

ANNEX A.1 – TECHNICAL SPECIFICATIONS

D-SE-17-T06

Survey on the situation of people in need of international protection who arrived in the EU in 2015-2016

1. Technical specifications

1.1. Objective

The objective of these Technical Specifications is to provide the contractor with all the necessary information that will allow them to implement the project.

1.2. Title of the contract

The title of the contract is **“Survey on the situation of people in need of international protection who arrived in the EU in 2015-2016”**.

1.3. Contracting Authority

The contracting authority is the European Union Agency for Fundamental Rights (hereinafter referred to as the FRA or the Agency). The Agency was established by Council Regulation No 168/2007¹ on 15 February 2007. Its objective is to provide the relevant institutions, bodies, offices, and agencies of the EU and its Member States with independent, evidence-based assistance and expertise relating to fundamental rights, in the domain of Union law. Data collection (including comparative data collection in the form of survey research) and analysis on the situation of fundamental rights in the EU provides the basis for the Agency’s assistance and expertise.

2. Background information

2.1. Policy context

This survey concerns the fate of those people who reached the EU in large numbers in 2015 and 2016 – particularly those aged 16-24 years.² The unprecedented large-scale arrivals of people in need of international protection triggered significant policy responses and legal changes at the EU and at EU Member State level. This survey will look at the impact of legal and policy choices on the fundamental rights of people in need of international protection. This survey complements a parallel social research conducted by FRA (not part of this contract) which aims to explore the impact of the recent policy changes through expert interviews and focus groups with authorities and professionals working in the field of reception of people in need of international protection in the same EU Member States covered by this survey (Greece, Italy, Sweden, Germany, Austria and France).

In 2015, over one million refugees and migrants – compared with some 200,000 in 2014 – arrived by sea to Europe, mainly to Greece and Italy.³ From there, many moved onwards, initially spontaneously and later in an increasingly coordinated manner through the Western Balkan countries, primarily to Germany, Sweden and Austria but also

¹ Council Regulation (EC) No 168/2007 of 15 February 2007 establishing a European Union Agency for Fundamental Rights.

² The upper age limit will be discussed at the inception meeting and revised upwards if needed.

³ Frontex, Frontex Risk Analysis Network (FRAN) data as of 22 January 2016.

other Member States. With an estimate of over one million people requesting asylum in the EU, numbers in 2015 outweighed those at the time of the conflict in the former Yugoslavia. In 2015, Germany registered over one million arrivals, the majority of whom remained in the country, although some moved on, primarily to other countries in northern Europe. By the end of 2015, Sweden became the Member State with the highest number of asylum applications pro capita (some 11.5 applicants per 1,000 inhabitants).⁴ The overall situation put a significant strain on domestic asylum systems in countries of first arrival, transit and destination.

The increase in refugee arrivals to Europe mirrors global developments. According to the UN High Commissioner for Refugees (UNHCR), over 65 million people were displaced worldwide at the end of 2016, including over 22 million as refugees.⁵ According to Frontex, in 2016 some 500,000 people irregularly entered EU territory in that year, with Syrians and Afghans forming the largest shares. Most crossed the Mediterranean Sea to reach Italy (181,000 people) or crossed the land or sea borders into Greece (178,000 people), where arrivals dropped significantly after the EU–Turkey statement on 18 March 2016. Although individuals who reached the EU in 2016 constitute only a small portion of people displaced globally, several EU Member States faced serious difficulties in tending to their basic needs and providing adequate protection to those seeking asylum.

In 2015 and early 2016, people moving to Europe were mainly refugees, many moving on from first countries of asylum where they had not found effective protection. In 2015, more than four out of five people who crossed the Mediterranean Sea to reach Europe came from the top ten refugee-producing countries, including Syria, Afghanistan, Iraq and Eritrea.⁶ Later in 2016 and in 2017 nationalities were more diverse, with increasing numbers of people from Guinea, Nigeria, and Pakistan, among others.

According to Eurostat, out of 1,2 million asylum applications submitted in 2016 in one of the EU Member State (excluding repeat applications), 104,000 applicants were aged 14-17 years (including 23,500 girls) and 617,000 between 18-24 years⁷ (among them 156,000 women). Moreover, the increasing number of unaccompanied children put a strain on national child protection capacities but also increased the risk of children becoming victims of exploitation. In sum, teenagers and young men and women constituted a significant portion of those arriving in the EU.

Policies

In the last two years, a considerable number of initiatives have emerged, proposing significant changes to policies in the field of asylum, border management, information systems, family reunification and integration of migrants, among others.

The European Commission proposed changes to almost all core instruments of the EU *asylum acquis*, reacting to the need to simplify and shorten the asylum procedure, to discourage unauthorised onward movements of asylum seekers to other EU Member States, and increase the integration prospects of those entitled to international protection.⁸

⁴ European Commission, COM(2015) 677 final, 15 Dec. 2015, p.2.

⁵ United Nations High Commissioner for Refugees (UNHCR) (2017), Global Trends: Forced Displacement in 2016.

⁶ UNHCR, <http://data.unhcr.org/mediterranean/regional.php>.

⁷ The upper age limit will be discussed at the inception meeting and revised upwards if needed.

⁸ European Commission (2016), 'Completing the reform of the Common European Asylum System: towards an efficient, fair and humane asylum policy', 13 July 2016; European Commission, Proposal for a Regulation of the European Parliament and of the Council establishing the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States by a third-country national or a stateless person, Explanatory Memorandum, COM(2016) 270 final, Brussels, 4 May 2016; European Commission, Proposal for a Regulation of the European Parliament and of the Council on the establishment of 'Eurodac' for the comparison of fingerprints for the effective application of Regulation (EU) No. 604/2013 establishing the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States by a third-country national or a stateless person], for identifying an illegally staying third-country national or stateless person and on requests for the comparison with Eurodac data by Member States' law enforcement authorities and Europol for law enforcement purposes (recast), COM(2016) 272 final, Brussels, 4 May 2016; European Commission, Proposal for a regulation of the European Parliament and of the Council on the European Union Agency for Asylum and repealing Regulation (EU) No. 439/2010, COM(2016) 271 final, 4 May 2016; European Commission, Proposal for a directive of the European Parliament and of the Council laying down standards for the reception of applicants for international protection (recast), COM(2016) 465 final, Brussels, 13 July 2016; European Commission, Proposal for a regulation of the European Parliament and of the Council establishing a common

The significant number of people who crossed the EU's external border and moved onwards without authorisation, together with concerns about threats to internal security, prompted Member States to reintroduce internal **border controls** within the Schengen area. At the end of 2015, border controls within the Schengen area were in place at some sections of the borders of four EU Member States (Austria, France, Germany and Sweden) and Norway. None of them lifted internal controls in 2016. In January 2016, Denmark also temporarily reintroduced border controls.⁹

Efforts were made to increase legal channels into the EU in 2016 with regards to the resettlement of refugees to the EU from a third country. However, this was offset by significant restrictions in national **family reunification** laws. Many beneficiaries of international protection who reached the EU as part of the 2015 migration flows have family members abroad. Bringing them to the EU lawfully is becoming increasingly difficult. In 2016, at least seven Member States restricted their family reunification legislation, with the effect of reducing or delaying family reunification possibilities, particularly for beneficiaries of subsidiary protection. Four of these were among the five countries with the highest arrivals of Syrians in 2015 as well as 2016, according to Eurostat: Germany, Hungary, Sweden and Austria.¹⁰

As regards integration of migrants, the European Commission's 2016 Action Plan for the **integration** of third-country nationals¹¹ provides a common policy framework and supporting measures to help Member States further develop and strengthen their national integration policies for third-country nationals.

In the field of child protection, the European Commission's Communication issued on 12 April 2017 "[The protection of children in migration](#)" lists priority actions for the Commission and the Member States. The Communication integrates a notable amount of the Agency's research findings and recommendations, drawing also from FRA's [mapping of national child protection systems](#).

2.2. Related FRA research

Since September 2015, FRA has been publishing regular weekly and later monthly updates on the fundamental rights challenges resulting from the asylum and migration situation in selected Member States.¹² These updates initially covered nine EU Member States and were further expanded to 14 states along the migratory routes. They describe – at national level – first registration, initial reception conditions and challenges, trends with regard to violent crimes against asylum seekers and migrants, as well as police responses, and the situation of particularly vulnerable groups.

The successful inclusion of people in need of international protection and the integration of third-country nationals more generally is a multidimensional process. It depends on a number of factors including economic and labour-market participation, access to education, housing conditions, and also on elements that are more difficult to measure such as social integration. These elements are also linked to each other. For instance, education (including language acquisition) is a strong driver of the labour market integration of migrant youth.

procedure for international protection in the Union and repealing Directive 2013/32/EU, COM(2016) 467, Brussels, 13 July 2016; European Commission, Proposal for a regulation of the European Parliament and of the Council on standards for the qualification of third-country nationals or stateless persons as beneficiaries of international protection, for a uniform status for refugees or for persons eligible for subsidiary protection and for the content of the protection granted and amending Council Directive 2003/109/EC of 25 November 2003 concerning the status of third-country nationals who are long-term residents, COM(2016) 466, Brussels, 13 July 2016; European Commission, Proposal for a regulation of the European Parliament and of the Council establishing a Union Resettlement Framework and amending regulation (EU) No 516/2014 of the European Parliament and the Council, COM(2016) 468 final, 13 July 2016; this proposal also contains changes to the Asylum, Migration and Integration Fund. All EU legal instruments and case law are available at European Union Law.

⁹ See Council Implementing Decision (EU) 2016/1989 of 11 November 2016 setting out a recommendation for prolonging temporary internal border control in exceptional circumstances putting the overall functioning of the Schengen area at risk, OJ L 306, 15 November 2016, pp. 13–15; see also European Commission, Temporary Reintroduction of Border Controls.

¹⁰ Eurostat (2017), 'First time asylum applicants by country of citizenship in 2016, 46/2017, 16 March 2017; Eurostat (2016), Record number of over 1.2 million first time asylum seekers registered in 2015, 44/2016, 4 March 2016.

¹¹ European Commission (2016), Action Plan on the integration of third country nationals, COM(2016) 377 final, 7 June 2016.

¹² See <http://fra.europa.eu/en/theme/asylum-migration-borders/overviews>.

For asylum applicants and beneficiaries of international and humanitarian protection additional elements impact on their possibility to successfully integrate in the host countries, including the certainty of their residence status.¹³

In close cooperation with the European Commission, in 2014 FRA started a project on social inclusion and migrant participation in society. The aim was to collect data and create rights-based indicators on the protection, respect, promotion and fulfilment of the fundamental rights of migrants in the EU. Secondary data was collected through desk research, mapping the relevant law and policy tools related to equality and non-discrimination, education, language learning, political participation, participation in associative life, along with other aspects of social cohesion and inclusion in society. The results of this project were presented in the 2017 publication '[Together in the EU - Promoting the participation of migrants and their descendants](#)'.¹⁴

The Agency continues its focus on child protection at different levels, including by supporting the development of standards in the field of guardianship and age assessment – in the context of asylum – in cooperation with the European Commission, the European Asylum Support Office and the Ad-hoc Committee for the Rights of the Child of the Council of Europe. The work on guardianship draws from the Agency's [Handbook](#) and [report](#) on guardianship systems for children deprived of parental care. Also, in its legal opinions on the proposals for the revised Dublin and Eurodac Regulations the Agency specifically raises concerns in the area of protection of children in migration.

In 2009, the FRA published [two thematic reports on the situation of asylum seekers](#). Building on the views of asylum seekers staying in the EU, the reports explored how effectively information is provided to asylum seekers across the EU and how asylum seekers perceive access to effective remedies if their asylum application is denied.

In order to make up for the absence of official data and to document the situation of different vulnerable groups, the FRA has undertaken several surveys to date, including:

- [European Union Minorities and Discrimination Survey \(EU-MIDIS\) \(2008\)](#)
- [Roma survey \(2011\)](#)
- [EU LGBT survey \(2012\)](#)
- [Survey on Jewish people's experiences and perceptions of antisemitism \(2012\)](#)
- [Survey on Violence against women \(2012\)](#)
- [Second European Union Minorities and Discrimination Survey \(EU-MIDIS II\) \(2015\)](#)

These surveys have provided the Agency, the EU and its Member States with rich datasets on the experiences of particular groups, which the current survey will follow in the tradition of.

3. Contract Objectives and Expected Results

3.1. Overall objective

The overall objective of the contract is the implementation of the “*Survey on the situation of people in need of international protection who arrived in the EU in 2015-2016*”. All tasks carried out under this contract shall be executed **within 11 months from the contract signature** respecting the relevant legislation and in compliance with

¹³ See UNHCR, Note on the Integration of Refugees in the European Union, May 2007.

¹⁴ FRA (2017), Together in the EU – Promoting the participation of migrants and their descendants, available at <http://fra.europa.eu/en/publication/2017/migrant-participation>.

The objective of the “Survey on the situation of people in need of international protection who arrived in the EU in 2015-2016” is to collect comparable data in **six EU Member States** (Austria, France, Germany, Greece, Italy and Sweden) to support the EU in protecting the fundamental rights of applicants and beneficiaries of international protection. The **project targets a minimum net sample size of 3000 respondents** across the six EU Member States, whereby a **minimum of 400 interviews** should be administered by the contractor in each EU Member State covered by the survey.

More specifically, the survey will focus on people who are finishing school and are in a position to start work. Therefore, it will concentrate on older children (16 up to 17 years of age) and young adults from 18 up to 24 years of age. The upper age limit will be discussed at the inception meeting and revised upwards, if needed. The research will cover boys/young men as well as girls/young women and will pay attention to gender similarities and differences.

The thematic areas covered by the survey are:

- Residence status of the individual and his/her family members and whether it affects the desire and opportunities to integrate;
- Family tracing and family reunification experiences and how these affect integration;
- De facto enjoyment of selected social rights by asylum applicants and by people granted protection, and the impact of this on integration, focusing on the following:
 - education (including compulsory schooling, language training, vocational training, traineeships, apprenticeships etc.);
 - social assistance;
 - housing and how it impacts on segregation of persons in need of international protection.
- Asylum applicants and protection status holders as victims and also (potential) perpetrators of crime as a reflection of their strained social circumstances and living conditions:
 - Persons in need of international protection as victims of crime, including hate crime;
 - Persons in need of international protection as (potential) perpetrators of crime.

3.2. Scope of work – general

The scope of the work that the contractor is expected to undertake encompasses all aspects of work relating to the survey, including, but not necessarily limited to, the following **project activities**:

- background research and preparatory work
- consultation and setting up cooperation with national experts, organisations and stakeholders
- development of a sampling design and country specific sampling plans
- finalisation of the questionnaire (together with the FRA), for which the Agency has the final decision on content
- development of survey tools
- translation of the questionnaire and survey tools
- interviewer selection
- interviewer training
- all fieldwork/data collection (pre-test and full-scale survey)
- quality assurance - quality control in all stages of the survey and reporting of outcomes
- data coding, entry and processing
- data weighting, if necessary
- calculation of selected indicators and tabulation of results

15 ICC: International Chamber of Commerce - The World Business Organisation

16 ESOMAR: The European Society for Opinion and Market Research

17 Available at: <http://www.esomar.org/publications-store/codes-guidelines.php>

18 WAPOR: World Association for Public Opinion Research

19 Available at: http://wapor.org/pdf/ESOMAR_Codes&Guidelines_OpinionPolling_v5.pdf

- progress and technical report.

The contractor shall use quantitative survey research methods in order to achieve the overall objective of this tender. The survey data shall be collected concurrently in all survey countries requested by FRA through the use of standardised data collection techniques and face-to-face interviews.

The contractor shall assume complete legal responsibility for work undertaken for FRA under the terms of the contract. The contractor shall be the sole contact point with FRA, with responsibility for ensuring the **quality, consistency, and timeliness** of work carried out in each EU Member State.

The contractor will be responsible for all aspects of field research, data collection, management and delivery, in consultation with FRA, and in line with these Technical Specifications.

In order to manage a cross-national survey efficiently and effectively, the contractor shall **set organisational and survey quality standards** for all participating survey organisations and/or local experts. Roles and responsibilities shall be clearly delineated and communicated throughout all levels (see Section 6 Project management).

The contractor shall have a **central management team** to oversee all aspects of work relating to the survey undertaken in the six EU Member States. The central management team should include a **general coordinator**, a **senior survey expert** and a **sampling and weighting expert**. Alongside the central management team, the project team includes a coordinator for each EU Member State (as specified in Section 6 Project management), which should be a **senior survey expert**. The central management team is expected to report regularly to FRA on the progress of the work of each national team. In addition, the contractor shall also provide FRA with a direct contact person from each national team, who may be contacted by FRA directly, when necessary.

The contractor shall develop a **quality assurance and control plan** that clearly outlines all relevant procedures, such as monitoring the quality at all stages of the survey life cycle and of all project deliverables, as appropriate considering the scope and volume of the work of the survey. The draft quality assurance and control plan provided in the technical offer will be discussed at the inception meeting. The final quality assurance and control plan shall be annexed to the Inception Report (Deliverable 1), and after the implementation of the survey the contractor shall report on the quality control strategy used and the way it was implemented (as part of Deliverable 10 - Final technical and quality report). The quality assurance and control plan identifies the key indicators that will be monitored throughout the preparation and implementation of the survey, includes remedies for eventual problems, and outlines how the contractor will report on the quality assurance and control.

The "Survey on the situation of people in need of international protection who arrived in the EU in 2015-2016" is a comparative survey. To ensure comparability between countries and/or target groups, the contractor shall ensure that methods and procedures are applied consistently in all countries surveyed in compliance with the Technical Specifications within the time-frame allocated to the project. If during the preparatory stages of the survey the contractor identifies any barriers to the consistent application of the Technical Specifications, they may propose to FRA fully justified alternatives for approval.

For a more detailed description of the tasks to be carried out and the deliverables see Section 4 (Specific Activities) and Section 5 (Deliverables) of these Technical Specifications.

3.3. Scope of work – specific

The "Survey on the situation of people in need of international protection who arrived in the EU in 2015-2016" shall cover six EU Member States (Austria, France, Germany, Greece, Italy and Sweden).

To reach the objectives of the project, the contractor shall use quantitative survey research methods. The survey data shall be collected through the use of a standardised interviewing technique across the six participating Member

States. The survey interviews will be carried out **face-to-face** in each country by interviewers who have completed in-person training for this survey. The use of **automated survey systems** (electronic data collection), such as computer-assisted personal interviewing (CAPI), shall be applied and customised, wherever feasible. If CAPI interviewing is not feasible in some countries, the interviews can be carried out using paper questionnaires (PAPI) following approval by FRA.

The interviews will be conducted using a **standardised questionnaire**. The source questionnaire will be developed by FRA and delivered to the contractor in English. The contractor is expected to comment on the draft questionnaire and contribute to its finalisation.

To ensure comparability between countries, the contractor shall ensure that methods and procedures are applied consistently in all countries surveyed in compliance with these Technical Specifications within the timeframe allocated to the project. If during the preparatory stages of the survey the contractor identifies any barriers to the consistent application of the Technical Specifications, they may propose to FRA fully justified alternatives for approval, but FRA is under no obligation to accept these changes.

The survey and sampling design will be tailored to reflect the diversity of the target groups and the specific conditions in the survey countries, including the establishment of an appropriate sampling frame, if none is available. The contractor shall make every possible effort to design and implement the survey in such a way that its results can be considered representative of the target population in each survey country and comparable, to the extent possible, across countries.

Respondents in all countries surveyed should be offered the possibility to reply to the survey questions in the official language(s) of each EU Member State (so called 'target languages'), as well as in one of the following 'first' languages²⁰ (in case respondents are not proficient in the target language of the questionnaire): Arabic, Farsi/Dari and another language that will be communicated by FRA following the inception meeting. Arabic and Farsi/Dari are the languages spoken, inter alia, in Syria and Afghanistan, two top countries of origin of people in need of international protection. Therefore, once finalised, the contractor is expected to translate the questionnaire into a total of eight languages (see Activity 4).

The project activities shall include the following: all preparatory work; sampling; development of survey tools and translations; pre-test; interviewer selection and training; data collection, and all activities related to survey quality assurance; data coding, entry and processing, weighting (where relevant); calculation of selected indicators and tabulation of results; and the final technical reporting.

Prior to the start of the full-scale data collection, the contractor shall carry out a **pre-test** of the full questionnaire in **each of the six EU Member States** (see Activity 6 Pre-test and pre-test report), which should include at least **30** overall successfully completed **interviews, ranging between five and seven interviews per EU Member State** covered in the survey.

The contractor is expected to conduct the survey in **two or three regions or cities** per Member State, as per table 1, depending on the size and total population size of the Member State. Overall, the contractor is expected to conduct the interviews in **15 regions or cities**.

Table 1. Number of regions/cities to be covered by the survey in the six EU Member States:

Austria:	2
France:	3
Germany:	3
Greece:	2
Italy:	3

²⁰ 'First' language refers to the language in which the respondent feels most proficient.

The regions or cities reflect differences between bigger cities and smaller towns, and cover economically richer and poorer areas. Table 2 presents the provisional list of cities and regions where the contractor is expected to conduct the survey in each Member state covered by the research. This list may still be amended. **FRA will communicate to the contractor the final list of cities and regions where to conduct the survey by the time of contract signature.**

Table 2. Provisional list of of regions/cities to be covered by the survey in the six EU Member States:

Austria:	Vienna, Upper Austria
France:	Ile de France, Calais, Cote d'Azur
Germany:	Berlin, Bremen, Lower Saxony
Greece:	Athens, Lesvos
Italy:	Rome, Milan, Reggio Calabria
Sweden:	Gothenburg, Norrbotten

NOTE: FRA will conduct qualitative expert interviews in the context of its other ongoing social research project (not part of this contract) in the same regions or cities.

Please note: The **overall minimum net sample size** of 3000 successfully completed interviews **cannot be decreased**. A **minimum of 400 interviews** should be administered by the contractor in each EU Member State in the selected regions or cities covered by the survey. The remaining interviews should be allocated according to the size of the Member State and the size of the target population in the Member States covered by the research. The contractor's suggestion will be subject to FRA's approval.

3.4. Target population: terms and definitions

The target population of the survey includes third-country nationals and stateless persons aged 16-24 who arrived in the EU in 2015 or 2016 in an irregular manner and who seek or have already obtained international protection²¹ or a humanitarian status in one of the six EU Member State selected for the survey. The upper age limit will be discussed at the inception meeting and revised upwards if needed.

More specifically, the target groups include the four following categories:

- a) refugees;
- b) subsidiary protection status holders;
- c) holders of a national residence permit on humanitarian grounds;
- d) applicants for international protection.

In the context of this project, the four target groups are defined as follows.

- a) **A refugee** is a third-country national or stateless person who, owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, political opinion or membership of a particular social group, is outside the country of nationality and is unable or, owing to such fear, is unwilling to avail himself or herself of the protection of that country (Article 2 (d) of Directive 2013/32/EU). Refugee status means the recognition by a Member State of a third-country national or a stateless person as a refugee (Article 2 (e) of Directive 2013/32/EU).

²¹ According to the EU Qualification Directive (2011/95/EU), a beneficiary of international protection is a person who has been granted refugee status or subsidiary protection status (Article 2 (a)).

- b) **A person eligible for subsidiary protection** means a third- country national or a stateless person who does not qualify as a refugee but in respect of whom substantial grounds have been shown for believing that the person concerned, if returned to his or her country of origin, or in the case of a stateless person, to his or her country of former habitual residence, would face a real risk of suffering serious harm (Article 2 (f) of Directive 2013/32/EU). ‘Subsidiary protection status’ means the recognition by a Member State of a third-country national or a stateless person as a person eligible for subsidiary protection (Article 2 (g) of Directive 2013/32/EU).
- c) **A holder of a national residence permit on humanitarian grounds** is an individual who enjoys a right to stay based on humanitarian considerations as envisaged under national law in the Member State.
- d) **An applicant for international protection** is a third-country national or a stateless person who has made an application for international protection in respect of which a final decision has not yet been taken (Article 2 (h) of Directive 2013/32/EU).

The target group does not include migrants in an irregular situation because they are not usually targeted by measures of inclusion or integration. FRA has covered the situation of irregular migrants comprehensively in 2011.

In each of the six EU Member State covered by the survey, there should be a balanced distribution of interviews among the four target groups.

Finally, applicants for international protection (group d) should only be interviewed if they come from countries which have at EU level a significant likelihood of receiving protection status. Therefore, only nationals from countries with a recognition rate of at least 51 % at the EU level in 2015 or 2016 are to be included. Table 3 presents the list of countries of origin to be surveyed in each of the EU Member State.

Table 3. Countries of origin of applicants for international protection to be included in the survey, per Member State

Austria:	Afghanistan, Syria, Iraq, Iran, Somalia
France:	Sudan, Syria, Afghanistan, Iraq, Eritrea, Somalia
Germany:	Syria, Afghanistan, Iraq, Iran, Eritrea, Somalia,
Greece:	Syria, Afghanistan, Iraq, Iran, Somalia
Italy:	Eritrea, Afghanistan, Somalia, Iraq, Syria, Sudan
Sweden:	Syria, Afghanistan, Iraq, Eritrea, Somalia, Iran

The exact list of nationalities will be further discussed and, if necessary, revised following the completion of the background research.

Source, Eurostat 2015 and 2016

The selection of the target group according to ‘country of origin’ shall apply **only** to applicants for international protection (group d), and not to the other three target groups i.e. refugees, subsidiary protection status holders or holders of a national residence permit on humanitarian grounds.

In sum, the target group selection shall be based on the following variables:

- Residence status (four groups)
- Age (16-24)²²
- Time of arrival in the EU (2015 or 2016)
- Regions or cities (pre-selected regions or cities in each Member State)

²² The upper age limit will be discussed at the inception meeting and revised upwards if needed.

- Country of origin for applicants for international protection (pre-selected countries of origin in each of the six EU Member States)

Eligibility to take part in the survey will be established through screening questions at the beginning of the interview.

3.5. Expected results

The contractor is expected to carry out the work as described in Section 4 resulting in deliverables as presented in Section 5.

4. Specific Activities

Please note:

The contractor shall comply strictly with **national and EU data protection legislation**, especially Regulation EC No. 45/2001 and Directive 95/46/EC, as well as regulation EC No. 322/97 on the processing of data for statistical purposes. In particular, data collected in interviews carried out with individuals in respect of their personal experiences will be processed **anonymously**, ensuring that the person cannot be identified. With respect to data subjects interviewed on an identified basis as a result of their contact details being known, the FRA shall be entitled to request and obtain access to the data processed on its behalf from contractors at any time. The FRA shall be informed promptly by contractors of any request of access and rectification that they receive directly from data subjects; contractors shall await instructions from the FRA before responding to any such request, and shall act promptly upon receiving instructions from the FRA.

This section describes the activities that the contractor shall carry out during the project life cycle. Table 4 provides an overview of the activities.

Table 4: Activities to be carried out during the project cycle

1. Background research and preparatory work
2. Development of sampling plans
3. Questionnaire finalisation and development of survey tools
4. Translations of survey questionnaire and survey tools
5. Interviewer selection
6. Pre-test and pre-test report
7. Interviewer training
8. Data collection
9. Data coding, entry and processing
10. Calculation of selected indicators and tabulation of results

Activity 1: Background research and preparatory work

Preparatory work shall involve the collection of information that is necessary to successfully carry out the survey and includes the mapping of sampling frames as well as the development of a quality assurance and control plan.

In order to determine the size, characteristics, and geographic distribution of the survey target groups in each of the six EU Member States and identify relevant sampling frames, the contractor shall collect and analyse existing information from different sources, such as national/local administrative bodies, national quantitative surveys, qualitative research, national and local NGOs and/or other civil and international society organisations, international organisations etc.

Official information on the distribution among the target population of the criteria identified as relevant for this research (see Activity 2) i.e. residence status and type of permit, gender, nationality, age, accompanied/unaccompanied children, country of origin, type of accommodation per target group at a national level - should also be included.

Any existing sampling frame must be assessed in terms of ease of access, timeliness, coverage, and quality. The contractor will work in close cooperation with FRA in order to develop strategies to cover the target population most effectively to achieve a sufficient gross sample size.

Sampling frames shall include information on the units to be selected and, to the extent possible, characteristics of the unit which can be used for stratification of the sample (prior- and post-stratification). This may include estimates on the concentration of the target population in a primary sampling unit (PSU), urbanity, household size, etc.

In the absence of sampling frames, and if time-location based sampling is adopted, the background research should include a thorough mapping of possible venues/centres to be covered in the regions or cities selected in each Member State and for each target group, and should develop strategies to capture the target population most effectively and in sufficient gross sample size. In the absence of administrative sources, such mapping can be established based on experts' assessment, estimates or informal sources.

Sampling may be based on a combination of different frames and data sources.

This information shall contribute to the development and validation of an overall sampling plan. The contractor, in close consultation with FRA, shall also establish links with national/local organisations, municipal offices, and communities working directly or in close co-operation with the target groups to be surveyed in each EU Member State, as necessary for carrying out the preparatory work and other project activities. This shall contribute to the development and validation of the country-specific and group-specific sampling plans and also facilitate access to hard-to-reach respondents.

The data and information gathered during the mapping exercise and used for the development of the country-specific sampling strategies shall be organised, fully documented and made available to FRA in a suitable format such as spreadsheets, including documents to facilitate further processing and easy retrieval of information throughout the project.

The contractor shall develop a list of variables of metadata and paradata, which are necessary for documenting and controlling the country specific survey approach: This list shall be filled and updated systematically before and during fieldwork and shall help to contextualise the survey, monitor its progress, assess the quality of the data and feed into the weighting (where necessary) and other estimations of data necessary to implement the survey. Depending on the country survey strategy, these variables shall collect information: on the locality, where the interview took place; the sampling process; the interview itself; the respondent; and the interviewer; as well as other information including response/non-response rates.

The contractor shall pay particular attention to the sensitive nature of collecting data on persons in need of international protection and take into account the different legal and cultural contexts across countries. The quality assurance and monitoring plan shall give due consideration to the full respect of human rights principles in data collection in every activity of the project.²³

The final list of issues to be covered in the background research shall be discussed at the inception meeting and included by the contractor in the Inception Report. The quality assurance and control plan should be finalised following the inception meeting (see Deliverable1).

²³ See UN-OHCHR: A human rights based approach to data: <http://www.ohchr.org/Documents/Issues/HRIndicators/GuidanceNoteonApproachtoData.pdf>.

Activity 2: Development of sampling plans

Target population(s)

The target population of the survey includes third-country nationals and stateless persons aged 16-24²⁴ who arrived in the EU in 2015 or 2016 in an irregular manner and who are seeking or have already obtained international protection or humanitarian status in one of the six EU Member State selected for the survey. The upper age limit will be discussed at the inception meeting and revised upwards if needed.

The target population includes beneficiaries of international protection (refugees as well as subsidiary protection status holders), holders of a national residence permit on humanitarian grounds, and asylum seekers. As far as possible, given the diversity of these populations and of country contexts, the survey needs to reflect country specifics while maintaining comparability across countries.

The eligibility of a respondent for an interview will be established with a set of screening questions, which the contractor shall develop to be approved by FRA. The final set of screening questions for use in each EU Member State and with regard to each target group shall be submitted for approval by FRA before their use in the field.

In some countries, the target populations are **hard to reach**. Sampling of hard-to-reach populations cannot rely on the same principles that apply when sampling the general population. Therefore, the contractor shall develop and implement the appropriate procedures for sampling the target groups of the survey.

The contractor should suggest and describe a possible sampling design for each of the two following scenarios, as developed in the technical offer:

- 1- At the outset, the survey sets out to achieve a **random probability sample** of each target group to be surveyed in the six EU Member States covered, so that the survey results can be generalised to the target populations for the selected geographical areas in each country.
Sampling individuals should be based on a sampling frame in each EU Member State. Wherever possible, a sampling approach shall establish the sampling frame in such a way that each member of the target group has a calculated (non-zero) probability to be selected. The sample should be drawn from registers covering the target population such as registries of asylum seekers and refugees available at national, regional or local level. FRA will be responsible to get access to such registries in the six selected Member States.
- 2- If an exhaustive list of population members is not available or not accessible in each of the six selected EU Member States, the survey must be based on an **alternative sampling** plan or a combination of different sampling approaches – as proposed by the contractor – to reach the minimum net sample size, after taking into account an optimal allocation across countries.. For instance, an alternative way to obtain a representative sample could be **area based location sampling**.²⁵ Location-based sampling is useful for collecting information on hard-to-reach populations by sampling locations where individuals belonging to the target group gather/live or can be found and then sampling those who attend.

The survey shall adopt a variety of sampling approaches if the availability, quality and choice of sampling frames differs across EU Member States and/or target groups.

The final sampling plan shall be implemented upon approval by FRA.

²⁴ The upper age limit will be discussed at the inception meeting and revised upwards if needed.

²⁵ Gianluca Baio, Gian Carlo Blangiardo, Marta Blangiardo. (2011). Centre Sampling Technique in Foreign Migration Surveys: A Methodological Note. Journal of Official Statistics, Vol. 27, No. 3, 2011, pp. 451–465.

Following award of contract, the contractor shall work in close cooperation with FRA when developing and implementing the overall sampling design and the country/group-specific sampling approaches. The contractor shall specify and justify the proposed sampling plan for each country. The final sampling design – developed under the lead of the senior survey expert – shall be implemented upon approval by FRA.

Due attention should be given in the design and application to the following criteria:

- Gender
- Age
- Accompanied/unaccompanied children
- Country of origin.

Gender

The survey shall target women as well as men.

Age

The survey shall target children (16-17) as well as adults (18-24). The upper age limit will be discussed at the inception meeting and revised upwards if needed. Among children, the survey should include both accompanied and unaccompanied children. Unaccompanied children, for the purpose of this study, are children (as defined by the United Nations Convention on the Rights of the Child) from third countries, who arrive on the territory of an EU Member State unaccompanied by an adult responsible for them, or who are left unaccompanied after they have entered the territory of the Member State.

Country of origin

Diversification with regard to country of origin shall be taken into account.

In addition, the sample plan should take into account to the extent possible the **housing type** of the target group. Accommodation of applicants for international protection may be collective (for example a reception centre) or individual (for example a house or flat) depending on the Member State, and may also reflect other considerations e.g. the profile of the asylum seeker and the phase of the asylum procedure. Different accommodation may have an impact on access to services and inclusion into the host society. For this reason, individuals living in collective as well as individual types of accommodation should be interviewed.

Based on the results of the background research (Activity 1) the contractor shall suggest and justify how the above-mentioned criteria will be reflected and applied in the overall sample design in each of the six Member States and for each target group (a) to (d), both in the case where register/list-based random sampling is used (option 1), as well as when other sampling strategies are proposed due to the unavailability of an exhaustive list of population members (option 2). For instance, in case random sampling is used, a multistage stratified sample could be applied.

The proposed sample plan should be applied only following FRA's approval.

Sample size(s)

The **minimum overall net sample size** is 3000 successfully completed interviews in the six selected EU Member States. In each EU Member State, **the minimum sample size should be 400 respondents per Member State.**

Any reallocation of the sample sizes or additional interviews proposed by the contractor shall be distributed across countries and groups according to the plan for sample allocation provided by the contractor and approved by FRA.

Response rates

Response rates should be documented and such documentation should be provided to FRA. The contractor should aim at high response rates. The contractor is expected to adopt strategies to increase the response rates.

Activity 3: Questionnaire finalisation and development of survey tools

Survey questionnaire

FRA will provide the contractor with the survey questionnaire in English, in MS Word format ('source questionnaire').

The questionnaire content will be constrained by the implications arising from the time it takes (on average) to answer and the need to minimise the time-burden to the respondents. The fieldwork should aim to deliver each questionnaire within an average period of **40 minutes** (based on the English version). The survey typically asks all respondents questions about their experiences with residence status, family reunification and knowledge and enjoyment of social rights. Follow-up questions are asked only to those respondents with specific experiences. Therefore, **the number of questions asked and the duration of the interview depend on the respondent's experiences and answers to previous items.** This means that the interviews of respondents who did not experience specific problems will be significantly shorter. The final survey questionnaire will include a number of complex routing patterns. Therefore, the contractor shall consider conducting the face-to-face fieldwork by **using automated survey systems** such as CAPI, etc. The technical design of the instrument shall be consistent across different survey settings, and shall help to minimise the burden placed on interviewers and respondents (i.e. maximise usability). If the application of automated survey systems is not feasible in some countries, and upon prior approval by the FRA, the interviews can be carried out using paper questionnaires (PAPI). The training should include training and practical exercises with PAPI, when used.

Any adaptations to the design, interview administration mode or data collection technique need to be approved by FRA.

Metadata and paradata

In cooperation with FRA, the contractor will supplement the core questionnaire with items necessary for screening and selection of eligible respondents, a set of debriefing items for the collection of interviewer feedback on each interview, and a set of items collecting other relevant metadata and paradata with regard to venue, location, region etc.

Metadata and paradata also provide information for example on sampling, characteristics of non-respondents, interview setting, interview duration and other related items which cannot be collected from the respondent (e.g. information about the location, neighbourhood; information about the interviewer).

To enable **non-response analysis** the information recorded on contacts and non-contacts is of high importance. Therefore, all relevant metadata/paradata (e.g. contact process data) must be recorded and provided to FRA.

The contractor shall develop a list of paradata and metadata variables, which will need to be approved by FRA. **All metadata and paradata shall be linked unambiguously to the survey data via a unique identifier.**

The final questionnaire for application in each of the countries, and which contains the items for collecting the aforementioned paradata, cannot be altered – with respect to both its content and form – without the prior written agreement of FRA.

Survey tools

The contractor shall develop and provide all relevant fieldwork materials necessary for the implementation of the survey such as an information letter for the respondents, interviewer instructions, questionnaire instructions, show

cards, list of services or civil society organisations that could be offered to the respondent after the interview, etc. (further referred to as survey tools).

The survey tools shall be translated in all survey languages (as listed under Activity 4: Translations of survey questionnaire and survey tools). An English version of the survey tools shall be sent to FRA for review and approval before translation into other languages.

Interviewer training materials

The contractor shall develop a **survey training package** that shall be a standardised package for the training of the interviewers in all six selected EU Member States. The survey training package shall be submitted and approved by FRA before the training starts.

The national survey experts in each country will organise the interviewer training based on the survey training package, which will also act as a reference for the interviewers who shall receive a personal copy before the training.

The survey training package shall describe in detail:

- the background, purpose and topics of the study;
- how to use the fieldwork materials;
- the sampling technique(s) to be applied in each country and, where relevant, for each target group;
- the procedure to be followed for selecting a respondent;
- the structure of the questionnaire and how to conduct the interview;
- any other technical aspects related to the work of the interviewers in carrying out the fieldwork;

In particular, the training shall address measures to:

- ensure understanding of the roles of the interviewer and the supervisor in the research process
- ensure that the rules of selection of respondents and the sampling plan are strictly followed
- ensure the safety of the respondents and the interviewers
- ensure confidentiality
- ensure privacy of the interview setting and how to deal with interruptions by other persons
- putting the respondent at ease
- dealing with respondents who are not proficient in the language(s) of the EU Member State to be surveyed or who are illiterate
- dealing with respondents who experienced trauma
- dealing with sensitive situations and distressed respondents
- how best to communicate to overcome resistance to interviewing female respondents
- monitoring and supervising the interviewing process

In developing the survey training package, the contractor shall include, as applicable, relevant ethical and safety recommendations that apply for researching individuals/groups who might have experienced traumatic experiences, including crime and related experiences, which should include referral to specific support organisations.

We strongly encourage the contractor to involve representatives of civil society organisations, immigrant/ethnic communities, or other local organisations who can facilitate access to hard-to-reach communities.

The survey training package must contain a core set of instructions to be used in all participating countries, and may also contain additional country-specific instructions, which must be approved by FRA.

Additional practical training shall be included for EU Member States (and target groups) where PAPI mode is foreseen.

Coordination and briefing meeting

After developing the survey questionnaire and the interviewer training materials, the Project Coordinator shall organise a **one-day meeting** with the Survey and Sampling expert, the National Survey Experts and FRA. The meeting should discuss all issues related to the project execution, and a significant part of the meeting should be dedicated to development of a train-the-trainers session (see activity 7). The train-the-trainers sessions shall give the National Survey Experts the necessary knowledge and skills for training the interviewers in their countries, based on the interviewer training materials.

Activity 4: Translation of survey questionnaire and survey tools

The contractor shall be responsible for translating the questionnaire and as the survey tools into the languages necessary for carrying out the survey. The questionnaire and the survey tools shall be translated into the following official EU languages:

French, German, Greek, Italian, and Swedish.

In addition, the questionnaire and the survey tools (e.g. show-cards, information letter for the respondents, etc.) shall be translated into **Arabic and Farsi /Dari plus another language to be determined**. In total, the translations shall be made from English into **eight languages**.

Country-specific terminology and idiomatic expressions will be avoided in the final English-language survey tools, to ensure ease of translation into other languages.

In translating the questionnaire and the other survey tools into each of the five target languages (**French, German, Greek, Italian, and Swedish**) the following procedure should be applied: one translator shall translate the survey questionnaire and the other survey tools from English into the target languages. The translated versions will be submitted to FRA who will review the translations and provide comments. In case possible differences and translation options emerge, FRA will inform the contractor and the contractor will set up a video/teleconference with the translator, the National Survey Expert and FRA staff to discuss the different options. Based on the decisions taken during this meeting, the contractor will finalise the French, German, Greek, Italian, and Swedish translations of the questionnaire and the other survey tools.

For **Arabic, Farsi/Dari and the other non EU language to be determined** the contractor should provide two translators to **independently** translate the survey questionnaire and the additional survey tools from English into each of these languages. Upon completion of the two independent translations, the translators and the project coordinator shall meet to review the translations, agree on a merged version, and identify possible differences or translation options. The project coordinator will take a final decision about the translation and shall reconcile suggested versions or translation options from the preceding steps.

The contractor shall document each step in the translation process recording potential problems identified, the rationale for any specific revisions with regard to each translation language.

In translating the questionnaire, every effort shall be made to ensure **category** equivalence, **functional** equivalence and **conceptual** equivalence. It is important that the translations shall be readily understandable by potential respondents, taking into account that some of them may not be fluent in the language of the interview.

The contractor will have at their disposal the existing translations of other relevant FRA surveys, e.g. from EU-MIDIS 2016, along with recommendations for improvements.

The information letter for the respondents (around one A4 page) should be translated into the eight (8) languages listed above.

The contractor shall be responsible for translating the survey training package into the five target languages of the six EU Member States covered by the research (German, French, Swedish, Italian and Greek).

Activity 5: Interviewer selection

The contractor shall select the interviewers at an early stage of the project (e.g. in the sampling period). The contractor is required to determine the number and type of interviewers required and to assign the sample and the maximum number of interviews per interviewer taking into consideration: sample size, mode of data collection and language of the interview, geographic distribution of the target groups and timing and duration of the data collection period.

Interviewers shall have: active interviewing experience of at least three months and/or have undergone adequate training in basic survey interviewing skills for the purposes of the survey; computer skills (if an automated survey system is to be used); conversational and organisational skills. The contractor shall be responsible for the selection of an adequate number of interviewers in order to carry out all the interviews within the foreseen fieldwork period by recruiting 10-15% more than the number of interviewers needed in each Member State to allow for attrition and possible dismissal of interviewers who do not perform up to the required standards.

In the interviewer selection process, the contractor shall apply good practices and lessons learned in interviewing third-country nationals. This may involve matching interviewer and respondent characteristics, when it is expected to affect respondents' answers. As far as possible, the contractor should recruit a pool of interviewers that can allow for: 1) matching of respondents and interviewers along specific characteristics, first of all certain language skills (bilingual fluency) but also gender and age; 2) who have past experience or have received training in interviewing people in need of international protection.

The contractor is strongly encouraged to work with local mediators or facilitators such as representatives of local community or civil society organisations who can help establish cooperative relations with certain groups or communities.

Activity 6: Pre-test and pre-test report

In order to evaluate the survey instrument's capacity to collect the desired data, the selected mode of data collection, and the overall adequacy of the fieldwork procedures, the contractor is required to carry out a pre-test (field test) in all six EU Member States covered by the research before commencing the actual data collection for the full scale survey. The pre-test should be conducted with all the different language versions of the questionnaire, including the five EU target languages and the three 'first languages' (Arabic, Farsi/Dahri and one other non EU language to be determined – see Section 4).

The pre-test interviews shall be conducted by selecting the respondents from each target group over a period of two weeks in each EU Member State by applying the approved final sampling plan and recruitment strategies for the full scale survey. The pre-test interviews shall cover all six selected EU Member States and, as far as possible, all groups to be surveyed, with **a total of 30 successfully completed interviews in the six EU Member States** (minimum of at least five interviews per EU Member State). The pre-test interviews **shall not be included** in the net sample of successfully completed interviews of the full scale survey.

The pre-test will test fieldwork procedures, in particular:

1. The usability and functioning of the questionnaire and instrument's technical design
2. The equivalence of the survey instrument across languages (with particular focus on issues which might be attributed to the quality of the questionnaire translation)
3. The length of the interview
4. The different practices of interviewing (e.g. matching respondents and interviewers along specific socio-demographic characteristics, interviewing in pairs (especially for interview settings in which privacy is difficult to achieve), using fieldwork facilitators – as relevant)

The contractor is required to develop a procedure (e.g. a standardised pre-test protocol) for reporting and addressing problems in a consistent manner. The contractor shall compile a final pre-test survey report, which summarises the findings of the pre-test in each Member State and includes recommendations for any revisions of the fieldwork procedures which may be deemed necessary prior to implementing the full scale survey.

Based on the pre-test the contractor shall, in close cooperation with FRA, make the necessary adjustments to sampling plan, fieldwork procedures, questionnaire and survey tools (including revisions with regard to translations) before commencing the fieldwork for the full scale survey.

FRA's approval of the final pre-test report is a necessary prerequisite for continuing the project activities, i.e. interviewer training (Activity 7), data collection for the full scale survey (Activity 8).

All interviewers deployed in the pre-test shall be selected and trained following the procedures described under Activity 5 and Activity 7 taking into account the specificities of the pre-test phase.

The feedback from the interviewers deployed in the pre-test shall feed into the development of interviewer training materials and the training sessions, which will be organised in Activity 7 respectively for all interviewers.

Activity 7: Interviewer training

The contractor shall ensure that all interviewers in each EU Member State will receive a dedicated in-person training of **at least** one full day before commencing fieldwork of the full scale survey. The training shall be based on the **survey training package** developed in Activity 3 and on the interviewer feedback from the pre-test. Only interviewers who have participated in the training may be used to carry out the interviews in Activity 8.

The interviewer training sessions in all EU Member States shall follow the same curriculum and include any country specific issues such as the sampling plan applied.

FRA staff might participate in interviewer training sessions to ensure the overall quality of the process. For this purpose the contractor is required to inform FRA a minimum of two weeks in advance of each interviewer training session, including the exact time and place of the training sessions.

For hard-to-reach groups, working with mediators or facilitators who help to establish cooperative relations within certain groups or communities is recommended. As **interviewers can profit from mediators' experience**, FRA strongly recommends inviting such mediators to the interviewer training sessions.

Cooperation with local civil society organisations, non-governmental organisations, or local community leaders as a means to gain access to the target groups is strongly recommended.

Activity 8: Data collection for full scale survey

After successful completion of the pre-test (Activity 6), the interviews of the full scale survey shall commence. All interviews shall be carried out using the final questionnaire developed by FRA, translated during Activity 4 (Translations of survey questionnaire and survey tools), and adjusted, where necessary, after the pre-test phase. The interviews shall be done in each country using the languages listed under Activity 4. Several languages might be used in each EU Member State to address specific target groups, as appropriate and feasible. For example, in Austria, individuals from Syria can be interviewed in German, English or Arabic.

Interviewers shall inform respondents that their participation is **voluntary** and that their **anonymity** is ensured.

After each interview the interviewers shall fill in a post-interview questionnaire concerning the characteristics and success of the interview, including paradata.

The contractor shall inform FRA of the implementation and outcome of all quality assurance measures (such as interviewer control and supervision). FRA shall be informed immediately in case quality criteria are not fully met to discuss and agree on possible solutions. The measures implemented to ensure the quality of the interviews shall be documented and included in the interim and the final technical report.

Activity 9: Data coding, entry and processing

The contractor shall enter the quantitative data collected from the interviews and interviewer debriefing forms in Activities 6 and 8 in an **SPSS-compatible computer file**. The final computer file shall include anonymised data from all interviews and the survey countries.

A second data file shall contain the collected meta- and paradata.

The files shall be fully documented in a codebook. All variable names and value labels shall be included in English, and the variable names shall make reference to the relevant question numbers in the questionnaire. A unique and anonymised identifier shall enable to link all respondents and data files. All interviews must be flagged with a unique identifier for the interviewer.

The contractor shall perform logical and plausibility checks to ensure that the data entered is of high quality, that the observations follow the structure of the interview content, and that the values in the final data set belong to the group of valid values for any given variable.

The contractor shall submit to the FRA in electronic format the code (SPSS syntax or similar) used to produce the quality checks, data coding for quality assessment.

Data coding and harmonisation

The contractor shall describe and document the methods of data coding and harmonisation of national classifications. In the case of the core socio-demographic variable education, the country-specific classifications will be used in the questionnaire, which shall be harmonised for comparative analysis in the phase of data coding (using ISCED 2011, for which FRA will provide information). Regarding information such as income and housing costs: local currencies should be converted into EURO, using the conversion rates valid at the time of fieldwork. The contractor shall collect and transmit data with national coding whenever used and document all recoding steps to achieve the harmonised version.

Activity 10: Calculation of selected indicators and tabulation of the results

FRA will provide the contractor with a list of selected indicators to be calculated. The indicators will reflect survey questions; for example, the share of respondents who said that they experienced issues with provision of healthcare; the share of respondents who said that they had been victims of hate crime; respondents' level of awareness of fundamental rights, etc.

For quality assessment, the contractor shall submit to FRA in electronic format the code (SPSS syntax) used for the calculation of selected indicators and the tabulation of results.

Results of the tabulation of indicators should be provided to FRA in editable format (spreadsheet software and MS-Word compatible electronic files).

5. Deliverables

All written deliverables shall be submitted in English. They shall be written in a clear and unambiguous way, providing information and analysis that can be readily understood by a non-academic reader. The style shall be balanced and

contain no unsubstantiated statements. The contractor shall receive and apply the FRA Style Guide which contains detailed instructions on issues to be taken into account when drafting the reports.

The written documents shall be delivered in PC-compatible, MS-Word compatible electronic files. They shall contain visual elements (for example graphs, boxes or pictures) to enhance readability. The size of each written deliverable is defined in terms of A4 pages applying Times New Roman font 11pt, single spaced.

The contractor shall provide FRA with the deliverables, respecting the deadlines mentioned below in months from the signature of the contract. All deliverables shall be revised by the contractor according to FRA recommendations, as necessary, and returned within the deadline specified in the contract.

Deliverable 1: Inception report and quality assurance and control plan

Within five working days after the inception meeting, the contractor shall submit a brief Inception Report to FRA. The report shall list the decisions made in the inception meeting concerning the work and a timetable with actual dates for the submission of deliverables. The Inception report shall include the final list of items to be covered in the background research and which will inform the overall sampling design and country/target group specific sampling plans (Deliverable 2). The final Quality Assurance and Control Plan, the first draft of which will be discussed at the inception meeting, shall be annexed to the Inception report. The quality assurance and control plan identifies the key indicators that will be monitored throughout the preparation and implementation of the survey. It includes remedies for eventual problems, and outlines how the contractor will report on the quality control at each stage. The contractor shall ensure that all information is collected that is required to assess whether the targets specified in the quality assurance and control plan are met. The quality assurance and control plan shall be developed, if possible, in accordance with applicable international standards (e.g. ISO 10005:2005 or equivalent). The document shall include, for example:

- quality objectives
- management roles and responsibilities
- control of documents and data (records)
- resources employed (financial and human resources, materials and infrastructure)
- communication within the project
- design and development of specific phases and deliverables
- quality controls for each specific phase
- monitoring of key indicators and
- remedies for eventual problems.

Size: 5-7 pages (excluding annexes) + 5-8 pages Final Quality Assurance and Control Plan

Language: English

Deadline: 5 working days after the inception meeting

Linked to: Activity 1

Deliverable 2: Overall sampling design and country/target group specific sampling plans

The contractor shall develop the overall sampling design based on the background research and preparatory work. The data and information gathered during background research and used for the development of the country/group-specific sampling strategies shall be collected in a structured way, fully documented, and clearly presented to FRA.

The sampling proposal shall be detailed on the methodological aspects as well as on necessary steps to be taken for the implementation and quality control.

The **sampling plan** should provide detailed information for each of the six selected EU Member States, including:

- Source of population statistics
- Distribution of relevant characteristics among the population i.e. gender, age, country of origin, type of accommodation; unaccompanied children
- Detailed presentation of the sampling plan per Member State and per target group

Size: Sampling plans for each EU Member State, around 8-10 pages (in total for the six EU Member States)

Languages: English

Deadline: 1 month after signature of contract

Linked to: Activities 1 and 2

Deliverable 3: Interviewer training materials (including all translations)

This includes the interviewer training materials developed as part of Activity 3 (Questionnaire finalisation and development of survey tools) and the translations thereof produced in Activity 4 (Translation of survey questionnaire and survey tools).

Size: The original and each language version (approximately 25 pages each).

Language: English + all translations

Deadline: training material – 2 months after signature of contract, all final translations – 2 months after signature of contract

Linked to: Activities 3 and 4

Deliverable 4: Translation of the questionnaire and survey tools

The following deliverables shall be submitted to FRA as part of Activity 4: Translation of questionnaire and survey tools.

With regard to the translation of the questionnaire, in total, three documents for each language used for interviewing shall be submitted by the contractor with a clear indication of sequence:

1. A document identifying any translation issues
2. A final clean version of the translations into the eight languages

For survey tools other than the questionnaire, only the final translated versions are to be submitted to FRA along with the final versions in English.

In addition, the information letter for the respondents (around one A4 page) should be translated into eight languages.

Size: The original questionnaire and each language version are approximately **30-40 pages** each, not including show cards which shall be annexed.

The related survey tools comprise up to 20 pages.

Languages: English + translations into the target languages

Deadline: 2 months after signature of contract

Linked to: Activities 3 and 4

Deliverable 5: Pre-test report and pre-test data set

The contractor shall compile a pre-test report summarising the findings of the pre-test and recommendations for any revisions of the fieldwork procedures which may be deemed necessary prior to implementing the full survey. The National Coordinators, under the coordination of the Project Coordinator, shall compile the country-specific pre-test reports, which shall be summarising the interviewer feedback and the experience made during the pre-test interviews (Activity 6). Approval of the final pre-test report by FRA is a prerequisite for starting the activities related to data collection and data processing (Activity 8 and Activity 9). The report shall present an analysis of the problems encountered in the pre-test interviews with respect to:

- (a) usability and functioning of the questionnaire, the question routing and instrument's technical design
- (b) equivalence of the survey instrument across languages (focus on quality of questionnaire translation)
- (c) length of the interview

For each problem identified, the report shall make recommendations for changes to be implemented before the commencement of the fieldwork (Activity 9), including changes to the questionnaire. FRA will review the deliverable and, in cooperation with the contractor's project coordinator, will decide which actions and changes should be implemented before initiation of the full scale survey fieldwork.

The contractor shall enter the quantitative data from the pre-test interviews and interviewer debriefing forms in Activity 6 in Excel or an SPSS-compatible computer file which will be sent to FRA.

Size: 10 pages maximum

Language: English

Deadline: 3 months after signature of contract

Linked to: Activity 6

Deliverable 6: Final source questionnaire and show/visual cards, related survey tools in English and in all target languages

Based on the pre-test interviews and the findings outlined in the pre-test survey report (Deliverable 5), a final source questionnaire (including all other related survey tools) in English shall be submitted to FRA, after any necessary revisions based on the pre-tests – as agreed after discussion with FRA. The deliverable includes corresponding revisions of the translations of the questionnaire and survey tools in all the target languages of the survey.

In the field, the interviewers shall use the final versions of the translated questionnaires submitted to FRA, including any changes in formatting that have been done to the interview content at national level. When the final questionnaire has been programmed for CAPI application, the questionnaire submitted to FRA shall be an export file from the CAPI system in MS Word or MS Excel compatible format, together with the PAPI version.

When using CAPI, consideration should be given to using audio-recordings of questions, as this would assist questionnaire respondents when interviewers do not speak the necessary first-language of the interviewee.

In each EU Member State covered by the research, the following languages should be programmed for CAPI application: the 'target language' of the Member State, English, French, Arabic, Farsi/Dari and the other non-EU language to be determined.

Size: The original questionnaire and each language version are approximately 30-40 pages each, not including show cards which shall be annexed. The related survey tools comprise up to 30 pages.

Languages: English + translations into the target languages

Deadline: 4 months after signature of contract

Deliverable 7: Data set and code book

After completing the interviews for the project, the final datasets shall be provided as structured data files in machine readable format (in SPSS and CSV for FRA internal use).

The raw data sets should be accompanied by the appropriate documentation (description of the data set, definition of indicators, label and sources for the variables, notes) to facilitate reuse and publication.

The final computer file shall include data from all interviews and the survey countries. The file shall be fully documented – that is, all the variable names and value labels shall be included in English, and the variable names shall make reference to the relevant question numbers in the questionnaire. The contractor shall perform logical checks to ensure that the data entered is of high quality, the observations follow the structure of the interview content and the values in the final data set belong to the group of valid values for any given variable.

In case weights are used, the contractor shall include in the dataset all intermediary weights and all variables used for the estimation of the weights in the final dataset, as well as providing FRA with the code used to calculate the weights.

The data sets include the quantitative data from the interviews. The deliverables consist of the fully documented datasets and the code book describing the variables of the data files.

Language: English

Deadline: 10 months after signature of contract

Linked to: Activities 8, 9

Deliverable 8: Syntax files related to data-file construction, consistency and quality checks, data coding and labelling, and compilation of frequencies

The contractor shall submit to FRA in electronic format the code (SPSS syntax or similar) used to produce the quality checks, data coding, and calculation of selected indicators for quality assessment.

Language: English

Deadline: 10 months after signature of contract

Linked to: Activity 9

Deliverable 9: Tabulation of selected indicators

The contractor shall provide a report on the calculation of selected indicators in a form of tables and short description of the calculation procedure. The code of the calculation (SPSS syntax or similar) shall be part of the Deliverable 10.

The indicators for calculation will be selected by FRA.

Language: English

Deadline: 11 months after signature of contract

Linked to: Activity 10

Deliverable 10: Final technical and quality report

The contractor will submit a final technical report to FRA (in electronic format) once the fieldwork in all countries is complete.

In addition to the overall description of the survey research methodology, the report should present information on each country and it should describe the fieldwork with respect to (1) assumptions/plans at the start of fieldwork, (2) outcomes, (3) challenges, (4) quality control measures, and (5) solutions implemented concerning each of the following themes:

- (a) selection, application and assessment of population sampling designs
- (b) geographical coverage and distribution
- (c) interview success / (non-)response rate
- (d) interviewer feedback
- (e) weighting, if relevant

In addition to the above broad themes, the final technical report should cover all aspects of data collection; including, for example, questionnaire translation, interviewer selection and training, and questionnaire application in the field. Information should be provided on, for example, refusals, incomplete interviews etc. Information on languages used, mode of interviews, and duration of the interviews shall also be included. The report shall present information, wherever possible using tables/graphs, comparing results between the selected countries.

The final technical and quality report shall describe the quality assurance and control strategy used and the way it was implemented in the sampling, data collection, data entry, processing, weighting (if relevant), and other related procedures. The report shall document deviations as well as remedies where relevant.

The technical report shall highlight any difficulties that arose in the course of implementing the survey (difficulties in translating concepts, contacting respondents, soliciting responses – in general and with respect to certain questions, etc.).

FRA will provide feedback on the content of the final technical report within 15 working days of its receipt, and will suggest any necessary changes and amendments within the time period specified in the contract.

Size: Approximately 50-70 pages (excluding tables, which can be included as annexes)

Language: English

Deadline: 11 months after signature of contract

Linked to: Activities 1-9

Table 5. Indicative deadlines of project deliverables – a summary table

Deliverables / Months	1	2	3	4	5	6	7	8	9	10	11
1. Inception Report and quality assurance and control plan	X										
2. Overall sampling design and country/target group specific sampling plans	X										
3. Interviewer training material (including all translations)		X									
4. Translation of the questionnaire and survey tools		X									
5. Pre-test report and pre-test data set			X								

6. Final source questionnaire and show / visual cards in English and in all target languages				X								
7. Data set and code book										X		
8. Syntax files related to data-file construction, consistency and quality checks, data coding and labelling, and compilation of frequencies										X		
9. Tabulation of selected indicators										X		
10. Final technical and quality report											X	

6. Project management

6.1. Responsible body

The overall responsibility for executing the contract, including the implementation of all measures necessary to provide FRA with deliverables of the highest quality on time, lies with the contractor.

6.2. Management structure

The project team shall include a Project Coordinator, who is responsible for the project's overall coordination across all Member States, a Senior Survey Expert and a Sampling and Weighting Expert, and for each EU Member State one National Survey Expert, as detailed in Section 8 (Project Team). The Project Coordinator is responsible for coordination and administrative tasks, as well as for contacting and informing FRA about all aspects relating to the execution of the contract and the quality of the deliverables, including the periodic progress updates as described in Section 9 below (Project implementation monitoring). The Senior Survey and Sampling Expert will, in cooperation with other team members, design the interviewer training package, as detailed in Section 4 (Specific Activities) and Section 5 (Deliverables). The National Survey Experts are responsible for the coordination of the research in their countries.

7. Logistics and Timing

7.1. Commencement date and Period of execution

The period of execution of the tasks shall be **11 months** from the contract signature. This period does not include the time necessary for the Contracting Authority to revise the last project deliverable (Final technical and quality report) and the time needed for possible revisions by the Contractor.

7.2. Communication and meetings

Communication between the contractor and FRA shall be possible by phone and video conference facilities during FRA's working days and hours and through electronic and surface mail. Any written communication sent by FRA shall be answered within five working days.

The contractor will ensure its access to equipment for video conferences. In the framework of the contract, several video conferences are foreseen.

7.3. Meetings

As soon as possible after contract signature, FRA shall convene an **inception meeting** with the contractor at FRA's headquarters in Vienna to discuss various aspects of the project's work. The aim of the inception meeting is to clarify outstanding issues as may be necessary for carrying out the contract and for the good implementation of the project.

During the course of the contract period at least three meetings (including the inception meeting) with FRA and the contractor are envisaged: one inception meeting; one coordination meeting as described in Activity 1.3 – Questionnaire finalisation and development of survey tools; and, one meeting following the termination of the data collection. All meetings (except the coordination meeting) shall take place in Vienna at FRA's premises. Participation of FRA staff in the coordination meeting and any other meetings (e.g. field visits) are at FRA's own costs.

Costs for the contractor to attend the meetings shall be covered by the contractor and be included in the contract price.

8. Project team

The project team shall consist of one Project Coordinator, one Senior Survey, one Senior Sampling and Weighting Expert and a National Survey Expert for each country where the survey is conducted, the necessary support staff for the management of the project, and a team of experienced interviewers as specified in Section 4 (Specific activities). A different National Survey Expert shall be assigned to each of the countries where the survey will be carried out.

The contractor shall organise its own project management and coordination team – the Project Team – led by the Project Coordinator, to oversee all aspects of work relating to the survey. The Project Coordinator shall be responsible for reporting to the FRA about developments, challenges and proposed courses of action concerning the survey in each of the survey sites/countries, including the delivery of monthly progress reports and weekly e-mail reporting. The team should consist of staff with the relevant qualifications and skills to manage and implement the survey. The Senior Survey and Sampling Expert shall be responsible for the overall design and management of the survey.

8.1. Project Coordinator

Qualifications and professional experience

- University degree and a minimum of seven (7) years of professional experience (after obtaining a university degree) out of which a minimum of two (2) years' experience of having conducted major international social science-based comparative research surveys in the European Union OR, in the absence of a university degree, a minimum of ten (10) years of professional experience out of which a minimum of two (2) years' experience of

having conducted major international social science-based comparative research surveys in the European Union

- Proven experience in research management, as manager or coordinator of at least **two (2)** international survey projects, each project involving at least three countries.
- Excellent knowledge of English (Level C1 based on Common European Framework of Reference (CEF)).

8.2. Senior Survey Expert

Qualifications and professional experience

- University degree
- A minimum of seven (7) years of professional experience (after obtaining a university degree), out of which a minimum of two (2) years' experience of having conducted international social science-based surveys on minority groups or hard to reach populations.
- At least **three (3)** scientific publications (e.g. articles in peer reviewed academic journals or books, or peer reviewed book chapters, or books by academic publishers) on issues related to the survey topics, e.g., surveying ethnic minorities and immigrant populations, migration and integration issues.
- Excellent knowledge of English (Level C1 based on Common European Framework of Reference (CEF));

8.3. Senior Sampling and weighting expert

Qualifications and professional experience

- University degree
- A minimum of seven (7) years of professional experience (after obtaining a university degree), out of which a minimum of three (3) years' experience of having participated in international social science-based survey research on minority groups or hard-to-reach populations.
- At least three (3) scientific publications (e.g. articles in peer reviewed academic journals or books, or peer reviewed book chapters, or books by academic publishers) on issues related to sampling or weighting, or to applying sampling strategies for surveying ethnic minorities or immigrant populations, or hard-to-reach populations.
- Excellent knowledge of English (Level C1 based on Common European Framework of Reference (CEF)).

8.4. National Survey Experts

Qualifications and professional experience

- University degree and a minimum of three (3) years of professional experience (after obtaining a university degree) in conducting social science-based survey research in the country for which they are responsible OR, in the absence of a university degree, a minimum of seven (7) years of professional experience in conducting social science-based survey research in the country for which they are responsible”;
- Proven experience of managing at least **two (2)** quantitative representative survey research projects in the countries for which they are responsible.

- Good knowledge of English (minimum level B2 based on Common European Framework of Reference (CEF)).

9. Project Implementation Monitoring and Quality Assurance

The FRA shall monitor the project in technical and administrative terms.

The contractor shall develop a quality assurance and control plan that clearly outlines all relevant procedures, such as monitoring the quality at all stages of the survey life cycle and of all project deliverables for the scope and volume of the survey. The contractor shall report immediately to the FRA in writing any problems they encounter during the implementation of the contract.

The Project Coordinator shall deliver to FRA **fortnightly progress reports** as brief e-mails on the progress of the survey and other relevant aspects of the work in all countries country (e.g., during the fieldwork, the detailed progress of the fieldwork shall be reported). Information for the updates shall be supplied to the Project Coordinator by the National Survey Experts in each country. This shall be supported by additional e-mail and telephone contact, whenever necessary. Fortnightly progress reports shall begin one week after the starting date of the survey contract, and will finish upon submission of the final deliverable(s). Fortnightly progress reports are to be used as an 'early warning' system for identifying and rectifying problems regarding sampling, questionnaire application, and response rates (for example). The progress reports shall include a record of decisions made, for the period covered by the update, in consultation with FRA regarding sampling and fieldwork in each country.

In addition, in the course of the contract FRA intends to send a member or members of its staff to oversee aspects of the survey. This can involve observations of anything from translation of survey tools, through to observation of interviews during the fieldwork period. One or more countries may be visited. FRA reserves the right to attend any stage of the survey without prior notice being given to the contractor. FRA shall cover the costs related to the travel and accommodation of its staff in connection to such visits.

10. Minimum requirements

The minimum requirements of these Technical Specifications are:

- The survey shall cover the selected six EU Member States (Austria, France, Germany, Greece, Italy, and Sweden)
- A minimum net sample size of 3000 respondents across the six EU Member States.