noted above the unit of enumeration for this topic is the housing unit. However, some countries may find it useful to collect information on the availability of kitchen facilities for the use of occupants in collective living quarters. Living quarters of this type are usually equipped with multi-facilities for the use of large groups, and information on the number of kitchens or kitchenettes in relation to the number of occupants would be significant in terms of analysing housing conditions. The number of kitchens or kitchenettes in collective living quarters would represent an additional topic.

15. Fuel used for cooking (core topic)

4.510. The proportion of households using solid fuels is one of the indicators used in monitoring internationally agreed-upon development goals. There are important linkages between household solid fuel use, indoor air pollution, deforestation and soil erosion, and greenhouse gas emissions. The type of fuel and participation in cooking tasks are important predictors of exposure to indoor air pollution. It is thus recommended to collect information on the fuel used for cooking by each housing unit. Fuel used for cooking refers to the fuel used predominantly for preparation of principal meals. If two fuels (for example, electricity and gas) are used, the one used most often should be enumerated. The classification of fuels used for cooking depends on national circumstances and may include electricity, gas, oil, coal, firewood and animal dung. It would also be useful to collect this information for collective living quarters, especially if the number of sets of collective living quarters in the country is significant. The classification of fuel used for cooking is as follows:

1. Gas
2. Electricity
3. Liquefied petroleum gas (LPG)
4. Kerosene/paraffin (petroleum-based)
5. Oil (including vegetable oils used as fuel)
6. Coal
7. Firewood
8. Charcoal
9. Animal dung
10. Crop residues (for example, cereal straw from maize, wheat, paddy rice, rice hulls, coconut husks, groundnut shells)
11. Other

16. Lighting and/or electricity—type of (core topic)

4.511. Information should be collected on the type of lighting in the housing unit, such as electricity, gas or oil lamps. If the source of energy for lighting is electricity, some countries may wish to collect information showing whether the electricity mainly comes from a community supply, private generating plant or some other source (industrial plant, mine and so on). In addition to the type of lighting, countries may assess the information on the availability of electricity for purposes other than lighting (such as cooking, heating water and heating the premises). If housing conditions in the country allow this information to be derived from the type of lighting, there would be no need for additional enquiry.

4.512. As noted above the unit of enumeration for this topic is the housing unit. However, some countries may find it useful to collect information on the availability of electricity for the use of occupants in collective living quarters. Such living quarters are usually equipped with multi-facilities for the use of large groups, and information on electricity would be significant in terms of analysing housing conditions. The availability of electricity in collective living quarters would represent an additional topic. No classification is specifically recommended.

17. Heating—type and energy used

4.513. This topic refers to the type of heating of housing units and the energy used for that purpose. The units of enumeration are all housing units. This topic may be less relevant for a number of countries where, owing to their geographic position and climate, there is no need to provide energy for heating.

4.514. *Type of heating* refers to the kind of system used to provide heating for most of the space: it may be central heating serving all the sets of living quarters or serving a single set of living quarters, or it may not be central, in which case the heating will be provided separately within the living quarters by a stove, fireplace or some other heating body. As for the energy used for heating, it is closely related to the type of heating and refers to the predominant source of energy, such as solid fuels (coal, lignite and products of coal and lignite, wood), oils, gaseous fuels (natural or liquefied gas), or electricity. No classification is specifically recommended.

18. Hot water—availability of

4.515. This topic refers to the availability of hot water in housing units. Hot water denotes water heated to a certain temperature and conducted through pipes and tap to occupants. The information collected may indicate whether there is hot water available within the housing units, or outside the living quarters for exclusive or shared use, or not at all. No classification is specifically recommended.

19. Piped gas—availability of

4.516. This topic refers to whether piped gas is available in the housing unit or not. Piped gas is usually defined as natural or manufactured gas that is distributed by pipeline and whose consumption is recorded. This topic may be irrelevant for a number of countries where there is either a lack of sources of natural gas or no developed pipeline system. No classification is specifically recommended.

20. Use of housing unit

4.517. *Use of housing unit* refers to whether the housing unit is being used wholly for habitation (residential) purposes or not. The housing unit can be used for habitation and for commercial, manufacturing or some other purposes. In a number of countries, houses are used simultaneously for more than one purpose. For example, the lower floor is used as a store or workshop, and the upper floors for habitation.

4.518. The recommended classification of the use of the housing unit is as follows:

1. Used solely for habitation
2. Used for habitation and economic activity

21. Occupancy by one or more households (core topic)

4.519. For the purpose of a housing census, each household must be identified separately. With respect to housing programmes, the use of the separate concepts of "household" and "living quarters" in carrying out housing censuses permits the identification of the persons or groups of persons in need of their own dwellings. If the household is defined as a group of persons occupying a set of living quarters, the number of households in the living quarters and the number of sets of occupied living quarters will always be equal, and there will be no apparent housing need as reflected by the number of "sharing" households that require their own living quarters. If living quarters are defined as the space occupied by a household, the number of households in living quarters will again be equal to the number of sets of living quarters, with the added disadvantage that there will be no record of the number of structurally separate living quarters.

4.520. Occupancy by more than one household is a useful topic for assessing the current housing situation and measuring the need for additional housing. For countries relying on the house-

keeping concept (see paragraph 2.34), the number of households occupying a housing unit is needed to understand the extent of shared housing. For countries relying on the dwelling unit concept of households (see paragraph 2.35), the household is equivalent to the dwelling unit.

4.521. In countries where it is traditional to count families, the family in the broad sense of the term may be adopted as an additional unit of enumeration; in the great majority of cases the composition of this unit will coincide with that of the household.

4.522. A household and family should be defined in the same way for housing census purposes as for population censuses (see paragraphs 4.121-4.127 and 4.140-4.145).

4.523. For the definitions of "household", "reference person of household" and "persons living in institutions", see paragraphs 4.121-4.148 and 2.39-2.40 in the current revision of the *Principles and Recommendations for Population and Housing Censuses*.

22. Occupants—number of (core topic)

4.524. Each person usually resident in a housing unit or in collective living quarters should be counted as an occupant. Therefore, the units of enumeration for this topic are living quarters. However, since housing censuses are usually carried out simultaneously with population censuses, the applicability of this definition depends upon whether the information collected and recorded for each person in the population census indicates where he or she was on the day of the census or whether it refers to the usual residence (see paragraphs 4.52-4.63). Care should be exercised in distinguishing persons occupying mobile units, such as boats, caravans and trailers, as living quarters from persons using these units as a means of transportation.

4.525. Depending on their national requirements for information, some countries may wish to distinguish between those occupants that are usually resident and those that are not usually resident in the living quarters for the purposes of better understanding the housing conditions and living arrangements of non-residents.

23. Building—type of (core topic)

23.1. Definition of building

4.526. A *building* is any independent free-standing structure comprising one or more rooms[168] or other spaces, covered by a roof and usually enclosed within external walls or dividing walls[169] that extend from the foundations to the roof. However, in tropical areas, a building may consist of a roof with supports only, that is to say, without constructed walls; in some cases, a roofless structure consisting of a space enclosed by walls may be considered a *building* (see also *compound* in paragraph 4.534).

4.527. In defining a *building*, particular care should be given to differentiating this from "type of living quarters" (see paragraph 4.421). Type of living quarters refers to structures that are designed for residential habitation or are being used for residential habitation. A building could be a number of living quarters, a commercial premises not meant, or being used, for habitation, or a mix of the two.

4.528. A building may be used or intended for residential, commercial or industrial purposes or for the provision of services. It may therefore be a factory, shop, detached dwelling, apartment building, warehouse, garage, barn and so forth. In some exceptional cases, facilities usually provided by a set of living quarters are located in two or more separate detached structures, as when a kitchen is in a separate structure. In the case of living quarters with detached rooms, these rooms should be considered separate buildings. A building may therefore contain several sets of living quarters, as is the case for an apartment building or duplex;

[168] For the definition of *room*, see paragraph 4.482.

[169] The term *dividing walls* refers to the walls of adjoining buildings that have been so constructed as to be contiguous, for example, the dividing walls of "row" houses.

it may be coextensive with single detached living quarters; or it may be only part of the living quarters, as is the case, for example, for living quarters with detached rooms, which are clearly intended to be used as part of the living quarters.

4.529. The concept of a building should be clearly defined and, in a census with a field enumeration, the instructions should indicate whether all buildings are to be listed and enumerated or only those used in whole or in part for residential purposes. Instructions should also indicate whether buildings under construction are to be recorded and, if so, at what stage of completion they are to be considered eligible for inclusion. Buildings being demolished or awaiting demolition should normally be excluded.

23.2. Classification of buildings by type

4.530. The following classification of buildings (or of living quarters) by type of building is recommended:

1. Residential buildings
   - 1.1. Buildings containing a single housing unit
     - 1.1.1. Detached
     - 1.1.2. Attached
   - 1.2. Buildings containing more than one housing unit
     - 1.2.1. Up to 2 floors
     - 1.2.2. From 3 to 4 floors
     - 1.2.3. From 5 to 10 floors
     - 1.2.4. 11 floors or more
   - 1.3. Buildings for persons living in institutions
   - 1.4. Other residential buildings
2. Non-residential buildings

4.531. It should be noted that, for the purpose of the housing census, the above classification refers to the building in which the sets of enumerated living quarters are located and that usually it will be the living quarters, not buildings, that will be tabulated according to the classification.

4.532. Category 1.1 provides separate subgroupings for "detached" and "attached" buildings because, although most single-unit buildings (suburban homes, villas, and so forth) are detached, in some countries a substantial number may be attached (row or terraced houses, for example) and in such cases it may be useful to identify these separately. According to the definition of "building" in paragraph 4.526 above, a group of, for example, three row or terraced houses that are attached is considered to be three separate buildings if their "external walls or dividing walls" extend from "the foundations to the roof". Buildings containing more than one housing unit (category 1.2) will usually be apartment buildings, but they may also be other types of buildings, for example, buildings that are structurally subdivided so as to contain more than one housing unit. Buildings under the latter category should be subdivided into the following: up to 2 floors, from 3 to 10 floors and 11 floors or more. Category 1.3, "buildings for persons living in institutions", includes hospital buildings, prisons, military establishments, and so on. On the other hand, a structurally separate housing unit (a house or apartment intended for the occupancy of staff of the institution) or one that is either within a building of the institution or detached but within the grounds, belongs in category 1.0; if the housing unit is coextensive with a building, it belongs in category 1.2.

4.533. In addition to the above, and for subsequent analysis of housing conditions, each country will find it useful to provide for separate identification of the special types of buildings that are characteristic of the country concerned. These can be classified as category 4.

23.3. Compound

4.534. In some countries, it may be appropriate to use the "compound" as a unit of enumeration. In some areas of the world, housing units are traditionally located within compounds, and the grouping of sets of housing units in this way has economic and social implications that need to be studied. A compound, in these circumstances, becomes a distinct unit of enumeration, on a par with a housing unit. For purposes of international comparability, a compound should be classified according to the main features and facilities it displays and classified with housing units.

24. Year or period of construction

4.535. This topic refers to the age of the building in which the living quarters are located. It is recommended that the exact year of construction be sought for buildings constructed during the decennial period immediately preceding the census. For buildings constructed before that time, the information should be collected in terms of periods that will provide a useful means of assessing the age of the housing stock. Difficulty may be experienced in collecting data on this topic in a field enumeration because in some cases the occupants may not know the date of construction. However, more accurate information is more likely to be available where countries use housing registers or other administrative data sources for the census.

4.536. The collection of data for single years during the most recent intercensal period is seen as a method of checking construction statistics for deficient coverage and of more closely integrating the housing census with current housing statistics.

4.537. Instead of collecting single years of construction, if this is seen to be too burdensome on the respondent, periods of construction should be collected. The periods could be defined in terms of events that have some special significance in the country concerned, particularly with regard to the effect on the condition of the housing stock; examples would be the period since the Second World War; the period between the First World War and the Second World War; and the period before a major earthquake, flood or fire. Alternatively, the response ranges could be equal to intervals from one census to the next, such as ten- or five-year age groupings depending on the frequency of census collection. This allows for comparisons across the same periods and across censuses. Narrow periods of construction are most important in the first few decades of a dwelling when the dwelling is undergoing changes, such as foundation setting, or when defects in dwelling systems, such as electrical or plumbing faults, reveal themselves. Afterwards the ranges could widen, but should be as homogeneous as possible to allow for cohort analysis. The total period covered by the age groups and the number of groups distinguished will depend upon the materials and methods of construction used in the country concerned and the number of years that buildings normally last.

4.538. Where parts of buildings have been constructed at different times, the year or period of construction should refer to the major part. Where living quarters comprise more than one building (living quarters with detached rooms, for example), the age of the building that contains the major part of the living quarters should be recorded.

4.539. In countries where a significant number of households construct their own living quarters (countries with large non-monetary sectors, for example), it may be useful to collect additional information that will distinguish the living quarters according to whether or not they were constructed by the households occupying them. The information should refer only to living quarters constructed during the preceding intercensal or 10-year period, and it should be made clear in formulating the question that it refers to living quarters constructed mainly by households (with or without the help of other households in the community) and not to construction executed by enterprises on behalf of households.

25. Dwellings in the building—number of

4.540. This topic refers to the number of conventional dwellings in the building. This topic is applicable in cases where there is a possibility to have unique identifier for the building itself. If a census established such an identifier (building number, for example, linked to the address) then it would be possible to introduce this topic.

26. Position of dwelling in the building

4.541. Some countries may want to collect information on the position of the dwelling or housing unit in the building. This information can be used as an indicator of accessibility to dwellings, possibly in conjunction with information on the accessibility to the dwellings.

4.542. The following classification of dwellings by position in the building is recommended:

1. Dwelling on one floor only
   - 1.1. Dwelling below the ground floor
   - 1.2. Dwelling on the ground floor of the building
   - 1.3. Dwelling on the 1st or 2nd floor of the building
   - 1.4. Dwelling on the 3rd or 4th floor of the building
   - 1.5. Dwelling on the 5th floor of the building or higher
2. Dwellings on two or more floors
   - 2.1. Dwelling on the ground floor of the building or below ground level
   - 2.2. Dwelling on the 1st or 2nd floor of the building
   - 2.3. Dwelling on the 3rd or 4th floor of the building
   - 2.4. Dwelling on the 5th floor of the building or higher

4.543. For dwellings on two or more floors, information should be provided with reference to the lowest floor level of the dwelling.

27. Accessibility to dwelling

4.544. The following classification of accessibility to the front door of the dwelling or housing unit is recommended, based on the presence of ramps, steps and lifts:

1. Access with no steps or ramp
2. Access by ramp
3. Access by stair lift for persons with disabilities
4. Access using lift only (though the building may have staircases as well)
5. Access by using only steps
6. Access only by using both lift and steps

Note that these categories are not necessarily mutually exclusive.

28. Construction material of outer walls (core topic)

4.545. This topic refers to the construction material of external (outer) walls of the building in which the living quarters are located. If the walls are constructed of more than one type of material, the predominant type of material should be reported. The types of materials distinguished will depend upon the materials most frequently used in the country concerned and on their significance from the point of view of permanency of construction or assessment of durability. The following classification of construction materials is recommended:

- 2.2.4. Burnt clay (bricks, blocks, panels), stone, concrete
- 2.2.5. Unburnt clay, mud, earth

2.2.6. Wood
2.2.7. Bamboo
2.2.8. Corrugated sheets
2.2.9. Prefabricated units
2.2.10. Other materials

4.546. In some countries, the material used for the construction of roofs or of floors may be of special significance for the assessment of durability and, in such cases, it may be necessary to collect information on this as well as on the material of the walls. Durability refers to the period of time for which the structure remains habitable, subject to regular maintenance. A durable structure is one expected to remain sound for a considerable period of time. Countries may wish to define the length of the period, for example, 15 or 20 years. Durability does not depend solely on the materials used in construction, since it is also affected by the way the building was erected, that is to say, whether it was built according to construction standards and regulations. Technological developments in treating traditional building materials, such as bamboo, have extended the durability of those materials for several decades. Construction material of outer walls may be considered an indicator of the building's durability. Therefore, in order to assess quality of the national housing stock, durability may be measured in terms of material used together with adherence to construction standards. Specific instructions for enumerators at the national level should be developed on the basis of national building construction practice.

4.547. While the material of construction is a useful addition to data collected on the type of living quarters, it should not be considered a substitute for the latter topic. Wood, for example, may be the material of both a poorly constructed squatter's hut and a durable and well-constructed dwelling. In these cases, information on the type of living quarters adds significantly to the value of the census in assessing the quality of a country's housing stock.

29. Construction material of floor and roof

4.548. In some cases the material used for the construction of roofs and floors may be of special interest and can be used to further assess the quality of dwellings. This topic refers to the material used for roof and floor (although, depending on the specific needs of a country, it may also refer to other parts of the building in which the housing unit is located, such as the frame or the foundation). Information on the predominant material only should be collected. The following classification of construction materials is recommended:

1. Tile
2. Concrete
3. Metal sheeting
4. Wood
5. Bamboo
6. Palm, straw
7. Mud
8. Plastic sheeting
9. Other materials

30. Elevator—availability of

4.549. This topic refers to the availability of an elevator (or lift) in a multi-storey building (categories 2.2.3-2.2.4 of the classification of type of buildings). It is recommended that the information should be collected on the availability of an elevator that is operational for most of the time, subject to regular maintenance.

4.550. This topic can be useful for providing further information for indicating the accessibility to the building or the housing unit. This is of particular relevance for older persons and persons with disabilities. In this context it could also be useful to collect information on the size of the lift (for the handicapped persons and ambulance transport), if the lift goes to the ground floor, and whether or not the lift stops on the same floor as the dwelling.

31. Farm building

4.551. Some national censuses may collect information to identify if a buildings or dwelling is located on a farm. A farm building may be considered as being one that is part of an agricultural holding whether it is residential or not, that is, whether it is used for agricultural or housing purposes. All the information that is relevant to other buildings and dwellings should also be collected.

32. State of repair

4.552. This topic refers to whether the housing unit or the building in which the housing unit is located is in need of repair and to the kind of repair needed. The following classification is recommended:

1. Repair not needed
2. In need of repair
3 Minor repair
4. Moderate repair
5. Serious repair
6. Irreparable

4.553. Minor repairs refer mostly to the regular maintenance of the building and its component housing units, such as repair of a cracked window. Moderate repairs refer to the correcting of moderate defects such as missing gutters on the roof, large areas of broken plaster or stairways with no secure handrails. Serious repairs are needed in the case of serious structural defects of the building, such as missing shingles or tiles on the roof, cracks and holes in the exterior walls, and missing stairways. The term "irreparable" refers to buildings that are beyond repair, that is to say, with so many serious structural defects that it is deemed more appropriate to demolish the building than to undertake repairs; most usually this term is used for buildings with only the frame left standing or without complete external walls or roof.

33. Age and sex of the reference person of household (core topic)

4.554. From among the topics recommended for inclusion in the population census, age has been selected as being of most significance in relation to housing conditions. For the housing census, the data usually relate only to the housing units or building in which the housing units are located, but some characteristics of households that are related the housing condition can usefully be presented by the age and sex of household head or other reference person in the household.

4.555. While this information will usually be collected in a country's population censuses and, if the population and housing censuses are conducted simultaneously, as is the practice in the majority of countries, then information on age of the head or other reference member of the household will be collected together with other relevant demographic characteristics in the population part of the census. If, however, the housing census is collected independently of the population census, then there should be a separate provision for collecting this information.

34. Tenure (core topic)

4.556. Tenure refers to the arrangements under which the household occupies all or part of a housing unit. The unit of enumeration is a household occupying a housing unit. The classification of households by tenure is as follows:

1. Household owns housing unit
2. Household rents all or a part of housing unit
   - 2.1. As a main tenant
   - 2.2. As a subtenant
3. Household occupies housing unit partly free of rent
4. Household occupies housing unit wholly free of rent
5. Household occupies housing unit under some other arrangement

4.557. National circumstances can dictate the need to assess the number of households occupying the housing unit free of rent to further distinguish whether such arrangement is with or without the consent of the owner. However, this information regarding the consent of the owner is subject to special scrutiny in terms of reliability. Furthermore, in countries where communal ownership is significantly represented, this topic on tenure might be further expanded in order to capture tenure arrangements of communally owned housing. Likewise, the category "other arrangements" can be extended to capture forms of tenure specific to some countries.

4.558. The information on tenure collected in the census needs to be clearly distinguished from the information on ownership (see paragraphs 4.476-4.481) and is one that should be asked of all households, otherwise there is a danger that it may be omitted in cases where more than one household occupies a single housing unit. Under some circumstances, it may be useful to indicate separately households that, although not subtenants in the sense that they rent from another occupant who is a main tenant or owner-occupant, rent part of a housing unit from a landlord who lives elsewhere. These households and subtenant households may be of special significance in formulating housing programmes. On the contrary, in countries where subtenancy is not usual, information on subtenants may not be collected in the census or, if collected, may be tabulated only for selected areas.

4.559. In countries where the land and the living quarters are frequently occupied under separate tenure, the topic may be expanded to show separate information for the tenure under which the household or households occupy the living quarters and for the tenure of the land upon which those living quarters are located.

35. Rental and housing costs

4.560. Rent is the amount paid periodically (weekly, monthly, and so forth) for the space occupied by a household. Information may be obtained on the basis of a scale of rents rather than on that of the exact amount paid. The data may be considered in relation either to household characteristics or to the characteristics of the living quarters. In the latter case, where more than one household occupies a single set of living quarters, the rents paid by all the households will need to be summed in order to obtain the total rent for the living quarters. In the case of living quarters that are partly rented and partly owner-occupied, it may be necessary to impute the rent for the owner-occupied portion.

4.561. In countries where rent for the housing unit is paid separately from rent for the land upon which the housing unit stands, separate information may need to be collected reflecting the amount of ground rent paid.

4.562. In addition to the amount of rent paid by renting households, it may be useful to collect information on the housing costs, which could include information on monthly mortgage payments (for owner-occupiers), taxes and cost of utilities.

36. Furnished/unfurnished

4.563. Countries may wish to make some provision for indicating whether the housing units covered by the rent are furnished or unfurnished and whether utilities such as gas, electricity, heat and water are included.

37. Information and communication technology devices—availability of (core topic)

4.564. The importance of the availability of information and communication technology (ICT) devices is increasing significantly in contemporary society. Modern technology offers a range of devices that is ever changing the structure and pattern of major social media and communications. The census provides an opportunity to assess the availability of these devices to the household. The choice of devices should be sufficient for understanding the place of ICT in the household, as well as for use for planning purposes by government and the private sector to enable wider and improved delivery of services, and to assess their impact on the society. The recommended classification is:

1. Household having a radio
2. Household having a television set
3. Household having a fixed-line telephone
4. Household having one or more mobile cellular telephones
5. Household having a personal computer
6. Household accessing the Internet from home
   - 6.1. Landline connection
   - 6.2. Mobile connection
7. Household accessing the Internet from elsewhere other than home
8. Household without any access to the Internet

4.565. Availability of ICT devices in the household is a very relevant topic for inclusion in a modern census. For instance, a category on the "Internet and personal computers (PCs)" would be concerned with determining the status of access to the Internet and PCs by households for a country, in relation to other socioeconomic or geographic classificatory variables, while a category on "access path and devices" would be concerned with determining the households with the means for electronic communication (fixed-line and mobile cellular telephones) and the equipment that provides the interface between the user and the network (PCs), in relation to other socioeconomic or geographic classificatory variables.

4.566. In designing the questions, census planners should differentiate between two distinct viewpoints, namely (*a*) the availability of ICT devices to the households; and (*b*) access to, and use of, ICT devices by the household members. The distinction is important, since households need not own, but may still have access to, personal computers and the Internet through school or university, public access centres or other households. It also means that countries interested in collecting information on ICT use, particularly of the Internet, would need to include a relevant question topic in their census individual form. The rationale for adopting either viewpoint, or even a combination of both, is not necessarily only technical, but rests more on the prevailing conditions in the society, and on how the information will be used to characterize the socioeconomic profile of households of a country. Usage statistics, including

the intensity (frequency) of use and the range of activities performed, are preferably obtained using household surveys.

4.567. Radio and television are the most widespread ICT devices in the world. They are also the most reliable and useful devices for many parts of the world where modern, Internet-based devices are not affordable, or not yet available. In hindsight, radio and television are the narrowband and broadband ICT devices of old. Few countries collect the number of radio and television sets, and thus most data are estimates. A radio set is a device capable of receiving broadcast radio signals, using popular frequencies in the FM, AM, LW and SW ranges. A radio set may be a stand-alone device, or it may be integrated into other electronic units, including portable devices. A television set is a device capable of receiving broadcast television signals, using popular access means such as over the air, cable and satellite. A television set is also typically a stand-alone device, but it may also be integrated into some other device, such as a computer or a mobile device.

4.568. Fixed-line telephones refer to telephone lines, typically using copper wires but more recently fibre optics, which connect a customer's terminal equipment, for example, a telephone set or facsimile machine, to a public switched telephone network (PSTN), and have a dedicated port on a telephone exchange. Although fixed telephone lines have now been surpassed by mobile telephony globally, they are still an important affordable communication medium. Furthermore, they provide a basis for Internet access in most economies, whether through dial-up, integrated services digital networks (ISDNs), or digital subscriber line (DSL) services.

4.569. Mobile cellular telephones have become the predominant method of communication in many countries. Indicators related to mobile telephony are therefore fundamental indicators of the information society. Mobile cellular telephones refer to portable telephones using cellular technology that provides access to PSTN. Mobile cellular subscribers refer to users of such telephones with either post-paid subscriptions or pre-paid accounts.

4.570. The personal computer (PC) is a generic term that refers to any computer designed primarily for use by one person at a time at home, office or school. PCs, whether desktops, laptops or notebooks, comprise any combination of processors, input/output devices, storage drives and network interface cards; are run by a variety of operating systems; and may be connected to other PCs or to the Internet. They exclude terminals connected to mainframe computers for data processing, and midrange multi-user systems that are primarily intended for shared use. Devices such as handheld personal digital assistants and smart telephones are usually not considered PCs, as they have only some, but not all, of the components of the PC, such as, for instance, a standard keyboard and large screen. Internet-enabled telephones, which essentially perform a similar service to the PC but for mobile networks, are also not considered PCs.

4.571. Internet access from home refers to the ability of the household to connect to the public Internet using TCP/IP protocols. Internet connections may be classified according to the technology employed, devices used, communication medium, or connection bandwidth (speed). Internet access at home is meant to include both narrowband and broadband connections. Broadband may be defined loosely as transmission capacity with sufficient bandwidth to permit combined provision of voice, data and video. The International Telecommunication Union has set a lower limit of broadband access at 256 Kbit/sec, as the sum of the connection uploading and downloading capacities. Broadband is implemented mainly through xDSL, cable, (wireless) local area network ([W]LAN), satellite broadband Internet, or fibre-to-the-home Internet access. Narrowband access is typically carried out through dial-up modems, ISDNs, and most second-generation (2G) mobile cellular telephones. Access to the Internet is measured irrespective of the type of access, device used to access the Internet, or the method of payment.

38. Cars—number of available

4.572. This topic refers to the number of cars or vans normally available for use by members of the household. The term "normally available" refers to cars and vans that are either owned by occupants or are under some other more or less permanent agreement, such as a lease, and includes those provided by an employer if available for use by the household, but excludes vans used solely for carrying goods or other commercial purposes.

39. Durable household appliances—availability of

4.573. The unit of enumeration is a household occupying a housing unit and information may be collected on the availability, within the housing unit, of durable appliances such as washing machines, dishwashing machines, refrigerators, deep freezers and microwave cookers, depending on national circumstances.

40. Outdoor space—access to

4.574. This topic refers to the reasonable access to an outdoor space intended for the recreational activities of the members of a household occupying a housing unit. The classification can refer to any outdoor space that is available:

1. As part of a housing unit (for example, a garden or backyard)
2. Adjacent to the building (for example, playgrounds placed next to the apartment building)
3. As part of common recreational areas within a walkable distance from the housing unit (for example, parks, lakes, sports centres and similar sites)
4. Beyond a 10-minute walk.

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The U.S. Census Bureau's Commitment to Confidentiality

Mon May 07 2018
WRITTEN BY: DR. RON JARMIN, PERFORMING THE NONEXCLUSIVE FUNCTIONS AND DUTIES OF THE DIRECTOR OF THE U.S. CENSUS BUREAU

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The decision by U.S. Commerce Secretary Wilbur Ross to add a question on citizenship status to the 2020 Census has generated a lot of discussion in the media and on Capitol Hill. Some of this discussion expresses concerns about how the Census Bureau would use this information and with whom it would be shared. I welcome this opportunity to highlight the Census Bureau's absolute commitment to confidentiality.

This commitment begins in law. The Census Law, Title 13 of the U.S. Code, is straightforward and has strong protection. Title 13 requires that responses to Census Bureau surveys and censuses be kept confidential and used for statistical purposes only. The Census Bureau publishes only aggregated statistics that do not reveal information about particular individuals, households or businesses. All staff working with confidential information at the Census Bureau take a lifetime oath to protect the privacy and confidentiality of respondent information. Unlawful disclosure is a federal crime punishable by a $250,000 fine or five years in prison, or both.

At the Census Bureau, we know that our commitment must go beyond the law. We understand that our success depends on the willing participation of households and business who respond to our many censuses and surveys, and on the many federal, state and local government agencies and private sector organizations that provide administrative data. Their willing participation is founded on trust. When we ask a person or a business to respond, we make a commitment to do everything we can to protect their information. Likewise, when we ask another government agency to share their data with

us, we protect their information just as we protect the information we collect in our censuses and surveys.

We use these critical data sources to produce a variety of data products like state population estimates, monthly retail sales, income and poverty statistics, and the merchandise trade balance. Our staff receives annual training to keep them abreast of current data and IT security procedures — a measure consistent with the strong culture of confidentiality stressed at all levels of the Census Bureau. We strive to use technology and statistical methodologies to ensure that we can protect data at all stages — from collection, through processing, and to dissemination.

I know that one important concern is how the census data will be used and there is often a question of whether the Census Bureau shares information with law enforcement agencies like the FBI, ICE or even the local police. I assure you that this does not happen and it is prohibited by Title 13. Title 13 makes it very clear that the data we collect can only be used for statistical purposes and cannot be shared for nonstatistical purposes — including law enforcement. The Census Bureau is proud of this law and we are committed to ensuring that the data we collect are always protected. We do not share confidential micro data (i.e., data at the individual, household or business level) with any party for nonstatistical purposes.

We are committed to working with our stakeholders and partners to produce useful statistics that can inform both public and private decision-making. Part of this commitment means working to ensure that the statistical products we release do not identify individuals and businesses. The Census Bureau is at the forefront of researching and developing best practices for the protection of our data — including how to best apply disclosure avoidance procedures to data products.

Furthermore, our collaboration with leading experts in industry and academia helps to ensure we uphold our pledge to American households and businesses to safeguard the information they've entrusted to us. We continually strive to produce the most useful data possible while keeping our commitment to confidentiality. This commitment has served both the U.S. Census Bureau and the American people well, and we will continue to protect the information we collect so our communities and businesses can plan and make decisions effectively and confidently.

This entry was posted on Mon May 07 2018 and filed under Census Operationsand Miscellaneous.

https://www.census.gov/newsroom/blogs/director/2018/05/the_u_s_census_bure.html

npr

Commerce Secretary To Face Lawmakers In Hearing On Census Citizenship Question

Commerce Secretary Wilbur Ross, who oversees the Census Bureau, is set to testify before the House Oversight and Reform Committee.

March 14, 2019 5:00 AM ET
HANSI LO WANG - NPR

Commerce Secretary Wilbur Ross is set to face tough questioning from lawmakers Thursday about why he approved including a citizenship question on the upcoming 2020 census.

Ross, who oversees the Census Bureau, has agreed to appear voluntarily before the House Oversight and Reform Committee on Capitol Hill to testify about preparations for national head count.

"We have had many very serious questions for Secretary Ross since we invited him to testify several months ago, and we will finally have a chance to ask him these questions — under oath — at our hearing," said the committee's chair, Rep. Elijah Cummings (D-Md.), in a written statement before Thursday's hearing.

We have had many very serious questions for Secretary Ross since we invited him to testify several months ago, and we will finally have a chance to ask him these questions — under oath — at our hearing.

Ross' testimony comes as the 2020 census is entangled in an almost year-long legal battle over the controversial question about U.S. citizenship status. That question asks, "Is this person a citizen of the United States?"

Two federal judges have ruled that Ross' decision to add it to census forms was unlawful and blocked the administration's plans for the question from moving forward.

The Supreme Court is set to hold a hearing on the question on April 23, and the justices' decision on the question's fate is likely to be announced by June.

The oversight committee's top Republican, Rep. Jim Jordan of Ohio, has raised concerns about the timing of Ross' hearing.

"Such a hearing is designed to interfere with the ongoing Supreme Court case," wrote Jordan in an op-ed with Rep. Mark Meadows (R-N.C.) that was published Wednesday on Fox News' website.

Cummings, however, has emphasized that the committee is carrying out its authority to investigate in order to find out why Ross pushed to get a citizenship question on the census.

The Commerce Department's public affairs office has not responded to NPR's multiple requests for comment about the hearing.

Ross testified last year to lawmakers that the Justice Department "initiated" the request for the question because the agency wants the responses to help it enforce Voting Rights Act provisions against discrimination of racial and language minorities.

In his opinion on the citizenship question lawsuits based in New York, however, U.S. District Judge Jesse Furman concluded that reasoning was a "sham justification." The judge cited internal documents showing that Ross pressured Commerce Department staff to ask the Justice Department to submit a formal request for the question.

In September, Furman ordered Ross to be deposed for the lawsuits, noting that "his intent and credibility are directly at issue in these cases."

But the Trump administration's attorneys at the Justice Department fought vigorously to keep Ross from having to sit for questioning under oath. The DOJ appealed Furman's order for Ross' deposition to the Supreme Court, which temporarily shielded Ross from questioning.

The administration has also tried to delay Ross' testimony before the oversight committee after Ross agreed in January to appear, according to a recent letter sent to Ross by Cummings. Committee member Rep. Jimmy Gomez (D-Calif.) says he hopes Ross' testimony "reveals something that the courts can use" in the citizenship question lawsuits. But he is keeping his expectations low.

"I wouldn't be surprised if he tries to figure out a way with his attorneys not to answer those questions," Gomez says.

The Leadership Conference on Civil and Human Rights

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Asian Americans Advancing Justice | AAJC

Policy and Enforcement Committee Chair
Michael Lieberman
Anti-Defamation League
President & CEO
Vanita Gupta

January 10, 2018

The Leadership Conference

Protect the Census: Oppose DOJ Request to Add a Citizenship Question to the 2020 Census

Dear Secretary Ross:

On behalf of The Leadership Conference on Civil and Human Rights, a coalition charged by its diverse membership of more than 200 national organizations to promote and protect the civil and human rights of all persons in the United States, and the undersigned 167 organizations, we urge you to reject the Department of Justice's untimely and unnecessary request for a new citizenship question on the 2020 Census, which would threaten a fair and accurate decennial census. Adding a new citizenship question to the 2020 Census would destroy any chance for an accurate count, discard years of careful research, and increase costs significantly.

You and your staff have made clear that you share our goal of a full, fair, and accurate census. A fair and accurate census, and the collection of useful, objective data about our nation's people, housing, economy, and communities generally, are among the most significant civil rights issues facing the country today. Every census since the first enumeration in 1790 has included citizens and non-citizens alike. Adding a new question on citizenship to the 2020 Census undoubtedly would affect response rates, outreach, and advertising strategies, and other important elements of the nation's largest, most complex peacetime activity, calling into question the results of many years of costly, painstaking research and testing.

Adding a citizenship question to the 2020 Census would disrupt preparations at a pivotal point in the decade, undermining years of research and testing and increasing census costs significantly at a time when Congress has directed a less expensive enumeration. The Justice Department's request would literally would add billions of dollars to the life-cycle cost of this census, without improving accuracy.

Questionnaire design and testing began nearly eight years ago during the 2010 Census. Requiring this new topic this late in the decade would threaten the success of the 2020 Census because robust testing in a census-like environment is essential, given the probable chilling effect of adding these questions to the form. There simply is no time to redesign the census form, craft scientifically sound questions to collect the information the Justice Department requests, and evaluate the impact of this new question on census participation and operations before the census starts, in any responsible way. Given the constitutional requirement to conduct the census in 2020, final planning and preparations for the census would be haphazard, at best, leaving the nation with a deeply flawed foundation for our



democratic ideals, informed decision-making, and prudent allocation of precious taxpayer dollars.

In addition, adding this question would jeopardize the accuracy of the 2020 Census *in every state and every community* by deterring many people from responding. The question is unnecessarily intrusive and will raise concerns in all households – native- and foreign-born, citizens and non-citizens – about the confidentiality of information provided to the government and how that information might be used. Moreover, there are many mixed status households in the United States, which include members who are both citizens and non-citizens with various legal statuses. Mixed-status and immigrant households will be especially fearful of providing information to the federal government in 2020, given the heightened climate of fear that anti-immigrant rhetoric and policies have created. In short, any effort to determine citizenship through the constitutionally required census would jeopardize the accuracy of the entire count, leaving public, private, and nonprofit decision-makers with bad information for all purposes, for the next 10 years. Further, such an effort is likely to shake public confidence in the narrow (though vital) statistical objectives of the Census Bureau's work, damaging ongoing data collection efforts well into the future.

Finally, in addition to being untimely, the request is unnecessary. The Justice Department has never needed to add this new question to the decennial census to enforce the Voting Rights Act before, so there is no reason it would need to do so now. Contrary to the Justice Department's letter, the Census Bureau has not included a citizenship question on the modern census "short form," sent to every household. In fact, no such question has appeared on the census "short form" since enactment of the Voting Rights Act in 1965. Estimates of the citizen voting-age population derived from the ongoing American Community Survey, and the so-called census "long" or sample form before that, have been and continue to be suitable for purposes of civil rights and Voting Rights Act enforcement. Whether utilizing such data for Section 2 enforcement actions, Section 203 determinations, or other voting rights enforcement efforts, courts and the Justice Department have accepted census data as currently collected since enactment of the Voting Rights Act. Given these plain facts, the entire justification for the request should be viewed skeptically as an attempt to throw a wrench into final planning and preparations for an enumeration that already faces enormous challenges, including inadequate and delayed funding, cyber-security risks, and a climate of fear fanned by anti-immigrant rhetoric.

For these reasons, we urge you to reject the Justice Department's request to add a citizenship question to the 2020 Census. If you have any questions about these comments, please contact Leadership Conference Census Task Force Co-chairs Terry Ao Minnis, Asian Americans Advancing Justice|AAJC, at 202-296-2300 x0127, or Arturo Vargas, NALEO Educational Fund, at 213-747-7606, or Chris Harley, Census Campaign Director at 202-466-3311.

Sincerely,

The Leadership Conference on Civil and Human Rights
18MillionRising.org
ACCESS
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The Leadership Conference

Advancement Project California
Alliance for Strong Families and Communities
American Association of University Women (AAUW)
American Educational Research Association
American Federation of State, County and Municipal Employees (AFSCME)
American Federation of Teachers
American Library Association
American Sociological Association
American Statistical Association
American-Arab Anti-Discrimination Committee
APACEvotes
Arab American Institute
Arkansas Advocates for Children and Families
Asian & Pacific Islander American Health Forum
Asian American Legal Defense and Education Fund (AALDEF)
Asian Americans Advancing Justice - AAJC
Asian Americans Advancing Justice - Asian Law Caucus
Asian Americans Advancing Justice - Atlanta
Asian and Pacific Islander American Vote
Asian Counseling and Referral Service
Asian Pacific Islander Americans for Civic Empowerment (APACE)
Association of Population Centers
Association of Public Data Users
Autistic Self Advocacy Network
Black Women's Roundtable
Black Youth Vote!
Bread for the World
Brennan Center for Justice
California Calls
Campaign Legal Center
Casa de Esperanza: National Latin@ Network for Healthy Families and Communities
Casa Latina
Center for American Progress
Center for Law and Social Policy (CLASP)
CenterLink: The Community of LGBT Centers
Children Now
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Church World Service
Claritas
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Coalition on Human Needs
Common Cause
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Congregation of Our Lady of Charity of the Good Shepherd, US Provinces
Consortium of Social Science Associations
Council for Community and Economic Research
Council of Professional Associations on Federal Statistics
Council on American-Islamic Relations (CAIR)
Council on American-Islamic Relations, California
Defending Rights & Dissent
Detention Watch Network
Education Law Center-PA
Emgage Foundation
Empowering Pacific Islander Communities
Equal Justice Society
Equality California
Faith in Public Life
Family Equality Council
Farmworker Justice
FORGE, Inc.
Franciscan Action Network
Friends Committee on National Legislation
Friends of the Earth US
Government Accountability Project
Government Information Watch
Hispanic Federation
Human Rights Campaign
Human Rights Watch
In the Public Interest
Indivisible
Insights Association
Interfaith Worker Justice
Irish Immigration Center of Philadelphia
Irish International Immigrant Center
Islamic Society of North America, Office for Interfaith and Community Alliances
Jacobs Institute of Women's Health
Japanese American Citizens League
KIDS COUNT in Delaware
Lambda Legal
LatinoJustice PRLDEF
League of United Latin American Citizens
League of Women Voters of the United States
Legal Aid at Work
Los Angeles LGBT Center
Maine Children's Alliance
MALDEF

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Massachusetts Voter Table
Mi Familia Vota
Muslim Justice League
NAACP
NAACP Legal Defense & Educational Fund, Inc.
NALEO Educational Fund
National Advocacy Center of the Sisters of the Good Shepherd
National Alliance for Partnerships in Equity (NAPE)
National Association of Social Workers
National CAPACD
National Center for Lesbian Rights
National Center for Transgender Equality
National Coalition on Black Civic Participation
National Council of Asian Pacific Americans (NCAPA)
National Council of Jewish Women
National Council on Independent Living
National Disability Rights Network
National Education Association
National Employment Law Project
National Health Law Program
National Immigrant Justice Center
National Immigration Law Center
National Institute for Latino Policy (NiLP)
National Justice for Our Neighbors
National Korean American Service & Education Consortium (NAKASEC)
National Latina Institute for Reproductive Health
National Latina/o Psychological Association
National LGBTQ Task Force Action Fund
National Low Income Housing Coalition
National Network for Arab American Communities
National Partnership for Women & Families
National Youth Employment Coalition
Natural Resources Defense Council
NC Child
NC Counts Coalition
Neighborhood Action Coalition
NETWORK Lobby for Catholic Social Justice
New Mexico Voices for Children
Northern California Grantmakers
OCA - Asian Pacific American Advocates
OneAmerica
OpenTheGovernment
People For the American Way

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PICO California
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Planned Parenthood Federation of America
PolicyLink
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Research Advisory Services, Inc.
Senior Executives Association
Service Employees International Union (SEIU)
Sikh Coalition
SiX Action
Society of American Archivists
Southeast Michigan Census Council
Southern California Grantmakers
Southern Coalition for Social Justice
Southern Echo Inc.
State Voices
Sunlight Foundation
The Children's Partnership
The United Methodist Church - General Board of Church and Society
The Voter Participation Center
UnidosUS (formerly NCLR)
Union for Reform Judaism
Union of Concerned Scientists
Voces Verdes
Voices for Progress
Voices for Vermont's Children
Voto Latino
Wallingford Indivisible
Washington Immigrant Solidarity Network
Win/Win Network
Women's Voices Women Vote Action Fund

SUPPLEMENTAL VIEWS

Memorandum for Business Meeting Was Properly Issued

On June 11, 2019, Ranking Member Jordan sent Chairman Cummings a letter contending that the Committee's memorandum for the business meeting on June 12, 2019, was not sent to Committee Members in compliance with Committee rules.[215]

The following day, prior to the Committee's business meeting, Chairman Cummings sent a letter responding to Ranking Member Jordan's concerns and explaining his interpretation of the Committee's rules.[216]

During the business meeting, Rep. Mark Meadows raised a point of order regarding this issue, and Chairman Cummings ruled that the Committee had complied with its rules. Rep. Meadows appealed the ruling of the Chairman, and his appeal failed by a vote of 15 to 20.[217]

As Chairman Cummings explained in his letter and at the Committee's business meeting, in the previous Congress, Committee Rules provided that the Chairman of the Committee circulate a memorandum to Committee Members at least 72 hours before a Committee meeting. In the 115th Congress, Committee Rule 2(f) stated:

Every member of the Committee, unless prevented by unusual circumstances, shall be provided with a memorandum at least 72 hours before each meeting or hearing explaining: (1) the purpose of the meeting or hearing; and (2) the names, titles, background and reasons for appearance of any witnesses.

Earlier this year, the Committee voted unanimously to adopt rules for the 116th Congress. Those rules included a change to Rule 2(f). Instead of requiring 72 hours' notice, the rules required three days' notice:

Every member of the Committee, unless prevented by unusual circumstances, shall be provided with a memorandum at least three calendar days (excluding Saturdays, Sundays, and legal holidays, unless the House is in session on such days) before each meeting or hearing explaining: (1) the purpose of the meeting or hearing; and (2) the names, titles, background and reasons for appearance of any witnesses.

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[215] Letter from Ranking Member Jim Jordan, Committee on Oversight and Reform, to Chairman Elijah E. Cummings, Committee on Oversight and Reform (June 11, 2019) (online at https://republicans-oversight.house.gov/wp-content/uploads/2019/06/2019-06-11-JDJ-to-EEC-re-Business-Meeting-Agenda.pdf).

[216] Letter from Chairman Elijah E. Cummings, Committee on Oversight and Reform, to Ranking Member Jim Jordan, Committee on Oversight and Reform (June 12, 2019) (online at https://oversight.house.gov/sites/democrats.oversight.house.gov/files/documents/2019-06-12.EEC%20to%20JJ%20re%20Business%20Meeting.pdf).

[217] Committee on Oversight and Reform, *Business Meeting* (June 12, 2019) (online at https://oversight.house.gov/legislation/markups/a-resolution-recommending-that-the-house-of-representatives-find-the-attorney).

N O T I C E

Incomplete record of House Proceedings. House Report 116–125 will be continued in Book III.