Identifying Needs and

| Introduction |

This chapter provides an overview of the planning process used to identify: the needs of refugees, stateless people and others of concern to the Office of the High Commissioner; the financial requirements of USD 5.3 billion for 2014 necessary for responding to the comprehensive needs of people of concern; and the different funding sources and donor support that permit UNHCR, on behalf of the international community, to carry out the work it is mandated to do to protect and assist over 35.8 million people around the world.

In this Appeal, UNHCR presents the main needs identified for people of concern in a new matrix format in the country chapters, and several of the thematic chapters also provide information in this format. The aim is to make it easier to understand what the organization is trying to do, for whom and how in different situations. As requested by many donors, alongside the targets displayed, examples are provided of the extent to which planned activities and the delivery of services will not be covered (unmet needs) if early, full and flexible funding for the 2014 programme budget is not obtained. These unmet needs or "estimated gaps" highlight the importance of unrestricted funding for the Office to be able to address the needs of less visible, displaced populations and people of concern in complex operational environments.

| The planning process |

Comprehensive assessments of the needs of people of concern to UNHCR continue to provide the basis for the Office's planning and budgeting process. The global needs assessment enables the organization to present a comprehensive picture of what it realistically expects to be able to deliver in a given period in response to the assessed needs of the various populations of concern, subject to the availability of funding. It also allows UNHCR to identify the consequences of not meeting basic needs.

The planning process starts in each country with assessments by multifunctional teams of the needs of the people that UNHCR is mandated to protect and assist. Each assessment also builds on previous partner and inter-agency assessments, as well as on protection monitoring reports and other relevant sources of data. Information is gathered in consultation with all stakeholders, including beneficiaries, representatives of host communities, government officials, donors, NGOs and other UN agencies. Assessments are designed to take into account age, gender and diversity considerations.

In early 2013, operations prepared plans and budgets for the 2014 and 2015 biennium, in line with revised projections of population numbers and the results of needs assessments.

In line with the revised set of Global Strategic Priorities, field offices prioritized interventions that deliver life-saving assistance; ensure key protection activities; improve access to education and livelihood activities in protracted displacement situations; strengthen protection capacity in situations of mixed migration; improve response to urban refugee situations; ensure emergency preparedness and response; and facilitate durable solutions. The respective divisions at Headquarters then presented their revised plans and budgets for 2014, in line with the principles of ensuring efficiency and cost effectiveness.

In May and June 2013, all country and regional operation plans for 2014 and 2015 were reviewed at Headquarters. Regional bureaux and technical support units scrutinized the plans and budgets to ensure overall coherence, consistency with guidelines and priorities and to ensure that the proposed activities could be implemented within the planning year. The 2015 plans and budgets will be reviewed and adjusted through a similar process that will take place in 2014.

As in the past, at the beginning of 2014, the Office will not know the exact level of voluntary contributions that will be received for the year. This means that a phased approach to the implementation of activities will be required, based on careful prioritization and management of income

Funding Requirements

and budgets. UNHCR will monitor implementation and periodically review the situation of people of concern in critical areas throughout the year. As income levels evolve, budgets will be reviewed and areas of intervention gradually expanded.

In November 2013, operation plans for 2014 will be updated and priorities confirmed. As further funds become available, plans will be adjusted to reflect priorities and progress towards meeting the assessed needs.

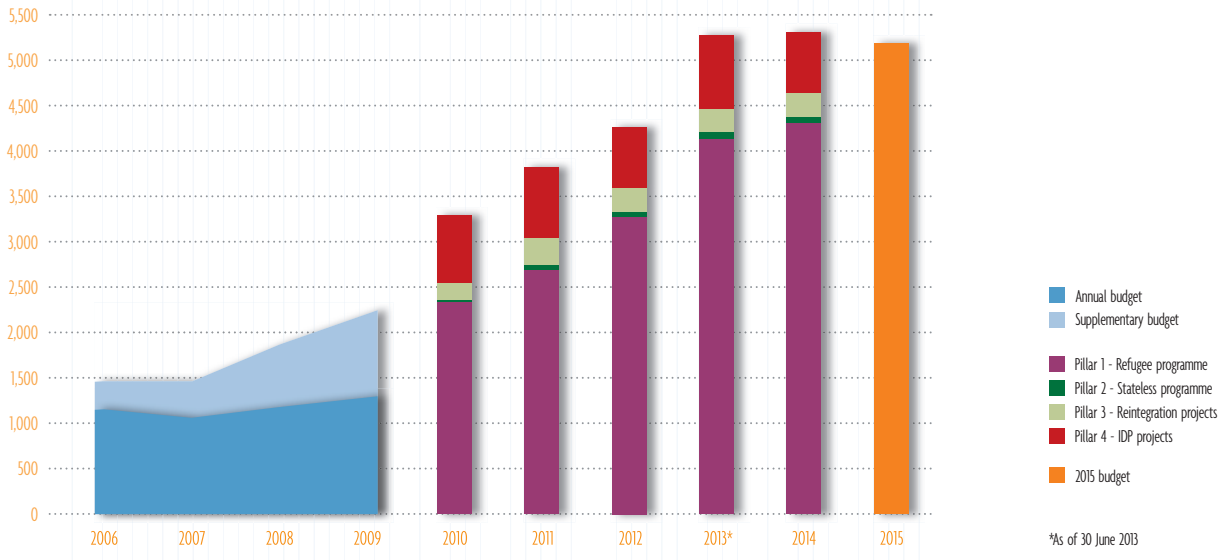
| Overview of the 2014-2015 requirements |

Based on this planning process, UNHCR's resource requirements for 2014-2015 take into account the feasibility of programme implementation, including considerations linked to organizational capacity.

This is the third biennium in which UNHCR is applying a needs-based methodology to planning and budgeting, in contrast with the resource-based planning and budgeting methodology used before 2010. This change in methodology explains the significant increase in the Office's requirements as of 2010, compared to the previous years. **Chart 1** illustrates the evolution of UNHCR's financial requirements since 2006. The sharp increase in the budgets as of 2013 reflects the requirements for the ongoing humanitarian crises in and around the Syrian Arab Republic (Syria).

At its sixty-fourth session in October 2013, the Executive Committee (ExCom) approved a budget for 2014 amounting to USD 5.31 billion, comprising: USD 4.88 billion for the programmed activities; USD 394.9 million for the Operational Reserve; USD 20 million for the NAM Reserve; and USD 12 million for the Junior Professional Officers scheme. The requirements for 2015, albeit preliminary at this stage, amount to some USD 5.18 billion. Updated requirements for 2015 will be presented to ExCom for approval at its sixty-fifth session in October 2014.

CHART 1 **UNHCR's requirements 2006•2015** | USD • millions



*As of 30 June 2013

CHART 2 **2014 budget by region and pillar** | USD • millions

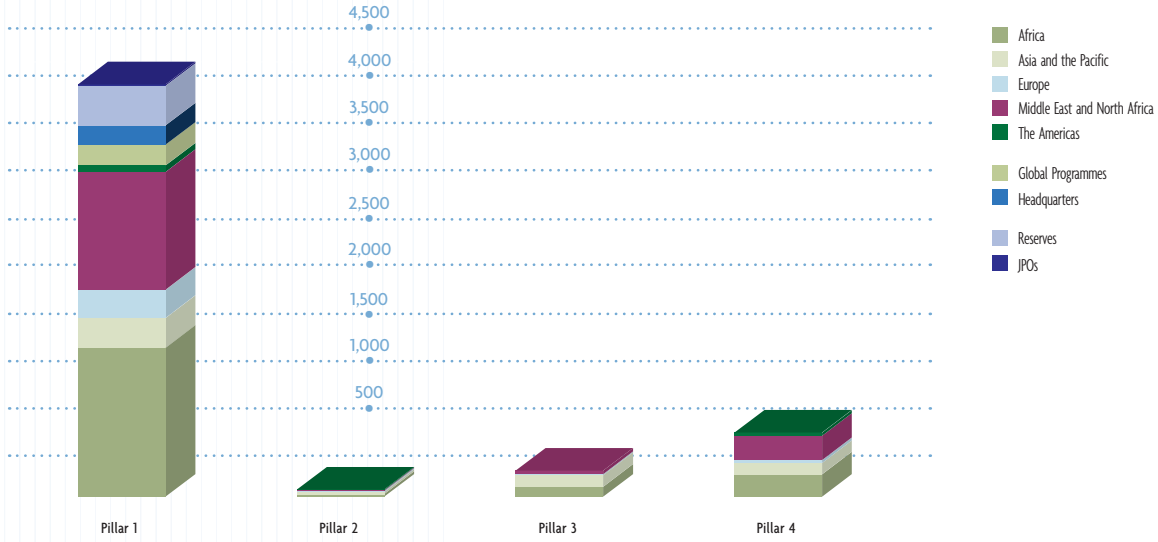


Chart 2 shows the distribution of 2014 budgetary requirements by region and pillar while **Chart 3** illustrates the global geographic distribution of 2014 requirements. The 10 largest operations in the Field are located in three regions: Africa, Europe, and the Middle East and North Africa and include: Chad, the Democratic Republic of the Congo, Ethiopia, Iraq, Jordan, Kenya, Lebanon, South Sudan, Syria and Turkey. Together, these operations have requirements across several pillars amounting to USD 2.5 billion and USD 2.4 billion in 2014 and 2015 respectively, which correspond to 51 per cent of the total programmed activities for each year.

As evidenced by **Chart 2**, the refugee programme, Pillar 1, remains the largest component of the 2014 requirements at some USD 4.3 billion (81 per cent). Over one third of the requirements for Pillar 1, some USD 1.55 billion (35.9 per cent), are in Africa, which remains the region with the highest level of displacement. This is followed by the Middle East and North Africa, accounting for USD 1.2 billion (28.6 per cent) of Pillar 1. Asia and the Pacific, Europe and the Americas account for 7.3 per cent, 6.9 per cent and 1.6 per cent of the Pillar 1 requirements, respectively. The remainder covers Global Programmes, Headquarters, the reserves and JPOs. It should be noted that Headquarters accounts for less than 5 per cent of total 2014 requirements.

CHART 3

2014 budget by region

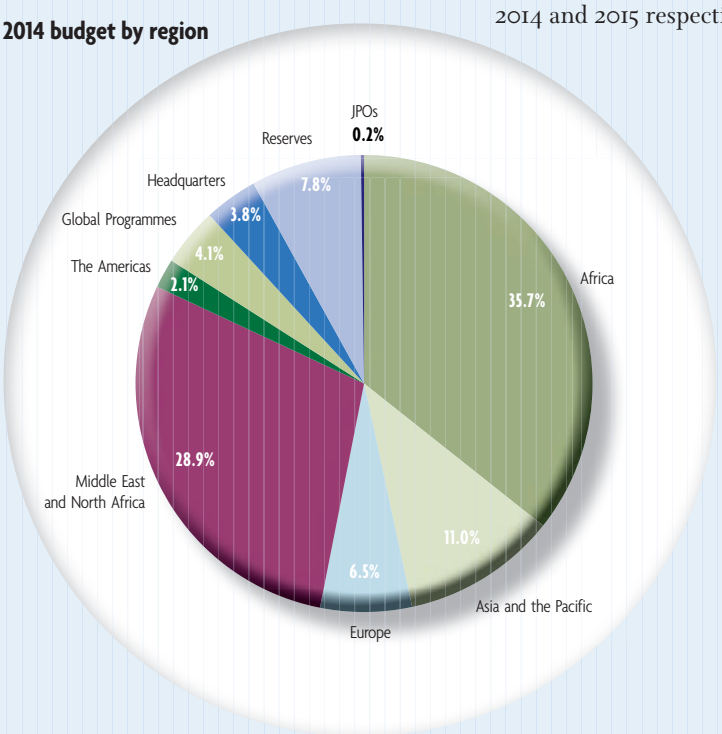
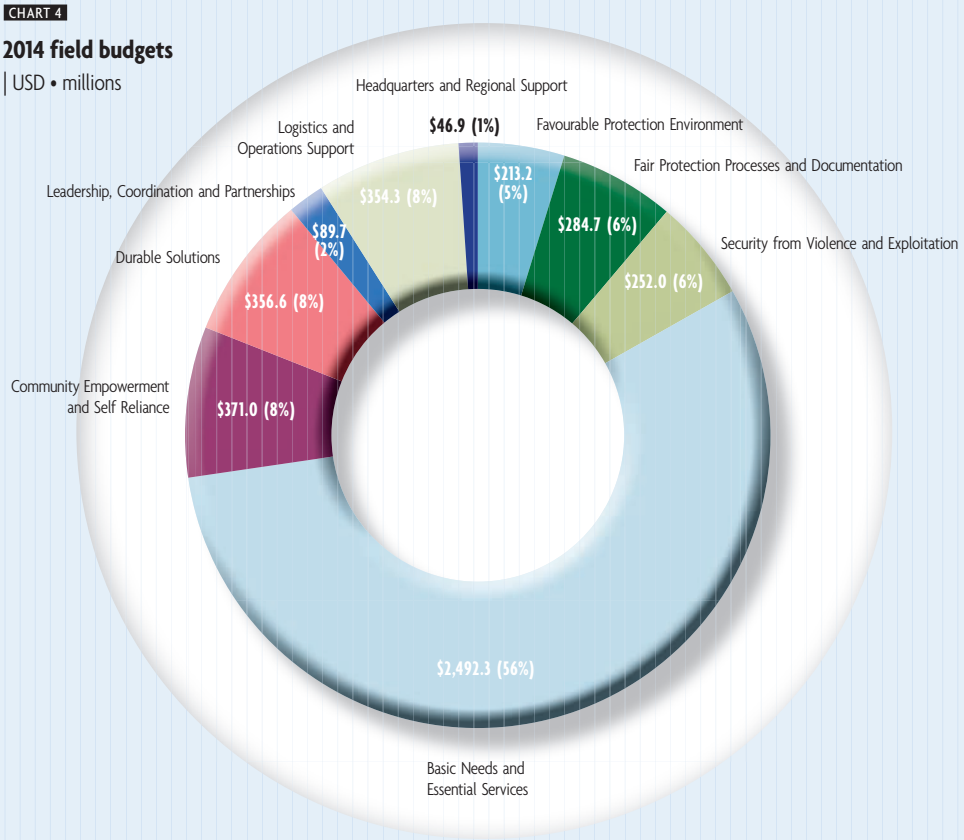


CHART 4

2014 field budgets

USD • millions



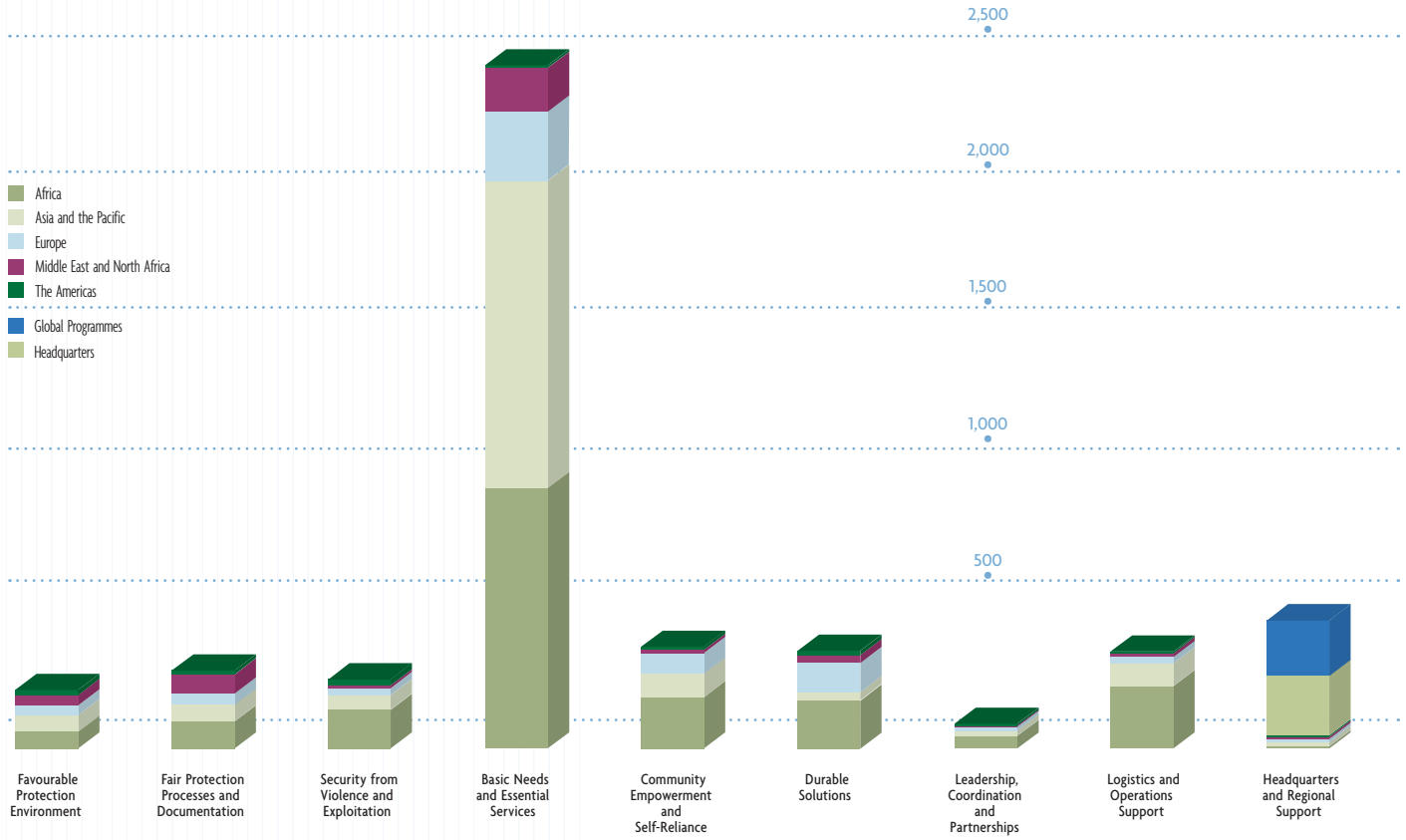
The stateless programme, Pillar 2, with some USD 67.5 million, accounts for 1.3 per cent of total 2014 requirements. Thirty-five per cent of UNHCR's financial requirements for stateless people are in Asia and the Pacific, followed by 29.8 per cent in Africa, 17.3 per cent in Europe, 11.7 per cent in the Americas and 6.2 per cent in the Middle East and North Africa.

Reintegration projects, budgeted at USD 266.1 million in Pillar 3, account for 5 per cent of total 2014 requirements. Almost half (46.6 per cent) of the requirements for Pillar 3 are in Asia and the Pacific, followed by Africa (36.4 per cent), the Middle East and North Africa (14.9 per cent) and Europe (2.1 per cent).

Projects for internally displaced people (IDPs), Pillar 4, account for 12.5 per cent (USD 665.6 million) of the total 2014 requirements. The largest of IDP-related requirements, 38.5 per cent or USD 256.1 million, are in the Middle East and North Africa region, followed by sub-Saharan Africa with USD 229.7 million or 34.5 per cent, underscoring the scale of internal displacement issues in these regions. These regions are followed by Asia and the Pacific (17.8 per cent), with the Americas and Europe accounting for 4.9 per cent and 4.4 per cent of Pillar 4 requirements respectively.

Programmed field activities in 2014, grouped by key themes, can be found in **Chart 4**. Basic needs and essential services comprise the greater part of these activities, accounting for almost 56 per cent (USD 2.49 billion). Key protection work carried out by UNHCR (durable solutions, community empowerment and self-reliance, fair protection processes and documentation, security from violence and exploitation, and favourable protection environment) accounts for 33 per cent (USD 1.48 billion). Logistics and operations support represent 8 per cent and leadership, coordina-

CHART 5 **2014 programmed activities by region and theme** | USD • millions



tion and partnerships, together with Headquarters and regional support, account for 3 per cent of total programmed requirements for 2014. The 2014 programmed activities by key themes and region, including Global Programmes and Headquarters, are illustrated in **Chart 5**.

| Inter-agency appeals |

In complex emergencies which require international support from more than one agency, UN agencies, NGOs, other international organizations and governments work together to ensure a swift, efficient and appropriate response to the needs and scale of any given crisis. For members of the Inter-Agency Standing Committee (IASC), a humanitarian response plan is developed jointly through the UN Country Team and under the guidance of the Humanitarian Coordinator. This enables an integrated approach to needs assessment, planning, implementing, monitoring and appealing for funds. Through this approach, agencies endeavour to ensure that their activities have a maximum impact while avoiding duplication in the response.

In line with the IASC Transformative Agenda and building on innovations in the Field, in 2014, inter-agency humanitarian response preparation will consist of the humanitarian needs overview (HNO) and the strategic response plan (SRP), which replace the preparation and publication of the traditional Consolidated Appeals Process (CAP) document.

In 2014, UNHCR will work together with UN Country Teams on the humanitarian country strategies in Afghanistan, the Central African Republic, the Democratic Republic of the Congo, the Sahel region countries, Somalia, South Sudan, Sudan, Syria and Yemen, among others still under discussion. In addition, UNHCR will take part in any other

inter-agency appeals and emergency responses that occur, affecting people of concern to the Office in the coming year.

For new refugee emergencies, UNHCR assumes the lead role and will, when appropriate, coordinate a joint funding appeal with other agencies. As for the inter-agency appeals for complex emergencies, UNHCR, together with its partners, will prepare a submission in response to the needs of the refugee crisis. In 2014, UNHCR will continue to coordinate the inter-agency Syria Regional Response Plan.

| Resource mobilization |

In 2013, UNHCR is making progress in expanding its donor base and bringing existing and potential new donors together, particularly in the context of the Syria crisis. In 2012, however, despite best efforts, approximately 50 per cent of voluntary contributions continued to originate from the top three donors, with the top 10 donors making up some 77 per cent of contributions. As can be seen in **Chart 6**, UNHCR's top three donors in 2012 were the United States, Japan and the European Union, followed by Sweden and the Netherlands. In 2014, the Office will continue to develop its relationships with new donors as well as expand the existing donor base. Particular focus during the year will be on improved reporting; measurements and presentation of the results of UNHCR's activities; and the impact on people of concern.

In 2012, funds raised from the private sector accounted for approximately 6 per cent of voluntary contributions to UNHCR. With this initial goal met, UNHCR now aims to increase private-sector contributions to 10 per cent by 2016. This robust growth has been made possible thanks to sustained investment over the past years and anticipated support moving forward. After receiving a record USD 130 million in 2012, UNHCR expects to raise

CHART 6

Main donors | 2012

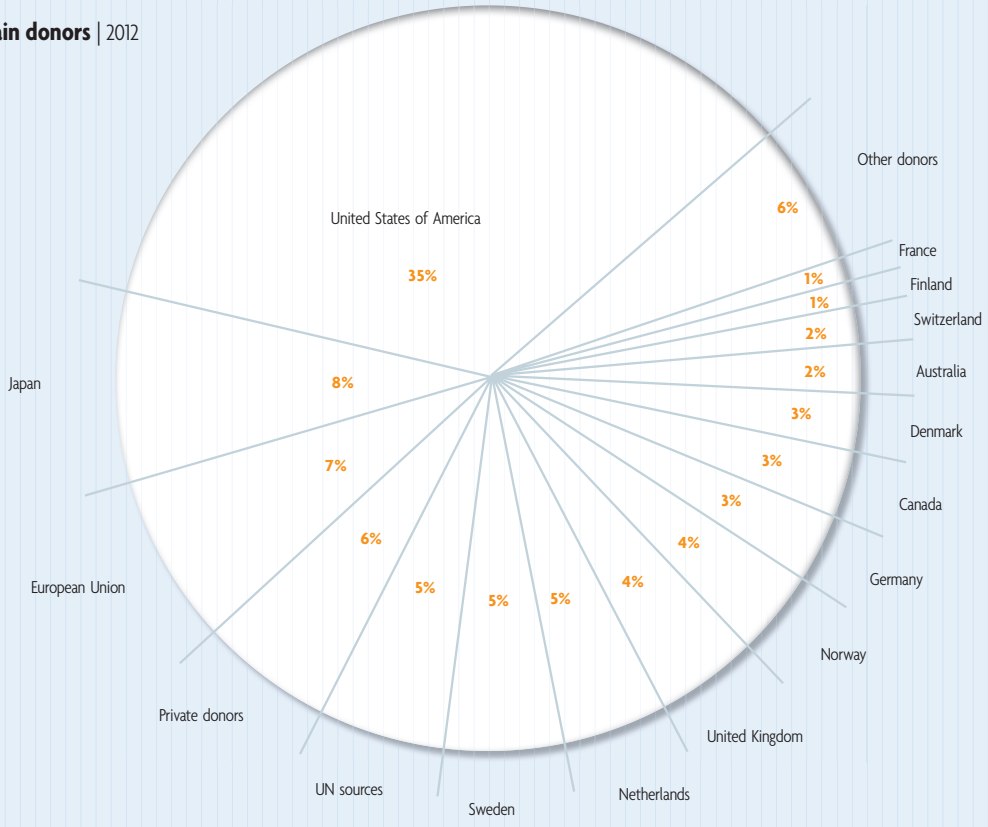
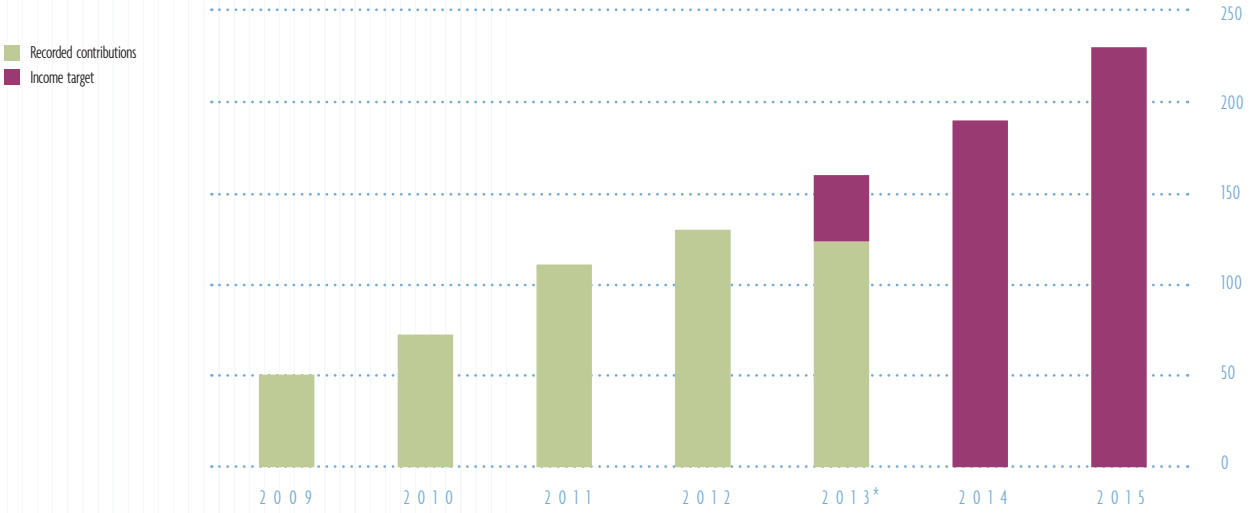


CHART 7 **Contributions from the private sector 2009 • 2015** | USD • millions



*Recorded contributions as of 30 October 2013

over USD 160 million from the private sector in 2013, USD 190 million in 2014, and some USD 230 million in 2015, as shown in **Chart 7**.

Individual donors, especially regular monthly contributors, remain the bedrock of private-sector fundraising. Their contributions are reliable and provide much-needed flexible and unrestricted income to the Office. By 2014, UNHCR expects to have over 750,000 individual donors, those who give one-time gifts and committed donors who make multiple donations on a regular basis. A priority is to attract and retain these donors in key countries, including Australia, Germany, Italy, Japan, the Republic of Korea, Spain, Sweden and the United States.

Equally important is the need to diversify UNHCR's funding base by bringing in new gifts from corporations, foundations and philanthropists. These partnerships will be another major area for growth and are expected to yield substantial funds, in-kind support and expertise. In particular, UNHCR will continue to nurture multi-year partnerships with the IKEA Foundation and other leading corporations such as Fast Retailing Co. Ltd. (UNIQLO), the Dutch Postcode Lottery and the Swedish Postcode Lottery. In addition, the Office will continue to collaborate with major foundations and philanthropic entities engaging in the refugee cause through global projects and campaigns, including the United Nations Foundation and the Educate a Child Initiative.

The aim for the next two years is to strengthen the synergies between institutional and private donors, not only to complement financial contributions, but also to deepen public awareness of the plight of the forcibly displaced around the world. ■

Multi-year funding requirements for solutions

UNHCR is taking a fresh look at its approach to global displacement solutions through the creation of its new internal Solutions Steering Group. Working across several divisions in partnership with the geographical bureaux and field colleagues, the Group is supporting a strategic approach to solutions that builds on the lessons learned from the Transitional Solutions Initiative (TSI) and other recent work in this area. The Group will be identifying priority countries for intensive solutions work based on the opportunity for meaningful and measurable achievements over the next three years. The understanding of solutions in this context is progressive; so while the full realization of durable solutions may not be achieved for an entire population immediately, measures introduced must be supportive of durable solutions for a targeted population. These include, for example, activities that substantially increase the self-reliance of a given population, work that supports the achievement of legal status for targeted populations, and measured disengagement by UNHCR in appropriate contexts.

Building on the partnerships developed through TSI and other work, UNHCR will be intensifying its approach to partnering for solutions. A Strategy and Engagement Group will bring together government partners, UN agencies, civil society, and others interested in advancing the common cause of solving longstanding displacement situations and helping displaced people to become agents of their own destiny. Multi-year, multi-partner plans will continue in eastern Sudan and Colombia and will be developed in additional countries. UNHCR is encouraging multi-year contributions from traditional and new donors and funding sources to support endeavours to find solutions. Financial requirements for specific, new multi-year plans will be elaborated at a later stage in the work of the Solutions Steering Group. ●

UNHCR'S FINANCIAL REQUIREMENTS | USD

Operation	2013 Revised Budget (as of 30 June 2013)	2014 PILLAR 1 Refugee programme	2014 PILLAR 2 Stateless programme	2014 PILLAR 3 Reintegration projects	2014 PILLAR 4 IDP projects	2014 TOTAL	2015
West Africa	280,291,125	192,400,346	3,836,016	9,329,473	49,137,181	254,703,016	240,080,140
East and Horn of Africa	1,174,261,296	1,076,136,761	12,567,880	15,006,956	92,682,920	1,196,394,517	1,158,577,303
Central Africa and the Great Lakes	372,920,503	209,733,949	2,562,042	72,563,781	87,131,447	371,991,220	350,762,266
Southern Africa	83,219,458	68,546,973	1,139,941	0	690,555	70,377,469	65,582,898
Middle East	1,448,694,024	1,074,526,576	3,732,621	39,598,855	255,897,381	1,373,755,433	1,339,949,133
North Africa	167,138,406	157,804,834	509,962	0	150,000	158,464,796	154,649,114
South-West Asia	352,292,837	176,744,712	160,420	120,933,719	62,057,651	359,896,502	356,325,694
Central Asia	18,104,248	10,040,097	3,995,748	0	2,457,167	16,493,012	16,825,579
South Asia	38,839,905	31,567,862	2,336,884	3,030,049	1,264,439	38,199,234	35,424,378
South-East Asia	151,012,866	83,659,745	16,791,991	0	52,553,888	153,005,624	158,754,655
East Asia and the Pacific	15,343,290	13,519,470	261,932	0	0	13,781,402	13,781,402
Eastern Europe	271,060,664	221,936,277	3,209,325	0	10,823,117	235,968,720	245,246,641
South-Eastern Europe	50,904,215	16,132,946	4,820,537	5,595,628	18,285,055	44,834,165	45,670,573
Northern, Western, Central and Southern Europe	60,178,391	58,795,712	3,680,391	0	0	62,476,103	60,218,250
North America and the Caribbean	20,600,682	9,706,262	7,448,701	0	3,270,295	20,425,258	22,142,061
Latin America	81,427,530	60,253,261	495,557	0	29,177,542	89,926,361	96,253,047
Global programmes	206,639,698	219,942,292	0	0	0	219,942,292	202,452,820
Headquarters[1]	195,017,190	200,279,868	0	0	0	200,279,868	199,611,402
Subtotal	4,987,946,328	3,881,727,943	67,549,950	266,058,460	665,578,639	4,880,914,991	4,762,307,354
Operational Reserve	251,767,311	394,927,789	0	0	0	394,927,789	385,156,371
Subtotal	5,239,713,639	4,276,655,732	67,549,950	266,058,460	665,578,639	5,275,842,780	5,147,463,725
NAM Reserve	18,203,548	20,000,000	0	0	0	20,000,000	20,000,000
Junior Professional Officers	12,000,000	12,000,000	0	0	0	12,000,000	12,000,000
Total	5,269,917,187	4,308,655,732	67,549,950	266,058,460	665,578,639	5,307,842,780	5,179,463,725

[1] *The Annual Programme Budget includes allocations from the UN Regular Budget as follows: USD 45.5 million per year for 2013, 2014 and 2015. The values are provisional and subject to the approval of the final United Nations Programme Budget.*