

## **PLANNING FIGURES**

### **1.0 Introduction**

1.1 Appropriate and timely planning figures on the population of concern to UNHCR are central to effective policy-related decision-making with respect to response, budgeting, funding appeals, programming and resource allocation. These figures are a core component of the work across all functional areas at all levels at Headquarters and in the field. Donors, governments and other key stakeholders are particularly interested in the planning figures. Planning figures are also used extensively in the Annual Programme Review (APR) to determine resources levels for operations, and form part of UNHCR's formal budgetary submissions for executive body reviews. This section provides information on the type of population planning figures needed and the guidelines and formats to be used.

### **2.0 Data analysis and quality**

2.1 As operational planning figures are 'estimates', the importance of good and defensible analysis cannot be overemphasized. The rationale and methodologies for setting planning figures must be transparent and credible. UNHCR is often required to explain deviations between population planning figures and actual year-end values. Assumptions behind planning figures need to be systematic, consistent and robust. Given that the assumptions behind planning figures can be affected by unexpected circumstances, it is important to ensure the figures be the result of an analytical look at past experience and a realistic view of future situations. Operations should document the assumptions and criteria they used in establishing planning figures, and to the extent possible, these assumptions should be discussed with the national authorities and other partners as part of joint planning processes. Planning figures for some categories are now to be made at the Population Planning Group (PPG) level, as well as nationality/country of origin.

2.2 With planning figures, it is particularly important for cross-border operations to coordinate figures for returnees, or other arrivals carefully. Estimated numbers of returning refugees should more or less tally between asylum and origin countries. Estimates for mass influxes should be avoided, as contingency plans are not reflected in operations budgets, unless there is an on-going situation in which continued large scale arrivals are anticipated. Birth and death rates should be based on experience with the population, and health partners can assist with these figures should they be unknown. Pending asylum caseloads and refugee recognition rates are used to anticipate workloads in refugee status determination, and should be given due attention in their planning. While additional information is gathered to formulate UNHCR's annual resettlement needs, the anticipated departures on resettlement should be consistent with actual expected departures, and will also be used to assess resource requirements for resettlement operations.

### **3.0 The use of standard terminology in reporting**

3.1 When drafting texts concerning refugees and others of concern to UNHCR, special attention should 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 planning figure template, the Annual Statistical Report (ASR) and Mid-Year Statistical Report (MYSR) should also be applied in all narrative reporting on statistics.

3.2 The term ‘UNHCR-assisted’ is particularly difficult in regard to its consistent application. The term “assistance” comprises a wide range of support activities which UNHCR provides to its people of concern. 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 planning figures, UNHCR-assisted shall refer to persons of concern who are beneficiaries of UNHCR programmes. Persons who benefit from individual/family assistance or community-based interventions foreseen in the Operations Plan, should be reported in the Planning Figures 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 planning figure template, 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 template.

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 Planning Figures. Table 1 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 Planning Figures.

**Table 1: Assistance to persons of concern  
(excluding IDPs and persons under UNHCR’s statelessness mandate)**

| <b>Assistance to individuals/<br/>families/ households</b>   | <b>Assistance to communities</b>  | <b>Activities enhancing the<br/>protection environment in<br/>general. <u>Not to be reported<br/>in the Planning Figures</u></b>  |
|--|---|---|
| <ul style="list-style-type: none"> <li>• Provision of material assistance (e.g. food, shelter materials, core relief items)</li> <li>• Provision of financial assistance through cash or vouchers</li> <li>• Provision of services such as education, medical care, and social and psychosocial counselling.</li> <li>• Individual registration</li> </ul> | <ul style="list-style-type: none"> <li>• Construction of community infrastructure (schools, medical points, access roads, etc.)</li> <li>• Awareness, training and empowerment session with communities.</li> <li>• Participatory and other needs assessments activities.</li> <li>• Camp management and camp coordination</li> </ul> | <ul style="list-style-type: none"> <li>• Training of officials and NGOs.</li> <li>• Capacity building activities with authorities or NGOs Public advocacy and public information activities. Comments on legislation. Amicus curiae submissions to courts.</li> <li>• Lobbying with Government authorities.</li> <li>• Negotiating access to</li> </ul> |

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| <ul style="list-style-type: none"> <li>• Refugee Status Determination by UNHCR</li> <li>• Provision of legal counselling and advice.</li> <li>• Assistance to obtain or provision of documents.</li> <li>• Individual support to access education, vocational training, and livelihood activities.</li> <li>• Persons visited in detention</li> <li>• Persons benefiting from repatriation assistance</li> </ul> | <p>activities</p> <ul style="list-style-type: none"> <li>• Community mobilization activities</li> <li>• Information sessions held with communities on the conditions in areas of return</li> </ul> | <p>affected populations.</p> <ul style="list-style-type: none"> <li>• Information Management activities</li> </ul> |
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**Table 2: Assistance to Internally Displaced Persons (IDPs)**

| <b>Assistance to individuals/families/ households</b>   | <b>Assistance to communities</b>   | <b>Activities enhancing the protection and humanitarian environment in general. <u>Not to be reported in the Planning Figures</u></b>  |
|---|--|--|
| <ul style="list-style-type: none"> <li>• Protection monitoring at the individual and household level, i.e. incidents reported.</li> <li>• Provision of material assistance (e.g. food, shelter materials, core relief items)</li> <li>• Provision of financial assistance through cash or vouchers.</li> <li>• Provision of services such as education, medical care, and social and psychosocial counselling.</li> <li>• Individual, family or household registration and/or profiling</li> <li>• Provision of legal counselling, advice or assistance.</li> <li>• Assistance to obtain civil and identity documents.</li> <li>• Individual support to access education, vocational training, and</li> </ul> | <ul style="list-style-type: none"> <li>• Protection monitoring at the community level.</li> <li>• Construction of community infrastructure (schools, medical points, access roads, etc.)</li> <li>• Awareness, training, capacity building and empowerment session with communities.</li> <li>• Participatory and other needs assessments activities.</li> <li>• Community mobilization activities.</li> <li>• Information sessions held with IDP communities on the conditions in areas of return.</li> <li>• Camp management and camp coordination activities</li> </ul> | <ul style="list-style-type: none"> <li>• Training of officials and NGOs.</li> <li>• Capacity building activities with authorities or NGOs</li> <li>• Public advocacy on the protection situation of IDPs and public information activities.</li> <li>• Assistance with the development of national laws and policies on IDPs (for instance through comments on draft legislation or lobbying activities).</li> <li>• Advocacy with authorities for IDPs to have equal access to individual civil documentation.</li> <li>• Cluster coordination activities or other similar coordination mechanisms such as sectors or other, less formal mechanisms.</li> </ul> |

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| <p>livelihood activities.</p> <ul style="list-style-type: none"> <li>• Persons visited in detention and provided with assistance.</li> <li>• Persons benefiting from assistance in return</li> </ul> |  | <ul style="list-style-type: none"> <li>• Lobbying with Government authorities.</li> <li>• Negotiating access to affected populations.</li> </ul> |
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**Table 3: Assistance to persons under UNHCR’s statelessness mandate**

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

#### 4.0 Guidelines for the completion of Planning Figures

- 4.1 The Planning Figures form is a web-based template. In the event that a country or an operation has a weak internet connection that cannot support on-line completion of the planning figures, focal points of such countries/operations are kindly requested to contact the Field Information and Coordination Support Section (FICSS) in DPSM (email ID: [HQCS00@UNHCR.ORG](mailto:HQCS00@UNHCR.ORG)).
- 4.2 The Planning Figures form should be submitted no later than **31 March**. In case country offices cannot meet this deadline they should inform Headquarters (Bureau and FICSS in DPSM) by email about the reason for the delay and the expected date of submission.
- 4.3 The web-based planning figure template has five main tabs: **Summary** (default page), **Country of Origin, Population Planning Groups, Specific Planning Figures (PF) and Comments**.

#### *General Planning Figures*

- 4.4 The data collected in this part of the form is mandatory to complete. It constitutes the ‘core’ elements which each operation should provide. It comprises three important data-related elements.
- Persons of concern projected for the end-year 2015;
  - Persons of concern projected for the end-year 2016; and
  - Persons of concern projected for the end-year 2017.
- 4.5 Only the three major countries of origin are to be listed separately for each population types, all other countries of origin should be combined into the field “Other/Various”.
- 4.6 The population categories listed in 4.7 to 4.13 refer to so-called “stock” figures whereas 4.14 and 4.15 to “flow” figures. Stock figures refer to the number at a given date (e.g. refugee population as at 31 December) whereas flow figures to the movement during a reference period (e.g. number of people who returned voluntarily during the year).

#### A.1 Population of concern to UNHCR, end-year

- 4.7 **Refugees (Group and individual)**: 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. This section should include all refugees in the country 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 this Section. If there will be increases in both group basis and individual basis populations, these should be broken down on the *Specific Population Figure* tab (section C.3 of the form).

- 4.8 **Persons in refugee-like situations:** This sub-category to the refugee population 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.

For external reporting, the total refugee population is derived by adding up the categories "refugees" and "people in refugee-like situations".

- 4.9 **Asylum-seekers.** Refers to persons who have applied for asylum or refugee status on an individual basis, but who have not yet received a final decision on their application by the end of the year.
- 4.10 **Internally displaced persons (IDPs) protected/assisted by UNHCR.** The IDP population in this table is limited 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. For the purpose of the planning figure template, and to be aligned to the Annual Statistical Report, the IDP population shall exclude natural-disaster related IDP populations and refer only to people 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.
- 4.11 **People in IDP-like situations:** This sub-category to the IDP population 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.

For external reporting, 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".

- 4.12 **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. 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.

- 4.13 **Other persons of concern**. 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 etc.). Persons with whom UNHCR is engaged purely on a good offices basis, such as, for instance, rejected asylum-seekers, should not be included.

## A.2 Durable solutions – Returnees

- 4.14 **Returnee arrivals during the year (ex-refugees)**. Refers to 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, ie. only those who are expected to return between 1 January and 31 December should be reported in the planning figures.
- 4.15 **Returnee arrivals during the year (ex-IDPs)**. Refers to former IDPs of concern to UNHCR 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, ie. only those who are expected to return between 1 January and 31 December should be reported in the planning figures.

### ***Specific Planning Figures***

It is important to note that section C.1 refers to ‘flow’ figures whereas sections C.2 and C.3 to ‘stock’ figures.

#### C.1 Population of concern to UNHCR, end-year

- 4.16 **Total number of refugee returnees benefiting from UNHCR reintegration assistance.** In these rows, the planned figures relate to the total number of returnees who benefit from UNHCR reintegration assistance regardless of when they may have returned. No statistical cut-off is applicable to this category in contrast to section 4.14. The total number for the first planning year could be a roll-over from previous year(s).
- 4.17 **Total number of IDP returnees benefiting from UNHCR reintegration assistance.** In these rows, the planned figures relate to the total number of IDP returnees who benefit from UNHCR reintegration assistance regardless of when they may have returned. No statistical cut-off is applicable to this category in contrast to section 4.15. The total number for the first planning year could be a roll-over from previous year(s).

#### C.2 Decreases due to durable solutions

- 4.18 **Voluntary repatriation departures (refugees).** Indicate under “Total” the total number of refugees who are expected to return voluntarily during the year. This includes refugees who have spontaneously departed in addition to those whose return has been assisted by UNHCR. This Section is to be completed by countries of asylum and should report repatriation departures. Indicate under “UNHCR-assisted” the number of refugees who are expected to return with UNHCR assistance, including persons provided with a repatriation grant, a repatriation package and/or transportation provided by or through UNHCR.
- 4.19 **Resettlement departures (refugees).** State under “Total” the total number of refugees who are expected to depart the country of asylum for a resettlement country. This includes with UNHCR assistance as well as those who depart without UNHCR assistance (e.g. migration programmes without UNHCR facilitation). Under “UNHCR-assisted” list only those refugees who depart under UNHCR auspices.
- 4.20 **Naturalization (refugees).** State here the number of refugees whose refugee status is expected to end as a result of acquisition of new nationality as per Article 1, section C (3) of the 1951 Convention.
- 4.21 **Naturalization (stateless non-refugees only).** State here expected 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 acquire 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.

### C.3 Increases during the year (refugees, asylum-seekers)

- 4.22 **Refugees-Group basis**. List the total number of refugees who are expected to arrive spontaneously provided they are recognized on a group basis and without an individual interview.
- 4.23 **Refugees-Individually recognized**. List the total number of asylum-seekers who are expected to be recognized following individual refugee status determination. Those who are recognized on a *prima facie* basis following a summary individual interview to verify nationality and/or the applicability of exclusion clauses should also be reported in this section.
- 4.24 **Asylum-seekers (individual applicants)**. This section should be used for asylum applications registered and refugee status determination (RSD) conducted in UNHCR, Government, or Joint RSD procedures. For the columns “During 20XX”, only individuals who registered a new asylum application (applicants) between 1 January and 31 December 20XX should be reported. For the columns under the planning years, projections should be based on the number of individual applicants expected to register an asylum application on an individual basis.
- 4.25 **Resettlement arrivals**. State here the number of refugees who are expected to arrive in the country under a resettlement programme during the year.