



## ANNEX A.1 –TECHNICAL SPECIFICATIONS

D-SE-15-T02

“Pre-testing and feasibility assessment for the FRA  
Fundamental Rights Survey”

# 1. Technical specifications

## 1.1. Objective

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

## 1.2. Title of the contract

The title of the contract is “Pre-testing and feasibility assessment for the FRA Fundamental Rights Survey”.

## 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 168/2007<sup>1</sup> 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 surveys) 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. FRA mandate and data collection

To meet the objectives listed in Council Regulation No 168/2007, the Agency is empowered to collect, analyse and disseminate relevant, objective, reliable and comparable information and data, and to carry out scientific research and surveys.

To achieve its objectives the FRA conducts research collecting relevant primary and secondary data, as well as contextual information from EU Member States, and analyses this data comparatively to produce policy relevant reports addressed primarily to its main stakeholders – EU institutions and Member States. Where there is a lack of comprehensive and comparable EU-wide data from secondary sources, the Agency can undertake its own primary data collection based on fieldwork – both quantitative and qualitative.

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

## 2.2. FRA work in the field of survey research

### *European Union Minorities and Discrimination Survey (EU-MIDIS) (2008)*

In 2008, the FRA carried out a large-scale survey on immigrants and ethnic minorities' experiences of discrimination, crime victimisation, rights awareness and contacts with law enforcement in the EU-27 – the 'European Union Minorities and Discrimination Survey' (EU-MIDIS). The survey carried out face-to-face interviews with a random sample of respondents from selected ethnic minority and immigrant groups in all (then) 27 Member States of the European Union. 23,500 ethnic minority and immigrant people were interviewed. In addition, 5,000 people from the majority population living in the same areas as minorities were interviewed in 10 Member States to allow for comparison of selected results.

The results of EU-MIDIS were published over the period 2009–2012 and are available at <http://fra.europa.eu/eu-midis>. The publications include a Main Results Report (2009), a Technical Report, and a series of six Data in Focus reports that concentrate on specific survey findings in relation to particular groups and issues.

### *Comparative study on experience of discrimination, social marginalisation and violence (2009)*

In 2008-2009, the FRA carried out a survey of Muslim and non-Muslim youth in three EU Member States – France, Spain, and the United Kingdom – on their experiences of discrimination, social marginalisation and violence. One thousand 12-18-year-old students in each of the three survey countries were asked to participate in the survey. Data collection took place in selected schools, under the coordination of researchers with experience of school-based survey research. The composition of the samples was balanced to have an equal representation of male and female, Muslim and non-Muslim respondents. In the analysis, experiences of discrimination, social marginalisation, attitudes towards violence and use of violence were examined against respondents' socio-economic, cultural and religious profile. The results were published in the report 'Experience of discrimination, social marginalisation and violence: a comparative study of Muslim and non-Muslim youth in three EU Member States'.<sup>2</sup>

### *FRA pilot Roma survey (2011)*

In 2011, the FRA carried out a pilot Roma survey in eleven EU Member States, which interviewed face-to-face a random sample of Roma, as well as non-Roma living in or near locations where Roma respondents were based. The survey collected detailed information about household members' employment situation, education, health and housing, about their neighbourhood and its infrastructure, as well as respondents' experiences of migration, discrimination, issues related to rights awareness and citizenship.

The FRA pilot Roma survey covered 11 EU Member States (Bulgaria, Czech Republic, France, Greece, Hungary, Italy, Poland, Portugal, Romania, Slovakia and Spain). The regional Roma survey of the UNDP, World Bank and European Commission (UNDP/World Bank/EC) – carried out alongside the FRA survey – covered five of these countries (Bulgaria, the Czech Republic, Hungary, Romania, Slovakia) and, in addition, six non-EU countries in the western Balkans and Moldova. Across the 11 EU Member States, the two surveys interviewed in total 22,203 Roma and non-Roma, providing information on 84,287 household members. The first results were published in 2012 in the report 'Situation of Roma in 11 EU Member States – Survey Results at a Glance', based on data from both the FRA survey and the UNDP/World Bank/EC survey<sup>3</sup>

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<sup>2</sup> Experience of discrimination, social marginalisation and violence: a comparative study of Muslim and non-Muslim youth in three EU Member States. Available at: [http://fra.europa.eu/sites/default/files/fra\\_uploads/1202-Pub-racism-marginalisation\\_en.pdf](http://fra.europa.eu/sites/default/files/fra_uploads/1202-Pub-racism-marginalisation_en.pdf)

<sup>3</sup> The situation of Roma in 11 EU Member States - Survey results at a glance . Available at: <http://fra.europa.eu/en/publication/2012/situation-roma-11-eu-member-states-survey-results-glance>

followed by three Data in Focus reports highlighting selected results concerning education<sup>4</sup>, poverty and employment<sup>5</sup>, and the situation of Roma women<sup>6</sup>.

### *FRA EU LGBT survey (2012)*

In 2012, the FRA carried out an online survey of the EU LGBT population. Around 93,000 lesbian, gay, bisexual and transgender people from all across the EU-28 completed the survey, making it the largest and most comprehensive survey of its kind to date. LGBT persons were asked whether they had experienced discrimination, violence, verbal abuse or hate speech on the grounds of their sexual orientation or gender identity. Respondents were also asked to identify where such incidents took place, such as at school, at work, when seeking healthcare or in public places. The survey results have been presented in 'At a Glance' report (2013) and a Main Results Report (2014).<sup>7</sup>

### *FRA survey on discrimination and hate crime against Jews in EU Member States (2012)*

The FRA survey on Jewish people's experiences and perceptions of antisemitism collected data from 5,847 self-identified Jewish respondents (those aged 16 or over) in eight EU Member States – Belgium, France, Germany, Hungary, Italy, Latvia, Sweden, and the United Kingdom. The survey was carried out online. This was the first EU survey to collect comparable data on Jewish people's experiences and perceptions of antisemitism, hate-motivated crime and discrimination in eight EU Member States. The survey also provided data on exposure to antisemitic acts against the Jewish community, such as vandalism of Jewish sites, or antisemitic messages in the broadcast media or on the internet. The survey results reflect rights awareness in terms of knowledge of antidiscrimination legislation, victim support organisations and existence of any legislation concerning trivialisation or denial of the Holocaust. The survey results were released in November 2013<sup>8</sup>.

### *FRA survey on violence against women (2012)*

In 2012, the FRA survey on violence against women was carried out using standardised face-to-face interviews with women who were randomly selected from the general population. The survey interviewed 42,000 women from the 28 EU Member States, and was the first survey of its kind to systematically interview women about their experiences of violence in the EU-28. It captured incidents of sexual, physical and psychological abuse – ranging from 'domestic violence' to sexual harassment at work, and violence perpetrated by strangers. The survey also covered women's experiences of stalking and cybercrime, and asked adult women about their childhood experiences of violence. The survey results were launched in March 2014<sup>9</sup> when FRA released a summary report ('At a Glance' report) and a Main Results Report based on the findings.

## *EU-MIDIS II*

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<sup>4</sup> Education: the situation of Roma in 11 EU Member States. Roma survey – Data in focus. Available at: [http://fra.europa.eu/sites/default/files/fra-2014\\_roma-survey\\_education\\_tk0113748enc.pdf](http://fra.europa.eu/sites/default/files/fra-2014_roma-survey_education_tk0113748enc.pdf)

<sup>5</sup> Poverty and employment: the situation of Roma in 11 EU Member States - Data in focus. Available at: [http://fra.europa.eu/sites/default/files/fra-2014-roma-survey-employment\\_en.pdf](http://fra.europa.eu/sites/default/files/fra-2014-roma-survey-employment_en.pdf)

<sup>6</sup> Discrimination against and living conditions of Roma women in 11 EU Member States - Data in focus. Available at: [http://fra.europa.eu/sites/default/files/fra-2014-roma-survey-gender\\_en.pdf](http://fra.europa.eu/sites/default/files/fra-2014-roma-survey-gender_en.pdf)

<sup>7</sup> EU LGBT survey - European Union lesbian, gay, bisexual and transgender survey - Results at a glance. Available at: [http://fra.europa.eu/sites/default/files/eu-lgbt-survey-results-at-a-glance\\_en.pdf](http://fra.europa.eu/sites/default/files/eu-lgbt-survey-results-at-a-glance_en.pdf)  
EU LGBT survey - European Union lesbian, gay, bisexual and transgender survey - Main results. Available at: <http://fra.europa.eu/en/publication/2014/eu-lgbt-survey-european-union-lesbian-gay-bisexual-and-transgender-survey-main>

<sup>8</sup> Discrimination and hate crime against Jews in EU Member States: experiences and perceptions of antisemitism. Available at: [http://fra.europa.eu/sites/default/files/fra-2013-discrimination-hate-crime-against-jews-eu-member-states-0\\_en.pdf](http://fra.europa.eu/sites/default/files/fra-2013-discrimination-hate-crime-against-jews-eu-member-states-0_en.pdf)

<sup>9</sup> Violence against women: an EU-wide survey. Main results report. Available at: [http://fra.europa.eu/sites/default/files/fra-2014-vaw-survey-main-results-apr14\\_en.pdf](http://fra.europa.eu/sites/default/files/fra-2014-vaw-survey-main-results-apr14_en.pdf)

In 2013-2014 FRA started preparations for the second European Union Minorities and Discrimination Survey (EU-MIDIS II), which in 2015 will interview randomly selected respondents from various immigrant and ethnic minority groups in the EU-28. To develop the questionnaire for EU-MIDIS II, FRA conducted a cognitive pre-test study. The aim of the EU-MIDIS II pre-test was to test the feasibility of selected survey questions with respondents from the target groups, and to develop further and improve the EU-MIDIS II survey questionnaire and methodological approach.

The EU-MIDIS II pre-test study applied mainly qualitative methods to explore the ways in which respondents in different Member States and with different ethnic or immigrant backgrounds understand selected key concepts related to their fundamental rights, and the extent to which existing survey questions are adequate in describing their situation. To examine whether the proposed survey questions are comprehensible, acceptable, valid, and comparable across countries, the EU-MIDIS II pre-test was carried out in the following eight EU Member States: Belgium, Croatia, Greece, Hungary, Italy, Malta, Romania, and the United Kingdom. A total of 280 persons with an immigrant or ethnic minority background, including Roma, were interviewed. In addition and prior to the pre-test fieldwork, a panel of eight experts experienced in cross-national research on immigrants and ethnic minorities, and in cognitive pre-testing, provided input into the draft pre-test questionnaire and other research tools.

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The success of FRA's surveys carried out in the last years has meant that the Agency is well-placed to undertake large-scale quantitative survey research on various themes in the field of fundamental rights, which serves to fill gaps in existing knowledge. In turn, through the development of its surveys, FRA has gained experience in methodologies for sampling and interviewing respondents from selected minority groups and the general population across the EU.

Depending on the target population, available sampling frames, and the objectives of each of these surveys, different sampling methods and interview modes were chosen. For instance, while the LGBT survey and the survey on discrimination and hate crime against Jews in EU Member States were open online surveys, the EU-MIDIS, Roma survey and violence against women survey were face-to-face surveys with random sampling.

These large-scale surveys have mapped the scale and nature of particular fundamental rights issues, producing comparable data on, for example, experiences of discrimination. Some of the future surveys of the Agency will repeat earlier surveys and allow for comparison of selected key results and findings over time; identifying main tendencies, providing a trend analysis, and assessing achievements in policy implementation through the measurement of key indicators.

## 2.3. Other existing survey research in the EU in the area of fundamental rights experiences of the general population

Over the past decades, several general population surveys have been carried out that cover all or several EU Member States and include some questions about issues related to fundamental rights. The two largest sample surveys in the EU, the Labour Force Survey (LFS)<sup>10</sup> and the EU Statistics on Income and Living Conditions (EU SILC)<sup>11</sup>, include a limited set of questions

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<sup>10</sup>[http://ec.europa.eu/eurostat/statistics-explained/index.php/Labour\\_market\\_and\\_Labour\\_force\\_survey\\_\(LFS\)\\_statistics](http://ec.europa.eu/eurostat/statistics-explained/index.php/Labour_market_and_Labour_force_survey_(LFS)_statistics)

<sup>11</sup>[http://ec.europa.eu/eurostat/c/portal/layout?p\\_l\\_id=203680&p\\_v\\_l\\_s\\_g\\_id=0](http://ec.europa.eu/eurostat/c/portal/layout?p_l_id=203680&p_v_l_s_g_id=0)

directly related to fundamental rights issues, but primarily focus on their main data collection purpose – surveying labour market participation and income and living conditions, respectively.

Questions about internet security and other issues related to information and communication technology are furthermore covered by the Community Statistics on Information Society survey (CSIS)<sup>12</sup> which collects data annually on a set of core topics, supplemented by ad hoc modules. From 2011 onwards it has been mandatory for the EU Member States to transmit CSIS data to Eurostat.

The Eurobarometer (EB) surveys – conducted by the European Commission – aim to monitor the evolution of public opinion in EU Member States for drafting of policy texts, decision-making and evaluation purposes.<sup>13</sup> These surveys collect information on many topics related to European citizenship, including repeated questions on general topics (Standard EB) as well as changing in-depth (Special EB) and ad-hoc topics (Flash EB). In the past, several Eurobarometer surveys have included questions to address fundamental rights related issues, including: rights awareness, discrimination and integration, data protection and security, freedom of movement, trust in institutions and rule of law, as well as socio-economic rights. However, such questions are often not repeated between surveys and do not look in-depth at respondents' experiences.

The European Foundation for the Improvement of Living and Working Conditions (Eurofound) collects data concerning working and living conditions, for example through the European Quality of Life Surveys (EQLS)<sup>14</sup> and the European Working Conditions Surveys (EWCS)<sup>15</sup>. These surveys cover all EU Member States and some non-EU countries and have been carried out in three waves from 2003 to 2012 (EQLS) and in five waves between 1990 and 2010 (EWCS).

Other major international opinion surveys include the European Social Survey (ESS)<sup>16</sup>, the European Values Study (EVS)<sup>17</sup> and the International Social Survey Programme (ISSP)<sup>18</sup>.

Other surveys on specialised topics that include a limited set of questions on fundamental rights related topics are the Survey on Health, Aging and Retirement in Europe (SHARE, five waves since 2004)<sup>19</sup>, and the longitudinal survey of the Generations and Gender Programme (GGP, two waves since 2004).<sup>20</sup>

## 2.4. FRA's Fundamental Rights Survey

Under the Agency's Annual Work Programmes 2014 and 2015, FRA sets out to establish a rolling survey (repeated every 5+ years) to address the deficit of robust and comparable data – *collected through one survey instrument* – on most fundamental rights areas with regard to the general population's experiences of a range of rights 'on the ground'. This information is intended to inform policies and debates on fundamental rights in the EU. In the long term, the survey will produce EU-wide comparable trend data on people's experiences of different areas of fundamental rights such as unequal treatment, data protection and consumer rights. The survey will consist of a core module that will be repeated every few years, which can provide

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<sup>12</sup>[http://ec.europa.eu/eurostat/c/portal/layout?p\\_l\\_id=203692&p\\_v\\_l\\_s\\_g\\_id=0](http://ec.europa.eu/eurostat/c/portal/layout?p_l_id=203692&p_v_l_s_g_id=0)

<sup>13</sup>[http://ec.europa.eu/public\\_opinion/index\\_en.htm](http://ec.europa.eu/public_opinion/index_en.htm)

<sup>14</sup><http://www.eurofound.europa.eu/surveys/eqls/index.htm>

<sup>15</sup><http://www.eurofound.europa.eu/surveys/ewcs/index.htm>

<sup>16</sup><http://www.europeansocialsurvey.org/>

<sup>17</sup><http://www.europeanvaluesstudy.eu/>

<sup>18</sup><http://www.issp.org/>

<sup>19</sup><http://www.share-project.org/>

<sup>20</sup><http://www.ggp-i.org/>

data to populate selected fundamental rights indicators over time. Additional modules, which can change between waves, can provide information on selected fundamental rights issues.

### *Overview of main methodological challenges*

The main methodological challenges for the Fundamental Rights Survey are to produce results that are:

- (1) representative for the general population at the national level
- (2) reliable and valid
- (3) comparable across 28 EU Member States, and
- (4) comparable over time.

The survey design must be cost effective while at the same time resulting in a high-quality probability sample of sufficient size in each country to permit a detailed analysis of 'hard to survey' events (that is, events which concern some respondents but not all). In particular, the survey design has to take into account the need for comparability across countries and over time, as the survey will be repeated at regular intervals.

This pre-test and feasibility assessment shall help to identify possible survey designs by developing proposals based on different survey methods and modes (including combinations of modes or mixed-mode designs), ensuring that the obtained samples are of the required size and quality. The pre-test and feasibility assessment will also explore the effect of modes to the functioning of draft survey questions.

## 3. Contract objectives and expected results

The Fundamental Rights Survey aims to capture people's experiences and opinions on fundamental rights in different areas of life. As some experiences pertain only to a relatively small percentage of the population, the Fundamental Rights Survey requires a sufficient sample size to be able to meaningfully capture 'rarer' events. At the same time, the survey results must be of high quality and comparable over time and across countries. The survey questions must be easy for the respondents to understand, including respondents from different socio-demographic and cultural backgrounds.

These challenges need to be tackled by thoroughly exploring possible survey designs as well as various survey modes (i.e. modes of interview, including self-administered interviews via online or paper questionnaires, or interviewer administered questionnaires via telephone or face-to-face interviews). To examine the functioning of survey questions in different countries and with respondents from different backgrounds, the questions have to be tested through cognitive interviews, taking into account also the impact of different survey modes.

The use of mixed modes is increasingly seen as an option to mitigate problems and challenges associated with contemporary survey research, such as declining response rates and increasing survey costs. Mixed modes – that is, the collection of information from respondents through two or more modes and merging the data sets for analysis – have been the subject of an increasing amount of research in the past years. Research has addressed the extent to which different modes lead to different response rates, how they can be used to increase response rates and whether or not different response rates are associated with different coverage errors.

### 3.1. Overall objective

This study will assess the feasibility of using different survey designs and data collection modes, either alone or in combination (mixed mode), for the Fundamental Rights Survey. The results of the study will inform the final choice of a survey design for the full-scale survey in the EU-28

based on the availability of and feasibility of using various sampling frames. Furthermore, the study will provide information necessary for finalising the survey questionnaire for the full-scale survey with respect to cognitive understanding of the draft survey questions and comparability of the results obtained through different interview modes.

The overall objectives of the pre-test and feasibility assessment are therefore:

- To provide information concerning the feasibility of using various data collection modes – alone or in combination – in a survey of the general population in the 28 EU Member States so that the survey can achieve a good coverage of the target population and adequate response rates through efficient use of available resources;
- To assess the potential implications of using different data collection modes – or a combination of modes – in a cross-national survey;
- To assess consequences that the use of different data collection modes – or a combination of modes – has for comparability over time and for managing different phases of survey implementation (in terms of timing of activities, design of data collection instruments, case management between information systems used in different modes, etc.) ;
- To provide information on the functioning of a set of survey questions through cognitive interviews with respondents from different socio-economic and cultural backgrounds and under different survey modes.

## 3.2. Scope of work and expected results

The scope of the work, to be covered by the contract between the FRA and the contractor, encompasses all aspects of a pre-test and feasibility assessment, including (but not necessarily limited to) the following:

- presenting an overview and critical assessment of **national** sampling frames and methods (random digit dialling, random route, or other) that are currently in use or under development in each Member State with respect to national/large-scale surveys
- based on the collected information, developing and assessing scenarios for the use of single mode and mixed-mode designs for an EU-level survey, with particular attention to comparability issues, consequences for questionnaire development, management of fieldwork and analysis of results
- testing – through cognitive interviews – the understanding of core questions using different survey modes in six selected EU-Member States.

All tasks carried out under this contract shall be executed **within 9 months from contract signature**.

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

Section 5 of these Technical Specifications provides a detailed overview of the project deliverables which the contractor is expected to produce.



## 4. Specific Activities

This section describes the activities which the contractor is expected to carry out in order to produce the project deliverables listed in section 5 of these Technical Specifications.

### Activity 1: Mapping of sampling frames in the 28 EU Member States

The contractor shall map **the sampling frames that are currently in use or under development in each of the 28 EU Member States** and that can be used to draw a random (probability) sample of the general population, either in a single frame design or in a dual or multi-frame design. The identified sampling frames need to be assessed and presented based on information concerning their characteristics, content, quality and accessibility. Importantly, the contractor must indicate where each sampling frame is in current use, which goes beyond theoretical discussions concerning the feasibility of different approaches. The contractor will document each sampling frame using a template which FRA will prepare and which will be discussed with the contractor at the project inception meeting. Details to be documented for each sampling frame will include, amongst others:

- **accessibility** of the sampling frame for research purposes – in particular for FRA or third parties working as contractors for FRA – and typical costs related to the access and use
- information **available** in the sampling frame with regard to the sampling units, including information that can be used for stratification, oversampling of specific groups and to assess the quality of the sample (under-coverage, over-coverage, (in)completeness)
- suitability for use in connection or in combination with other sampling frames and specific survey modes
- sustainability over time (in view of use in future waves of the Fundamental Rights Survey, which is planned to be repeated every 5+ years)
- assessment concerning the extent to which the sampling frame can be considered up-to-date and complete at any given time, and the frequency with which information contained in the sampling frame is updated
- examples of surveys (in the last five years) which use different sampling frames at Member State level either in single or mixed mode surveys with information concerning the sample size, the target population, response rates and the representativeness of the results.

The contractor should also include available information about future developments and upcoming work to establish new sampling frames or improve existing ones in each EU Member State.

The mapping of sampling frames should consider the use of all major data collection modes; sampling frames that can be used as a basis for data collection using self-administered modes (such as postal questionnaires or CAWI<sup>21</sup>) or interviewer-administered modes (such as CAPI<sup>22</sup> and CATI<sup>23</sup>).

Sampling frames that enable the use of CAWI should be included, even if their coverage is not sufficient for a representative general population survey, when they could be used as a part of a dual or multi-frame survey design of a representative survey.

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<sup>21</sup> Computer-Assisted Web Interviewing (self-completion)

<sup>22</sup> Computer-Assisted Personal Interviewing

<sup>23</sup> Computer-Assisted Telephone Interviewing

In the absence of – in some EU Member States – appropriate and accessible sampling frames which allow for a direct sampling of individuals or households, sample selection through procedures such as random route sampling and random digit dialing can be considered.

## Activity 2: Developing and assessing scenarios for mixed-mode survey designs at the EU level

Based on the work carried out in Activity 1, the contractor shall develop scenarios for two single mode and three mixed-mode survey designs, which could be adopted by FRA for a survey of the general population in the EU-28. Specifically, the contractor shall develop the following:

- (1) a single mode survey design where all respondents are interviewed using CAPI
- (2) a single mode survey design where all respondents are interviewed using CATI
- (3) a mixed-mode, dual frame survey design using in parallel 1) CAWI with PAPI follow-up for non-respondents, and 2) CATI. In this survey design the sample could be allocated in each EU Member State to CAWI+PAPI and CATI modes in different proportions, depending on the feasibility of the mode(s) in a country. For example, in countries where CAWI mode is not feasible for a representative general population survey, the sample could be disproportionately allocated to CATI mode, while CAWI+PAPI could be the main mode used in other Member States. Using these modes (CAWI+PAPI & CATI) in combination in all countries would allow comparability of results across the EU and post-hoc adjustment that takes into account mode effects when combining the two samples for analysis.
- (4) another mixed-mode survey design suggested by the contractor where CAWI is used as one of the data collection modes
- (5) another mixed-mode survey design suggested by the contractor.

The scenarios must be firmly grounded in state of the art research on survey methodology and (cross-national) use of single mode or mixed-mode survey designs.

The mixed-mode scenarios proposed by the contractor (scenarios 4 and 5 above) may involve concurrent and/or sequential mixed mode designs.

All five scenarios should be accompanied by a list of reference material (research reports, articles, presentations) that were identified and used to assess the characteristics and functioning of the survey design scenario and, to the extent possible, the materials collected in electronic format should be shared with FRA.

The proposed survey designs must be based on sampling frames (as collected in Activity 1) that can be used by FRA or its future contractors, **namely they must be accessible to FRA**. In the absence of appropriate sampling frames, commonly used sampling procedures can be proposed (e.g. random route sampling or random digit dialing).

The contractor is required to assess **each of the five survey design scenarios on a number of criteria and present this information in a separate template for each of the scenarios**. These templates will be developed by FRA and discussed with the contractor at the project inception meeting. Information to be reported in the template for each of the five survey design scenarios will include, amongst other points:

### Description of the proposed survey design

- overview of the necessary sampling frames and proposed survey modes for implementation of the survey design

- suitability across the 28 EU Member States – highlighting countries for which the proposed survey design is better suited than others (or where the opposite may be the case)

### **Information related to population coverage, management of the survey and data analysis**

- coverage of the survey population and various sub-populations, such as younger age groups (starting from respondents aged 16 years – or younger), including potential for over-sampling selected population sub-groups
- feasibility of simultaneous implementation in all 28 EU Member States
- considerations for the development of the survey instrument(s), timing and management of fieldwork, and data analysis.

### **Information concerning the cross-country comparability and robustness of the results**

- potential mode effects at the country level and differences between countries
- possibility to identify and assess mode effects during data analysis (e.g. by comparing results obtained through different modes, or through the use of two or more modes in parallel).

### **Assessment of the sustainability over time**

- sustainability of the survey design in a medium and long term perspective (e.g. how the performance of the design can be expected to change over time if the survey is repeated at regular intervals over the next 20 years, during which time characteristics of sampling frames and respondents' availability to be interviewed through different survey modes may change).

Mixed-mode scenarios should in particular be compared against the two single mode scenarios (surveys using (a) CAPI-only and (b) CATI-only data collection).

For each scenario, the contractor shall aim to estimate the costs of data collection for national net sample sizes of:

- (1) 2,000 respondents
- (2) 3,000 respondents
- (3) 4,000 respondents.

In estimating the costs of data collection the contractor must take into account:

- estimated level of non-response
- required gross sample size
- case management and managerial costs
- average survey completion time of 30 minutes.

The estimation of costs should be based on available information from existing survey research projects as well as information collected from national sources (such as fieldwork agencies operating at the national or at the European level) and broken down by country. Evidence of costs should be presented with reference to source material.

### **Activity 3: Cognitive testing in six EU Member States**

The contractor will carry out a pre-test using cognitive interviews to test a selection of survey questions in the six EU Member States proposed by the contractor in its technical offer.

**Selection procedure for the six EU Member States to be identified in the technical offer at tendering stage :**

The contractor shall have proposed, in its technical offer, a selection of countries based on the following groups, so that the six selected countries represent six different country groups as listed below (that is, if one of the selected countries is from Group 1, the other five countries must be selected from groups 2-8). No two countries in the proposal may come from the same country group based on the following classification:

- Group 1: Greece, Italy, Portugal, Spain, Malta, Cyprus
- Group 2: Belgium, France, the Netherlands, Luxembourg
- Group 3: Austria, Germany
- Group 4: Bulgaria, Romania, Croatia
- Group 5: The Czech Republic, Hungary, Slovenia, Slovakia
- Group 6: Denmark, Finland, Sweden
- Group 7: Ireland, United Kingdom
- Group 8: Estonia, Latvia, Lithuania, Poland.

The questions, developed by FRA, will be tested in the appropriate languages of the six EU Member States using three different data collection modes – one of which should be CAWI – combined with cognitive interview probes. The interviews will have an estimated average length of one hour. Per Member State 60 interviews shall be conducted – that is, 20 interviews per survey mode per country. In consultation with FRA and building on the set of survey questions developed by FRA, the contractor will develop an interview template which includes the survey questions, cognitive interview questions and appropriate probes. In function of the data collection modes used, the contractor will transform the interview template into the appropriate formats and adapt the guidelines for interviewers.

The contractor will be responsible for translating the interview templates, guidelines for interviewers and other materials necessary for carrying out the cognitive interviews into the main languages spoken in the six selected EU Member States (one language per country). Translation costs must be covered by the contractor and be included in the contract price.

The translations must be of high quality and submitted to FRA before they are used in the field, so that FRA has a minimum of two calendar weeks to review the materials. The contractor will revise the translated materials in accordance with FRA comments.

Following discussions with the contractor and based on the first outcomes of Activity 2, FRA will decide on the **two survey modes which will be used in the cognitive testing, in addition to CAWI**. For example, these modes could include one or more of the following:

- filling in a paper questionnaire (to test the self-completion mail questionnaire mode)
- answering questions delivered by an interviewer but without visual contact (to simulate the CATI mode)
- answering questions delivered by an interviewer face-to-face
- answering in another way, based on the outcome of Activity 2.

Cognitive interviews will take place in-person at facilities organised by the contractor (that is, even where cognitive testing involves a self-completion mode, some of the cognitive probes and other follow-up questions will be made face-to-face). The main aim is to test the understanding of concepts and questions by respondents of different socio-demographic backgrounds and to gain insight into the effect of different interview modes on respondents' understanding of and the processes involved when answering various types of survey questions. The analysis of the results should take into account aspects of cross-national comparability, summarising the

results concerning understanding of the survey questions, as well as the impact of the choice of mode on respondents' answers.

Selection of interviewees for the interviews does not necessarily require random selection, but the contractor must ensure that in each of the selected countries the interviewees represent a diversity of socio-demographic characteristics and backgrounds in terms of the following: gender, age, education, employment status (including unemployed). The respondents must be matched across countries and modes, based on their socio-demographic characteristics. Interviewees must have no prior experience with cognitive interviews.

## 5. Deliverables

All written deliverables must be submitted to FRA in English, copy-edited in English. They must be written in a clear and unambiguous way, providing information and analysis that can be readily understood. The style should be balanced and contain no unsubstantiated statements. The contractor will receive the FRA Style Guide which contains detailed instructions on issues to be taken into account when drafting the pre-test reports.

To the extent possible, the project deliverables should present information in an anonymised way so that it is not possible to identify individual respondents, and that the FRA can – if it so chooses – put the deliverables in the public domain without concern for the anonymity of the respondents and confidentiality of the data provided.

When it is necessary to provide personal data as a part of the project deliverables – for example to enable analysis related to key objectives of the project or for quality control purposes – these should be provided separately from the main deliverables (for example, by referring to individual respondents by an ID number which has been created solely for the purpose of data collection and analysis, and submitting a list of ID numbers and other confidential respondent characteristics separately from the main deliverables). This data will be stored by FRA in line with relevant data protection requirements. However, the research results should clearly outline any differences in understanding of and responses to questions, by mode, according to socio-demographic characteristics of respondents.

The written documents must be delivered in PC-compatible, MS-Word compatible electronic files. They should 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 must provide the Agency with the deliverables, respecting the deadlines mentioned below in weeks from the signature of the contract. All deliverables must be revised by the contractor according to the Agency's recommendations, as necessary, and returned within the deadline specified in the contract

### Deliverable 1: Inception report

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.

<b>Size:</b>	Maximum 10 pages (excluding annexes)
<b>Language:</b>	English
<b>Deadline:</b>	Inception meeting in week 3 after signature of the contract, inception report 5 working days after the inception meeting
<b>Linked to:</b>	Inception meeting

## Deliverable 2: Report from the mapping of sampling frames

The information on the identified sampling frames should be presented in a systematic and standardised way, using a template developed by FRA that will be discussed during the inception meeting. The mapping report should provide an overview of the situation across 28 EU Member States followed by a set of templates filled in for each sampling frame and country detailing the availability, accessibility, usage and other characteristics of sampling frames in each EU Member State.

**Size:** Ten page summary of the findings followed by completed templates for each sampling frame in each of the 28 EU Member States (excluding annexes).  
**Language:** English  
**Deadline:** Week 14 from contract signature  
**Linked to:** Activity 1

## Deliverable 3: Report on scenarios for the survey design of the Fundamental Rights Survey

The contractor shall provide for each of the five scenarios – as described in section 4, activity 2 of these Technical Specifications – a comprehensive description of the proposed survey designs. To ensure a systematic presentation of information for all scenarios, FRA will propose a template that will be discussed during the inception meeting. The report which will present an assessment of the five survey design scenarios will be composed of a section which introduces the assessment methodology to the reader, followed by the templates for each survey design scenario. After presenting the templates the report will close with a section discussing and comparing the merits and shortcomings of the five survey design scenarios and lessons for the development of the full-scale survey in EU-28. Throughout, reference should be made to the actual use of different modes in practice in existing survey research at Member State level; paying particular attention to mixed modes and CAWI.

**Size:** Approximately 80 pages (excluding annexes).  
**Language:** English  
**Deadline:** Week 16 from contract signature - first draft to be shared with FRA  
Week 20 from contract signature - final report to be submitted for the review of FRA  
**Linked to:** Activity 2

## Deliverable 4: Final fieldwork documents for cognitive testing (including all translations)

The final fieldwork documents include: the interviewer training manual, the questionnaire and the guidelines developed as part of Activity 3, and the translations thereof produced in Activity 3. The final amended translations of the fieldwork documents which are submitted to the FRA must be those for use by interviewers – that is, they must show any changes or adaptations to the content and formatting that have been done to the final fieldwork documents at national level, and have to be provided in the formats appropriate to the data collection modes.

**Size:** Each language version of the questionnaire, cognitive interview guidelines and any other fieldwork documents, in total approximately 80 pages per language.  
**Language:** Languages of the countries where interviews will be conducted  
**Deadline:** Week 29 from the signature of the contract

**Linked to:** Activity 3

### Deliverable 5: Completed interview templates

This deliverable includes the completed interview templates from all interviews, in all six selected countries, as carried out in Activity 3. The completed interview templates – a record of respondents' answers to the survey questions, cognitive interview questions and other probes as well as interviewers' comments – must be delivered as one or more PC-compatible, MS-Office compatible, editable files (no PDF files). The templates must be fully filled in, based on the outcomes of the interviews.

**Size:** At least 360 completed interview templates (that is, 60 templates – 20 for each of the three modes – for each Member State ).  
**Language:** English  
**Deadline:** Week 34 from contract signature  
**Linked to:** Activity 3

### Deliverable 6: Cognitive testing report

The cognitive testing report should analyse the results from all stages of the cognitive testing (from development of fieldwork materials through to translations, training of interviewers, analysis of information collected from the interviewees and feedback received from the persons who were involved in the process), as described in Activity 3. The report should present the results of the cognitive interviews in a comparative way (comparing countries and survey modes), drawing recommendations from the results (what worked and what did not function well) while indicating clearly the weight of evidence behind each recommendation (from experiences of individual respondents to issues which were reproduced across the six pre-test countries and/or across modes). The recommendations must include suggestions for modifications, considerations for choice of survey modes with regard to particular types of survey questions, and choice of terminology used in the survey.

**Size:** 120 pages (excluding annexes)  
**Language:** English  
**Deadline:** Week 39 from contract signature  
**Linked to:** Activity 3

## 6. Project management

The contractor is expected to organise its own central management and coordination team to oversee all aspects of work relating to the qualitative pre-test and the feasibility assessment. The central management team will be responsible for reporting on a weekly basis to the FRA about developments, challenges and proposed courses of action concerning the research in each of the research sites/countries. The team should consist of staff with the relevant qualifications and skills to manage and implement the pre-test and to analyse the results, and to prepare a feasibility assessment of complex survey designs in a cross-national setting.

### 6.1. Responsible body

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

## 6.2. Management structure

The project team must include a Project Manager, who is responsible for the project's overall coordination as well as at least one Survey Design and Sampling Expert, and a Research Expert for each Member State selected by the contractor in its technical offer for the pre-test (see details in section 8).

The Project Manager is responsible for coordination and administrative tasks, as well as for contacting and informing the Agency about all aspects relating to the execution of the contract and the quality of the final deliverables.

The Survey Design and Sampling Expert is responsible for the collection and compilation of information on national sampling frames and the preparation and critical assessment of the survey design scenarios.

The Research Experts are responsible for the coordination of the research in their Member States, and a different Research Expert must be identified for each of the six pre-test countries (that is, six individuals, each responsible for one country).

## 7. Logistics and Timing

### 7.1. Period of execution of the tasks

The period of execution of the tasks described in section 4 will be **9 months** from contract signature.

### 7.2. Communication and meetings

Communication between the contractor and the Agency shall be possible by phone during the Agency's working days and hours and through electronic and surface mail. Any written communication sent by the Agency shall be answered within five (5) working days. The contractor shall also ensure that it has access to equipment for video conferencing.

### 7.3. Meetings

As soon as possible after contract signature the Agency will convene an inception meeting with the contractor in Vienna at the Agency's headquarters to discuss various aspects of the project 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. Meeting costs on the contractor's side must be covered by the contractor and be included in the contract price.

During the course of the contract period three one day meetings in total (including the inception meeting) are envisaged between the Agency and the contractor. In addition to the inception meeting, two further one day meetings between the FRA and the contractor at the FRA premises are foreseen. Meeting costs on the contractor's side must be covered by the contractor and be included in the price offer.



## 8. Project team

This section presents the requirements concerning the qualifications and professional experience of the project team members.

### 8.1. Project manager

*Qualifications and professional experience*

- University degree
- A minimum of five (5) years of professional experience (after obtaining a university degree) of having conducted major international social science-based comparative research surveys
- Experience in research management, as manager or coordinator, of at least three (3) international comparative research projects, each project involving at least three (3) EU Member States
- Excellent knowledge of English (Level C1 based on the Common European Framework of Reference (CEF))

### 8.2. Survey design and sampling expert

*Qualifications and professional experience*

- University degree
- A minimum of five (5) years of professional experience (after obtaining a university degree) of having conducted social science-based comparative research surveys in the EU
- Experience of sampling and survey design in at least two (2) projects.
- Excellent knowledge of English (minimum level C1 based on the Common European Framework of Reference (CEF))

### 8.3. Research experts

*Qualifications and professional experience*

- University degree
- A minimum of three (3) years of professional experience (after obtaining a university degree) of having conducted social science-based comparative research surveys in the Member State for which the expert is responsible
- Experience of quantitative and qualitative survey pre-testing of at least two (2) projects

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

## 9. Project Implementation Monitoring

The Agency will monitor the project in technical and administrative terms. The contractor should report immediately to the Agency in writing any problems they encounter during the implementation of the contract.

The contractor shall deliver weekly progress reports as brief e-mails to the relevant FRA project manager. The weekly progress reports should document overall project progress, and they should be supported by additional e-mail and telephone contact, whenever necessary.

In addition, in the course of the contract the FRA intends to send a member or members of its staff to oversee aspects of the research. This can involve observations of anything from translation of research tools, through interviews or other research activities. One or more Member States may be visited. The FRA reserves the right to attend any stage of the research without prior notice being given to the successful contractor. The FRA will cover the costs related to the travel and accommodation of its staff in connection to such visits.

## 10. Data protection

The tenderer shall comply strictly to national and EU legislation, in particular Regulation (EC) No 45/2001 and where applicable also to Directive 1995/46/EC, as well as Regulation EC No 322/97 on the processing of data for statistical purposes.