



eurostat 

EUROPEAN COMMISSION
EUROSTAT

Directorate F: Social Statistics
Unit F-2: Population

Luxembourg, March 2017

**TECHNICAL GUIDELINES FOR THE DATA COLLECTION
UNDER ART. 4.4 OF THE REGULATION 862/2007¹ –
'DUBLIN STATISTICS'**

VERSION 2.1 MARCH 2017

¹ OJ L 199, 31.8.2007, p. 23-29

CONTENTS

Introduction.....	4
I. Guidelines.....	5
DATA COVERAGE	5
REPORTING UNIT	5
PERIODICITY AND REFERENCE PERIODS OF THE TABLES	5
REQUEST WHICH INVOLVES MORE THAN TWO MEMBER STATES	6
DIFFERENT LEGAL GROUNDS FOR REQUESTS AND ACCEPTANCES	6
SOVEREIGNTY CLAUSE.....	6
REFERENCE BETWEEN DATA ON REQUESTS AND SOVEREIGNTY CLAUSE / RESPONSIBILITY BY DEFAULT	6
RE-EXAMINATION REQUESTS/DECISIONS	7
TRANSFERS	7
REQUESTS RECEIVED/SENT BY MISTAKE.....	7
DATA TRANSMISSION AND FORMAT	7
DATA VALIDATION	8
QUALITY STANDARDS	8
LINK BETWEEN DUBLIN AND ASYLUM TABLES	8
DIFFERENCES BETWEEN EURODAC AND EUROSTAT DATA.....	9
II. Requested statistics – overview.....	11
A. Statistics on the application of the Dublin III Regulation: Incoming requests	11
1. Incoming requests	11
2. Incoming requests accepted	12
3. Incoming requests refused	13
4. Incoming re-examination requests	14
5. Incoming re-examination requests accepted.....	15
6. Incoming re-examination requests refused	16
7. Incoming requests transferred.....	17
B. Statistics on the application of the Dublin III Regulation: Outgoing requests	19
1. Outgoing requests	19
2. Outgoing requests accepted	20
3. Outgoing requests refused.....	21
4. Outgoing re-examination requests	22
5. Outgoing re-examination requests accepted	23
6. Outgoing re-examination requests refused	24
7. Outgoing requests transferred.....	25
C. Statistics on the application of the Dublin III Regulation: Sovereignty clause and Responsibility by default	27
III. NEW csv files	28

ANNEX 1. Correlation table.....29
ANNEX 2. VALIDATION RULES FOR DUBLIN statistics.....30

INTRODUCTION

These new 'Dublin statistics' data collection guidelines, v.2.1 March 2017, replace the previous first version of guidelines in application since reference year 2008 until the reference year 2013 and the second version of Guidelines (version 2.0 January 2015) in application since reference year 2014 until the reference year 2015.

Version 2.1 March 2017 of Dublin guidelines is applicable in data collection under Article 4.4 of the Migration Statistics Regulation 862/2007 since the reference year 2016 onwards.

This revision of 'Dublin statistics' guidelines, v. 2.1 March 2017, complies with the new Regulation (EU) No 604/2013 of the European Parliament and of the Council of 26 June 2013 establishing the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States by a third-country national or a stateless person² (Dublin III Regulation). New data collection framework i.e. variables, breakdowns and definitions reflect the requirements of the above Regulation and follow the provisions of the Art. 4.4 of the Migration Statistics Regulation.

It needs to be noted that in this version of Guidelines on Dublin statistics, v.2.1.2016, there is no change in the methodology or in the definitions and concepts of the data collection, as compared with the previous version of Guidelines (v.2.0.2015)

The changes in these Guidelines compared with the previous data collection guidelines of 2014 refer mainly to:

1. Introduction of the new 19 CSV datasets/files for the data transmission, which replace the 3 previous Excel datasets
2. Respective update of the validation rules for Dublin statistics, as agreed in the Working Group of October 2016
3. Introduction of two aggregate categories in the Excel templates (for LEG_PROV variable).
 - a. Total Family reasons
 - b. Total Documentation and legal entry reasons

These categories are mainly introduced for validation purposes and are automatically calculated by Excel (hence they do not represent new methodological categories)

Reporting of cases initiated under the previous Dublin Regulation

If a Dublin request is based on the previous Dublin Regulation (EC 343/2003) and the decision is issued after the entry into force of the recast (Regulation 604/2013), Member States shall report statistics on requests according to the latest data collection requirements i.e. on the basis of the list of legal provisions from the Dublin III Regulation. For the purpose of transposing the statistical data into new requirements MS shall apply the Correlation table (see Annex 1).

² [Regulation \(EU\) No 604/2013 of 26 June 2013](#)

I. GUIDELINES

DATA COVERAGE

All the requested statistics relate only to **third country nationals**, defined as "any person who is not a citizen of the Union within the meaning of Article 17 (1) of the Treaty, including stateless persons" (Art 2.1 (i) of the Regulation).

REPORTING UNIT

The text of Art.4 of the Statistics Regulation (asylum statistics) refers in general to statistics based on the number of persons and not on the number of applications. However, the respective Article dealing with Dublin statistics (Art.4.4) refers to statistics based on the number of requests. Commission services recommend that Art.4.4 (more precisely 4.4.a, 4.4.c and 4.4.d) is interpreted as referring to the **number of persons concerned by each request, decision and transfer**.

The reporting unit convention of the Dublin statistics follows two main principles³:

1. **Each person is to be reported individually** i.e. in case a request/re-examination request/decision covers several family members each family member shall be reported individually
2. **Each submitted or received request/re-examination request/ decision and transfer concerning the same person during the same reference year shall be reported⁴**. This implies that one person can be reported more than once during the reference year by the same Member State in the same dataset.

For the categories '**Requests based on a Eurodac hit**' and '**Decisions based on a Eurodac hit**' Member States shall report all persons covered by these requests/decisions i.e. **including children below 14 who are not fingerprinted**. This will ensure that data based on Eurodac hits will be in line with all other statistics subject of this reporting.

PERIODICITY AND REFERENCE PERIODS OF THE TABLES

The Dublin III data collection consists of annual tables which have to be completed by national data suppliers and sent to Eurostat. Tables shall be supplied to Eurostat within three months after the end of the reference year. The first reference year of this data collection is 2008.

These revised Dublin guidelines, version 2.1 March 2017 are applicable to all statistics to be provided to Eurostat since 2016 reference year onwards.).

³ Please note that in the previous reporting (covering the reference years 2008-2013), based on the previous version of the Dublin regulation ((EC) No 343/2003) only the principle of reporting individuals was applicable.

⁴ This applies also to multiple requests involving more than two countries. Each submitting country shall record all the requests/decisions it has sent and each receiving country shall record all incoming requests/decisions/transfers related to the same person.

REQUEST WHICH INVOLVES MORE THAN TWO MEMBER STATES

In case of a request which involves more than two Member States, each submitting Member State records all requests it sent and the receiving Member States record all incoming requests. In both cases the principle of reporting all individuals applies.

Example: Member State X has received a request (take charge or take back) from Member State Y. Member State X accepts the request but the person absconds to Member State Z which then requests X to take back or charge. In this case, Member State X should count both incoming requests (one from Member State Y and one from Member State Z), and Member States Y and Z should count one outgoing request each.

DIFFERENT LEGAL GROUNDS FOR REQUESTS AND ACCEPTANCES

Where an acceptance is granted on a different legal basis from the one on which the request was based, Member States have to report the Article on which the acceptance is granted.

As far as it is possible, this applies also to the data on submitted and incoming requests. In case the requests are submitted/received in a different reference year than the decision was granted, data on requests shall be revised accordingly by both countries.

Example: Member State X sends a take back request to Member State Y, based on Art. 18.1.b. Member State Y, after undertaking the necessary checks, concludes that the person did not apply for asylum on its territory before (therefore it cannot accept the take back request), but that he/she has a family member residing as a refugee on its territory. Therefore, Member State Y accepts to take charge of that person, based on Art. 9. In such cases, both submitting and receiving countries may need to revise their initially reported data on requests accordingly (by subtracting that request from the Art 18.1.b breakdown and reporting it under breakdown of Art. 9).

Justification: The key information here is the actual reason for which Member State Y accepted the responsibility to take charge of that person. In other words, it is the end result which matters for the reporting of the data.

SOVEREIGNTY CLAUSE

The sovereignty clause (Art. 17.1) does not imply either an incoming or an outgoing request. It only concerns the case where a MS decides in a sovereign manner to take responsibility even if, for instance, it could send a request to another MS based on an objective responsibility criterion.

For example: if a MS decides to apply the sovereignty clause, that is to say to unilaterally take responsibility even if, for instance, another MS could be responsible for the application, this should be reported under the category "sovereignty clause".

REFERENCE BETWEEN DATA ON REQUESTS AND SOVEREIGNTY CLAUSE / RESPONSIBILITY BY DEFAULT

There may be an overlap between persons who have been reported as subject to a request for taking back/charge and persons subject to an **unilateral decision** to take responsibility under Article 3.2 paragraph 1, Article 3.2 paragraph 2 and 3 (Responsibility by default) and 17.1 (Sovereignty clause). It is due to the fact that Member States may decide to take such unilateral decision after the request has

been sent. For example Article 3.2 paragraph 2 and 3 may reflect cases where there are impediments to transfer, this might not be known in all cases from the onset, but only when the Member State is making the transfer arrangements

RE-EXAMINATION REQUESTS/DECISIONS

A re-examination request means a further request to take back/charge of an applicant following the receipt of a negative reply on the original request to the same MS and has to be made within **three weeks following the receipt of the negative reply**.

A decision on re-examination request means acceptance or refusal of the request for re-examination.

TRANSFERS

Regarding the total number of **INCOMING transfer requests**, which were effectively carried out from a Member State to Member State X, **only successful transfers shall be reported**, i.e. only those where Member State X, has effectively received that person on its territory.

Example: Member State Y has performed a transfer to Member State X, which is the reporting country in this case. Member State X should count this transfer as a successful incoming transfer only where the authorities of Member State X received a transferee physically on their territory.

Regarding the total number of **OUTGOING transfer only successful outgoing transfers shall be reported** i.e. those for which Member State X has undertaken all appropriate measures in order to send a transferee to another Member State. By appropriate measures, the Commission means all actions leading to a departure of the transferee (for example: boarding him on the plane, placing him in the train, handing him over to a border guard at the border with other Member State, etc.)

Example: Member State X, which is the reporting country, in this case, has performed a transfer to Member State Y. After the departure of the transferee with the necessary guarantees, Member State X should count this transfer as a successful outgoing transfer.

REQUESTS RECEIVED/SENT BY MISTAKE

Requests received by Member States by mistake (i.e. when the actual country receiving a request was different from the one to which that request was intended) shall not be recorded in the statistics (incoming requests) collected according to Article 4.4. This applies similarly to requests sent erroneously by Member States to other Member States, i.e. such requests shall not be recorded under outgoing requests.

DATA TRANSMISSION AND FORMAT

Data format is specified by Eurostat separately in the technical annex on data transmission format.

For all regular data transmissions including annual data collection on Article 4.4, only the Single Entry Point ([Edamis](#)⁵) can be used for supplying data to Eurostat.

DATA VALIDATION

The validation rules for Dublin statistics have recently been endorsed by the Asylum and Managed Migration Working Group, in October 2016. These rules represent basic set of rules checking the internal consistency of the files. Eurostat may apply further validations procedures to assess the quality of the transmitted data.

In case the data sent by a country will not fulfil the quality requirements agreed by the Working Group, Eurostat will contact national data providers and request for corrections. Moreover, the data validation procedure at the national level should be not limited to these rules applied to the final output. The validation can be considered a permanent process (as errors can be spotted anytime by supplementary checks). Each authority that is involved in the statistical process should be aware of potential risk to involve incorrect statistics in the reporting. Each risk identified should have a set of validation procedures (checks, rules) that should diminish the presence of errors in the statistical outputs.

The specific validation rules endorsed by the Working Group are specified in the [Annex 2](#) of this guideline.

As from reference year 2016 onwards, the reporting of Dublin statistics takes place with textual Comma Separated Values (CSV) files and the validation of any such dataset in Eurostat is done automatically with EDIT application.

QUALITY STANDARDS

According to the Article 9.2 of the Regulation, Member States shall report to Eurostat on the data sources used, the reasons for the selection of these sources and the effects of the selected data sources on the quality of the statistics, and on the estimation methods used, and shall keep Eurostat informed of changes thereto.

Furthermore, according to Article 9.3, Eurostat may request Member States to provide all the information necessary to evaluate the quality, comparability and the completeness of the statistical information.

Quality standards will be specified by Eurostat on a later stage.

LINK BETWEEN DUBLIN AND ASYLUM TABLES

The reporting practice on the legal basis of the requests regarding the stage of the asylum procedure should match the statistical reporting of the asylum tables (i.e. pending cases, withdrawn applications and rejected applicants). This is only relevant for taking back requests.

Example: MS X submits a taking back request on the basis of Art 18.c. to MS Y (Table 1.3.3) This means that the applicant has withdrawn his application in MS Y. MS Y should have reported this as withdrawn asylum application in table A03 and should have removed it from pending cases

⁵ <https://webgate.ec.europa.eu/edamis/>

(A02). However, if MS Y has not closed the application and the case is still pending (A02), the legal basis of the request should be reported as taking back requests – art 18.1.b. (Table 1.3.2).

There is no direct link between Asylum and Dublin data collections. For instance, it is impossible to measure how many of the registered outgoing and incoming requests relate to persons who have lodged an asylum application in the reporting country and in the other Member State involved. A request to take back/take charge always implies that there is at least one asylum application in one MS (for take back in the requested MS and for take charge in the requesting MS), but not necessarily in both MS. The Eurostat Dublin data collection is not disaggregated by “asylum applicants (YES/NO)”. From the existing disaggregation by “legal basis of the request” it can be derived to some extent whether the asylum applicant applied or not (including stage of procedure: pending/withdrawn/rejected) but **it does not indicate** if they applied in both countries.

Example: The reporting by country A on the number of outgoing requests by legal basis submitted to country B shows how many applied in country B, but not how many in country A. The mirror situation - the reporting by country B on the number of incoming requests by legal basis received from country A will again only show how many applied in country B, but not how many in country A. In addition, it cannot be derived whether an incoming transfer in country B coming from A, would result in a (first time/repeated) asylum application in country B. There is no link between Dublin and Asylum Data in the Eurostat tables and it may be technically challenging for MS to link the two datasets. So the number of outgoing or incoming requests reported by a combination of MS will not show how many of them applied for asylum in the reporting country and the other MS involved.

A related issue is that even if Dublin and Asylum data could be related, the number of requests to take back/take charge for asylum applicants might not match the number of registered asylum applicants in the Dublin procedure in some states. This is because in some states the Dublin/Eurodac check is carried out before formal registration of the asylum application, which could result in some persons not being registered as asylum applicants if they disappear before the formal registration of their claim.

DIFFERENCES BETWEEN EURODAC AND EUROSTAT DATA

As mentioned in the annual reports on the activities of the Eurodac Central Unit, EURODAC data on asylum applications are not comparable with those produced by Eurostat, which are based on monthly statistical data provided by the Ministries of Justice and of the Interior. There are a number of methodological reasons justifying this divergence such as the fact that the Eurostat definitions include all asylum applicants (of whatever age), with a distinction between all and first time applications whereas EURODAC data is limited to persons above 14 years of age old (persons below 14 are not fingerprinted). Furthermore not all fingerprints are successfully entered in the Eurodac database. In addition, some countries do the Eurodac check before formal registration of the asylum application which might result in a higher number of submissions to Eurodac than actual asylum claims if persons disappear in the meantime.

In the Eurostat data collection on Dublin procedures, there is separate disaggregation regarding whether the requests and decisions on these requests are based on a Eurodac hit, but there is no such disaggregation for the eventual transfer. However the number of requests/decisions based on Eurodac hits derived from the Eurostat database directly can differ from the number of Eurodac hits from the Eurodac database. For Eurostat, all persons covered by a request should be reported. For requests based on a Eurodac hit, family members below 14 who are not fingerprinted themselves should additionally be reported to Eurostat since as minors they are not visible when extracting data from Eurodac directly by eu-LISA. Furthermore the number of Eurodac hits does not equal the number of Dublin requests to take back/take charge, because MS are not obliged to send a request and in the case

of re-taking of fingerprints following a Dublin transfer a hit would obviously not result in a request to take back/take charge.

II. REQUESTED STATISTICS – OVERVIEW

The following overview of the requested statistics is based on the 3 Excel templates (Incoming Dublin statistics, Outgoing Dublin statistics and Unilateral Dublin decisions).

A. STATISTICS ON THE APPLICATION OF THE DUBLIN III REGULATION: INCOMING REQUESTS

Template	: Incoming Dublin Statistics.xlsm
Reporting Country	: Member State X
Period	: 1 year, to which all columns refer

Submitted by : all types of requests addressed to Member State X by all other Member States

1. INCOMING REQUESTS

1.1 Total number of requests: Total number of requests to take back and to take charge

1.2 Total number of taking charge requests

The number of taking charge requests is split in 14 categories based on the Dublin Regulation:

- 1.2.0** Total Family reasons (Art. 8, 9, 10, 11)
- 1.2.1** Art. 8 – Family reasons
- 1.2.2** Art. 9 – Family reasons
- 1.2.3** Art. 10 – Family reasons
- 1.2.4** Art. 11 – Family reasons
- 1.2.5** Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 1.2.6** Art. 12.1 – Documentation and legal entry reasons
- 1.2.7** Art. 12.2 – Documentation and legal entry reasons
- 1.2.8** Art. 12.3 – Documentation and legal entry reasons
- 1.2.9** Art. 12.4 – Documentation and legal entry reasons
- 1.2.10** Art. 14 – Documentation and legal entry reasons
- 1.2.11** Art. 15 – Application in an international transit area of an airport
- 1.2.12** Art. 13.1 – Irregular entry
- 1.2.13** Art. 13.2 – Irregular stay
- 1.2.14** Art. 16 – Dependent persons
- 1.2.15** Art. 17.2 – Humanitarian reasons

1.3 Total number of taking back requests

The number of taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 1.3.1** Art. 20.5
- 1.3.2** Art. 18.1.b
- 1.3.3** Art. 18.1.c
- 1.3.4** Art. 18.1.d

- 1.4 EURODAC total: total number of incoming requests** based on Eurodac hit
- 1.4.1** Taking charge requests based on Eurodac: **total number of incoming taking charge requests** based on Eurodac hit
- 1.4.2** Taking back requests based on Eurodac: **total number of the incoming taking back requests** based on Eurodac hit
- 1.5 Total number of pending incoming requests at the end of the reference period:** number of requests for take charge and take back addressed by the other Member States to which a response is pending at the end of the reference period.
- 1.6 Total number of requests for information:** number of requests for information submitted by the Member States to Member State X.
- 1.8.1 Total number of requests for information – General reasons, Art. 34**
- 1.8.2 Total number of requests for information – Family of UAMs, Art. 6. 5 and 8.6**
- 1.8.3 Total number of requests for information – Family of dependents, Art. 16.4**
- 1.7 Total number of answers to requests for information:** 'number of answers provided by Member States X to the incoming requests for information submitted by Member States.
- 1.7.1 Answers to requests for information – General reasons, Art. 34**
- replies received within 5 weeks
 - replies received in more than 5 weeks
- 1.7.2 Answers to requests for information – Family of UAMs, Art. 6. 5 and 8.6**
- replies received within 5 weeks
 - replies received in more than 5 weeks
- 1.7.3 Answers to requests for information – Family of dependents Art. 16.4**
- replies received within 5 weeks
 - replies received in more than 5 weeks

2. INCOMING REQUESTS ACCEPTED

- 2.1 Total number of requests accepted:** number of requests (taking charge and taking back) for which Member State X has given a positive (explicit or implicit) response
- 2.2 Total number accepted - taking charge requests:** number of all taking charge requests for which Member State X has given a positive (explicit or implicit) response

The number of accepted taking charge requests split in 14 categories based on the Dublin Regulation:

- 2.2.0** Total Family reasons (Art. 8, 9, 10, 11)
- 2.2.1** Art. 8 – Family reasons
- 2.2.2** Art. 9 – Family reasons
- 2.2.3** Art. 10 – Family reasons
- 2.2.4** Art. 11 – Family reasons
- 2.2.5** Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 2.2.6** Art. 12.1 – Documentation and legal entry reasons
- 2.2.7** Art. 12.2 – Documentation and legal entry reasons
- 2.2.8** Art. 12.3 – Documentation and legal entry reasons
- 2.2.9** Art. 12.4 – Documentation and legal entry reasons
- 2.2.10** Art. 14 – Documentation and legal entry reasons

- 2.2.11 Art. 15 – Application in an international transit area of an airport
- 2.2.12 Art. 13.1 – Irregular entry
- 2.2.13 Art. 13.2 – Irregular stay
- 2.2.14 Art. 16 – Dependent persons
- 2.2.15 Art. 17.2 – Humanitarian reasons

Requests accepted implicitly (Art. 22.7) should be counted under the same category used by the requesting Member State.

2.3 Total number accepted - taking back requests: number of all taking back requests for which Member State X has given a positive (explicit or implicit) response

The number of accepted taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 2.3.1 Art. 20.5
- 2.3.2 Art. 18.1.b
- 2.3.3 Art. 18.1.c
- 2.3.4 Art. 18.1.d

Requests accepted implicitly (Art. 25.2) should be counted under the same category used by the requesting Member State.

2.4 EURODAC total: total number accepted requests which were based on Eurodac hit

- 2.4.1 Taking charge accepted requests based on Eurodac: **total number accepted of taking charge requests** which were based on Eurodac hit
- 2.4.2 Taking back requests accepted based on Eurodac: **total number accepted of taking back requests** which were based on Eurodac hit

3. INCOMING REQUESTS REFUSED

3.1 Total number of requests refused: number of requests (taking charge and taking back) for which Member State X has given a negative response

3.2 Total number refused - taking charge requests: number of all taking charge requests for which Member State X has given a negative response

The number of refused taking charge requests split in 14 categories based on the Dublin Regulation⁶:

- 3.2.0 Total Family reasons (Art. 8, 9, 10, 11)
- 3.2.1 Art. 8 – Family reasons
- 3.2.2 Art. 9 – Family reasons
- 3.2.3 Art. 10 – Family reasons
- 3.2.4 Art. 11 – Family reasons
- 3.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 3.2.6 Art. 12.1 – Documentation and legal entry reasons
- 3.2.7 Art. 12.2 – Documentation and legal entry reasons
- 3.2.8 Art. 12.3 – Documentation and legal entry reasons
- 3.2.9 Art. 12.4 – Documentation and legal entry reasons
- 3.2.10 Art. 14 – Documentation and legal entry reasons

⁶ Clarification: The legal ground which has to be filled in case of rejection is the one which has been used in the request.

- 3.2.11 Art. 15 – Application in an international transit area of an airport
- 3.2.12 Art. 13.1 – Irregular entry
- 3.2.13 Art. 13.2 – Irregular stay
- 3.2.14 Art. 16 – Dependent persons
- 3.2.15 Art. 17.2 – Humanitarian reasons

3.3 Total number refused - taking back requests: number of all taking back requests for which Member State X has given a negative response

The number of refused taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation⁷:

- 3.3.1 Art. 20.5
- 3.3.2 Art. 18.1.b
- 3.3.3 Art. 18.1.c
- 3.3.4 Art. 18.1.d

3.4 EURODAC total: total number refused requests which were based on Eurodac hit

- 3.4.1 Taking charge refused requests based on Eurodac: **total number refused of taking charge requests** which were based on Eurodac hit
- 3.4.2 Taking back refused requests based on Eurodac: **total number refused of taking back requests** which were based on Eurodac hit

4. INCOMING RE-EXAMINATION REQUESTS

4.1 Total number of re-examination requests: Total number of re-examination requests to take back and to take charge

4.2 Total number of taking charge re-examination requests

The number of taking charge re-examination requests split in 14 categories based on the Dublin Regulation:

- 4.2.0 Total Family reasons (Art. 8, 9, 10, 11)
 - 4.2.1 Art. 8 – Family reasons
 - 4.2.2 Art. 9 – Family reasons
 - 4.2.3 Art. 10 – Family reasons
 - 4.2.4 Art. 11 – Family reasons
- 4.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
 - 4.2.6 Art. 12.1 – Documentation and legal entry reasons
 - 4.2.7 Art. 12.2 – Documentation and legal entry reasons
 - 4.2.8 Art. 12.3 – Documentation and legal entry reasons
 - 4.2.9 Art. 12.4 – Documentation and legal entry reasons
- 4.2.10 Art. 14 – Documentation and legal entry reasons
- 4.2.11 Art. 15 – Application in an international transit area of an airport
- 4.2.12 Art. 13.1 – Irregular entry
- 4.2.13 Art. 13.2 – Irregular stay
- 4.2.14 Art. 16 – Dependent persons
- 4.2.15 Art. 17.2 – Humanitarian reasons

⁷ Idem

4.3 Total number of taking back re-examination requests

The number of taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 4.3.1 Art. 20.5
- 4.3.2 Art. 18.1.b
- 4.3.3 Art. 18.1.c
- 4.3.4 Art. 18.1.d

4.4 EURODAC total: total number of incoming re-examination requests based on Eurodac hit

4.4.1 Taking charge requests based on Eurodac: **total number of incoming taking charge re-examination requests** based on Eurodac hit

4.4.2 Taking back requests based on Eurodac: **total number of the incoming taking back requests** based on Eurodac hit

4.5 Total number of pending incoming re-examination requests at the end of the reference period: number of re-examination requests for take charge and take back addressed by the other Member States to which a response is pending at the end of the reference period.

5. INCOMING RE-EXAMINATION REQUESTS ACCEPTED

5.1 **Total number of re-examination requests accepted:** number of re-examination requests (taking charge and taking back) for which Member State X has given a positive (explicit or implicit) response

5.2 **Total number accepted - taking charge re-examination requests:** number of all taking charge re-examination requests for which Member State X has given a positive (explicit or implicit) response

The number of accepted taking charge re-examination requests split in 14 categories based on the Dublin Regulation:

- 5.2.0 Total Family reasons (Art. 8, 9, 10, 11)
 - 5.2.1 Art. 8 – Family reasons
 - 5.2.2 Art. 9 – Family reasons
 - 5.2.3 Art. 10 – Family reasons
 - 5.2.4 Art. 11 – Family reasons
- 5.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
 - 5.2.6 Art. 12.1 – Documentation and legal entry reasons
 - 5.2.7 Art. 12.2 – Documentation and legal entry reasons
 - 5.2.8 Art. 12.3 – Documentation and legal entry reasons
 - 5.2.9 Art. 12.4 – Documentation and legal entry reasons
- 5.2.10 Art. 14 – Documentation and legal entry reasons
- 5.2.11 Art. 15 – Application in an international transit area of an airport
- 5.2.12 Art. 13.1 – Irregular entry
- 5.2.13 Art. 13.2 – Irregular stay
- 5.2.14 Art. 16 – Dependent persons
- 5.2.15 Art. 17.2 – Humanitarian reasons

5.3 **Total number accepted - taking back re-examination requests:** number of all taking back re-examination requests for which Member State X has given a positive (explicit or implicit) response

The number of accepted taking back re-examination requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 5.3.1 Art. 20.5
- 5.3.2 Art. 18.1.b
- 5.3.3 Art. 18.1.c
- 5.3.4 Art. 18.1.d

5.4 EURODAC total: total number re-examination accepted requests which were based on Eurodac hit

- 5.4.1 Taking charge re-examination requests accepted based on Eurodac: **total number accepted of taking charge re-examination requests** which were based on Eurodac hit
- 5.4.2 Taking back re-examination requests accepted based on Eurodac: **total number accepted of taking back re-examination requests** which were based on Eurodac hit

6. INCOMING RE-EXAMINATION REQUESTS REFUSED

6.1 Total number of re-examination requests refused: number of re-examination requests (taking charge and taking back) for which Member State X has given a negative response

6.2 Total number refused - taking charge re-examination requests: number of all taking charge re-examination requests for which Member State X has given a negative response

The number of refused taking charge re-examination requests split in 14 categories based on the Dublin Regulation⁸:

- 6.2.0 Total Family reasons (Art. 8, 9, 10, 11)
- 6.2.1 Art. 8 – Family reasons
- 6.2.2 Art. 9 – Family reasons
- 6.2.3 Art. 10 – Family reasons
- 6.2.4 Art. 11 – Family reasons
- 6.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 6.2.6 Art. 12.1 – Documentation and legal entry reasons
- 6.2.7 Art. 12.2 – Documentation and legal entry reasons
- 6.2.8 Art. 12.3 – Documentation and legal entry reasons
- 6.2.9 Art. 12.4 – Documentation and legal entry reasons
- 6.2.10 Art. 14 – Documentation and legal entry reasons
- 6.2.11 Art. 15 – Application in an international transit area of an airport
- 6.2.12 Art. 13.1 – Irregular entry
- 6.2.13 Art. 13.2 – Irregular stay
- 6.2.14 Art. 16 – Dependent persons
- 6.2.15 Art. 17.2 – Humanitarian reasons

6.3 Total number refused - taking back re-examination requests: number of all taking back re-examination requests for which Member State X has given a negative response

The number of refused taking back re-examination requests split in four categories which correspond to different legal basis in the Dublin Regulation⁹:

- 6.3.1 Art. 20.5

⁸ Clarification: The legal ground which has to be filled in case of rejection is the one which has been used in the request.

⁹ Idem

- 6.3.2 Art. 18.1.b
- 6.3.3 Art. 18.1.c
- 6.3.4 Art. 18.1.d

6.4 EURODAC total: total number re-examination refused requests which were based on Eurodac hit

- 6.4.1 Taking charge re-examination refused requests based on Eurodac: **total number refused of taking charge re-examination requests** which were based on Eurodac hit
- 6.4.2 Taking back re-examination refused requests based on Eurodac: **total number refused of taking back re-examination requests** which were based on Eurodac hit

7. INCOMING REQUESTS TRANSFERRED

7.1 Total number transferred: number of transfer requests (taking charge and taking back) which have been effectively carried out by a Member State to Member State X

7.2 Total number transferred - taking charge requests: number of all transfer requests (taking charge) which have been effectively carried out by a Member State to Member State X

The number of transfer requests (taking charge) which have been effectively carried out by a Member State to Member State X split in 14 categories based on the Dublin Regulation¹⁰:

- 7.2.0 Total Family reasons (Art. 8, 9, 10, 11)
- 7.2.1 Art. 8 – Family reasons
- 7.2.2 Art. 9 – Family reasons
- 7.2.3 Art. 10 – Family reasons
- 7.2.4 Art. 11 – Family reasons
- 7.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 7.2.6 Art. 12.1 – Documentation and legal entry reasons
- 7.2.7 Art. 12.2 – Documentation and legal entry reasons
- 7.2.8 Art. 12.3 – Documentation and legal entry reasons
- 7.2.9 Art. 12.4 – Documentation and legal entry reasons
- 7.2.10 Art. 14 – Documentation and legal entry reasons
- 7.2.11 Art. 15 – Application in an international transit area of an airport
- 7.2.12 Art. 13.1 – Irregular entry
- 7.2.13 Art. 13.2 – Irregular stay
- 7.2.14 Art. 16 – Dependent persons
- 7.2.15 Art. 17.2 – Humanitarian reasons

7.3 Total number transferred - taking back requests: number of transfer requests (taking back) which have been effectively carried out by a Member State to Member State X

The number of transfer request (taking back) which have been effectively carried out by a Member State to Member State X split in four categories which correspond to different legal basis in the Dublin Regulation¹¹:

- 7.3.1 Art. 20.5
- 7.3.2 Art. 18.1.b

¹⁰ Clarification: In case of different legal basis between the transfer request and the acceptance, Member States shall fill in the legal ground on which the acceptance has been granted.

¹¹ Idem

7.3.3 Art. 18.1.c

7.3.4 Art. 18.1.d

7.4 Total number of incoming pending transfers at the end of the reference period: number of persons whose transfer was accepted by the Member State X but still not effectively carried out by the Member State whose requests was accepted

In case of shifting of responsibility as result of non-implementation of the transfer (Article 29.2), Member States shall not report such cases under the category 'Stock of pending transfers' (category 7.4).

Disaggregation by the time period during which transfer was carried out.

The time periods applied in collection of data on transferred persons shall be applied as follows:

- a) **within 6 months** – transfers which were carried out with a delay of maximum months since the decision was taken.
- b) **within 12 months** – transfers which were carried out in the period of more than 6 months but less than 12 months since the decision was taken
- c) **within 18 months** – transfers which were carried out in the period of more than 12 months but less than 18 months since the decision was taken

B. STATISTICS ON THE APPLICATION OF THE DUBLIN III REGULATION: OUTGOING REQUESTS

Template : Outgoing Dublin Statistics.xlsm
Reporting Country : Member State X
Period : 1 year, to which all columns refer

Submitted by : all types of requests addressed by the Member State X to all other Member States

1. OUTGOING REQUESTS

1.1 Total number of requests: Total number of requests to take back and to take charge

1.2 Total number of taking charge requests

The number of taking charge requests split in 14 categories based on the Dublin Regulation:

- 1.2.0** Total Family reasons (Art. 8, 9, 10, 11)
- 1.2.1** Art. 8 – Family reasons
- 1.2.2** Art. 9 – Family reasons
- 1.2.3** Art. 10 – Family reasons
- 1.2.4** Art. 11 – Family reasons
- 1.2.5** Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 1.2.6** Art. 12.1 – Documentation and legal entry reasons
- 1.2.7** Art. 12.2 – Documentation and legal entry reasons
- 1.2.8** Art. 12.3 – Documentation and legal entry reasons
- 1.2.9** Art. 12.4 – Documentation and legal entry reasons
- 1.2.10** Art. 14 – Documentation and legal entry reasons
- 1.2.11** Art. 15 – Application in an international transit area of an airport
- 1.2.12** Art. 13.1 – Irregular entry
- 1.2.13** Art. 13.2 – Irregular stay
- 1.2.14** Art. 16 – Dependent persons
- 1.2.15** Art. 17.2 – Humanitarian reasons

1.3 Total number of taking back requests

The number of taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 1.3.1** Art. 20.5
- 1.3.2** Art. 18.1.b
- 1.3.3** Art. 18.1.c
- 1.3.4** Art. 18.1.d

1.4 EURODAC total: total number of outgoing requests (category 1.1) based on Eurodac hit

- 1.4.1** Taking charge requests based on Eurodac: **total number of outgoing taking charge requests** (category 1.2) based on Eurodac hit
- 1.4.2** Taking back requests based on Eurodac: **total number of the outgoing taking back requests** (category 1.3) based on Eurodac hit

- 1.5 Total number of pending outgoing requests at the end of the reference period:** number of requests for take charge and take back addressed to the other Member States to which a response is pending at the end of the reference period.
- 1.6 Total number of requests for information:** number of requests for information submitted by the Member States X to the Member States
- 1.8.1 Total number of requests for information – General reasons, Art. 34**
1.8.2 Total number of requests for information – Family of UAMs, Art. 6. 5 and 8.6
1.8.3 Total number of requests for information – Family of dependents, Art. 16.4
- 1.7 Total number of answers to requests for information:** 'number of answers received by Member States X from other member States to the requests Member State X has submitted to these Member States.
- 1.7.1 Answers to requests for information – General reasons, Art. 34**
- replies received within 5 weeks
 - replies received in more than 5 weeks
- 1.7.2 Answers to requests for information – Family of UAMs, Art. 6. 5 and 8.6**
- replies received within 5 weeks
 - replies received in more than 5 weeks
- 1.7.3 Answers to requests for information – Family of dependents, Art. 16.4**
- replies received within 5 weeks
 - replies received in more than 5 weeks

2. OUTGOING REQUESTS ACCEPTED

- 2.1 Total number of requests accepted:** number of requests (taking charge and taking back) for which Member States have given a positive (explicit or implicit) response
- 2.2 Total number accepted - taking charge requests:** number of all taking charge requests for which Member States have given a positive response

The number of accepted taking charge requests split in 14 categories based on the Dublin Regulation:

- 2.2.0** Total Family reasons (Art. 8, 9, 10, 11)
- 2.2.1** Art. 8 – Family reasons
- 2.2.2** Art. 9 – Family reasons
- 2.2.3** Art. 10 – Family reasons
- 2.2.4** Art. 11 – Family reasons
- 2.2.5** Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 2.2.6** Art. 12.1 – Documentation and legal entry reasons
- 2.2.7** Art. 12.2 – Documentation and legal entry reasons
- 2.2.8** Art. 12.3 – Documentation and legal entry reasons
- 2.2.9** Art. 12.4 – Documentation and legal entry reasons
- 2.2.10** Art. 14 – Documentation and legal entry reasons
- 2.2.11** Art. 15 – Application in an international transit area of an airport
- 2.2.12** Art. 13.1 – Irregular entry
- 2.2.13** Art. 13.2 – Irregular stay
- 2.2.14** Art. 16 – Dependent persons
- 2.2.15** Art. 17.2 – Humanitarian reasons

- 2.3 Total number accepted - taking back requests:** number of all taking back requests for which Member States have given a positive response

The number of accepted taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 2.3.1** Art. 20.5
- 2.3.2** Art. 18.1.b
- 2.3.3** Art. 18.1.c
- 2.3.4** Art. 18.1.d

- 2.4 EURODAC total: total number accepted requests** (category 2.1) based on Eurodac hit

- 2.4.1** Taking charge accepted requests based on Eurodac: **total number accepted of taking charge requests** (category 2.2) which were based on Eurodac hit
- 2.4.2** Taking back accepted requests based on Eurodac: **total number accepted of taking back requests** (category 2.3) which were based on Eurodac hit

3. OUTGOING REQUESTS REFUSED

- 3.1 Total number of requests refused:** number of requests (taking charge and taking back) for which Member States have given a negative response

- 3.2 Total number refused - taking charge requests:** number of all taking charge requests for which Member States have given a negative response

The number of refused taking charge requests split in 14 categories based on the Dublin Regulation¹²:

- 3.2.0** Total Family reasons (Art. 8, 9, 10, 11)
- 3.2.1** Art. 8 – Family reasons
- 3.2.2** Art. 9 – Family reasons
- 3.2.3** Art. 10 – Family reasons
- 3.2.4** Art. 11 – Family reasons
- 3.2.5** Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 3.2.6** Art. 12.1 – Documentation and legal entry reasons
- 3.2.7** Art. 12.2 – Documentation and legal entry reasons
- 3.2.8** Art. 12.3 – Documentation and legal entry reasons
- 3.2.9** Art. 12.4 – Documentation and legal entry reasons
- 3.2.10** Art. 14 – Documentation and legal entry reasons
- 3.2.11** Art. 15 – Application in an international transit area of an airport
- 3.2.12** Art. 13.1 – Irregular entry
- 3.2.13** Art. 13.2 – Irregular stay
- 3.2.14** Art. 16 – Dependent persons
- 3.2.15** Art. 17.2 – Humanitarian reasons

- 3.3 Total number refused - taking back requests:** number of all taking back requests for which Member States have given a negative response

¹² Clarification: The legal ground which has to be filled in case of rejection is the one which has been used in the request.

The number of refused taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation¹³:

- 3.3.1 Art. 20.5
- 3.3.2 Art. 18.1.b
- 3.3.3 Art. 18.1.c
- 3.3.4 Art. 18.1.d

3.2 EURODAC total: total number refused based on Eurodac hit

- 3.2.1 Taking charge refused requests based on Eurodac: **total number refused of taking charge requests** which were based on Eurodac hit
- 3.2.2 Taking back refused requests based on Eurodac: **total number refused of taking back requests** which were based on Eurodac hit

4. OUTGOING RE-EXAMINATION REQUESTS

4.1 Total number of re-examination requests: Total number of re-examination requests to take back and to take charge

4.2 Total number of taking charge re-examination requests

The number of taking charge re-examination requests split in 14 categories based on the Dublin Regulation:

- 4.2.0 Total Family reasons (Art. 8, 9, 10, 11)
- 4.2.1 Art. 8 – Family reasons
- 4.2.2 Art. 9 – Family reasons
- 4.2.3 Art. 10 – Family reasons
- 4.2.4 Art. 11 – Family reasons
- 4.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 4.2.6 Art. 12.1 – Documentation and legal entry reasons
- 4.2.7 Art. 12.2 – Documentation and legal entry reasons
- 4.2.8 Art. 12.3 – Documentation and legal entry reasons
- 4.2.9 Art. 12.4 – Documentation and legal entry reasons
- 4.2.10 Art. 14 – Documentation and legal entry reasons
- 4.2.11 Art. 15 – Application in an international transit area of an airport
- 4.2.12 Art. 13.1 – Irregular entry
- 4.2.13 Art. 13.2 – Irregular stay
- 4.2.14 Art. 16 – Dependent persons
- 4.2.15 Art. 17.2 – Humanitarian reasons

4.3 Total number of taking back re-examination requests

The number of taking back requests split in four categories which correspond to different legal basis in the Dublin Regulation:

- 4.3.1 Art. 20.5
- 4.3.2 Art. 18.1.b
- 4.3.3 Art. 18.1.c
- 4.3.4 Art. 18.1.d

4.4 EURODAC total: total number of outgoing re-examination requests based on Eurodac hit

¹³ Idem

4.4.1 Taking charge requests based on Eurodac: **total number of outgoing taking charge re-examination requests** based on Eurodac hit

4.4.2 Taking back requests based on Eurodac: **total number of the outgoing taking back requests** based on Eurodac hit

4.5 Total number of pending outgoing re-examination requests at the end of the reference period: number of re-examination requests for take charge and take back addressed by the Member State X to which a response is pending at the end of the reference period.

5. OUTGOING RE-EXAMINATION REQUESTS ACCEPTED

5.1 Total number of re-examination requests accepted: number of re-examination requests (taking charge and taking back) for which other Member States have given a positive (explicit or implicit) response to the Member States X

5.2 Total number accepted - taking charge re-examination requests: number of all taking charge re-examination requests for which other Member States have given a positive (explicit or implicit) response to the Member States X

The number of accepted taking charge re-examination requests split in 14 categories based on the Dublin Regulation:

5.2.0 Total Family reasons (Art. 8, 9, 10, 11)

5.2.1 Art. 8 – Family reasons

5.2.2 Art. 9 – Family reasons

5.2.3 Art. 10 – Family reasons

5.2.4 Art. 11 – Family reasons

5.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)

5.2.6 Art. 12.1 – Documentation and legal entry reasons

5.2.7 Art. 12.2 – Documentation and legal entry reasons

5.2.8 Art. 12.3 – Documentation and legal entry reasons

5.2.9 Art. 12.4 – Documentation and legal entry reasons

5.2.10 Art. 14 – Documentation and legal entry reasons

5.2.11 Art. 15 – Application in an international transit area of an airport

5.2.12 Art. 13.1 – Irregular entry

5.2.13 Art. 13.2 – Irregular stay

5.2.14 Art. 16 – Dependent persons

5.2.15 Art. 17.2 – Humanitarian reasons

5.3 Total number accepted - taking back re-examination requests: number of all taking back re-examination requests for which other Member States have given a positive (explicit or implicit) response to the Member States X

The number of accepted taking back re-examination requests split in four categories which correspond to different legal basis in the Dublin Regulation:

5.3.1 Art. 20.5

5.3.2 Art. 18.1.b

5.3.3 Art. 18.1.c

5.3.4 Art. 18.1.d

5.4 EURODAC total: total number re-examination requests accepted based on Eurodac hit

- 5.4.1** Taking charge re-examination requests accepted based on Eurodac: **total number accepted of taking charge re-examination requests** based on Eurodac hit
- 5.4.2** Taking back re-examination requests accepted based on Eurodac: **total number accepted of taking back re-examination requests** based on Eurodac hit

6. OUTGOING RE-EXAMINATION REQUESTS REFUSED

- 6.1 Total number of re-examination requests refused:** number of re-examination requests (taking charge and taking back) for which other Member States have given a negative (explicit or implicit) response to the Member States X
- 6.2 Total number refused - taking charge re-examination requests:** number of all taking charge re-examination requests for which other Member States have given a negative (explicit or implicit) response to the Member States X

The number of refused taking charge re-examination requests split in 14 categories based on the Dublin Regulation¹⁴:

- 6.2.0** Total Family reasons (Art. 8, 9, 10, 11)
- 6.2.1** Art. 8 – Family reasons
- 6.2.2** Art. 9 – Family reasons
- 6.2.3** Art. 10 – Family reasons
- 6.2.4** Art. 11 – Family reasons
- 6.2.5** Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 6.2.6** Art. 12.1 – Documentation and legal entry reasons
- 6.2.7** Art. 12.2 – Documentation and legal entry reasons
- 6.2.8** Art. 12.3 – Documentation and legal entry reasons
- 6.2.9** Art. 12.4 – Documentation and legal entry reasons
- 6.2.10** Art. 14 – Documentation and legal entry reasons
- 6.2.11** Art. 15 – Application in an international transit area of an airport
- 6.2.12** Art. 13.1 – Irregular entry
- 6.2.13** Art. 13.2 – Irregular stay
- 6.2.14** Art. 16 – Dependent persons
- 6.2.15** Art. 17.2 – Humanitarian reasons

- 6.3 Total number refused - taking back re-examination requests:** number of all taking back re-examination requests for which other Member States have given a negative (explicit or implicit) response to the Member States X

The number of refused taking back re-examination requests split in four categories which correspond to different legal basis in the Dublin Regulation¹⁵:

- 6.3.1** Art. 20.5
- 6.3.2** Art. 18.1.b
- 6.3.3** Art. 18.1.c
- 6.3.4** Art. 18.1.d

- 6.4 EURODAC total: total number re-examination requests refused** based on Eurodac hit

¹⁴ Clarification: The legal ground which has to be filled in case of rejection is the one which has been used in the request.

¹⁵ Idem

- 6.4.1 Taking charge re-examination requests refused based on Eurodac: **total number refused of taking charge re-examination requests** based on Eurodac hit
- 6.4.2 Taking back re-examination requests refused based on Eurodac: **total number refused of taking back re-examination requests** based on Eurodac hit

7. OUTGOING REQUESTS TRANSFERRED

7.1 Total number transferred: number of transfer requests (**taking charge and taking back**) which have been effectively carried out by Member State X to another Member State

7.2 Total number transferred - taking charge requests: number of all transfer requests (**taking charge**) which have been effectively carried out by Member State X to another Member State

The number of transfer requests (taking charge) which have been effectively carried out by Member State X to another Member State split in 14 categories based on the Dublin Regulation¹⁶:

- 7.2.0 Total Family reasons (Art. 8, 9, 10, 11)
- 7.2.1 Art. 8 – Family reasons
- 7.2.2 Art. 9 – Family reasons
- 7.2.3 Art. 10 – Family reasons
- 7.2.4 Art. 11 – Family reasons
- 7.2.5 Total Documentation and legal entry reasons (Art. 12.1, 12.2, 12.3, 12.4, 14)
- 7.2.6 Art. 12.1 – Documentation and legal entry reasons
- 7.2.7 Art. 12.2 – Documentation and legal entry reasons
- 7.2.8 Art. 12.3 – Documentation and legal entry reasons
- 7.2.9 Art. 12.4 – Documentation and legal entry reasons
- 7.2.10 Art. 14 – Documentation and legal entry reasons
- 7.2.11 Art. 15 – Application in an international transit area of an airport
- 7.2.12 Art. 13.1 – Irregular entry
- 7.2.13 Art. 13.2 – Irregular stay
- 7.2.14 Art. 16 – Dependent persons
- 7.2.15 Art. 17.2 – Humanitarian reasons

7.3 Total number transferred - taking back requests: number of transfer requests (taking back) which have been effectively carried out by Member State X to another Member State

The number of transfer request (taking back) which have been effectively carried out by Member State X to another Member State split in four categories which correspond to different legal basis in the Dublin Regulation¹⁷:

- 7.3.1 Art. 20.5
- 7.3.2 Art. 18.1.b
- 7.3.3 Art. 18.1.c
- 7.3.4 Art. 18.1.d

7.4 Total number of outgoing pending transfers at the end of the reference period: number of persons whose transfer was accepted by other Member States but still not effectively carried out by the Member State X

¹⁶ Clarification: In case of different legal basis between the transfer request and the acceptance, Member States shall fill in the legal ground on which the acceptance has been granted.

¹⁷ Idem

In case of shifting of responsibility as result of non-implementation of the transfer (Article 29.2), Member States shall not report such cases under the category 'Stock of pending transfers' (category 7.4).

Disaggregation by the time period during which transfer was carried out.

The time periods applied in collection of data on transferred persons shall be applied as follows:

- a) **within 6 months** – transfers which were carried out with a delay of maximum months since the decision was taken.
- b) **within 12 months** – transfers which were carried out in the period of more than 6 months but less than 12 months since the decision was taken
- c) **within 18 months** – transfers which were carried out in the period of more than 12 months but less than 18 months since the decision was taken

C. STATISTICS ON THE APPLICATION OF THE DUBLIN III REGULATION: SOVEREIGNTY CLAUSE AND RESPONSIBILITY BY DEFAULT

Template : Unilateral Dublin Decisions.xlsm
Reporting Country : Member State X which unilaterally takes the responsibility
Period : 1 year, to which all columns refer

Partner Country : all types of unilateral decisions taken by the Member State X in relation to all other Member States or 'Not applicable' country (if no country can be identified as responsible)
: data on 'Sovereignty clause' (1.1) and 'Responsibility by default (Art. 3.2 First paragraph)' (1.2.1) shall be reported under the Partner country category 'Not applicable'
: data on 'Responsibility by default (Art. 3.2 Second and third paragraph)' (1.2.2) and 'Responsibility by default (Art. 29.2)' (1.2.3) shall be reported using the list of Partner countries (excluding 'Not applicable')

1.1 Sovereignty clause: number of cases where Art. 17.1 is applied

1.2 Total number of cases where the Member States becomes responsible by default

1.2.1 Number of cases where the Member States becomes responsible by default (Art. 3.2 First paragraph): no prior criteria applicable

1.2.2 Number of cases where the Member States becomes responsible by default (Art. 3.2 Second and third paragraph): no transfer

1.2.3 Number of cases where the Member States becomes responsible by default (Art. 29.2): transfer not implemented

Article 3.2 First paragraph

When an applicant applies for international protection in MS X and this MS cannot identify the responsible MS on the basis of one of the responsibility criteria, it shall become responsible for the application. This applies in particular where take charge/back requests of this MS were not conclusive or where no requests were made at all by MS X (because of the lack of proof or if the existing information shows that country X is responsible). Whereas take back/charge requests imply an exchange between MSs, Article 3(2), first paragraph, applies from the time when the determining MS comes to the conclusion that no other MS can be designated on the basis of the responsibility criteria. There is no need to consult any other MS for that purpose.

Article 29.2

All transfers that cannot be implemented (whatever the reason), the shifting of responsibility shall be reported in column 1.2.3. In case of shifting of responsibility as result of non-implementation of the transfer (Article 29.2), Member States shall not report such cases under the category 'Stock of pending transfers' (category 7.4).

III. NEW CSV FILES

The following overview of the requested statistics is based on the 19 csv Dublin datasets that National data providers have to provide to Eurostat, starting **from 2016 reference year onwards**.

It needs to be noted that the amendment of the data collection due to the introduction of the csv datasets from 2016 reference year onwards, does not imply any modification to the amount of data requested by Eurostat, to the methodology or to the concepts and definitions of the Dublin statistics, compared with the data collection of the previous year.

Table 1 Datasets of Dublin data collection, 2016 reference year onwards

	Dataset	Dataset name
1	RI	Incoming 'Dublin' requests by submitting country (PARTNER), type of request and legal provision
2	RO	Outgoing 'Dublin' requests by receiving country (PARTNER), type of request and legal provision
3	REDACI	Incoming 'Dublin' requests based on EURODAC by submitting country (PARTNER), type of request and legal provision
4	REDACO	Outgoing 'Dublin' requests based on EURODAC by receiving country (PARTNER), type of request and legal provision
5	RPENI	Pending 'Dublin' incoming requests by submitting country (PARTNER) and type of request
6	RPENO	Pending 'Dublin' outgoing requests by receiving country (PARTNER) and type of request
7	RINFI	Incoming 'Dublin' requests for information by submitting country (PARTNER) and legal provision
8	RINFO	Outgoing 'Dublin' requests for information by receiving country (PARTNER) and legal provision
9	RESI	Incoming responses to 'Dublin' requests for information by submitting country (PARTNER), legal provision and duration of response
10	RESO	Outgoing responses to 'Dublin' requests for information by receiving country (PARTNER), legal provision and duration of response
11	DUNI	Unilateral 'Dublin' decisions by partner country and type of decision
12	DI	Decisions on incoming 'Dublin' requests by submitting country (PARTNER), type of decision, type of request and legal provision
13	DO	Decisions on outgoing 'Dublin' requests by receiving country (PARTNER), type of decision, type of request and legal provision
14	DEDACI	Decisions on Incoming 'Dublin' requests based on EURODAC by submitting country (PARTNER), type of decision, type of request and legal provision
15	DEDACO	Decisions on outgoing 'Dublin' requests based on EURODAC by receiving country (PARTNER), type of decision, type of request and legal provision
16	TI	Incoming 'Dublin' transfers by submitting country (PARTNER), legal provision and duration of transfer
17	TO	Outgoing 'Dublin' transfers by receiving country (PARTNER), legal provision and duration of transfer
18	TPENI	Pending incoming 'Dublin' transfers by submitting country (PARTNER)
19	TPENO	Pending outgoing 'Dublin' transfers by receiving country (PARTNER)

For the complete disaggregations (code-lists) of the variables collected for each dataset, please consult the accompanying 'Specification of the Dublin CSV datasets - 2016 Reference year' on [CIRCABC](#).

ANNEX 1. CORRELATION TABLE

Table 2 Correlation table between Dublin III and Dublin II Regulation

NEW DUBLIN III REGULATION	OLD DUBLIN II REGULATION
Taking charge requests	
Art. 8 – Family reasons	Art. 6
Art. 9 – Family reasons	Art. 7
Art. 10 – Family reasons	Art. 8
Art. 11 – Family reasons	Art. 14
Art. 12.1 – Documentation and legal entry reasons	Art. 9.1
Art. 12.2 – Documentation and legal entry reasons	Art. 9.2
Art. 12.3 – Documentation and legal entry reasons	Art. 9.3
Art. 12.4 – Documentation and legal entry reasons	Art. 9.4
Art. 14 – Documentation and legal entry reasons	Art. 11
Art. 15 – Application in an international transit area of an airport	Art. 12
Art. 13.1 – Irregular entry	Art. 10.1
Art. 13.2 – Irregular stay	Art. 10.2
Art. 16 – Dependent persons	Art. 15.2
Art. 17.2 – Humanitarian reasons	Art. 15.1
Taking back requests	
Art. 20.5	Art. 4.5
Art. 18.1.b	Art. 16.1.c
Art. 18.1.c	Art. 16.1.d
Art. 18.1.d	Art. 16.1.e
Requests for information	
Art. 34.5	Art. 21.5
Art. 6.5 and 8.6	new element
Art. 16.4	Art. 15.5
Sovereignty clause and Responsibility by default	
Art. 3.2 first subparagraph	Art 13
Art. 3.2. second and third paragraph	new element
Art. 17.1	new element
Art. 29.2	Art. 19.4 and Art. 20.2

ANNEX 2. VALIDATION RULES FOR DUBLIN STATISTICS

Error! Reference source not found. below presents the broad categories of the minimum set of validation rules applied to any incoming csv Dublin dataset at Eurostat (by [EDIT](#)), as agreed by the Asylum and Managed Migration Working Group of October 2016.

Validation rule is a logical condition or a restriction to the value of a data item or a data group which must be met if data are to be considered correct. A validation rule can have a **severity** of **'ERROR'** or **'WARNING'**. **ERROR** means that data clearly do not meet the quality criteria set by a given validation rule and corrections shall be made before data are considered validated (“error-free”). **WARNING** means that data meet the minimum criteria in order to be considered validated (“error-free”) but potential suspicious patterns (or values) might be present in the dataset; warnings can also be messages for information purposes.

As a general rule, datasets which fail to pass all validation rules (of ERROR severity) as agreed by the Working Group are REFUSED and are not treated as official data transmission.

In exceptional situations when a national data provider can fully justify the reason(s) for not complying with the validation rules, such transmission may be accepted by Eurostat. In such case, the national data provider is required to provide Eurostat with a written justification specifying the exact reasons for non-compliance with the validation rules.

For the complete documentation on the validation program (rules and editing) on Dublin data please consult the relevant section 'Dublin Statistics' on [CIRCABC interest group Asylum, Residence Permit, Enforcement and Migrant Integration](#).

National data providers are also encouraged to use [EDIT](#) for the validation of their csv datasets before reporting them to Eurostat.

Eurostat's validation framework involves 6 levels of validation (Level 0 until Level 5). The rules currently established for Dublin data and their respective classification into the six validation levels, together comments on the logic or on the applicability of each rule are presented below.

Also please note that the presented list of validation rules represents a basic set of rules for checking the internal consistency of the files. Eurostat (and probably data providers) applies further validations procedures to assess the quality of the transmitted data and Eurostat will contact the national data provider for relevant information if necessary.

VALIDATION LEVEL 0

At this level of validation only the structure of the file or the format of the variables are validated.

Rule 1: Use only the latest data template (CSV) provided by Eurostat – REFUSED if ERROR

Data providers should use the latest Eurostat templates for reporting the data without modifying it in any ways.

The CSV format for the data transmission has a fixed structure. All the technical details of this structure, i.e. the header, the separator, the number of columns, the number of rows and the order of the columns has to be respected, i.e. not modified in any ways.

Rule 2: Proper selection of the parameters of the reference dataset when transmitting the data via EDAMIS application – REFUSED if ERROR

The user (Sender) has to properly select a certain number of parameters in EDAMIS (the name of dataset, reference year/period, etc.) in order for them to correctly identify the file to be sent to Eurostat, otherwise errors will arise in the validation of the respective file.

VALIDATION LEVEL 1

This level of validation refers to the quality checks, which only need the (statistical) information included in the file itself.

Rule 3: Provision of all mandatory statistics within each dataset – REFUSED if ERROR

The data providers have the obligation to transmit the complete statistics on Dublin, as established according to Article 4.4 of Regulation (EC) 862/2007 and to the latest Technical Guidelines on Dublin statistics. All mandatory breakdowns shall be reported to Eurostat for each dataset.

Following the practice established for the Asylum data collection, similarly for the Dublin csv files, **any data (record) which is not reported in the csv file, or a record with an empty (not available) statistical value, will be automatically transformed by Eurostat to a record with zero statistical value '0', unless it is accompanied by the flag 'o' (or 'z' in case not applicable).**

Rule 4: Statistical values (data) are only positive numbers or zero – REFUSED if ERROR

Only numerical values equal or greater than 0 shall be reported. The statistical unit for Dublin statistics is the *number* of requests/decisions/transfers etc., therefore no decimals are accepted to be recorded.

Rule 5: validity of the codes used to report the data – REFUSED if ERROR

The templates provided by Eurostat have a fixed structure with specific codes to be used for reporting the data for any given category and cross-classification in a given dataset.

The latest updated version of the codes to be used can always be consulted on CIRCABC.

Rule 6: Consistency of the Totals – REFUSED if ERROR

The statistical values reported for any Total category of the data (aggregation) shall be consistent with the respective disaggregation.

VALIDATION LEVEL 2

This level of validation refers to the checks that are made between the reference dataset and other datasets with similar statistics. It includes revision checks, time series checks and (intra-source) inter-dataset checks.

Rule 7: Trends analysis (against previous period) – WARNING if ERROR

The statistical value for the current reference year will be analysed against the statistical value of the previous year and Warnings shall be issued if certain thresholds are exceeded.

Rule 8: Sign and Size of revision – WARNING if ERROR

The sign (positive or negative) and the size of the revised data will be analysed and Warnings shall be issued if certain thresholds are exceeded.

Rule 9: Outlier detection¹⁸ – WARNING if ERROR

¹⁸ Eurostat analyses further methods to detect outliers which are considered more appropriate for migration statistics (e.g. non-parametric methods, such as the Hidioglou-Berthelot method among others). Therefore the validation rule 9 on outlier detection is subject to change in the near future.

The main properties of the distribution of the data are assessed so that any statistical value exceeding by 2.5 times the standard deviation above or below the arithmetic mean will be highlighted as Warning (as they fall outside the 95% of the distribution)

VALIDATION LEVEL 3

This level of validation is related to mirror checks (e.g. when migrations flows between two countries are considered, emigration from one country should equal the immigration in the other country).

The values reported by country X as Incoming data (request, re-examination request, etc.) from a Partner country Y shall equal the values reported by country Y as Outgoing data (request, re-examination request, etc.) to the Partner country X.

This validation rule is subject to further analysis and is pending an agreement by the Working Group on Asylum and Managed Migration statistics. For the moment it is not applied in 2016 reference year data.

VALIDATION LEVEL 4

This level of validation could be defined as plausibility or consistency checks between two statistical domains. This level of validation will not be applied for the moment for Dublin statistics.

VALIDATION LEVEL 5

This level of validation could be defined as plausibility or consistency checks between the data available in the Institution and the data / information available outside the Institution. Validation at this level can refer to discrepancies checking between the data collected by Eurostat and those collected by EASO.

The obligatory validation rules for Dublin data, are presented in Table 3 below.

Table 3 Minimum set of validation rules for Dublin data of CSV file format

#	Rule	Severity of error	Applicable to tables
1	Use only the latest data template (CSV) as provided by Eurostat	ERROR	all
2	Proper selection of the parameters of the reference dataset when transmitting the data via EDAMIS	ERROR	all
3	Provision of all mandatory statistics within each dataset	ERROR	all
4	Statistical values (data) are only integer positive numbers or zero	ERROR	all
5	Validity of the codes used to report the data	ERROR	all
6	Consistency of the Totals	ERROR	all
7	Trends analysis (against previous period)	WARNING	all
8	Sign and Size of revision	WARNING	all
9	Outlier detection	WARNING	all