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**TECHNICAL GUIDELINES FOR THE DATA COLLECTION UNDER ART. 4.4 OF
REGULATION 862/2007¹ –
'DUBLIN STATISTICS'
VERSION 3.0, JANUARY 2021**

¹ OJ L 199, 31.8.2007, p. 23-29

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INTRODUCTION

These new 'Dublin statistics' guidelines, v.3.0 of January 2021, replace the previous version 2.1 which was in application for the data collected for reference years of 2016 until 2020 inclusive.

These new guidelines will be applicable as of **2021 reference year** onwards and comply with Regulation 862/2007 as amended by [Regulation \(EU\) 2020/851](#).

The changes in these Guidelines compared with the previous guidelines (v.2.1 of March 2017) refer mainly to:

1. New mandatory disaggregation **by Sex**, introduced for reference period 2021 onwards.
2. New mandatory disaggregation **by type of applicant (Unaccompanied minor, Accompanied minor, Adult)**, introduced for reference period 2021 onwards.
3. Mandatory provision of '**Re-examination requests**' statistics, introduced for reference period 2021 onwards.
4. Amendment of concept 'Re-examination requests'.
5. Amendment of guidance on Unilateral Dublin decisions (dataset DUNI)
6. Minor clarification on concept of 'Transfers'
7. New Data Structure Definition (DSD) and data format for data transmission (SDMX-CSV)

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 principles²:

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 reported³**. 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.

² 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.

³ 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.

DISAGGREGATIONS

- Request (Request, Re-examination request).
- Legal Provision (list of take charge and take back provisions)
- Decision (Accepted, Refused, Sovereignty clause (Article 17.1), Responsibility by default: No prior criteria applicable (Article 3.2 first par.), Responsibility by default: No transfer (Article 3.2 first and second par.), Responsibility by default: Transfer not carried out within time limits (Article 29.2))
- Duration (From 1 to 6 months, From 7 to 12 months, From 13 to 18 months, 5 weeks or less, Over 5 weeks)
- Partner (list of EU+EFTA countries)
- Sex (Male, Female, Unknown)
- Applicant (Unaccompanied minor, Accompanied minor, Adult)

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 the request is accepted based on a different legal basis from the one on which the request was sent, Member States have to report their data based on the article (legal basis) on which the request is accepted.

As far it is possible, this applies also to the data on outgoing and incoming requests. In case the requests are submitted/received in a different reference year than the decision was taken, 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 instead it has entered its territory irregularly. Therefore, Member State Y accepts to take charge of that person, based on Art. 13(1). In such cases, both submitting and receiving countries may need to revise their initially reported data on requests accordingly (by subtracting that request from Art. 18.1.b and reporting it under Art. 13(1) instead).

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, including where the requested Member State failed to reply within the two week time limit set out in Article 5(2) of the Implementing Regulation and as interpreted by the CJEU in joint cases C-47/17 and C-48/17.

Family reunification cases:

In practice, it should not be excluded that in family reunification cases a Member State fails to reply to the re-examination request within the two-week time limit, but still sends a positive reply to the re-examination request after that time limit. Where this is the case, and it is in the interest of the persons concerned to continue the Dublin procedure (e.g. Family reunification procedure) and both Member States agree, then Member States may consider the late positive reply as an acceptance.

In such cases, the reporting should be as follows:

- If the requesting MS X has already reported the reply as a negative reply before receiving the acceptance, the reply should be corrected by reporting an acceptance instead.
- If the requesting MS X has not yet reported a negative reply, only the positive late reply should be reported (acceptance).
- If, for any reason, the transfer decision would at a later stage be overturned by the courts on the grounds that the acceptance was received too late, MS X should correct the reported positive reply (acceptance of re-examination request) by reporting a negative reply instead.

Some illustrative examples on the reporting of re-examination requests are presented below.

Example 1:

- Country X requests country Z to take charge of an applicant.
- country Z rejects explicitly the request
- on the basis of this first rejection, country X sends (within 3 weeks) a re-examination request to country Z
- country Z rejects explicitly the re-examination request (by replying within two weeks)

In this case the reporting should be as follows:

Country X:

- 1 outgoing take charge request to country Z (dataset RO)
- 1 outgoing re-examination request to country Z (dataset RO)
- 1 negative decision on outgoing Requests (dataset DO)
- 1 negative decision on outgoing Re-examination requests (dataset DO)

Country Z (the same but under the respective incoming requests):

- 1 incoming take charge request from country X (dataset RI)
- 1 incoming re-examination request from country X (dataset RI)
- 1 negative decision on incoming Requests (dataset DI)
- 1 negative decision on incoming re-examination requests (dataset DI)

Example 2:

- Country X requests country Z to take charge of an applicant.
- country Z rejects explicitly the request
- on the basis of this first rejection, country X sends (within 3 weeks) a re-examination request to country Z
- country Z does not reply within two weeks to the re-examination request

In this case the reporting should be as follows:

Country X:

- 1 outgoing take charge request to country Z (dataset RO)
- 1 outgoing re-examination request to country Z (dataset RO)
- 1 negative decision on outgoing Requests (dataset DO)
- 1 negative decision on outgoing Re-examination requests (dataset DO).

Country Z (the same but under the respective incoming requests):

- 1 incoming take charge request from country X (dataset RI)
- 1 incoming re-examination request from country X (dataset RI)
- 1 negative decision on incoming Requests (dataset DI)
- 1 negative decision on incoming re-examination requests (dataset DI)

TRANSFERS

Regarding the total number of **INCOMING transfers**, 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 the 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 another 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.

A transfer is also considered successful if the applicant otherwise travelled back to the Member State responsible on its own within the transfer time limits, without the national authorities organising the actual 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.

TYPE OF APPLICANT

This breakdown is collected from 2021 reference year onwards.

This concept intends to capture whether a minor applicant is *Unaccompanied* or *Accompanied* by an adult responsible for him/her.

"Minors" are defined in Article 2(k) of Directive 2011/95/EU as third-country nationals or stateless persons below the age of 18, while "unaccompanied minors" are defined in Article 2(1) as minors who arrive on the territory of the Member States unaccompanied by an adult responsible for them whether by law or custom, and for as long as they are not effectively taken into the care of such a person; it includes minors who are left unaccompanied after they have entered the territory of the Member State.

This complete disaggregation is broken down to the following categories:

- UAM – Unaccompanied minor

- AM – Accompanied minor
- ADULT - Adult
- UNK – Unknown

The first category UAM will cover any *unaccompanied* minor, while the second category AM will cover any minor who was *accompanied* by an adult responsible for him/her.

The category ADULT will be used for any person who is not a minor (i.e. for any adult person).

The category UNK shall be used only when no information is available at the time of the reporting on whether the person was an Unaccompanied or Accompanied minor.

The date that will be used to define whether a person will be classified as minor (unaccompanied or accompanied) or as an adult, shall be the date of the respective administrative event, i.e. the date at the time of request, decision or transfer.

The age of the applicant that is used for classifying the person as a minor or adult can be based either on the age claimed by the applicant or the age determined by the competent asylum authorities, according to Member States practices, at the date of the respective administrative event, i.e. the date at the time of request, decision or transfer. In all instances, the classification of the person as adult, minor, or unaccompanied minor by the reporting country must be made according to the situation at the date of the respective administrative event each time.

Example: a person was a (accompanied) minor at the time of lodging of the application and at the time of the 'Dublin' request, but at the time of the transfer that person was not a minor anymore. In such case, this person must be reported as minor in the data on requests (category AM) but in the transfers data this person shall be reported as an adult (category ADULT) and not a minor anymore.

DATA TRANSMISSION AND FORMAT

For all regular data transmissions including annual data collection on Article 4.4, only the Single Entry Point ([Edamis](#)⁴) can be used for supplying data to Eurostat.

At the 2019 Asylum and Managed Migration Working Group, Eurostat announced the implementation of the SDMX-CSV format for data transmission from 2021 reference year and onwards. Therefore, only the latest SDMX-CSV format should be used for the transmission of data from 1st of January 2022 onwards as mandatory data transmission format.

To ensure that all data providers are able to generate the SDMX-CSV files at the national level, Eurostat provides the CSV exporting functionality (embedded macros / radio buttons) for all tables in Excel templates. The CSV specification and EXCEL templates are available on [CIRCABC](#)⁵.

⁴ <https://webgate.ec.europa.eu/edamis/>

⁵ https://circabc.europa.eu/ui/group/1977c9be-d5af-452a-9bf4-3b5e888fa35d/library/36115cb3-39c3-4198-a894-a3905269a286?p=1&n=10&sort=modified_DESC.

DATA VALIDATION

The validation rules for Dublin statistics have recently been endorsed by the Asylum and Managed Migration Working Group of 2016 and 2018. These rules represent a basic set of rules for checking the internal consistency of the files, the trend of the data compared with the previous year, the size and sign of revised data, as well as the detection of potential outliers.

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

As from reference year 2021 onwards, the reporting of Dublin statistics takes place in textual Comma Separated Values (CSV) files, which are compliant with the SDMX standard. Any incoming dataset to Eurostat is automatically validated with STRUVAL (STRUctural VALidation) and CONVAL (CONtent VALidation) applications, for their correct structure and content respectively.

Member States must apply the initial validation checks of the Dublin statistics before providing data to Eurostat. These validation checks shall ensure the internal consistency of the datasets at the level of each aggregation, consistency of data between relevant tables as well as consistency of the data between different reporting periods. Eurostat will provide a list of such validation checks in a separate technical document.

The following general approach is applied to any incoming file to Eurostat:

Incoming datasets that fail to pass the validation according to the rules agreed by the Working Group (i.e. in case of presence of “ERROR” or “FATAL ERROR”) are REFUSED and are not recognised as an official data transmission.

In exceptional situations, when a national data provider can duly justify the non-compliance with the validation rules, Eurostat may accept such transmission. In this case, the national data provider is required to provide Eurostat with a written (email) justification specifying the exact reasons for non-compliance with the validation rules.

The automated validation reports, available to data providers via eDAMIS, contain results of the validation rules (e.g. the rule that compares a current data transmission and the data that is already present in the Eurostat database).

National data providers have the responsibility to ensure the provision of validated (ERROR-FREE) data to Eurostat and to consult the validation report provided by Eurostat in EDAMIS.

Finally, Eurostat applies also further validation procedures to assess the quality of the transmitted data. This includes among others the analysis of mirror statistics to detect asymmetries between the incoming and the outgoing Dublin statistics for pairs of countries.

QUALITY STANDARDS

Data providers should assure the data quality of the statistics sent to Eurostat. There is also an obligation to provide to Eurostat the information on the data quality for the statistics sent. Article 9 of the Migration Statistics Regulation refers to several aspects of the data quality:

“9.1a. Member States shall take the measures necessary to ensure the quality of the data and metadata transmitted under this Regulation.

9.1b. The quality criteria listed in Article 12(1) of Regulation (EC) No 223/2009 of the European Parliament and of the Council⁶ shall apply for the purposes of this Regulation.

9.2 Member States shall report to the Commission (Eurostat), in the form of quality reports, on the data sources used, the reasons for the selection of those sources, the effects of the selected data sources on the quality of the statistics, the technical and organisational measures used to ensure the protection of personal data and the estimation methods used, and shall keep the Commission (Eurostat) informed of any changes thereto.

9.3. At the request of the Commission (Eurostat), Member States shall provide it with the necessary additional clarification to evaluate the quality of the statistical information.

9.4. Member States shall inform the Commission (Eurostat) without delay of any revisions or corrections to the statistics supplied under this Regulation, of any changes in the methods and data sources used, and of any relevant information or change with regard to the implementation of this Regulation that could influence the quality of the data transmitted.”

NATIONAL METADATA (EXPLANATORY TEXTS)

Reference metadata describe statistical concepts and methodologies used for the collection and generation of data, and provide information on the quality of the data for the statistics reported to Eurostat. More information on metadata and standards used by Eurostat is available online in the following link: <https://ec.europa.eu/eurostat/data/metadata>.

Eurostat uses the [ESS-Metadata Handler](#) tool for collecting, storing and disseminating the reference metadata information. From 2020 reference year onwards, Member States have to fill in their national metadata information/file on the [ESS-Metadata Handler](#). The national metadata files are disseminated online on the Eurostat database together with the statistical data⁷.

⁶ Regulation (EC) No 223/2009 of the European Parliament and of the Council of 11 March 2009 on European statistics and repealing Regulation (EC, Euratom) No 1101/2008 of the European Parliament and of the Council on the transmission of data subject to statistical confidentiality to the Statistical Office of the European Communities, Council Regulation (EC) No 322/97 on Community Statistics, and Council Decision 89/382/EEC, Euratom establishing a Committee on the Statistical Programmes of the European Communities ([OJ L 87, 31.3.2009, p. 164](#)).

⁷ https://ec.europa.eu/eurostat/cache/metadata/en/migr_dub_esms.htm

The provision of the national metadata information to Eurostat is mandatory and it is the responsibility of the Member States to maintain accurate and up-to-date metadata information for Dublin statistics.

The accurate metadata availability is a critical aspect for the statistical users and it is a matter of compliance to the legal framework governing the Eurostat statistics.

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

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 19 SDMX-CSV datasets countries have to provide to Eurostat as of 2021 reference year.

For an overview of the collected statistics based on the Excel templates, please see Annex 2.

From 2021 reference year onwards, some indicators are further broken down by sex and by status of minor (accompanied, unaccompanied) in line with the provisions of Regulation 862/2007 as amended by [Regulation \(EU\) 2020/851](#).

Table 1 Datasets of Dublin data collection, 2021 reference year onwards

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

For the complete specification of each dataset (codelists, structure, format), please consult the file 'DUBLIN_STATISTICS_DATA_STRUCTURE_DEFINITION_2021_REF_DATA.xlsx' on [CIRCABC](#).

1. RI - INCOMING 'DUBLIN' REQUESTS BY SUBMITTING COUNTRY (PARTNER), TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any incoming request received by the reporting country to take charge of or to take back an applicant, which was submitted by all other partner countries during the reference year.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Type of Request (REQUEST):
 - o Request
 - o Re-examination request
- Legal Provision (LEG_PROV):
 - o Total
 - o Take charge request
 - o Take charge request - family criteria (articles 8, 9, 10, 11)
 - o Take charge request - minors where a family member is legally present (article 8)
 - o Take charge request - family members who are beneficiaries of international protection (article 9)
 - o Take charge request - family members who are applicants for international protection (article 10)
 - o Take charge request - family procedure (article 11)
 - o Taking charge request - documentation and legal entry criteria (articles: 12.1, 12.2, 12.3, 12.4, 14)
 - o Take charge request - valid residence document (article 12.1)
 - o Take charge request - valid visa (article 12.2)
 - o Take charge request - more than one valid residence document (article 12.3)
 - o Take charge request: residence document expired (article 12.4)
 - o Take charge request - visa waived entry (article 14)
 - o Take charge request - application in an international transit area of an airport (article 15)
 - o Take charge request - irregular entry (article 13.1)
 - o Take charge request - irregular stay (article 13.2)
 - o Take charge request- dependent persons (article 16)
 - o Take charge request - humanitarian criteria (article 17.2)
 - o Take charge request - criteria unknown
 - o Take back request (articles: 18.1.b, 18.1.c, 18.1.d, 20.5)
 - o Take back request – present without residence document or lodged new application in another Member State after withdrawing the first application made in a different Member State during the 'Dublin' procedure (article 20.5)
 - o Take back request – application under examination when lodging new application or present without a residence document in another Member State (article 18.1.b)
 - o Take back request – withdrawal of application under examination and new application lodged or present without residence document in another Member State (article 18.1.c)
 - o Take back request - rejection in another Member State and new application lodged or present without residence document (article 18.1.d)
 - o Take back request - criteria unknown,
 - o Unknown
- Sex (SEX) :

- Male
- Female
- Unknown
- Type of applicant (APPLICANT):
 - Unaccompanied minor
 - Accompanied minor
 - Adult
 - Unknown

2. RO – OUTGOING 'DUBLIN' REQUESTS BY RECEIVING COUNTRY (PARTNER), TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any outgoing request to take charge of or to take back an applicant sent by the reporting country to all other partner countries during the reference year.

Disaggregations: same as dataset RI

3. REDACI - INCOMING 'DUBLIN' REQUESTS BASED ON EURODAC BY SUBMITTING COUNTRY (PARTNER), TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any incoming request received by the reporting country during the reference year to take charge of or to take back an applicant, which was submitted by all other partner countries and which was based on a Eurodac hit.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Type of Request (REQUEST):
 - Request
 - Re-examination request
- Legal Provision (LEG_PROV):
 - Take charge request
 - Take back request
 - Unknown
- Sex (SEX) :
 - Male
 - Female
 - Unknown
- Type of Applicant (APPLICANT):
 - Unaccompanied minor
 - Accompanied minor
 - Adult
 - Unknown

4. REDACO – OUTGOING 'DUBLIN' REQUESTS BASED ON EURODAC BY RECEIVING COUNTRY (PARTNER), TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any outgoing request sent by the reporting country during the reference year to take charge of or to take back an applicant, which was sent to any other partner country and which was based on a Eurodac hit.

Disaggregations: same as dataset REDACI

5. RPENI - PENDING 'DUBLIN' INCOMING REQUESTS BY SUBMITTING COUNTRY (PARTNER), TYPE OF REQUEST, SEX AND TYPE OF APPLICANT

This indicator covers any incoming request received by the reporting country to take charge of or to take back an applicant, which was submitted by all other partner countries during the reference year and to which a response (decision) is pending at the end of the reference year.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Type of Request (REQUEST):
 - o Request
 - o Re-examination request
- Sex (SEX) :
 - o Male
 - o Female
 - o Unknown
- Type of applicant (APPLICANT):
 - o Unaccompanied minor
 - o Accompanied minor
 - o Adult
 - o Unknown

6. RPENO - PENDING 'DUBLIN' OUTGOING REQUESTS BY RECEIVING COUNTRY (PARTNER), TYPE OF REQUEST, SEX AND TYPE OF APPLICANT

This indicator covers any outgoing request sent by the reporting country to take charge of or to take back an applicant, which was sent to all other partner countries during the reference year and to which a response (decision) is pending at the end of the reference year.

Disaggregations: same as dataset RPENI

7. RINFI - INCOMING 'DUBLIN' REQUESTS FOR INFORMATION BY SUBMITTING COUNTRY (PARTNER), LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any incoming request for information received by the reporting country, which was submitted by all other partner countries during the reference year.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Legal provision (LEG_PROV):

- Request for information - general criteria (article 34.5)
- Request for information - family of unaccompanied minors (articles 6.5 and 8.6)
- Request for information - family of dependent persons (article 16.4)
- Sex (SEX) :
 - Male
 - Female
 - Unknown
- Type of applicant (APPLICANT):
 - Unaccompanied minor
 - Accompanied minor
 - Adult
 - Unknown

8. RINFO – OUTGOING 'DUBLIN' REQUESTS FOR INFORMATION BY RECEIVING COUNTRY (PARTNER), LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any outgoing request for information which was sent by the reporting country to all other partner countries during the reference year.

Disaggregations: same as dataset RINF1

9. RESI - INCOMING RESPONSES TO 'DUBLIN' REQUESTS FOR INFORMATION BY SUBMITTING COUNTRY (PARTNER), LEGAL PROVISION, DURATION OF RESPONSE, SEX AND TYPE OF APPLICANT

This indicator covers any incoming response to requests for information received by the reporting country, which was submitted by all other partner countries during the reference year.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Legal provision (LEG_PROV):
 - Request for information - general criteria (article 34.5)
 - Request for information - family of unaccompanied minors (articles 6.5 and 8.6)
 - Request for information - family of dependent persons (article 16.4)
- Duration of response (DURATION):
 - 5 weeks or less
 - Over 5 weeks
 - Unknown
- Sex (SEX) :
 - Male
 - Female
 - Unknown
- Type of applicant (APPLICANT):
 - Unaccompanied minor
 - Accompanied minor
 - Adult
 - Unknown

10. RESO – OUTGOING RESPONSES TO 'DUBLIN' REQUESTS FOR INFORMATION BY RECEIVING COUNTRY (PARTNER), LEGAL PROVISION, DURATION OF RESPONSE, SEX AND TYPE OF APPLICANT

This indicator covers any outgoing response to requests for information sent by the reporting country to all other partner countries during the reference year.

Disaggregations: same as dataset RESI

11. DUNI – UNILATERAL 'DUBLIN' DECISIONS BY PARTNER COUNTRY, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This table covers four types (indicators) of unilateral decisions taken by the reporting country during the reference year, in relation to all other Member States or 'Not applicable' country (if no country can be identified as responsible).

Each of these type of unilateral decision is independent from each other and is collected based on a specific legal provision of the Dublin Regulation.

1. **Sovereignty/Discretionary clause (Art. 17.1)**

This indicator will cover all cases where Article 17.1 was applied during the reference year.

It needs to be noted that Art. 17.1 can be applied during any time of the Dublin procedure. That is:

- Before a request is sent
- After a request is sent, but before a decision on the request is taken
- After a positive decision on the request is issued (to take back/charge a person), but before the physical transfer takes place
- After the formal decision to transfer the person is issued by the requesting Member State
- After the transfer took place

Art. 17.1 cannot be applied after an outgoing request (to take back/charge a person) is rejected. Since the rejection of a request is based on another legal basis, the responsibility may be on the requesting Member State for another reason than the discretionary clause (Art. 17.1).

For example, Germany is the country of first application for a person. This person has visa issued by Italy. Germany requests Italy to take charge of it, but Italy rejects the request because the visa is false as it was not issued by Italy. In this case Germany may become responsible based on Art. 3.2 1st paragraph if no other Dublin criteria apply and not under Art. 17.1.

2. **Art. 3.2 first paragraph – Responsibility by default: No prior criteria applicable**

According to article 3.2. 1st paragraph:

“Where no Member State responsible can be designated on the basis of the criteria listed in this Regulation, the first Member State in which the application for international protection was lodged shall be responsible for examining it.”

Therefore this indicator will cover any applicant for which the Dublin criteria do not apply. This means any person who applied for protection in the reporting country, as a first Member State of application, and for whom no Dublin criteria applied for him/her to be taken charge of by another Member State.

More specifically, it will cover any applicant for which either no request was sent to other countries because no Dublin criteria applied at the first place, or if a request was sent it was rejected as it was proved a posteriori that the Dublin criteria did not apply (e.g. cases for which a request was indeed sent based on certain available information at the time of the request, but which was later proven not to be accurate, hence the request is rejected).

Persons who did not apply for protection in the reporting country but for which the reporting country sent a Dublin request to another partner country to take him/her back because the person lodged the first application there, are not relevant and shall not be reported under this indicator.

Example (for illustrative purposes)

- In 2018 Germany recorded 300 000 asylum applicants.
- Germany sent a request to other Member States to take charge 50 000 of these applicants.
- 45 000 out of 50 000 requests were accepted by the requested Member States.
- The remaining 5 000 of these requests were rejected and no other Dublin criteria apply.

Germany should report the following:

- 50 000 outgoing 'Dublin' requests (dataset RO)
- 45 000 accepted Dublin requests (dataset DO)
- 5 000 rejected Dublin requests (dataset DO), for which no other criteria applied
- and 255 000 persons under category Art. 3.2 1st paragraph (dataset DUNI, LEG_PROV=RESPD_32A).

The last figure for Article 3.2 1st paragraph consists of the 250 000 applicants for whom no Dublin criteria applied at the first place (no Dublin request was sent), plus the 5 000 rejected requests for which no Dublin criteria apply.

The numbers for a given reference year may not add up perfectly as in the example, since an application can be lodged at the end of the calendar year, but the final event (conclusion that the criteria are not applicable or rejection of the take charge request) will be only available in the next calendar year.

Countries shall report only the cases for which information about the "no Dublin criteria apply" is available at the time of the reporting.

When more cases become available in the following calendar year, countries must revise the data backwards to include all the available cases under this indicator.

3. Art. 3.2 2nd and 3rd paragraph - No transfer due to flaws in asylum procedure in the partner country

This category of unilateral decision will cover all persons who were not transferred to the partner country due to application of Article 3.2 2nd and 3rd paragraph of the Dublin Regulation.

4. Article 29.2 - transfer not implemented within the foreseen time limits.

This category will cover all transfers that could not be implemented (whatever the reason) within the foreseen time limits. In such case, according to Article 29.2 the reporting country will be responsible to examine the application of that person.

Cases of shifting of responsibility as result of non-implementation of the transfer (Article 29.2), shall not be reported under dataset 'Outgoing pending transfers' - TPENO.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries + Not applicable
- Legal provision (LEG_PROV):
 - o Application of the sovereignty clause (article 17.1)
 - o Member State to become responsible by default (Total)
 - o Member State to become responsible by default - existing criteria not applicable (article 3.2 first par.)
 - o Member State to become responsible by default - transfer impossible due to flaws in reception conditions (article 3.2 second and third par.)
 - o Member State to become responsible by default - transfer not carried out within time limits (article 29.2)
- Sex (SEX):
 - o Male
 - o Female
 - o Unknown
- Type of applicant (APPLICANT):
 - o Unaccompanied minor
 - o Accompanied minor
 - o Adult
 - o Unknown

12. DI - DECISIONS ON INCOMING 'DUBLIN' REQUESTS BY SUBMITTING COUNTRY (PARTNER), TYPE OF DECISION, TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any decision issued by the reporting country during the reference year on incoming requests submitted by all other partner countries.

Positive decisions accepting a request implicitly must also be covered.

Take Charge requests accepted implicitly (Art. 22.7) should be counted under the same category used by the requesting Member State. Take Back Requests accepted implicitly (Art. 25.2) must be counted under the same category used by the requesting Member State.

The legal ground (LEG_PROV) which has to be filled in case of rejection is the one which has been used in the request.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Type of Decision (DECISION):

- Positive (request accepted)
 - Negative (request rejected)
- Type of Request (REQUEST):
 - Request
 - Re-examination request
- Legal Provision (LEG_PROV):
 - Total
 - Take charge request
 - Take charge request - family criteria (articles 8, 9, 10, 11)
 - Take charge request - minors where a family member is legally present (article 8)
 - Take charge request - family members who are beneficiaries of international protection (article 9)
 - Take charge request - family members who are applicants for international protection (article 10)
 - Take charge request - family procedure (article 11)
 - Taking charge request - documentation and legal entry criteria (articles: 12.1, 12.2, 12.3, 12.4, 14)
 - Take charge request - valid residence document (article 12.1)
 - Take charge request - valid visa (article 12.2)
 - Take charge request - more than one valid residence document (article 12.3)
 - Take charge request: residence document expired (article 12.4)
 - Take charge request - visa waived entry (article 14)
 - Take charge request - application in an international transit area of an airport (article 15)
 - Take charge request - irregular entry (article 13.1)
 - Take charge request - irregular stay (article 13.2)
 - Take charge request- dependent persons (article 16)
 - Take charge request - humanitarian criteria (article 17.2)
 - Take charge request - criteria unknown
 - Take back request (articles: 18.1.b, 18.1.c, 18.1.d, 20.5)
 - Take back request – present without residence document or lodged new application in another Member State after withdrawing the first application made in a different Member State during the 'Dublin' procedure (article 20.5)
 - Take back request – application under examination when lodging new application or present without a residence document in another Member State (article 18.1.b)
 - Take back request – withdrawal of application under examination and new application lodged or present without residence document in another Member State (article 18.1.c)
 - Take back request - rejection in another Member State and new application lodged or present without residence document (article 18.1.d)
 - Take back request - criteria unknown,
 - Unknown
- Sex (SEX):
 - Male
 - Female
 - Unknown
- Type of applicant (APPLICANT):
 - Unaccompanied minor
 - Accompanied minor
 - Adult
 - Unknown

13. DO - DECISIONS ON OUTGOING 'DUBLIN' REQUESTS BY RECEIVING COUNTRY (PARTNER), TYPE OF DECISION, TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any decision issued by all other partner countries during the reference year on outgoing requests sent by the reporting country.

Positive decisions accepting a request implicitly must also be covered.

Take Charge requests accepted implicitly (Art. 22.7) should be counted under the same category used by the requesting Member State. Take Back Requests accepted implicitly (Art. 25.2) must be counted under the same category used by the requesting Member State.

The legal ground (LEG_PROV) which has to be filled in case of rejection is the one which has been used in the request.

Disaggregations: same as dataset DI

14. DEDACI - DECISIONS ON INCOMING 'DUBLIN' REQUESTS BASED ON EURODAC BY SUBMITTING COUNTRY (PARTNER), TYPE OF DECISION, TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any decision issued by the reporting country during the reference year on incoming requests submitted by all other partner countries that was based on a Eurodac hit.

Positive decisions accepting a request implicitly must also be covered.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Type of Decision (DECISION):
 - o Positive (request accepted)
 - o Negative (request rejected)
- Type of Request (REQUEST):
 - o Request
 - o Re-examination request
- Legal Provision (LEG_PROV):
 - o Take charge request
 - o Take back request
 - o Unknown
- Sex (SEX) :
 - o Male
 - o Female
 - o Unknown
- Type of applicant (APPLICANT):
 - o Unaccompanied minor
 - o Accompanied minor
 - o Adult
 - o Unknown

15. DEDACO - DECISIONS ON OUTGOING 'DUBLIN' REQUESTS BASED ON EURODAC BY RECEIVING COUNTRY (PARTNER), TYPE OF DECISION, TYPE OF REQUEST, LEGAL PROVISION, SEX AND TYPE OF APPLICANT

This indicator covers any decision issued by all other partner countries during the reference year on outgoing requests sent by the reporting country that was based on a Eurodac hit.

Positive decisions accepting a request implicitly must also be covered.

Disaggregations: same as dataset DEDACI

16. TI - INCOMING 'DUBLIN' TRANSFERS BY SUBMITTING COUNTRY (PARTNER), LEGAL PROVISION, DURATION, SEX AND TYPE OF APPLICANT

This indicator covers any incoming transfer effectively carried out from any partner country to the reporting country during the reference year.

In case of different legal basis between the request and the positive decision to accept the responsibility to examine the application, Member States shall report the legal ground (LEG_PROV) on which the decision (acceptance of request) was based on.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Legal Provision (LEG_PROV):
 - o Total
 - o Take charge request
 - o Take charge request - family criteria (articles 8, 9, 10, 11)
 - o Take charge request - minors where a family member is legally present (article 8)
 - o Take charge request - family members who are beneficiaries of international protection (article 9)
 - o Take charge request - family members who are applicants for international protection (article 10)
 - o Take charge request - family procedure (article 11)
 - o Taking charge request - documentation and legal entry criteria (articles: 12.1, 12.2, 12.3, 12.4, 14)
 - o Take charge request - valid residence document (article 12.1)
 - o Take charge request - valid visa (article 12.2)
 - o Take charge request - more than one valid residence document (article 12.3)
 - o Take charge request: residence document expired (article 12.4)
 - o Take charge request - visa waived entry (article 14)
 - o Take charge request - application in an international transit area of an airport (article 15)
 - o Take charge request - irregular entry (article 13.1)
 - o Take charge request - irregular stay (article 13.2)
 - o Take charge request- dependent persons (article 16)
 - o Take charge request - humanitarian criteria (article 17.2)
 - o Take charge request - criteria unknown
 - o Take back request (articles: 18.1.b, 18.1.c, 18.1.d, 20.5)

- Take back request – present without residence document or lodged new application in another Member State after withdrawing the first application made in a different Member State during the 'Dublin' procedure (article 20.5)
- Take back request – application under examination when lodging new application or present without a residence document in another Member State (article 18.1.b)
- Take back request – withdrawal of application under examination and new application lodged or present without residence document in another Member State (article 18.1.c)
- Take back request - rejection in another Member State and new application lodged or present without residence document (article 18.1.d)
- Take back request - criteria unknown,
- Unknown
- Duration (DURATION):
 - From 1 to 6 months
 - From 7 to 12 months
 - From 13 to 18 months
 - Unknown
- Sex (SEX) :
 - Male
 - Female
 - Unknown
- Type of applicant (APPLICANT):
 - Unaccompanied minor
 - Accompanied minor
 - Adult
 - Unknown

17. TO – OUTGOING 'DUBLIN' TRANSFERS BY RECEIVING COUNTRY (PARTNER), LEGAL PROVISION, DURATION, SEX AND TYPE OF APPLICANT

This indicator covers any outgoing transfer effectively carried out from the reporting country to all partner countries during the reference year.

In case of different legal basis between the request and the positive decision to accept the responsibility to examine the application, Member States shall report the legal ground (LEG_PROV) on which the decision (acceptance of request) was based on.

Disaggregations: same as dataset TI

18. TPENI - INCOMING 'DUBLIN' TRANSFERS PENDING AT THE END OF THE REFERENCE YEAR BY SUBMITTING COUNTRY (PARTNER), SEX AND TYPE OF APPLICANT

This indicator covers any incoming transfer that is pending to be carried out from any partner country to the reporting country at the end of the reference year.

It will cover any person whose transfer was accepted by the reporting country, but still not effectively carried out by the partner country.

Cases where the partner country did not implement the transfer within the foreseen time limits (Article 29.2) shall not be reported under dataset 'Incoming pending transfers' – TPENI by the reporting country.

Disaggregations:

- Partner country (PARTNER): list of EU + EFTA countries
- Sex (SEX) :
 - o Male
 - o Female
 - o Unknown
- Type of applicant (APPLICANT):
 - o Unaccompanied minor
 - o Accompanied minor
 - o Adult
 - o Unknown

19. TPENO – OUTGOING 'DUBLIN' TRANSFERS PENDING AT THE END OF THE REFERENCE YEAR BY RECEIVING COUNTRY (PARTNER), SEX AND TYPE OF APPLICANT

This indicator covers any outgoing transfer that is pending to be carried out from the reporting country to any partner country at the end of the reference year.

It will cover any person whose transfer was accepted by the partner country, but still not effectively carried out by the reporting country.

Cases where the reporting country did not implement the transfer within the foreseen time limits (Article 29.2) shall not be reported under dataset 'Outgoing pending transfers' – TPENO by the reporting country.

Disaggregations: same as dataset TPENI

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. REQUESTED STATISTICS – EXCEL TEMPLATES

The following overview of the requested statistics is based on the 3 Excel templates (Incoming Dublin statistics, Outgoing Dublin statistics and Unilateral Dublin decisions) and is meant to help data providers using the Excel templates to create the SDMX-CSV datasets for transmission

The information presented in the section below refers to the Excel templates of reference year 2020 (version 2.1 of Technical Guidelines). Eurostat will update the section below with the information from the latest Excel templates for the 2021 reference data when the Excel templates for the creation of the SDMX-CSV 2021 data will be ready.

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 Regulation⁸:

- 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 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 Regulation⁹:

- 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)
-

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

- 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 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 Regulation¹⁰:

- 6.2.0 Total Family reasons (Art. 8, 9, 10, 11)
 - 6.2.1 Art. 8 – Family reasons
-

¹⁰ Clarification: The legal ground, which has to be filled in case of rejection is the one which has been used in the request.

- 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 Regulation¹¹:

- 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 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 Regulation¹²:

- 7.2.0 Total Family reasons (Art. 8, 9, 10, 11)
- 7.2.1 Art. 8 – Family reasons

¹¹ Idem

¹² 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.

- 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 Regulation¹³:

- 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 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

¹³ Idem

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 Regulation¹⁴:

- 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

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

- 3.2.12 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

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

- 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

¹⁵ Idem

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

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 Regulation¹⁶:

- 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

¹⁶ Clarification: The legal ground, which has to be filled in case of rejection is the one which has been used in the request.

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 Regulation¹⁷:

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

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 Regulation¹⁸:

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

¹⁷ Idem

¹⁸ 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.

- 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 Regulation¹⁹:

- 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

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

¹⁹ Idem

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).

ANNEX 3. 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 detection²⁰ – WARNING if ERROR

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.

Eurostat carries out each year an analysis on the asymmetries of bilateral mirror statistics between groups of countries in order to find inconsistencies in the reported data. In cases of inconsistencies, countries are asked to confirm/revise their data accordingly.

VALIDATION LEVEL 4

This level of validation could be defined as plausibility or consistency checks between two statistical domains. This level of validation is applied on ad-hoc basis for Dublin statistics, whenever there is need to confirm the data against the reported Asylum 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 checking discrepancies between the data collected by Eurostat and those collected by EASO.

On ad-hoc basis, Eurostat checks the data against similar published data by EASO and contacts countries if necessary (in case of large discrepancies).

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

²⁰ 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.

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