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Surveying Hard-to-Reach Groups from a Comparative Cross-Country Perspective: The Second European Union Minorities and Discrimination Survey (EU-MIDIS II)

Note by European Union Agency for Fundamental Rights (FRA)*

Abstract

A core task of the European Union Agency for Fundamental Rights (FRA) is to collect and analyse objective, reliable and comparable data through scientific research and surveys to provide the relevant institutions, bodies, offices and agencies of the European Union and its Member States with assistance and expertise relating to fundamental rights.

Despite the continuing demand for data on immigrants and ethnic minorities and an increasing availability of socio-economic migration statistics, a considerable lack of data comparable across the EU on fundamental rights issues concerning immigrants and ethnic minorities persists. The reasons are manifold such as diverging definitions of the target groups (e.g. by ethnicity, country of birth and country of birth of parents, nationality and citizenship) and difficulties to properly cover the target population with traditional data collection methods.

One of the main challenges faced when surveying hard-to-reach groups is the lack of sampling frames or their incompleteness. A cross-country and/or cross-cultural survey design introduces additional complexity in surveying immigrants and ethnic minorities. The heterogeneity of applied methodologies (sampling, data collection modes, questionnaire design, translation and weighting), as well as regarding legal status, language proficiency and cultural norms of the target populations affects the results' coherence across different immigrant groups and across countries. Moreover, standard questionnaire classifications, such as ISCED for educational attainment, cannot always be easily applied to immigrants and therefore call for the development and application of new concepts.

The paper discusses these challenges by outlining the approach of the second European Union Minorities and Discrimination Survey (EU-MIDIS II), which FRA conducted in 2015/2016 to assess progress over the past seven years since the first EU-MIDIS survey was carried out in 2008.

This second wave of EU-MIDIS collects comparable data in all 28 EU Member States to assist EU institutions in developing evidence-based legal and policy responses to respect, protect and fulfil the rights of persons with immigrant or ethnic minority background, including Roma. The data will also serve to populate core indicators for measuring progress in the implementation of the EU framework for National Roma Integration Strategies. More generally, the survey will also provide data on selected indicators on immigrant integration. The survey covers topics such as experiences of discrimination in different areas of life (labour market, education, housing, health and other services), criminal victimisation (including hate crime), social inclusion and societal participation. The data are collected through sampling methods designed to obtain a representative sample of the target population.

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I. FRA's fundamental rights-based approach to data collection and analysis

1.   The European Union Agency for Fundamental Rights (FRA) was established by Council Regulation No. 168/2007[1] in 2007. FRA's mandate 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. Data collection (including comparative data collection in the form of survey research) on the situation of fundamental rights in the EU provides the basis for the Agency's assistance and expertise.

2.   To monitor progress in the implementation of fundamental rights standards and to evaluate results on the ground, FRA applies the conceptual and methodological framework the Office of the High Commissioner for Human Rights (OHCHR) developed.[2] This framework translates human rights norms and principles into contextually relevant indicators and benchmarks for measuring human rights implementation at country level. The OHCHR indicator framework differentiates between structure, process and outcome indicators. *Structural indicators* reflect the ratification and adoption of legal instruments and the existence as well as the creation of basic institutional mechanisms deemed necessary for the promotion and protection of human rights. *Process indicators* are particularly important as they inform policymakers about possible gaps or deficits at the implementation level, so they can help in assessing how successful duty bearers have been in transforming their commitments into concrete measures and policies. Some common process indicators are, for example: indicators based on budget allocations, coverage of targeted population groups under public programmes, human rights complaints received and the proportion redressed. *Outcome indicators* capture individual and collective attainments that reflect the state of enjoyment of human rights in a given context. Grounded in rights holders' experiences, they show the result of all efforts and achievements with respect to the enjoyment of rights in practice.

3.   Building on the structure-process-outcome (SPO) model, FRA has identified various factors that prevent more effective implementation of legal provisions and other mechanisms designed to improve protection against discrimination. For example, FRA collects existing official data related to racism, xenophobia and related intolerance in the field of racist and related hate crimes and has consistently shown that not all Member States collect and/or publish comprehensive official data on manifestations of such incidents. The reasons for this situation are complex and reflect, among other things, the cultural and historical response to 'racist' and related crimes at the individual country level. Where such data have been collected, divergent legal definitions that have determined the scope of data collection,

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

[2]   OHCHR (2012): Human Rights Indicators. A Guide to Measurement and Implementation, available at: http://www.refworld.org/docid/51a739694.html ; see also the KNOMAD 2015 Working paper No5 Human Rights Indicators for Migrants and their Families, available at: http://www.ohchr.org/Documents/Issues/Migration/Indicators/WP5_en.pdf.

alongside the end-purpose for which data are intended, and diverse methodologies for data collection all have served to impede direct comparisons. To help address this situation, FRA will continue to support the European Commission and the EU Member States in their ongoing work in the field of combating racism, xenophobia and related intolerance. To this end, on 28 April 2016 FRA launched an online compendium of good practices in combating hate crime.

4.   To make up for the absence of official data and to document the situation on manifestations of discrimination, racism and related intolerance more generally (beyond the specific field of hate crime), FRA launched several projects: for example, the first European Union Minorities and Discrimination survey (EU-MIDIS) in 2008;[3] the survey on experiences of discrimination among the Roma population in 2011; the survey of Jewish populations on antisemitism in 2012; the survey on experiences of discrimination of LGBT persons in 2012; and the EU-wide survey on gender-based violence against women in 2012. The design and scope of each survey are discussed through stakeholder and expert consultations, and in dedicated meetings at various stages of survey implementation.

5.   The Agency undertakes scientific research and data collection on selected population groups in line with EU policy priorities where FRA research would have an added-value. FRA's rights-based approach to data collection and its expertise in comparative EU-wide survey design enriches methodological developments in the sense that Europe's increasingly diverse populations[4] present a challenge to traditional survey research. This calls for the development and adoption of survey methods that capture the experiences of persons belonging to vulnerable groups, including those categorised as 'hard-to-reach', and which are primarily surveyed by FRA.

6.   OHCHR has repeatedly noted the need for a human rights-based approach to data collection and disaggregation. In response to the 2030 Agenda for Sustainable Development (2030 Agenda) and its Sustainable Developments Goals (SDGs)[5] adopted by Heads of State and Government at the United Nations Summit in September 2015 (A/RES/70/1), the OHCHR in 2015-2016 prepared a general guidance note on data collection and disaggregation providing elements for common understanding of the Human Rights-Based Approach to Data (HRBAD)[6]. The guidance note specifically refers to Target 17.18 of the SDGs, which requests states to increase significantly the availability of high-quality, timely and reliable data disaggregated by *income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts*. However, data collection and data disaggregation is not seen as a norm or value-free endeavour but as an exercise that has to uphold human rights. The

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[3] http://fra.europa.eu/en/project/2011/eu-midis-european-union-minorities-and-discrimination-survey-midis
[4] European Commission (2011): Demography Report 2010. Older, more numerous and diverse Europeans. Luxembourg. Available at: http://ec.europa.eu/social/BlobServlet?docId=6688&langId=en, cited 16 July 2014.
[5] Available at: https://sustainabledevelopment.un.org/topics/sustainabledevelopmentgoals.
[6]   OHCHR (2016): A Human Rights Based Approach to Data. Leaving No One Behind in the 2030 Development Agenda. Guidance Note to Data Collection and Disaggregation. Available at: http://www.ohchr.org/Documents/Issues/HRIndicators/GuidanceNoteonApproachtoData.pdf

OHCHR preliminary set of principles and recommendations takes account of five thematic areas that are perceived as central to a human rights-based approach, which FRA incorporates in its work: *participation*, *data disaggregation and collection by population group*, *self-identification, transparency, privacy and accountability*.

7.   The principle of *participation* in the context of HRBAD[7] demands data collection practices that include means for free, active and meaningful participation of relevant stakeholders, in particular those belonging to marginalised groups, which would enhance the relevance and reliability of collected data and compiled indicators. The *data disaggregation and collection by population group* requires a comparison of different population groups and helps to reveal and assess the extent of possible inequality and discrimination by moving away from the focus of traditional data collection and analysis of national averages masking underlying disparities. This enables States to meet their obligation to collect and publish data disaggregated by grounds of discrimination recognized in international human rights law such as sex, age, ethnicity, migration or displacement status, disability, religion, civil status, income, sexual orientation and gender identity. The principle of *self-identification* refers to the respect and protection of personal identity as central to human dignity and human rights and stresses that data collection exercises should not create or reinforce existing discrimination, bias or stereotypes exercised against population groups, including denying their identity(ies). Therefore, any categories of identity should be developed through a participatory approach. All questions on personal identity, whether in surveys or administrative data, should allow for free response as well as multiple identities. In some contexts, applying the principle of self-identification may involve including categories of identity beyond those currently listed in international treaties. The principle of *transparency* refers to the right to information as a fundamental attribute of the freedom of expression and the one of *privacy* is closely linked with self-identification and personal identity issues; noting here that when advocating data transparency, the fundamental right to data protection guaranteed through Article 8 of the EU Charter of Fundamental Rights and relevant EU and national legislation is an essential consideration in data collection – for example, with respect to the possibility to identify an individual when datasets are released in the public domain without sufficient data protection safeguards. *Accountability* is central to a human rights-based approach and in the context of the HRBAD it refers to 'data collection for accountability' as well as 'accountability in data collection', which is best served through the availability of independent statistics, free from political interference.

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[7]   The following paragraph summarises the five principles of the HRBAD note. For more details see OHCHR (2016): A Human Rights Based Approach to Data. Leaving No One Behind in the 2030 Development Agenda. Guidance Note to Data Collection and Disaggregation. Available at: http://www.ohchr.org/Documents/Issues/HRIndicators/GuidanceNoteonApproachtoData.pdf

A. Need for comprehensive and comparable data on equality and non-discrimination in the EU

8.   According to the Treaty of the European Union (EU) and the Treaty on the Functioning of the European Union, the EU is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities. The Union through its policies shall combat social exclusion and discrimination, and shall promote social justice and protection, equality between women and men, solidarity between generations and protection of the rights of the child.

9.   Discrimination on grounds of racial or ethnic origin attracted increasing attention from the EU institutions since the 1990s resulting in several legal and policy measures, including Council Directive 2000/43/EC of 29 June 2000[8] - the so-called Racial Equality Directive - to combat discrimination and give effect to the principle of equal treatment in the areas of employment, education, social protection, including social security and health care, and services, including housing. This directive has brought about the introduction of new or the strengthening of existing equality regimes in the EU Member States. It operates alongside the Employment Equality Directive[9], which prohibits discrimination on the grounds of religion or belief, disability, age or sexual orientation in the areas of employment and occupation, and the Gender Equality Directive and the Gender Equality Directive on Goods and Services which prohibit discrimination on the grounds of sex.[10]

10.   Article 17 of the Racial Equality Directive requires Member States to communicate every five years to the European Commission all the information necessary for the Commission to draw up a report for the European Parliament and the Council on the application of this directive. In doing so the European Commission shall take into account the views of FRA.[11] Since the adoption of the Racial Equality Directive, research and analysis on racism and xenophobia conducted by the Agency (as EUMC[12] and later FRA) included reporting on

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[8]   Council Directive 2000/43/EC implementing the principle of equal treatment between persons irrespective of racial or ethnic origin (OJ. L 180, 19 July 2000, pp.22-26). Available at: http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2000:180:0022:0026:EN:PDF.

[9]   Council Directive 2000/78/EC establishing a general framework for equal treatment in employment and occupation (OJ. L 303, 2 December 2000, pp.16-22). Available at: http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32000L0078&from=EN.

[10]   Council Directive 2004/113/EC implementing the principle of equal treatment between men and women in the access to and supply of goods and services (OJ. L 373, 21 December 2004, pp.37-43). Available at: http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2004:373:0037:0043:EN:PDF; Council Directive 2006/54/EC on the on the implementation of the principle of equal opportunities and equal treatment of men and women in matters of employment and occupation (recast) (OJ. L 204, 26 July 2006, pp.23-36). Available at: http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:204:0023:0036:EN:PDF.

[11] Article 17(2) of the Council Directive 2000/43/EC implementing the principle of equal treatment between persons irrespective of racial or ethnic origin (OJ. L 180, 19 July 2000, pp.22-26). Available at: http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2000:180:0022:0026:EN:PDF.

[12] EUMC was the predecessor of the FRA and was established in 1997. In 2007, the FRA succeeded the EUMC, with a broader mandate and range of tasks covering human rights more generally.

measures and practices of the Member States in pursuance of their obligations under this instrument and their outcomes in terms of the impact they have on people's lives.

11.   Drawing on a body of qualitative, quantitative and legal research and analysis in the area of discrimination spanning over 15 years, FRA has built up a significant range of studies covering various population groups in diverse contexts. Several FRA reports and opinions have shown that although significant progress has been made by both public and private entities towards the realisation of equality, numerous challenges remain to be overcome. The results of the first European Union Minorities and Discrimination Survey (EU-MIDIS)[13] and the Agency's Opinion on the situation of equality in the EU 10 years on from initial implementation of the equality directives[14] showed that despite a legislative package that put the EU at the forefront of legislative commitment against discrimination, it continues to be part of the daily experiences of many Europeans, in particular of those belonging to ethnic minorities, such as Roma, immigrants and their descendants.

1.   Roma

12.   The Agency's work has identified Roma[15] as among the most vulnerable to numerous human rights violations in the EU. Alongside results from the first EU-MIDIS survey (2008) and the FRA Roma survey 2011, the Agency has produced a series of reports on the situation of Roma in key areas where they are experiencing fundamental rights abuses. These reports find that large numbers of Roma frequently have no formal employment, live in precarious circumstances, and are often educated in segregated settings. Since 2011 the EU and Member States intensified their efforts to improve the social inclusion of Roma in more consolidated and coordinated way. The European Commission developed an EU Framework to guide national Roma integration strategies in April 2011 and the Council provided in December 2013 detailed recommendations for enhancing the effectiveness of national measures. In parallel, the legal framework for the European Structural and Investment Funds of €454 billion for 2014-20, the EU's main investment policy tool included for the first time a specific ex-ante conditionality that must be fulfilled for allocating funds under the thematic Objective on social inclusion and poverty. There is increasing awareness among

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[13]   The results of EU-MIDIS were published in the period 2009–2012 and are available at http://fra.europa.eu/eu-midis. The publications include the Main Results Report (2009), the Questionnaire and Technical Report (available at: http://fra.europa.eu/sites/default/files/eu-midis_questionnaire.pdf and http://fra.europa.eu/sites/default/files/eu-midis_technical_report.pdf), accompanied by a series of Data in Focus reports that concentrate on specific survey findings in relation to particular groups and issues.

[14] FRA, (2013), Opinion of the European Union Agency for Fundamental Rights on the situation of equality in the EU 10 years on from initial implementation of the equality directives. Available at: http://fra.europa.eu/sites/default/files/fra-2013-opinion-eu-equality-directives_en.pdf.

[15] The term "Roma" is used – similarly to other political documents of the European Parliament and the European Council – as an umbrella which includes groups of people who have more or less similar cultural characteristics, such as Sinti, Travellers, Kalé, Gens du voyage, etc. whether sedentary or not; around 80% of Roma are estimated to be sedentary (SEC(2010)400).

the EU institutions and relevant stakeholders in individual Member States of the need for robust data to underpin these policies and investments that aim to improve the situation and integration of Roma. In December 2013 the EU Parliament urged Member States "to produce disaggregated data with the assistance of FRA and to develop, in cooperation with the Commission, the baseline indicators and measureable targets that are essential for a robust monitoring system in order to ensure reliable feedback on the progress made in the implementation of the National Roma Integration Strategies and in improvement of the situation of Roma"[16].

2. Immigrants and their descendants

13. The principles of equality and non-discrimination, as well as pluralism, tolerance and social cohesion are core values on which the EU is founded; as outlined in the Charter of Fundamental Rights (article 21) and the Treaty of the European Union (articles 2, 3). The Common Basic Principles for immigrant integration, agreed in 2004 and reaffirmed by the European Council Conclusions of June 2014, the Common Agenda for Integration (2005) and the European agenda for the integration of Third Country Nationals (2011), have provided the framework for policy initiatives in this thematic area on the level of the EU and the Member States. The integration of immigrants is an important component of social inclusion which helps achieve this goal and constitutes a key policy area concerning the future of the EU as a diverse, inclusive, and cohesive society.[17] This was underlined in the 7 April 2016 Commission Communication assessing progress of the 2016 European Semester process, which also notes that the high inflow of migrants and refugees over the last year is a major challenge for many Member States and the EU, but also an opportunity, especially for Member States undergoing demographic changes. The Communication acknowledges the high share of children and young people (about 26%) considering that education systems would need to adapt quickly and drawing particular attention to the challenge of the successful integration of women.[18]

14. The development of common indicators of immigrant integration is a response to the need to monitor the situation and measure the impact of integration policies in the EU and at national level. The Zaragoza declaration, adopted in 2010 by the Council, called upon the Commission to undertake a pilot study to examine proposals for common integration indicators and to report on the availability and

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[16] European Commission (2014), *Report on the implementation of the EU Framework for National Roma Integration Strategies*, COM(2014) 209 final 209 final, available at:
http://ec.europa.eu/justice/discrimination/files/roma_implement_strategies2014_en.pdf.

[17] European Commission, COM (2014) 154 final, 11.3.2014, Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, An open and secure Europe: making it happen. Available at: http://ec.europa.eu/dgs/home-affairs/e-library/documents/basic-documents/docs/an_open_and_secure_europe_-_making_it_happen_en.pdf.

[18] European Commission, COM (2016) 95 final/2 Communication from the Commission to the European Parliament, the Council, the European Central Bank and the Euro group, 2016 European Semester: Assessment of progress on structural reforms, prevention and correction of macroeconomic imbalances, and results of in-depth reviews under Regulation (EU) No 1176/2011. Available at http://ec.europa.eu/europe2020/pdf/csr2016/cr2016_comm_en.pdf

quality of data from agreed harmonised sources necessary for the calculation of indicators in the areas of employment, education, social inclusion, active citizenship and welcoming society.[19] The European Commission published the report of the pilot study in 2013, in which additional indicators have been identified and proposed.[20]

15.   However, for some of the suggested indicators e.g. for those on active citizenship and welcoming society, there is no regular data collection at the level of EU Member States and no comparable data across the EU. The second EU-MIDIS survey in 2015-2016 will provide some evidence in this area.

II.   Surveying immigrants and minorities: challenges related to existing data sources and emerging issues

16.   The main data sources used to populate EU-wide indicators on immigrant integration are the EU Labour Force Survey (LFS) and the EU Statistics on Income and Living Conditions (EU SILC). These are the official statistics that offer comparable data on employment, education and income related issues. However, reliable data on immigrants and their descendants is not available for all EU MSs due to the very small sample sizes of the target populations in the main sample surveys in some of the countries. Although LFS and EU SILC are the largest EU-wide surveys, immigrants and their descendants cannot be comprehensively covered in all countries because they represent a minor proportion of the general population, which leads to limited possibilities for analysis.[21] In addition, these two major surveys do not provide data on discrimination experiences and "welcoming society". The Programme for International Student Assessment (PISA) of the Organisation for the Economic Co-operation and Development (OECD) has similar limitations, although its sample sizes are large enough for a comprehensive comparative analysis in the area of education. National data sources of high quality are often not comparable across countries due to differences in definitions, survey design or non-replicability over time. International surveys such as the European Social Survey (ESS) or the European Quality of Life Survey (EQLS) also do not have large enough sample sizes to provide robust data for populating comparable indicators on immigrants and minorities.

17.   General population surveys face further challenges, including insufficient coverage of very recent arrivals of immigrants and of collective and institutional households, low response rates and lack of information on important variables used for the definition of target groups such as country of birth, parents' country of birth

[19] European Ministerial Conference on Integration, (Zaragoza, 15 and 16 April 2010), Draft Declaration. Available at: http://www.solidalapok.hu/solid/sites/default/files/Declaration_Zaragoza_Integration_2010_en[1].pdf.

[20] European Commission, (2013): Using EU Indicators of Immigrant Integration, Final Report for Directorate-General for Home Affairs. Available at: http://ec.europa.eu/dgs/home-affairs/e-library/documents/policies/legal-migration/general/docs/final_report_on_using_eu_indicators_of_immigrant_integration_june_2013_en.pdf.

[21] See Part 2 in European Commission, (2013): Using EU Indicators of Immigrant Integration, Final Report for Directorate-General for Home Affairs. Available at: http://ec.europa.eu/dgs/home-affairs/e-library/documents/policies/legal-migration/general/docs/final_report_on_using_eu_indicators_of_immigrant_integration_june_2013_en.pdf.

or multiple ethnic belonging and self-identification.[22] Most importantly, information relevant for computing and populating indicators for welcoming society such as discrimination experiences or political and civic participation has not been systematically collected across EU Member States so that desired indicators on migrant integration have to remain empty.[23] To take into account the needs of those who are most deprived, disadvantaged and marginalised, and to measure the impact of legislation, policies and services on different groups, countries need to systematically collect information in relation to grounds of discrimination such as gender (including transgender), age, disability, race, ethnic and religious affiliation, nationality.

18. FRA's developed its second European Union Minorities and Discrimination Survey (EU-MIDIS II) against this background to fulfil the need for comparative equality data to assess the social inclusion and integration of minorities and immigrants in the European Union.

## III. European Union Minorities and Discrimination Survey (EU-MIDIS II)

19. The first European Union Minorities and Discrimination survey (EU-MIDIS) was carried out in 2008. It was the largest EU-wide survey – the first of its kind – based on a random sample of 23,500 migrants and minority ethnic groups, such as Roma, who were interviewed face-to-face concerning their experiences of discrimination, racist victimisation, and awareness of rights.

20. FRA launched the second wave of the EU Minorities and Discrimination Survey (EU-MIDIS II) in 2015 to assess progress made over time, reflecting the impact of legal and policy developments on the ground. EU-MIDIS II collects comparable data in all 28 EU Member States and sets out to achieve a total sample size of 25,200 respondents across the EU. The survey covers topics such as experiences of discrimination in different areas of life (labour market, education, housing, health and other services), criminal victimisation (including hate crime), social inclusion and societal participation (Figure 1). The survey questionnaire was developed following cognitive pre-testing and stakeholder and expert consultations.

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[22] Eurostat (2011): Migrants in Europe. A statistical portrait of the first and second generation. 2011 edition. Luxembourg. Available at: http://ec.europa.eu/dgs/home-affairs/what-we-do/policies/pdf/migrants_in_europe_eurostat_2011_en.pdf, accessed on 18 April 2016.

[23] See Part 2 in European Commission, (2013): Using EU Indicators of Immigrant Integration, Final Report for Directorate-General for Home Affairs. Available at: http://ec.europa.eu/dgs/home-affairs/e-library/documents/policies/legal-migration/general/docs/final_report_on_using_eu_indicators_of_immigrant_integration_june_2013_en.pdf.

Figure 1: Structure and content of the EU-MIDIS II questionnaire
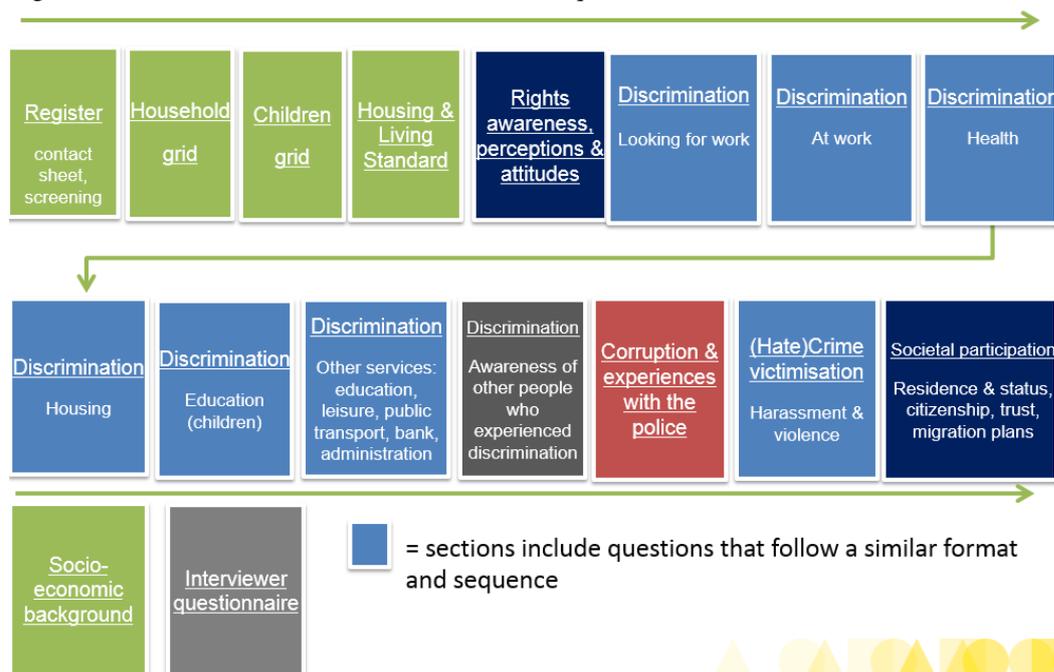
A. EU-MIDIS II target groups

21. The target population of the survey is individuals aged 16 or older, living in private households, who have an immigrant or ethnic minority background and whose usual place of residence is in the territory of the EU Member States included in the survey. To ensure comparability, the same target groups are surveyed across a number of different countries: **Roma** in nine EU Member States, **Russians** in three EU Member States; **immigrants and their descendants from Turkey** in six EU Member States, from **North Africa** in five EU Member States, from **South Asia and Asia** in four EU Member States, from **Sub-Saharan Africa** in 12 Member States, and **recent immigrants** from other non-EU/EFTA countries in 2 EU Member States. Up to two target groups are surveyed in each EU Member State (except Italy, where three target groups were surveyed, Figure 2).

Figure 2: EU-MIDIS II target groups across EU Member States

	Immigrants and their descendants from				Recent immigrants	Roma	Russians
	Northern Africa	South Asia	Sub-Sahara Africa	Turkey			
AT			✓	✓			
BE	✓			✓			
BG						✓	
CY		✓					
CZ						✓	
DE			✓	✓			
DK			✓	✓			
EE							✓
EL		✓				✓	
ES	✓					✓	
FI			✓				
FR	✓		✓				
HR						✓	
HU						✓	
IE			✓				
IT	✓	✓	✓				
LT							✓
LU			✓				
LV							✓
MT			✓				
NL	✓			✓			
PL					✓		
PT			✓			✓	
RO						✓	
SE			✓	✓			
SI					✓		
SK						✓	
UK		✓	✓				

22.   **Immigrants and their descendants** are identified through information on country of birth and parents' country of birth. The information about country of birth is usually collected in all EU Member States in the population census but not readily available from other administrative data sources in many countries. Therefore, in most countries it was required to screen respondents for eligibility to take part in the survey. **Immigrants** were screened through questions about the country of birth (specified lists of non-EU countries per target group) and length of stay in the survey country (minimum 12 months). Screening of **descendants of immigrants** (so-called 'second generation') is based on questions about respondents' country of birth (born in a EU/EFTA country), parents' country of

birth (at least one parent born in a non-EU/EFTA country), their length of residence in the survey country (at least for last 12 months). The selection of immigrants and their descendants is irrespective of respondents' citizenship and formal residence status, and of their ethnic self-identification.

23.   **Recent immigrants** are defined as persons who were born in a non-EU/EFTA country, who immigrated to an EU Member State in the last 10 years (from 2004 onwards), and who have lived in the survey country for at least the last 12 months. Screening of eligible respondents for this target group is consequently based on questions about respondents' country of birth and length of stay, irrespective of their citizenship or formal residence status, and irrespective of their ethnic self-identification.

24.   **Roma** refers to **persons who self-identify as Roma** or as one of the other groups which are subsumed under the umbrella term Roma. Respondents are screened based on questions about their self-identification. The term 'Roma' refers to autochthonous 'Roma' within selected EU Member States and does not focus on 'Roma' who have moved from one EU Member State to another. The term **Russians** refers **to persons who self-identify** as such. Respondents are screened based on questions about their self-identification.

Factors relevant for the selection of the target groups

25.   The selection of the target groups is based on a combination of several considerations. First, to measure trends and compare results between survey waves some of the target groups in EU-MIDIS II had to be the same as the groups interviewed in the first EU-MIDIS survey. At the same time, the survey design in EU-MIDIS II allows for incorporation of new target groups. Second, as in the first EU-MIDIS survey, FRA asked the competent Equality Bodies in each Member State to identify the most common grounds of discrimination and the persons/groups most vulnerable to or at risk of discriminatory treatment and criminal victimisation, including also potentially 'racially', 'ethnically' or 'religiously' motivated discrimination and victimisation. Third, EU-MIDIS II takes into consideration the size of the immigrant and ethnic minority groups in each EU Member State as well as the particular situation in each Member State with respect to its history of past and recent immigration and settlement. Finally, the resources available for the survey, in combination with the above criteria, also served to determine the number of groups to be interviewed in each EU Member State.

A.   **Sampling of persons of ethnic or immigrant background in EU-MIDIS II**

26.   Making inferences based on data collected from samples of target populations is one of the central concerns of survey statisticians. While the availability of methods and research on inferential statistics has increased enormously in the past decades, reliable strategies for obtaining probability samples for elusive and hard-to-reach populations are still rare. There is an increasing demand, however, either to extend the scope of existing social surveys to cover population groups – which have been regularly excluded from the available sampling frames in many countries or which are represented in too small numbers in the samples of general population surveys to allow for robust analysis – or to design dedicated surveys to explore the opinions, attitudes and experiences of

particularly vulnerable sub-groups. The main challenge faced by survey researchers is the absence of sampling frames for certain target groups, including ethnic or religious minorities, homeless people or groups defined on the basis of their sexual orientation or gender identity. In many instances traditional sampling methods and available sampling frames continue to be applied when collecting data on such groups, using, for example, random digit dialling or random route sampling combined with screening questions at the beginning of the interview to establish the respondent's eligibility vis-à-vis the characteristics of interest.

27.   However, in the case of particularly rare target populations such methods can be inefficient or unfeasible in practice, and alternative sampling methods need to be developed and implemented. Such methods – as suggested in research – include location sampling[24] or chain referral methods such as Respondent Driven Sampling (RDS).[25] Some of these methods have been developed rather recently and experiences are still being collected concerning their applicability and reliability. In some instances the methods work well – e.g. in the case of Ukrainian immigrants in Warsaw[26] – but in other instances these new methods have failed to produce desired results – such as in the case of recent immigrants to selected EU countries.[27]

28.   The EU-MIDIS II survey sets out to achieve a probability sample of the target groups in each EU Member States through a combination of direct and indirect random sampling approaches. These include:

- *register-based sampling* (direct sampling through person-based register and indirect sampling through address-based register),
- *random route techniques* - in the absence of lists of individuals or addresses, the interviewers had to follow pre-defined instructions within randomly selected areas (Primary Sampling Units – PSUs) and contact every n[th] household,
- *location based sampling* – for those target groups where conventional random sampling approaches are not possible and random route techniques emerge as inefficient (e.g. when the target group in a country is very dispersed and the concentration is very low), respondents were randomly selected at pre-defined locations or centres where the target group is deemed to be present. Through asking respondents at the end of the interviews which of all pre-selected locations they attend, a selection probability of each respondent can be derived.[28]

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[24] E.g. Baio G., Blangiardo G. C., Blangiardo M.: Centre Sampling Technique in Foreign Migration Surveys: A Methodological Note, Journal of Official Statistics, Vol.27, No.3, 2011. pp. 451–465.

[25] E.g. Heckathorn D. D.: Respondent-Driven Sampling: A New Approach to the Study of Hidden Populations, Social Problems, Vol. 44, No. 2, May 1997.

[26] Kaczmarczyk P.: Money for Nothing? Ukrainian Immigrants in Poland and their Remitting Behaviors. IZA Discussion Paper No. 7666, October 2013.

[27] Frere-Smith T. et al.: Sampling Recently Arrived Immigrants in the UK: Exploring the effectiveness of Respondent Driven Sampling. Institute for Social and Economic Research, No. 2014-25.

[28] See   Baio G., Blangiardo G. C., Blangiardo M.: Centre Sampling Technique in Foreign Migration Surveys: A Methodological Note, Journal of Official Statistics, Vol.27, No.3, 2011. pp. 451–465.

29.   Preference was given to direct sampling methods (i.e. sampling eligible members of the target group directly from lists such as population registers) where feasible, over indirect methods (i.e. sampling areas where eligible and non-eligible members of the target population live and where a screening at the doorstep/household is necessary to find eligible respondents). As only very few countries allowed for direct sampling, in many countries potential respondents had to be screened, whereby in all these cases the development of the country-specific sampling plan has been based on available information about the level of concentration of each target group. To organise the fieldwork in the most efficient way, the samples were disproportionally allocated to areas where the target groups are more concentrated. Moreover, sampling was further adapted in areas with lower concentrations by using more efficient ways of cluster sampling, namely Focussed Enumeration (FE) or Adaptive Cluster Sampling (ACS). FE was used for immigrants and their descendants in most countries. FE includes 'proxy screening' in the sense that randomly selected households for the survey are not only screened for eligibility, but are also asked if they know if members of adjacent households are members of the target population (two households to the left and two households to the right). Only if a respondent claims with certainty that any of the members of an adjacent household are not from the target population, the households are not visited, otherwise the neighbouring households are visited by the interviewer and screened for eligibility.[29]

30.   To ensure that the principle of self-identification is respected, adaptive cluster sampling (ACS) was applied for the Roma target population instead of focussed enumeration (and due to legal requirements in France, also for immigrants and their descendants in this country). ACS means that once a household with an eligible respondent was found through a conventional sampling procedure, the neighbouring households to the left and to the right of this household have to be screened too. The screening chain continues until an ineligible household is found or a pre-defined stopping rule has to be applied. The sampling weights of respondents from such clusters have to be adapted to the cluster size. This specific sampling procedure ensures a more efficient way of sampling target populations that live closely together or live in encapsulated areas within a PSU with generally lower concentration.[30] However, areas with very low densities of the target population (e.g. below 5%) had to be excluded from the sampling as sampling proved to be inefficient.

31.   Direct or indirect register sampling was applied in Austria, Ireland, the Netherlands, United Kingdom (in combination with FE) and in Slovenia, Denmark, Finland and Poland. Random walk was applied in Estonia, Greece for Roma,

[29] Focussed enumeration was first developed by Brown, C. and Ritchie, J. (1984) Focussed Enumeration: The Development of a Method for Sampling Ethnic Minority Groups. London: SCPR (National Centre for Social Research). It was successfully adapted in the British Crime Survey. For detailed description see Lynn, P. and Elliot, D. (2000) The British Crime Survey: A Review of Methodology. Prepared for The Home Office. http://webarchive.nationalarchives.gov.uk/20110218135832/http:/rds.homeoffice.gov.uk/rds/pdfs08/bcs-methodology-review-2000.pdf, accessed on 2 May 2016.

[30] A more detailed description of the approach can be found in: Verma V. (2014): Sampling Elusive Populations: Applications to Studies of Child Labour. Geneva: International Labour Office.

Latvia and in combination with FE in Belgium, Cyprus, Greece (for South Asians), Spain (North Africans), Italy, Lithuania, Portugal (Sub-Saharan African). Random walk combined with ACS was carried out in Bulgaria, the Czech Republic, Spain (for Roma), France, Croatia, Hungary, Portugal (for Roma), Romania and Slovakia. Six countries (Austria, Cyprus, Denmark, Malta, Poland, Sweden and the Netherlands) have used location sampling for part or all of their target group samples. The location lists include those where the target groups are expected to congregate (e.g. a church, association, supermarket, sport union or youth club, etc.), using information about the importance/attendance of each location to correct for bias in the sample. Exceptional cases were Luxembourg and Germany. In Luxembourg it was not possible to get access to proper sampling information (no access to the register) and therefore quota sampling had to be applied. In Germany, due to the inability of accessing a proper sampling frame, an onomastic sampling method in combination with a referral method was used. Onomastic sampling involves sampling from a list of persons (e.g. from a telephone book), where the surnames were matched to origins based on phonetic similarities.[31]

32. The estimated coverage varied between 30%-86% dependent on availability of a sampling frame and level of concentration.

1. Interview mode and language

33. The main interview mode for EU-MIDIS II is Computer Assisted Personal Interview (CAPI) – that is, face-to-face interviews by interviewers using a computerised questionnaire. The EU-MIDIS questionnaire is translated in all official EU languages plus Turkish, Kurdish, Arabic, Russian, Somali and Tamazight. In countries/areas where FRA's survey contractor has access to mother-tongue interviewers in minority languages, EU-MIDIS II used this possibility. However, this was not possible in all countries and for all target groups, as the number of relevant languages can be large and the costs of covering them by training specialised interviewers would have been very high. EU-MIDIS II applied a combination of different approaches to address the challenges concerning the language of interviews:

1) the use of mother tongue interviewers where available – for example, in Austria, Denmark, Germany, France, the Netherlands;
2) the use of translated versions of the questionnaire – for example, using the French or English version of the questionnaire for interviewing Sub-Saharan Africans in different EU Member States or using a Turkish translation of the questionnaire – either as a basis for the interview or as a supporting document;
3) the information letter describing the survey is translated in all the native languages of all target groups.

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[31] Humpert, A. and Schneiderheinze, K. (2000). Stichprobenziehung für telefonische Zuwanderumfragen. Einsatzmöglichkeiten der Namensforschung. ZUMA-Nachrichten, 24(47):36–64. For further development of the method see: Schnell R. et al. (2013): A new Name-Based Sampling Method for Migrants using n-grams. German Record Linkage Center Working Paper Series no. WP-GRLC-2013-04, available at: http://www.record-linkage.de/-download=wp-grlc-2013-04.pdf, accessed on 19 April 2016.

2. EU-MIDIS II challenges and HRBAD principles

34. During the implementation of the survey unexpected events, including negative political rhetoric and measures in respect to the refugee crisis, terrorist attacks in Paris in 2015 and in Brussels in 2016 created difficulties to the fieldwork, especially in Member States where immigrants and their descendants were targeted, resulting in delays. In addition, problems concerning access to registry data required a review of the sampling strategy in Luxembourg and in the Netherlands. These challenges have been met by extending the fieldwork period and by revising the sampling and data collection approaches in some countries.

35. In line with the HRBAD principles, EU-MIDIS II applied a participatory approach by closely working with the target communities during all relevant phases of the project implementation, and by applying the principle of self-identification. Both helped to improve the response rates among the so-called "hard-to-count" or "marginalized populations", on which the FRA survey primarily places its focus. In addition, data from the survey will be published in a format that allows for further research on multiple and intersecting factors that influence experiences of discrimination, which extend beyond ethnicity and immigrant background.

IV. Concluding remarks: the added value of EU-MIDIS II

36. The recurrent lack of systematic collection of quantitative and qualitative data in the field of fundamental rights and equal treatment – with respect to immigrants and ethnic and other minorities – required the implementation of EU-wide data collection for the second time – the EU-MIDIS II survey. The survey will allow for analysis of trends by comparing results with the first EU-MIDIS survey from 2008 (27 EU Member States), and with FRA's 2011 Roma survey in 11 EU Member States. The selection of specific target groups allows not only for a better control of sampling and ensuring representativeness, but also leads to a much more targeted analysis and interpretation of results.

37. The replication of EU-MIDIS will provide trend data on discrimination experiences across the EU and new data on ethnic minorities' and immigrants' situation with respect to the enjoyment of fundamental rights by expanding the scope of the survey as regards additional topics related to integration, social inclusion and civic participation. EU-MIDIS II will offer EU-wide comparable data on the impact of relevant law and policy on the ground to assist policymakers in developing targeted responses.

38. For example – the survey should be able to provide data, aligned with a human rights indicator framework, with respect to the following:

39. **In the case of Roma**, a minimum set of core indicators used as a baseline for the Report on the implementation of the EU Framework for National Roma Integration Strategies (April 2014) and based on the 2011 FRA Roma survey will be further developed and populated with EU-MIDIS II data. The indicators shall be comparable to EU2020 indicators and the EU Laeken indicators used for monitoring social exclusion in EU Member States.

40.   **In the case of immigrants**, the EU-MIDIS II data shall allow for the population of EU indicators for several under-researched dimensions of immigrant integration, such as those referring to welcoming society and societal participation. These indicators will be assessed to see how they can benefit from a rights-based approach, such as that developed by the Global Knowledge Partnership on Migration and Development (KNOMAD).[32]

41.   Due to the lack of data on particularly vulnerable groups in terms of experiencing discrimination, the data delivered by the survey could also populate indicators related to the Sustainable Developmental Goals (SDGs) such as Target 10.3 (*Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard*), Target 16.b. (*Promote and enforce non-discriminatory laws and policies for sustainable development*), and Target 17.18 (*Increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts*). For example, EU-MIDIS II data could serve to calculate the p*roportion of the population reporting having personally felt discriminated against or harassed within the previous 12 months on the basis of a ground of discrimination prohibited under international human rights law* – which is an indicator suggested for Target 16.b. The results can be further disaggregated for the different target groups, different areas of life, such as employment, education, housing and health care, gender, and generation. In addition, data on rates of racially or ethnically motivated harassment and criminal victimisation will be available alongside a variety of data on social inclusion and integration.

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[32] Cernadas, P.C., LeVoy, M., Keith, L. (2015): Human Rights Indicators for migrants and their families. KNOMAD working paper 5.