

ANNUAL STATISTICAL REPORT (ASR)

1. Introduction

- 1.1 Accurate and up-to-date statistics on the population of concern to UNHCR are required first and foremost for planning, monitoring and evaluation purposes, and for official reporting to UNHCR's Executive Committee, to ECOSOC, in the context of the Global Report, etc. Statistics are also required to satisfy general information needs from the UN common system (for instance the Common Country Assessments), donors, NGOs, for public information purposes, fund raising/appeals, speeches, research, maps, etc¹. This section provides information on the type and frequency of the population data to be reported to Headquarters and the procedures, guidelines and formats to be followed.
- 1.2 The "population of concern" to UNHCR is the central focus of all programme planning. It is therefore important that population trends and patterns, major changes, and significant discrepancies between different reporting parties are reported through the appropriate statistical formats (see below). More importantly, this information should be analysed and, where possible, explained in the appropriate narrative format (cover e-mail for the submission of the Annual or Mid-Year Statistical Report, Country Report, etc.). For instance, an analysis by sex and age may reveal a disproportionate presence of older female refugees requiring an adjustment of the programme.

2. Accuracy and consistency

- 2.1 Statistics represent an important tool for planning, monitoring and evaluation, at both the field and Headquarters levels. When consistently recorded and developed over time, they provide an important and practical yardstick for tracking progress against objectives and for identifying trends and changes in numbers and habits (for example, school attendance rising/falling etc.). The statistics reported to Headquarters are also crucial to the compilation of many reports that are carefully read and utilized both by UNHCR and by donors. Donors use the statistics in their efforts to build and maintain their own domestic support for continued funding and advocacy. Therefore, all efforts should be made to gather the information and complete the Annual and Mid-Year Statistical Reports as carefully and accurately as possible. Particular attention should be paid to the Annual Statistical Report (ASR) as this is used for numerous internal and external publications, databases, reports and external information requests. Where possible, verified registration data, for example data contained in *proGres*, should be the starting point for calculation of the ASR for each country operation.
- 2.2 All statistics provided for internal or external use should be based on statistics reported through the Annual Statistical Report and the Mid-Year Statistical Report (MYSR). This includes all figures used in ExCom reports, Operations Plans, and Country Reports, implementing instruments, documentation for funding appeals, public information activities, maps, etc. Emergencies are an exception because reporting frequency is usually much higher - generally weekly. *The ASR and MYSR are the only official sources for statistical reporting within UNHCR.* By adhering to the use of the ASR and MYSR as the **only** official sources for statistics, the necessary consistency can be maintained in documentation issued by the various Headquarters Units and the Field.

¹ Consult the UNHCR website at www.unhcr.org for additional information.

2.3 Statistics cover both protection and assistance activities, and they have a significant external relations function. It is therefore imperative that the statistics are compiled in close consultation with the various sections of the Country Office, and that any inconsistencies are resolved, *before* they are submitted to Headquarters.

3. The use of standard terminology in narrative reporting

3.1 One of the main challenges facing the Office in the area of statistics is the use of non-standard concepts and terminology to describe the population of concern to UNHCR. When drafting texts concerning refugees and others of concern to UNHCR, special attention should, therefore, be paid to the *proper use of the standard terminology*, as provided in this Section. The concepts and terminology used on the forms of the MYSR and ASR should also be applied in all narrative reporting on statistics.

3.2 Particular attention should be paid to the following subjects and the specific terminology mentioned:

a) Population of concern. Each statistical narrative should be clear about the type of population of concern to UNHCR. Seven main types are distinguished:

- **Refugees**, i.e. refers to persons recognized by the Government and/or UNHCR, including (a) persons recognized as refugees by Governments having ratified the *1951 United Nations Convention Relating to the Status of Refugees*, and/or its *1967 Protocol*; (b) persons recognized as refugees under the *1969 Organization of African Unity (OAU) Convention Governing the Specific Aspects of Refugee Problems in Africa*; (c) those recognized in accordance with the principles enshrined in the *Cartagena Declaration*; (d) persons recognized by UNHCR as refugees in accordance with its Statute (otherwise referred to as “mandate” refugees); (e) those who have been granted a complementary form of protection (i.e. non-Convention); and (f) persons who have been granted temporary protection on a group basis. Since 2007, the refugee population category includes *persons in a refugee-like situation*. This sub-category is descriptive in nature and includes persons or groups of persons who are outside their country or territory of origin and who face protection risks similar to those of refugees, but who, for practical or other reasons, have not been formally recognized or issued documentation to that effect. The total refugee population is derived by adding up the categories “refugees” and “people in refugee-like situations”.
- **Asylum-seekers**, i.e. persons who have applied for asylum or refugee status, but who have not yet received a final decision on their application;
- **Returned refugees**, i.e. are former refugees who have returned to their country of origin spontaneously or in an organized fashion but are yet to be fully integrated. Such return would normally only take place in conditions of safety and dignity. For statistical purposes, a maximum cut-off period of one calendar year (12 months) is applied;
- **Internally displaced persons (IDPs) protected/assisted by UNHCR**, i.e. persons who are displaced within their own country and who benefit from UNHCR’s protection or assistance activities, either directly or as part of a United Nations Country Team (UNCT) collaborative response in which UNHCR participates.

Since 2007, the IDP population category includes *people in IDP-like situations*. This sub-category is descriptive in nature and includes groups of persons who are inside their country of nationality or habitual residence and who face protection risks similar to those of IDPs but who, for practical or other reasons, could not be reported as such.

The total IDP population protected/assisted by UNHCR is derived by adding up the categories “IDPs protected/assisted by UNHCR” and “people in IDP-like situations”.

- **Returned IDPs**, i.e. are former IDPs who have returned to their place of origin spontaneously or in an organized fashion but are yet to be fully integrated. Such return would normally only take place in conditions of safety and dignity. For statistical purposes, a maximum cut-off period of one calendar year (12 months) is applied, i.e. only those who have returned between 1 January and 31 December should be reported.
 - **Persons of concern under UNHCR’s statelessness mandate**, i.e. refers to (a) persons who are not considered as nationals by any State under the operation of its law as per Article 1 of the *1954 Convention Relating to the Status of Stateless Persons*, (b) *de facto* stateless persons as well as (c) persons with undetermined nationality (see page 17 for detailed guidance). UNHCR offices should conduct a desk review of all available statistical information on the populations in the country mentioned above. Many States do not have mechanisms in place to efficiently identify stateless individuals. When such procedures exist, UNHCR should quote State sources but the Office should also indicate whether they reflect other findings of the desk review. If such mechanisms do not exist, UNHCR should be pro-active in identifying all possible sources which can provide reliable estimates; and
 - **Other persons of concern**, i.e. refers to individuals who do not necessarily fall directly into any of the groups above but to whom UNHCR has been given a mandate to provide protection and/or assistance (e.g. based on regional documents, peace agreements, General Assembly resolutions). Persons with whom UNHCR is engaged purely on a good offices basis, such as, for instance, rejected asylum-seekers, should not be included.
- b) Women, children², including adolescents, youth³, older persons⁴, etc. Statements such as “x per cent of the population are women and children” should be avoided. First, there is no reason to combine these two different population groups (not all women and children have specific needs). Second, providing a percentage on women or children refugees is very confusing if the age groups are not specified. Thus, when a text quantifies the number of refugee “women”, “children”, including “adolescents”, “youth” or “older persons”, the precise age groups must be specified as they influence programme content.
- c) Reconciliation of voluntary repatriation and returnee statistics. One major source of discrepancies is the lack of reconciliation of voluntary repatriation statistics between

² A child means every person under the age of 18 years, “unless, under the law applicable to the child, majority is attained earlier.” (article 1, Convention on the Rights of the Child).

³ Youth has been defined as persons between the ages of 15-24 years (as per the definition used by UNICEF, UNFPA and WHO).

⁴ The definition of an older person adopted by WHO is a person over 60 years of age. However, in the application of UNHCR’s policy on older refugees, factors such as life expectancy and cultural norms that differ from region to region are taken into account.

UNHCR Offices in countries of asylum and the returnee statistics as reported by Offices in the country of origin (return). Every effort should be made to reconcile these statistics *before* these statistics are reported to Headquarters.

- d) The use of defined and standard reporting periods. The use of clearly defined and standardized reporting periods is important for developing coherent time-sequenced series of data and in the narrative reporting of statistics. For instance, there is little use in reporting on refugee returns if the reporting period is not clearly indicated. Reporting by calendar month and/or quarter of year is strongly encouraged.
- e) UNHCR-assisted. The term “assistance” comprises a wide range of support activities which UNHCR provides to its people of concern. It can, for instance, take the form of direct vs. indirect assistance (i.e. through partners). In general, a three-level approach of assistance can be identified. That is, (i) assistance to individuals/families (refugee status determination, medical, food, shelter), (ii) to communities through community-based interventions (e.g. building an access road to a school) (iii) or through capacity building of others than persons of concern and advocacy-type of activities to local and national authorities (e.g. commenting on national refugee legislation, training of officials on refugee status determination).

For the purpose of statistical reporting, UNHCR-assisted shall refer to persons of concern who are beneficiaries of UNHCR programmes. Persons who directly or indirectly benefit from individual/family assistance or community-based interventions should be reported in the ASR as UNHCR-assisted.

Persons only benefiting from the results of capacity-building with governments and other authorities as well advocacy-type of activities should not be included within the UNHCR-assisted figures, even though these types of activities might have an impact on all persons of concern in a country. In the ASR the reporting of UNHCR-assisted refers to the number of individuals and not interventions. For instance, a refugee might receive food assistance multiple times during the reporting period, however, s/he should be counted only once in the ASR.

Recognizing that the nature of assistance may differ depending on population type, below is a non-exhaustive list of assistance activities which may serve as guidance for completing the ASR. The first table provides a general overview of types of assistance, likely applicable to refugees, asylum-seekers, and returnees. The subsequent two tables are linked to IDPs and stateless persons. Note that only populations benefiting from activities included in the first two columns shall be included in the ASR and MYSR.

Assistance to persons of concern
(excluding IDPs and persons under UNHCR’s statelessness mandate)

Assistance to individuals/families/ households	Assistance to communities	Activities enhancing the protection environment in general. <u>Not to be reported in the ASR</u>
<ul style="list-style-type: none"> • Provision of material assistance (e.g. food, shelter materials, core relief items) 	<ul style="list-style-type: none"> • Construction of community infrastructure (schools, medical points, access roads, etc.) 	<ul style="list-style-type: none"> • Training of officials and NGOs. • Capacity building activities with authorities

<ul style="list-style-type: none"> • Provision of financial assistance through cash or vouchers • Provision of services such as education, medical care, and social and psychosocial counselling. • Individual registration • Refugee Status Determination by UNHCR • Provision of legal counselling and advice. • Assistance to obtain or provision of documents. • Individual support to access education, vocational training, and livelihood activities. • Persons visited in detention • Persons benefiting from repatriation assistance 	<ul style="list-style-type: none"> • Awareness, training and empowerment session with communities. • Participatory and other needs assessments activities. • Camp management and camp coordination activities • Community mobilization activities • Information sessions held with communities on the conditions in areas of return 	<p>or NGOs Public advocacy and public information activities. Comments on legislation. Amicus curiae submissions to courts.</p> <ul style="list-style-type: none"> • Lobbying with Government authorities. • Negotiating access to affected populations. • Information Management activities
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Assistance to Internally Displaced Persons (IDPs)

Assistance to individuals/families/ households	Assistance to communities	Activities enhancing the protection and humanitarian environment in general. <u>Not to be reported in the ASR</u>
<ul style="list-style-type: none"> • Protection monitoring at the individual and household level, i.e. incidents reported. • Provision of material assistance (e.g. food, shelter materials, core relief items) • Provision of financial assistance through cash or vouchers. • Provision of services such as education, medical care, and social and psychosocial counselling. • Individual, family or household registration 	<ul style="list-style-type: none"> • Protection monitoring at the community level. • Construction of community infrastructure (schools, medical points, access roads, etc.) • Awareness, training, capacity building and empowerment session with communities. • Participatory and other needs assessments activities. • Community mobilization activities. • Information sessions held with IDP communities on 	<ul style="list-style-type: none"> • Training of officials and NGOs. • Capacity building activities with authorities or NGOs • Public advocacy on the protection situation of IDPs and public information activities. • Assistance with the development of national laws and policies on IDPs (for instance through comments on draft legislation or lobbying activities). • Advocacy with

<p>and/or profiling</p> <ul style="list-style-type: none"> • Provision of legal counselling, advice or assistance. • Assistance to obtain civil and identity documents. • Individual support to access education, vocational training, and livelihood activities. • Persons visited in detention and provided with assistance. • Persons benefiting from assistance in return 	<p>the conditions in areas of return.</p> <ul style="list-style-type: none"> • Camp management and camp coordination activities 	<p>authorities for IDPs to have equal access to individual civil documentation.</p> <ul style="list-style-type: none"> • Cluster coordination activities or other similar coordination mechanisms such as sectors or other, less formal mechanisms. • Lobbying with Government authorities. • Negotiating access to affected populations.
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Assistance to persons under UNHCR’s statelessness mandate

Assistance to individuals/families/ households	Assistance to communities	Activities enhancing the protection environment in general. <u>Not to be reported in the ASR</u>
<ul style="list-style-type: none"> • Provision of material assistance (e.g. food, shelter materials, non-food items) • Provision of financial assistance, including accommodation paid for by UNHCR. • Provision of services such as education, medical care, and social and psychosocial counselling. • Individual registration • Statelessness Status Determination by UNHCR • Provision of legal counselling and advice. • Assistance to obtain or provision of civil and identity documents, including building capacity of authorities which leads directly to documentation of individuals. • Individual support to 	<ul style="list-style-type: none"> • Construction of community infrastructure (schools, medical points, access roads, etc.) • Awareness, training and empowerment session with communities. • Participatory and other needs assessments activities. • Community mobilization activities 	<ul style="list-style-type: none"> • Training of officials and NGOs. • Capacity building activities with authorities or NGOs • Public advocacy and public information activities. • Amicus curiae submissions to courts. • Technical advice on legislation. • Advocacy with Government. • Undertaking mapping studies/analysis of nationality law • Negotiating access to affected populations.

<p>access education, vocational training, and income-generating activities.</p> <ul style="list-style-type: none"> • Persons visited in detention 		
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4. Submission of Annual and Mid-Year Statistical Report

The Annual Statistical Report (ASR)

- 4.1 The Annual Statistical Report is the authoritative statistical report on refugees and others of concern to UNHCR during a particular calendar year, and should be submitted once a year, no later than 31 January following the reporting year. In case Country Offices cannot meet this deadline (e.g. Offices located in the industrialized countries have to wait for the compilation by Governments) they should inform Headquarters (FICSS in DPSM) in writing about the reason for the delay and the expected date of submission.

The Mid-Year Statistical Report (MYSR)

- 4.2 UNHCR Country Offices should submit one Mid-Year Statistical Report per calendar year. The MYSR should cover the period 1 January to 30 June (6 months). There is no need to submit a second MYSR (ie. 1 July to 31 December) since the ASR covers the entire period for January to December (12 months). The MYSR should be submitted no later than 15 days after the end of the reporting period (ie. 15 July).

Monthly asylum applications lodged in industrialized countries

- 4.7 FICSS maintains a database on monthly asylum applications submitted in selected industrialized countries by detailed origin. UNHCR Offices located in these countries should make every effort to obtain the monthly data as soon as possible to ensure that the statistical compilations are as up-to-date as possible.

5. Guidelines for the completion of the ASR and MYSR

- 5.1
- a) In most of the ASR or MYSR tables, a breakdown by origin is requested. If this breakdown is not available, those persons should be reported in the table as various origins using the code VAR.
 - b) In principle, all statistics should refer to the number of persons. In case the number of persons is not available, the number of cases should be stated. This should be clearly marked in the comments or in a covering note, and the average number of persons per case should be provided.
 - c) The term “UNHCR-assisted” refers to persons of concern who are beneficiaries of UNHCR programmes. See 3.2.e for more details.
 - d) Statistics on the size of the refugee population are not available in many industrialized countries. The UNHCR refugee population estimates for these

countries are based on the cumulative number of recognized asylum-seekers over the past 10 years. Particularly in the industrialized countries, an effort should be made to adhere as closely as possible to statistics published or made available by the relevant national authorities.

- 5.2 While the following paragraphs discuss only the tables of the ASR, the observations also apply to the relevant columns of the MYSR. If the requested breakdown by origin or location is not available, every effort should be made to provide at least the data for the totals of all origins or locations.

6. Table I. Refugees and others of concern to UNHCR--Summary

- 6.1 The information in this summary table is automatically generated once all other forms have been populated.

7. Table II. Refugee population and changes

- 7.1 Refugee Table II should include all refugees in the country as defined in paragraph 3.2 of this Section and cover both registered and unregistered/estimated refugee populations. Please note that asylum-seekers, i.e. persons who have applied for individual asylum, but whose refugee claims have not yet been adjudicated, should **not** be listed in the refugee Table II, but in RSD Table IV.

- a) Population start year. This column will list the number of refugees at the start of the year. It equals the population reported at the end of the previous year (see the ASR covering the previous year). Discrepancies between the population as it was reported at the end of the previous year and the population at the start of the current year should be listed under “Other increases” or “Other decreases,” as appropriate, and explained (for instance: verification, repatriation, new estimate etc.).
- b) Spontaneous arrivals. Three options are available: group recognition, temporary protection or individually recognized. List spontaneous refugee arrivals, indicating whether they were recognized on a group basis or following individual refugee status determination. Only those refugees who were recognized without an individual interview should be reported under ‘group recognition’. Those refugees who were recognized on a *prima facie* basis following a summary individual interview to verify nationality and/or the applicability of exclusion clauses should be reported under “Individually Recognized”. Please note that the column “Individually Recognized” in this table should be identical with the column “Recognized” in the RSD Table IV.
Use the ‘Temporary Protection’ column to record refugees who were granted a form of temporary protection or stay by the host country.
- c) Resettlement arrivals. State here the number of refugees who arrived in the country during the year under a resettlement programme.
- d) Births. State here the number of births recorded in the refugee population during the year.
- e) Other increases (explain). State here increases in the refugee population other than through spontaneous arrivals, resettlement or births. This includes (a) persons who

already resided in the country and who became refugees as a result of changed conditions in the country of origin (refugees “*sur place*”); and (b) population increases as a result of a registration, census, survey or revised estimate. A brief explanation of these increases should be provided.

- f) Voluntary repatriation. Indicate under “Total” the total number of refugees who are estimated to have repatriated voluntarily during the year. This includes refugees who have spontaneously departed in addition to those whose return has been assisted by UNHCR. Refugee Table II is to be completed by countries of asylum and should report repatriation departures. Tables Refugee returnees VI.A and VI.B are to be completed by countries of origin and should report numbers of returning refugees. Every effort should be made to ensure that the figures reported in these two tables, by country of asylum and country of origin, are consistent. In case of discrepancies, the country of origin reporting will generally supersede the country of asylum reporting. Population decreases due to a new registration, census, survey or revised estimate should be reported here if it can be assumed that the population decrease is due to unregistered returns. Indicate under “UNHCR-assisted” the number of refugees who have repatriated with UNHCR-assistance, including persons who were provided with a repatriation grant, a repatriation package and/or transportation which was provided by or through UNHCR.
- g) Resettlement. State under “Total” the total number of refugees who departed the country of asylum for a resettlement country, including refugees who departed under UNHCR auspices as well as those who departed without UNHCR assistance (e.g. refugees who departed under migration programmes without UNHCR facilitation). Under “UNHCR-assisted” list only those refugees who departed under UNHCR auspices (including, for example, refugees who were submitted for resettlement by UNHCR and those who departed for a resettlement country with the assistance of UNHCR in terms of securing the issuance of travel documents, exit clearance etc.).
- h) Cessation. State here the number of refugees whose refugee status ended as a result of cessation as per Article 1, section C (1), (2), (4)-(6) of the 1951 Convention.
- i) Naturalization. State here the number of refugees whose refugee status ended as a result of acquisition of new nationality as per Article 1, section C (3) of the 1951 Convention.
- j) Deaths. State here the number of deaths recorded in the refugee population during the year.
- k) Other decreases (explain). State here decreases in the refugee population other than through repatriation, resettlement, cessation, naturalization or death. This includes (a) persons who have been *refouled*, (b) population decreases as a result of a registration, census, survey or revised estimate, (c) decreases as a result of cancellation or (d) revocation of refugee status. A brief explanation of these decreases should be provided.
- l) Population end-year. State here the refugee population at the end of the year. Note that the “Population end-year, Total” should, in principle, equal the “Population start year, Total” plus the total of “Increases during the year” minus the total of “Decreases during the year”.

- m) Source. State here the source of the data for each of the different refugee populations.
- n) Basis. Indicate the basis of the demographic and location data, i.e. whether it is based on registration, census, survey or estimates.

8. Table III. Population of concern to UNHCR: demographic characteristics and location by end-year

8.1 This table requests the breakdown by sex and age group of the entire population of concern at the end of the year by type of location, type of accommodation, origin, type of population and Population Planning Group (PPG). *As a minimum, a breakdown by sex and age groups must be provided for the total population assisted by UNHCR.* If no recent census or registration has been carried out, the breakdown should be estimated on the basis of surveys, field assessments, etc.

- a) Name of location. Indicate the name of the location where the population is located. A pre-populated drop-down menu will appear. In case a location is not listed, please state the official full name of the new location in the field “New location” and ensure consistency in names and spelling with previous ASRs. The location of IDPs protected/assisted by UNHCR listed in the demographic table should also be listed in the IDP table. Whenever possible, please be specific about the location where persons of concern are located, avoiding the use of the generic category of dispersed within the country.
- b) Urban or rural. Indicate whether the population of concern is residing in an urban or rural area. The separation of urban from rural location has become increasingly important for programmatic and reporting purposes. However this distinction is not always easy to make despite its importance to UNHCR. A rural settlement is where displaced populations settle on land outside cities and towns. The population is often dependent on agricultural and pastoral practices, and has fewer community infrastructure systems than in urban settlements. A rural versus urban context is defined by population thresholds that differ around the world. For example, in Africa and Latin America the rural population limit is 2,000 people, whereas in Iceland it is 200. Currently, UNHCR defines a rural population as <5,000 persons, while an urban population is where the population is assessed to be over 5,000 persons.

Note that *asylum-seekers* in urban areas who are registered with UNHCR and are awaiting the determination of their refugee status claim should also be reported in RSD Table IV. “Rural” concerns populations who are living in rural areas, often dispersed amongst the local population. The use of “various” should be avoided whenever possible so as to give the most accurate picture of the environment and situation in which persons of concern are living.

- c) Type of accommodation. A pre-populated drop-down menu provides six choices, depending on the type of accommodation persons of concern reside in. This includes planned/managed camp, self-settled camp, collective center, reception/transit camp, individual accommodation (private), and undefined if the type is unclear or mixed. Offices are encouraged to provide additional narrative information regarding these categories and avoid the use of ‘undefined’ if the type of accommodation is mixed.

Furthermore, as the majority of persons of concern are accommodated in individual/private accommodation, offices are requested to provide a short narrative regarding the general situation of persons in individual/private accommodation in the covering email.

Term	Definition
Planned or managed camp	Planned camps are places where displaced populations find accommodation on purpose-built sites, and a full services infrastructure is provided, including water supply, food distribution, non-food item distribution, education, and health care, usually exclusively for the population of the site.
Self-settled camp	A displaced community or displaced groups may settle in camps, independent of assistance from local government or the aid community. Self-settled camps are often sited on state-owned, private or communal land, usually after limited negotiations with the local population or private owners over use and access.
Collective center	This type of settlement is where displaced persons find accommodation in pre-existing public buildings and community centres, town halls, gymnasiums, hotels, warehouses, disused factories, and unfinished buildings. They are often used when displacement occurs inside a city itself, or when there are significant flows of displaced people into a city or town. Often, mass shelter is intended as temporary or transit accommodation.
Reception and transit camp	Often times, it is necessary to provide temporary accommodation for displaced persons. These camps might be necessary at the beginning of an emergency as a temporary accommodation pending transfer to a suitable, safe, longer term holding camp, or at the end of an operation as a staging point of return. Reception and transit camps are therefore usually either intermediate or short-term installations.
Individual/private accommodation	There may be two types of individual accommodations: non-hosted and hosted. The former refers to displaced persons who occupy a single family dwelling on their own (either as legal tenant or squatting). The latter means displaced

	persons live in someone else's home with them, sharing resources and a hearth with another household group.
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- d) Type of population. Indicate whether the population refers to refugees (REF), people living in refugee-like situations (ROC), asylum-seekers (ASY), returned refugees (RET), internally displaced persons (IDPs), people in IDP-like situations (IOC), returned IDPs (RDP), stateless persons (STA), or Others of concern (OOC).
- e) Population Planning Group (PPG). A pre-populated drop-down menu provides the Population Planning Group for each country as reported in Focus. Please note that one PPG may be listed more than once per location. Please report the correct PPG as ASR figures will be the basis for reporting on expenditures and activities. Errors in reporting PPGs or other figures will impact on the population figures appearing in Focus and in other documents such as the Global Report.
- f) Of which Assisted by UNHCR. Total number of population assisted by UNHCR and its implementing partners. Follow the definition of "UNHCR-assisted" in section 3.2 (e) above. The total assisted number shall not be larger than the total population of concern for each row. For cases where assistance had been provided but a relevant PPG does not exist or it is not appropriate to report in the ASR, please indicate this in the comments or in a separate email to FICSS (hqcs00@unhcr.org) with a copy to Focus Follow Up (HQFOCUS@unhcr.org).
- g) Be as specific as possible based on data available. For example, if refugees from one country of origin are living in two different types of accommodation in one location, or belong to two different PPGs, and data is available for these different groups, complete a separate line on the table for each group. Information from this table will be used to analyse trends globally in terms of locations and situation of persons of concern, and therefore it is important to provide as comprehensive data as is available.

9. Table IV. Individual asylum applications and refugee status determination

9.1 This table should be used for asylum applications registered and refugee status determination (RSD) conducted in UNHCR (U), Government (G), or Joint (J) RSD procedures. In countries where UNHCR (U), Government (G), or Joint (J) RSD procedures are implemented in parallel, separate tables should be completed for each type of procedure. In addition, where a breakdown of data by first instance, appeal/administrative review and/or judicial review is available, separate tables should be filled out for each level of procedure.

- a) Type of procedure.
- "G" (Government procedure). The State has enacted refugee legislation and/or established procedures under which its national authorities are responsible for the entirety of the RSD process, from registration of asylum-seekers to the determination of their claims, and pursuant to which asylum-seekers may be recognized as refugees under the 1951 Convention/1967 Protocol or a regional refugee instrument, or granted a complementary form of protection. UNHCR may have a monitoring role, and/or provide technical and/or financial advice and/or support, or participate in the eligibility body (with or without voting right).

- “U” (UNHCR procedure). UNHCR conducts RSD under its mandate, from registration of asylum-seekers to the determination of their claims, and pursuant to which asylum-seekers may be recognized as “mandate” refugees under the refugee definition in the 1951 Convention/1967 Protocol or UNHCR’s broader (extended) refugee definition. UNHCR mandate RSD may be invoked in States that are/are not Parties to the 1951 Convention/1967 Protocol and/or the 1969 OAU Convention and that have/have not enacted refugee legislation and/or established RSD procedures, including States where (a) the national RSD procedure is not fully functioning (including States that have made reservations related to RSD); (b) the national RSD procedure does not meet international standards for fairness and efficiency; and/or (c) UNHCR conducts mandate RSD for a residual population of asylum-seekers after a formal handover of RSD from UNHCR to the State.
- “J” (Joint procedure). The State has established a national RSD procedure and is responsible for granting refugee status or a complementary form of protection, but UNHCR has formal responsibility, either alone or with some degree of Government involvement, for one or several steps in the national RSD procedure (for example, registration, interviews, recommendations in first or second instance). Please note that, where UNHCR conducts mandate RSD in parallel to the Government’s RSD procedure, this should be reported as “U” and “G” procedures, and not as “J” procedures, using separate tables for each type of procedure.
- b) Pending applications start year. The number of persons whose asylum claim was pending (registered, but not yet decided) at the start of the year. This should, in principle, equal the number of pending claims as reported at the end of the previous year (see previous ASR).
- c) Applied during year. State the number of persons who registered a new application during the year.
- d) Recognized. State the number of persons whose application for asylum/refugee status was recognized during the year. The column “other” should only be used for status determination in those countries where a complementary form of protection (i.e. non-Convention) is granted on an individual basis. By definition, this column can only be used for “J” or “G” RSD procedures (see above).
- e) Rejected. State the number of persons whose asylum application was rejected on substantive grounds.
- f) Otherwise closed. List the number of persons whose asylum application was closed without a substantive decision (thus, neither recognized nor rejected). Such reasons may include inadmissibility, withdrawal, abandonment, death, Dublin II procedure (Europe only), etc.
- g) Total decided. This must equal the total of the columns Recognized, Rejected and Otherwise closed.
- h) Pending applications end-year. State here the number of persons whose applications were pending (registered, but not yet decided) at the end of the year. Note that “Applications pending end-year” should, in principle, equal “Applications pending start year” plus “Applications submitted during year” minus “Total decisions” during the year.

- i) Unaccompanied and separated children (UASC). State here the number of unaccompanied and separated children as per the statistical categories requested under b) to h) as well as the percentage of female UASC. In addition, all categories should be broken down by age groups 0-14 and 15-17. If the age breakdown in official Government statistics differs from the UNHCR age breakdown as specified above, then a copy of the original Government statistics on UASC should accompany the submission of the Annual Statistical Report. Please provide the country of origin of UASC, if available.

10. Table V. Internally displaced persons (IDPs)

10.1 When filling this table, please take note of the following.

- V.A) Internally displaced persons protected/assisted by UNHCR. This category refers to people or groups of individuals who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence or violations of human rights, or natural or human-made disasters and who have not crossed an internationally recognized State border. The IDP population shall exclude natural-disaster related IDP populations and refer to IDPs who benefit from UNHCR's protection or assistance activities, either directly or as part of a United Nations Country Team (UNCT) collaborative response in which UNHCR participates.
- V.B) People in IDP-like situations. This category is descriptive in nature and includes groups of persons who are inside their country of nationality or habitual residence and who face protection risks similar to those of IDPs but who, for practical or other reasons, could not be reported as such.
- V.C) Internally displaced persons (country-wide; conflict-induced only). The IDP population in this table should reflect the total number of conflict-induced IDPs as agreed on by the United Nations Country Team (UNCT).
- V.D) Internally displaced persons (natural disaster-induced only). The IDP population in this table should reflect the total number of IDPs displaced as a result of natural disasters. It is important to note that persons listed in this table will not be included in the official number of persons of concern to UNHCR which remains limited to conflict-induced displacement.

The following sections are applicable to Tables V.A, V.B, V.C and V.D.

- a) Newly displaced. State the number of IDPs who became displaced within their country during the year.
- b) Other increases. State increases in the IDP population other than through new displacement, i.e. increases as a result of a registration, census, profiling, survey or revised estimate.
- c) Returned IDPs. Persons who were displaced within their own country and have returned to their place of origin during the year. Similar to refugees, IDPs remain of concern to UNHCR for a limited period after their return. For statistical purposes, a

maximum cut-off period of one year (12 months) is applied, i.e. IDP returnees who have returned during the calendar year.

- d) Relocated IDPs. State the number of IDPs who were relocated in their country during the year.
- e) Other decreases. State decreases in the IDP population other than through returned or within their country relocated IDPs, i.e. decreases as a result of a registration, census, survey or revised estimate.

11. Table VI. Returnees, stateless persons and Other persons of concern to UNHCR

11.1 When filling this table, please take note of the following.

- VI.A) Refugee returnees. Persons who were refugees outside their country of origin and who remain of concern to UNHCR for a limited period after their return. For statistical purposes, a maximum cut-off period of one year (12 months) is applied, i.e. persons who have returned during the calendar year. Operations may provide assistance for a shorter or longer period, however.
- VI.B) Persons in refugee-like situations returnees. Persons who were in a refugee-like situation outside their country of origin and who remain of concern to UNHCR for a limited period after their return. For statistical purposes, a maximum cut-off period of one year (12 months) is applied, i.e. persons who have returned during the calendar year. Operations may provide assistance for a shorter or longer period, however.
- VI.C) Persons of concern under UNHCR's statelessness mandate.

This refers to the following categories of persons:

(i) stateless persons, defined as persons who are not considered as nationals by any State under the operation of its law, as set out in Article 1 of the *1954 Convention relating to the Status of Stateless Persons*. For additional information, please consult UNHCR *Guidelines on Statelessness No. 1: The definition of "Stateless Person" in Article 1(1) of the 1954 Convention relating to the Status of Stateless Persons*, 20 February 2012, HCR/GS/12/01, available at:

<http://www.unhcr.org/refworld/docid/4f4371b82.html>

(ii) de facto stateless persons, defined as persons outside the country of their nationality who are unable or, for valid reasons, are unwilling to avail themselves of the protection of that country. Protection in this sense refers to the right of diplomatic protection exercised by a State of nationality in order to remedy an internationally wrongful act against one of its nationals, as well as diplomatic and consular protection and assistance generally, including in relation to return to the State of nationality.

In practice, this situation is evidenced by (i) the refusal of the country of nationality to allow a person to return, even though that country still formally recognizes the individual as a national or (ii) the refusal of a diplomatic mission to issue a passport to one of its nationals where there are no reasonable grounds for the refusal

(reasonable grounds would include, for example, existence of an outstanding detention order related to a criminal investigation).

For additional information, please consult UNHCR, *Expert Meeting - The Concept of Stateless Persons under International Law*, May 2010, available at: <http://www.unhcr.org/refworld/docid/4ca1ae002.html>

(iii) persons with undetermined nationality, where a preliminary review has shown that it is not yet known whether they possess a nationality or are stateless. Statistics on this category of persons were requested by UNHCR's Executive Committee. Such cases arise in a wide range of contexts and in most instances can be resolved through existing State procedures for confirmation of nationality and provision of related identity documentation. UNHCR will only report those persons who, following a review, clearly fall within UNHCR's statelessness mandate because the persons concerned:

- lack proof of possession of any nationality; and
- have links to more than one State on the basis of birth, descent, marriage or habitual residence; or
- are perceived and treated by authorities in the State of residence as possessing links which give rise to a claim of nationality of another State on the basis of such elements as historic ties, race, ethnicity, language or religion.

This category does not include individuals who are not cooperating with efforts to establish their identity or nationality. Offices which report such populations are requested to provide an explanation of how they meet these criteria.

- a) Type of population. A pre-populated drop-down menu provides three choices, depending on the type of persons of concern under UNHCR's statelessness mandate. In some cases, one category (e.g. persons with undetermined nationality) may be listed more than once.
- b) Population start-year. State here the population reported under UNHCR's statelessness mandate at the beginning of the year. *The population at the beginning of the year should, in principle, always equal the population reported at the end of the previous year.* Discrepancies between the population as it was reported at the end of the previous year and the population at the start of the current year should be listed under "Increases" or "Decreases," as appropriate, and explained (for instance: verification, new estimate etc.). Stateless refugees or asylum-seekers should **not** be included in this table but be reflected in Refugee Table II or RSD Table IV.
- c) Increases due to loss or deprivation of nationality. State here increases in the stateless population occurring during the calendar year as a result of (i) automatic loss of nationality and (ii) deprivation of nationality by State authorities. This column is not relevant for *de facto* stateless persons and persons of undetermined nationality.
- d) Other increases. State here increases in the population falling under UNHCR's statelessness mandate other than due to loss or deprivation of nationality (e.g. births etc).
- e) Decreases due to acquisition or confirmation of nationality. State here decreases in the population falling under UNHCR's statelessness mandate occurring during the

calendar year as a result of (i) acquisition or (ii) confirmation of nationality. Acquisition of nationality refers to the number of stateless persons who acquired citizenship during the reporting year, including through the completion of naturalization procedures. Confirmation of nationality refers to the number of persons falling under UNHCR's statelessness mandate who have had their nationality confirmed during the reporting year, e.g. individuals whose nationality was never confirmed by a successor State following independence. It applies to a limited number of operations which report populations which due to circumstances of state succession never had their nationality confirmed in a successor State.

- f) Other decreases. State here decreases in the population falling under UNHCR's statelessness mandate other than due to acquisition or confirmation of nationality (e.g. deaths etc.).
- g) Population end-year. State here the population falling under UNHCR's statelessness mandate at the end of the year. Note that, in principle, the "Population end-year" should equal the "Population start year" plus "Increases" minus "Decreases".

VI.D) Other persons of concern. This category refers to individuals who do not necessarily fall directly into any of the groups above but to whom UNHCR has been given a mandate to provide protection and/or assistance (e.g. based on regional documents, peace agreements, General Assembly resolutions). Persons with whom UNHCR is engaged purely on a good offices basis, such as, for instance, rejected asylum-seekers, should not be included. A brief explanation describing the nature of this group should be provided.