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Refugee Resettlement and Peacebuilding: Exploring the Roles of Human and Social Capital of Caseworkers in Fulfilling Grassroots Refugee Needs

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Abstract

Refugee resettlement provides reintegration opportunities for refugees and paves a path for sustainable peacebuilding through refugee empowerment. Despite these benefits, the often inadequate outcomes of resettlement present challenges for both the refugees and their service providers. Refugee caseworkers must meet their clients' needs and provide certain services to their clients within a limited time period. This makes helping refugees gain economic self-sufficiency a daunting task. Often, failure to achieve resettlement goals is attributed to the refugees for not possessing the desired skills or networks (human and social capital). This research explores how caseworkers' characteristics such as education, experience, and specialized training affect refugee economic self-sufficiency outcomes. The researcher uses U.S. resettlement policy data, focus group discussions with both refugees and their providers, refugee case file analyses, and a case study of refugee specialization training at a post-resettlement refugee services agency to analyze the effects of caseworkers' characteristics on refugee economic self-sufficiency. The results support the claim that caseworkers' characteristics play a vital role in helping the refugees attain economic self-sufficiency. This study identifies key challenges in refugee resettlement case management and recommends development of agency capital (i.e. human and social capital of caseworkers), which would help increase refugees' human and social capital and ultimately improve both case management and resettlement outcomes. This study also recommends that resettlement entities adopt a community-specific service model to improve refugee economic self-sufficiency outcomes for the different refugee groups being resettled in the United States.

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List of Abbreviations

ACA	Affordable Care Act
CG	Control Group
CW	Caseworker
DHS	Department of Homeland Security
DHHS	Department of Health and Human Services
DSS	Department of Social Services
DOS	Department of States
ESS	Economically Self-Sufficient
ESL	English as a Second Language
FGD	Focus Group Discussion
GAO	Government Accountability Office
IDPs	Internally Displaced Persons
IOM	International Organization for Migration
MG	Matching Grant
NRG	Non- Refugee Specialization Training Group
OPEs	Overseas Processing Entities
ORR	Office of Refugee Resettlement
PRM	Bureau of Population Refugees and Migration
PTSD	Post Traumatic Stress Disorder
RCA	Refugee Cash Assistance
RG	Refugee Specialization Training Group
RMA	Refugee Medical Assistance
RSC	Refugee Support Center
RST	Refugee Specialization Training
R&P	Reception and Placement
SNAP	Supplemental Nutrition Assistance Program
TG	Test Group

U.S.	United States
U.N.	United Nations
UNHCR	United Nations High Commission for Refugees
UNRWA	United Nations Relief and Works Agency for Palestine Refugees
VOLAGs	Voluntary Agencies
ZPD	Zone of Proximal Development

Chapter 1 Introduction

With some fear still in their minds, they tell stories of how they became refugees—how rape, abduction, murder, and political persecution led them to flee their home county. A dangerous escape across the border to the nearest refugee camp brings some security but no identity. Resettlement caseworkers hear stories like this from their refugee clients every day. A shocking past, a confusing present, and an uncertain future await those refugees who completely put their hopes for a better future in these resettlement agencies. The voluntary option to resettle in a sponsoring country like the United States provides many refugees with the chance to start a new life, but the task is daunting. Barriers of language, culture, health conditions, and the availability of resources limit refugees and their caseworkers. Worse, refugees are expected to become economically self-sufficient within a certain time-period due to limited funding available to them. This puts intense pressure on not only the refugees, but also on their resettlement agencies and especially on the caseworkers who will have to use all of their knowledge and skills in order to make their clients economically self-sufficient within the designated time period.

The World Refugee Problem

Refugee is an official legal status and a continual policy and implementation issue worldwide. According to the United Nation's (U.N.) Convention on Refugees in 1951 (U.N., n.d.), a refugee is someone who "owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his nationality, and is unable to, or owing to such fear, is unwilling to avail himself of the protection of that country." The magnitude and significance of the issue stems from the growing number of refugees each year. Nor will this number decrease in the foreseeable

future; refugees will continue to be created by fratricidal war, genocide, and persecution. Even if global peace is achieved in the future, natural disasters due to climate change and other factors such as rapid industrialization and deforestation will keep displacing people. Those who are displaced internally are known as Internally Displaced Persons (IDPs), and those displaced externally are known as refugees.

According to the report of the United Nations High Commission for Refugees (UNHCR, 2011), as of 2010, the sheer number of low-grade or more incendiary conflicts around the globe–estimated as 25 conditions of war or protracted conflict in 21 countries around the globe–had created an international population of about 15.4 million refugees. Hundreds of thousands more (and counting) have been added to the pool every year due to recent violent events in Egypt, Liberia, Sri Lanka, Sudan, South Sudan, Syria, Ukraine, and more. U.N. High Commissioner for Refugees, Antonio Guterres, argues that the magnitude and protraction of these conflicts creates the highest ranking major challenge to addressing the refugee problem internationally (UNHCR, n.d.).

In the past four years, the worldwide reported refugee numbers have increased significantly. UNHCR 2014 Statistical Yearbook states that there are approximately 19.5 million refugees worldwide. Of that number, 14.4 million of these refugees are registered at various refugee camps under UNHCR. The remaining 5.1 million are Palestinian refugees registered by United Nations Relief and Works Agency for Palestine Refugees (UNRWA) (UNHCR, 2015).

Unlike refugees fleeing from violence or war, IDPs and refugees of climatic conditions such as the Haitian IDPs from the 2010 earthquake and the Sri Lankan IDPs from the 2004 Tsunami are often able to return to their homes in the aftermath of the disaster or after the reconstruction of their habitat. But repatriation is much more complicated in the case of violent or

protracted conflicts, which often prolong the return process. Protracted social conflicts involve complex issues, are resistant to conflict resolution processes and other change efforts, and when agreements are reached, they are likely to break down (Lewicki et al, 2003). These conflicts are prolonged and often violent struggles for basic needs such as security, recognition and acceptance, fair access to political institutions, and economic participation (Azar, 1991). Examples of protracted conflicts include the Hutu-Tutsi conflict in Rwanda, the Tamil-Sinhalese conflict in Sri Lanka, the Israel-Palestine conflict, and the India-Pakistan conflict over Kashmir. Most refugees who have fled their homelands because of conflicts like these have no hope of repatriation. Very few integrate locally in the first host country of refuge. Many still remain country-less and rootless in the refugee camp or on the fringes of society in the neighboring countries to which they initially fled. They wait in camps for years, sometimes decades, in the hopes of repatriation, which rarely happens. Some spend their entire lives in the camps without any resolution. This adds tens of thousands annually to the number of the world's refugees (UNHCR, 2011).

This growing number of refugees in today's world has forced the international community, under the leadership of the United Nations, to create international policies and various forms of humanitarian interventions to mitigate refugee-related problems. Refugee resettlement is one such intervention. Resettlement aims to contain refugee issues by resettling them in a third country that is willing to sponsor them. By allowing refugees to reintegrate into a non-hostile, welcoming society, refugee resettlement programs build sustainable peace for refugees. This effort is led by UNHCR, which recommends about 1% of the total refugee population for resettlement every year. In 2011, of the total population of about 92,000 refugees recommended for resettlement by UNHCR, about 62,000 were resettled in the handful of nations who accept refugees—the U.S. being the largest by a significant amount (UNHCR, n.d.).

Refugee resettlement is a permanent solution to those refugees who have no hopes of repatriation and who voluntarily choose to relocate to continue their lives in a new country where they can build new homes and create new identities. But every intervention has its own challenges. Resettlement tends to be more difficult in the case of refugees since this "new home" happens to be in alien environment.

Resettlement and Building an Economically Self-Sufficient Life

The primary problem facing refugees is deprivation of basic needs due to a failure to achieve economic independence. This is often caused by the mal-environment in the refugee camps and the hostile attitude of the host community. High Commissioner Guterres refers to this "shrinking humanitarian space," or the hostile environment in which the humanitarians have to work, as the second major challenge related to refugees. Refugee resettlement, a public-private partnership (See cooperative agreement, Appendix 1), largely addresses this major challenge by shifting the humanitarian space to a safer location—the resettlement site. Here, the resettlement agencies focus on integrating refugees into the social fabric of their new country. The key component of integration is economic self-sufficiency–the ability to provide for oneself and one's family.

The primary mission of resettlement agencies is to provide refugees with the tools they need to achieve economic self-sufficiency. Economic self-sufficiency in this context means refugees become economically independent and therefore no longer require aid and support for their survival (Kerwin, 2012). However, during the resettlement process refugees face several challenges and barriers that keep them from achieving their goals. Refugees often lack job skills and qualification due to conditions in the refugee camps, and sometimes the skills they possess are not adequate to meet the needs in the host community. Thus, they face economic hardships

(Connor, 2010). Current practice and studies have identified refugee characteristics such as poor health conditions, lack of education, and lack of employment skills to be some of the major challenges in achieving economic self-sufficiency (de Vroome and Tubergen, 2010; Montero and Dieppa, 1982). These are the very factors that stand as hurdles to resettlement agencies and caseworkers during the delivery of required resettlement services. The resettlement caseworkers work at the grassroots level of the broad international agreements to resolve refugee issues. They labor continuously to improve refugees' economic self-sufficiency conditions by using both internal and external resources. They are the providers who hold the keys to the successful resettlement of the refugees. Using a mixed-methods model, this study aims to explore factors on the service providers' end (independent variable) that impacts the achievement of refugee economic self-sufficiency (dependent variable) using the United States' resettlement model.

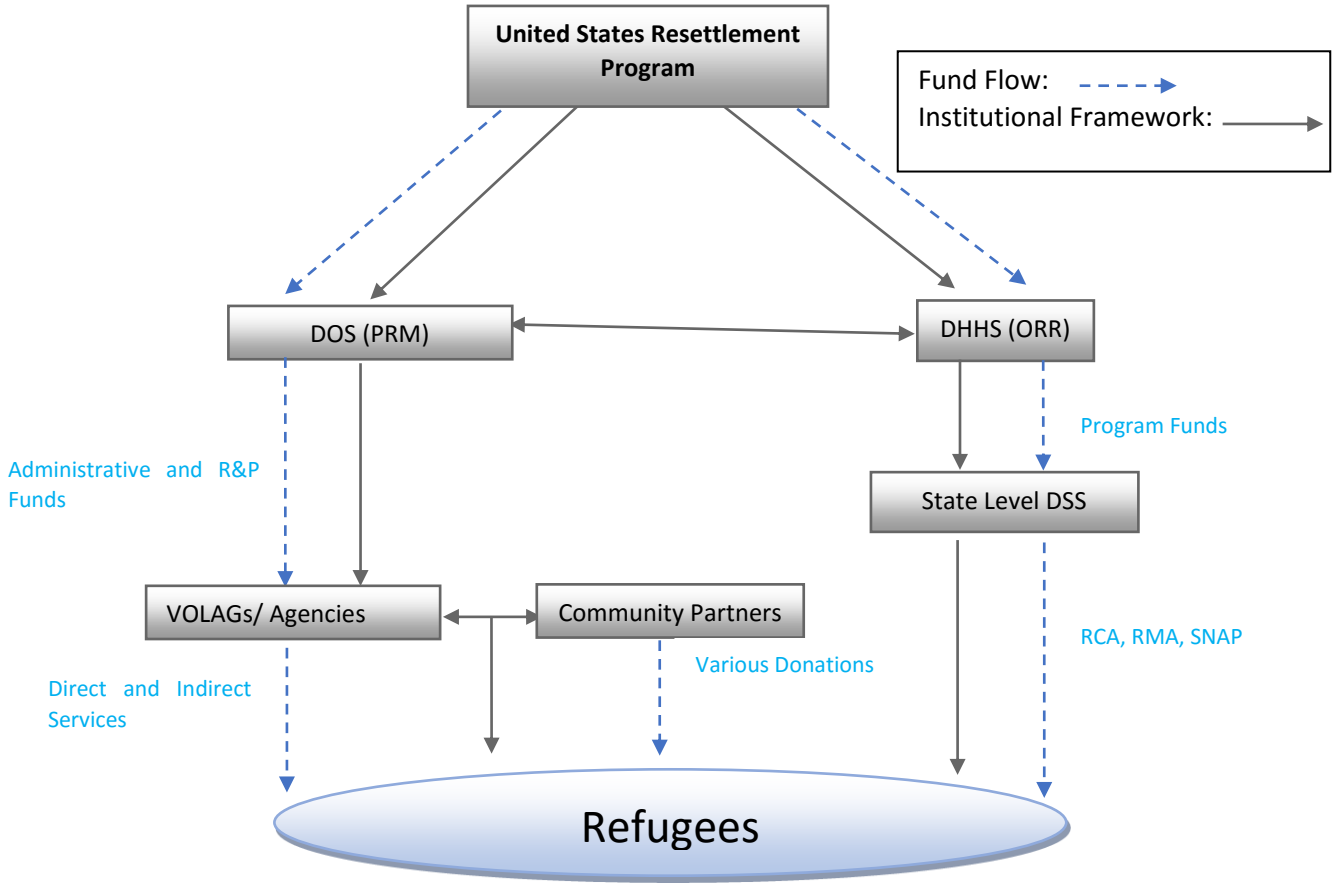


Figure 1.1. U.S. Refugee Resettlement Program (USRP) Model[1]

There are about ten Voluntary Agencies (VOLAGs) in the United States that provide resettlement services to the growing number of refugees in the U.S.[2] Each VOLAG has several satellite agencies that help provide resettlement services throughout the U.S. Every year the

[1] C&P Author: This resettlement model has been designed by the author for the sole purposes of this research. DOS: Department of State; PRM: Bureau of Population, Refugees, and Migration; ORR: Office of Refugee Resettlement; DHHS: Department of Health and Human Services; DSS: Department of Social Services; RCA: Refugee Cash Assistance; RMA: Refugee Medical Assistance, SNAP: Supplemental Nutrition Assistance Program (food stamps); MG: Matching Grant; R&P: Reception and Placement.

[2] The following were the VOLAGs in 2008: United States Committee for Refugees and Immigrants (USCRI), Church World Service (CWS), Episcopal Migration Ministries (EMM). Ethiopian Community Development Council (EDCD). Hebrew Immigrant Aid Society (HIAS), International Rescue Committee (IRC), Lutheran Immigration and Refugee Services (LIRS), U.S. Conference of Catholic Bishops (USCCB), Iowa Bureau of Refugee Services (IBRS) and World Relief (WR).

number of refugees to be resettled in the U.S. is determined by the Federal Government. Those refugees are distributed among the VOLAGs. Each VOLAG in turn distributes their assigned refugees to their respective satellite organizations (Edwards, 2012). The number of refugees to be assigned to each of the resettlement agencies is based upon their size and capability.

The paradigm used by United States for refugee resettlement is a hierarchically structured public-private partnership. The structure is revised every year through a series of consultations with affiliate agencies to best serve the refugees and give them a new place to call home. This paradigm consists of five major bodies which collaboratively provide services to the refugee mass (See Fig.1.1). The Federal Government decides the number of refugees to be brought into the country every year depending upon the urgency recognized by UNHCR for immediate resettlement. For this, it has several Resettlement Support Centers (RSCs) around the globe. Under the federal guidelines, the Bureau of Population, Refugees, and Migration (PRM) monitors the entire process until the refugees are brought into the U.S. and allocated for Reception and Placement (R&P) (Edwards, 2012). While the resettlement agencies under the VOLAGs provide case management services to the refugees, various benefits such as Refugee Medical Assistance (RMA), Supplemental Nutrition Assistance Program (SNAP), or food stamps, and Refugee Cash Assistance (RCA) are provided to the refugees in various states by the Office of Refugee Resettlement (ORR) under the Department of Health and Human Services (DHHS). The administrative funds, (R&P) funds, and Matching Grant (MG; which is a short term grant targeted towards employment) are provided to the refugees directly as cash or indirectly as services through the resettlement agencies under each VOLAG (Kerwin, 2012).

In recent years, the United States has sponsored approximately 80,000 refugees annually, all of whom are recognized by the UNHCR to be in the urgency of placement. In 2010,

the President's annual Report to Congress set a ceiling of 80,000 refugees in its 2011 fiscal year admission proposals (Devane & Placide, 2010). Refugee Resettlement in the U.S. is administered and monitored by the Bureau of Population, Refugees, and Migration (PRM). Based on a regularly updated cooperative agreement (see Appendix 1) with the PRM, the VOLAGs resettle these refugees in various states through their satellite refugee resettlement agencies. Under the cooperative agreement, the VOLAGs receive R&P funds per refugee case being resettled in the U.S., and they are required to fulfill core resettlement services for each case within specific deadlines from the date of arrival see Appendix 1and 2). These funds are divided between direct cash, indirect in-kind support, and administrative funds; the goal is that the funds be completely used towards the services of the refugee cases.

Significantly, however, given the same funding and basic facilities, the output is not the same across the resettlement agencies. Some resettlement agencies achieve higher levels of refugee economic self- sufficiency on average than others. According to the ORR (2005), in 2005, different VOLAGs had the following outputs:

- Church World Services: 88%
- Ethiopian Community Development Council: 78%
- Hebrew Immigrant Aid Society: 52%
- International Rescue Committee: 79%
- United States Conference of Catholic Bishops: 76%
- United States Committee for Refugees and Immigrants: 88%

The Matching Grant fiscal year 2011 statistics showed that of the total refugees considered employable under the matching grant program nationally, only 51% were employed in the fiscal year 2011. Of the total 51% employed, 56% gained economic self-sufficiency (ORR, 2012).

According to a report from the ORR, refugee employment rates for five years between 2009 and 2013 were reported to be 40% in 2009, 42% in 2010, 50% in 2011, 53% in 2012 and 49% in 2013 (ORR, 2014).

Why are some resettlement agencies able to achieve higher levels of refugee economic self-sufficiency than the others? Why have the national refugee employment rates not improved over the years? Is it solely the refugees' lack of human capital and social capital that affects their economic self-sufficiency, or are there other factors? What roles do the resettlement caseworkers have in maximizing the outcomes? What additional factors may be operating to create differential outcomes? What are the hurdles in the current resettlement policy? How do the characteristics of the caseworkers impact the desired outcome? These questions, many of which have not been explored in existing literature, are the basis for this research, which examines the factors affecting refugee economic self-sufficiency from a new perspective. Refugee resettlement is a permanent solution and often the last piece of hope for refugees who do not have any hopes of repatriation. The study of factors affecting economic self-sufficiency of the refugees is therefore critical; these factors determine not only the success of refugee resettlement programs but also the success of the proposed refugee solution at the international level.

Statement of the Problem

The challenges faced by refugees during the resettlement process vary by degree but not by content from the problems they face in the refugee camps. The refugee-making experience challenges human survival itself, and in the process challenges every dimension of human need from Maslow's hierarchy, the most elementary material needs (food, shelter, health), to higher-order interpersonal and psychological needs (security, recognition, and self-esteem). Resettlement sites are usually countries with developed economies and unforgiving social

structures where fewer informal support systems exist for the general population. This lack of support is particularly true for refugees. They are expected to adapt to their new environment, be self-supporting, and provide for one's family. Self-sufficiency is the pivotal factor that enables individuals to meet their basic needs and have access to meet higher-order needs.

Economic self-sufficiency is largely impeded due to refugees' limited language competency, cultural shock, lack of employment skills or education, and unfamiliarity with navigating the complex social services systems. Underlying all of these deficits are the basic contrasts between the third world countries of origin of most refugees and the developed societies of their resettlement hosts. For example, the job skills and education that refugees bring with them may not be relevant in the resettlement site. Also, concepts like social services, public healthcare, are usually new to the refugees as they generally do not have those systems back home or in the refugee camps.

Although refugees have different needs due to different backgrounds, a uniform and short duration of time is allowed for basic reception and placement of all groups. This creates a very small opportunity for addressing some of the deficits, and it places pressure on the resettlement agencies to prioritize economic self-sufficiency above other needs and support services in order to provide rapid turnaround for clients' attainment as wage-earners. Other aspects of self-sufficiency such as physical and mental well-being, family reunification, cultural orientation, assimilation and integration—all of which take a much longer time—are accomplished in a pressure-free progression. This prioritization is important because a bulk of focus can be placed on the achievement of economic self-sufficiency. This, in the long run, would complement the holistic idea of self-sufficiency. The other critical factors of self-sufficiency are put under mandatory services to be provided within the R&P period of 90 days under strict timeline or

according to the urgency of need. The local non-profit organizations operated by the national VOLAGs survive on bare-bones program funds. Because of this, they usually have a limited number of caseworkers, which also significantly impacts their operational capabilities and their pursuit of desired goals. The problem remains: how can caseworkers achieve the desired goals given the limited resources, fixed resettlement structure, and strict guiding policies that are in place?

The humanitarian space through resettlement is only able to accommodate so many refugees at a time. The resources available for refugee resettlement are limited both in terms of manpower and financial aid, thus, the program can only effectively support a certain number of refugees at a given period of time. It is very important for the program to succeed in achieving a certain percentage of refugee economic self-sufficiency per year. There needs to be a proportional exit of economically self-sufficient refugee cases in order to create space for the newly arriving refugees every year. The providers will not be able to sustain a disproportionate growth in need if economic self-sufficiency is not achieved at a relatively proportional rate. Lack of refugee economic self-sufficiency within the resettlement period will lead to further dependency on case management services, but much more limited to certain non-financial services. On the service provider's side, these disproportional numbers create additional caseloads since both newly arriving refugees and those refugees who are not self-sufficient will to need services. This divides the focus in case management services since the resettlement agencies have to use available resources to accommodate these caseloads. The inability to provide adequate time per refugee case due to a heavy caseload leads to less effective services being provided to the refugees, which in turn lowers the refugees' chances of achieving

economic self-sufficiency. This negatively impacts the resettlement of refugees and their peacebuilding process as a whole.

A program can only stretch so much in trying to accommodate the growing number of clients. If the caseload keeps piling up, resettlement will eventually become unmanageable and turn into chaos. The success of a resettlement program highly depends upon case management. Thus, it is crucial to identify and explore the means by which case management can be made stronger. With strong case management, the resettlement program has a strong backbone and is able to meet the desired economic self-sufficiency goals. When these goals are met, the humanitarian space remains healthy and able to assist newly arriving and needy refugees.

Chapter 2 Resettlement Preparations, Processes & Provisions

Processes and Preparations in the Refugee Camps

The refugee resettlement process starts in the refugee camps administered by the UNHCR. Refugee resettlement is provided as an option for the refugees to integrate into a new society and begin a new life when other options are not deemed viable. This is an entirely voluntary process. No refugee is forced to resettle in a new country. Many choose to live in the camps, hoping to someday repatriate, whereas some choose to stay in the camps and integrate locally in the country where they first sought refuge. Living in the refugee camps for several years gives them better chances of local integration due to their familiarity with the language and culture, and the human and social capital they have acquired in the process. Those who are willing to resettle in new sponsoring countries voluntarily apply for the process. The selection is based on the level of urgency for resettlement, which is mostly determined by the UNHCR. There are three different priority levels for refugee resettlement in the United Sates: priority one, two, and three.

Priority One (P-1):

Refugees categorized as P-1 are those refugees perceived to have compelling security concerns such as persecution in the first country of refuge and forced repatriation, as well as those with serious health conditions. The P-1 determination is usually done by UNHCR and occasionally by the Department of State (DOS) through its embassies. Such cases are expedited for resettlement so that those under security threat can escape wrongful persecution and those with health conditions can have access to the healthcare facilities as a part of the reception and placement process (Patrick, 2004; Bruno, 2015).

Priority Two (P-2):

P-2 is a group designation determined by DOS after consultations with UNHCR, NGOs, and the United States Bureau of Citizenship and Immigration Services (USCIS). Only refugees in groups which have been considered urgent for resettlement are eligible for P-2 status. The groups to be considered for P-2 are reviewed annually, and new groups are added and removed based on the nature of urgency. Some of the current P-2 designees include Cuban dissidents, former Soviet Union nationals, Burmese refugees in Thailand, Iranian religious minorities processed in Australia and Turkey, and Iraqi nationals associated with the United States (Bruno, 2015).

Priority Three (P-3)

P-3 refers to family reunification cases. P-3 is also a group designation similar to P-2 and is granted to refugees of certain nationalities for reunion with family members who have already been resettled in the U.S. P-3 has been specifically reserved for the spouses, parents, and unmarried children under the age of 21 of a person already resettled in the U.S. For example, a family might have been separated while fleeing persecution. The husband might have sought refuge in one refugee camp while the wife and children might have sought refuge in a different camp, usually in different countries. If either of them were resettled first, they could file a petition for family reunification, which expedites the resettlement process of the spouse and the children. Currently, P-3 is available to the nationals of 24 countries (Patrick, 2004; Bruno, 2015).

The Resettlement Support Centers (RSCs), formerly known as Overseas Processing Entities (OPEs), process the people in the pipeline for resettlement in the United States in coordination with the UNHCR (IRC, n.d.). The timeline for a resettlement case to be finalized may vary from one to two years on average. During this period, the refugee cases have to go through certain mandatory pre-resettlement programs such as cultural orientation, language classes, health

screenings, and immunizations. On-site interviews are conducted by the Citizenship and Immigration Services staff at the Department of Homeland Security (DHS). Once everything has been finalized, the refugee cases are flown to the host resettlement countries. The International Organization for Migration (IOM) is responsible for the transportation of refugees to their assigned destinations (ORR, 2015). IOM provides transportation loans to these refugees under a signed understanding that they pay the loans back once they start earning at the resettlement sites. According to the cooperative agreement (see Appendix-1), the resettlement agencies assist the refugees with the transportation loan payment to IOM.

While the resettlement preparatory services are conducted by the DHS, the placement allocations and the initial R&P are done by the DOS, and interim social services are provided by the DHHS (see Fig. 1.1.). The DHS is more involved in the international front of the process while DOS and DHHS are involved in the domestic process, providing transitional services to the refugees in order to make them self-sufficient. These three departments together represent the United States' humanitarian response to the world refugee crisis (ORR, 2015).

The Core Services at the Resettlement Site

There are specific core services that agencies must fulfill with their refugee clients as per the signed cooperative agreement between the U.S. Department of State and the resettlement agencies (see Appendix 1 and 2). These core services are divided into pre-arrival and post-arrival services. The resettlement agency assigned for reception is notified in advance of the arrival of their assigned refugee cases. Notices are sent at least two weeks in advance to allow the resettlement agencies to prepare for reception. All the activities conducted prior to the arrival of refugees into the resettlement site are called pre-arrival services. Post-arrival services follow immediately after the refugee cases are received by the agencies. These core services are provided

to individual refugees and families in order help them achieve economic self-sufficiency within the R&P period by enhancing their employment skills. The pre-arrival and post-arrival services are discussed below.

Pre-arrival services

Secure appropriate housing

The resettlement agencies are required to find appropriate housing for the refugee cases arriving in the near future. If the arriving case is a single refugee, the resettlement agency can rent a room for the case. However, if it is a family case, then the agency has to find appropriate rental housing to fit the household size. The agencies have to follow strict guidelines for housing as outlined in the cooperative agreement. For example, a couple or a family of three with an infant can be placed in a one-bedroom apartment or house. If it is a family of three with an older child, then they have to be placed in at least a two-bedroom apartment or house.

Essential furnishing

Minimum essential furniture such as a bed, crib (for infants), dining table, and living room furniture must be provided according to the household size of the arriving refugee case. These items have to be in working condition, and clean and hygienic, but they are not required to be new. Resettlement agencies often use donated furniture and used furniture stores to fulfill the furniture needs for refugee cases in order to save the R&P funds for the particular case so that the funds can last them for a longer period of time.

Utilities

The utilities have to be set up for the refugees in advance as well. The caseworkers have to call utility companies and set up the activation of utilities no later than the date of arrival. This

way, refugees have appropriate utilities available when they arrive, and they are able to cook and eat as needed.

Grocery and hot meal

Resettlement agencies are also required to store adequate and culturally appropriate groceries to last at least a few days for the newly arriving refugees. Infant food requirements need to be met for cases with infants. For the day of arrival, the resettlement agencies are required to provide a culturally appropriate hot meal to the refugee case. Resettlement agencies seek help from volunteers or other refugees from the same community to provide hot meals to the newly arriving cases.

Stationery and miscellaneous

Resettlement agencies are also required to provide stationery items such as pens and paper, cleaning supplies, and toiletries and personal hygiene items to the refugee household.

The Arrival

On the day of arrival, the IOM representatives coordinate with the assigned caseworker of the agency for the reception of the refugee case. Reception is usually done at the airport, if conveniently located from the resettlement agency, or at a transportation center close to the resettlement agency. All transportation to the reception point is arranged by IOM. The resettlement agencies are required to arrange proper transportation to bring the refugee cases from the reception point to their residences. The resettlement agency is also required to arrange appropriate interpreter services for reception.

Post Arrival Services:

Home safety orientation

Basic home safety orientation is provided as soon as the refugees are brought to their residence. This includes information on appliances, doors and windows, fire alarms, and climate controls. A more detailed home safety orientation is provided within five working days of arrival.

Community and miscellaneous orientations

Resettlement agencies are required to provide orientations on various topics to the refugees. They are also required to provide both appropriate interpreter services and, as much as possible, translated materials in the native language of the refugees. Family intake and personal safety orientations are conducted within five working days of arrival. Other orientations such as personal hygiene, budgeting, public transportation, immigration, and family reunions are conducted within 30 days of arrival.

Health orientation and screenings

Resettlement agencies are required to provide refugees with general health orientations and to assist refugees in obtaining initial health screenings within one month of arrival. Sometimes the agencies receive cases who have serious health conditions categorized as Class-A. Agencies are required to assist such refugee cases by having them see a doctor within one week of arrival. Agencies should provide refugees with immunization information for their future immigration application purposes.

Social security card application

Assistance with social security card application has to be completed within 14 working days of arrival. This assistance is crucial for refugees to pursue employment and state benefits,

since social security cards allow refugees to legally work and apply for all the transitional social security benefits available to them through DHHS.

Selective service registration

Males between the ages of 18 and 25 are registered for selective services within 30 working days of arrival. Registering for selective services is a commitment to serve the United States during emergencies. Selective service is mandatory for all males between the specified ages, whether U.S. citizens or immigrants.

English as a Second Language (ESL) and school enrollment

ESL enrollments must be completed within 10 working days of arrival. Agencies have to set up appropriate ESL sessions for refugees who arrive at the resettlement sites at different intervals. Transportation arrangements have to be made for refugees to be able to attend the first few ESL classes before they receive transportation orientation. School-aged refugee children have to be registered for school within 30 working days of arrival. Proper school attire and supplies must be provided to the children as well.

Public service assistance

All public service assistances such as Food Stamps, Medicaid, Matching Grant, Social Security Income (for ages 65 and above), and Refugee Cash Assistance have to be completed within seven working days of arrival.

Legal Provisions for Employment and Immigration

To assist the refugees in obtaining economic self-sufficiency as soon as possible, the U.S. government has appropriate employment provisions in place. Refugees are legally allowed to live and work in the U.S. as any U.S. residents and citizens are. They are provided Employment Authorization Cards soon after arrival, and they also obtain social security numbers within a few

weeks of application. These documents are sufficient for employment purposes. Refugees also obtain necessary orientation and assistance with their permanent residency applications after about nine months in the United States (See co-operative agreement, Appendix 1).

Conclusion

Various international and domestic level actors are involved in the process of getting the refugees to the resettlement sites from the camps. The three organs of the U.S. government—DHS, DOS, and DHHS—play their parts of screening refugees for resettlement, allocating refugees to different agencies, and providing transitional social services to refugees, respectively. These three government bodies work collectively with state-level agencies, VOLAGs, resettlement agencies, and community partners to perform their resettlement functions and to help the refugees achieve economic self-sufficiency in the U.S. This is a complex system involving national and local level actors from both the public and private sectors, which is represented by the caseworkers at the grassroots level. The caseworkers need to be competent in the aspects of education, experience, training, and social connections in order to effectively translate these complexities for all stakeholders, while also ensuring that refugees achieve economic self-sufficiency.

Chapter 3 Theory and Literature Review

This research is conceptualized within the framework of four theories: Peacebuilding Theory, which describes the processes involved in building a sustainable peace for refugees; Human Needs theory, which describes the problem related to refugee resettlement and the urgency for economic self-sufficiency of refugees; and Human Capital and Social Capital theories, which define the two arms of this intervention for peacebuilding and which help both the providers and the recipients to achieve the desired outcomes. The interaction between these theories is illustrated in the conceptual framework below.

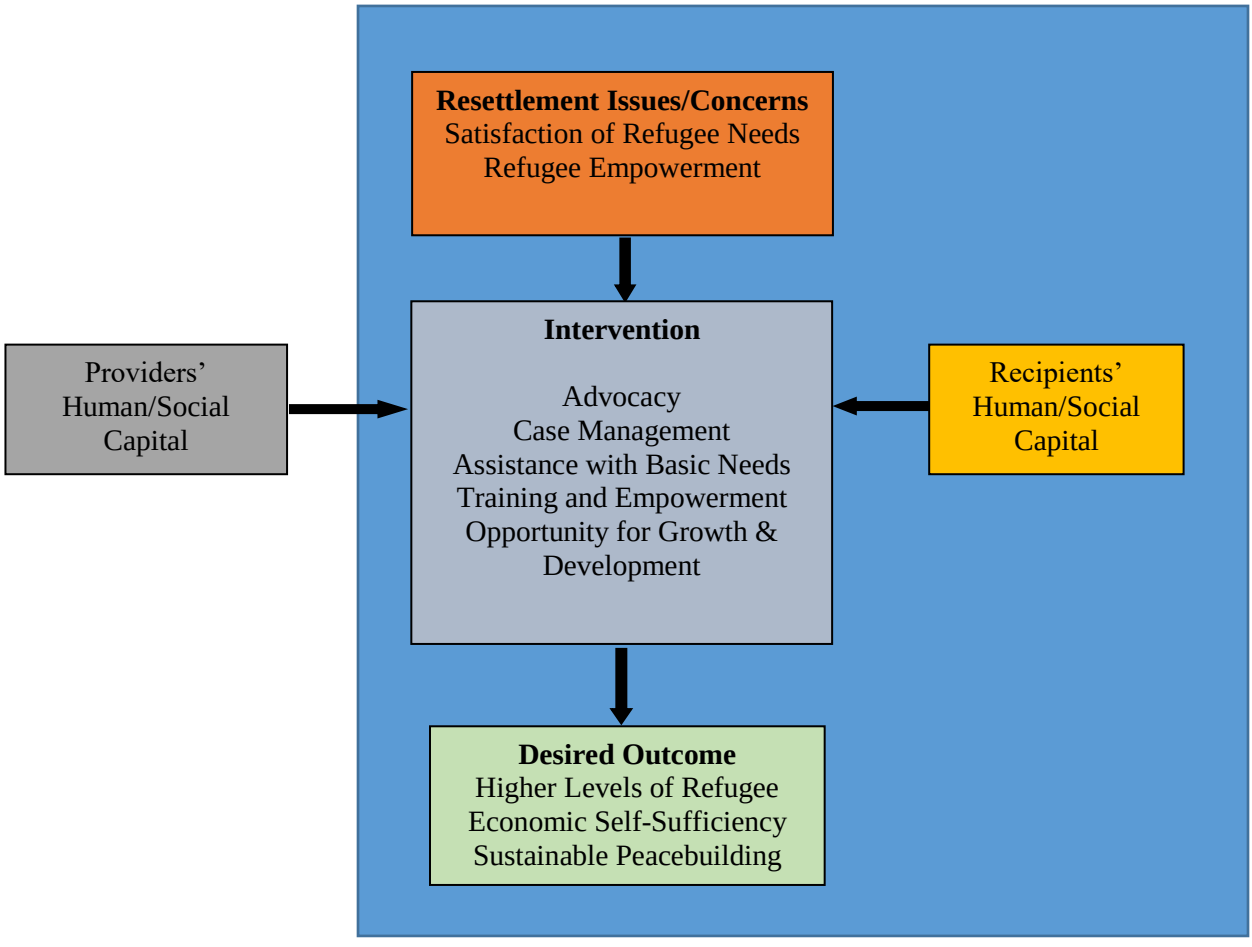


Figure 3.1. Conceptual Framework

The conceptual framework of this research is based upon an exploration of refugee resettlement as a peacebuilding process seen through the lenses of human needs, human capital and social capital theories. This study argues that refugee resettlement is a form of peacebuilding. Refugee resettlement is different from traditional peacebuilding processes, and in some ways it is unique. Instead of implementing developmental activities in post-war zones where most often the victims and the perpetrators live in close proximity, the victims are moved to a resettlement site far from the hostilities of the past. This provides refugees with an opportunity to integrate into a new society, build new skills and new social networks, and become self-sufficient. As with any traditional peacebuilding process, refugee resettlement emphasizes the improvement of victims' conditions. Empowerment also remains primary during refugee resettlement, with a major focus on the investment of human capital of the economically marginalized people.

Peacebuilding Theory

Peacebuilding generally starts after the end of violence or after a peace agreement has been made between conflicting parties. For durable peace, a peacebuilding process must be strategic. Peacebuilding theories suggest long-term peacebuilding strategies rather than short-term. Long-term strategies are formulated by integrative (or positive-sum) approaches, not by positional bargaining (or zero-sum) approaches. Positive-sum approaches are those approaches in which all conflicting parties gain some satisfactory outcomes without the display of power. A zero-sum approach is one in which power position dominates the process and one or a select few powerful parties gain while the others lose (Ramsbotham, Woodhouse and Miall, 2011). Integrative approaches attempt to meet each party's underlying interests, values and needs, but in order for integrative approaches to work effectively, they must be implemented at various levels.

There are three levels of approaches in peacebuilding; the top-level approach, the middle-range approach and the grassroots approach. The top-level approach involves top leaders from the military, political groups, and religious groups who focus on high-level negotiations. These high-level negotiations are usually led by a single, high-profile mediator. The middle-range approach involves leaders from certain respected sectors such as ethnic groups, religious groups, and intellectuals who focus on problem-solving workshops and training in conflict resolution. The grassroots approach involves local leaders such as community developers, local health officials, and refugee camp leaders who focus on grassroots training, prejudice reduction, and psychological work in post-war trauma (Lederach, 1997). In refugee resettlement, the UNHCR, IOM, the leaders from countries granting refuge, and the resettlement host-countries represent the top-level leadership. The middle-range leadership includes leaders from various public departments such as DHHS and DOS, and national-level resettlement organizations, or VOLAGs. The grassroots leadership includes representatives from local resettlement agencies, community partners, and volunteers. Although all three approaches are present during refugee resettlement, the grassroots approach seems to be the most dominant after the refugees arrive into the resettlement site.

Ramsbothman, Woodhouse and Miall (2011) emphasize that "peacebuilding should be based not merely on the manipulation of the peace agreements made by the elites, but, more importantly, on the empowerment of communities torn apart by war to build peace from below" (233). Moore (2000) argues that peacebuilding packages devote their attention toward market economy reform because that is usually a condition attached to international assistance. There are short-term and long-term needs associated with any peacebuilding process. While humanitarian assistance is targeted towards fulfilling short-term needs, long-term needs can be

fulfilled by investing in human capital and infrastructure building. Developmental programs during peacebuilding should be directed towards improving the conditions of economically marginalized people and empowering them (Pokhrel, 2008).

Refugee resettlement is a peacebuilding process for refugees like any other peacebuilding process, but the only difference is that resettlement takes place in a new environment away from the refugees' countries of origin. This makes peacebuilding in resettlement site more challenging as the refugees have to adapt to a new environment. Refugee resettlement programs primarily focus on improving the conditions of the refugees, ultimately leading to their economic self-sufficiency. Empowerment of refugees is therefore critical for peacebuilding: resettlement helps refugees understand and adapt to changes from refugee camps to the resettlement site. Resettlement also helps refugees become economically self-sufficient and able to fulfill their basic needs.

Human Needs Theory

Abraham Maslow (1954) provides an understanding of human motivation though varying levels of human needs through his "hierarchy of needs". His model consists of physiological needs (basic needs such as food, and shelter), safety needs (structure, and order), belongingness and love needs (friendship, inclusion), esteem needs (high evaluation of self), and the need for self-actualization (being all one can be) in an ascending order. He argues that people seek to fulfill higher needs as they pursue and fulfill their basic needs. According to Burton (1979), satisfaction of human needs is the basis of understanding human behavior; power and deterrence do not explain the social order. Burton views power and deterrence as oppressive means to conflict management, and he states that conflict resolution should be more about studying and understanding human behavior and relationships. He calls for methods of resolution which can

analyze the causes of conflicts and in which there is no power bargaining. Security, identity, survival, and freedom, are the basic requirements for human existence, and the very existence of these needs and human pursuit of their fulfillment often leads to direct violence. Unlike direct violence, structural violence occurs when the economic and political structures and social institutions of a society systematically deprive citizens of their needs (Galtung, 1969). Thus, human needs are the basis for both violent and structural conflicts and it is these "needs" that should be addressed first instead of focusing on the interests, grievances, and greed of the conflicting parties (Coser, 1956). Burton (1979) and Galtung (1969) treat all needs equally whereas, Maslow (1954) views needs as a gradually developing process from basic to advanced needs. By applying these theoretical views to refugee resettlement, we can better understand how refugees' needs are connected to their successful integration and development. Meeting refugees' basic needs through resettlement services such as housing, food, language, healthcare, employment, and immigration, can help refugees uproot the structural violence that they bring with them from their refugee camps and pave the path for economic self-sufficiency. If refugees are deprived of those very needs, however, the resettlement process itself contributes to economic dependency and furthers structural violence.

One major hurdle in the achievement of economic self-sufficiency is the time limit of up to 90 days for the R&P period within the resettlement process. Matching Grant (MG), which is another program focused on serving a separate category of highly employable refugees, also goes anywhere from 120 days initially to an extended period of up to 180 days. The extension applies if the clients fail to achieve economic self-sufficiency within the 120 days but are determined to be laboriously pursuing economic self-sufficiency with high probability of success. These timelines do not seem to be adequate, but from a policy perspective the sponsoring government

must make considerations about the continuous incoming flow of refugees, the funds they are able to allocate per refugee case (single or family), and the physical resources that are available in order to provide services to the refugees at a given point in time. These considerations contribute to the creation of a time limit for the resettlement process which is often seen as a problem. But Galtung (1969) argues that governments can pacify their people by identifying the intersecting points of pain and pleasure to produce consensual behavior. No timeline can actually be deemed sufficient when it comes to such a vulnerable population as refugees. The U.S. refugee resettlement model has integrated bodies of government agencies, VOLAGs, and resettlement agencies (see Fig.1.1) that perform under a cooperative agreement to provide various services to meet the needs of the newly arriving refugees within a defined time period. This model has produced some positive results within the existing system, which may justify the rationale behind the resettlement period. This model also makes it possible to create some space and sustain scarce resources for newly arriving refugees once the old ones have completed their resettlement process. With this dilemma of time and limited resources in mind, this research focuses on amplifying the services to meet the needs of a greater percentage of refugees within the given fixed structure of the resettlement program. The fulfillment of basic needs is a path for refugees to achieve economic self-sufficiency, but it is only after achieving economic self-sufficiency that any refugee may be able to satisfy their other needs in Maslow's hierarchy of needs. Being economically independent gives refugees the ability to provide for themselves and their families, helps further their potential, and gives them control over their own lives. According to Sites (1973), this need for control is the strongest of all needs. The need for control allows refugees to control their environment and also control the satisfaction of other needs.

Human Capital and Social Capital Theories

To explain poor economic performance, researchers in the past have focused on human capital theory (refugees' lack of employment skills) and social capital theory (refugees' lack of resourceful social ties). According to Becker (1976), human capital is a set of skills or characteristics that helps enhance workers' productivity and improve their earnings or economic conditions. These skills are either innate, such as a healthy body or good physical appearance, or acquired, such as a formal education and job-specific training and specialization. In Becker's view, human capital is directly related to the production process, although increases in productivity may vary in different tasks, organizations, and situations. Activities associated with the human capital may have present impact, future well-being, or both. Education usually has a future impact whereas on-the-job training has immediate impact. Other specializations such as mechanics, information system, and health care have both immediate and future impact on production and earnings (Becker, 1962). Adam Smith (1776) defines specialization as division of labor. He argues that workers who specialize in the various levels of production contribute to an increase in production. In his opinion, different workers need to specialize in different areas of production rather than one person trying to do all the work.

According to Schultz (1971), human capital is the capacity to adapt in the changing environment. In his view, human capital is useful for workers dealing with changing working situations where they are expected to adapt according to the changes. Workers often have to work across varying lines of production and have to work with different people as needed. This concept of adaptability to the changing environment is directly associated with Becker's view of immediate and long-term impact. Both views strongly suggest investment in human capital for sustainability in productivity and adaptability to the changing needs of production. Becker and

Smith's views explain only the economic aspect of production, whereas Schultz's view incorporates the human and social aspects. Social adaptability allows access to the vital social capital in the society. Factors such as limited funds, size of organization, and the scale of operations often requires caseworkers to specialize in more than one area. It is therefore crucial to invest in the human capital of workers because it not only affects the caseworkers' performance and earnings but also affects the performance and earnings of their refugee clients while they go through a series of processes and changes.

The social capital theory argues that social networking is vital for everyday life. People need to invest in social interactions and relationships, which can be the source of abundant resources. These interactions help people expand their networks, institutionalize trust, and weave a social fabric that gives them a sense of belonging in the society. These interactions, together with the experience of networks, brings great benefits to the people (Field, 2003). According to Walker, Kogut, and Shan (1997), the formation of a network is determined by the opposition of two forces. The bodies seeking reproduction of networks tend to assess the vital human capital within the bodies that will make the network a beneficial one. Walker, Kogut, and Shan (1997) argue that if people and entities have relevant human capital, the network formed by such forces is more likely to grow. According to Cooke and Wills (1997), networking for innovative purposes requires a great deal of tacit-knowledge exchange. They emphasize relevant partnerships and networking for the better performance of the firm. Partnerships will not be effective if partners are unable to benefit from one another's skill sets and specializations. Thus, networking is heavily based on the similarities and/or usefulness of both the human capital of the people and the capital of the agencies and organizations seeking social ties.

All of the aforementioned views on social capital suggest that human capital plays a determining role in the selection or formation of social capital. These authors suggest that human and social capital intersect; the possession of one leads to the possession of the other. With strong human capital, it is more likely that a person will possess strong social ties. Similarly, with the help of strong social ties a person is able to learn from each of those resources and enhance his or her human capital. The theory of the Zone of Proximal Development (ZPD) provides a better understanding of the effects of human and social capital. ZPD explains the differences between what a person can do, what a person cannot do, and what a person can do with help (Vygotsky, 1978). What a person is capable of doing on his own reflects his or her human capital, whereas what a person is capable of doing with some help reflects his or her human and social capital. According to Vygotsky (1978), a person is able to do more with some help (social capital) than he or she would have been able to do by himself or herself. In this regard, social capital enhances the performance of a person beyond the capabilities of his or her human capital. A person is able to learn from this shared effort, which eventually leads to the enhancement of his or her human capital. Thus, human and social capital together further enhance a person's productivity. This is applicable to the understanding of productivity of both the caseworkers and the refugees during resettlement process. Refugee economic self-sufficiency relies highly on the characteristics of the refugees and their caseworkers. Refugees may be able to perform certain functions by themselves, but where limited, their caseworkers are able to help them through the resettlement process. Similarly, caseworkers may not always be able to assist their refugee cases with all required services. However, they are able to resolve any -related issues with the help of their qualified counterparts. In both cases, possession of social capital

allows higher levels of productivity, overcoming the limitations caused by inadequate human capital.

Refugees coming from different parts of the world have different levels of human and social capital, but those levels are usually insufficient in the face of new challenges in the host country. Large numbers of refugees have health issues due to the lack of basic needs and healthcare in the camps (de Vroome and Tubergen, 2010). The academic qualifications of refugees are usually not recognized for employment in the U.S. Sometimes the skills or training refugees possess may not be adequate or relevant to jobs in the U.S. Thus, refugees are often left with only one option: entry level jobs in the U.S.—if they are lucky. Refugees also do not always have the vital social ties necessary for success in a new environment. Sometimes they are unaware of pre-existing social ties or do not know how to best make use of those existing ties. Human and social capital are very closely related when it comes to refugee resettlement. One cannot be separated from the other if the desired goal is to be achieved. It is very unlikely to achieve refugee economic self-sufficiency with just the skill sets or social networks. A refugee may have all the necessary social networks, but if he or she lacks relevant human capital then it becomes difficult for him or her to find a job. The results are similar if refugees possess relevant human capital but lack crucial social ties. The necessity of both human and social capital is also applicable to the caseworkers who are assigned to help refugees achieve economic self-sufficiency. Refugee resettlement is an intense process that requires both the skill sets and relevant networking at both the providers' (resettlement caseworkers) and recipients' (refugees) end to achieve the desired goals. The human and social capital of refugees and the caseworkers interact frequently in pursuit of refugee economic self-sufficiency. This research aims to explore this interesting interplay of human and social capital between the providers and the recipients.

There are at least three dimensions of human capital and social capital interactions that are present during the resettlement process:

1. **Refugee Human and Social Capital Interplay:**

This interplay is specific to what the refugees bring with them as their human capital and social capital when they arrive from the refugee camps and how they are able to use these skills in order to achieve economic self-sufficiency. This is generally applicable to refugees with academic qualifications and skills that are relevant in the resettlement site and good English language proficiency. These refugees are better able to navigate through the processes than their not-so-advantaged counterparts, and they are likely to achieve economic self-sufficiency faster than refugees without these qualifications or skills.

2. **Agency Capital and Refugee Human Capital Interplay:**

This applies to the resettlement process where the agencies use their resources and networks in order to enhance the human capital of the refugees. The resettlement agencies then market those employable skills and crafts for economic self-sufficiency of their clients. This is applicable to all refugees under resettlement regardless of what skills and qualifications they possess.

3. **Caseworker-Refugee Human and Social Capital Interplay:**

The first two dimensions are limited in scope and fail to recognize individual caseworkers' traits in the process. The caseworkers are the actual forces helping the refugees navigate through various services in order to fulfill resettlement requirements. They are the ones who manage and control the resources for refugee resettlement under their agencies. Different caseworkers bring with them different qualifications, experience and, skillsets that help refugees achieve the desired program goals. They may also bring with them various social networks

which are not only beneficial to them in the pursuit of their goals, but also add to the existing networks of the organization. The very same characteristics (human and social capital) also contribute to enhancing the human and social capital of their clients. A well-qualified caseworker is able to better understand the processes and challenges related to refugee economic self-sufficiency and can use that in-depth understanding to develop programs and strategies to get past those hurdles. He/ she is able to identify and assess individual refugee needs and make appropriate interventions using his or her skills and social networks in order to help the clients meet those needs and achieve economic self-sufficiency. This is an important dimension of refugee resettlement, and one to which this study aims to contribute. A good addition in this dimension would be to study the investment of the agencies in their staff's human capital, mainly through refugee specific specialization training. While Becker (1976) argues that imparting trade-specific education and skills raises the productivity of the workers, this study explores how human and social capital of refugees and their caseworkers interact for the betterment of the refugees.

The larger box in the conceptual framework (see Fig. 3.1.) attempts to explains how the interplay of recipient's human and social capital serves as an intervention to achieve the desired program goals. The *"*out of the box*"* concept of how the providers' human and social capital interacts with the human and social capital of recipients in order to achieve refugee economic self-sufficiency is the ultimate contribution of this research.

Literature Review

The literature related to the proposed study explores refugees' human capital in order to explain their low economic self-sufficiency outcomes. The literature also explores the social capital of both the refugees and the resettlement agencies and the role of existing policy structure

in order to explain refugee economic self-sufficiency issues. These sources explain how economic self-sufficiency of refugees is closely tied to the satisfaction of their basic human needs during resettlement, which challenges pose threats to the resettlement process, and which characteristics of the refugees and the providers play a vital role in the process. The literature also highlights some policy factors that have a profound impact upon the economic self-sufficiency of the refugees.

Institutional Arrangements and Challenges:

Every refugee being resettled in the United States is provided direct services up to 90 days of Reception and Placement (R&P) period. Within this period, refugees are assisted with mandatory core services (See Appendix 2). The core services include pre-arrival and post arrival services. Under pre-arrival services the resettlement agencies are required to provide decent, safe, and sanitary housing with essential furniture; set up utilities; provide adequate food to last a few days; and coordinate both airport pick-up and interpreter services. The post-arrival services have definite deadlines for each of the mandatory services. For example, first home visits have to be conducted within 24 hours or arrival and second visits within 30 days, home safety orientation must be conducted within five days of arrival, intake interviews have to be conducted within five days of arrival, and ESL enrollments have to be done within 10 days of arrival (See Appendix 2 for all core services and their deadlines). The resettlement agencies receive a per capita grant per refugee admitted into the U.S. For fiscal year 2015 the amount was $1,925 per refugee (DOS, 2014). All of these services are provided to the refugees to help them gain economic self-sufficiency within 90 days. The Federal Government has applied uniform standards to funds resettlement agencies across 49 states to resettle refugees. After 90 days, or whenever the funds run out, refugees continue to depend upon the resettlement agencies for non-monetary assistance

as well as the available social services benefits (Kerwin, 2012). While institutional arrangements for reception and placement seem fairly organized (see fig.1.1.), they involve a complex web of services which are often very difficult to navigate. Refugees are often vulnerable because they are unable to navigate through these services on their own or with limited institutional support after the completion of R&P period. The complexities associated with service navigation both during and after R&P period deprive refugees of timely services and incentives and negatively impact their pursuit of economic self-sufficiency. Though all resettlement agencies have standard funding structures and operating procedures, their program outcomes in terms of refugee economic self-sufficiency are not as similar. The different outcomes are mostly related to cultural shock, difficulties navigating through the complex social services, and lack of employments, skills, or education, that the current institutional arrangements fail to adequately address.

In order to create and maintain a welcoming environment for refugees and provide supplemental support to resettlement efforts, the Obama administration has established the White House Task Force on New Americans. The primary purpose of this task force is to help establish welcoming initiatives in cities and counties all over the U.S. for the proper integration of refugees and immigrants into the communities. These initiatives are established in collaboration with local authorities and communities in order to help refugees become productive members of society. The administration recognizes integration being a two-way process and emphasizes the involvement of the society as a whole. Welcoming America is one of the most important components of the task force. It is a national coalition of organizations working to promote relationships between newly arriving refugees and local residents. Welcoming America has been working with different communities around the U.S. through its Welcoming Cities and Counties

initiative--for example, Welcoming Atlanta, and Welcoming Michigan, among others (White House, 2015). This task force emphasizes social integration of refugees in order to boost their economic development and integration**.**

Social Networks and Refugee Needs:

The literature argues that fulfillment of refugees' basic needs paves a path for their success. More emphasis has been put on the role of initial resettlement in order to fulfill those needs. As mentioned earlier, refugees are provided with the bulk of their assistance during the R&P period to meet their basic needs of food, clothing, shelter, and health in order to gain self-sufficiency. It is critical that these needs are properly addressed in order for the program to succeed and for the refugees to become economically self-sufficient. Scott-Smith (2008) emphasizes that of other institutions in the community should be involved in a helping role. This will help meet refugees' basic needs of housing, education, employment and healthcare during initial resettlement. The fulfillment of these needs provides a foundation to begin healing the structural violence that the refugees bring from their camps and paves a path for their development. Although the basic needs of the refugees are identified to be crucial, the literature does not sufficiently look at the specific roles of the caseworkers in assisting the refugees with those needs. The literature looks broadly at the roles and involvement of agencies but fails to adequately address how the caseworkers can play a vital role in the process. It is the caseworkers who interact with their refugee clients on a regular basis after their arrival into the resettlement site conduct needs assessments, and ensure proper services are delivered during the resettlement period. They are the ones who hold the tools for potential empowerment of the refugees. Hence, it is absolutely important to look at how caseworkers impact the fulfillment of refugee needs and assist them in achieving economic self-sufficiency.

Social capital or social networking is vital for everyday life—especially refugees. Refugee resettlement brings refugees to an alien environment where they usually lack social ties. Initially, the resettlement agencies are the only social capital the refugees have. Refugees are able to better adjust and integrate if they are connected to relevant social networks. A study of Korean refugees found that refugees experience substantial difficulties in the initial stage of resettlement due to inadequate institutional support. Because of limited funds, resources, and skilled manpower, agencies are not able to extend their support to refugee clients beyond a certain point. Non-governmental organizations, usually religious ones, were found to be supporting the refugees in the post-resettlement phase. During this phase, the primary resettlement organizations were found to be conspicuously absent. (Kenny and Lockwood-Kenny, 2011). Resettlement agencies face many challenges and limitations when providing basic and extended support to their refugees. Difficulties during initial resettlement potentially lead to further difficulties in the post-resettlement phase. Resettlement agencies can do a much better job by simply connecting refugees to appropriate services during and after initial resettlement. The assistance provided to refugees by resettlement organizations alone is not entirely sufficient to fulfill the ultimate goal of refugee economic self-sufficiency, but attempts are being made to change current policy to better serve the refugee population. The Obama Administration has initiated an interagency review of refugee resettlement, which is being led by the National Security Council (NSC) (Bruno, 2011).

The paradigm (see Fig.1.1) for refugee resettlement is composed of a collaborative body of resettlement agencies and community partners. This organizational structure is very cost effective and efficient as each collaborating agency compliments the others. The resettlement agencies are always in need of extra helping hands, and the community organizations, which are

public-service-oriented, need service clients to fulfill certain grant requirements. This collaboration between the resettlement agencies and community partners has made a big impact in the transitional phase, providing supplementary services to refugees in pursuit of economic self-sufficiency.

This social capital of the resettlement agency is also vital in providing basic needs such as housing, education, employment and healthcare during initial resettlement. (Scott-Smith, 2008). Most agencies partner with various institutions such as universities, language schools, and professional individuals who provide ample resources in terms of manpower (interns and volunteers), services (advocacy, specialized trainings) and expertise (interpreters, mentors, language instructors) to help deliver supplemental services to the large influx of refugees.

One specific study about volunteers in refugee resettlement explores the experiences of volunteers with various refugee families (Thomson, 2014). These volunteers became associated with refugee families due to their religious associations or due to their empathy towards refugees and a strong desire to make a difference in their lives. The volunteers helped refuges with airport pick-up, interpretation, translation, health screenings, social services applications, and finding employment. While most volunteers assisted refugees with direct resettlement services some were involved in other services such as school mentoring, sports coaching, and e-mail set-up. By being involved in such activities, the volunteers felt like they were able to connect with the refugees and actually help. Some volunteers thought the process was slow, while others thought it went better than they had expected.

The social capital of both the refugees and their providers has played an important role in navigating through the complexities of the U.S. labor market. This social capital has also made a positive impact in the transitional phase by providing vital additional services to refugees in

pursuit of economic self-sufficiency (Beaman, 2010). However, sometimes complexities arise because of the lack of proper commitment and inadequate work experience/ of these social ties. In these cases, the impact of social capital is just the opposite. Organizations that do not have experience working with refugees and the refugees that rely on these organizations often experience difficulties in trying to achieve their goals. Thus, it is important to identify the right social ties who are committed to providing services and advocacy for refuges. Only such healthy networks are able to produce effective outcomes.

Refugees usually lack social capital in the resettlement site and hence are by default limited to government aid and the support services provided by the resettlement agency and its caseworkers. Usually, newly arriving refugees do not have any contacts in the resettlement site other than the resettlement agency, and often whatever connections they might have may not be able to provide them with any support. But there are several refugee communities that have already established themselves in different cities and towns of the U.S. These communities have a solid and supportive community structure. A study on the self-sufficiency of Southeast Asian refugees argues that those South-Asian refugees made steady progress in climbing out of dependency. The main factors that played a vital role in the process were household size and composition and the refugee community as a source of support (Nathan et.al, 1985). Most of the time, due to the pressing demand of required services, both the agency and the refugees are either unaware of the existence of such ties or they do not have access to those ties for mutually beneficial interactions.

The literature argues that refugees often lack social ties in the alien environment and that resettlement agencies have limited social ties as well. However, the increase in social capital of the agency largely depends upon the efficacy of its caseworkers. It is the caseworkers who play a

critical role in identifying social ties in the community that may be beneficial to the newly arriving refugees. This research is focused on identifying how certain traits or characteristics of caseworkers contribute to an increase in their social capital that ultimately the achievement of higher levels of refugee economic self-sufficiency.

Human Capital of Refugees and Economic Self-Sufficiency:

A refugee with good educational background, employment skills and language skills is more likely to be employed and become economically independent. Similarly, the same skills enable him or her to interact with other people and networks in order to achieve self-sufficiency. On the other hand, a refugee lacking these characteristics is less likely to achieve economic self-sufficiency and become economically independent. But those are not the only variables to take into account. Health is a major part of human capital. A study of refugees in the Netherlands revealed the impact of prior refugee health on employment. Refugees sometimes have poor physical and mental health due to exposure to war, trauma, poverty, and unhygienic conditions in refugee camps. These conditions impact their employment (de Vroome and Tubergen, 2010; Montero and Dieppa, 1982). Because of all these extreme prior experiences, refugees need extra support services. These support systems are critical to help refugees surpass the barriers caused by their troublesome past.

Designing effective job training and English language training programs as well as culturally relevant mental health programs is also of utmost importance for refugees to meet their economic self-sufficiency needs (Connor, 2010). But even when these programs are in place, refugees can have difficulties. A study of refugees in Western Australia labor market showed that refugees with requisite skills failed to obtain employment. Although the refugees being

resettled were skilled and had been well trained and prepared for the job market of the resettlement site, the agencies were unsuccessful in placing them at relevant jobs. This was partly because racism was active in the community, and partly because of the refugees' low proficiency in host language skills (Peters, 2008). The Government Accountability Office (GAO) also reported that refugee employment had declined in the recent years. Jobs in hospitality and construction sectors, which were previously easily accessible for refugees, were being filled by better trained and more experienced non-refugees. Refugees have employment related shortcomings that require innovative approaches for success. In its report, GAO recommended that DHHS identify effective approaches that states and VOLAGs could use to help refugees become employed and self-sufficient. Service integration, intensive case management, and incentives for early employment were some of the best practices recommended by GAO after reviewing service practices of VOLAGs in two different states. (GAO, 2011).

Existing studies explore the characteristics of refugees' and agencies social ties in order to explain the issues with refugee economic self-sufficiency outcomes. These studies do not shed light on how the characteristics of the caseworkers can impact the process. Refugees, on average, have lower English language skills, lower educational backgrounds, and poor physical and mental health conditions which causes the disparity in earnings and occupational attainment to persist post-resettlement (Connor, 2010). But qualified caseworkers are able to break through some of the barriers impeding the achievement of the desired goals. With their knowledge and skills, they are able to develop programs and strategies to meet diverse refugee needs and overcome the hurdles to refugee employment as emphasized by Montero and Dieppa (1982). The focus of the proposed research is to study how caseworkers' characteristics such as academic degree, experience, and skills impact refugee economic self-sufficiency. It aims to examine the

causal link between the independent and the dependent variables in order to provide policy recommendations for improving case management and, ultimately, the economic self-sufficiency outcomes of the refugee resettlement program.

This research aims to go one step further to investigate the impact of refugee specialization training (specialized training in skills related to delivery of services to the refugees) on caseworkers' performance and outcomes, going beyond a narrower focus on the traits acquired by the caseworkers prior to joining the resettlement program. While defining human capital, Becker (1964) and Mincer (1974) provide the causal link between the investment in workers' training and workers' wages. They draw a crucial distinction between general education and training versus firm-specific training or trade specialization. In contrast, the proposed study will seek to explain how trade specialization of caseworkers will make a difference not in their wages but in the wages of their clients—refugees. The study is motivated by the idea that a person with a specialized training can not only develop programs and strategies to enhance their performance, but can also use such specialization to enhance the performance of their peers and clients.

Program, Policy, and Measurement:

Accurate measurement and evaluation of program outcomes are other challenges in refugee resettlement. The GAO report (2011) states that there is very little knowledge on the effectiveness of the different approaches taken by providers towards refugee economic self-sufficiency. It argues that agencies do not have uniformity in practice with regards to the various programs. For example, a VOLAG in Texas reported that both Matching Grant and Public Private Partnership Programs such as refugee cash assistance and Wilson-Fish programs were virtually indistinguishable, whereas another VOLAG in Minnesota reported that they view the

two programs as being two different approaches to service delivery. Since the agencies run based on their rate of successful refugee employment, there is a tendency to manipulate services and reports in the agency's favor. Due to these practices, inconsistencies in the effectiveness of different programs towards refugee employment cannot be accurately measured or evaluated. The GAO report (2011) also found that several refugees who found jobs had part-time jobs only. Data showed that a majority of the refugees were not able to maintain their jobs for more than 90 days. So while a refugee case could have been reported as being economically self-sufficient, he or she may lose his or her job in the immediate future and continue to look for another. Such gaps in measurement, if treated, can highly impact the actual success rates of resettlement agencies and VOLAGs. Therefore, misinterpretation of data or an inadequate measurement system might have misrepresented the actual challenges in refugee economic self-sufficiency.

The studies also focus on the impact of government policy towards refugee employment. The usual practice is to get refugee clients employed as soon as possible with no attention or planning for career development or long-term career advancement opportunities. This type of short-term policy was found to have negatively impacted refugees in the long run as they were deprived of training and advanced learning opportunities. The refugees were limited to the job they were initially offered with minimal chances of advancement in the future. Recognizing the deficits of this approach, the Office of Refugee Resettlement (ORR) has begun to stress both the importance of job upgrading and interventions to improve refugees' economic well-being (Potocky-Tripodi, 2002).

In some cases, qualified refugees often are unable to attain economic self-sufficiency due to the hostile attitude of the community they are resettled in. Racism and unwelcoming attitudes

often make it challenging for refugees and resettlement agencies to attain their desired goals (Peters, 2008).

Existing policies and future policy recommendations are inseparable from and critically relevant to the scope of the proposed study. There are some flaws and loopholes in the current program's policies, creating ways to manipulate the system in order to tailor the results according to the provider's convenience. Here is where the qualifications, skills and experience of the caseworkers can play a profound role in bringing an advocacy element to the services being provided to the refugees and eliminating probable provider bias in the larger picture.

Conclusion

The literature attempts to explain the causal link between factors such as education, language, health, skills, policies, and social networking and refugee economic self-sufficiency. These scholars have identified and explained the problems with refugee economic self-sufficiency through the lenses of the refugees, agencies, and policy structure. Very little has been said about the role of the agencies and even less about the role of the caseworkers. The lack of research on how the characteristics of the caseworkers impact refugee economic self-sufficiency constitutes a significant deficit in the literature. This deficit holds the field back from developing and utilizing a potentially major tool to improve success in refugee economic self-sufficiency. The role of caseworkers is critical in making a refugee economically self-sufficient since it is the caseworkers who control and manage most of the resources being provided to refugees. It is the caseworkers who guide refugees through the entire resettlement process assisting them with access to their basic needs of survival upon arrival and further equipping them with tools for achieving economic self-sufficiency (Kerwin, 2012). When economically self-sufficient, these refugees are then able to satisfy their own needs, enhancing their attainment of self-esteem.

When unsuccessful, however, they become further dependent upon their agencies and government aid if any is available. In most cases, there is no systematic support after the given time frames, creating a dependency driven by limited success in attaining economic self-sufficiency. This ultimately leads to a failure in resettlement.

Hence, it is critical to examine the role of caseworkers in refugee economic self-sufficiency because given the varying characteristics of the incoming refugees and a fixed, limiting policy in place, it is the caseworkers who have the capability to make a difference in the process. They hold the keys to the resources being provided to the refugees during resettlement, and how they use those resources to achieve their goals depends largely on their human and social capital.

From the perspective of international conflict management, this study examines the implementation part of an international agreement by specifically studying the subjects (caseworkers) who are the grassroots implementers of an international agreement to address refugee-related issues. The international efforts to mitigate refugee issues through the refugee resettlement program would not be considered a success by merely transferring the refugees from the refugee camps to the resettlement site. The signatures at the diplomatic level for a volunteer resettlement option would only be valid when all the terms and conditions mentioned in the resettlement contract were fulfilled in the site, mainly, the part of refugees becoming economically self-sufficient. Only then the refugee resettlement program would fulfill the norms of peacebuilding.

Chapter 4 Design and Methodology

The methodological design of this study was intended to examine the impact of caseworker's characteristics on refugee economic self-sufficiency. The prevailing theories in the field of refugee resettlement suggest that refugees lacked human capital (education, health, language skills and job skills) and social capital (vital social networks) which adversely impacted their successful resettlement (Connor, 2010; de Vroome & Tubergen, 2010). While the U.S. resettlement model remains uniform for all resettlement agencies (see Fig.1.1), individual states have tailored different social services benefits standards for refugees in order to help meet their resettlement needs. Successful navigation through these complex webs of services is of prime importance for the agencies and the refugees. The efficacy of resettlement agencies and caseworkers largely depends on how they manage and utilize the available resources in order to achieve the desired program outcomes (Scott-Smith, 2008). Therefore, rather than simplistically focusing on the refugees' lack of human and social capital and the impact that has on their economic self-sufficiency, this study focuses on the degree of impact generated by the service providers (the agencies and their caseworkers) who control and manage the resources for achieving economic self-sufficiency. This research proposes "agency capital" as an alternative explanation for determining success or failure in the attainment of economic self-sufficiency by refugees. Within agency capital, this study is primarily focused on the individual caseworker's characteristics such as education, experience, and training, the different levels of which would determine the efficacy of the caseworker.

It is the position of this research that caseworkers need to have appropriate levels of human and social capital in order to provide quality services to the recipients. Indicators of human and social capital include characteristics such as relevant degree, professional networks,

skills, and experiences. In addition to these, the agency should consider the special needs of refugees. Some refugees may have experienced severe levels of trauma and hardship in the camps and this may require agencies to hire caseworkers who have training or experience in accessing and assisting such cases in the best possible manner.

The central thesis of this research is that the caseworkers' characteristics such as education, training and experience have a positive impact on refugee economic self-sufficiency. The implicit assumption is that caseworkers who have relevant degrees, prior relevant experience, specialized trainings, and rich networks will likely be more successful in helping refugees achieve both the desired program and personal goals. These caseworkers will already be familiar with the social services and other networks that help refugees connect to various services targeted towards their economic self-sufficiency. Their relevant degrees and experience will allow them to navigate through the complex web of social services and help provide required services such as language training, employment training, and healthcare and cultural orientations in order to successfully integrate refugees into the society. They will also better understand the psychological state of the refugees and help them accordingly. Most importantly, they will be able to identify potential employers for refugees, advocate for their employment, and design and implement various job -elated workshops in order to arm refugees with appropriate skills prior to employment (Conner, 2010). Those caseworkers who do not have the above mentioned relevant characteristics are likely to be less successful in helping refugees achieve economic self-sufficiency. The researcher hypothesized that this disparity would likely be the result of their lack of familiarity with the refugee resettlement system, meaning that the caseworkers need more time to figure out and navigate through the available resources and lack of supporting networks to fill in the gaps of services. It will also be harder for them to devise and

implement original programs to meet refugee needs. Thus, detailed knowledge about the resettlement site, information about potential employers, social services networks and other available supplementary resources are some of the key factors for the caseworker and the timely utilization of these would determine the achievement of higher levels of refugee economic self-sufficiency.

Hypotheses

The hypotheses examined in this research were as follows:

- H1: Agencies with highly educated caseworkers are more likely to achieve higher levels of refugee economic self-sufficiency.
- H2: Experienced caseworkers are more likely to achieve higher levels of refugee economic self-sufficiency.
- H3: Caseworkers with Refugee Specialization Training (RST) are likely to be more successful in the delivery of refugee services, leading to more effective program outcomes.

In order to examine these hypotheses, the researcher proposed both qualitative and quantitative data collection methods. Through the qualitative study, the researcher intended to examine the causal mechanism between the independent and dependent variables in the proposed hypotheses, which would provide internal validity to the study. The quantitative study was intended for the application of the theory to the other caseworkers conducting refugee resettlement and post-resettlement services, thus providing external validity and limited generalizability to the research findings. This research examined the relationship between caseworkers' characteristics and refugee economic self-sufficiency during the 90-day resettlement period through the examination of the case files from one resettlement agency and

by conducting a total of three focus group discussions, one each with refugees, caseworkers, and resettlement agency management. The researcher intended for a mixed methods analysis of case files and a qualitative analysis of the focus groups. The researcher aimed to go one step further and conduct a mixed methods study on post-resettlement refugees in order to identify the challenges that exist years after resettlement. The purpose was to find out whether or not those challenges had any links to the lack of proper services during resettlement and then compare and contrast the needs and develop strategies for proper delivery of services.

Operationalization and Measurement

This research studied the impact of the caseworkers' characteristics such as academic degree, work experience and specialized training upon refugee economic self-sufficiency. Hence, caseworkers and their respective high, medium or low levels of refugee economic self-sufficiency outcomes were the level of observation for this study.

Degree, the first independent variable, was measured in terms of high and low categories. Caseworkers with bachelor's degrees or above in the relevant area were considered "highly educated," whereas those with education levels below a Bachelor's degree were considered "not as educated". The degrees considered relevant were degrees which are directly related to refugee assistance such as Humanities and Social Sciences, International Studies, Communications, and Public and Business Administration. These are often laid out as required degree types by the resettlement agencies during the hiring process. The second independent variable (Experience) was measured in terms of the number of years of relevant work experience. Those caseworkers with 1 year or more relevant experience were considered "experienced," and those with less than 1 year of experience were considered "not as experienced." The third independent variable (Refugee Specialization Training) refers to any type of specialized training that assists with the

understanding of refugee status and needs and further helps the caseworkers overcome barriers related to culture, religion, language, and the knowledge of varying immigration status in the process of providing services to the refugees. It was measured in terms of "have" or "have-not."

The dependent variable (economic self-sufficiency) is a systemic determination of whether or not a refugee case became economically self-sufficient. This determination was based on an income and expenses comparison per case. A refugee case is considered economically self-sufficient at any point within the 90 days when its household's monthly income is greater than its monthly expenses. This definition was not a standard created for the sole purposes of this study; is a pre-defined and standard criteria in the U.S. refugee resettlement system.

Case Selection and Methods

The proposed study collected primary data from a resettlement agency in Connecticut, and refugees, caseworkers, and resettlement management residing in greater Atlanta area, Connecticut, and Ohio. The researcher incorporated responses from both faith-based and non-faith-based agencies in order to consider the extra services received by some refugees through various churches and other related organizations under the faith-based VOLAGS (Eby et al., 2011).[3] Different agencies bring different perspectives because of their various sizes and types of agency, operational infrastructure, and available resources. Given that all resettlement agencies follow the same resettlement structure and share the same basic resources (see Fig.1.1), the selected cases for resettlement were representative of entire U.S. refugee resettlement system (George & Bennett, 2005, p. 83).

[3] A refugee resettled under faith-based agencies such as Lutheran Church Services or Catholic Charities is usually connected to extra church services and other networks.

This research used primary and secondary data to study caseworkers' performances in a refugee services agency that provided post-resettlement services to refugees. A preliminary observation was conducted during the latter half of December, 2013, at an agency located in Metro-Atlanta that assisted refugee with health and human services. This observation suggested the need of continued and specialized services to post-resettlement refugees due to the barriers of education, language, and culture which were not adequately addressed during resettlement. The study proposed a more specific and detailed analysis of post-resettlement refugee needs. This analysis would allow for a comparison of various refugee needs during and after resettlement, while also addressing the programs and strategies needed to address those needs, the challenges faced by caseworkers with post-resettlement refugees clients, lessons learned, and how the results at the two different ends (resettlement and post-resettlement) could be used in order to enhance the quality of services required for refugee economic self-sufficiency.. This study examined how refugee specialization training helps caseworkers meet the specific needs of those refugees falling in the gap due to the failure to achieve economic self-sufficiency within the resettlement period.

This study used the following tools for data collection and analysis. These tools were designed to complement each other and support a stronger analysis through triangulation.

Focus Group Discussions (FGDs):

In order to have a general understanding of the resettlement processes and challenges, the researcher aimed for a total of three FGDs for the three grassroots levels resettlement stakeholders—resettlement agency management, caseworkers, and refugees, as shown in Figure 4.1. below. This was beneficial not only to save time but provided an opportunity to explore additional factors affecting the efficacy of the caseworkers through a group discussion of experts

instead of individual responses (Bryman, 2012, p.503). This design allowed data collection on the varying perspectives among agency caseworkers and managers as well as on the perspectives of refugee representatives from diverse ethnic groups. The study aimed to include between five and eight participants for all FGDs subject to change depending upon availability and considering coding convenience. The number, however, would be enough to bring diverse perspectives into the discussions.

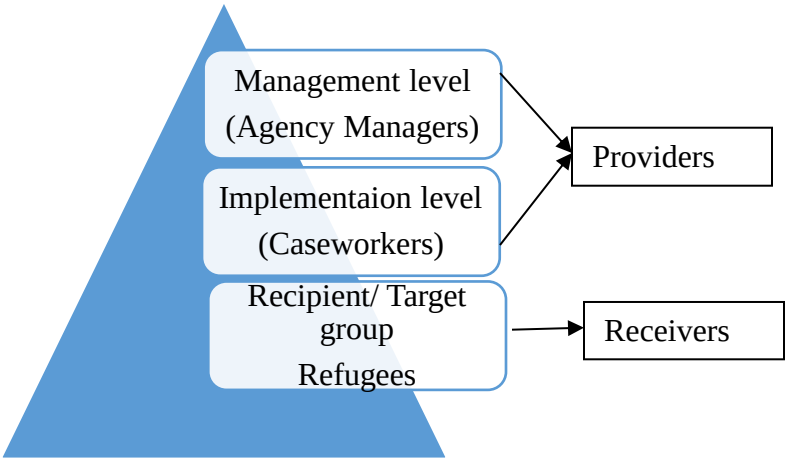


Figure 4.1. Focused Group Discussion Model

The FGD with caseworkers attempted to identify some of the good practices and challenges faced by different caseworkers with varying characteristics. This interaction in a group of peers allowed individuals to analyze themselves through the eyes of others and provide opportunities to present mutually agreed upon responses. This FGD was aimed for caseworkers from a single agency. This would help limit biases as the caseworkers would be familiar with each other's work and therefore more comfortable with group interaction. This would be less likely to happen if caseworkers from different agencies were brought together for a discussion. The FGD helped caseworkers working within the same environment voice real concerns about various challenges and hurdles in the navigation of services and getting their clients

economically self-sufficient. A FGD in such an environment would also accurately portray how different caseworkers within one agency saw their strengths and drawbacks in general terms rather than in personal terms. They would also be more willing to discuss how their strengths and weaknesses impacted the achievement of their desired goals.

The FGD with resettlement management from different agencies was aimed to provide an opportunity for a broader discussion on how the management saw their staff and their performances within the agency's context, as well as a discussion of how they compared across different resettlement agencies. Bringing the management from different agencies together would add an important external perspective to the caseworkers' performance and challenges within different agencies. A caseworker who might be considered not-as-efficient by one management could be considered efficient by another. This would also help to shed light on the differences between agencies in program settings, resources, functions and challenges that lead to differing needs in terms of the skill sets of the caseworkers. This discussion would help identify the various strengths and weaknesses of caseworkers in different work environments and program settings.

The FGD with refugees was important to compare the findings from the earlier two FDGs. Only the refugees would be able to validate to what degree the arguments presented by the management level (resettlement managers) and the implementation level (caseworkers) were actually reasonable. This FGD aimed to include refugee community advocates from various refugee communities within greater Atlanta area. Refugee community advocates are the voices of their respective communities and are able to bring to the table the concerns of their communities as a whole. They are not only well aware of various challenges in their communities, but they are also able to communicate those challenges effectively in the hope of

resolution. During the FGD, they would be able to communicate not only how a caseworker handled a particular situation, but they also express how they thought it could have been handled in a more effective way. This feedback would help both the resettlement management and the caseworkers consider how to improve needs assessment of their clients and how to develop program strategies to meet those needs.

As shown in Figure 4.1, the FGDs aimed to cover all three grassroots operational level actors of the resettlement system. The proposed design would help to bring diverse perspectives from both the service providers and the recipients, which would likely lead to a more valid and in-depth qualitative analysis (Berg & Lune, 2012; Bryman, 2012).

Case-file Content Analysis:

This research proposed a content analysis of refugee case files in a mid-sized resettlement agency in terms of operational capability. A mid-sized resettlement agency has adequate resources such as programs, caseworkers, and trainings for service delivery and was an ideal setting for the examination of the independent and dependent variables as compared to a smaller agency. These characteristics also qualify the agency as a more likely case, which, according to George and Bennett (2005, p. 9), is one where the theory is more likely to fit in. Thus, a mid-size agency would be ideal for the purpose of theory testing.

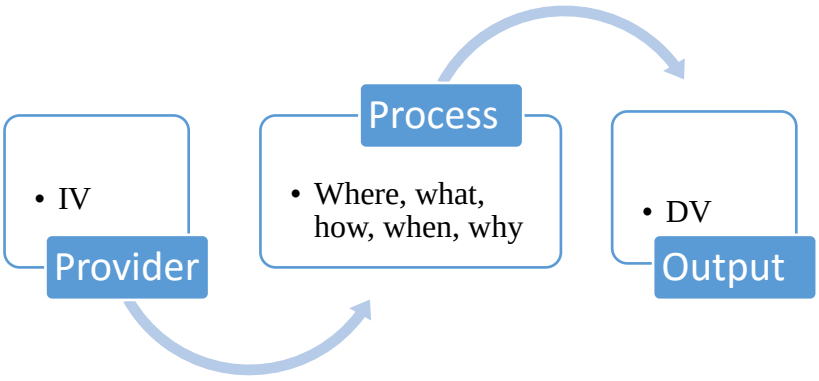


Figure 4.2. Case File Analysis Model

A case file is a very important document. Every refugee family or single person being resettled is assigned an individual case file. As shown in Fig. 4.2, case files are used to record details of every resettlement service provided to the refugees leading up to their final program outcomes. These files contain all the basic information about the refugees, such as dates of arrival, family size, employable people in the family, expected monthly expenditures, and assigned caseworkers. The case files also include all core services provided to the refugees, namely reception, housing, public assistance, health services, English language and schooling, cultural orientation, and employment training and assistance. The files provide details of where and how those services were provided and the outcome of each, as well as the economic self-sufficiency status at the end of the resettlement period. Although different VOLAGs may follow different formats for their case files, the basic information and core services records remain uniform. An example of Core Services Checklist is given in Appendix 2. The researcher proposed an analysis of a total of 30 completed case files for program year 2014-2015—between five and eight randomly selected case files for each caseworkers depending upon the total number of caseworkers. This number was based on the uniformity in the number of case files per caseworker, and took into consideration the fact that each caseworker may not have the same number of completed files during the program year. Since the desired function of the analysis was to compare the causal trends of all caseworkers in the agency through randomly selected case files, this was still an adequate number of files for analysis, which would yield complete results and the most recent data. Although a small number of randomly selected files was proposed for analysis, the most important point is that 30 case files represent a sizeable sample for a mid-sized resettlement agency whose annual case load ranges from 75-100 refugee cases.

In order to protect the privacy of the refugees, information such as names, addresses, and personal health notes would not be considered for the study. Only the items related to the independent and dependent variables of the study would be analyzed in order to determine the output relative to inputs. These items would include information on the characteristics of the caseworkers and the delivery of core services, mainly employment related information, which contributed to the economic self-sufficiency of the refugees. The researcher prepared separate forms to be provided in advance to the senior management in order to gather relevant information about the caseworkers—their academic qualification, total relevant experience and any type of specialized or advanced training on refugee resettlement in particular (See appendix 3). Each file would be coded for case privacy. For example, the first case file for caseworker 1 would be coded as CWI-01, second case file for caseworker 1 as CWI-02 and so forth. As in most service-oriented agencies, resettlement caseworkers too must meet basic qualifications in order to be hired. This study aimed to explore how the self-sufficiency rates of the refugees were impacted by the varying degree of the caseworkers' characteristics beyond those basic standards.

A case file is a pre-defined and universally accepted service providers' tool. It is used by the agencies to track the performance of each caseworker and the outcomes of each case. It is therefore both a reliable and a valid tool. These files limit personal biases since case files are evaluated internally as well as externally by the respective VOLAGs and PRM on a periodic basis. This would make the process even stronger, as content analysis itself is a very transparent process (Bryman, 2012, p. 304). This would also provide perspective on all three components of the causal link as shown in Figure 4.2. This study proposed a mixed-methods data analysis and interpretation for the case files. The researcher was interested to explore the entire process that would lead to the economic self-sufficiency of refugees, not just the final outcome. The

qualitative study attempted to explain the causal link such as how different caseworkers' characteristics contribute to certain interventions that in turn contribute to the different levels of refugee economic self-sufficiency. The quantitative method analyzed the specific impacts of various independent variables upon the dependent variable, such as differences in the rates of refugee economic self-sufficiency outcomes between highly educated and not as educated caseworkers, experienced and not as experienced caseworkers, as well as between caseworkers with and without social ties.

Case Study of Refugee Specialization Training (RST):

The literature and the theory reviewed for this study suggested that training was one of the important characteristics for understanding the practices of refugee resettlement caseworkers. Refugees need special assistance on a more frequent basis than natives because they are in an alien environment. While education and experience of caseworkers play a vital role in the delivery of services, there are still many challenges due to barriers of language, culture, and understanding of immigration status in the case of refugees. Hence, refugees require special services and support that can only be provided by people who have some form of specialized training for refugee-specific issues. In this research, that training is highlighted as refugee specialization training (RST). Based on these factors, as stated above, Hypotheses 3 reads: "Caseworkers with Refugee Specialization Training (RST) are likely to be more successful in the delivery of refugee services leading to more effective program outcomes." In order to examine this hypothesis, the researcher proposed to use data collected from training provided to a group of Affordable Care Act (ACA) Health Navigators who were working with a refugee population. This training focused on improving the caseworkers' knowledge, skills, and abilities to work with refugee populations. Data used to examine this hypothesis would include the researcher's

observation of the training and an examination of the agency's ACA enrollment data and ACA evaluation reports. These analyses would be used to help complete the picture of the roles of education, experience, training, and social ties for caseworkers as they related to the theoretical concepts of human and social capital.

An experiment was proposed using experimental and control groups of three health navigator caseworkers in each group. Caseworkers in each group were expected to carry the same basic characteristics in terms of skills and standards required for service delivery because they were all be licensed health navigators. Although the observation participants were small in number, the results would still be internally valid since all the experiment subjects would have similar standards in terms of experimental traits. The results would also be externally valid, as the standards would be commensurate with the nationwide acceptable standard for health navigators. This experiment aimed to compare the efficacy of the experimental group with the control group and also compare the efficacy of the experimental group (navigator caseworkers) before and after RST (pre-post test). The clients at the receiving end were refugees who have resided in the U.S. anywhere from less than one year to more than five years. These refugees were expected to be more accustomed to the culture and to have better language skills than the newly arriving refugees. More experienced refugees also have a better understanding of the various services they pursue. This experience is a least likely case for the purposes of theory testing. While the risk is that the theory to be tested may not fit in a least likely case, the benefit is that if the theory fits in well, it will be easier to generalize the results (George and Bennett, 2005). If the experiment supported the claim that refugees—after several years of arrival—still sought specialized services and that the caseworkers with RST were more effective than those without it, then the experiment would automatically support the greater need of RST for

caseworkers during initial resettlement. This was an important aspect of the study that intended to shed light on an agency's investment in capacity building as a part of enhancing its capital and caseworkers' human capital. This experiment would be robust since it would be a two dimensional analysis: an experimental group versus a control group study and a pre-post RST study. While the qualitative analysis of this study attempted to provide an explanation of the identifiable causal link between the independent and dependent variables, the quantitative analysis would provide specific details such as the efficacy of the caseworkers before and after RST, the rate of change in the outcome post-specialized training, and the difference in the outcomes between the experimental and the control group after RST.

Conclusion

The researcher began this research with the FGDs followed by a case file analysis and a case study of RST. The FGDs provided a broader general perspective on matters related to refugee economic self-sufficiency, the case file analysis provided a comparatively specific perspective, and, lastly, the RST case study would be even more specific, exploring the specialization component of the study. This triangulation of data using various tools of analysis contributed to mutual confirmation of measures and stronger internal and external validity of the research (Berg & Lune, 2012, pp. 5-8).

With the increasing number of refugees arriving in the U.S. for resettlement every year, refugee economic self-sufficiency has become one of the growing challenges faced by the U.S. government and the resettlement agencies. While refugees' lack of education, health, language and, job skills present hurdles for economic self-sufficiency, higher levels of caseworkers' characteristics such as education, experience and training may play an important role in improving refugee economic self-sufficiency rates. The goal of this research was to test how the

caseworkers' characteristics affected refugee economic self-sufficiency outcomes. The choice of a representative case (resettlement agency) and the tools used in this research (FGDs, case-file analysis, and observation methods) were best suited to measure the impact of caseworkers' characteristics on refugee economic self-sufficiency outcomes. The preliminary observation also provided a solid basis for the research and the selection of tools and techniques for data collection and analysis. By using a rigorous, triangulated data-collection method, this research is likely to obtain satisfactory results in an attempt to explain the casual link between the caseworkers' characteristics and its impact on refugee self-sufficiency outcomes. The use of mixed methods is the most appropriate for this study because the two methods complement each other. While the narration of the findings from FGDs, case-file analysis, and observations will be helpful in explaining the causal link between the independent and dependent variables, the actual numbers in terms of the outcomes will be vital to present statistically solid arguments to the audience.

Chapter 5 Focus Group Discussions

The Design and Layout

Initially the researcher proposed three focus group discussions (FGDs) in the methods chapter, one each for the management level, the caseworker level, and the refugee level. The researcher successfully conducted a refugee FGD first, but, unfortunately, there were several challenges in bringing together the caseworkers and management groups for the other FGDs. This directed the researcher towards a single service provider FGD that included both management and caseworkers. Thus, the study ended up with two FGDs instead of the three originally planned Both FGDs were conducted in a private meeting room at a public library in Clarkston for the ease of participants from both groups. Two service provider FGD participants residing outside of Georgia participated via conference call.

The focus groups were not accomplished as originally envisioned due to the interests of the groups, language interpretation issues, and complicated scheduling for service providers. It was initially proposed for the refugee FGD to be comprised of refugee community advocates from different refugee groups. However, during the initial contacts, each community (Bhutanese, Eritrean, Somali and Burmese) suggested having an FGD of their own. Not all refugee community advocates were comfortable with the English language, and, because of the design of the focus group, having multiple interpreters would make each focus group longer and limit the intended interactions of the participants with each other and the researcher. This led the researcher to determine that focusing on a particular refugee community would likely produce the best results. Based on the availability of participants and the researcher's own language abilities, a group of Bhutanese participants were selected for the refugee FGD. Of the total five participants, three were women and two were men. All participants were adults of working age

(between the ages of 18 and 65). They had been resettled in Atlanta between 2009 and 2013 and had been served by three different refugee resettlement organizations in Atlanta, both faith-based and non-faith-based. The participants spoke Nepali as their primary language, which was also the native language of the researcher. The participants represented both single and family refugee cases. All participants possessed different levels of English language ability, education and other job-specific skills.

With regards to the service providers, caseworkers often had conflicting schedules, cancelled, or opted out of the focus group at the last minute. In one instance, two out of five caseworkers did not show up at the FGD location. The researcher conducted this FGD with three caseworkers in May 2015. For the managers' part, the researcher could not get the minimum number of participants to agree to participate in an FGD after several attempts and extensive networking through snowball sampling method. As stated above, the researcher was finally able to get three caseworkers and two managers together for a combined service providers FGD in late July, 2015. All five participants were women. Of the five, two participated in the FGD remotely through conference call. This combined service provider FGD represented four different resettlement agencies, two in Atlanta, one in Ohio, and one in Connecticut. The participants came with a mix of education and experiences. All participants had at least an undergraduate degree. Two participants were pursuing graduate degrees. The two management participants had prior work experience before conducting resettlement work. Two out of three caseworkers did not have prior experience. All of them, however, had conducted resettlement for over a year. The participants represented both faith-based and non-faith-based resettlement agencies. Although it was initially proposed in the methods chapter for an FGD of caseworkers from a single agency and of the directors or management from different agencies in Atlanta, the

diversified combined service provider FGD created an opportunity to compare resettlement practices of service providers in different parts of the United States.

The refugee focus group was approximately 90 minutes long, and the service provider focus group was approximately 120 minutes long. The change of circumstances allowed for a more in-depth discussion with representatives from a single refugee community and a discussion of practices of different service providers in different parts of the country. These changes allowed the researcher to identify common trends related to refugee economic self-sufficiency issues in different resettlement areas and to better understand their impact on one refugee group.

In order to analyze the content of the FGDs, the researcher recorded the audio and transcribed the contents of the discussions. The researcher explored the data for emerging themes, especially those related to the hypotheses that the education, training, and experience of the caseworkers were key factors in the attainment of refugee economic self-sufficiency. The data presented below are the results of these analyses, which include direct quotes from the FGD participants. All quotes are presented in italics and were extracted directly from the FGD transcriptions.

Factors Affecting Refugee Resettlement Outcomes from the Provider's Lens

Education:

When asked what some of the vital caseworkers' characteristics were, formal education was generally agreed upon by all the participants in the service provider FGD. Participants shared how their education had helped them understand the basic background of refugees and helped with their work even when they had little to no experience working with refugees in the past. Cultural competency was also mentioned and agreed upon by all participants in the context of education. Participants stressed the need for caseworkers to be educated and informed about

the different cultural backgrounds of the refugees in order to serve them in an appropriate manner.

"I'm a Masters in conflict management…. I mean we are dealing with people who left their country with wars, conflicts, and all that so basically if I'm studying the conflict management definitely I have some tools to solve little problems that they have. It doesn't have to be like I'm the answer to the solution, but at least I can be able to make a difference in their life by providing any strategies or maybe by designing intervention programs for my agency for difficult situations that I have learned from my education." –, Res.1, Q. 2, C/M FGD.

"From my education I learned about transect walk[4] and understanding what's in the community and how that relays to the people and to the stakeholders - the people you are helping." – Res.3, Q.2, C/M FGD.

Some caseworkers expressed that they had not really understood refugees or migration until they started their university degree. Caseworkers agreed that their relevant education helped them think analytically and resolve problems because of their background knowledge in refugee issues.

"I like to watch patterns….I have developed geographical and historical frameworks to look at migration, but what I appreciated the most was what my experiments(refugee services project experiments) did by filling in the holes with my theoretical and more academic backgrounds."- Res.2, Q.2, C/M FGD.

A general consensus was found among participants about how their higher levels of education such as bachelor's or master's degrees in different concentrations such as political science, international affairs, international development, and microfinance equipped them with knowledge and tools for analytical thinking, qualitative and quantitative analysis, program development, needs assessment, and project experiments. The participants expressed that

[4] A transect walk is systematic walk along a defined path across the community/project area with the local people to explore different community needs by observing, asking, looking and creating a transect diagram.

knowledge of refugee settings, cultural competency, analytical tools, and program development and evaluation skills were all particularly helpful in order to help refugees achieve economic self-sufficiency.

Experience and Resources:

Caseworkers were in agreement regarding the impact of relevant experience and social ties on refugee economic self-sufficiency outcomes. Participants agreed that relevant experience helped a lot with day to day resettlement operations. Caseworkers were not only dealing with refugees but also with social services, landlords and employers on a regular basis. To do their jobs well required a wide range of experiences. Some participants pointed out the importance of relevant work experience during critical challenges that required serious interventions, while others expressed how they could not help their refugee client during special circumstances due to their own lack of experience. Few participants mentioned receiving assistance from their more experienced colleagues or supervisors during difficult situations. These assistances were either direct help with the case or indirect assistance by referring the case to another resource for resolution.

"I had not had any formal work experience at that time and if I had had one, it would have been a tremendous help. I always appreciated any kind of suggestion and help from my supervisor during tough times."- Res. 5, Q. 2, C/M FGD.

Participants agreed that experience also helped caseworkers locate and use the available resources around them. They stated that having those social ties helped them directly and indirectly with their day to day performance. Participants highlighted the fact that their regular interactions with various stakeholders of resettlement over time helped them build crucial ties with people like employers and landlords who might eventually become good advocates for

refugees. Participants who either came from refugee backgrounds themselves or were immigrants reported that their background helped a lot with their work. They said that because of their own backgrounds, they understood the needs and difficulties of refugees better and were able to better communicate with their clients.

"My own background as an immigrant helped me understand their position. I am also bilingual, and that helped me connect more. Having an idea of who they are helps bridge the gap and communication becomes easier. They are able to express what they want more clearly and this allows you to provide proper assistance."- Res. 4, Q. 2, C/M FGD.

The empathy built from personal experience was found to be a strong factor that helped the caseworkers connect with their clients. Other factors such as cultural competency and time management were also mentioned frequently in the context of experience. Although cultural competency has already been mentioned in education, participants also largely related it to experience. The more experienced a caseworker is (the more time they have spent working with refugees), the more likely they are acquainted with the refugees' culture and needs. Similarly, the more experienced a caseworker is, the more likely he or she manages his or her time out of familiarity with the process. Thus, the participants agreed that relevant experience played a vital role in the successful delivery of refugee services.

Specialized Training:

The importance of refugee specialization training (RST) in everyday resettlement operations was confirmed from the different responses of the participants when questioned about the presence of and access to continued training system. Three out of five participants said that their agencies had some type of formal training and supported limited access to off-site trainings. One of the three, a manager, said that she utilized both on-site and off-site trainings for her caseworkers in order to build a strong program. She also stated that the caseworkers often shared

their knowledge through formal training or informally through 'lunch and learn' programs. Participants agreed that specialization in refugee background, culture, and social services helped them communicate better with refugees and understand their situations better. This improved communication allowed the caseworkers to provide the timely services required in order for refugees to achieve economic self-sufficiency. Participants also mentioned that specializations in auxiliary areas such as immigration, domestic violence, and healthcare would help tremendously in dealing with complicated scenarios in the course of refugee resettlement services. Some of these complicated scenarios include delay in social services benefits, domestic violence and substance abuse issues, refugee health issues, and problems related to immigration.

"My training has been really helpful…. Without these, I would have burnt out with the type of cases I deal with every day. I don't think I would walk away half as experienced as I am now without these trainings." - Res. 2, Q. 3, C/M FGD.

Two participants expressed their dissatisfaction about the lack of formal training structure in their respective agencies. They also said that they did not receive adequate training or orientation before the start of their jobs and were put to work right away. They expressed frustrations of having to work with limited or no idea of what they were doing and often having to do things over and over because of the mistakes they made. They expressed that the agency did not focus its time and attention on staff development through internal trainings, and the caseworkers were not encouraged to go to off-site trainings when they made a request. The participants said that they rarely had the opportunity to sit in on training webinars due to their caseloads. They also said that their caseloads were always too large to focus their attention on any available trainings or webinars.

"For me, I personally learned a lot from one of my supervisors, but the agency itself didn't have any formal training when I started. Caseload was too high and therefore, attending trainings during work times was not encouraged." – Res. 5, Q. 3, C/M FGD.

The trainings noted during the discussions included case management, database, trauma, domestic violence, and mental health. Each of these issues look like individual jobs by themselves, but these are what refugee caseworkers have to deal with in their day-to-day operations. Even caseworkers who reported to have had some type of formal training said that the training they did have was not enough, and they sought training outside their agencies. Caseworkers without formal training opportunities even appreciated the chance to simply share experiences during staff meetings and learn from each other's experiences. They appreciated the mentorship from their management or other trained colleagues. Caseworkers expressed their interest in training on social services navigation, resources development, crisis or trauma intervention, and needs assessment. These types of training meet the definition of refugee specialization training (RST) as initially defined in the methods chapter and later elaborated in the RST chapter.

Language:

The participants agreed that language was one of the major barriers to refugee economic self-sufficiency. They argued that very few of their cases came with basic English language skills, other refugee cases understand some English, but the majority of cases arrive with very minimal or no English skills at all. Although all cases are required to be enrolled in English as a Second Language (ESL) program within 10 days of arrival (See Appendix 2), the participants expressed that not all refugees were eager in the learning process, and that they mostly wanted to get jobs as soon as possible. The participants also stated they and many others refugees were unable to have basic proficiency within the resettlement period. They agreed that it was usually

easier to help find jobs for refugees who possessed some or good English skills. Since most of the employers sought people with some English skills for employment, caseworkers reported to have encouraged their clients to attend these mandatory ESL classes. Some caseworkers reported that their agencies had designed job-specific language programs to help motivate refugees to learn English and get employed.

The results from the service provider FGD support all the hypotheses proposed in the methods chapter: caseworkers' characteristics of education, experience, and refugee specialized training do have notable impact on refugee economic self-sufficiency outcomes. Other variables such as passion, empathy and bilingual capability, were also mentioned as good traits for a successful caseworker. As per some of the challenges in resettlement, the 90-day timeline was raised by all as a serious challenge towards refugee economic self-sufficiency. Although some agreed that there needed to be a benchmark time, they believed that the current timeline was not adequate. Location was discussed as another major challenge. Participants stressed that if the location was not refugee friendly and did not have the presence of other organizations working towards similar goals, then refugee economic self-sufficiency outcomes were negatively impacted. Language barriers for refugees, caseload of the caseworkers, and short term economic self-sufficiency policy goals that limited refugees to minimal empowerment options were noted as other factors affecting refugee economic self-sufficiency outcomes.

Factors Affecting Refugee Resettlement Outcomes from the Recipients' (Refugees) Perspective

Grassroots Challenges:

Refugee FGD participants stressed that caseworkers needed to be impartial, dutiful, responsible, well-trained, and experienced. Most participants preferred the caseworker be

bilingual because that made communication easier, especially because interpreters were not always available. However, some participants reported that sometimes bilingual caseworkers, especially those from refugee backgrounds, were found to be biased towards their own groups and did not pay as much attention to other refugee groups. Participants also emphasized the cultural competency of caseworkers. Instances of caseworkers not being able to understand the refugees and speaking to them in harsh tones were noted several times during the FGD. Some examples are given below:

"They should be impartial and polite. They should also be responsible and dutiful. They have to be supporting all the time. And they need to be well-trained." – Res. 1, Q. 1, Refugees FGD.

"Yes, they need to be more trained. Some people do not understand our way of life. If they understood that, it would be very helpful to work with them. That is why having a caseworker from your community is better because they understand you well." - *Res. 4, Q. 1, Refugees FGD.*

When asked how they felt about the services they received in general, the majority of the participants expressed dissatisfaction. These participants had several complaints regarding various services from their caseworkers and suggested that if the caseworkers were more educated and better trained, then they could have provided better services. The participants also expressed concerns about caseworkers' lack of knowledge on the matters of basic needs or core services. The refugees agreed that qualified caseworkers, those better educated and trained, provided better services in terms of housing, social services benefits, and job options. Participants with better caseworker experiences expressed that their caseworkers invested ample time in their work-related training, exploring job options, and conducting interviews in order to match refugees to the jobs that best fit their qualifications. Participants also agreed that due to the

limited resettlement time period, refugees generally could not wait for an ideal job to come up and usually took whatever opportunity came first.

Participants were especially disappointed with the fact that the caseworkers and the resettlement program were mainly focused on the ninety days and did not attend to them much after the end of the ninety days. Most of the refugees would find a job they disliked without any support mechanism for future growth and development. All working-age participants were employed by their respective programs, though not at the job they would have liked. Participants said that most refugees from their community were sent to work at a chicken factory regardless of their level of education, experience or training. Most participants reported that though their caseworker made efforts to provide various services, they fell short on employment-related services or did not make as much of an effort in that area. With the exception of Res 4, all participants expressed dissatisfaction with employment-related services due to lack of options presented to them, lack of preparation, and caseworkers' inability to follow up or communicate in a timely manner. Participants also expressed dissatisfaction that the Agency's leadership ignored their problems.

"Like I said earlier, I found my own job. There was no effort towards finding me a job. But I am happy now because I found something I wanted and wasn't forced to do a job I didn't want to like all my friends in the chicken factory." – Res. 3, Q. 5, Refugees FGD.

"When we wanted to complain about job situation to the head of the agency, we were warned not to pass employment opportunity because we had signed a contract. I don't even know what contract." – Res. 5, Q. 4, Refugees FGD.

It is understandable that the resettlement agencies need to get the refugees employed wherever they can as a major part of their program requirements. Getting refugees employed in jobs to their liking is a secondary concern for the resettlement agencies. However, the problem

seemed to be a lack of effort from the providers in the pursuit of refugee employment options. Dumping all the refugees in one form of employment, usually a high-labor, entry-level job such as the chicken factory, without exhausting other options within the resettlement timeline of 90 days was a serious concern presented by refugees.

Policy Challenges:

When asked about the timeframe of resettlement, participants stated in unison that the 90 days were not enough for them to become economically self-sufficient. Some refugees would have just been employed towards the end of 90 days and then become jobless in the next few weeks. But because of the structure of the program, they would not be given enough preference after 90 days. Because of this, the entire case would be in jeopardy. Participants said that most of this time would be spent in paperwork and orientation activities and sometimes, due to a delay or problem in one or more parts of the paperwork, other core services would be affected, keeping them from their economic self-sufficiency goals. Even English-speaking refugees faced similar challenges. Even though communication was a little easier for them, they felt lost due to alien concepts like Medicaid, Medicare, food stamps, and social security card that were not present in their home countries or refugee camps. The refugee soften required a lot of time to absorb these concepts. Participants suggested that an average of six months (180 days) would be an ideal time for resettlement given the different circumstances each refugee case came from or faced during resettlement. Participants said that their caseworkers could not always provide enough time for them because of their caseload. They suggested that agencies should hire more caseworkers to assist the refugee clients.

"It is definitely not enough. For someone like me who doesn't speak English well, it takes double the time to understand anything. Even highly educated and fluent people have difficulty understanding so many things." – Res. 2, Q. 7, Refugees FGD.

"We feel lost for a long time. I used to speak English well enough even when I first arrived. But the accent here and things that we are not used to like food stamps, social security etc. it takes a lot of time to understand and get used to these terminologies." - Res. 2, Q. 7, Refugees FGD.

The participants also reported that part-time caseworkers were not as efficient or committed. They complained that those caseworkers were often interested in their other commitments rather than giving the assigned time to help with their resettlement related issues. They strongly suggested for caseworkers with other conflict of interests not be hired in the first place as they hurt their clients at a critical stage.

"The CW wasn't concerned about my needs. Most of the times I found him working outside resettlement. They should be fully committed to the clients and not elsewhere or such people shouldn't be hired at all." - Res. 2, Q. 7, Refugees FGD.

This is an interesting finding in terms of hiring policy. While part-time hiring policy is well received and practiced by various public, private, and non-profit entities, the findings from this study suggest that it may not be as practical to hire part-time caseworkers because of the intensity of their job functions. Some other resettlement support functions which the participants mentioned were missing (language interpreters, housing coordinators, transportation managers, and employment-training coordinators) could be fulfilled by part-time employees.

A majority of the participants also expressed their dissatisfaction with the disparity within the matching grant program. The matching grant program extends both financial and non-financial employment services to refugees screened as highly employable for up to 180 days. But

participants were not convinced why highly employable refugees were given more time and money. They suggested that those refugees screened as highly employable would have higher chances to get employed within the 90 days, and, therefore, it was the less employable refugees who could most likely use any type of extension of services. They suggested that the policy needed to shift its focus towards the more needy groups of refugees instead of expending all the available resources on the more capable ones.

Table 5.1. Summary of FGD Problems and Remedies

FGD Groups	What works	What does not work
Caseworkers/management	Education, experience, training, passion, bilingual, cultural competency, refugee friendly location, social networks, collaboration, mentorship	Short resettlement time, large case load, unfriendly location, lack of resources, lack of training, lack of relevant education and experience, lack of training programs
Refugees	Training, bilingual, experience, politeness, professionalism, education, cultural competency, responsible management, adequate caseworkers, long term support system, adequate employment support	90 days, untrained, inexperienced, part-time staff, non-exhaustive employment option, non-categorical unitary resettlement model

Conclusion

The findings from the service provider FGD and refugee FGD support the importance of caseworkers' characteristics such as education, experience and specialized training towards refugee economic self-sufficiency. As shown in Table 5.1 above, collaboration between caseworkers, mentorship from trained colleagues or management, proper training programs,

access to specializations, full scale pre-job orientation, and proper distribution of caseload were some of the remedies presented in the service provider FGD. The suggested remedies from the refugees FGD were that agencies hire experienced and trained professionals who are passionate, polite and dedicated; the resettlement agencies invest more time in identifying employment outcomes for refugees; and that they extend resettlement services beyond the required 90 days. Both groups strongly suggested that the policy level should categorize the refugees based on their different backgrounds rather than putting everyone on a unitary scale and changing the resettlement timeline according to the needs in those categories. The two FGDs collectively validated the major concerns regarding refugee economic self-sufficiency. The discussions suggest the presence of several flaws both at the policy level and at the grassroots operations level of resettlement, which could be mitigated to a certain extent by some serious transformations at both the case management level and the policy level.

Chapter 6 Case File Analysis

Every refugee resettlement agency in the United States (service provider) is required to maintain a case file for individual or family refugee cases. Case files provide thorough information about each refugee case and are an important tools for assessment of refugee economic self-sufficiency. These case files are the basis of the day–to-day resettlement operations, and they contain detailed background information of each case such as family size, country of origin, language, age, gender, medical conditions (if any) as well as operation information such as total resettlement (R&P) funds, expenditure sheets, day-to-day services log, required services, and the final outcome of the case in terms of economic self-sufficiency. Case files are also the means for internal as well as external evaluation. Case files are audited by respective VOLAGS and PRM on a yearly basis. In any refugee resettlement agency, different case files are maintained for R&P and Matching Grant (MG) clients due to the slightly different requirements in funding, program timeline, and eligibility criteria (See Appendix 1).

As proposed in Chapter Four, a mid-sized agency was selected for case file analysis. Initially the study proposed an analysis of files from an agency, preferably one in Atlanta. However, due to the lack of consent from the resettlement agencies in Atlanta, the researcher sought consent from resettlement agencies in other States based on referrals. The case agency for this part of the study was based in Connecticut. The nature of the data collected for case file analysis also did not support a mixed-methods approach as proposed in the methods chapter and thus was analyzed qualitatively with some descriptive statistics.

The agency was ideal in regards to the number of caseworkers and the number of refugee cases they served in a given year. With five caseworkers on board, the agency served 75 to100 refugee cases per year. The caseworkers came from diverse backgrounds and qualifications.

Similarly, the agency serves diverse refugee cases from Bhutan, Sudan, Afghanistan, Iraq, Ethiopia, Eritrea, and Congo (Source: case files/ agency human resources).

Six case files were randomly selected from the stack of completed case files for all five caseworkers at the agency to create a sizeable sample of 30 case files for data analysis. Given the average case load of a medium sized agency, 30 case files provided a good sample for study, especially considering that at the time of data collection, the agency had only received 54 cases of their expected average yearly arrivals. Of the total 54 cases, six cases were elderly cases (above the age of 65) who were considered unemployable and would be put on social services benefits after the reception and placement period (Source: Case Agency). This would bring the total number (N) of analyzable cases at the time of data collection to 48, which would make the sample of 30 case files (n) a significant sample at 75% of the total (N). All case files were of recent refugee arrivals for the program year 2014 to 2015. The case file analysis evaluated the efficacy of caseworkers through the delivery of core services to the refugees leading up to their economic self-sufficiency, mainly by evaluating the caseworkers' respective degrees and levels of experience.

Based on the consent from the case agency and the availability of data, the following variables were captured from the case files and caseworker information forms as shown in table 6.1 below.

Table 6.1. Case File Descriptive Statistics

CWs	Degree	Experience	Specialized training	Bilingual	Sample case files	Core svs timely comp	ESS cases	Co-worker's help
CW1	Highly educated	Experienced	Yes	Yes	6	6	6	3-5
CW2	Highly educated	Experienced	Yes	Yes	6	6	6	5+
CW3	Not as educated	Experienced	Yes	Yes	6	6	6	5+
CW4	Highly educated	Experienced	Yes	Yes	6	6	6	5+
CW5	Not as educated	Not as experienced	Yes	No	6	1	5	5+

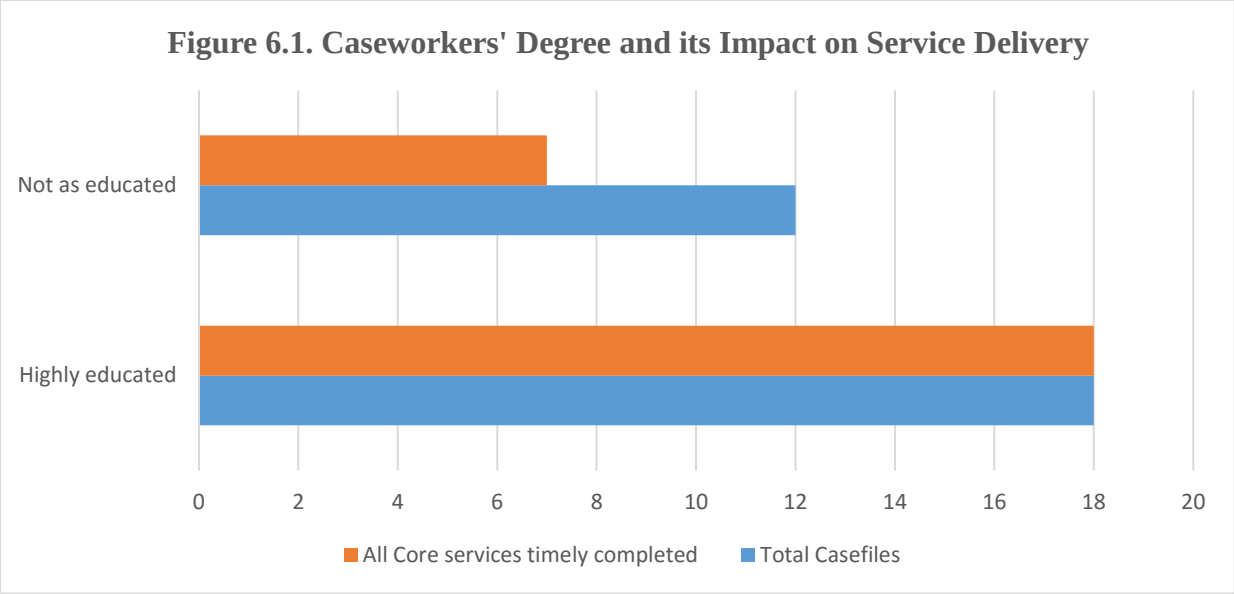
From table 6.1 above, three out of five caseworkers were highly educated. All caseworkers fell under the "experienced" category, as everyone had over one year of experience working in resettlement or a related service. The agency also had continual training programs in place so all of the caseworkers had received similar types of in-house training tailored towards basic refugee services. Four out of five caseworkers had bilingual abilities and spoke English as well as one or more additional language spoken by the refugee communities they served. Although specialized training was captured, it was not considered for analysis in this part of the study because the training program was not found to be elaborative enough to meet the standards for Refugee Specialization Training as defined in this research. Also, since all the caseworkers were noted to have specialized training, the nature of the data did not allow for any comparison. The additional variables "bilingual" and "special circumstances" were also captured in consideration of the economic self-sufficiency of the refugee cases.

Thus, this part of the study examined the following two hypotheses as proposed in the methods chapter:

- H1: Agencies with highly educated caseworkers are more likely to achieve higher levels of refugee economic self-sufficiency.
- H2: Experienced caseworkers are more likely to achieve higher levels of refugee economic self-sufficiency.

Caseworker's Degree and Refugee Economic Self-Sufficiency Outcomes

From the available data shown in table 6.1, it is observed that regardless of the category of academic degree, whether highly educated or not as educated, all of the caseworkers but one had 100% success with refugee economic self-sufficiency outcomes. In other words, all the cases from the sample were employed and deemed economically self-sufficient within 90 days or within their respective Matching Grant timelines with the exception of caseworker 5 (CW5). Out of six cases under CW5, five were considered economically self-sufficient by the end of the program period while one was not. During the case file analysis, it was noted that the head of the household of that particular case had behavioral health issues which had prevented him from working. It was noted that the case was continued on social service disability benefits after the R&P period. Aside from this exception, all caseworkers were found to be successful with all the sample cases' final program outcomes. Looking at just the end result, the descriptive statistics suggest that caseworkers' degree levels had no effect on refugee economic self-sufficiency outcomes. However, caseworkers' degrees did have a noticeable impact in the delivery of core services leading up to the final outcomes as shown in the bar diagrams below. It is important to factor in core services as those services together lead to and complement refugee economic self-sufficiency. Failure to fulfill a majority of the core services in time would lead to case failures.



As proposed in the methods chapter, the caseworkers were divided into two categories—the caseworkers with undergraduate degree and above were categorized as “highly educated” and those with high school or associates degrees were categorized as “not as educated”. In figure 6.1, out of the 12 case files under the two not-as-educated caseworkers, only seven case files had all core services completed in a timely manner. However, for the highly educated caseworkers, out of 18 case files, all 18 had all the core services completed in a timely manner. From the given sample of case files, the “not as educated” caseworkers had completed core services for approximately 58% of the assigned case files, whereas the highly educated caseworkers had a 100% core services completion rate. Another point to be noted is that more than half of the caseworkers (three out of five) were categorized as highly educated, which, with support from the evidence from the tables and the figures above, may have contributed to the overall performance of the agency itself. Although limited in sample size in this particular case, the trends do suggest that agencies with highly educated caseworkers are more likely to achieve higher levels of refugee economic self-sufficiency.

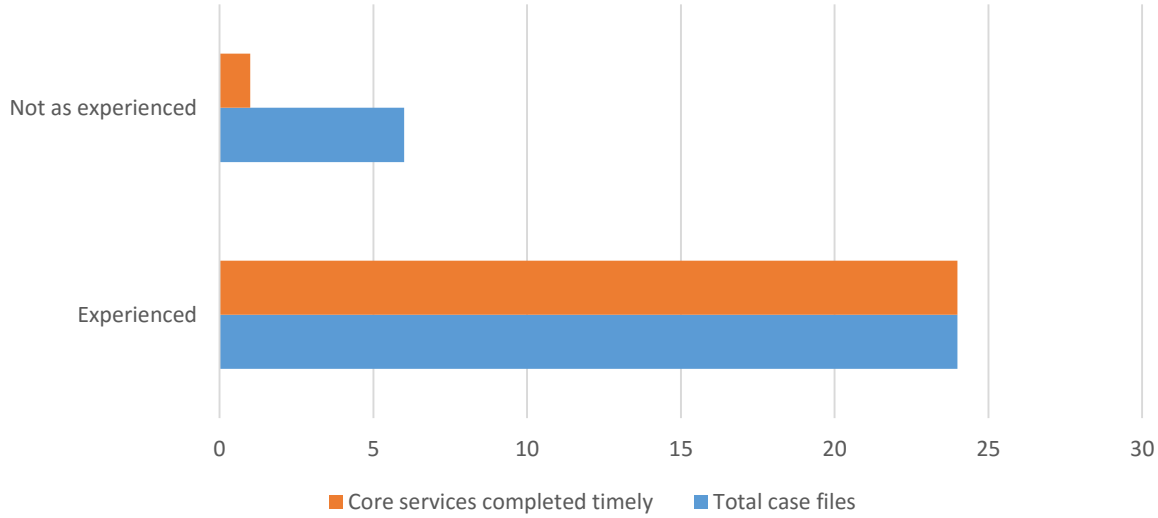
On average, caseworkers were noted to have sought assistance over five (5) times with their counterparts on core services delivery issues. The names of caseworkers assisting the primary caseworker in problem resolution were mentioned in the case notes of individual cases. These case notes were recorded in the Google Documents of the agency. This support system provided caseworkers with valuable social ties and resources within the agency itself. These social resources explain how not as qualified caseworkers were able to help their clients become economically self-sufficient even when they had difficulties completing some of the core services on time. This data suggests that the assistance of highly educated caseworkers (social ties of caseworkers) has a positive impact on the refugee economic self- sufficiency outcomes of the not-as-educated caseworkers.

Caseworker's Experience and Refugee Economic Self-Sufficiency Outcomes

As proposed in the methods chapter, two experience categories were created for the purpose of this part of the study. Caseworkers with one year or more of relevant experience were labelled "experienced," whereas caseworkers with less than one year of experience were considered "not as experienced." Table 6.1 above suggests that of the five caseworkers, four caseworkers were experienced, whereas one was not as experienced. However, the program results in terms of refugee economic self-sufficiency was the same for all. CW5, who was considered not as experienced, also had 100% success disregarding one case—the same case mentioned earlier. Because of the client's behavioral health issues, this case was not considered a failure in becoming economically self-sufficient. With that exception, refugee economic self-sufficiency outcomes for all caseworkers was 100%. Similar to the degree variable, if we just looked at the end result, the results would not support the comparison of performance between experienced caseworkers and not-as-experienced caseworkers. However, table 6.1 suggested

possible comparisons after taking into account all the core services which lead up to the final resettlement outcomes.

Figure 6.2. Caseworkers' Experience and Core Services Delivery



In Figure 6.2, of the 24 case files under experienced caseworkers, all 24 case files had all the core services completed in a timely manner. However, for the not as experienced caseworkers, out of six case files, only one had all core services completed in a timely manner. From the given sample of case files, the experienced caseworkers completed all core services in a timely fashion for 100% of their case files, whereas the not-as-experienced caseworkers had completed all core services on time for approximately 17% of their case files.

The delay in any resettlement service may have occurred due to the following three reasons: program issues, client issues, or performance issues. Below are the notes from CW5 for the delay in core services for the five cases listed under core services not completed in a timely manner.

"Elderly case whose poor health slowed down core services delivery" (Case notes, CW5, case number 2).

"Part of a larger case that arrived at the same time of a PRM monitoring so case manager was delayed" (Case notes, CW5, cases numbers 3, 4, 5 and 6).

The former is an example of a technical problem related to a client. Due to the poor health condition of the particular client, the caseworker had to focus all attention towards the client's health, which led to a delay in some of the other core services. In the latter example, the case notes informed of a delay in core services delivery of all four cases due to an external evaluation of the agency by PRM at that particular time period. But such regular program events do not allow excuses for delay in services. No such reasons were laid out in the case notes of the experienced caseworkers. The evaluation does not appear to have impacted the experienced caseworkers in the same way as it did the not as experienced caseworker. This suggests that the delay in core services for the four cases of the not as experienced caseworker could have been due to time management issues related to a lack of experience.

Four out of five caseworkers in the agency were considered experienced, which is 80% of the total caseworkers. With the exception of one case, all caseworkers had 100% success with in terms of refugee economic self-sufficiency outcomes. Thus, in this particular case, the evidences discussed above tend to support the claim that experienced caseworkers are more likely to achieve higher levels of refugee economic self-sufficiency.

Conclusion

The overall agency track record appears to be excellent at placing people and making refugee clients economically self-sufficient within 90 days. The patterns suggest that the collaboration between the caseworkers exchanging their knowledge from education, training and experience for case-related services appears to have played a key role in the overall performance of the agency.

Bilingual ability of the majority of the caseworkers and the presence of specialized training in the agency, although not explored in this part of the study, are some important components that might have played a certain role in the caseworkers' overall performance. Additional data would be required for future research to explore the effects of bilingual skills and specialized training on refugee economic self-sufficiency within the resettlement process. The importance of bilingual skills for refugee resettlement services was discussed in the FGDs in Chapter Five, and the impacts of specialized training on post-resettlement services will be discussed in the following chapter. A comparative study of two or more agencies in the future could also allow for a bigger sample size for quantitative analysis of the impact of caseworkers' human capital, such as education, experience, and specialized training; and social capital, such as valuable networks and social ties, on refugee economic self-sufficiency.

Chapter 7 Refugee Specialization Training (RST)

Smith, in his book Wealth of Nations (1776), explains specialization as “division of labor”. He argues that production can be maximized if a group of people specialize in specific parts of the process instead of one person trying to doing everything on his or her own. The Cambridge dictionary defines specialization as “a particular area of knowledge or the process of becoming an expert in a particular area”**.** Specialization in any field involves a higher level of understanding and the development of efficient and effective operational capability in that particular area. But specializing in refugees, particularly with respect to resettlement, is quite different from other specialization areas since it involves more than a few specializations. Some of these specializations are discussed below. Refugee resettlement at its core is basically navigating through a wide array of social services in addition to assisting the refugees with a small sum of Reception and Placement (R&P) funds that are spread over the 90 days, depending upon the family size, to be used towards the basic needs of individual refugee cases. These services provided by the resettlement agencies to their refugee clients cannot be effective unless they can be formulated in such a way as to incorporate diverse refugee backgrounds and needs. The caseworkers assisting the refugees deal with clients from different backgrounds every day. While helping the refugees navigate through the social services on a day-to-day basis is important, it is equally important that the caseworkers understand the complex cultural backgrounds and needs of the refugees and develop ways to work in such a complex environment. These caseworkers need to be culturally competent, understand immigration policies regarding refugees, understand general healthcare, education and employment systems, and develop a holistic service system for assisting refugees from different backgrounds. This diverse background knowledge regarding refugees and their immigration status and social

services eligibilities together with the other everyday refugee services such as housing, education, language, clothing, healthcare, transportation, and employment services are referred to as refugee specialization training or RST.

The information presented in this chapter examined hypothesis three from the methods chapter that stated:

- "Caseworkers with Refugee Specialization Training are likely to be more successful in the delivery of refugee services leading to more effective program outcomes."

The objective of implementing and evaluating this training was to provide evidence that may improve the practices of caseworkers working for refugee service providers. Building on the data from preceding chapters this data provides a complete picture of resettlement caseworker preparation, their perceptions about their practices, case file evidence showing the outcomes of those practices, and additional training that may improve their human capital and ultimately the experiences of refugee clients.

Background of the Agency and the Affordable Care Program

A community based non-profit organization was selected for this part of the study. This organization was committed to reducing healthcare-related disparities and creating medical and behavioral health services and access for the large and underserved population of refugees in the metro-Atlanta area. Refugees often suffer from trauma and other mental health as well as various physical health conditions that are a consequence of their survival experiences in conflict and in the refugee camps. Understanding the need for continued health services to the refugees, this agency brought together the refugees and service provider communities, along with other community partners such as hospitals and universities, for joint efforts to serve the metro-Atlanta refugee communities. These refuges clients of the agency came from various countries of origin,

including Afghanistan, Bhutan, Burma, Eritrea, Ethiopia, Iraq, Somalia, and Vietnam. These refugees lacked access to needed care due to a lack of financial resources, cultural or linguistic barriers, the complex service navigation process, and a significant lack of knowledge about the services around them (Source: Case Agency). This chapter explores the agency's reports and enrollment service data for the Affordable Care Navigation Program for Refugees, a fund received as a subcontractor through a federally funded national agency operating in the state of Georgia. All of these reports and data are taken from the programs 2014 statistics.

The Affordable Care Act (ACA), enacted in 2010 and popularly known as Obamacare, aims to put consumers back in charge of their health care. The objective is to offer private health insurance options to uninsured citizens with qualifying income levels (See Appendix 4 for income chart) who are able to marginally contribute towards their coverage. The program also expands state-sponsored Medicaid programs to include those under the federal poverty level who cannot contribute to coverage (DHHS, n.d.). The ACA comes with provisions of subsidies such as the Advanced Premium Tax Credit (APTC), which is provided in advance to subsidize the monthly premium, and Cost-Sharing Reductions (CSR), which is a subsidy granted to lower the consumers' out-of-pocket medical costs. The ACA has removed health insurance coverage bias based on pre-existing medical conditions, making healthcare affordable. (DHHS, 2011). ACA navigators and caseworkers go through complex federal navigator's training and, in addition, state training in those states where extra training is required. This training teaches caseworkers to assist consumers with the health care options in their respective areas of operations as designated by the grant or contract. Community outreach, consumer education, and direct enrollment activities are parts of the ACA navigation program (Brooks & Kendall, 2012).

Analyses

The study of RST used the agency's ACA enrollment data from the 2014 ACA open enrollment period, which ran from October 1, 2013, through the end of March, 2014. Other sources of data included the agency's newsletters, reports, and program evaluation documents, which provided a mixed-methods analysis of the impact of RST on the successful delivery of refugee ACA enrollment services. The group experiment through direct participatory observation could not be conducted as the environment (required time factor and caseworker availability) was not favorable at the time of data collection. Based upon availability, two enrollment sessions each were observed in January and February of 2015 in order to see the direct interaction between caseworkers and refugee clients. The initial experimental intentions of the observation were met by the enrollment data from the 2014 open enrollment period. The detailed quantitative data from enrollment spreadsheet allowed for and was used to design a broad two-dimensional analysis: first a pre-RST and post-RST efficiency analysis, which was later supplemented by an RST group and non-RST group analysis. These two analyses present strong validation for the proposed claim. This test was initially intended to be a test group vs control group analysis. But the nature of the work and the frequent collaboration between the caseworkers would not allow for a true test group vs control group comparison.

Findings from Observations and Agency Reports:

During the observations, some refugees reported that they attempted to complete their ACA online applications by themselves but failed to do so because of language and technical complexities. A large majority of refugees complained that they applied for affordable healthcare over the phone but were unsuccessful. There seemed to be a lot of communication issues due to the refugees' limited English skills. Some of these issues were also caused by the ACA

Marketplace staff's unfamiliarity with the varying technical backgrounds of the refugees. The refugees not only needed assistance with enrollment, but they frequently returned to their caseworkers for post-enrollment services such as contacting the healthcare provider, making premium payments, and changing their immigration status. Some examples from the observation notes are given below:

1. "Can you help me call the Marketplace? I can't understand what documents they want" (Observation notes, 01/13/2015).

2. "Can you please call Humana (Insurance provider)? I don't know how to pay" (Translated from Nepali language spoken by Bhutanese refugees, Observation notes, 01/28/15).

The time factor was another major challenge for caseworkers. As presented in example three below, some caseworkers were observed to take much longer to assist an individual or family compared to their counterparts.

3. "Caseworker-1 went to get help three times from Caseworker 3 while assisting an individual. The application process took approximately 2 hours 10 mins" (Observation notes: O2/04/15).

The usual application completion time for an individual case was 30-45 minutes and about one to one and a half hours for family cases. Some caseworkers were often found taking twice as much time required for the application process, but they were not always successful with the application. This is directly related to the lack of working knowledge and experience of caseworkers with their refugee clients with a few exceptions of extenuating circumstances such as online portal issues, missing documents and level of health insurance literacy of the refugees.

The observation patterns suggest that because of regular interactions with refugees, the caseworkers became more comfortable handling refugee cases over time. They were found be to more effective in communicating with refugees with minimal English language skills and solving

ACA application-related problems. The researcher also observed that the caseworkers often collaborated with their colleagues when they faced difficulties during the application process.

4. "Caseworker-3 was approached by Caseworker-1 and Caseworker-5 multiple times during the enrollment session" (Observation notes: O2/14/15).

The caseworkers who often helped other caseworkers were still observed to have completed their clients' applications in a timely manner. The collaboration or mentorship between the caseworkers was observed to play a key role in refugee-friendly ACA application assistance. It also enhanced the overall performance of the agency.

These findings from the observations were consistent with the challenges reported in the agency's formative program evaluation which was conducted a year earlier in January 2014. The aim of the evaluation was to identity the problems in the agency's ACA program for refugees and create a better system to serve the refugees. The program evaluation was conducted using interviews with caseworkers and refugees and content analysis of the agency's enrollment data. The content analysis of the report suggested that initially there were many challenges with the ACA program for refugees. Most refugees did not understand the concept of health insurance because they did not have such provisions at home or in the refugee camps. The agency clients had little to no knowledge about ACA. Consistent ACA application-related problems affected not only those refugees who had recently been resettled in the U.S. but even on those who had been living in the U.S. for over five years.

The formative evaluation identified the core issues of ACA enrollment to be associated with identity verification issues and time. In the first quarter of the open enrollment period of three months, over fifty applications were reported incomplete due to various reasons—mainly lack of knowledge of refugee background, lack of relevant immigration documents and

miscommunication. Examination of the enrollment spreadsheet found that most of the applications were stuck in the pipeline due to identity verification issues caused mainly by failure of caseworkers to report the correct immigration status of the refugees and failure to provide the relevant documents needed to verify their status. The health navigators assigned to assist the refugees with their healthcare options had difficulties completing their clients' applications. A majority of the refugees were also found to be rescheduled due to the lack of time in a pre-arranged appointment setting. The ACA enrollment data spreadsheet had the following comments such as, *"FU (follow up) required for verification", "Incomplete application", "More information required", and "Appointment rescheduled/no time"* for the pending cases. (See appendix 5). A summary table from the enrollments sessions from Appendix-5 is given below:

Table 7.1. Enrollment Issues Summary

Applications Completed/ Partially Completed	**Follow Up Verification Issues**	**Follow Up Time Issues**	**Follow Up Other**	**Total**
3	10	9	8	30

Table 7.1 above is a summary of enrollment sessions and issues from the month of January, 2014. Of the total 30 refugee clients who came for ACA application assistance, only three applications were mentioned to be completed or partially completed. Verification issues were listed for 10 applications. Nine applicants could not be seen on their appointment dates and were rescheduled for a later date. Eight applicants were noted to have other reasons: "no qual," which meant "found not to be eligible" for four, "system error" for one, "need more documents" for two, and one unknown (See Appendix 5).

As recommended by the agency's formative evaluation, a two-week on-the-job training program was established for the caseworkers. This training focused on refugees' cultural and immigration background issues and was scheduled for the first half of February, 2014. The aim of this training was to provide detailed background of the refugees to the caseworkers so that they could better understand the clients they were assisting. Caseworkers were provided with detailed information on the ethnic and cultural backgrounds of different refugee groups, mainly the ones the agency frequently served. Active refugee leaders including the agency's Bhutanese, Karen and Classical Burmese interpreters also actively participated in the training process to familiarize the caseworkers with their cultural and religious backgrounds. Caseworkers were provided with information on the different immigration statuses within refugee families. This was crucial since the evaluation had identified the caseworker's lack of knowledge in varying immigration status of the clients as one of the major causes for not being able to assist clients with ACA enrollment. The training fulfilled the notion of RST since the caseworkers were provided training on the important aspects of refugee clients that were crucial for the success of the agency's refugee health navigation program. This particular aspect (introduction of RST) validates the selection of the case agency with respect to RST study as this RST program was designed to help caseworkers better understand the context of the refugees they served and achieve better outcomes.

Pre–Post Refugee Specialization Training (RST) Outcomes:

The two-week long RST training in February, 2014, allowed for pre-RST and post-RST analysis of caseworkers' performance. In order to study the pre RST and post RST caseworkers' outcomes, five random working sessions were selected from the enrollment spreadsheet for each

of the two categories. For each category, total enrollment assistance numbers and total applications completed were accounted for per session as displayed in the table below.

Table 7.2. Pre-Post Refugee Specialization Training (RST) Outcomes

Sessions	Pre-RST Enrollment Applicants Assisted	Pre- RST Applications Completed	Post-RST Enrollment Applicants Assisted	Post- RST Application Completed
1	3	1	5	1
2	3	1	5	5
3	2	1	7	4
4	2	2	10	3
5	5	0	16	5
Total	15	5	43	18

One conclusion that can be drawn from the table above was that the caseworkers, pre-RST, were completing about 33% of applications and after the RST training they were completing approximately 42% of the applications.

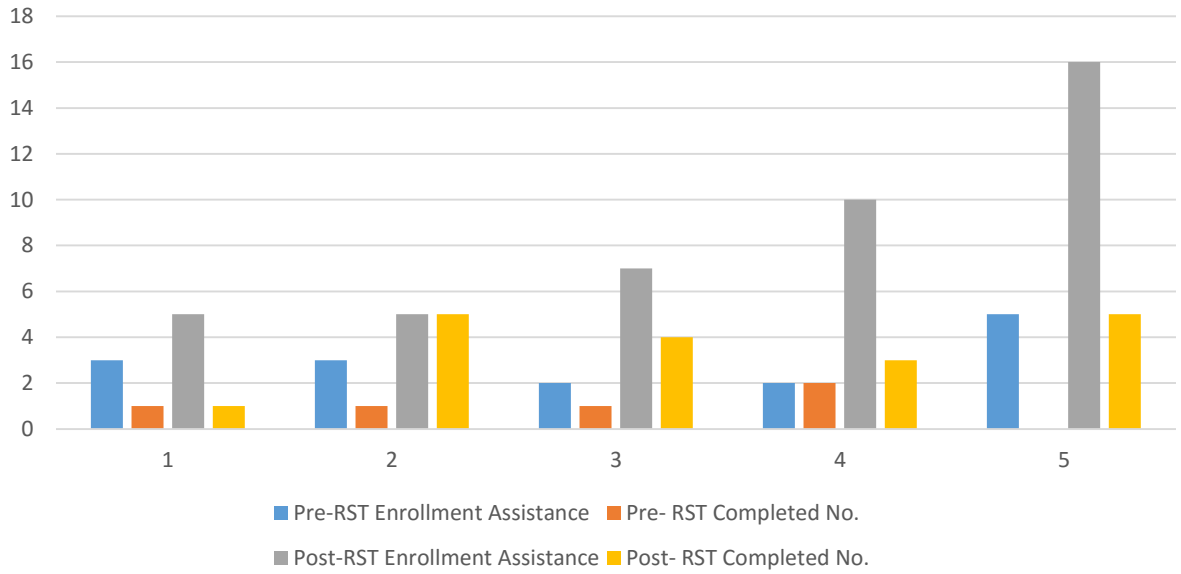
Table 7.3. Pre -Post Refugee Specialization Training (RST) Mean Comparison

Groups	Mean of Enrollment Applicants Assisted Per Session	Mean of Applications Completed Per Session
Pre-RST	3	1
Post-RST	8.6	3.6

After comparing the means of enrollment outcomes per session, the data suggested that for the enrollment applicants assisted, the post-RST mean was approximately three times the pre-RST mean, and for the applications completed, the post-RST mean was approximately four times the pre-RST mean. This mean comparison shows a significant rise in the performance per session after the experimental group acquired RST.

To make the comparison across the different sessions from the above Table 7.2 easier, the following figure was generated.

Figure 7.1. Pre-Post Refugee Specialization Training (RST) Enrollment Outcomes



The above figure shows a significant increase in both the post-RST total enrollment applicants assisted and in the total applications completed compared to the pre-RST numbers across all five sessions. The selected sessions were arranged in an ascending order of occurrence. The figure shows steady growth in the enrollment applicants assisted over time as well fairly consistent numbers of applications completed across all five sessions post-RST. This growth in

performance may be directly related to the application of training and learning through practice over time.

RST Group (RG) vs Non-RST Group (NRG) Comparison:

Affordable Care applications can be completed in three ways: online, over the phone, and paper applications. Studies suggest that none of the three options was easier than any other. Even native English speakers were having problems understanding the new system. A self-application (online or over the phone) would not be feasible for the refugee population and therefore they required in-person assistance from the caseworkers. Agency reports suggest that most refugees just wanted to have health insurance because they feared the penalties for not having health insurance; most did not care about the details of ACA. The agency faced a high volume of refugee clients needing assistance from the very beginning of the ACA program. Thus, it sought guest navigators from multiple partnering agencies on a regular basis in order to help manage their heavy case load. For RG vs NRG comparison, two groups of caseworkers were selected. The NRG consisted of three caseworkers who were licensed federally and in the state of Georgia for navigation work. The RG consisted of a set of three caseworkers, the same caseworkers who were mentioned earlier as having been equipped with specialized training on refugees in addition to federal and State of Georgia trainings. Since this was the first year of ACA enrollment, both groups of caseworkers were new to this particular experience and possessed the same required skills. Thus, the NRG had the same basic characteristics as the RG. The only difference was that NRG caseworkers did not possess specialized training on refugees or RST.

Table 7.4. Non-RST Group (NRG) vs RST Group (RG) Total Comparison

Groups	Total Sessions	Total Enrollment Applicants Assisted
NRG (n=3)	14	54
RG (n=3)	7	37

This analysis is based on the total number of enrollment applicants assisted by the NRG and the RG groups. From Table 7.4 above, the NRG had a total of 14 enrollment sessions in which they assisted 54 refugee clients. The sessions for RG had to be accounted for after their RST training so, they only had a total of seven sessions in which they assisted 37 refugee clients. The means (M) of total applicants assisted for the two groups were generated. The average number of enrollment application assistance for the NRG group across 14 enrollment sessions was 3.85, whereas for the RG it was 5.28 across seven sessions. The results show that although the caseworkers from both groups had the same level of basic training and experience, the RG was able to provide application assistance to more refugee clients per session due to RST. The presence of RST contributed to a noticeable difference in the day-to-day refugee services.

Paired Comparison:

Since the earlier analysis did not have uniformity in the number of enrollment sessions, a second analysis was run where a total of five sessions were selected for both groups. The rationale behind the selection of five sessions was based on the limited availability of the working sessions where both the RST group and the non-RST group had worked together after the RST group had acquired specialized training.

Table 7.5. Non-RST Group (NRG) vs RST Group (RG) Uniform Sessions Comparison

Sessions	NRG Enrollment Applicants Assisted No.	NRG Applications Completed No.	RG Enrollment Applicants Assisted No.	RG Applications Completed No.
1	1	0	5	1
2	2	2	5	5
3	4	2	7	4
4	6	5	10	3
5	9	3	16	5
Total	22	12	43	18

The sample sessions represented a good proportion of the total enrollment session for each group, as shown in table 7.5 above. The total enrollment applicants assisted and total applications completed were counted per session for each group. From the above table, NRG caseworkers were completing about 55% of the applications, whereas the RG group were completing approximately 42% of the applications. Although the data shows that the NRG's performance was better proportionally in total, it is important to note that the RG had assisted higher numbers of applicants and completed higher numbers of application in total.

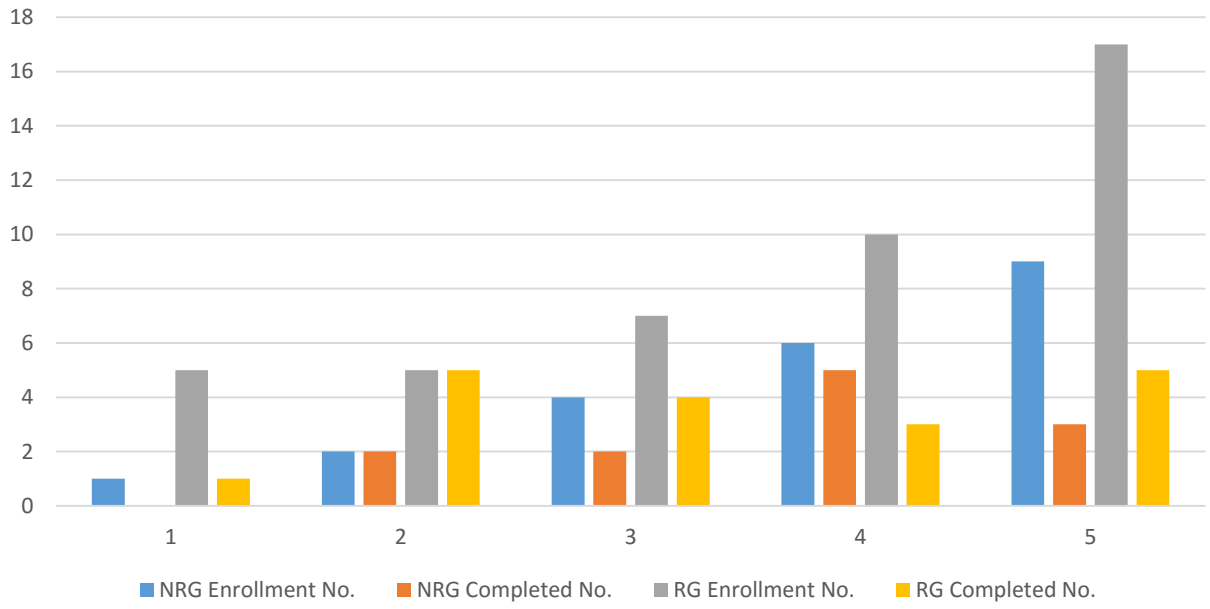
Table 7.6. Non-RST Group vs RST Group Mean Comparison

Groups	Mean of Enrollment Applicants Assisted Per Session	Mean of Applications Completed Per Session
NRG (n=3)	4.4	2.4
RG (n=3)	8.6	3.6

From the above table, it can be concluded that on average, the RG assisted approximately twice the number of applicants as the NRG, and that the RG group completed more applications on average than the NRG.

The following bar diagram was generated for better comparison across all five sessions.

Figure 7.2. Non-RST Group (NRG) VS RST Group (RG) Enrollment Outcomes



As shown in the above Figure 7.2, the RG assisted higher numbers of enrollment applicants per session compared to the NRG. The RG also completed a higher number of applications per session compared to the NRG with the exception of session four. The data suggests that the performance of the RG was comparatively better than that of the NRG. However, Figure 7.2 above also shows a gradual increase in the NRG's total enrollment numbers as well as the number of applications across all five session. This increase in the NRG's outcomes may have an indirect connection to the shared learning or the help they received through the RST trained group (use of social capital). Both groups show steady improvements in enrollment outcomes from session one to session five. Besides shared learning, this growth in performance may be directly related to the application of training and learning through practice over time as previously concluded in the observations and pre-and post-RST tests.

Conclusion

As mentioned earlier in the findings from observations and agency reports, the caseworkers often collaborated with their more knowledgeable colleagues regarding the technical issues in the ACA application process of their refugee clients. The NRG vs RG comparison above also suggests some collaboration between the two groups. These results definitely complement each other and further support the theory of the Zone of Proximal Development (ZPD) discussed in the theory chapter. This theory explains the differences between what a person a can do, what he cannot do and what he can do with help (Vygotsky, 1978). Since the performance of the not-as-trained (NRG) group was positively influenced by collaboration with the specialized (RG) group, the findings also suggest that the knowledge and skills of vital social ties are likely to enhance the performance of resettlement caseworkers towards the achievement of refugee economic self-sufficiency. In this regard, the competent

caseworkers were not only vital social ties for refugee clients, but also to other caseworkers within the agency.

Both the qualitative data and the quantitative data from the agency support the importance of RST in the effective delivery of refugee services. The trends from the analyses support the proposed claim that caseworkers with RST training are likely to be more successful in the delivery of refugee services, which leads to better program outcomes. According to the findings from the agency's data, refugees—recent arrivals as well as those resettled over five years—opted for in-person assistance for their healthcare needs. This particular finding suggests that if the refugees need caseworkers with specialized training on refugees (RST) several years after resettlement, then the new arrivals absolutely need the same level of help, if not more. The resettlement outcomes may be better if resettlement caseworkers are provided with RST as a part of their job orientation since they are required to assist refugees and navigate many resettlement services and social services, not just healthcare. This study also suggests that specialized training not only had a directly positive impact on the enrollment outcomes of RST group, but it may have had an indirectly positive impact on the non-RST group's outcomes as well because of the shared learning effect. Yet another conclusion of the study is that the performance of caseworkers is enhanced by the application of training and familiarity with the processes over the course of time.

Chapter 8: Summary of Analyses

Summary of Analyses and Interplay of the Theories

This study began with the assumption that the characteristics of the caseworkers such as education, experience and specialized training contributed to their job performance and positively impacted the economic self-sufficiency outcomes of their refugee clients. The analyses of data triangulation from FGDs, case file analysis, and RST case study support the main theory being examined in this study: caseworkers' characteristics (human capital) and their social networks within the resettlement area (social capital) contribute to the rise in the human capital, social capital, and employable characteristics of refugees. This helps refugees achieve their economic self-sufficiency goals. Data from all sources suggests that the core services are equally important and led up to the crucial need to be economically independent. The satisfaction of refugees' human needs is directly related to the traits or qualifications of the caseworkers—mainly education, experience and training.

The analyses of case files and focus group discussions (FGDs) suggests that caseworkers' education is closely tied to their knowledge of the background of the refugees, cultural competency, management of large data through statistical tools and databases, and development of training programs. Caseworkers shared their knowledge with other co-workers in order to efficiently deliver core services and resolve issues related to resettlement services. Challenges to program outcomes due to the lack of understanding of the work scope were confirmed by the management, caseworkers and the refugees in the FGDs. The case file analysis of a resettlement agency in which approximately 80% of the caseworkers are considered highly educated and over 90% of refugee cases are economically self-sufficient within the R&P and MG program periods

also suggests that agencies with highly educated caseworkers are likely to have higher levels of refugee economic self-sufficiency outcomes.

Experience was noted to be crucial in navigating through the complex core services delivery on a regular basis and in dealing with the matters of systemic challenges like delays in the services, problems with paperwork, management of caseload, and knowledge and use of available resources. Both refugees and caseworkers in their respective FGDs confirmed that caseworkers face several challenges during resettlement due to a lack of relevant experience. Caseworkers in their FGD expressed how they could not handle a situation due to the lack of experience. Several similar comments were made during the refugees' FGD. It was also noted that not all problems were due to the shortcomings of the caseworkers, but rather due to the varying needs of the refugees, and sometimes needs were beyond the scope of a caseworker. For example, in a case of domestic violence, it is not necessary that in every agency a caseworker would be trained to deal with such issues. But the agency and the caseworkers could build their social capital around such frequent refugee need patterns and utilize them when necessary. The case file analysis suggests similar successes with the experience variable of caseworkers as with the education variable mentioned above. These findings also suggest that experienced caseworkers are likely to have higher levels of refugee economic self-sufficiency outcomes. Experience contributes to both the human and social capital of the caseworkers. The more experienced the caseworker, the more knowledgeable he or she is of the processes and the more social capital he or she develops through his or her experience working with various stakeholders, ultimately resulting in better outcomes.

The various sources of data collected throughout the research suggested that refugee specialization training (RST), a component of human capital, is another influential factor in the

delivery of refugee services and in determining refugee economic self-sufficiency outcomes. The study suggests that even if the caseworkers possess only the basic hiring standards, continued specialized training in the domain of resettlement helps compensate for the shortcomings of the caseworkers. This training also helps them achieve higher levels of refugee economic self-sufficiency outcomes. The study of the impact of specialized training on program outcomes conducted in a post-resettlement refugee health services agency suggests that refugees need continued specialized assistance several years after their resettlement. This strongly validates the importance of such training and specialized caseworkers' assistance for refugees when they first arrive for resettlement. This is also strongly suggested in the FGDs. The data from FGDs, agency case files, and RST case study suggest a wide variety of training programs for caseworkers such as case management, social services navigation, database management, cultural competency, and counselling according to the types of refugees they serve and the resources available in the resettlement site.

Bilingual skills of caseworkers is another factor suggested by the study to enhance communication with refugees, which may lead to better understanding and resolution of their problems and needs. The case file analysis and the refugee FGD provide many examples of how bilingual skills impact caseworkers' performance. But since all resettlement programs are required to have interpreter services for every community they serve, bilingual skills are not considered as a stand-alone determinant, although they are an exceptional optional characteristic for caseworkers to have.

As outlined in the theory and literature review, this study initially identified two main interplays which were related to refugee needs: refugee human and social capital, and agency capital and refugee human capital. The study then suggested the addition of a new dimension,

caseworker-refugee human and social capital, to the existing operational model. In the due course of this study, yet another interplay of human and social capital was identified that was crucial to the satisfaction of refugee needs: “the caseworker-caseworker human and social capital interplay”. The data suggests that the human capital and social capital of the caseworkers not only impacts the human and social capital of the refugees, but it also influences the human and social capital of other caseworkers in the agency. The RST case study and case file analysis both suggest a rise in the performance and program outcomes of the not-as-trained and the not as educated caseworkers due to the exposure to the knowledge and resources of their more qualified co-workers through shared learning, collaboration, and mentorship. All of these interactions led to the enhancement of the overall performance of the agency. The effects of the theory was Zone of Proximal Development (ZPD) discussed in the theory chapter and later confirmed in the RST chapter is an important part of the interplay, and provides a crucial alternative explanation to the process in which the increase in the human capital of one or more caseworkers would lead to an increase in both the human and social capital of other caseworkers, and ultimately result in the growth in the agency’s capital.

The RST study also identified time as an important part of the training process. The experimental group of caseworkers equipped with RST showed improvement in enrollment outcomes over the course of enrollment sessions that followed. The experimental group applied their training, and, over time, learned more and enhanced their performance through continued practice. This was also applicable to the control group of caseworkers. The gradual improvement in their performance over the course of enrollment sessions could also be related to learning over time in addition to their collaboration with the experimental group. The study suggests that

continued learning through practice over time was crucial to maintain the acquired training knowledge and improve case management performance.

The findings suggest that individual characteristics such as education, experience and specialized training were crucial for caseworkers in order to assist refugees with day-to-day resettlement services and help them achieve economic self-sufficiency. Higher levels of education, experience and training provide important knowledge, skills, and tools to the caseworkers in order to perform their complex resettlement functions. The findings also suggest that not all caseworkers need to possess the highest standards of those characteristics. Collaboration between highly qualified caseworkers and not as qualified caseworkers can often compensate for the shortcomings of the not as qualified caseworkers. The findings also suggest that RST is one of the most crucial characteristics of resettlement caseworkers, and this study stresses the continuation of applied specialized trainings in important refugee and social services aspects. Education and experience factors alone will not be as effective without RST in the domain of refugee resettlement.

Case Management and Policy Challenges

The study identified various other factors affecting refugee economic self-sufficiency outcomes. These factors were intertwined between case management and policy issues. Caseload was identified as one of the more serious challenges. Data from primary and secondary sources suggests that a lack of adequate caseworkers negatively affects case management. Due to large caseloads, caseworkers were reported to be attending to the needs of the refugees during the resettlement period of 90 days or up to the requirements of matching grant period only. Large caseloads often led agencies to focus on short-term goals rather than a long-term and sustainable economic self-sufficiency goals. Although in some instances it was noted that refugees were

taken to more than few interviews, most cases were found to be enrolled in an entry level job and then left there due to the lack of resources to further support them with their growth and development. The R&P contract stated that employable refugees could not pass up any type of employment opportunity presented to them by the organization. Due to all these challenging factors within case management and policy, this contract often forbids refugees from other potential opportunities and put them all in one "entry level" category regardless of their education, work experience, or skills. The data shows that these systemic challenges lead to very limited effort on the agency's side to explore diverse job options for refugees.

The R&P time period of 90 days was noted as another major challenge. The study suggests that refugee cases who were found eligible for matching grant did not have as many problems compared to the R&P cases. This is because the matching grant often extended from four to six months. Caseworkers and management mutually agreed on the need of an appropriate resettlement timeframe in order to encourage employment related efforts from the refugees. They expressed that they had often seen less of an effort from refugees while they were still receiving program benefits. They also expressed concerns that a longer resettlement time may encourage refugees to continue to rely on program funds and public benefits. However, there was greater agreement that the system in its current state was not working well and that 90 days did not justify as an appropriate resettlement timeframe to assist refugees coming from different backgrounds and carrying different types and levels of skills. Resettlement services were also found to be affected by the part-time status of the caseworkers. Such caseworkers were often reported to have other conflicts of interests and not fully committed to their clients.

The data collected from FGDs, case file analysis and RST case study are reliable as they come directly from the primary stakeholders of resettlement program and the refugees

themselves. The data are also valid because it is directly linked to the understanding of how the independent variables of the study (caseworkers' characteristics) impact the dependent variable (refugee economic self-sufficiency outcomes). The triangulation of data from these different sources mentioned above provides a stronger validation to the study. Although not statistically significant, they provide an understanding of the causal mechanism. The data represents resettlement practices in metro-Atlanta, metro-coastal Connecticut, and suburban Ohio, which allows for comparison of trends and challenges in resettlement outcomes in the different regions within the United States. The impacts of caseworkers' characteristics on refugee economic self-sufficiency have high degrees of similarities in those three regions together with the other challenging factors of resettlement. The agencies represented by the data belong to five separate voluntary agencies or VOLAGs (three from Atlanta, one from Ohio, and one from Connecticut) which allows an opportunity for inter-VOLAG comparison as well. Since all resettlement agencies follow the same basic structure as shown in Fig. 1.1, these findings can potentially be generalized to any resettlement agencies within the United States.

Review of Best Practices

Language and Communication:

Language and communication skills of refugees were found to directly impact refugee employment opportunities. ESL programs provide refugees with these skills, which helps refugees attain economic self-sufficiently. But ESL courses are not always effective due to irregularity in attendance and the refugees' immediate focus on employment. In order to enforce language training in a creative way, some resettlement agencies develop programs such as 'Volunteer Conversation Partner" and "Applied ESL" programs. These programs compliment the mandatory ESL program. They are designed to provide refugees with more of a one-on-one

practice, which helps them learn English language faster. Agencies that follow similar designs have higher levels of successes with refugee economic self-sufficiency. Volunteers are able to manage convenient class times with refugees and provide these classes at the refugees' residences, which provides refugees with flexibility and better incentives to learn English.

Although interpreters are usually available for communication purposes, resettlement agencies with some bilingual caseworkers have better success communicating with their clients and understanding their needs. These agencies have one or more caseworkers that spoke the languages of the major refugee population they serve.

Supplemental Employment Training Programs:

Resettlement agencies provide mandatory employment orientation and training to the refugees. While some implement MG programs (based on availability) to speed up employment for employable refugees, others develop their own employment programs and crash courses targeted at providing some work experience to those refugees who did not have any work skills or work history. These programs help refugees learn basic catchphrases and some hands-on experience to be used in a particular job. For example, one particular agency partners with a local Subway fast food restaurant to provide a one week crash course to refugees. At the end of the week, competent trainees are hired by the Subway restaurant, whereas the others acquired training and well as work experience, which increases their chances of being hired in the future. This type of training should yield long-term job sustainability for refugees.

Use of Social Network:

Resettlement agencies' partnerships with social networks such as colleges, universities, and professional individuals provide ample number of interns and volunteers to help implement day-to-day programs and services targeted towards refugee empowerment. This collaboration

with social networks makes the operations cost-effective and sustainable since resettlement programs run on bare-bone funds. Agencies also collaborate with other community organizations to bring in important auxiliary resources and expertise such as healthcare, transportation training, and workshops on counseling, domestic violence, substance abuse and trauma management. Such collaborations between the resettlement agencies and community partners make a huge difference in the economic self-sufficiency outcomes and overall resettlement process of the refugees.

Shared Learning and Collaboration:

Shared learning is also an effective way to fill in gaps of services for refugees. Regular meetings and sharing of updates help caseworkers learn from each other's experiences. Such collaboration saves time and training costs for the agency, and knowledge sharing from few trained caseworkers can help to enhance overall case management of the agency. Collaboration between caseworkers is also critical for direct assistance to one other while assisting refugee cases with a particular complication. In such cases, caseworkers are able to seek assistance with their counterparts on the issues with which their counterparts have better understanding or knowledge.

Some agencies' leadership also engages in regular meetings with the leadership of other agencies to discuss the operations, challenges and the means to a successful refugee resettlement program. Learning from the experiences of different agencies and sharing best practices allows agencies' leadership to make appropriate changes to their operations and practices and implement those changes which are most effective in enhancing overall performance.

Division of Case Management Expertise:

While some agencies (usually smaller ones) have one caseworker doing everything from the start to the end of R&P period for their assigned refugee cases, others (usually medium to bigger ones) have different experts for different assignments such as health coordinator, transportation coordinator, employment specialist, social services coordinator, volunteer coordinator, and auxiliary services coordinator. This way each caseworker only has do their part of the assignment and are able to hone their skills in one area of expertise. This also allows the agency to better manage the flow of refugees and enables individual caseworkers to better manage their caseloads. The data also suggested that the proper management of caseload would have a positive impact on the employment success outcome for refugees.

Extended Support:

While most resettlement agencies do not opt for extended support beyond the resettlement period, others continue to provide extended auxiliary support such as referrals, ESL classes, and employment trainings. This type of support plays a crucial role in the growth and development of refugees by helping them stay connected to various needed services. This is beneficial not only for those refugees who have not been able to be employed within the R&P period, but also to those who are seeking extra support for future advancements. In some cases, extended support is provided by collaborating with other non-profits and faith-based organizations in the community.

Conclusion

The summary of analyses and the review of best practices highlights the importance of caseworkers' education, experience and training as well as the added advantage of having relevant social ties in fulfilling grassroots refugee needs and ultimately fulfilling the greater peacebuilding goals. Some operational challenges are highlighted in the summary of analyses such as caseloads and the limited time frame for resettlement, which are related to the policy. Division of labor of caseworkers and extended support for refugees beyond the resettlement period have a positive impact on the efficacy of the caseworkers and the agencies.

Chapter 9: Conclusion

Research Implications

The implications of this research may be useful in providing some valuable insight into managing the current global refugee crises. The policy implications of this research range from domestic to international resettlement operations and policies, international stakeholders, and the domestic U.S. government, including social service providers. Some of the research implications are as follows:

1. The findings of this study can potentially be utilized in order to assess resettlement agency functions nationwide. The results of this study are based on findings from resettlement agencies, all of which function under the same standard structure as laid out by the United States Resettlement Program (USRP) as shown in Figure 1.1. Thus, the results from this study can be applied to other cases across the United States.
2. Every refugee-sponsoring county agrees to some basic terms and conditions with the Office of the United Nations High Commissioner for Refugees. They have similar basic structures of funding and operations although there may be some differences in the service approaches. Thus, the findings of this research can also be utilized for the assessment of refugee resettlement programs globally.
3. Pre-resettlement activities in refugee camps involve preparations for actual resettlement. Refugees go through basic language training and some other pre-resettlement orientations targeted towards assisting refugees with their upcoming resettlement. The findings from this study could be utilized by the United Nations High Commission for Refugees (UNHCR) and Refugee Support Centers (RSCs) of sponsoring countries to improve these pre-resettlement services.

4. The findings of this study can, to the same extent, be generalized towards other public programs under DHHS such as healthcare, nutrition programs, employment programs, unemployment benefit programs, and disability benefit programs. These public programs are also focused on the self-sufficiency of the needy citizens and qualifying residents and follow certain program timelines and standards for eligibility. Hence, the research findings can be used to assess and improve these programs.
5. The findings can also be utilized for other consumer services orientated non-profits that largely depend on day-to-day case management for various services such as housing, healthcare, employment, substance abuse, HIV AIDS, and domestic violence, which require caseworkers with certain specializations.

Limitations

The limitations of the study are as follows:

1. Data and Case Selection:

The data collected for this study is at the level of a resettlement agency mainly in the states of Georgia and Connecticut. This study is limited to the resettlement agencies and refugees resettled in metro areas only. The study does not adequately represent inputs at sub-urban or rural levels, although one FGD participant represented suburban Ohio. This study also does not represent data at the VOLAG (national agency) level or state/federal level.

2. Operationalization and Sample:

One of the methodological limitations is that the non-RST (non-specialized) group in the RST study was tainted with the knowledge of the RST (specialized) group after working in a combined setting. Because of this, it was not a true control group since the group's performance was impacted by the sharing of knowledge and mentorship. The presence of a true control group

could have potentially resulted in lower performance levels of the control group as well as comparatively lower overall performance of the agency.

Due to the unavailability of required numbers of caseworkers and management for separate FGDs, a combined caseworker-management had to be put together. Separate FGDs for management and caseworkers might have yielded much broader level insights into the current policy and operational issues within the USRP.

The case file analysis was limited to a mid-sized resettlement agency. The 30 samples for case files analysis, though a significant percentage (approximately 75%) of the available total cases for a mid-sized resettlement agency, was still inadequate for running statistical tests. The case file analysis was also limited to one agency.

3. Scope:

This research studies only part of a global refugee intervention by international actors. While refugee resettlement has an international focus with actors such as UNHCR overseeing the refugee camps and determining and negotiating the urgency of resettlement, International Organization of Migration responsible for transportation of refugees to resettlement destinations, and host countries providing refuge and the sponsoring countries, this research focuses only on the resettlement activities at a domestic level. This study does not adequately explore the processes before the arrival of the refugees in the county of resettlement. This study explores the final steps of a long process, so it cannot determine what impact other pre-arrival events have in the resettlement process.

4. **Exploration of successful employment examples:**

This research is limited to the exploration of how the characteristics of the caseworkers impact the process of refugee economic self-sufficiency. Due to the scope of the research and the nature of the data, it does not take a deeper dive into specific employment examples to determine what type of employments yield more long term self-sufficiency than the others. Many refugees do not keep the jobs which they first enrolled in with the help of their respective resettlement agencies. Most of the agencies do not keep track of refugees or actively maintain and update case files once the R&P period has been completed. This poses challenges in collecting accurate and successful refugee employment data.

Recommendations and Future Implications

Based on the findings from various data sources, the study makes the following recommendations and presents the following implications for the future:

1. The study suggested that the R&P period of 90 days was not a justifiable time frame for all refugee communities and recommends a timeline revision. During the FGDs, both the providers and the refugees agreed that the time frame of 90 days was not applicable to all refugee cases, mainly those with language shortcomings. FGD participants argued that it was too short of a time frame for someone with no prior English language skills to be able to learn the language, find a job and also become economically independent. The data suggested that different refugee communities had different needs and therefore, should not be looked upon as identical. This study recommends a revision of the R&P timeframe and funds to meet the needs of different groups of refugees or even allocate different timelines and funding levels for refugees at different levels of skills and employability.

2. Refugees from different parts of the world have different cultural backgrounds and have different sets of experiences than the others. Some communities may have better English language skills on average while some may have on average poor health conditions. Singular resettlement service models may not always fit the needs of all communities. This study recommends that resettlement agencies design a community-specific service model according to the types of refugee communities they serve. For example, if an agency primarily serves a non-English speaking refugee population with no specific employment skills, their model should be more focused on language needs and basic level employment opportunities. On the other hand, if an agency serves more educated and skilled refugee groups, they should focus on a trade-specific employment model whereby assisting the refugees to find employment based on their skills and education. Agencies that primarily serve seniors and disabled cases should use a model in which their caseworkers are provided specialized training in social security benefits and disability benefits navigation. These agencies could also focus on making arrangements for transportation and housing needs accordingly. A single agency could also follow more than one model according to their operational capability and availability of resources.

3. This study recommends that resettlement agencies design and implement employment-focused English language crash courses in addition to the mandatory ESL classes. Such classes would help the refugees find employment within the tight window of resettlement. These programs could also be incorporated as a part of mandatory employment workshops to save time and resources. The data suggested that with the implementation of such programs, agencies had certain levels of success

where refugee clients with limited English skills were able to secure employment in a shorter period of time. The data also suggested that refugees were more interested in this type of training than traditional ESL training.

4. Regarding critical refugee services such as substance abuse, mental health and domestic violence, the study recommends that resettlement agencies utilize local community partners to tackle issues for which they might not have the expertise. The data suggested that caseworkers had difficulties assisting refugees with special needs and conditions such as post traumatic stress disorder (PTSD) and domestic violence. While some caseworkers were able to find resources to assist those cases, many others faced difficulties because they were unaware of the appropriate resources available in their communities. This study recommends agencies to identify and maintain an updated list of relevant community partners who can directly or indirectly assist with certain services for refugees. This study also recommends agencies to collaborate with these types of local resources to train their caseworkers as needed.
5. The data suggested that most agencies only provided on-the-job training to caseworkers upon hire and did not provide a formal program orientation and training prior to beginning the job. While on-the-job training is helpful, the study recommends VOLAGs implement a compulsory standard training at the resettlement agencies prior to the caseworkers beginning their formal duties. Resettlement caseworkers have a wide variety of functions that are critical to the fulfillment of refugee needs on a day-to-day basis. Formal training would help caseworkers be prepared for the unforeseen circumstances during service navigation and provide problem-solving

skills to resolve such issues. These training programs could include simulations and workshops to give a real life feel to the caseworkers.

6. Recognizing the everyday operations and caseload, the results from the study support the idea that resettlement agencies should have a certain number of caseworkers specialize in specific areas of need. This would allow trained caseworkers to be available for interventions, share their knowledge, and train their co-workers as needed. Human and social capital theories suggest that relevant skills and social ties help enhance performance. The theory of the Zone of Proximal Development in particular suggests that social ties allow individuals to do things that otherwise they would not be able to do by themselves. The study supported these theories by finding that the collaboration of caseworkers with various skillsets led to resolution of case management conflicts and improved performance of the caseworkers and the agency as a whole. Thus, investing in the human capital of certain number of caseworkers would not only save crucial case management time but would also allow other caseworkers to extract benefits from the knowledge and skills of their more qualified co-workers. This study also recommends this shared learning be applied at the agency level. Similar to the caseworkers learning from frequent interactions and collaborations, the agencies could also benefit from collaborative initiatives on a frequent basis. Agencies would be able to share resource materials such as fact sheets, translated documents, welcome packets for refugees, housing and employment networks, and community resources, which would avoid certain duplication of tasks and make operations more efficient by saving both time and resources. Such

interagency interactions and collaborations could lead to the formation of effective coalitions of refugee resettlement agencies and other advocates.

7. Maintaining formal and continual training structures are required as part of the cooperative agreement, but the data suggested that these policies were not being properly enforced. This study also recommends that PRM re-enforce this critical aspect of the cooperative agreement with the VOLAGs and resettlement agencies in order to insure that the refugees receive the highest standards of services. This would allow the caseworkers to be up-to-date on the current policies and able to maintain their acquired knowledge through revisions. The data from the research suggested that due to caseload issues and lack of support from the agencies, caseworkers were often unable to pursue continued training programs or specializations. The study recommends that this type of policy be strictly enforced as well as evaluated so that agencies can be held accountable for such requirements.
8. This study recommends UNHCR and RSCs adopt a stronger pre-resettlement program for those refugees in the pipeline for resettlement in accordance with the prospective resettlement environment. This could significantly improve their preparedness for economic self-sufficiency when they arrive for resettlement in the sponsoring countries, and it could also impact the overall resettlement goals and outcomes. The data suggested that refugees were not as prepared for resettlement as the system would expect them to be. Refugees found that the program expectations set standards that were difficult to meet. Lack of proper orientation and communication during the initial resettlement screening could lead to refugees being less prepared for resettlement and meet the expectations of the program.

Implementing a stronger pre-resettlement program would help in psychologically preparing refugees for the challenges and expectations at the future resettlement sites and would make their transition easier.

9. This study recommends a revision in the cooperative agreement regarding the work policy for resettlement agencies and caseworkers. It recommends that the PRM evaluate the current status of the caseload of the caseworkers and suggests for a revision of caseload policy for individual caseworkers in order for them to provide better assistance to the refugees and help refugees achieve higher levels of economic self-sufficiency outcomes. Research data suggested that caseworkers were often unable to provide enough attention to each refugee case due to their high caseloads. This negatively impacted the relationship between the refugees and their caseworkers, and also seriously affected the refugees' pursuit of economic self-sufficiency. Such negativities could be mitigated by making work policy revisions aimed at the measuring the efficacy of caseworkers through quality of work and not just the mere numbers served.
10. The theories and the data both suggest that division of labor helped build specific expertise and improve operations. This study suggests VOLAGs and resettlement agencies to divide the core resettlement tasks such as coordination of social services, housing services, employment services, health coordination services and transportation services as a part of their regular operations. Depending upon the availability of caseworkers and the agency's caseload, these tasks could be kept separate or even combined in certain circumstances. For example, if an agency only had three caseworkers, they could divide the tasks into health and social services,

housing and transportation services, and employment services instead of having all caseworkers do all the tasks. This study suggests that employment services be kept separated and not combined with other services as much as possible since the employment specialist would already have a wide variety of tasks to fulfill within the employment services such as employment trainings and workshops, interviews, and financial literacy.

11. This research recommends authorities to focus on long term and sustainable refugee economic self-sufficiency programs with provisions for continued supply of resources and services for personal growth and development after the initial resettlement period such as advanced language courses, advanced job skills training, and basic computer training. Peacebuilding theory suggests that long-term peace building requires investment in the human capital and infrastructure. Investing in the human capital is equally necessary as the investment in the human capital of caseworkers. Ultimately, it is the refugees who need these skillsets in order to find relevant jobs and become economically independent. Thus, investment in their human capital not only helps sustain their long-term well-being, but also helps sustain the resettlement program in the long run.
12. The data from the refugee FGD also suggested that the managers of resettlement agencies were not as involved with clients. Refugees expressed frustrations over the fact that the senior management did not come to them to ask about their well-being during the resettlement period. This study suggests that the cooperative agreement be revised and enforced for senior resettlement management to be involved with the refugees to a certain degree. This could involve activities such as attending

community meetings, observing caseworkers' work in the field, or evaluating the general conditions of the refugees. Receiving some attention from the senior management could give the refugees a sense of security. At the same time, this would take away from caseworkers the burden of being the face of the agency all the time.

13. The following are some recommended actions that can improve the efficacy of refugee services and help refugees become economically self-sufficient:
    a. A study exploring the pre-resettlement preparations and its impact on refugee economic self-sufficiency outcomes.
    b. A study comparing a sizeable sample of resettlement agencies in diverse locations of operations.
    c. A study with the true experimental group and control group of caseworkers working in different settings may be able to generate more accurate effects of the caseworkers' characteristics on refugee economic self-sufficiency with the absence of knowledge sharing between the groups.
    d. A study exploring common refugee employments across the U.S. and examining whether certain types of employments are more sustainable than others.
    e. An investigation of refugees resettled in rural territories to determine if and how the physical settings and infrastructure impact resettlement outcomes.
    f. A comparative study of the resettlement models of the United States and other sponsoring countries in the future may provide better insight into the similarities and differences in the service model, best practices, and lessons

learned, which can be used to improve resettlement practices across all sponsoring countries.

Peacebuilding starts in the grassroots and often fails in the grassroots due to the lack of adequate efforts. Addressing the needs of the victims of conflict should be the first priority in any peace process and development of programs to address those needs should be an integral part of peace building. Refugee resettlement programs are a peacebuilding tool, and currently the only tool, which allow refugee to begin a new life in a welcoming environment free from hostilities experienced in the native counties and structural violence experienced in refugee camps. Although the refugee resettlement program is a structured public-private partnership model, there are some systemic challenges such as inadequate resources, limited time frame, infrastructure issues, policy issues, and untrained employees that have limited the goals and outcomes of the program. These could potentially lead to the recurrence of structural violence and hurt the peacebuilding process in the long run. Refugee resettlement programs provide the only viable option to refugees who do not have any possibilities of repatriation. It is very important that the program assists these refugees in achieving economic self-sufficiency within a specific time frame as a means for their proper integration and further growth and development. Otherwise, they will continue to become as dependent in their new home as they were in the refugee camps and ultimately become refugees again—only this time in a different place. The resettlement programs assist refugees with their short-term basic needs. Therefore, economic self-sufficiency is important for refugees in order to be able to sustain those needs after the termination of the resettlement program. Economic self-sufficiency also serves as a basis for achieving other desired needs in Maslow's hierarchy of needs as described in Chapter Three. In a new environment away from home, the refugees need proper assistance from caseworkers in

order to fulfill the requirements of the program (most of which are alien to them) within a short span of time. It is important that the caseworkers are competent in serving the refugees and helping them achieve desired outcomes. Given the diverse background and challenging conditions the refugees come from, it is the caseworkers who can make a difference in their resettlement process since they manage and help navigate the resources to be provided to the refugees. The caseworkers are the implementers of this grassroots peacebuilding process. They help mediate the conflicts that arise during the resettlement process. They are the humanitarians who assist in meeting refugees' basic needs in collaboration with the concerned stakeholders. They are the crucial arm of the humanitarian response and the peacebuilding process, and they work in the grassroots and contribute to the overall success of refugee resettlement initiative at the international level. The research findings suggest that caseworkers' human and social capital will impact the level of improvement in the refugees' human and social capital during resettlement and that the caseworkers' characteristics such as education, experience and specialized training positively impact the economic self-sufficiency outcomes of their refugee clients. Thus, investing in the human capital of caseworkers and developing relevant social capital would improve the efficacy of caseworkers and the agencies as a whole in order to fulfill refugee needs. This would allow agencies and caseworkers to play an effective role in the humanitarian response and peacebuilding process through the sustainable integration of refugees into resettlement sites.

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Appendix 1 Cooperative Agreement (Excerpts)

Award Specifics

U.S. Department of State

FY 2012 RECEPTION AND PLACEMENT BASIC TERMS

OF

THE COOPERATIVE AGREEMENT BETWEEN

THE GOVERNMENT OF THE UNITED STATES OF AMERICA AND THE (NAME OF ORGANIZATION)

1. **Standardized Assistance Instrument Identification Number: SPRMCO12CA---**

2. **Amount of Award:** $-,---,---

3. **Purpose/Scope of Award:** Reception and Placement

4. **Grants Officer Contact Information:**

   Grants Officer, Name/Title
   Office of the Comptroller
   Bureau of Population, Refugees, and Migration
   United States Department of State
   2201 C Street, NW 8th Floor, SA-9
   Washington, DC 20520 prmcomptroller2@state.gov Phone 202-453-9240
   Fax 202-453-9395

5. **Payment Method:** Payments under this award will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). The Payment Management System instructions are available under the PMS website and can be accessed at the following address: http://www.dpm.psc.gov/. Recipients should request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

6. **Post-Award Compliance:** Department of State (DOS) Standard Terms and Conditions for Federal Assistance Awards are incorporated by reference and made part of this Notice of Award. Electronic copies containing the complete text are available at: http://fa.statebuy.state.gov, under Resources select Notice of Awards (T&Cs) to access the domestic or overseas terms and conditions applicable to the Recipient. The Recipient and any sub-recipient, in addition to the assurances and certifications made part of the Notice of Award, must comply with all applicable terms and conditions during the project period.

7. **Authorized Budget**

Budget Categories	Total
1. Personnel	
2. Fringe Benefits	
3. Travel	
4. Equipment	
5. Supplies	
6. Contractual	
7. Construction	
8. Other Direct Costs (include per capita as a separate line item) a. Per Capita (X,XXX * $1,850)	0
9. Total Direct Costs (lines 1-8)	0
10. Indirect Costs* (reflect provisional, pre-determined rate and allocation base)	
11. Total Costs (lines 9-10)	
12. Recipient's Share of Cost (including recipient and other funding sources)	

8. **Reporting and Monitoring:** See Bureau/Program Specific Requirements including Section 8.D and 8.F.

Bureau/Program Specific Requirements

1. SUBSTANTIAL INVOLVEMENT – See Section 8 including Section 8.D.

2. PRE-AWARD COSTS - N/A (not applicable)

3. PROGRAM INCOME – N/A (not applicable)

4. COST SHARING - N/A (not applicable)

5. SUB-RECIPIENTS – N/A (not applicable)

6. WAIVER OF THE ACKNOWLEDGEMENT OF DOS OR USG INVOLVEMENT – N/A (not applicable)

7. WAIVER OF THE PUBLICATIONS FOR PROFESSIONAL AUDIENCES – N/A (not applicable)

8. ADDITIONAL BUREAU SPECIFIC REQUIREMENTS

8.A -- PREAMBLE

THE GOVERNMENT OF THE UNITED STATES OF AMERICA (hereinafter referred to as the "Government"), acting through the Department of State, Bureau of Population, Refugees, and Migration (hereinafter referred to as the "Bureau"), and the , a nonprofit organization with its principal office located at , (hereinafter referred to as the "Recipient"), **HEREBY AGREE AS FOLLOWS**:

WHEREAS, the Bureau is conducting an initial reception and placement program for refugees as authorized under the applicable provisions of the Migration and Refugee Assistance Act of 1962, as amended, and the Immigration and Nationality Act, as amended (the "INA");

WHEREAS, the Bureau deems it appropriate to seek the Recipient's assistance in furtherance of the purposes of this program; and

WHEREAS, the Recipient has indicated its willingness and qualifications to provide the assistance required by the Bureau in a manner acceptable to the Bureau and consistent with applicable legal requirements as described in the Recipient's proposal dated , 2011 for the FY 2012 program, incorporated as Attachment A to Assistance Award Number SPRMCO12CAXXX and in the Recipient's revised budget dated Month, Day, 2011 for the revised FY 2012 program incorporated herein as Attachment A to this award, (hereinafter referred to as the "proposal");

The Recipient will assist the Bureau in accordance with the terms and conditions set forth below:

8.B - PURPOSE, FUNDING, VALIDITY PERIOD AND DEFINITIONS

8.B.1 -- Purposes and Goals

a. The purpose of this agreement is to provide financial support to partially cover the Recipient's expenses in arranging for the reception and placement of refugees in the United States by ensuring that refugees approved for admission are placed with sponsoring agencies and offered appropriate assistance during their initial resettlement in the United States.

b. The goals of this agreement include, but are not limited to, providing refugees with basic necessities and core services during their initial period of resettlement.

c. The goals of this agreement also include assisting refugees in achieving economic self- sufficiency through employment as soon as possible after their arrival in the United States in coordination with publicly supported refugee service and assistance programs.

8.B.2 -- Funding

The Bureau hereby confirms the award of $ to the Recipient as provided in Section 8.E below. All funds awarded under this agreement are intended to augment private resources available to the Recipient and shall be paid and accounted for as provided in Section 8.E below. This agreement, in part, provides for a fixed per capita grant of $1,850.00 per refugee admitted under Section 207 of the INA who is assigned to the Recipient. It is the intent of the Bureau that the per capita grants shall be spent in their entirety on expenses related to meeting the material needs of refugees and providing services to them at the affiliate assigned to assist them.

8.B.3 -- Validity Period

The period of this agreement shall be from October 1, 2011 through September 30, 2012.

8.B.4 -- Definitions

For the purposes of this agreement and the Attachments thereto, which are an integral part of it:

a. **"Refugee"** means a person admitted to the United States under section 207(c) of the Immigration and Nationality Act, as amended, or a person to whom eligibility for the resettlement assistance available to individuals admitted under section 207(c) has been extended by statute.

b. "**Agency**" means a public entity or a private nonprofit organization, registered as such with the Internal Revenue Service under 26 U.S.C. 501(c)(3), having a cooperative agreement with the Bureau for reception and placement services.

c. "**Affiliate**" means:

1. a regional office of an Agency, which is part of the corporate structure of the Agency; or

2. a public entity or a private nonprofit legal entity which has accepted in a written agreement with the Agency responsibility to provide, or ensure the provision of, reception and placement services to certain refugees sponsored by an Agency; or

3. a sub-office of an entity referred to in subparagraph 2 above that the Recipient proposes for affiliate status in the proposal for the FY 2012 program or during the course of the year, and that the Bureau agrees in writing may serve as an affiliate. A "sub-office" is defined as an office where reception and placement services are provided and refugee case files are maintained during the reception and placement period with management oversight provided by a nearby affiliate office.

d. "**Local co-sponsor**" means an established community group, such as a church congregation or service organization, which has accepted in a written agreement with an Agency responsibility to provide, or ensure the provision of, reception and placement services to certain refugees sponsored by an Agency. Individuals or informal groups may not serve as

local co- sponsors. Local co-sponsors differ from volunteers in that they agree in writing to accept responsibility for performing certain services required in this agreement.

e. "**The Refugee Processing Center"** (RPC) means the center located at 1401 N. Wilson Boulevard, Arlington, Virginia 22209, which will manage, on behalf of the Bureau, data processing of refugee cases.

f. "**Assurance**" means a written commitment, submitted by a Recipient, to provide, or ensure the provision of, the basic needs support and core services specified in Sections 8.C.4 and

8.C.5 of the cooperative agreement for the refugee(s) named on the assurance form.

g. **"Reception and Placement period"** (R&P period) means an initial 30-day period that can be extended up to 90 days after arrival should more than 30 days be required to complete R&P Program requirements.

h. "**Employable refugee**" means any refugee who is between the ages of 18 and 64 other than a refugee who:

1. is required to be in the home to care for a child under one year of age or other fully dependent person (only one adult per household unit may be considered to be in this category); or

2. is unable to work for physical or mental health reasons.

i. "**Loan Collection**" means those activities deemed appropriate through consultation with the International Organization for Migration and the Bureau to ensure that maximum efforts are made to collect the amount owed by refugees signing Promissory Notes executed by IOM for funds advanced by the Bureau to cover transportation costs to the United States.

j. "**Appropriate language interpretation/translation**" means interpretation/translation which allows for communication with the refugee in his/her native language, if possible, or in a common language in which the refugee is fluent.

8.C - RESPONSIBILITIES OF THE RECIPIENT

8.C.1 -- Performance of Core Services by or Under the Direction of the Recipient

a. The Recipient shall provide the core services specified in section 8.C.5 below to refugees who are assigned to it under this agreement and who arrive in the United States during the period of this agreement in a manner consistent with United States law and policy.

b. In compliance with the Bureau's policy that all funded activities be implemented in a manner that fully meets the standard of conduct established by the Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, the Recipient shall ensure that the activities conducted with funds provided under this agreement are implemented in accordance with the Recipient's established code of conduct submitted to the Bureau.

c. Should any change be made to the Recipient's code of conduct during the validity period of this agreement, the Recipient shall inform the Bureau in writing within thirty (30) days of the changes for consideration of whether the revised code continues to meet the Bureau's standard of core principles.

8.C.2 -- Delegation of Functions by the Recipient

a. Unless otherwise provided herein, the responsibilities assumed by the Recipient shall be delegated only to an affiliate designated in the approved proposal, who may re-delegate such responsibilities to a local co-sponsor, provided such co-sponsor is identified on the applicable assurance form submitted to the Refugee Processing Center. When the Recipient relies on an affiliate or local co-sponsor to provide a service, the Recipient shall remain responsible for ensuring that the service is provided.

b. Any local co-sponsor to whom the Recipient's responsibility for providing core services is re-delegated by an approved affiliate must be located in the affiliate's approved area of geographic responsibility, as designated in the proposal. When the affiliate has an agreement with a local co-sponsor to provide basic needs support or core services, the affiliate shall remain responsible for ensuring that the services are provided.

c. The Recipient, and any affiliate and/or local co-sponsor to which a delegation is made, must carry out its responsibilities in accordance with Title VI of the Civil Rights Act of 1964.

8.C.3 -- Limitation of Responsibility to Perform Core Services

The Recipient shall be relieved of its responsibilities under this agreement to the extent they cannot be carried out because (1) the refugee does not remain in the general geographic area where initially placed or (2) the refugee refuses to receive services from or to cooperate with the Recipient, its affiliates, or its local co-sponsors. In cases when non-cooperation by the refugee makes compliance impossible, the Recipient should ensure that the refugee is counseled and that such counseling and result is noted in the case file. Any other barriers to full compliance that are beyond the control of the Recipient should be documented in the case file.

8.C.4 -- Basic Needs Support

For a period of not less than thirty (30) days after arrival, the Recipient shall provide or ensure that the refugees assigned to it are provided, with appropriate language interpretation as needed, the following minimum standards of service:

a. Decent, safe, and sanitary housing based on federal housing quality standards or local or state standards if local or state standards are higher than federal standards, and the following:

1. All areas and components of the housing (interior and exterior) should be free of visible health and safety hazards and in good repair, including no visible bare wiring, no peeling or flaking interior paint for dwellings built before 1978, no visible mold, and no detectable dangerous or unsanitary odors.

2. Housing should include identified and accessible emergency escape route(s); fire extinguishers in accessible locations where required; working locks on all windows and outside doors; appropriate number of working smoke detectors; windows in working order; adequate heat, ventilation, lighting, and hot and cold running water in working order; and electrical fixtures in good repair**.**

3. Housing should provide minimum habitable area for each occupant, including number of bedrooms or sleeping areas.

4. Each residence shall be equipped with stove, oven, and refrigerator in good repair.

5. Each residence shall be equipped with sink, flush toilet, and shower or bath in good repair.

6. Each residence shall have easily accessible storage or disposal facility for garbage.

7. Each residence shall be free of rodent and insect infestation.

8. In cases of refugees with disabilities, housing should be free of, or permit the removal of, architectural barriers and otherwise accommodate known disabilities, to the extent required by law.

9. To the extent possible, the family should be able to assume payment of rent at the end of the R&P period, based upon projected family income from all sources. The family should be left with sufficient resources for other essential expenses (food, transportation, utilities, etc.) after rent payments are made.

b. Furniture and household items that need not be new, but must be clean, in good condition, and functional and include the following:

1. Beds (described as bed frame and spring, or equivalent, and mattress) appropriate for age and gender composition of family; one set of sheets for each bed; blanket or blankets for each bed as seasonally appropriate; and one pillow and pillowcase for each person. Only married couples or small children of the same gender may be expected to share beds.

2. One set of drawers, shelves, or other unit appropriate for storage of clothing in addition to a closet, unless the closet has shelving to accommodate clothing, per family.

3. One kitchen table per family and one kitchen chair per person.

4. One couch, or equivalent seating, per family, in addition to kitchen chairs and bulbs.

5. One place setting of tableware (fork, knife, and spoon) and one place setting of dishes (plate, bowl, and cup or glass) per person.

6. Food preparation utensils to include at least one sauce pan; one frying pan; one baking dish; mixing/serving bowls; one set of kitchen utensils (such as spatula, wooden spoon, knife, serving utensils, etc.); and one can opener per family.

7. One bath towel per person.

8. One alarm clock.

9. Paper, pens, and/or pencils.

10. Cleaning supplies to include: dish soap, bathroom/kitchen cleanser, sponges or cleaning rags and/or paper towels, laundry detergent, two waste baskets, mop or broom, and trash bags.

11. Toiletries to include: toilet paper, shampoo, soap, one toothbrush per person, toothpaste, and other personal hygiene items as appropriate. These items should be new.

12. Baby items as needed.

c. Food or a food allowance to include:

1. Culturally appropriate, ready-to-eat food available on arrival, plus one day's worth of additional food supplies and staples (including baby food as needed).

2. Within one day of arrival, food or food allowance at least equivalent to the food stamp allocation for the family unit and continued food assistance until receipt of food stamps or until the individual or family is able to provide food for himself, herself, or themselves.

3. Assistance with application for food stamps, if necessary, within seven working days of arrival.

d. Appropriate seasonal clothing required for work, school, and everyday use as required for all members of the family, including proper footwear for each member of the family, and diapers for children as necessary. Clothing need not be new, but must be clean, in good condition, and functional.

e. An appropriate amount of pocket money for each adult throughout the first 30 days to allow independent spending at the refugee's discretion.

f. Assistance in applying for cash and medical assistance, as appropriate, within seven working days of arrival.

g. Assistance in applying for social security card(s) within 14 working days of arrival.

h. Assistance with enrollment in English language programs, as appropriate, within 10 working days of arrival.

i. Assistance with enrollment in employment services, as appropriate, within 10 working days of arrival.

j. Assistance with enrollment in other services for which each refugee is eligible, as appropriate, within 10 working days of arrival

k. Assistance in accessing health screenings and appropriate health services:

1. Ensure that every refugee has a health assessment within 30 days of arrival.

2. Ensure that refugees with acute health care requirements receive appropriate and timely medical attention.

l. Assistance with meeting school enrollment requirements and registering children for school within 30 days of arrival.

m. Transportation in compliance with local motor safety laws.

n. Transportation to job interviews and job training.

o. Assistance with registering with the selective service within 30 days, as appropriate.

p. At least two home visits within 30 days of arrival, which shall include an assessment of the welfare, living conditions and any current or expected needs of the refugee(s), and assistance with any basic needs. Cases without U.S. ties must be visited the next calendar day after arrival. Cases with U.S. ties must be visited within five calendar days of arrival. An additional home visit should occur for all cases within 30 days of arrival.

8.C.5 -- Core Services

The Recipient shall ensure that the following services are provided with appropriate language interpretation:

a. Pre-Arrival Services

The Recipient shall:

1. Assume responsibility for sponsorship of the refugees assigned to the Recipient under this agreement;
2. Arrange the placement of sponsored refugees in accordance with the policies established under Section 412(a)(2) of the INA and this agreement;
3. Ensure that its affiliates and local co-sponsors share relevant information with health care providers and/or state and local officials, as needed, in order to plan for the provision of appropriate health services for refugees who have health care requirements;
4. Submit sponsorship assurances to the Refugee Processing Center; and
5. Train any affiliate or local co-sponsor that has agreed in writing to assist the Recipient in sponsorship and ensure that the affiliate or local co-sponsor understands the overall sponsorship process, the Recipient's role, and the responsibilities of affiliates and local co- sponsors.

The responsibilities in paragraphs 1, 2, and 4 may not be delegated; the responsibilities in paragraph 5 for training local co-sponsors may be delegated to an affiliate. Training must be provided in person by a representative of the Recipient or its affiliate to any local co-sponsor that has not resettled a refugee who arrived in the United States within the past two years.

b. Case File Preparation and Maintenance

The Recipient shall establish and maintain a case file for each arriving refugee case. This responsibility may be delegated only to an affiliate. It is expected that each case file shall be treated as confidential. Each case file shall contain evidence of required basic needs support and core service delivery, including:

1. a clearly legible case note log which shows the date, mode, and substance of regular affiliate/refugee contact throughout the R&P period and which includes a clear plan of action for each refugee in the case, based on an assessment of individual needs, and a detailed record of basic needs support and core service delivery;

2. a record of cash and in-kind support provided to meet the refugees' basic needs for at least the initial 30-day period, including clear acknowledgement by an adult member of the refugee case of receipt of cash and in-kind support and evidence that the amount provided either in cash or documented cash payments on behalf of the refugee case is equal to at least $925 times the number of individuals in that case and reflects the total Bureau R&P per capita amount spent on the refugee case;

3. a record of public assistance applied for and received or denied, indicating type(s) of assistance and start date(s) including a record of all notifications from a state, county, or other local welfare office that the refugee has applied for welfare benefits and a record of all information the Recipient provided to state, county, or other local welfare offices and of all information provided by such offices to the Recipient;

4. if appropriate, a copy of the signed co-sponsor agreement;

5. evidence that housing was provided in accordance with this agreement;

6. evidence that the affiliate has arranged for at least two home visits, which shall include an assessment of the welfare, living conditions and any current or expected needs of the refugee(s), and assistance with any basic needs, within (30) thirty days of arrival by affiliate staff, co-sponsor, or other designated representative and an additional home visit to permanent housing if the refugee moves from temporary housing within the R&P period. Cases without U.S. ties must be visited within 24 hours of arrival. Cases with U.S. ties must be visited within five calendar days of arrival. An additional home visit should occur for all cases within 30 days of arrival;

7. a core service checklist which identifies persons or entities who assisted the refugee in obtaining services, and the date and nature of services;

8. documentation of assistance in enrollment in state-administered assistance and social service programs;

9. evidence that the refugee was provided with information on permanent resident alien status, family reunion procedures, and change of address reporting requirements;

10. evidence that the refugee was assisted with registration for selective service (as appropriate);

11. a resettlement plan which indicates the initial assessment of employability for each employable refugee and a clear plan of action for each refugee, including children, based on an assessment of individual needs;

12. where applicable, copies of suitability determinations for placement of refugee minors, follow-up evaluation forms, and signed statements concerning responsibilities and legal obligations in the state of residence;

13. a legible copy of the front and back of the I-94 form for each refugee in the case;

14. an R&P period report, which will be retained by the affiliate for a period of not less than three years from the date of arrival, based upon an interview with the refugee by the affiliate or local co-sponsor from which it can be determined, inter alia:

(a) that all R&P basic needs support and core services were made available to the refugee in accordance with this agreement;

(b) whether the refugee household had income in excess of expenses at the end of the R&P period;

(c) that each refugee was enrolled in state-funded or other appropriate social services;

(d) the social security number for each refugee in the case; and

(e) that each responsible refugee had been informed of the legal requirement to repay his/her IOM promissory note.

15. a copy of the assurance form or equivalent documentation.

Reception Services

The Recipient shall ensure that refugees assigned to it are met at the airport of final destination and transported to furnished living quarters and provided culturally appropriate, ready-to-eat food and seasonal clothing as necessary to meet immediate needs. For cases without U.S. ties, the Recipient shall visit the refugees the next calendar day after arrival to ensure that all immediate basic needs have been met. For cases with U.S. ties, the Recipient shall visit the refugee within five calendar days of arrival to ensure that all immediate needs have been met.

d. Community and Other Orientation

During the initial reception and placement period, the Recipient shall provide or ensure that the refugees assigned to it are provided orientation, with appropriate language interpretation if needed. To the extent practical, written orientation materials in the refugee's native language covering the topics listed below shall be made available to the refugee upon arrival. An intake interview to verify refugee documentation and discuss roles and responsibilities, and housing and personal safety orientation shall be conducted within five working days of arrival. Complete orientation on other topics shall be completed within 30 days of arrival. Orientation topics must include:

1. the role of the Recipient, the role of any other individual or group assisting in sponsorship, and the refugee’s role;
2. public services and facilities;
3. personal and public safety;
4. public transportation;
5. standards of personal and public hygiene;
6. the availability of other publicly supported refugee services;
7. the importance of learning English;
8. personal and household budgeting and finance;
9. information on permanent resident alien status and family reunion procedures;

10. the legal requirement of each adult refugee to fully repay his or her IOM transportation loan in accordance with the established payment schedule;

11. the legal requirement to notify the U.S. Department of Homeland Security of each change of address and new address within 10 days. Authority: Secs. 103, 265 of the Immigration and Nationality Act, as amended by sec.11, Public Law 97-166, 95 Stat. 1617 (8 U.S.C. 1103,
1305).

12. the legal requirement for males between the ages of 18 and 26 to register for the selective service within 30 days of arrival.

e. Health -- Orientation and Assistance with Access to Services

The Recipient shall:

1. Provide each refugee case with a general orientation as well as follow-up information, as needed, regarding the health care system in the resettlement area, including health assessment services available through state or local public or private health programs;

2. Assist refugees (other than those with Class A conditions, covered below in paragraph f) in obtaining a health screening within thirty (30) days of arrival and other health care services, as needed, during the R&P period;

3. Encourage and assist refugees as soon as possible after arrival to obtain immunizations as required for adjustment to permanent resident alien status one year after arrival;

4. Assist refugees in accessing appropriate providers of continued therapy or preventive treatment for health conditions affecting the public health; and

5. In the case of a refugee who fails or refuses to receive health screenings, provide additional information and counseling to the refugee, including an explanation of local health regulations and practices, and document the circumstances and action taken in the case file.

f. Health -- Class A Conditions

The Recipient shall:

1. Advise, encourage, and assist, insofar as possible, refugees with Class A physical disorders affecting the public health (as designated by the Public Health Service) to report within seven days of arrival to the official public health agency in the resettlement area; request the

local health provider (by telephone or in person) to give refugees with Class A health conditions an appointment date within seven days of their arrival; and document in the case file the dates of such advice, assistance and requests, including the name of the individual contacted; and

2. Advise, encourage, and assist, insofar as possible, a refugee who has a Class A mental disorder to receive within thirty (30) days of arrival an initial evaluation by the health care provider who supplied a written commitment prior to the granting of a waiver for

admission; request the health care provider to provide a copy of the initial evaluation to Refugee Activity, Division of Quarantine, Centers for Disease Control and Prevention, Atlanta, Georgia 30333; make reasonable efforts to ensure that such refugee receives assistance in seeking medical treatment, education, and training that any previously identified mental disorder may require; and document in the case file the dates of such advice, assistance, and requests, including the name of the individual contacted.

These responsibilities may not be delegated beyond an affiliate.

g. Resettlement Plans; Employment Orientation; Assistance with Access to Services

The Recipient shall:

1. Develop and implement during the first thirty (30) days a resettlement plan with each refugee. For each employable refugee, the principal objective of the resettlement plan shall be assisting the refugee to obtain early employment. The resettlement plan for each refugee in the case may be documented on the same form;

2. Provide employment orientation to each employable refugee assigned to the Recipient under this agreement, including discussion of the importance of self-sufficiency in American society, the local job market, job counseling, and training programs;

3. Assist each employable refugee to enroll in such appropriate job counseling, placement, and/or training programs as are available in the community; and

4. Monitor and document implementation of the resettlement plan and progress toward reaching each refugee's goals throughout the R&P period.

These responsibilities must be performed by the affiliate or the affiliate in active collaboration with the local co-sponsor.

h. Employment and Welfare -- Communication with State and Local Authorities

The Recipient shall:

1. Notify the appropriate state, county, or other local welfare office at the time the Recipient, its affiliate, or local co-sponsor becomes aware that a refugee receiving welfare benefits has been offered employment or has voluntarily quit a job, and notify the refugee that such information has been provided to the welfare office. Notice of offered employment shall be given whether or not the refugee accepts the offer;

2. Respond to inquiries from a state, county, or other local welfare office relating to a refugee's application for and receipt of cash or medical assistance, and furnish, upon request of such office or agency, documentation respecting any cash or other resources provided directly by the Recipient, its affiliate, local co-sponsor, or other sources, to the refugee; and

3. Maintain in the case file required under Section 8.C.5.b above a record of all notifications from a state, county, or other local welfare office that the refugee has applied for welfare benefits and a record of all information provided by the Recipient to state, county, or other local welfare offices and of all information provided by such offices to the Recipient. These responsibilities may not be delegated beyond an affiliate.

i. Health -- Notification of State and Local Authorities

The Recipient shall ensure that its affiliates and local co-sponsors cooperate with state and local public health officials by sharing information needed to locate refugees, including secondary migrants to the degree possible, for the purpose of providing health services to them.

j. Assistance to Refugee Minor Children

Unaccompanied refugee minors (under 18 years of age) are defined and categorized by their relationships with traveling companions and ultimate resettlement circumstances. The following codes are used to identify the circumstances of refugee minor children.

Refugee Minor Codes:

M1: Minors attached to, traveling with, and resettling with biological or legally adoptive parent;

M2: Minors attached to, traveling with, and resettling with blood relatives other than biological or legally adoptive parents;

M3: Minors attached to, traveling with and resettling with non-relatives and minors traveling alone to join non-relatives (only those agencies with refugee foster care responsibilities as described in section 8.C.6 will have the authority to place refugee children in this category unless otherwise approved by the Bureau);

M4: Minors destined for foster care (only those agencies with refugee foster care responsibilities as described in the cooperative agreement will have the authority to place refugee children in this category);

M5: Minors traveling apart from but destined to join biological or legally adoptive parent(s). This includes minors traveling alone to join parent(s) in the U.S., minors traveling with relatives other than parents to join parent(s) in the U.S. and minors traveling with non- relatives to join parent(s) in the U.S.;

M6: Minors traveling apart from the blood relative(s) (other than parents) they are destined to join. This includes minors traveling alone to join a relative (not parent) in the U.S. and minors traveling with non-relatives to join a relative (not parent) in the U.S.;

M7: Minors who are married regardless of their traveling companions or U.S.-based relatives.

8.C.7 -- Coordination and Consultation with Public Agencies

The Recipient shall:

a. Conduct its reception and placement activities in close cooperation with state and local governments;

b. Ensure that its affiliates participate in appropriate meetings called by state and local governments in their geographic areas of responsibility to coordinate plans for the placement of refugees;
c. Coordinate with other publicly supported refugee services programs or refugee case management systems; and
d. Inform both the Bureau and the Department of Homeland Security Bureau of Citizenship and Immigration Services of any suspected fraud in any refugee case sponsored by the Recipient. Such reporting is required of the Recipient regardless of whether the applicants are still overseas or whether they have already been admitted into the United States as refugees.

8.C.8 -- Performance Standards

The Bureau will evaluate Recipient performance in the following areas:

a. Reception and Placement Performance Outcomes

1. Refugee is in safe, stable environment
2. Refugee can navigate appropriate and relevant systems
3. Refugee family is connected to means of ongoing support for self/family
4. Refugee understands surroundings and situation

b. National Agency Program Management

1. Headquarters Management

(a) Staff training
(b) Communication with Affiliates on Policy Changes
(c) Strategy for Site Selection
(d) Corrective Action on Program Deficiencies

2. On-Site Affiliate Monitoring

(a) Frequency of Monitoring
(b) Written Reports
(c) Case File Review

3. Quarterly Affiliate Monitoring Reports

Agencies shall submit quarterly a brief summary of its affiliate monitoring activities to include findings and recommendations on each affiliate monitored. The report shall include a discussion of actions taken to address any identified weaknesses in R&P core service delivery, including follow-up on corrective actions taken as a result of prior agency or State Department monitoring. Reports shall be submitted to the Bureau within thirty (30) days of the end of each reporting period. The reports shall be due on or before January 30, 2012, April 30, 2012; July 31, 2012; and October 31, 2012.

4. The following documents shall be available to the Bureau upon request. The documents shall be accurate and complete, be submitted in a timely manner, and adhere to all requirements:

(a) R&P Period Reports
(b) Sponsorship Assurances
(c) Affidavits of Relationship
(d) Quarterly Affiliate Monitoring Reports
(e) Annual Report
(f) Reconciliation of Claimed Refugee Sponsorships
(g) Quarterly Financial Status Reports
(h) Availability of Funds Statement for Current Fiscal Year
(i) Audit Data Collection Form and Reporting Package

c. Employment and Out-Migration

1. Employment of Refugees

Although the Recipient is not required to effect job placement through its own efforts, this agreement requires that the Recipient provide employment orientation and assistance in enrolling in appropriate employment services. Refugee program service providers or other resources available in the community may accomplish job placement. Since employment is recognized as one of the significant elements in successful resettlement, the Recipient will determine the employment status of each employable refugee at the end of the R&P period.

2. Out-Migration of Refugees

The Bureau will review the Recipient's out-migration performance as a part of its annual review.

d. Bureau Monitoring of Agency Affiliates

1. On-Site Monitoring Visits

All affiliates and sub-offices are subject to monitoring by the Bureau with advance notice to the Recipient and affiliate. Findings and recommendations will be reported in writing to the Recipient, which will respond to the recommendations in writing before reports become final. Evaluation will be based on affiliate staff interviews, oral and written questionnaires, case file reviews, and refugee home visits. Reviews will include evaluation of:

(a) affiliate staff understanding of required R&P Program services;
(b) demonstration of effective coordination with other organizations and agencies that provide services to refugees;
(c) compliance and quality of R&P basic needs support and core service delivery;
(d) presence of all documents in file and degree to which each has been thoroughly and legibly completed;
(e) evidence of orientation and training of volunteers and co-sponsors;
(f) affiliate R&P performance outcomes.

The Bureau will provide an oral overview of its findings and recommendations to the affiliate immediately following the review.

e. National Agency Response

The responsiveness of the Recipient to the Bureau's monitoring reports, including timeliness of response to the draft report and timely implementation of recommendations will be evaluated.

8.C.9 -- Loan Collection (Varies for ECDC)

In accordance with the terms of the current Memorandum of Understanding (MOU) entered into by the Recipient or its representative with IOM for the collection of refugee transportation loans, the Recipient hereby confirms that it will actively participate in all meetings organized by the IOM, in consultation with the Bureau, to discuss collection methods, policies and procedures for standardizing collections among all participating organizations. These meetings are intended to provide information and guidance that will improve collection rates.

8.C.10 -- Additional Responsibilities

The Recipient shall also:

a. State in all appropriate publications, printed descriptions, including press releases, annual reports and financial statements that reception and placement activities conducted under this agreement are paid for, in part, through financial assistance provided by the Department of State under the authority of the Immigration and Nationality Act, as amended.

b. Permit the Bureau to make available to the public the Recipient's performance outcomes, the Bureau's monitoring reports on the Recipient and its affiliates, and the Recipient's final consolidated placement plan, in a manner to be determined by the Bureau.

8.D – LIAISON

8.D.1 -- General Liaison with the Bureau

The Recipient shall carry out its operational and administrative responsibilities hereunder in close coordination with and under the direction of the appropriate offices of the Bureau. For the information of the Recipient, responsibilities relevant to this agreement are allocated within the Bureau as follows:

a. Office of Refugee Admissions

Acting as the Grants Officer's representative:

1. Provides overall policy guidance and program direction;
2. Reviews and comments on proposed annual proposal and budget for the Recipient;
3. Reviews and comments on proposed changes or revisions in terms of this agreement; and
4. Monitors and evaluates the general performance of the Recipient under this agreement to ensure that the Recipient is successfully meeting established responsibilities, maintains contact, including site visits and liaison, with the Recipient, assists the Grants

Officer in the review of required Recipient Program and Financial Progress Reports to verify timely and adequate performance, and provides the Bureau regular written reports on whether performance is in compliance with all the terms and conditions of this agreement.

8.E - FUNDING

8.E.1 – Authorized Items of Expenditure

a. National Management

1. The funds awarded pursuant to this agreement are for the reimbursement of expenses incurred in accordance with the approved budget contained in the proposal. The funds provided herein shall be expended within the amounts funded for the following categories of expenses as displayed in the Award Specifics, Section 7, Authorized Budget.

2. Funds may be adjusted, without prior written approval, among the items of expenditure for direct costs provided the cumulative amount of such adjustments during the validity period of this agreement does not exceed ten percent (10%) of the total amount of the approved budget. Any authorized adjustment, however, must be reported promptly to the Bureau in writing.

b. Local Offices/Affiliates and Services to Refugees

1. The Bureau shall provide the Recipient a fixed per capita grant of $1,850.00 per refugee admitted under Section 207 of the INA who is assigned to the Recipient, to be provided in full to the affiliate to which the refugee is assigned, pursuant to this agreement for a total of up to x,xxx refugees who are expected to arrive in the United States during the period

October 1, 2011 through September 30, 2012. It is the intent of the Bureau that the per capita grants shall be spent in their entirety on expenses related to meeting the material needs of refugees and providing services to them at the affiliate assigned to assist them.

2. Per capita grants are to be provided in their entirety to the affiliates to which refugees are assigned. Of the $1,850.00 fixed per capita grant:

(a) At least $1,125.00 is to be used to cover payments made by the affiliate to or on behalf of individual refugees for cash disbursement or for material goods, as needed, to meet the requirements of the program;

(i) No less than $925.00 of this $1,125.00 must be spent on behalf of the refugee by the affiliate to which the refugee is assigned during that refugee's R&P service delivery period;

(ii) Up to $200.00 of this $1,125.00 may be spent on behalf of other vulnerable refugees assigned to the same affiliate who have unmet needs during their R&P period;

(b) No more than $725.00 may be used to partially cover the expenses of the affiliate to which the refugee is assigned in providing reception and placement services, including

expenses that will lower the client-to-staff ratio, support positions that will coordinate volunteers or develop resources for the R&P program, and/or otherwise improve the quality of the R&P services received by refugees. Any remaining amount will be used to augment financial assistance for direct payments to or on behalf of the refugee assigned to the affiliate or to other refugees assigned to the same affiliate during their R&P service delivery period;

8.F - REPORTING REQUIREMENTS

8.F.1 -- Program Reports

a. Quarterly Affiliate Monitoring Report

The Recipient shall submit quarterly a brief summary of its affiliate monitoring activities to include findings and recommendations on each affiliate monitored. The report shall include a discussion of actions taken to address any identified weaknesses in R&P core service delivery, including follow-up on corrective actions taken as a result of prior agency or State Department monitoring. The reports shall be submitted to the Bureau's Office of Refugee Admissions. The reports shall be due on or before January 31, 2012, April 30, 2012, July 31, 2012, and October 31, 2012.

b. Annual Report

The Recipient shall submit no later than March 31, 2013, a report to be submitted by the Bureau to Congress pursuant to Section 412(b)(7)(E) of the INA. One (1) copy of the Annual Report shall be submitted to the Bureau's Office of Refugee Admissions, and one (1) copy shall be submitted to the Bureau's Office of the Comptroller. The report will be considered timely if submitted on or before the due date. Such report shall describe for the period October 1, 2011 through September 30, 2012.

c. R&P Period Reports

A copy of the completed R&P period report form will be provided to the Agency headquarters. Data from this form will be submitted to the RPC no later than the 15th day of the second month following the end of the R&P period, and shall be considered timely if electronically submitted on or before the due date. The report shall be submitted to the RPC at Incoming-Datafiles@wrapsnet.org. Agency headquarters will retain the reported information for a period of not less than one year from the date of arrival, and will make it available for review by the Bureau upon request.

8.G.2 -- Financial Reports

All financial reports required herein shall be submitted to the Bureau's Office of the Comptroller. The Recipient must submit required reports to the Office of the Comptroller to the electronic mailbox address specified in Section 8.G of this agreement (prmcomptroller2@state.gov). The subject line of the electronic mail transmission must include the following information: Organization Name, Agreement Number, Report Type, and Reporting Period.

8.H – MISCELLANEOUS

8.H.1 -- Entire Agreement

This agreement constitutes the entire agreement of the parties hereto concerning this funding arrangement. It replaces and renders void any prior agreement or understanding, whether written or oral, existing between the parties concerning any matter addressed herein.

8.H.2 -- Communications

Except as otherwise provided herein, any document and any notice, request or other communication given, made or delivered by the Bureau or the Recipient pursuant to this agreement shall be in writing and shall be deemed to have been duly given, made or delivered to the party to which it is addressed when actually delivered, whether by hand, mail, telegram, or electronic mail (e-mail), to such party at the following address:

a. For communications to the Bureau on:

1. Financial or other designated issues:
Office of the Comptroller
Bureau of Population, Refugees, and Migration
United States Department of State
2201 C Street, NW 8th Floor, SA-9
Washington, DC 20520
Or for electronic mail:
prmcomptroller2@state.gov

2. Program or other designated issues:
Office of Admissions
Bureau of Population, Refugees, and Migration
Department of State
SA-9, 8th Floor
2025 E Street, NW
Washington, D.C. 20522-0908

3. Or for courier delivery:
2201 C Street, NW 8th Floor, SA-9
Washington, DC 20520

9. SPECIAL AWARD CONDITIONS – Insert N/A (not applicable) **OR insert text to include "high risk" designation** if an applicant or recipient: (a) has a history of poor performance, (b) is not financially stable, (c) has a management system that does not meet the standards prescribed in this Circular, (d) has not conformed to the terms and conditions of a previous award, or (e) is not otherwise responsible, Federal awarding agencies may impose additional requirements as needed, provided that such applicant or recipient is notified in writing as to: the nature of the additional requirements, the reason why the additional requirements are being imposed, the nature of the corrective action needed, the time allowed for completing the corrective actions, and the method for requesting reconsideration of the

additional requirements imposed. Any special conditions shall be promptly removed once the conditions that prompted them have been corrected.

10. DEVIATIONS – Insert N/A (not applicable) **OR insert text to include additional reporting or statutorily mandated requirements.**

IN WITNESS WHEREOF, the parties hereto have executed this cooperative agreement as of the dates indicated on page one of this agreement.

Appendix 2 Core Services Checklist

United States Committee for Refugees and Immigrants
CORE SERVICES CHECKLIST
Revised 12/11
This form should be completed throughout the resettlement period as services are provided. The case note log must also document provision of core services.

Case #:		Date of Arrival:				U.S. Tie □ No U.S. Tie □
Name (in order it appears on the assurance form):		Minor Code	Sex	Age	Relationship	Social Security Number
					PA	
A. PRE-ARRIVAL AND RECEPTION SERVICES		**Date of Service**			**Name of Provider (case manager, family member, friends or service provider)**	
Name of Case Manager Assigned						
US Tie contacted and orientation provided						
Airport Reception/Culturally Appropriate Meal						
Home Safety Checklist Completed	Temporary housing					
	Permanent housing					
B. HEALTH ORIENTATION AND ASSISTANCE		**Date of Service**			**Name of Provider (case manager, family member, friends or service provider)**	
General orientation to the health care system						

Assistance in accessing health screening within 30 days of arrival (indicate name of health care provider)		
Immunizations required in preparation for adjustment of status as soon as possible		
Additional information and counseling to the refugee (if refugee fails or refuses to receive health screening within 30 days)		
If Class A physical health condition, appointment within seven days after arrival		
If Class A mental health condition, appointment within 30 days with professional who provided refugee with waiver letter		
C. BASIC NEEDS SUPPORT	**Date of Service**	**Name of Provider (case manager, family member, friends or service provider)**
Decent, safe, and sanitary housing		
Housing is affordable based on projected family income and accommodates known disabilities to the extent possible		
Food or food allowance and other basic necessities		
Appropriate and seasonal clothing		
Transportation to job interviews and job training and services as needed		
Essential furnishings		
Application for social security card within 14 working days of arrival/copy in file		
Assistance with registering for the selective service within 30 days (for males who are 18 through 25 years old)		
Children meet school enrollment requirements and are registered for school within 30 days of arrival		

Address of the case	Street:		Apt #:
	City/State:	Zip:	Phone#:
Pocket money provided: Y □ N□			
Amount of R&P cash given to Refugee(s)		$	
Amount of R&P cash spent on behalf of Refugee(s)		$	
Total: Column 1 & 2 must equal at least $925 times the number of persons in the case.		$	

D. ORIENTATION	**Date of Service**	**Name of Provider (case manager, family member, friends or service provider)**	
Housing and personal safety orientation within 5 days of arrival			
Within 30 days, orientation concerning the role of the agency and the refugee's role; public services and facilities; personal and public safety; public transportation; personal and public hygiene; the availability of other publicly supported refugee services; the importance of learning English; personal and household budgeting and finance; permanent resident alien status and family reunion procedures; the legal requirement to repay IOM travel loan (see website for Brochure and FAQ); Address Change Information (Copy of USCIS AR-11 form distributed); and the legal requirement to register for the selective service within 30 days (for males who are 18 through 25 years old)			
E. RESETTLEMENT PLAN AND EMPLOYMENT ASSISTANCE	**Date of Service**	**Name of Provider (case manager, family member, friends or service provider)**	
Intake interview within 5 working days of arrival to verify refugee documentation and discuss roles and responsibilities			
Resettlement Plan developed for each employable and non employable person in the case within 10 working days of arrival			
Employment orientation within 10 working days of arrival			
Employment services enrollment within 10 days of arrival to MG, RSSP, DSS, etc.			
ESL enrollment within 10 days of arrival			
Assistance with enrollment in other services as appropriate within 10 working days of arrival			
F. PUBLIC ASSISTANCE	**Date of Application**	**Date when Services Began**	**Date when Services Were Denied**
Food Stamps (assistance in applying within 7 working days)			

Medicaid (assistance in applying within 7 working days)				
Matching Grant (MG)				
TANF (assistance in applying within 7 working days)				
SSI (assistance in applying within 7 working days)				
RCA (assistance in applying within 7 working days)				
RMA (assistance in applying within 7 working days)				
Other (e.g., WIC, Head Start, Elderly Services; assistance in applying within 7 working days):				
G. CLIENT CONTACT	**Required within 1 calendar day for cases without U.S. Ties**	**DAYS 1-5 Required for cases with U.S.Ties**	**DAYS 5-30 Additional home visits required for all cases**	
check field if visit completed	☐	☐	☐	
Number of other face-to- face contacts				
H. MINOR REPORTS		**Date of Service**	**Name of Provider (case manager, family member, friends or service provider)**	
Minor Home Study (Suitability Determination)				
Minor Home Visit				
Statement of Responsibility				
Minor 90 Day Report				

Appendix 3 Caseworker Information Sheet

1. Name:

2. Gender:

3. Age:

4. Education level:

5. Number of years' experience in client assistance services:

6. Number of years of experience in refugee resettlement:

7. Total number of cases (current):

8. Additional training related to refugees and resettlement (Please specify if completed, partially completed or no training on the options below):

    i. VOLAG based

    ii. Resettlement agency based

    iii. Independent/ other agency based

Appendix 4 Federal Poverty Level (FPL) Chart

Persons in household	2015 Federal Poverty Level threshold 100% FPL
1	$11,770
2	15,930
3	20,090
4	24,250
5	28,410
6	32,570
7	36,730
8	40,890

Source: http://familiesusa.org/product/federal-poverty-guidelines

Appendix 5 ACA Enrollment Spreadsheet

Appt Date	Ethnicity	Didn't Qual	Completed/ FU/ Consultation	FU needed
1/4/14	Bhutanese		FU	verification issue; reschedule
1/4/14	Bhutanese		partially completed	resched- plan choices
1/4/14	Bhutanese		partially completed	choose plan; resched
1/8/14	Somali		FU	verification
1/8/14	Somali		FU	verification
1/8/14	Somali	no qual	FU	
1/15/14	Somali		FU	verification issue
1/15/14	Somali			no time/ reschedule
1/15/14	Somali			no time/ reschedule
1/15/14	Somali	no qual	FU	
1/15/14	Somali		FU	verification issue
1/15/14	Somali		FU	verification issue
1/16/14	Ethiopian		FU	verification
1/16/14	Iraqi	no qual	FU	contact abt Health Navigation srvs
1/16/14	Ethiopian		FU	system error
1/18/14	Bhutanese		FU	
1/18/14	Bhutanese		FU	verification issue
1/18/14	Bhutanese		FU	out of time; not seen; reschedule
1/18/14	Unknown		FU	out of time; not seen; reschedule
1/18/14	Bhutanese		FU	out of time; not seen; reschedule
1/22/14	Bhutanese		FU	need more docs for employer
1/22/14	Bhutanese			out of time; not seen; reschedule
1/22/14	Bhutanese		FU	verification
1/22/14	Somali	no qual		contact abt Health Navigation srvs
1/22/14	Somali		FU	need more docs for dependent
1/22/14	Somali			out of time; not seen; reschedule
1/22/14	Somali		FU	verification issue/reapply
1/25/14	Ethiopian		FU	continue application/ time over
1/25/14	Ethiopian		FU	continue application/ time over
1/25/14	Ethiopian		Completed	