

ANNEX A.1 – TECHNICAL SPECIFICATIONS

D-SE-17-T02

“Roma and Travellers Survey 2018”

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 “**Roma and Travellers Survey 2018**”.

1.3. Contracting Authority

The contracting authority is the European Union Agency for Fundamental Rights (hereinafter referred to as 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.

2. Background information

The Agency's work has identified Roma and Travellers² among the most vulnerable to numerous human rights violations in the EU. Alongside results from the [first](#) and [second](#) EU Minorities and Discrimination survey (EU-MIDIS) (2008, 2016) and FRA's [Roma survey 2011](#), the Agency has produced a series of reports on Roma that target key areas where they are experiencing fundamental rights abuses. It is clear from both FRA research and the work of other organisations that large numbers of Roma in the EU have limited access to formal employment, often live in precarious circumstances, and have limited access to health care (amongst other services). Furthermore, Roma often face xenophobic and discriminatory attitudes and behaviour from the non-Roma population and are often victims of violent attacks and/or hate crime.

2.1. EU Policy Background on Roma³

The EU policy on Roma inclusion is mainly framed by the Commission [Communication of April 2011](#) on an EU Framework for National Roma Integration Strategies up to 2020 and the December 2013 Council Recommendation on effective Roma integration measures in the Member States.⁴ The Agency was tasked to provide relevant data to measure progress over time and to assist Member States in developing effective monitoring tools. In a resolution adopted in late 2015,⁵ the European Parliament drew attention to the need for more effective use of EU funds so that marginalised communities do not remain excluded but become a priority of Europe's cohesion policy instruments. It also called for action to tackle the social exclusion of Roma and to improve their living conditions. In 2016, the [European Court of Auditors Special Report on EU Policy Initiatives and Financial Support for Roma integration](#)⁶ recommended the development of adequate methodologies to collect relevant

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

² The descriptive glossary of terms related to Roma issues published by the Council of Europe on 18 May 2012 states that the term “Roma” used at the Council of Europe refers to Roma, Sinti, Kale and related groups in Europe, including Travellers and the Eastern groups (Dom and Lom), and covers the wide diversity of the groups concerned, including persons who identify themselves as Gypsies; available at <https://rm.coe.int/1680088eab>. The Agency, as the Council of Europe add the term Travellers, as necessary to highlight actions, where they are specifically included.

³ European Commission, (2011) 173 final – 5.4.2011. Available at:

http://ec.europa.eu/health/sites/health/files/social_determinants/docs/com2011_173_en.pdf.

⁴ Council of the European Union (2013/C 378/01), 24.12.2013. Available at: [http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013H1224\(01\)&from=en](http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013H1224(01)&from=en).

⁵ European Parliament (2015), Resolution of 24 November 2015 on cohesion policy and marginalised communities (2014/2247(INI)), P8_TA-PROV(2015)0402, Strasbourg, 24 November 2015.

⁶ European Court of Auditors, (2016) No.14. Available at: <http://www.eca.europa.eu/en/Pages/DocItem.aspx?did=36850>.

data on Roma inclusion in all Member States. In 2017, the European Commission launched a consultation process for the mid-term evaluation of the EU Framework for national Roma integration strategies. The data collected through the Roma and Travellers Survey under this contract will be used to support this important evaluation process.

2.2. FRA mandate and data collection

Under Council Regulation No 168/2007 the Agency is tasked to collect, analyse and disseminate relevant, objective, reliable and comparable information and data, and to carry out scientific research and surveys on fundamental rights issues defined in its Multi-annual Framework, which includes 'Roma integration' as one of the Agency's areas of work. The Agency undertakes research and data collection, in particular on minority population groups in line with policy priorities and after identifying data gaps where Agency research would have an added value for the EU. The Agency undertakes its own primary data collection through both quantitative and qualitative fieldwork. At all stages of its research, the Agency works closely with contractors with respect to project development and oversight, as well as quality control. FRA has gained experience in developing and applying methodologies for sampling and interviewing respondents from elusive (hard-to-reach and hard-to survey) populations across the EU.

FRA has to date conducted the following surveys.

FRA Surveys*	Technical report	Questionnaire
Study on racism and social marginalisation (2008-2009)	Details on the survey methodology included in the results report: http://fra.europa.eu/en/publication/2012/experience-discrimination-social-marginalisation-and-violence-comparative-study	Included in the results report: http://fra.europa.eu/en/publication/2012/experience-discrimination-social-marginalisation-and-violence-comparative-study
EU-MIDIS (2008)	http://fra.europa.eu/en/survey/2012/eu-midis-european-union-minorities-and-discrimination-survey	http://fra.europa.eu/sites/default/files/eu-midis_questionnaire.pdf
Roma pilot survey (2011)	http://fra.europa.eu/en/publication/2014/roma-pilot-survey-technical-report-methodology-sampling-and-fieldwork	Included in the technical report
Violence against women survey (2012)	http://fra.europa.eu/en/publication/2014/violence-against-women-eu-wide-survey-survey-methodology-sample-and-fieldwork	http://fra.europa.eu/sites/default/files/fra-violence-against-women-survey-questionnaire-1_en.pdf
Survey on discrimination and hate crime against Jews (2012)	http://fra.europa.eu/en/publication/2013/technical-report-fra-survey-discrimination-and-hate-crime-against-jews-eu-member	Included in the technical report
EU lesbian, gay, bisexual and trans (LGBT) survey (2012)	http://fra.europa.eu/en/survey/2012/eu-lgbt-survey	Included in the technical report
EU-MIDIS II (2016)	http://fra.europa.eu/en/project/2015/eu-midis-ii-european-union-minorities-and-discrimination-survey	Not available

* Note: Year in brackets indicates the year when the data collection took place

2.3. FRA's work on Roma

In response to the Commission Communication in 2011 FRA developed a multi-annual Roma Programme to provide data and analysis through the implementation of surveys, through the collection of secondary data and through the collection of primary qualitative data derived from participatory action research. The work focuses on discrimination, anti-Gypsyism and hate crime across the four core priority areas: employment, education, housing, health.

The Agency's [multi-annual Roma programme](#) has three pillars:

1. Collecting quantitative data and mapping data sources.
 - a. Roma Pilot Survey (2011)
 - b. Collecting secondary data through [country thematic studies](#) (2012)
 - c. [Mapping of official data sources at national, regional and local levels related to Roma \(2013\)](#)
 - d. Roma component of EU-MIDIS II survey (2016)

- e. 2018 Roma and Travellers survey (the subject of this tender)
- 2. Conducting qualitative research to contextualise quantitative data. This pillar includes the following activities:
 - a. [Local Engagement for Roma Inclusion \(LERI\)](#), a research project based on action research exploring what works for Roma inclusion at local level, what does not work and why. The research was conducted from 2014-16, with case studies and audio-visual material published in April 2017, and a summary report and technical report to be published in early 2018.
 - b. Piloting local monitoring systems for tracking progress at municipal level.
- 3. Cooperation with Member States to [develop monitoring methods and tools](#) to track progress in Roma integration.

FRA has conducted surveys in three points of time. In 2008 in the first European Union Minorities and Discrimination Survey (EU-MIDIS), in the 2011 FRA Roma survey, and in 2016 in the second European Union Minorities and Discrimination Survey covering different countries (see overview in Table 1 below)

Table 1: Overview of EU Member States with FRA surveys on Roma

	EU-MIDIS I	Roma pilot	EU-MIDIS II
	2008	2011	2015-16
Bulgaria	X	X	X
Czech Republic	X	X	X
Croatia			X
France		X	
Greece	X	X	X
Hungary	X	X	X
Italy		X	
Poland	X	X	
Portugal		X	X
Romania	X	X	X
Slovakia	X	X	X
Spain		X	X

The 2018 Roma and Travellers survey is an integral part of the Agency's multi-annual Roma Programme. The data collected will populate indicators that will: (1) allow for a comparison between countries and the general population (2) be used by the Commission to assess progress in Roma integration and (3) contribute to the other areas of the multi-annual programme.

First European Union Minorities and Discrimination Survey (EU-MIDIS I) (2008)

In 2008, FRA carried out the largest survey on immigrants and ethnic minorities' experiences of discrimination and victimisation in the EU27 – the first 'European Union Minorities and Discrimination Survey' (EU-MIDIS). The survey carried out face-to-face interviews with a random sample of 23,500 ethnic minority and immigrant respondents in all 27 EU Member States. In addition, 5,000 people from the majority population living in the same areas were interviewed in 10 Member States to compare selected results. The results of EU-MIDIS I were published in the period 2009–2012 and are available at <http://fra.europa.eu/eu-midis>.

FRA Roma survey (2011)

In 2011, FRA carried out a survey on Roma in eleven EU Member States interviewing face-to-face a randomly selected sample of Roma living in areas with above national average concentration of Roma population, as well as non-Roma living in or near these areas. The survey collected detailed information about respondents' household, employment situation, education, health and housing, about their neighbourhood and its infrastructure, as well as experiences of migration, discrimination, and issues related to rights awareness and citizenship. The technical report and the questionnaire of the survey can be accessed at: <http://fra.europa.eu/en/publication/2014/roma-pilot-survey-technical-report-methodology-sampling-and-fieldwork>. Selected results can be viewed through the survey data explorer at: <http://fra.europa.eu/DVS/DVT/roma.php>.

Data in focus reports from the 2011 Roma survey include:

- [Education: the situation of Roma in 11 EU Member States \(2014\)](#)

- [Poverty and employment: the situation of Roma in 11 EU Member States \(2014\)](#)
- [Discrimination against and living conditions of Roma women in 11 EU Member States \(2014\)](#)
- [Analysis of FRA Roma survey results by gender – paper \(2013\)](#)
- [The situation of Roma in 11 EU Member States – Survey results at a glance \(2012\)](#)

Second European Union Minorities and Discrimination Survey (EU-MIDIS II) (2016)

In 2016, FRA carried out the second wave of EU-MIDIS interviewing face-to-face 25,500 persons with an immigrant or ethnic minority background across the EU. The interviews were conducted by trained interviewers using a computer assisted method (CAPI). Respondents were selected through different random probability sampling methods. The survey collected comparable data on experiences of discrimination and criminal victimisation; rights awareness and contacts with law enforcement; on socio-economic conditions; and on issues related to social inclusion and societal and political participation.

EU-MIDIS II is an integral part of the Roma-targeted work of the Agency. In EU-MIDIS II, Roma were surveyed in nine Member States – the questionnaire built upon the previous two FRA surveys covering Roma to include core modules applied in the 2011 Roma survey and to allow therefore for a comparative analysis over time, to the extent possible. The data collected assess progress in Roma integration in 2012-2016. Results [EU-MIDIS II 'Roma – Selected findings'](#) were published in 2016.

In September 2017, the Agency will publish a report with selected findings on Muslim respondents interviewed and, in December 2017, the main survey results will be published together with a technical report; data will be available online through FRA's data explorer.

2.4. Preparatory work for the Roma and Travellers survey 2018

In the first quarter of 2017 FRA engaged in desk research, stakeholder and expert consultations to design the Roma and Travellers survey taking into account policy needs. FRA has looked into the technical aspects of the implementation of such a survey in other countries as previously surveyed by FRA to assess the scope and feasibility of a Roma and Traveller survey in all EU-28 Member States. FRA collected through its research network FRANET country specific data and information on (a) the demographics and potential data sources of Roma and Traveller populations in municipalities; (b) research or surveys on Roma and Travellers implemented (or planned to be implemented) in 2012-2018; (c) on non-governmental actors working with Roma and Travellers. The outcome of consultations and preparatory research was used to assess the feasibility of conducting a survey in EU-28 Member States and to prepare these Technical Specifications.

3. Contract Objectives and Expected Results

3.1. Overall objective

The overall objective of the contract is the implementation of a nationwide Roma face-to-face survey in eleven (11) EU Member States in order to collect comparable data on the living conditions and fundamental rights situation of persons who self-identify as Roma and Travellers. The findings will provide evidence on progress made in Roma integration efforts to EU institutions and Member States and will be used to populate indicators to assist policy makers and other stakeholders in the review of the Europe 2020 strategy.

All tasks carried out under this contract shall be executed **within 19 months from the contract signature** respecting the relevant legislation and in compliance with the ICC⁷/ESOMAR⁸ International Code of Marketing and Social research practice⁹ and the WAPOR¹⁰/ESOMAR Guide for Opinion Polls.¹¹

⁷ ICC: International Chamber of Commerce - The World Business Organisation.

⁸ ESOMAR: The European Society for Opinion and Market Research.

⁹ Available at: <http://www.esomar.org/publications-store/codes-guidelines.php>.

¹⁰ WAPOR: World Association for Public Opinion Research.

¹¹ Available at: http://wapor.org/pdf/ESOMAR_Codes&Guidelines_OpinionPolling_v5.pdf.

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 Roma survey 2018, including, but not necessarily limited to, the following **project activities**:

- Background research and preparatory work
- Consultation and setting up cooperation with national Roma experts, organisations and stakeholders
- Development of country specific survey and sampling designs
- Review and finalisation of the questionnaire and development of survey tools
- Review of the translations and translation of additional items
- Recruitment of interviewers and interviewers' training
- Pilot survey
- Data collection
- Quality assurance - quality control in all stages of the survey life cycle and reporting of outcomes
- Data coding, entry and processing, imputation of missing data, data weighting
- Calculation of selected indicators and tabulation of results
- Progress and technical reports

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 selected EU Member State.

The contractor shall develop and implement a **quality assurance and monitoring plan** that clearly outlines all relevant procedures, such as monitoring the quality of the survey in all stages of the research and survey life cycle and of all project deliverables, as appropriate considering the scope and volume of the work of the survey.

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.

3.3. Scope of work – specific

The research will be conducted in the following eleven (11) European Union Member States – Austria, Belgium, France, Ireland, Italy, Latvia, the Netherlands, Poland, Slovenia, Sweden and the United Kingdom.

The survey interviews will be carried out face-to-face in each selected country by interviewers who have completed in-person training for this survey. The use of standardised computer-assisted personal interview (CAPI) system shall be applied. If in exceptional cases CAPI interviewing is not feasible, the interviews can be carried out using paper questionnaires (PAPI) following approval by FRA.

A quantitative survey among the Roma population has been successfully implemented by FRA in several EU-Member States before. Available field material and source questionnaire for the survey (mainly based on the questionnaire of the 2016 FRA EU-MIDIS II survey) will be provided by FRA to the contractor in English. The master source questionnaire will be revised and overall shortened; a small number of new questions will be added to reflect the specificities of the countries and the Roma population covered. The revisions and other changes will be made by FRA, in consultation with the contractor and the relevant stakeholders.

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 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 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 Roma population in each survey country and comparable, to the extent possible, across countries and to the 2016 FRA EU-MIDIS II survey.

The project activities shall be carried out in **two Phases** (see Table 3 in Section 4).

Phase 1 shall include the following activities: all preparatory work; background research in each country, mapping of sampling frames and consultation with the [national governments' Roma Contact Points](#) and organisations, development of country specific survey methodology and sampling; revising and finalisation of the questionnaire and its translations and the customization of survey tools to country specific survey designs as outlined below. During Phase 1 and prior to the start of the full-scale data collection, the contractor shall carry out a pilot survey with the full questionnaire and methodology in the selected EU Member States (see Activity 6 pilot survey), which should include **110** successfully completed interviews with on average 10 test interviews per covered EU Member State. Quality assurance, documentation and monitoring is key to all activities in Phase 1.

Phase 2 shall include the implementation of the full-scale field work to collect data based on an overall minimum net sample size of **8,500** successfully completed interviews optimally allocated across the selected 11 EU Member States, and all activities related to the following activities: interviewer selection and training; survey quality assurance; collection of meta- and paradata, interim data and interim technical report data coding, data entry and processing; imputation of missing data, weighting; calculation of selected indicators and tabulation of results; and the final technical reporting. Quality assurance, documentation and monitoring is key to all activities in Phase 2.

The implementation of Phase 2 is dependent on the availability of funding in FRA's Annual Work Programme 2018 and on the completion by the contractor of the pilot survey in Phase 1. FRA will establish the availability of funding at an early stage in the project, so that the related project activities of Phase 1 and Phase 2 can be considered.

For the detailed description of the work see Section 4 (Specific Activities) and section 5 (Deliverables).

3.4. Target population: terms and definitions

The eligible respondents of the survey are individuals aged 16 years or older who have their usual residence in the respective survey country for a total of at least six months within the last 12 months and who identify themselves as Roma or Travellers or with one or more of the groups subsumed under these terms. The term 'Roma' is used as an overarching term in the definition of the Council of Europe and encompasses the wide diversity of the a) Roma, Sinti/Manush, Calé, Kaale, Romanichals, Boyash/Rudari; b) Balkan Egyptians (Egyptians and Ashkali); c) Eastern groups (Dom, Lom and Abdal); and, on the other hand, groups such as Travellers, Yenish, and the populations designated under the administrative term "Gens du voyage", as well as persons who identify themselves as Gypsies.¹²

Eligible respondents, as described above, may be country nationals or persons who moved to the survey country from another EU or non-EU Member State irrespective of their citizenship or formal residence status. Given the diversity of these populations and of country contexts, the survey needs to reflect these country specifics maintaining, to the extent possible, comparability across countries. The final definition of the size and diversity and characteristics of the target groups will be based on desk research and field research in the preparatory phase of the survey. The survey shall aim for a nationwide coverage of the Roma population in the selected EU Member States. The final coverage of the diversity of the groups to be included in the survey in individual Member States will be determined during the preparatory stage of the survey, and could be reviewed during ongoing fieldwork and in close cooperation with the relevant national stakeholders and upon approval of FRA. The final coverage needs to take into account the sampling frame available or to be established, the elusiveness, the concentration and the dispersion of the target population and the survey strategy chosen (see Activity 3 on country specific survey designs and sampling). Table 2 gives an overview of known main groups in each country and their regional distribution. The information is indicative and will be verified through Activity 1 and Activity 2.

¹² Council of Europe (2012): Descriptive glossary of terms relating to Roma issues:
<http://a.cs.coe.int/team20/cahrom/documents/Glossary%20Roma%20EN%20version%2018%20May%202012.pdf>.

Table 2: Preliminary overview of main Roma groups and their regional distribution in selected EU-Member States

Country	Main Roma groups	Regional distribution and other background information
Austria	Burgenland-Roma; Austrian Sinti and Lovara; diverse groups coming from Central and South-East European countries (both EU and non-EU Member States)	Burgenland-Roma live in rural areas or small cities; the majority in Oberwart. Sinti and Lovara live in larger Austrian cities, and are not considered marginalised. Roma coming from CEE countries live primarily in Vienna. Roma and Sinti Austrian citizens are a recognised national minority.
Belgium	Manush (Manouches) ; Roms ; Travellers (Voyageurs); Roma coming from Eastern Europe as well as from western Europe	The groups are mainly present in Brussels, Antwerp, Ghent and Sint-Niklaas. There are also important concentrations in Diest, Tienen, Heusden-Zolder and Temse. The majority of the Manush, Roms and Travellers in Belgium are Belgian citizens, while Roma have the nationality of their country of origin.
France	Sedentary Roma ; Travellers (Gens de voyage) ; various groups coming from CEE EU member states and	Part of the Roma and Traveller population is mobile. Roma from CEE countries are found in several departments, mainly Val-de-Marne, Gironde and Essonne.
Italy	Sedentary Italian Sinti and Roma; various groups coming from ex-Yugoslavian countries and from CEE EU Member States.	Most Sinti and Roma (Italian and foreign) are located in large cities such as: Turin, Milan, Venice, Genoa, Bologna, Florence, Rome, Naples, Bari, Reggio Calabria. Italian Sinti are mostly in northern parts.
Ireland	Irish Travellers – Pavees; Roma coming from CEE EU Member States.	The Irish Traveller population is relatively evenly spread throughout Ireland. Counties with major cities have a particularly high number of both Irish Traveller and migrant Roma population. The largest Roma population is found in Dublin city centre and in surrounding areas. Irish Travellers are recognized as an ethnic minority group in Ireland.
Latvia	Latvian Roma (Loftitke Roma) and Russian Roma (Xaladytka Roma)	The majority of Roma live in the capital, Riga and large towns of Kurzeme and Zemgale regions, such as Ventspils, Jelgava and Talsi.
Netherlands	Dutch Roma, Sinti and Travellers; Roma coming from ex-Yugoslavian countries and from CEE EU Member States in various times.	Many (both Dutch and foreign) live in the southern part of the country. Eleven Dutch municipalities – Berkel-Elschot, Capelle aan den IJssel, Ede, Epe, Gilze en Rijen, Lelystad, Oldenzaal, Nieuwegein, Spijkenisse, Utrecht and Veendam – have relatively large Roma populations as they provided relief sites when Roma were granted a 'general pardon' in 1977 and were allowed to stay. Some groups later dispersed to other municipalities such as Amsterdam, Den Bosch, Enschede, Tilburg and Veldhuizen.
Slovenia	Sedentary Roma and Sinti (pomurski, dolenjski and gorenjski)	The majority live in the region of Prekmurje (35% of the Slovenian Roma population) and in south-eastern parts of Slovenia (40.5 %). Significant numbers live also in Ljubljana and Maribor.
Sweden	Swedish Roma, Finnish Roma, non-Nordic Roma, travellers and the recently arrived Roma who mainly come from the former Yugoslavia.	Roma live in most of the Swedish municipalities. One of the biggest mixed Roma communities lives in Malmö (Roma with 9 different nationalities). Roma with Swedish citizenship are recognized as a national minority in Sweden.

UK	Romani Gypsies (or the Romanichals) and Travellers (including Irish Travellers); sedentary Roma coming from EU Member States and non-EU countries of CEE	While Gypsy and Traveller populations can be found throughout the UK, the Roma have established significant communities particularly in the north of England, the Midlands, Kent/Medway/Essex, the South East, and North and East London. There are also sizeable communities of Roma in Scotland (Glasgow), Wales (Cardiff) and Northern Ireland (Belfast).
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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 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679) 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, FRA shall be entitled to request and obtain access to the data processed on its behalf from contractors at any time. 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 FRA before responding to any such request, and shall act promptly upon receiving instructions from FRA.

This section describes the activities that the contractor shall carry out during the project life cycle, split in **two phases**.

Table 3 provides an overview of the activities in Phase 1 and Phase 2. The activities included in Phase 2 presuppose that where relevant the activities listed under Phase 1 have been completed.

Table 3: Activities to be carried out according to Phase 1 and Phase 2 of the project

Phase 1	
1	Background research and preparatory work
2	Expert consultation and setting up cooperation with national Roma experts, organisations and stakeholder
3	Development of country specific survey and sampling designs
4	Review and finalisation of the questionnaire and development of survey tools
5	Review of the translations and translation of additional items
6	Pilot survey
Phase 2	
7	Interviewer recruitment and training
8	Data collection full scale survey
9	Data coding, entry and processing, imputation and weighting
10	Calculation of selected indicators and tabulation of results

4.1. Phase 1

This section describes the activities that the contractor is expected to carry out during Phase 1 of the project.

Activity 1: Background research and preparatory work

Inception meeting

. After contract signature, the contractor will attend a one-day inception meeting at FRA's premises in Vienna to discuss the details of project activities and the timeline (work programme) proposed by the contractor in its technical offer. At the inception meeting, FRA and the contractor will also discuss a draft quality assurance and monitoring plan delivered together with the technical offer. After the meeting, the contractor will draft an inception report, which summarises the discussions and decisions taken, and the report will be submitted to FRA for approval. The contractor will attach to the report a revised project timetable, indicating in detail the various project activities and deadlines which the contractor has committed to. Following the inception meeting, the contractor will also finalise a first stage of the quality assurance and monitoring plan, with particular focus covering Activities 1-6 and how to develop the second stage of the quality assurance and monitoring plan covering activities 7-10 (see also Section 9 on Quality Assurance, Monitoring, Documentation and Reporting).

Mapping of information and sampling frames

Preparatory work shall include the mapping of sampling frames. It involves the collection of any information that is necessary to successfully carry out the survey and to assess the quality of the survey in a respective country.

The contractor shall collect and analyse information from different sources, such as the National Roma Contact Points, Roma civil society, national/ local administrative bodies, national quantitative surveys, qualitative research, national and local NGOs and/or other civil and international organisations etc. in order to determine the size, characteristics, and geographic distribution of the target population/ target groups in each of the selected EU Member States and identify relevant sampling frames. In the absence of sampling frames, the contractor shall establish lists of localities which can be used for selection of primary sampling units (PSU). These lists shall target nationwide coverage and can build upon existing frames and maps to the extent possible but the contractor needs to adapt and fill existing gaps. Sampling may be based on a combination of different frames and data sources and differ at different stages of sampling.

Any existing sampling frames 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. In the absence of administrative sources, list of localities can be established based on expert's assessment, estimates or informal sources, and building on the results of the semi-structured interviews (for details see Activity 2, below).

The contractor shall pay particular attention to the sensitive nature of collecting data on Roma and Travellers 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.¹³

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 PSU, urbanity, household size, etc.

Documentation of mapping and information

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, 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 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.

Activity 2: Expert consultation and setting up cooperation with national Roma experts, organisations and stakeholder

¹³ See UN-OHCHR: A human rights based approach to data:
<http://www.ohchr.org/Documents/Issues/HRIindicators/GuidanceNoteonApproachtoData.pdf>.

The contractor, in close consultation with FRA, shall establish links with national/ local organisations, municipal offices, and communities working directly or in close cooperation 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 frames and sampling plans and also facilitate access to hard-to-reach respondents.

The contractor shall organise at least one consultation (advisory meeting) in each survey country to facilitate community outreach and help ensure local engagement and attention for the implementation of the survey. If necessary, additional events can be organised in different locations – taking into account whether the target groups mainly live in certain regions or across the whole country. This will contribute to the success of the survey, particularly regarding data collection where it is necessary to involve mediators to identify potential respondents. FRA may participate in these consultations (advisory meetings) covering the costs of its own staff. The contractor is required to inform FRA a minimum of two weeks in advance of each event, including the agenda, exact time, place and responsible person.

The consultations will feed into the background research and the development of sampling frames. The contractor shall define a standardised way of reporting and summarise each meeting, and administrative contacts and information gained through these meetings. Information on individuals and shared with FRA can only be collected upon consent and strict compliance with data protection legislation.

In addition, where there is very limited knowledge of where the target groups live the contractor may conduct semi-structured interviews with relevant experts (for example, officials of municipalities, NGOs working with Roma, etc.) to estimate the size and main characteristics of the target groups and to map the localities, where they live. An interview schedule will be developed by the contractor in consultation with FRA aiming to contribute to the establishment of lists for drawing a sample of localities and for the development of the overall sampling design and the country specific survey approaches.

Activity 3: Development of country specific survey and sampling designs

For all countries/ regions, the target populations (see Section 3.4. Target population) can be considered as **hard to reach** or as 'elusive' populations due to one or a combination of the following characteristics:

- There is no sampling frame or available sampling frame(s) are incomplete, or not up to date
- There are legal restrictions and/or historical barriers to collect data on ethnicity
- The target population is relatively small and/or dispersed
- Persons from the target population are hard to identify
- Persons from the target population do not want to self-identify
- Persons from the target population are mobile or reclusive

Due to these and other factors, sampling of elusive populations cannot rely on the same principles that apply for sampling the general population. The contractor shall therefore develop and implement the appropriate procedures for sampling the target groups of the survey.

Sampling design

FRA's 2018 Roma and Travellers Survey sets out to achieve a random **sample** of Roma in each of the selected EU Member States, so that the survey results can be generalised to the target population. 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 survey shall adopt a variety of sampling approaches because the availability, quality and choice of sampling frames differs across EU Member States and/or target groups. The contractor shall develop an **optimal overall sampling design** and **specific sampling strategies** for each country and its diversity of Roma populations, with explicit attention to the balance between bias, variance, feasibility and costs. If a list based or random route based sampling would be unfeasible (and after documenting this in detail), the contractor may propose alternative sampling approaches or a combination of different sampling approaches in certain Member States to FRA for approval.

The contractor shall work in close cooperation with FRA when developing and implementing the overall sampling design and the country/group-specific sampling approaches. National experiences in surveying Roma shall be taken into account through the contributions of the national survey experts that the contractor will assign for the selected country, along with the national experts and stakeholder network established in Activities 1 and 2 of this project. The contractor shall specify and justify the proposed sampling plan for each country. The final FRA 2018 Roma Survey sampling design – developed under the lead of the senior sampling and weighting expert (see Section 8.3) - shall be implemented upon approval by FRA.

The main sampling strategy will be multi-stage area based sampling.

First stage sampling: Primary sampling units (PSUs) shall be selected with probability sampling. The efficiency of the sample depends greatly on how the area units are selected. Therefore measures, such as previously applied in EU-MIDIS II, can be taken to increase feasibility and efficiency of surveying the target population:

- Identification and exclusion of practically ‘empty’ primary sampling units, that is, PSUs where eligible individuals would be extremely rare,
- Classification of the remaining areas according to the degree of concentration of the target population. After classifying the areas, it is possible to determine an appropriate cut-off point for excluding low concentration areas, along with an estimate of the proportion of the target population. If necessary, strata with higher concentration can be over-sampled.
- Strata should consider regional dispersion of main Roma groups in a country to ensure representation in the sample

FRA must approve any measures taken to exclude sample units from the frame or the sample.

Second stage sampling: The following sampling approaches shall be taken into consideration when developing the country specific sampling designs in order of priority within sample areas: (1) random probability sampling; (2) area based location sampling; (3) other non-random sampling approaches, such as snowball sampling and quota sampling. The contractor shall always use the higher priority sampling approach and must justify the choice made based on empirical evidence (that is, the possibility of using sampling approach 1 must be explored and excluded before considering sampling approach 2, and so on):

- 1.) Random probability sampling
 - (a) systematic sampling from individual or address lists, where such lists are available; **or**
 - (b) enumeration of addresses with systematic sampling: enumerators shall not carry out interviews in a primary selection unit (PSU) which they have enumerated; **or**
 - (c) random route sampling

In the case of systematic or random route sampling screening is required in the second stage of sampling to identify eligible individuals within the areas selected in the first sampling stage. Screening is a major component of survey fieldwork costs, and can be a particular burden to interviewers in low concentration areas where eligible individuals are rare. The contractor may apply the supplementary procedure “adaptive cluster sampling” (ACS) to boost the efficiency of two stage area based sampling.¹⁴ The method was successfully applied in EU-MIDIS II in two EU Member States.

Participation in the survey is always voluntary and based on self-identification. External identification of individuals’ eligibility to be interviewed is not allowed.

2.) Area based location sampling¹⁵

3.) Other non-random sampling approaches such as snowball sampling and quota sampling.

Where households are used as the sampling unit, within each eligible household one person belonging to the target population (age 16 years and over) shall be randomly selected for an interview with equal selection probability. The developed sampling procedure shall take into account possible bias arising from unequal household sizes between different countries.

¹⁴ See Verma V. (2014): Sampling Elusive Populations: Applications to Studies of Child Labour. Geneva: International Labour Office.

¹⁵ 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.

The contractor shall collect data on the total population and the sampling frame in a comparable and standardised way. Data shall be stored in SPSS compatible format and can be organised in spreadsheets or in a database. The format shall meet the need to easily retrieve information at different stages in the project (e.g. sampling, quality control, weighting) and ensure that each step of the sampling procedure is standardised, controlled for, and documented in the sampling plan. The information collected shall be used to specify the sampling strategy in order to achieve a sample that is representative for the target population. Furthermore, sampling of Roma populations will be carried out with reference to the sampling strategies applied in EU-MIDIS 2016. FRA will provide the contractor with the available sampling information in this regard.

Sample size(s)

Minimum overall net sample size is 8,500 successfully completed interviews in the 11 EU Member States. An indicative minimum net sample size per country of 400 respondents has to be met. Sample sizes per country are subject to optimal allocation upon approval of FRA. Optimal allocation of sample sizes shall at the same time maximise: (a) precision of the results for the total of the Roma population in each country; (b) precision for comparability between EU Member States; and (c) precision for different Roma groups (such as nationals/non-nationals) within a country, taking into account feasibility, timeliness, and costs of the selected sampling strategy.

Table 4 shows **indicative** net sample sizes per EU Member State. The estimated total population size is based on estimates of the Council of Europe and may be revised in the process of mapping and establishing sample frames. It also indicates where the EU-MIDIS II type of survey methodologies should be possible.

Table 4: Indicative net sample size per country and group

COUNTRY	Estimated total Roma population*	preliminary sample allocation: number of net interviews	preliminary assessment of survey methodology
Austria	35,000	750	Survey methodology to be developed
Belgium	30,000	750	Survey methodology to be developed
France	400,000	1,500	EU-MIDIS II type methodology
Ireland	37,500	500	EU-MIDIS II type methodology (national surveys in place)
Italy	150,000	1,000	EU-MIDIS II type methodology
Latvia	12,500	400	EU-MIDIS II type methodology
Netherlands	40,000	750	EU-MIDIS II type methodology
Poland	32,500	500	EU-MIDIS II type methodology
Slovenia	8,500	400	EU-MIDIS II type methodology
Sweden	50,000	750	Survey methodology to be developed
United Kingdom	225,000	1,200	EU-MIDIS II type methodology (national surveys in place)
Total	1,021,000	8,500	

*based on the [estimates of Council of Europe](#). Most estimates include both local Roma + Roma-related groups (Sinti, Travellers, etc.) & Roma migrants. These estimates may deviate considerably from the actual numbers and between countries, in particular as migrant Roma communities are underestimated and recent years developments are not addressed.

Response rates

The contractor shall implement measures to ensure that the response rates are as high as possible aiming for a minimum response rate of 50 % in all countries. To achieve a **minimum overall response rate of 50 % within each of the selected countries**, the contractor shall set as a target a **minimum response rate of 40 % within each PSU** and other strata as agreed upon with FRA. The household response rate is calculated in accordance with the RR3 definition of response rates by the American Association for Public Opinion Research (AAPOR).¹⁶

¹⁶ The American Association for Public Opinion Research (AAPOR) (2011), 'Standard Definitions: Final Dispositions of Case Codes and Outcome Rates for Surveys', Revised 2011.

Any deviation of the targeted response rates or its calculation shall be upon approval of FRA. The contractor must apply accurate quality safeguards to avoid any potential bias in the selection of respondents.

Gross sample sizes have to be tailored in such a way that all issued addresses will be fully exhausted and need to be included in the calculation of response rates. In the case of uncertain estimates of response rates the contractor shall consider multi-phase sampling. Each phase or subset of samples must comply with random selection.

The contractor is required to take measures to minimise bias resulting from differences in response rates between sampling points and to document any bias arising from the implementation or set up of the survey.

Response rates and potential bias in respondent selection must **be controlled for throughout the fieldwork** and recorded in reports regularly documenting progress and measures taken to achieve the target response rates and to counteract any bias.

Weighting

The contractor's senior sampling and weighting expert shall develop in concurrence with the sampling strategies a conceptual note on weighting and ensure that all necessary information for each step of weighting (strata, design weights, non-response weights, post-stratification weights) is collected alongside with the sample frame. The contractor shall clearly outline how to address any potential bias in sampling and to adjust for non-probability elements of the sampling to ensure the generalisation of the results to the total of the target population in a country.

Activity 4: Review and finalisation of the questionnaire and development of survey tools

Survey questionnaire

The survey questionnaire shall be built upon the questionnaire of the 2016 second European Union Minorities and Discrimination survey (EU-MIDIS II), which FRA will review, shorten and adapt. It is an objective of the survey to be comparable to the extent possible with EU-MIDIS II therefore questions will only be changed due to necessary quality considerations. The way respondents will reply to 'filter questions will determine the actual number of questions to be answered in the survey, which will differ from one respondent to the other. In this context, the contractor must ensure that the CAPI survey tool is capable of managing the complex routing patterns of the questionnaire. As an indication, and based on experience from previous surveys on Roma the average respondent should complete the questionnaire in approximately 45 minutes. The contractor shall make suggestions how to manage different language versions in one country.

FRA will revise the questionnaire in consultation with the contractor, based on a 'master version' (in English; MS Word format). The contractor shall be responsible for introducing the respective changes to the translated versions of the questionnaire in each survey language (Activity 5 – Review of the translations and translation of additional items).

Based on the experiences in EU-MIDIS II, the contractor shall develop for each country in close cooperation with FRA a short set of screening questions to establish the eligibility of prospective respondents. This screening shall produce comparable results between countries, but needs to be adapted to the country specific survey strategy.

Survey tools

The contractor shall transform the survey questionnaire provided by FRA in MS Word or Excel format into a computer-assisted questionnaire (CAPI). The contractor shall be responsible for scripting the survey – programming the survey questionnaire using a central system to be used in all countries to ensure consistency, comparability and central field control. If the application of automated survey systems is not feasible in a country or for certain areas/groups or if deemed necessary for certain reasons, upon prior approval by FRA the interviews can be carried out using paper questionnaires (PAPI). However, where PAPI is used, the contractor must develop additional procedures to ensure that the same quality can be reached and that data entry is not delayed.

The contractor shall introduce logical and plausibility checks to ensure that the data entered is of high quality to the extent it does not hinder the flow of the questionnaire.

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

The visual identity of the scripted questionnaire and all survey tools has to be as user friendly as possible, and should be designed with the intention of decreasing the burden for interviewers and respondents.

Metadata and paradata¹⁷

The contractor shall develop a list of additional variables (see Activity 1) including metadata and paradata, which are necessary for monitoring the progress of the survey and the quality of the data. Metadata and paradata cannot be collected from the respondent and provide information for example on sampling, characteristics of non-respondents, number of contacts and outcome of contacts, debriefing feedback on each interview, time and length of the interview, characteristics of the interviewer, locality and neighbourhood.

In addition to metadata/paradata collected before and after fieldwork (e.g. during the development of sample designs), all relevant metadata/paradata collected during fieldwork itself shall be an integral or add-on part of the centrally established automated survey system and must be recorded and provided to FRA. For every element (individual and/or address) of the gross sample a single case should be generated, which includes the survey, sampling and stratification characteristics, and the results of the various stages of the process. The contractor shall develop a codebook documenting all variables collected throughout the survey implementation. **All metadata and paradata shall be linked unambiguously to the survey data via a unique identifier.**

To allow for post-stratification and linkage to auxiliary data, the contractor shall code regional and address information including international classifications. This may include GPS coordinates of the PSU (and random starting point in the case of random route), NUTS 3, LAU 2 (municipalities) and DEGURBA (degree of urbanisation).

FRA suggests that the contractor should use a system integrating interviewing and survey sample management to achieve a high level of complementarity and consistency between auxiliary data, metadata, paradata, and data collected through the survey sample management system and during the interview.

Additional fieldwork material

The contractor shall develop and provide all relevant fieldwork material necessary for the implementation of the survey, such as an information letter for the respondents, easy to read information card or folder, enumerator instructions, maps (random route), interviewer instructions, questionnaire instructions, show cards, contact sheets, list of support services or civil society organisations that could be offered to the respondent after the interview, etc. All relevant fieldwork material shall be translated in all survey languages (as listed under Activity 5: Review of the translations and translation of additional items). An English version of all relevant fieldwork material shall be sent to FRA for review and approval before translation into other languages.

Interviewer training material

FRA will provide the contractor with interviewer training material developed for EU-MIDIS II. In cooperation with FRA, the contractor – led by the Senior Survey Expert (see Section 8.2) and in consultation with experts and Roma representatives – shall develop the survey's training package. The training package will be used to carry out the interviewer training sessions as described in Activity 7 – Interviewer recruitment and training – and the package shall include:

- A set of presentation slides which can be used as a basis for the interviewer training in each country
- An interviewer manual

The training material will contain a core set of instructions to be used in all participating countries and additional country-specific instructions (as necessary), which must be approved by FRA. These national adaptations to the training material must be in line with the overall project specifications as described in these Technical Specifications and as agreed between FRA and the contractor.

The training material shall describe in detail:

- The background, purpose and topics of the study
- Historical, ethical and cultural information and principles related to the data collection on the Roma ethnic minority;
- Instructions, how to use the fieldwork material

¹⁷ See Nicolaas Gerry, 2011, Survey Paradata: A review. ESRC National Centre for Research Methods Review paper, January 2011, available at: http://eprints.ncrm.ac.uk/1719/1/Nicolaas_review_paper_jan11.pdf.

- The sampling technique(s) to be applied for each target group in each country
- 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 sampling strategy are strictly followed
- Ensure that the human rights principles¹⁸ and ethical and cultural diversity are respected throughout the study
- Raise awareness on the impact that conscious/unconscious biases and stereotypical thinking can have on the implementation and outcome of the survey
- Ensure the safety of the respondents and the interviewers
- Ensure confidentiality and inform respondents of the measures taken to ensure protection of personal data
- Encourage participation in the survey (while the survey is voluntary)
- Ensure privacy of the interview setting and how to deal with interruptions by other persons
- Putting the respondent at ease when interviewing on sensitive issues
- Dealing with respondents who are not proficient in the language(s) of the EU Member State to be surveyed or cannot read or write
- Dealing with sensitive situations and distressed respondents
- Assist persons with disabilities – long-term physical, mental, intellectual or sensory impairments – to participate in the survey
- Monitoring and supervising the interviewing process

In developing the training material, the contractor shall include, as applicable, relevant ethical and safety recommendations that apply for researching individuals/groups vulnerable to discrimination or victimisation and social marginalisation. The contractor shall involve representatives of civil society organisations, Roma communities, or other local organisations who can facilitate the access to potential Roma respondents.

Coordination and briefing meeting (see also Section 7.3. Meetings)

After developing the survey questionnaire and the interviewer training material, the Project Coordinator (central management and coordination team) shall organise a two-day meeting with all 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 train-the-trainers sessions, led by the Senior Survey Expert. 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.

Data protection and security

Some of the meta and paradata collected will be used for administering the survey and data quality control to identify possible fraudulent interviews. All records containing identifiers, which can be used to single-out respondents or persons of Roma ethnic origin, are considered as personal and sensitive data and shall be managed and protected as such. All data collected and provided to FRA shall be processed anonymously, ensuring that no individual respondent can be identified.

Activity 5: Review of the translations and translation of additional items

FRA will provide the contractor with the source questionnaire in English and with the translations of the questionnaire used in the 2016 FRA EU-MIDIS II survey. The questionnaire was translated into the following languages to be used for the 2018 survey: Bulgarian, Czech, French (with adaptations for France and Belgium), German (with adaptations for Austria), English, Italian, Latvian, Dutch (adapted for Flanders and Netherlands), Polish, Romanian, Russian, Slovakian, Slovenian and Swedish. These language versions shall serve as basis for review and adaptation. For the Serbian language which was not used in EU-MIDIS II, the Croatian language shall serve as basis for review and adaptation.

The contractor shall be responsible for introducing all changes, which have been made by FRA to the EU-MIDIS II source questionnaire to all other language versions of the questionnaire, including the work needed to translate new items, which have been added to the questionnaire. It is estimated that there will be 10-15 new questions. In translating the new questions

¹⁸ See UN-OHCHR: A human rights based approach to data:
<http://www.ohchr.org/Documents/Issues/HRIindicators/GuidanceNoteonApproachtoData.pdf>.

which will be added to the questionnaire compared with FRA's EU-MIDIS II survey, every effort shall be made to ensure that the translations follow categorical equivalence, functional equivalence and conceptual equivalence.

Given that a high-quality translation of the survey questionnaire is crucial for the success of the survey, the translation and revision of the survey questionnaire shall follow a specific translation procedure, while other fieldwork material may be translated using a simplified procedure. FRA and the contractor will compile a glossary before the beginning of the translation process, and the National Survey Experts will be required to organise a meeting in each survey country with the translators who will be involved in the project to introduce the survey and the glossary.

The contractor shall ensure the following steps are followed for all translations

For each translation process, the contractor sets up a translation team composed of two independent translators and an adjudicator (either the National Survey Expert or another person appointed for this role). The translators should be native speakers of the target language and have different competences – for example, the first of the two translators may have in-depth experience on working with survey questionnaires, while the second experience as a professional translator. The adjudicator should have a good understanding of survey research and excellent command of English and the target language.

A small number of items in the questionnaire may need to be adapted for each country, such as questions concerning respondents' level of education or income. Localised questions will need to be translated and/or adapted so that they can be made available to respondents irrespective of their combination of country of residence and language of survey completion.

The contractor must document each step of the translation process for each language, including potential issues identified, reasons for any changes, and adjudication steps taken to resolve differences. For each question in the questionnaire, a record shall be produced noting specific problems, revisions, and adjudication conducted in each step of the translation process.

The contractor will provide FRA for each questionnaire translation process with the names and qualifications of the translators and adjudicators, who will approve in writing any translation sent by the contractor to FRA for approval.

The questionnaire translation process shall proceed according to the following steps.

Step 1: Review of existing translations

The contractor shall provide the translation teams with the translation specifications tailored for the survey, including information on the survey background, its objectives, and the application of the results. The Review of the existing translations used in EU-MIDIS II can be carried out using a simplified translation procedure: this means that any changes or cuts suggested by FRA in consultation with the contractor will be implemented by one translator and checked by the adjudicator before the translated documents are sent to FRA for approval. When submitting the translated documents to FRA, the contractor must indicate the names of the adjudicator.

Step 2: Translation of new items and considerably changed items or response categories

The translation teams shall conduct an initial assessment of the English version, identify and record problematic words and expressions, anticipated problems and recommend solutions. The two translators shall independently translate these new or considerably changed questions from English into the target languages.

Step 3: Review of the new items

Upon completion of the two independent translations, the translators and the adjudicator should review the translations in order to identify any differences or translation options, and agree on a final version. The contractor will document this step, indicating for each question whether the two translations (1) do not differ, or (2) differ substantively, or (3) differ technically. Substantive differences in translation are those which would potentially lead to the questions being understood differently. Technical differences in translation include all other cases of mismatch where the differences are not likely to affect the way the item would be understood. The contractor will submit the documented results of the review process to FRA.

Step 4: Adjudication

The adjudicator will take a final decision about the translation and shall reconcile between suggested versions or translation options from the preceding steps and ensure categorical equivalence, functional equivalence and conceptual equivalence with the revised parts of translations.

Step 5: Translating other fieldwork material

A simplified translation procedure should be used for survey material other than the questionnaire: translation from the source language (English) into the survey language, followed by a quality check by the National Survey Expert and the Project Manager before translated documents are sent to FRA for approval. FRA will provide the contractor with the translations of all

survey material of EU-MIDIS II to be used, for identical parts. When submitting the translated documents to FRA, the contractor must indicate the names of the National Survey Expert or Project Manager who approved the translation.

For each Member State involved in the survey, the translations shall be made according to the following table:

<u>Member State</u>	<u>Language(s)</u>
Austria	German
Belgium	Dutch, French
France	French
Ireland	English
Italy	Italian
Latvia	Latvian, Russian
Netherlands	Dutch
Poland	Polish
Slovenia	Slovenian
Sweden	Swedish
United Kingdom	English

In addition to the languages listed above, the contractor will also ensure the adaptation/translation of the source questionnaire and other relevant materials into the Bulgarian, Czech, Romanian, Slovakian and Serbian languages. With the exception of Serbian, all these languages were also used in EU-MIDIS II. Material in these five languages shall be adapted for and used in those survey countries, where persons from Bulgaria, the Czech Republic, Romania, Slovakia and Serbia are included in the target population.

The contractor shall also translate into English the responses to open questions and “other, please specify” response categories (see Activity 9 – data processing).

Activity 6: Pilot survey

In order to evaluate the survey instrument's capacity to collect the desired data, the selected survey and sampling design, and the overall adequacy of the fieldwork procedures, the contractor is required to carry out a pilot survey in all selected survey countries before commencing the fieldwork for the full-scale survey.

The pilot survey shall conduct test interviews with randomly selected respondents from each target group over a period of two weeks in each country, in the same mode as the full-scale survey, and by applying the approved final survey and sampling procedure for the full-scale survey. The pilot interviews shall cover all selected EU Member States and, as far as possible, the diversity of the target population to be covered, with **a total of 110 successfully completed interviews** (average of 10 interviews per selected EU Member State dependent on the diversity of the target population to be surveyed in each country). The pilot interviews **are not included** in the net sample of successfully completed interviews in the full-scale survey (Activity 8).

The pilot survey will test fieldwork procedures, in particular:

1. The adequacy and feasibility of the proposed sampling approaches
2. The adequacy and feasibility of the proposed survey approach (all steps designed to reach the target population)
3. The usability and functionality of the questionnaire and the survey tools and its equivalence in terms of functionality and translations across different populations and countries
4. The collection of paradata and metadata
5. Different practices of interviewing (e.g. matching respondents and interviewers along Roma ethnicity and gender, interviewing in pairs (especially for interview settings in which privacy is difficult to achieve), using fieldwork facilitators and cooperation with local communities), etc.

The contractor is required to develop a procedure (e.g. a standardised piloting protocol) for reporting and addressing problems in a consistent manner. Based on the analyses of the pilot country reports, the contractor shall compile a final pilot survey report, which summarises the findings of the pilot 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 pilot the contractor shall, in close cooperation with FRA, make the necessary adjustments to sampling, fieldwork procedures, questionnaire and survey tools (including revisions with regard to translation) before commencing the fieldwork for the full-scale survey.

Feedback from the interviewers deployed in the pilot shall feed into the development of interviewer training materials and the training sessions, which will be organised in Phase 2 under Activity 7

The approval by FRA of all country-specific pilot reports and the final pilot report (see Deliverable 7: Pilot and pilot reports) is a necessary prerequisite for continuing with project activities under Phase 2.

4.2. Phase 2

Phase two will start after the successful completion of the pilot, taking on board the outcome of the pilot and adapting survey tools and translations (see Activity 5 and Activity 6), as necessary.

Activity 7: Interviewer recruitment and training

Recruitment

The contractor should select the interviewers at an early stage of the project (e.g. in the sampling and piloting 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 actual interviewing experience of at least three months and/or undergone adequate training in basic survey interviewing skills, 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.

The contractor shall recruit a pool of interviewers that considers: 1) matching of respondents and interviewers for Roma ethnicity; 2) matching along other characteristics, such as gender and certain language skills (bilingual); 3) using pairs of interviewers, e.g. for ethnicity or cultural considerations, for safety reasons and if privacy of interviewing is difficult to achieve otherwise and for meeting all quality criteria as outlined above.

The contractor is expected to work with local mediators or facilitators, such as community representatives or civil society organisations, who can help establish cooperative relations with the community and potential respondents. Where possible, the contractor should use Roma interviewers and/or Roma assistant-interviewers. For that purpose using established local survey infrastructure in Roma communities (where such exist) should be considered. Lessons learned from cross-cultural research refer to the impact of interviewer payment arrangements (per interview versus by the hour) on the quality of face-to-face interviews.¹⁹ Interviewer remuneration shall take into account screening of respondents if necessary and other forms of sampling, including the collection of meta- and paradata not directly linked to the interview of a respondent (e.g. collection of information on non-respondents and the locality depending on the survey strategy).

Selection of enumerators

If enumeration is required it shall be carried out by trained enumerators who may not carry out interviewing in the PSUs they enumerate. The contractor shall implement the necessary measures to implement this, which must be documented in the interim and final technical report. (Deliverable 8 and 12)

Train the trainers

The contractor will be responsible for organising a two-day training for the National Survey Experts (see Section 7.3 – Meetings – in these Technical Specifications). The National Survey Experts will apply this training when organising the interviewer training sessions in their respective countries before the full-scale survey. Interviewer training sessions will be based on the

¹⁹ Survey Research Center, (2010), Guidelines for Best Practice in Cross-Cultural Surveys. Ann Arbor, MI: Survey Research Center, Institute for Social Research, University of Michigan. Retrieved May, 02, 2014, from <http://www.ccsrg.isr.umich.edu/>.

common presentation and the interviewer manual (both translated to the language used in each training session) and they will be carried out in cooperation/consultation with national Roma organisation(s).

Interviewer training

The national survey experts in each country will organise the interviewer training based on the interviewer training material, which will also act as a reference for the interviewers who shall receive a personal copy before the training. The contractor shall ensure that all interviewers in each EU Member State will receive a dedicated in-person training of **at least two full days** before commencing fieldwork of the full-scale survey. Half-day of the two training days shall be dedicated to a cultural and ethical training on principles of human rights data collection and informing the interviewers on possible conscious/unconscious biases and stereotypical thinking which may have an impact on the survey. The contractor shall develop a module on such dedicated training on interviewing ethnic minorities and vulnerable groups in close cooperation with FRA. The contractor shall compensate interviewers for training time, including travel to the training session if not at their usual home town and possible accommodation and meals. All interviewers who carried out pilot interviews and had undergone a preliminary training must also attend the training as all other interviewers before the full-scale fieldwork. The contractor shall seek cooperation and invite experts and/or representatives of local civil society organisations, non-governmental organisations, or local community to the training sessions as interviewers can profit from their experience and rely on their help to establish cooperative relations within certain. The contractor shall also compensate them for their time, including travel and possible accommodation and meals.

The training shall be based on the interviewer training manual developed in Activity 4 and on the interviewer feedback from the pilot. Only interviewers who have participated in both days of training may be used to carry out the interviews in Activity 8 and Activity 9. In exceptional cases and for single interviewers recruited at a later stage after the start of fieldwork the contractor may shorten the training time upon approval by FRA.

The interviewer training sessions in all survey countries shall follow the same curriculum and include any country specific issues such as the sampling strategies applied.

A member of the central management and coordination team is expected to participate in at least three interviewer training sessions in different countries, preferably at early trainings to be able to respond and communicate any necessary changes resulting from these observations.

In countries using PAPI, because CAPI cannot be used, the training curriculum developed by the project team shall include additional time focusing on practical interviewing exercises (PAPI interviewing), based on a set of pre-prepared interview scenarios to practice the use of the complex routing patterns of the questionnaire.

FRA staff will 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. FRA will cover the costs related to its staff attending the training sessions.

If deemed necessary and if privacy during the interview is difficult to achieve, a team of two interviewers (e.g. male and female) instead of a single interviewer should be considered (e.g. one interviewer conducts the interview and the other engages with the other household members). The interviewer training shall take this specific aspect into account as well as issues related to dealing with sensitive situations and respondents who may get upset or distressed.

Activity 8: Data collection full-scale survey

Based on the overall sampling strategy and the country specific survey and sampling designs developed in Activity 3 the contractor, with the lead of the Senior Sampling and Weighting Expert, will be required to draw a sample of areas/individuals/households (as relevant depending on the available sampling frames in each country). All interviews shall be carried out using the computer assisted scripted questionnaire, developed on the basis of the main source questionnaire prepared by FRA in cooperation with the contractor and translated by the contractor as a part of Activity 4 & 5 (Review and finalisation of the questionnaire and development of survey tools; Review of the translations and translation of additional items). The interviews shall be done in each country using the languages listed under Activity 5. Several languages might be used in the selected EU Member States to address specific target groups, as appropriate and feasible.

Interviewers must inform respondents that their participation is **voluntary** and that their **anonymity** is ensured. Respondents shall be offered the possibility to do the interview either in their home or at another secure location of their choice. After each interview, the interviewers shall fill in a post-interview questionnaire concerning the characteristics and success of the interview including meta- and paradata on the neighbourhood and the survey and sampling strategy as agreed with FRA in Activity 3. The interviewers shall collect information on the addresses and locations by using the contact sheets developed in Activity 4.

In total 8,500 interviews should at minimum be successfully completed.

The contractor will monitor the quality of the fieldwork, as outlined in their quality assurance and monitoring plan (see Section 9 and Deliverable 1 and 4 of these Technical Specifications). The contractor shall ensure that interviews are conducted according to the survey strategy specified in Activity 3, using all fieldwork material approved by FRA specified in Activity 4 (Review of the questionnaire and development of survey tools) and adapted in Activity 6. The contractor must report progress to FRA regularly and on time based on quality indicators (see Section 9 on Quality Assurance, Monitoring, Documentation and Reporting). The contractor shall establish regular teleconferences between contractor and FRA and debriefings of country's survey experts.

The contractor should plan the fieldwork aiming to achieve a response rate of 50 % in all countries (calculated using the RR3 formula of AAPOR) and stagger the issuing of addresses in such way that the principles of random selection are fully respected and issued addresses are fully exhausted (see Activity 3).

The National Survey Experts shall also carry out random back-checks based on completed questionnaires to ensure that data collection has been conducted correctly. This includes the National Survey Expert contacting randomly selected respondents to ascertain that the appointment has taken place and it has been carried out according to the instructions. At least 10 % of the completed questionnaires in each of the survey countries must be checked in this way. Remedy actions for any anomalies detected during the back-checks should be outlined in the quality assurance and monitoring plan. FRA shall be informed immediately in case quality criteria are not fully met to discuss and agree on possible solutions.

A member of the contractor's central management and coordination team is expected to conduct fieldwork checks in at least three survey countries (excluding the country, where the central management and coordination team is based) during the first half of the fieldwork to identify potential problems, as part of quality assurance. FRA will also conduct fieldwork checks, as necessary, covering its own costs. The contractor is responsible to document these field checks, visits and their outcomes. Any adaptations to the fieldwork which may be necessary after fieldwork checks shall be communicated to national project managers and their teams without delay.

Any measures implemented to ensure the quality of the interviews shall be documented and included in the final technical report (see deliverable 1 and 4).

Activity 9: Data coding, entry and processing, imputation and weighting

The contractor shall enter the quantitative data collected in the fieldwork, the interviews and interviewer debriefing in an SPSS-compatible computer file. The computer file shall be fully documented and accompanied by a syntax and a codebook. In both the data file and the codebook, all the variable names and value labels shall be included in English. The variable names shall be readable and make reference to the relevant question numbers in the questionnaire. The file shall include the metadata and paradata collected.

A second data file shall contain the collected meta- and paradata on the gross sample. This includes information on sampling and address information, contact information, PSU, GPS coordinates in case the exact address is not available, the regional information (at NUTS 3²⁰ level, LAU 2²¹) and degree of urbanisation (DEGURBA²²) (see Activity 3).

Sensitive information, for example addresses or GPS coordinates, which might allow identification of individual respondents must be collected and stored in full compliance with the EU and national data protection rules applicable. In particular, such data, shall not be stored together with, and shall be transmitted to FRA separately from, data of the individual interviews.

The files shall be fully documented in a codebook – that is, 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, households, and data files. All interviews must be flagged with a unique identifier for the interviewer.

²⁰ NUTS: Nomenclature of Territorial Units for Statistics.

²¹ LAU: Local Administrative Unit.

²² DEGURBA: Degree of Urbanisation – Local Administrative Units. Available at:

http://ec.europa.eu/eurostat/ramon/miscellaneous/index.cfm?TargetUrl=DSP_DEGURBA.

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). 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 taken to achieve the harmonised version.

The contractor shall perform logic and plausibility checks to ensure that the data entered is of high quality, that the observations follow the structure of the questionnaire, 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 FRA in electronic format the code (SPSS syntax or similar) used to produce the quality checks, data coding for quality assessment. Any suspect responses shall be excluded from the data set. For interviews with a high proportion of item non-response FRA will provide guidelines on the minimum quality to be reached. Excluded interviews due to quality reasons have to be excluded when calculating the net sample size in each Member State.

Imputation

The contractor shall provide complete data for a key set of variables and indicators agreed upon with FRA. Incomplete data may arise due to an error in programming, interviewer errors or because of the sensitivity of the question, such as income. The contractor shall make a proposal how to address data gaps and impute missing values from item non-response only. The contractor shall ensure that a minimum set of variables is complete for all household members and make suggestions in case this cannot be met to collect auxiliary information as basis for imputation (e.g. age, sex, household size, employment or educational status).

Weighting

The contractor shall propose the weighting strategy with relevant justification (including trimming) to be approved by FRA. A thorough weighting with qualitative assessment and documentation should be applied to the full data set. Weighting schemes shall be developed following the sampling scheme and approved by the Senior Sampling and Weighting Expert. Weighting shall correct for unequal selection probability within each stage of sampling and include post-stratification calibration. Weighting shall allow estimating the variance, sampling error and design effect for core variables. The contractor shall include weighting variables in the main data file in view of analysis of the results at the national/group level and for analysis on the EU-level. All weighting steps shall be estimated by the contractor such as design weights, post-stratification weights, and cross-national weights etc., included as distinctive variables in the final data set, and documented in the final technical and quality report (Deliverable 12).

Disclosure control

The contractor will carry out a disclosure control assessment of the main data file to determine whether the data set contains variables that could be used to directly or indirectly identify any of the survey respondents. Based on this assessment, FRA and the contractor will agree on disclosure control measures, which the contractor will apply in order to produce a separate (additional) version of the full survey data set. Relevant disclosure control measures may involve – for example – suppressing variables or recoding answer categories to prevent identification of respondents. This will be done in view of FRA making the survey data set available to interested researchers after FRA has carried out its own analysis of the results.

Validation and assessment of data

The contractor shall make a final quality assessment of the data to detect any errors or biases resulting from sampling and from the implementation of the survey as well from post-processing of data, including weighting, imputation and post-stratification. The results of this assessment shall be documented in the final technical report and help to prepare a final data set, which can be used for analysis, and to produce comparable and robust indicators. The final technical report shall analyse para and metadata in such way that it can be used as contextual information to support the interpretation of the results and show any caveats and limitations in regard to the analysis of the results

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 previously computed indicators in the main areas of education, employment, housing, health and social inclusion – for example, the share of respondents who had felt discriminated against; the share of “early school leavers” or the “employment rate”. The indicators

shall be comparable indicators used when reporting on EU-MIDIS II results and/or indicators developed based on surveys of the general population.

Tables presenting the results for the selected indicators shall be accompanied with the programming code (SPSS syntax or similar) used for calculating and tabulating the results. Programming codes from the EU-MIDIS II indicators can be provided by FRA to the contractor.

5. Deliverables

All written deliverables shall be submitted in English, copy-edited by an editor with language skills in English comparable to mother-tongue competence. 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 the Agency's 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 overall quality assurance and monitoring plan, including details on phase 1

Within five working days after the inception meeting, the contractor shall submit to FRA:

(1) Short Inception Report listing the decisions made in the inception meeting concerning the work and a timetable with actual dates for core milestones, including the submission of deliverables based on the deadlines indicated in these Technical Specifications;

Within 14 working days after the inception meeting, the contractor shall submit to FRA:

(2) Quality Assurance and Control Plan based on the draft as presented in the technical offer, covering the full project and specifying details on indicators and implementation of monitoring and documenting **for Activities 1-6 under Phase 1 and a draft monitoring and documentation system**. It shall be delivered and include amendments discussed at the inception meeting. The quality assurance and monitoring 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 in 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 monitoring plan are met. The quality assurance and monitoring plan shall be developed, if possible, in accordance with applicable international standards. 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
- Management of subcontractors
- Quality controls for each specific phase
- Research outline for preparatory work
- Monitoring of key indicators
- Remedies for eventual problems

Size: 10 pages + 10 pages, Overall Quality Assurance and Monitoring Plan, including Phase 1, (excluding annexes)

Language: English

Deadline: Inception report 5 working days, Quality assurance and monitoring plan stage 1 after 14 days after the inception meeting

Linked to: Activity 1 and Quality Assurance and Monitoring Plan linked to Activities 1-10)

Deliverable 2: Country reports of background research and national/local consultations

The contractor shall document the full background research and mapping of sampling frames and summarise the results of its research in country reports. The contractor shall collect information in a structured and comparable way. Sampling frames need to be assessed in terms of ease of access, timeliness, coverage, and quality. Lists of areas and municipalities with population estimates shall contain estimates of population sizes and the description of the target populations and any auxiliary information necessary to describe the survey conditions in these localities (facilitators, language). The contractor shall map all contacts, organisational aspects and details to assess and facilitate a successful survey implementation in a locality. The semi-standard interviews shall feed into the establishing of lists and to set up the sampling and survey strategy in a country. It shall also help to establish types of information and subcategories to be taken into consideration for mapping. These may contain comparable and country specific categories.

The contractor shall summarise expert views used for establishing such lists and survey information in a standardised way to control for any bias and develop standardised categories for reporting. For each country spreadsheets or databases with the following information shall be collected and documented.

- List of areas where Roma live
- Regional coding
- Estimates of population size
- Estimates of type of Roma groups
- Language
- Legal, cultural, ethical aspects
- Information on type of settlement (e.g. type of housing)
- Accessibility of the locality
- Name and contact information of organisations which need to be informed on the survey
- List of supporting organisations in a country to be provided to respondents of the full scale survey
- Name and contact information of potential facilitators, mediators (to be shared with FRA only upon consent of the individual)
- Any other category as established in the research process or country specific

The country reports shall assess the situation in a country and discuss the impact on the survey, inform on missing information and make suggestions how this can be compensated or collected. It shall make clear suggestions how to proceed to arrive at a final survey strategy and which information needs to be collected. The country reports shall have a comparable format.

Size: 10 pages country summary reports without annex, annexing summary reports of interviews and minutes of meetings. Spreadsheet or database format for each country, Copy of filled out templates of semi-structured interviews in original language

Language: English

Deadline: 4 months after signature of contract

Linked to: Activities 1-3

Deliverable 3: Overall sampling design and country specific survey and sampling designs

The contractor shall develop the overall survey and sampling design based on the background research, local consultations 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 made available to FRA as a database, which can be used for further processing.

The overall sampling design shall aim at achieving a random probability sample for most of the target groups and a nationwide coverage in each EU Member State. The sampling proposal shall be developed in close cooperation with the National Survey Experts and the Senior Sampling and Weighting Expert. The sampling proposal shall be detailed on the methodological aspects as well as on necessary steps to be taken for the implementation, quality control, and development of estimators for the total population. All sampling stages shall be clearly linked to the weighting strategy of the survey data set.

The survey and **sampling plans** should provide detailed information for each EU Member State, including:

- Overall population group estimates and regional distribution
- Sampling frame(s) to be used (name and description, units, coverage of units at each stage, latest update, caveats,...)
- Unambiguous definition of sampling units in each sampling stage
- Stratification of the population: stratification variables, justification for their selection, definition of the strata, estimated population size per stratum.
- Detailed presentation of the sampling procedures (a) randomly selecting sampling points in each strata (b) randomly selecting addresses or individuals in each sampling point (c) randomly selecting a person from each household
- Auxiliary information to be used
- Survey strategy to reach out to different populations/sampling points (e.g. through facilitators)
- Estimation on coverage, non-coverage, design effect and representation of the total population
- Gross and net sample size within and between countries (optimal allocation)
- Field work implementation

Size: Overall strategy and optimal allocation of sample sizes around 5 pages, Sampling plans for each selected EU Member State, around 60 pages (in total for the 11 EU Member States), Database with sample sizes, sampling unit data at different stages of selection (spreadsheet and SPSS compatible format)

Languages: English

Deadline: 6 months after signature of contract

Linked to: Activities 1-3

Deliverable 4: Quality assurance and monitoring plan, phase 2, monitoring and documentation system

Based on the overall Quality Assurance Plan and the implementation in Phase 1, the contractor shall develop the Quality Assurance and Monitoring Plan for **Phase 2 covering Activities 7-10 and the final monitoring and documentation system**. The quality assurance and monitoring plan, which identifies the key indicators that will be monitored throughout the preparation and implementation of Activities 7-10 shall take into account the final survey and sampling strategies and the diversity of the target population. Based on the background research, consultations and the final survey strategy the contractor will set up a monitoring and documentation system. The contractor will ensure that all information is collected in the way necessary to populate a standardised monitoring and documentation system and for assessing the key quality indicators collected at each stage of the project.

Size: approximately 30 pages, annexes, database and codebook.

Language: English

Deadline: 7 months after signature of contract

Linked to: Activities 1-10

Deliverable 5: Final source questionnaire, additional fieldwork materials and interviewer training materials

This deliverable includes the final source questionnaire, the scripted survey tool including contact sheet, para and metadata and all interviewer instructions, the related code book, the development of survey tools (information letter, information folder, show cards etc.) and the interviewer training materials developed as part of Activity 4 (Review and finalisation of the questionnaire and development of survey tools)

Size: Source questionnaire, which has an approximate length of 80 pages in English; all translations of the additional fieldwork materials, which have an approximate total length of 40 pages in English, interviewer training material which has an approximate length of 80 pages

Language: English

Deadline: questionnaire and all survey tools – 6 months after signature of contract, training manual and sampling related survey tools, codebooks – 7 months after signature of contract

Linked to: Activities 4

Deliverable 6: Review of translations and translation of additional items

The contractor shall translate new items of the source questionnaire into Bulgarian, Czech, French (with adaptations for France and Belgium), German (with adaptations for Austria), Italian, Latvian, Dutch (adapted for Flanders and Netherlands), Polish, Russian, Slovakian, Slovenian, Serbian and Swedish, in addition to requested revision of existing translations. The two independent translations, the adjudicated version and the proofread version of each target language shall be delivered to FRA.

The contractor shall review all language versions of the survey questionnaire in accordance with the changes made to FRA's 2016 EU-MIDIS II survey questionnaire. The proofread versions of all the languages shall be delivered for approval to FRA. The survey questionnaire and all other relevant information materials shall correspond to the versions which are made available to the respondents in Activity 6 and 8 (Pilot and Data collection).

Size: Revision of the translation of the source questionnaire and of the additional fieldwork materials, revision and partly new translations of the interviewer training material, which has an approximate length of 80 pages. Translation of new items of the source questionnaire, which has an approximate total length of 3 pages

Language: All survey languages

Deadline: 8 months after signature of contract

Linked to: Activity 4

Deliverable 7: Pilot report and pilot data set

The contractor shall compile a Pilot Report summarising the findings of the pilot and recommendations for any revisions of the sampling and fieldwork procedures which may be deemed necessary prior to implementing the full survey. The Pilot Report will include an analysis of issues encountered when conducting the pilot with respect to:

- (a) Adequacy and feasibility of the proposed survey and sampling approaches
- (b) Fieldwork procedures
- (c) Usability and functioning of the questionnaire, the question routing and its equivalence in terms of functionality and translations across different populations and countries
- (d) Collection and monitoring of meta- and paradata
- (e) Different practices of interviewing

The Pilot Report shall make recommendations for any relevant issue which will be implemented before commencement of the fieldwork using the final questionnaire (Activity 8).

The contractor shall enter the quantitative data from the pilot data collection in an SPSS-compatible computer file, which will be delivered to FRA.

Size: Comparative pilot report of maximum 20 pages; completed reporting templates for each country of maximum 10 pages each; SPSS-compatible data set (no pre-defined size)

Language: English

Deadline: 9 months after signature of the contract

Linked to: Activity 6

Deliverable 8: Interim technical and fieldwork report and interim data set

The contractor shall submit an interim technical and fieldwork report to FRA (in electronic format) two months after the start of the fieldwork. The interim technical report shall have the same structure as the final technical report. In addition to the overall description of the survey research methodology, the report should present information for each country and 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) Data processing, cleaning
- (b) Selection and application of population sampling frames and approaches
- (c) Geographical coverage and distribution
- (d) Selection and training of interviewers and enumerators
- (e) Reaching respondents and screening
- (f) Interview success / (non-)contact and (non-)response rate
- (g) Interviewer feedback
- (h) Interview success rate/ (non-)contact and (non-)response rate
- (i) Quality assessment of sampling and outcome of interviews

FRA shall provide feedback on the interim technical report, and suggest any necessary changes and amendments within the time period specified in the contract.

The contractor shall provide the interim datasets with outcome of sampling, contact attempts and non-response, and successful interviews in an SPSS-compatible computer file, with all necessary codebooks. All files will contain unique identifiers to unambiguously link cases across datasets. The deliverables consist of the fully documented data sets and the codebook describing the variables of the data files, related to Activity 9 (Data coding, entry and processing, weighting and imputation).

Size: 60 pages maximum (excluding tables, which can be included as annexes, and excluding the data file(s)), SPSS files

Language: English

Deadline: 11 months after signature of contract

Linked to: Activities 1-9

Deliverable 9: Final data sets, code books and questionnaires

After completing all interviews, the final datasets shall be provided as structured data files in machine readable format (in SPSS and CSV for FRA internal use). The format and structure of the data sets shall be in compliance with the requirements of the EU Open Data Portal and Commission Decision 2011/833/EU.

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

Source questionnaire and national questionnaires should be revised for any modifications during fieldwork and be delivered in all survey languages in format which can be used for printing and publication.

The final computer file (versions before and after disclosure control) shall include data from all interviews, all sampling strategies 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.

The contractor shall include in the data set all intermediary weights and all variables used for the estimation of the weights in the final dataset, as well as provide FRA the code used to calculate the weights.

The final data sets must be checked against all quality controls, processed, cleaned, imputed and weighted as described in Activity 9.

The data sets include the quantitative data from

- Final sample files, outcome of each address and PSU
- The attempts made to contact households/persons
- The interviews
- The debriefing of the interviewer
- Other meta- and paradata as agreed upon in Activity 3 and 4

All files will contain unique identifiers to allow cases being unambiguously linked across datasets. The deliverables consist of the fully documented (gross and net) data sets and the code book describing the variables of the data files, related to Activity 9 (Data coding, entry and processing, weighting and imputation).

Language: English

Deadline: 16 months after signature of contract

Linked to: Activities 8, 9

Deliverable 10: Syntax files related to data file construction, consistency and quality checks, data coding and labelling

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

Language: English

Deadline: 16 months after signature of contract

Linked to: Activities 8, 9

Deliverable 11: Tabulation of selected indicators

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

Language: English

Deadline: 17 months after signature of contract

Linked to: Activity 10

Deliverable 12: Final technical and quality report

After the completion of fieldwork, data processing, weighting and analysis, the contractor will submit a final technical report to FRA (in electronic format). In addition to the overall description of the survey methodology, the report will include information for each country describing 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 and application of population sampling frames and approaches
- (b) Geographical coverage and distribution
- (c) Selection of and training of interviewers and enumerators
- (d) Reaching respondents and screening
- (e) Interview success / (non-)contact and (non-)response rate
- (f) Interviewer feedback

- (g) Interview success rate/ (non-)contact and (non-)response rate
- (h) Monitoring and quality indicators
- (i) Quality assessment of sampling and outcome of interviews
- (j) Assessment of application of human rights principles on the collection of ethnic data
- (k) Data processing, cleaning and imputation, disclosure control
- (l) Weighting

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, contacts, refusals, recalls, incomplete interviews etc. Information on languages used, modes of interviews, and duration of the interviews shall be also included. The report shall present information, wherever possible, using tables/graphs, comparing results between the selected countries.

The sections for each country shall also describe the selected weighting procedure (population parameters of the target group used in the weighting and the data source, weighting method, weighting for non-response, etc.), where appropriate.

The report shall include a section on detailed sample evaluation and weighting. This section shall outline the weighting strategy, and show the distributions of the weighting variables for each country, and the number of cases in each country for which the weighting variable was trimmed. Furthermore the section on weighting should present tables for each country, showing the weighted and unweighted distribution of the sample for selected variables.

The final technical and quality report shall cover all aspects of the quality assurance and monitoring strategy (Deliverable 1 and 4: Quality Assurance and Monitoring Plan) used and the way it was implemented in the sampling, data collection, data entry, processing, weighting, and other related procedures. The report shall document deviations as well as remedies where relevant.

The report shall make recommendations, on the basis of its findings, about the most appropriate sampling and questionnaire application methods to use for future survey research on persons with ethnic minority or immigrant background. 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 and will suggest any necessary changes and amendments within the time period specified in the contract.

Size: Approximately 150 pages (excluding tables, which can be included as annexes). The code of any calculations used in the final technical report (SPSS syntax or similar) shall be submitted to FRA.

Language: English

Deadline: 19 months after signature of contract

Linked to: Activities 1-10

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

Deliverables / Months		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
1	Inception report and quality assurance and monitoring plan, including details on phase 1																			
2	Country reports of background research and national/local consultations																			
3	Overall sampling design and country specific survey and sampling designs																			
4	Quality assurance and monitoring plan, phase 2, monitoring and documentation system																			
5	Final source questionnaire, additional fieldwork materials and interviewer training materials																			
6	Review of translations and translation of additional items																			
7	Pilot report and pilot data set																			
8	Interim technical and fieldwork report and interim data set																			
9	Final data, code books and questionnaires																			
10	Syntax files related to data file construction, consistency and quality checks, data coding and labelling																			
11	Tabulation of selected indicators																			
12	Final technical and quality report																			

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

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 experts. Roles and responsibilities must be clearly defined and communicated throughout all levels of the contractors' organisation (including any possible sub-contractors). These requirements refer to the organisation of the work, not to the legal or financial structure of the contractor.

The contractor shall organise their own central management and coordination team to oversee all aspects of work relating to the survey. Alongside the central management and coordination team, the project team includes National Survey Experts, one for each EU Member State and for each of the non-EU countries for which FRA may request services. It is the primary responsibility of the contractor's central management and coordination team 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 central management and coordination team shall include a Project Coordinator, who is responsible for the project's overall coordination, a Senior Survey Expert, and a Senior Sampling and Weighting Expert, as detailed in Section 8 (Project Team). In addition, the contractor must ensure the availability of support staff for the management of the project. 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 and quality assurance).

The Senior Survey 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 Senior Sampling and Weighting Expert will be responsible for the overall sampling approach and overseeing the development of the national sampling plans, as well as designing and implementing the weighting strategy. The National Survey Experts are responsible for the coordination of the research in their countries, as well as working in close cooperation with the Project Coordinator, the Senior Survey Expert and the Senior Sampling and Weighting Expert during all stages of the development of the survey, its implementation, and reporting. The members of the project team carry out their tasks under the guidance of the Project Coordinator. However, FRA may at any time request to be in direct contact with the members of the project team – with the Project Coordinator taking part in these discussions alongside the respective project team member(s).

7. Logistics and Timing

7.1. Commencement date and Period of execution

The period of execution of the tasks shall be **19 months** from the contract signature. This period does not include the time necessary for the Contracting Authority to revise the last of the project deliverables 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 during the Agency's working days and hours and through electronic and surface mail. Any written communication sent by FRA shall be answered within five (5) working days.

The contractor shall ensure it has access to equipment for video conferences as several video conferences are foreseen.

7.3. Meetings

The contractor will be expected to cover the costs related to travel and accommodation of relevant project team members to attend the project meetings, as specified below, as well as any costs related to adequate meeting facilities, apart from the inception meeting and final meeting that take place at FRA premises. All costs related to organising and attending the meetings must be included in the contract price. FRA will participate in all meetings described below, covering its own costs. Where possible, communication between the contractor and FRA can also be done through tele- and videoconferencing.

As soon as possible after contract signature, FRA and the contractor (represented by the Project Coordinator and any other members of the project team, as assigned by the contractor) will meet **for a one-day inception meeting** in FRA headquarters in Vienna to discuss various aspects concerning the implementation of the survey. The aim of the inception meeting is to clarify outstanding issues, as may be necessary in order to carry out the survey and for the good management and implementation of the various tasks.

Within one month from the inception meeting the contractor will organise a **one-day briefing** involving the Project Coordinator, Senior Survey Expert, Senior Sampling and Weighting Expert (and any other members of the project team as assigned by the contractor), and all the National Survey Experts. This briefing will help in achieving a common understanding of the various tasks and responsibilities during the implementation of the project.

Starting within one month from the inception meeting – as a part of implementation of Activity 2 – the contractor shall organise in a period of two consecutive months **one or more local consultations** (advisory meetings) in each survey country involving the national survey expert. The aim of these meetings is to facilitate community outreach and help ensure local engagement and attention for the implementation of the survey. FRA will participate to the extent possible in these meeting

As a part of implementation of Activity 7, the contractor shall organise **a two-day training for the National Survey Experts**. The meeting will discuss all issues, the implementation of the data collection activities, including interviewer training. This train-the-trainers meeting will be based on the documentation developed in Activity 4 and revised in Activity 6 and it aims to give National Survey Experts the necessary knowledge and skills for setting up the data collection activities in their countries.

After the end of data collection activities, FRA and the contractor will agree on the timing for a **one-day final meeting**, which will take place in FRA's premises in Vienna. At this meeting, FRA and the contractor will take stock of the implementation of the survey, and implications for interpretation and presentation of the results.

8. Project team

The project team should have experience in conducting surveys on "hard to reach populations", such as Roma, migrants, etc. It shall consist as a minimum, of one Project Coordinator, one Senior Survey Expert, one Senior Sampling and Weighting Expert, a National Survey Expert for each country where the survey is conducted and the necessary support staff for the management of the project, and a team of experienced interviewers as specified in Section 4 – Specific activities – in these Technical Specifications. A different National Survey Expert shall be assigned to each of the countries where the survey will be carried out. The contractor is responsible in setting up human resources and expertise on Roma and Travellers for the implementation of the tasks in each selected EU Member State.

The contractor shall organise their own central management and coordination team led by the Project Coordinator to oversee all aspects relating to the execution of this contract. The Project Coordinator shall be responsible for reporting to 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 project team should consist of staff with the relevant qualifications and skills to manage and implement the survey. The Senior Survey Expert shall be responsible for the overall design and management of the survey. The Senior Sampling and Weighting Expert shall be responsible for all specific technical aspects of the survey, such as sampling design, sampling frames, coverage, implementation of respondent selection procedures, weighting, etc.

The contractor may not change members of the project team without FRA's prior agreement. In addition to the project team members whose roles are defined in these Technical Specifications, the contractor may choose to involve additional resource persons who support the project team in its work.

8.1. Project Coordinator

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 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 three (3) 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, discrimination and victimisation surveys, social inclusion 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 with survey related topics or on rare 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 out of which at least one (1) scientific publication on sampling or weighting in non-probability designs or on hard-to-reach groups
- 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 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. Quality assurance, monitoring, documentation and reporting

FRA shall monitor the project in technical and administrative terms.

The contractor will be responsible for the technical set up of a documentation, monitoring and reporting system to ensure that information collected throughout activities are systematically stored, can be retrieved on request and documented in a comparable and consistent way.

The contractor shall develop a **quality assurance and monitoring plan** that clearly outlines all relevant procedures, such as monitoring the quality of the survey in all stages of the research and survey life cycle and of all project deliverables, as appropriate considering the scope and volume of the work of the survey. The quality assurance and monitoring plan identifies the guidelines to document all stages of research and the survey and 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 in each stage. The contractor will be responsible for collecting and providing FRA

– on a monthly basis – with all information that is necessary to assess whether the targets specified in the quality assurance and monitoring plan have been met.

Monitoring may include progress and timeline for activities and deliverables and key quality indicators on for example: address selection, interviewer recruitment and characteristics, field work observation (e.g. response rates, number of contacts, number of invalid addresses, number of interviews per interviewer, etc.), regional distribution, characteristics of respondent.

The contractor shall develop a **quality assurance and monitoring plan in two stages, as described in the Technical Specifications**. The first stage (covering Phase 1, Activities 1-6) and the revised proposal for the overall quality assurance and monitoring plan, as described in the Technical Specifications, shall be delivered to FRA for approval two weeks after the Inception meeting (Deliverable 1). The final quality assurance and monitoring plan including Phase 2 (covering activities 7-10) shall be prepared and implemented after the completion of background research and the establishment of country specific survey and sampling strategies (Deliverable 3).

A monitoring and documentation system shall manage the information and outcome of different deliverables and activities of this study and document the processes in between: the documentation of the background research, data collected for sampling, outcome of meetings and consultations, communications and how decision are taken. It shall also be linkable to the monitoring and reporting tables on the data collection in the field. Such an integrated monitoring and documentation system shall be used for quality assessment throughout and to populate key quality indicators. It shall feed into the production of the interim and final technical report (Deliverable 8 and 12) and support interpretation and contextualisation of results.

In addition, the Project Coordinator shall deliver to FRA weekly progress reports, as brief e-mails, documenting progress in certain activities (e.g., during the fieldwork, the detailed progress of the fieldwork shall be reported) and overall project progress. This shall be supported by additional e-mail and telephone contact, whenever necessary. Weekly progress reports shall begin one week after the starting date of the survey contract, and will finish upon submission of the final deliverable(s).

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.

Sensitive and personal data collected, has to be handled and processed with high security standards and in compliance with the data protection obligations. The retention period shall be determined, so that relevant data is not deleted before all quality checks have been done, and any questions from FRA have been resolved.

10. Minimum requirements

The minimum requirements of these Technical Specifications are:

- The survey shall cover the selected 11 EU Member States as stated in section 3.3 above
- The minimum number of questionnaires to be completed with face-to-face interviews at the data collection stage are 8,500 interviews across countries.