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ABSTRACT This document outlines basic planning and management principles for refugee services. Various administrative, funding, planning, and delivery concepts are discussed from the perspectives of state coordinators, administrators, and community agencies. The guide is intended to be of use in planning and managing individual services and in developing service delivery networks within states and communities. (Author/APH)

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REFUGEE RESETTLEMENT:
AN OUTLINE
FOR SERVICE PLANNING
AND DELIVERY

Indochina Refugee Action Center
February, 1981

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DOCUMENT SERIES

**Program Components and Models of
Resettlement Services for Refugees**

- I. Refugee Orientation
- II. Health-Related Services
- III. Social Adjustment Services
- IV. Vocational Training and Skills
Recertification
- V. Employment Services
- VI. Outreach, Information and Referral
- VII. Refugee Resettlement: An Outline
for Service Planning and Delivery

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**REFUGEE RESETTLEMENT:
AN OUTLINE FOR SERVICE PLANNING AND DELIVERY**

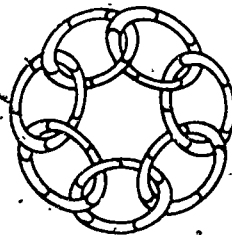
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Practitioner Workshop
on Resettlement Service Approaches
Gleneden Beach, Oregon
December 3-6, 1980

Jerry Burns, Lead Consultant
and Principal Author

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Washington, D.C. 20005

Roger Harmon, Ph.D., Project Director
Court Robinson, Project Coordinator





Dear Colleagues in Refugee Resettlement:

Enclosed you will find a document outlining basic planning and management principles for refugee services. These concepts and components of refugee service planning and delivery are discussed from the perspective of state coordinators and administrators as well as from the perspective of community agencies.

The document is meant to be of use in identifying the refugee service planning and management approaches that will best meet the needs of your community. In addition, it will serve as a guide for evaluating current services, strengthening existing programs and/or developing new proposals.

This document is the last of seven work products being produced in the Practitioner Workshop Project conducted by the Indochina Refugee Action Center (IRAC). These documents are the work of local service providers who have developed innovative ways of meeting the needs of refugees. The Office of Refugee Resettlement wishes to thank the participants in the workshop on Refugee Resettlement Service Delivery Approaches for donating their time and energy. They have made possible a document which will be of assistance to others throughout this country who are working in refugee resettlement.

Sincerely,

Roger P. Winter
Director
Office of Refugee Resettlement

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April 17, 1981

Dear Friends:

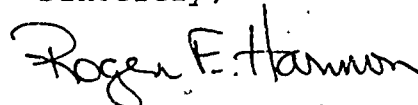
The document before you represents the work of fifteen individuals who met in Gleneden Beach, Oregon on December 3-6, 1980. These individuals have drawn on their diverse backgrounds and broad experience in resettlement to develop this outline for refugee service planning and delivery.

This document focuses on principles of refugee service planning and management for state refugee coordinators and program managers as well as community service providers. The document is meant to be of use both in planning and managing the individual services (orientation, employment, vocational training, etc.) discussed in the first six documents in this series, as well as in developing effective service delivery networks within states and communities.

We owe the workshop participants a debt of gratitude for giving so generously of their time and energies. Special thanks go to Jerry Burns who served as lead consultant for the workshop and as principal author of this document. The Practitioner Workshop staff also wish to thank Kay Rogers (Chief) and Kathy Do (Project Officer) of the Program Development unit, Office of Refugee Resettlement for their fine support of this work.

We hope this document is of use to you. We welcome your comments on it, and have included a short questionnaire in hopes that you will respond.

Sincerely,



Roger Harmon, Ph.D.
Project Director
Practitioner Workshop Project

Preface

Perhaps no other issue in recent years has been more challenging to social service planners and service providers - both public and private - than the resettlement of refugees. The hard work, dedication and innovation exhibited throughout this country to meet the needs of these new Americans has been extraordinary.

This document is an effort to assemble and record some of what has been learned about resettlement in the past few years. Essentially, the document provides an outline of fundamental planning and management principles as they apply to refugee resettlement programs and services. It presents basic issues and considerations that must be addressed by refugee service planners and providers.

This document is composed of four chapters. The first chapter provides a brief overview of issues of general concern to resettlement agencies and programs. The second chapter identifies essential factors for a state or community to consider as it begins refugee service planning and assessment. The third and fourth chapters present the perspectives of states and community agencies, respectively, and discuss fundamental concepts and components of refugee service planning and delivery.

The document is the result of a three-day workshop, the last of a series of seven workshops on resettlement services for refugees.* Previous workshops covered the topics of orientation; health-related services; social adjustment services; vocational training and skills recertification; employment services; and outreach, information and referral. These specific service topics are not discussed in detail here; however, this document does draw upon and complement the results of the previous six workshops. This seventh document focuses on planning and management principles and delivery approaches that have specific relevance to each of the previous topics. Furthermore, it articulates strategies for the integration and coordination of individual resettlement services within a multi-service agency, through a consortium of service providers, or through some other delivery pattern.

The service planning and management principles that this document outlines for resettlement programs, grow out of a number of basic perceptions and premises shared by the workshop participants. These are enumerated below and further discussed in Chapter I.

*These seven workshops were preceded by a workshop on English as a Second Language, conducted by the Center for Applied Linguistics.

- The full acculturation of refugees requires that refugee services be integrated with those provided to other persons in need. It was the consensus among participants that it would be misleading to refer to the network of resettlement programs and services as a "system." Use of the term "system" might suggest that resettlement service networks can and should exist independent of established social service systems for the general American populace. While it is appropriate for agencies and organizations in some areas to exist solely to serve refugees, such separation would be neither advantageous nor even possible throughout the service delivery network.
- Integration of services can best be achieved through the full cooperation and partnership of public sector and private sector agencies and organizations. The collaboration of the public and private sectors in service planning and delivery is emphasized in provisions of the Refugee Act of 1980; these provisions call for the development of an effective liaison and cooperative relationship between public and private agencies at the national, state and local levels.
- Cooperation among all service providers is all the more imperative given the prospect of a continuing flow of refugee arrivals and ever decreasing allocations of federal refugee funding and social service funding in general. Innovative ways will need to be found to do more with less.
- As refugee-specific funding to community agencies and service providers diminishes, an even greater share of service responsibility will fall to the refugee Mutual Assistance Associations (MAA's). Many MAA's need assistance to develop their service skills and capacities and to establish themselves as community-based organizations.
- There is a need for increased accountability throughout refugee programs. Monitoring and evaluation to provide objective measures of service performance are critical activities in a period of fiscal restraint when service dollars must target the greatest needs with maximum efficiency.

This document is the result of a three-day intensive workshop on Refugee Resettlement Service Delivery Approaches. The workshop was held in Gleneden Beach, Oregon from December 3-6, 1980. The workshop included 16 participants from around the country involved

in planning and delivering resettlement services for refugees. The participants' principal experience has been with Indochinese refugees but the basic principles outlined in this document apply to programs for other refugee populations as well. It is also anticipated that these planning and management principles will be equally applicable to states with large or small refugee populations.

Acknowledgements

The staff of the Practitioner Workshop Project wish to thank Jesse Bunch for his assistance in planning and facilitating this workshop.

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I. INTRODUCTION

A. Overview of Refugee Resettlement

Between 1955 and 1978 (excluding the Saigon Airlift in 1975), the United States resettled an average of 40,000 refugees per year. The expansion of the Indochinese refugee program early in 1979, combined with events in the Caribbean in 1980, have greatly increased the annual influx of refugees into America. In 1980, more than 362,000 refugees and Cuban/Haitian entrants were resettled throughout the country. The current projection of refugee admissions for 1981 is 217,000.

As the number of arrivals has increased, national resettlement programs have grown significantly in size and taken on new structure and focus. Within the last two years, the President established the Office of the U. S. Coordinator for Refugee Affairs; Congress enacted the Refugee Act of 1980; the Department of Health and Human Services reorganized and strengthened its Office of Refugee Resettlement; numerous federal agencies have created refugee assistance projects; and the national voluntary resettlement agencies have broadened and enhanced their resettlement programs. In addition, several new, nationally-oriented, private, non-profit refugee assistance projects have been developed; states, counties, cities and communities have become more deeply involved in resettlement activities; and refugee self-help groups have emerged as an additional resource in resettlement.

B. Dominant Issues in Resettlement

With the emerging structure in resettlement programs, there have emerged new responsibilities, new demands and often new difficulties. Following are some of the dominant issues that



currently face service planners and program managers, both state and local, public and private.

1. Diminishing Resources

Federal funding of social services for refugees, and reimbursements for cash and medical assistance, have increased annually over the last five years. The Refugee Act of 1980, however, establishes a maximum federal funding level for most social services and a three-year limit on full federal reimbursement to states for cash and medical assistance. The refugee program budget of the Department of Health and Human Services cannot be expected to follow past patterns of increases proportionate to the growing refugee population. In moving towards a balanced federal budget, the current administration has already proposed cuts in a variety of social service programs for the general populace. With its discretionary funding base, the Refugee Resettlement Program can be expected to receive close scrutiny in future Congressional sessions.

Inflation, unemployment and general economic conditions have made it impossible for government at the national, state and local levels to maintain funding for human services at levels equal to client needs. The challenge to state coordinators and service providers to meet the needs of a growing refugee population in the face of these conditions is immense.

2. Public and Private Sector Partnership

Five years of experience with large numbers of Indochinese refugees has demonstrated the importance of interagency communication, understanding and cooperation

among public and private agencies at all levels. Interagency linkages are needed to insure provision of effective resettlement services and to prevent refugees from adversely impacting services designed for other client populations.

The private, voluntary sector plays a pivotal role in the resettlement process, by locating or acting as sponsors for refugees, by providing initial reception and placement services to refugees, and often by offering substantial ongoing support and services to refugees, either through use of their private resources or by contracting with states to provide additional resettlement services. Under federal law, however, states have ultimate fiscal and programmatic responsibility for refugee services and ultimate legal responsibility for the refugees' welfare. Within such a structure, cooperation between the public and private sectors is vital.

Provisions of the Refugee Act of 1980 stress coordination very forcefully. The U. S. Coordinator for Refugee Affairs is responsible for

"...development of an effective and responsive liaison between the Federal Government and voluntary agencies, governors and mayors, and others involved in refugee relief and resettlement work."

The Director of the Office of Refugee Resettlement (ORR) in the Department of Health and Human Services is also charged with certain coordinative responsibilities:

"In allocating resources, the Director shall avoid duplication and provide for maximum coordination between agencies providing related services."

At the state level, the Refugee Act requires

"...the designation of an individual, employed by the state, who will be responsible for insuring coordination of public and private resources in refugee resettlement."

The Office of Refugee Resettlement has established channels for the communication and review of state refugee service planning and delivery strategies. ORR's ten Regional Directors serve pivotal functions in intra-state and inter-state communication and coordination. Each Regional Office must review and approve the annual state refugee service plan for each state in its jurisdiction that is participating in ORR's Refugee Resettlement Program. Once the review is completed, the state plan is then submitted to ORR's Central Office. The Central Office, in turn, works through the Regional Offices to establish greater consistency and accountability in contract administration at the state level.

The increased cooperation that has been evident in recent months, both as a result of the mandated activities noted above, as well as through the growing numbers of refugee forums and other cooperative efforts, is heartening to all working in resettlement.

3. Mutual Assistance Associations

Self-help groups based on a common ethnic background have had a long history of community service in this country. Since 1975, hundreds of these self-help groups have been formed by refugee communities throughout the United States. Organized (and often incorporated with non-profit status)

by refugees to serve refugees, these Mutual Assistance Associations (MAA's) serve a special role in refugee resettlement and cultural integration. In many cases, MAA's are simply the embodiment of natural support networks that are already in existence or are developing in communities. Refugees in need of advice or assistance most often turn first to other refugees, even when other community agencies are available to provide assistance.

There is increasing recognition by public and private agencies and organizations at all levels of the need to build the capacity of MAA's to assist in the resettlement process. The involvement of MAA's may be as service providers, either informally or by contract, and as sources of input in evaluating refugee needs and services. Many MAA's need assistance to improve staff skills and service capacities, establish accounting and recordkeeping systems, and generally augment their role as service providers. For other MAA's, cooperation and assistance is needed to assure their role in needs assessment and ongoing service planning.

4. Accountability

It is essential that service providers and program managers at federal, state and local levels institute monitoring and evaluation procedures to derive accurate measurements of service performance. Through monitoring and evaluation, programs not only gain more objective insights into effectiveness of services; they can also provide funding sources with sound measures of accountability.

The Refugee Act requires that the Department of Health and Human Services and the Department of State develop a system for monitoring and evaluating services to refugees.

This system is to include:

- "evaluations of the effectiveness of the programs funded... and the performance of states, grantees, and contractors;
- financial auditing and other appropriate monitoring to detect any fraud, abuse, or mismanagement in the operation of such programs; and
- data collection on the services provided and the results achieved."

The various issues discussed above - diminishing resources, public and private sector partnership, MAA's and accountability - will be further considered in the course of the document where they impinge upon particular aspects of refugee service planning and delivery.

II. ESSENTIAL FACTORS IN SERVICE PLANNING

A. Introduction

In order for refugee service planning to be responsive to state and local needs and resources, several basic questions need to be answered:

- What refugee services are already being provided and by whom?
- How effective are these services in meeting needs?
- What are community perceptions regarding the resettlement process?
- How do refugee services fit into existing social service networks with regard to administrative structures and delivery mechanisms?

In this chapter these questions are addressed from two vantage points: the administrative context and the assessment of needs and available resources. The administrative context concerns the different funding resources and administrative structures under whose regulations refugee services might be provided in a given state. Assessment related to refugee service planning should consider essentially three things: client demographics and characteristics, community profile, and existing services (particularly the capacity of existing programs to meet refugee needs).

B. Administrative Context

The funding and delivery of services to refugees is provided, in most cases, in two ways. Voluntary agencies, funded in part by the Department of State, provide basic reception and placement services to refugees. Additional social services, funded by the Department of Health and Human Services, ORR, are provided directly

by state agencies or by other public and private agencies under state purchase-of-service agreements. Both the Department of State and the Department of Health and Human Services have established guidelines for the use of these funds, though both voluntary and state agencies have considerable latitude in terms of service delivery focus and methodology.

1. Voluntary Agencies

Core placement and reception services that voluntary agencies must provide, have been clearly defined in the latest State Department contracts with voluntary and state resettlement agencies (see Appendix C); however, the ways and means of providing these services vary widely among the different voluntary resettlement agencies, depending upon their particular resettlement philosophy, sponsorship pattern and local structures. Even within one voluntary agency network, there are considerable variations in service methodology from one community to the next.

In addition to determining the nature and extent of services they will provide, resettlement agencies also have the responsibility of deciding when, where and how many refugees will be placed in a particular area. These decisions have a major impact on the planning processes of a state or community and, once again, underscore the need for a cooperative relationship and the continuing exchange of information among public and private resources.



2. States

The federal government, through the Office of Refugee Resettlement (ORR), in the Department of Health and Human Services, provides states with a grant award to offer services to refugees. The grant mandates adherence to regulations, guidelines and requirements defined by the federal government. The grant provides, to the extent of available resources, for federal reimbursement to states for the provision of cash and medical assistance, and social services to eligible refugees.

Even without federal funding, states, in most instances, have responsibilities for the welfare of persons residing in the state who meet eligibility criteria for various forms of assistance under federal and state law.

There are two basic administrative structures for state management and delivery of social services to the general population. These two structures are outlined below, along with the several variations possible in each:

- a. State Supervised/County Administered Programs
 - (1) Direct provision of services by counties using county service networks and county or state-funded positions.
 - (2) Purchase-of-service agreements between counties and other public or private service providers.

Counties may choose to combine the two delivery strategies mentioned above. In some cases, states may enter into some direct service contracts with other providers even though the county is the major service provider.

b. State Administered Programs

- (1) Direct provision of services using state service networks
- (2) Purchase-of-service agreements between a state and other public or private service providers.

A state may choose to combine the two state-administered delivery strategies above. In some instances, a state may turn all direct services over to voluntary agencies and/or other community providers.

Usually states choose an administrative structure for refugee services that is integrated with or parallel to the administrative structure for social services to the general population. There are several distinct advantages in doing so:

- It is generally possible for a state to expand or supplement existing administrative structures more efficiently and productively than to create new ones, which would require additional planning, start-up costs, time, separate administration and the myriad of other problems that come with starting from scratch;
- Using an existing structure provides continuity in times of funding interruptions or reductions, and insures the most fluid transition to existing services if or when funds for targeted client groups are terminated;
- Integrating the administrative structure for refugees with existing structures is a step toward integrating refugees into mainstream social service programs. There is some concern about the ramifications of structures that unnecessarily treat refugees differently from non-refugees;
- Ultimately refugees become like all other residents; i.e., they become subject to provisions that are universally applicable to all people of need in the state.

This is not to suggest that, in some instances, certain services should not be independently established to serve refugees.

These instances may include the following:

- In areas with a high density or large concentration of refugees, it might be necessary or even advantageous to establish independent services for refugees to prevent an overload of existing services.
- In areas where newly-arriving refugees face severe cultural and linguistic barriers and existing service agencies are either unwilling or unable to structure programs that adequately address these special needs, independent services may need to be established.

Review of the Comprehensive Annual Social Services Plan (Title XX) prepared by a state might be useful in providing an overview of the state social service system and in clarifying the role of refugee specific services and their relationship to social services for the general population.

C. Assessment

Efforts at any level to plan refugee service strategies logically begin with an assessment of current conditions. Assessment ascertains client needs, identifies program capabilities and service options in the state or community, and refines basic program philosophies and goals.

The function of assessment as discussed here is not to establish a communication system or ongoing network of information sharing; rather, assessment provides a relatively simplified, functional overview of community needs, attitudes and resources at a given point in time.

Both the scope and detail of an assessment will vary depending upon who is doing the assessment, how much time is available, and the scale of planning to which the information will be applied. Assessment for the purposes of service planning and delivery includes three basic areas of focus. These are presented below with a list of factors which should be explored in the assessment.

1. Client Demographics and Characteristics

- a. Ethnic composition
- b. Length of time and general experiences in the U.S.
- c. English language proficiency
- d. Education levels
- e. Work experience and skills acquired in the native country
- f. Vocational skills acquired and work experience since arrival in the U.S.
- g. Critical cultural and social factors which may isolate groups or individuals from necessary services
- h. Age levels.

2. Community Profile

- a. Total population of refugees, their geographic distribution, and the voluntary agencies involved
- b. Projected new arrival rates
- c. Projected secondary migration (incoming and outgoing)
- d. Overall impact of refugee population (e.g. ratio of refugees to non-refugees, urban and rural concentrations)
- e. Employment characteristics, including the unemployment rate, range and level of jobs available, etc.
- f. Availability of housing, transportation, day care and other critical community services
- g. Attitudes of the community toward refugees, including the perception of:
 - (1) Legislators and other government officials
 - (2) Other minorities, ethnic and refugee groups
 - (3) The media
 - (4) Leaders and other residents in impacted neighborhoods
 - (5) Potential service providers
- h. The level of participation of citizens as volunteers, sponsors, advocates and friends.

3. Existing Services

- a. Agencies providing reception and placement services including ongoing supportive services; sponsorship patterns, including:
 - (1) Congregation or American family sponsorship
 - (2) Resident refugee sponsorship
 - (3) Agency sponsorship (using professional caseworkers)
 - (4) Combinations of the above

- b. Orientation programs
- c. Employment services
- d. Health services
- e. Vocational training and skills recertification
- f. English as a Second Language instruction
- g. Mental health services
- h. Life support counseling (in legal, medical, financial, housing, and other areas)
- i. Outreach, information and referral
- j. Services for the elderly, women, disabled and other special risk groups
- k. Children's services
- l. Nutrition programs (e.g., WIC and other supplemental food programs)
- m. Advocacy assistance
- n. Public school support services
- o. MAA's

Assessment should go beyond the identification of community services and resources to include the exploration of service capacity and availability. Information on a given program could include:

- a. The range of services provided
- b. Client entry policies
 - (1) Referrals into the program (including number of referrals, sources, and reasons for referral)
 - (2) The number of clients accepted into the program (including demographic information and other significant characteristics)
 - (3) The number of clients placed on waiting lists (including the average amount of time clients spend on the waiting list)
- c. Staff characteristics
- d. Funding
- e. Accessibility of facilities
- f. Referral procedures
- g. Interagency coordination of services (if any)

Assessments should be presented positively and used constructively within the state or community for identifying needs, clarifying roles and stimulating cooperation in the planning and delivery of services. In this regard, it is important that an assessment take full measure of the structures of leadership and support that exist in the refugee service community, as well as other existing networks of community services.

These assessments form the basis for planning services, and provide information for coordinating further interagency collaboration.

III. REFUGEE SERVICE PLANNING AND DELIVERY AT THE STATE LEVEL

A. Introduction

Planning and management principles for refugee services are the same as those for social services for the general population. Refugees, however, face special barriers due both to the nature of their displacement, and to their fundamental cultural and linguistic differences with the rest of the population. To assist refugees in overcoming these barriers requires that service planning and delivery strategies for non-refugees must be adapted or supplemented.

This section discusses concepts and components of refugee service planning and delivery at the state level. The following topics are addressed:

1. Pre-Planning Considerations (the administrative context and needs assessment);
2. Linkage (including a definition of linkage, discussion of linkage sources and mechanisms, and recommendations to facilitate information sharing on a statewide basis);
3. Philosophy, Goals and Priorities (including discussion of basic funding and service strategies, and the importance of the involvement of service providers);
4. Service Planning Considerations (focusing on the following considerations: services to be provided, service providers, service delivery strategies and funding strategies); and
5. Monitoring and Evaluation (including fiscal, quantitative and qualitative measurements, purposes of monitoring and evaluation, minimal recommendations for monitoring and evaluation, and the use of information systems).

This chapter concludes with a presentation of general program considerations for state coordinators and program managers.

In general, the discussions in this chapter and the next are geared toward those who are new to refugee service planning and delivery, though the material also can serve as a guide for experienced refugee service planners and providers who wish to make program improvements, expansions or reductions.

B. Pre-Planning Considerations

Refugee service planning begins with an understanding of the administrative context within which one is operating, and with completion of a needs assessment (see previous chapter). Knowledge of federal, state and community responsibilities and services for non-refugees provides the general bounds within which refugee program decisions will be made. Assessments, formal or informal, are necessary to identify needs and resources in a given area.

C.: Linkage

Linkage may be defined as any agreement, process, or mechanism established between two or more agencies or organizations to improve communication and cooperation for the ultimate benefit of clients.

If there is a single, critical feature of refugee services, it is the multiplicity and interaction of the large number of public and private sector agencies involved at all levels. It is of paramount importance that this convergence of services and activities be well coordinated, that responsibilities be clearly defined and that channels of communication be maintained. A commitment at the state level to maintaining open communication may very well stimulate other participants in the refugee program to follow suit, and serve to minimize the inevitable turf problems between agencies.

1. Linkage Sources

The annual agreement for refugee services between the Department of Health and Human Services and each state identifies a State Coordinator and a lead state agency responsible for management of refugee services. The lead state agency may be the Department of Public Welfare, Employment, Human Resources or some other agency. Whatever its primary services, the lead state agency should establish linkages with a wide spectrum of service providers and resources.

Since voluntary resettlement agencies provide initial reception and placement services independent of state funding and authority, it is particularly critical that linkages be established between the lead state agency and the local resettlement agencies. The voluntary agencies are the first point of contact for refugees, and are therefore primary sources of statistical and demographic data on refugees in the state.

Through making such data available, these agencies can be instrumental in ongoing service planning and program coordination.

The lead state agency should be aware that it may be necessary to establish linkages with the national, regional, and/or local offices of a particular voluntary agency, depending on the placement pattern used by that agency. In most cases, refugee placements are coordinated nationally, with actual reception and placement services provided by voluntary agency staff in the community or state. In some cases, placements are made by a regional or national voluntary agency office with no representative or affiliate in the state, even though the trend seems to be away from this practice.

There are a variety of other sources with whom the State Coordinator should initiate linkage. The involvement of the following resources will vary from state to state:

- a. Office of the ORR Regional Director
- b. Other major state-level departments (Employment, Health, etc.)
- c. Community service providers (those serving the general population and those that are refugee-specific)
- d. Refugee Mutual Assistance Associations
- e. State and local refugee coordinating councils, forums, and/or advisory boards
- f. Office of the Governor or Governor's appointed committees
- g. State legislature
- h. Local governments
- i. Major employers
- j. Labor unions
- k. Civic organizations
- l. National refugee-related projects providing information and assistance
- m. Religious community leadership, including denominational and ecumenical leaders
- n. Other resources (CETA projects, volunteer programs, private foundations, etc.)

It bears emphasizing that among community service providers, Information and Referral (I&R) programs should have accurate, up-to-date resource files, as well as an established network for sharing information.* The lead state agency should consult local I&R programs as well as other service providers for information in statewide planning; in fact, in establishing a network of program linkages, the lead state agency is in a position to provide information and referral services to other agencies on a statewide basis, and build on this network for planning and program development.

*For more information on I&R programs, please refer to the sixth document in this series of seven, Outreach, Information and Referral.

2. Linkage Mechanisms

The types of linkage vary in terms of the formality of the relationships established between agencies or organizations; moreover, these relationships, once established, may change over time. Linkage mechanisms may take any of the following forms:

- a. Appointed liaison person(s)
- b. Purchase-of-service contracts
- c. Formal interagency agreements
- d. Advisory boards or interagency management teams
- e. Refugee coordinating councils or forums
- f. Informal discussions and other ad hoc arrangements

3. Information Sharing

As stated in the definition, a primary purpose of linkage is to share information among agencies and organizations. Each source involved in a linkage network has a responsibility for providing relevant information to other sources that may affect program operations, services and/or clients. Equally important, each linkage source must be willing to accept, review and respond to information received from others.

The State Coordinator should be prepared to take the lead in organizing, encouraging and actively participating in this information sharing process. Successful coordination is fundamentally a function of good communication. It is suggested that each State Coordinator develop a mailing list of service providers, voluntary agencies, MAA's, local governments and others, to send them materials that have an immediate bearing on resettlement activities in the state. A state should also consider coordinating or funding the distribution of important secondary materials.

D. Philosophy, Goals and Priorities

1. State Resettlement Philosophy

Each state should develop and articulate a philosophy, or set of guiding principles, for refugee resettlement that is consistent with governing legislation, policies and administrative guidelines, as well as local political, economic and social realities. From the state resettlement philosophy, goals are established, service priorities are identified and operational policies and service programs are outlined. The philosophy becomes the foundation for program development and coordination. As such it should be simple and understandable, and frequently reiterated and reinforced. Above all, the state resettlement philosophy should be realistic. Conditions and service priorities change over time, and they vary from one community to the next. The state resettlement philosophy may remain constant even though implementation strategies are adapted to meet changing conditions.

It is also important that the state resettlement philosophy not be developed in isolation. Through the assessment process and the establishment of an information sharing network, the State Coordinator should make contact with voluntary agencies, MAA's, local providers and other resources to encourage their involvement in the planning process. A broad consensus on the part of service providers and others involved in refugee resettlement should form the basis for program planning decisions; the recently created state refugee advisory councils are excellent structures to orchestrate and support such a process.

The necessity of prompt decisions may impinge on this idealized planning process. The need for immediate services may require that programs be started before a philosophy and management plan can be fully developed. If so, service objectives can be readjusted later as the philosophy is developed and refined.

2. Identification of Service Priorities

The state resettlement philosophy should not be expected to provide a blueprint for services to meet every need and respond to every local circumstance. Community conditions and client characteristics may vary sufficiently enough from one place to the next to warrant some local variation of service priorities and goals. The state philosophy and overall goals should not be so rigid or narrow that they restrict flexibility in responding to local needs.

While some modification of service priorities may be necessary in particular communities, nonetheless, there should be a basic consistency in the priority of resettlement services throughout the state. At the national level, the Refugee Act of 1980 clearly established that the promotion of economic self-sufficiency is the primary goal and that priority be given to employment services and English language instruction (particularly for refugees receiving cash assistance) and health care. Within this general framework, states must determine the particular arrangement and emphasis of services that is most appropriate in light of local needs and resources.

Given the goal of economic self-sufficiency for the refugee in the shortest time possible, a state, in conjunction with local service providers, should perform a thorough assessment of each community in which resettlement is to take place, focusing on:

- the general level of work skills and job-readiness in the adult refugee population;
- local unemployment rates, and the range and level of available employment opportunities; and
- the capacity of existing programs and resources to provide resettlement services (outreach, orientation, health care, counseling, information and referral, etc.)

Based upon this assessment, a state may determine that a balance exists between refugee skill levels and job requirements and, therefore, that immediate employment can realistically be made the primary service priority.

On the other hand, the assessment may indicate a scarcity of entry-level jobs and a low level of work skills on the part of the adult refugee population. In this case, the state might choose to concentrate initially on providing opportunities for intensive language and skills training, orientation to the world of work and supportive counseling.

The two options described above represent two different strategies a state might adopt in establishing an initial priority of services. It should not be inferred that in highlighting immediate employment, a state need not make an effort to provide necessary supportive services. By the same token, highlighting such services as orientation and language and skills training should not diminish the commitment to achieving economic self-sufficiency for refugees in as short a time as possible.

E. Service Planning Considerations

In planning and coordinating a statewide strategy for refugee services, decisions made by the lead state agency should be based upon information derived from assessment and consultations with linkage sources, and should be in fundamental agreement with the state resettlement philosophy. This decision-making process involves addressing a number of concurrent, basic issues relating to service delivery strategies (including services to be provided), funding strategies, and appropriate service providers.

1. Service Delivery Strategies

In determining appropriate delivery strategies for resettlement services, the lead state agency must identify the clients to be served and the location of services.

a. Identification of Target Groups

Unless sufficient funding is available to serve all refugee clients, the state will need to determine which refugees are most in need of services. Some of these categories of clients in need are as follows:

- (1) Those with identifiable priority service needs (health care, personal counseling, vocational training, etc.)
- (2) Those who are dependent on public assistance
- (3) Those whose family composition or personal characteristics put them at special risk. These may include:
 - (a) Adolescents
 - (b) Unaccompanied minors
 - (c) Elderly
 - (d) Single-parent families
 - (e) Middle-aged parents with teenagers; and/or
 - (f) Single adults

- (4) Those who are newly arrived
- (5) Those who have been here for several years and are still partially or wholly dependent on services and assistance.

b. Services to be Provided

In deciding what specific resettlement services to fund, the lead state agency should pose the following questions:

- (1) What are the priority needs of the refugee clients?
- (2) What are the stated or implied policies and priorities of state government and the state legislature?
- (3) What constraints are imposed by budget considerations?
- (4) What are the specific service capacities and capabilities of existing agencies, public and private? What is the level of interagency coordination? Are there any service gaps?
- (5) What might be the reaction on the part of community groups, service providers, city and county governments, the media and others to possible decisions?
- (6) Which of the federally-funded allowable services should be provided? What other services might be provided through alternative sources of funding?

The range of allowable services is wide though it is unlikely that funding will be sufficient to provide for every service that a state wants or needs. Some hard choices may have to be made. The federal government authorizes states to be reimbursed for (a) any services permissible in the state as Title XX social services, and (b) additional services under the headings: outreach services; assessment services; manpower employment services; English as a Second Language; vocational training; skills recertification; day care; transportation; social adjustment services, including information and referral services, emergency services, health-related services, and home-management services; and translation and interpreter services.

Location of Services

The state should consider the following options in service distribution patterns:

- (1) Distribute services equally on a statewide basis;
- (2) Provide services only in high impact areas;
- (3) Provide services through centralized facilities;
- (4) Provide services through decentralized facilities;
- (5) Target services for special resettlement communities (through collaborative placement and funding strategies developed with voluntary agencies, the state can promote specific areas or communities to absorb and assist additional refugees).

The state's service distribution may ultimately reflect some combination or variation of the above options.

2. Funding Strategies

If, following an identification of needed services and available budget levels, the total budget need exceeds available funds, the state should consider the following possible strategies:

- a. Fund all services at an equal but reduced percentage of budget need (e.g. reduce the contract budget of all providers by 20%).
- b. Fund only top priority services.
- c. Fund top priority services at an appropriate budget level while funding lower priority services at a budget level where they can maintain at least minimal effectiveness.

3. Service Providers

Once basic decisions have been made as to the resettlement services to be provided, the lead state agency must decide which agencies and organizations are to provide these services. There may be a wide assortment of agencies, representing diverse capacities, backgrounds and experience, from which to choose. The lead state agency will have to decide which of the following agencies, singly or in combination with other providers, will receive funding for refugee services:

- a. Voluntary agency affiliates;
- b. Private, non-profit agencies;
- c. Private, for-profit organizations;
- d. Public (state, city or county) agencies; and/or
- e. Mutual Assistance Associations.

These agencies may be single service providers, multi-service agencies, or may be members of a consortium with other providers. Some may be newly established and some may have a long record of community service. Some may already be providing services to refugees, while others may not have such experience. Whatever the case, the lead state agency should apply the following questions to any group it considers funding:

- a. What is the capacity of the provider to serve all refugee groups? What is the capacity of the provider to serve specific refugee ethnic and linguistic subgroups?
- b. What is the ability of the provider to work in harmony with?
 - (1) the existing community service network for refugees,
 - (2) the existing community service network for non-refugees, and
 - (3) other community bodies, administrative structures, or governmental systems?
- c. Can the provider offer some assurance of community coordination and non-duplication of services?

F. Monitoring and Evaluation

As described earlier, the Refugee Act of 1980 establishes requirements for evaluating refugee program effectiveness, including financial auditing and data collection. Consistent with these provisions, the Office of Refugee Resettlement (ORR) will be identifying minimum requirements and/or a reporting format for data collection. States should not wait for these ORR guidelines to develop data systems; nor should they feel constrained to limit their data collection solely to the information that will be required by ORR.

This section discusses the purposes and general types of monitoring and evaluation, describes the function of information systems, and proposes minimum recommendations for state monitoring and evaluation activities.

1. Purposes of Monitoring and Evaluation

Monitoring and evaluation are frequently viewed as administrative burdens. When performed well and used effectively, however, such work is invaluable to the assessment and improvement of service delivery and overall program capabilities. Monitoring and evaluation address the quantitative and qualitative aspects of services, as well as addressing important issues of accountability. The results can be used for the following purposes:

- a. To provide information for future funding decisions;
- b. To justify or modify the state resettlement philosophy, goals and service priorities;
- c. To improve program services;
- d. To help coordinate interrelated projects;
- e. To identify staff strengths as well as needed training and development activities;
- f. To improve future management decisions;
- g. To identify service gaps and options for corrective actions;
- h. To stimulate new ideas and service strategies; and
- i. To meet federal, state and contract report requirements.

2. Types of Monitoring and Evaluation

Monitoring and evaluation activities can be divided into three areas of consideration: fiscal, quantitative and qualitative. While the state should have basic responsibility

for ensuring that these types of monitoring and evaluation are carried out, this does not mean such activities should be conducted solely by state employees. Participation by ORR Regional Office staff, by experts in the specific service field as well as by staff of the project under review can produce a comprehensive, objective and enlightening review.

a. Fiscal Considerations

- (1) Quality of financial record systems. Basic financial auditing should be performed to assess appropriateness of expenditures, adequacy of records and invoices, and consistency of expenditures with the line items of approved budget.
- (2) Service and administrative costs. The following evaluations should be performed:
 - (a) Comparisons of administrative costs to service costs;
 - (b) Examination of project staff salary levels to ensure that they are commensurate with position responsibilities and with the general pay rate for similar work in the community; and
 - (c) Assessment of the costs per unit of service and a comparison of those costs with the projected costs established in the purchase-of-service agreement, as well as costs for similar services in the community.

b. Quantitative Considerations

It is essential for states as well as community service providers to develop a data base that will enable them to document the correlation of the social services they provide with a reduction in public welfare dependency and an increase in economic self-sufficiency on the part of refugee clients. Tracking mechanisms need to be established to follow a refugee client through services and to measure both short and long term results.

- (1) Service records. Monitoring and evaluation should focus on the following procedures:
 - (a) Comparison of actual units of service provided or number of clients served, with contract projections and objectives, and
 - (b) Assessment of completeness of records and accuracy in documentation of services
- (2) Service results. All follow-up activities should be documented and reviewed to evaluate the effectiveness of services and the attainment of stated objectives. Specific outcomes for clients (e.g. job placement rates, job retention rates, etc) should be fully documented.

c. Qualitative Considerations

States must find ways to evaluate such basic but somewhat elusive aspects of service effectiveness as client satisfaction, operational competency, and community trust. Working with clients, project staff and local resettlement communities, perhaps with consultation from service specialists, the state should assess the following factors of project success:

- (1) Client Satisfaction
 - (a) Did the service meet the client's needs?
 - (b) Did the delivery approach make the service accessible to the client?
 - (c) Was the delivery approach acceptable to the client?
 - (d) What were the particular benefits of the service for the client? For the community?
- (2) Project Competency. The following organizational elements should be assessed:
 - (a) The arrangement and efficiency of project administration (internal policies and procedures);
 - (b) Staff qualifications and hiring practices;
 - (c) Staff training and development;
 - (d) Interagency linkages (information sharing, referrals, etc.);

- (e) Program planning and evaluation;
- (f) Understanding and clarity of program goals and priorities;
- (g) Ability to respond to changing conditions for clients and the general community.

3. Minimum Recommendations

The Office of Refugee Resettlement requires that all social service expenditures be made in keeping with state laws and under a formal agreement or contract with explicit, measurable objectives. ORR also requires states to provide an annual report on program services and their effectiveness. Following are some basic recommendations to states regarding contract administration:

- a. For each contract, states should determine the nature, format and frequency of reports and field visits. These should then be negotiated with providers before an agreement is drawn up.
- b. Program and fiscal reports should be required at least quarterly with at least one site review during the service year.
- c. States should arrange at least one meeting per year of providers of similar services and/or interrelated services to plan and to discuss progress and problems.
- d. States should contact their audit or contracts review office to determine the possibility and benefits of collaborative team reviews.
- e. States should provide at least quarterly reports to providers and others highlighting demographic figures, resettlement services and priorities, and other issues.
- f. States should require at least quarterly reports from providers on project status, including units of service provided to date, implementation progress and problems, and a description of major issues and concerns either confronted or anticipated.

4. Information Systems

Monitoring and evaluation are continuous activities. These activities are performed formally at selected points during each contract service period, and also performed informally every day as providers, clients and the community interact. Information from both formal and informal monitoring and evaluation needs to be collected, assessed and put to use. Projects need to develop sensitive, measurable indicators of their performance, and be willing to share this information with other providers.

States should identify and coordinate resources to ensure that essential data collection, program evaluation, reporting and information sharing occur. States should work with local providers to develop standardized assessment, tracking and reporting forms. It is important for local providers to be aware of state and federal data needs to understand that states must be able to aggregate and summarize data from different providers in different parts of the state. States need to have both local profiles on refugee needs and service provision and also a statewide profile.

Whether a case management system is used which tracks a client through various services, or whether services are funded with requirements of interagency coordination, the efficiency of client services and the organization of service networks can be evaluated and improved by standardized reporting forms and systems.

Refugee program data collection and analysis can sometimes be integrated into existing data systems, though in other instances, a separate data system for refugees will be required.

G. Considerations for State Coordinators and Program Managers

Following is a short list of considerations for State Coordinators and program managers. They do not apply to every state and community in every case, but do present a range of issues coordinators and managers should be willing to face.

1. It is difficult to accurately identify where all refugees in the state are located, what their needs are, and what's happening to them.
2. Secondary migration patterns can only be guessed, but can be expected to complicate service provision and funding decisions.
3. Some number of refugees will apply for public assistance.
4. The refugee program is fractionalized by its diversity of affiliations, philosophies and responsibilities. Maintaining clear channels for communication and coordination is a demanding activity and requires persistence.
5. There have always been funding crises. Expect them at least annually.
6. There are frequent emergencies stemming from client and program needs and problems federal requests and media involvement. Develop a sense of priorities early.
7. Special effort must be made to keep key government figures (Governor, Mayors, department heads) informed of refugee program activities, and thereby foster their support and cooperation.
8. There may be resistance from various quarters to state involvement in the refugee program.

9. The refugee program is very untraditional. The following considerations should be kept in mind:
 - a. There is enormous need and opportunity to work in local communities.
 - b. The refugee program is one in which national and international politics and issues bear directly on state and local programs.
 - c. Frequent weekend and evening participation can be expected in cultural, social and other activities.
 - d. Much media attention can be expected.
 - e. Much travel can be expected.
10. Achieving quality services at the community level and statewide is a developmental process with no clear program standards for comparison; but technical assistance may be available from national level projects and programs in other states. Take early advantage of any and all available resources and support.

IV. REFUGEE SERVICE PLANNING AND DELIVERY BY COMMUNITY SERVICE PROVIDERS

A. Introduction

Community service providers and state refugee program administrators face many of the same challenges in planning and applying creative, culturally acceptable service techniques within the context of existing administrative structures and service networks. This section discusses the following basic concepts and components of refugee service planning and delivery by community providers.

1. Types of Service Providers (including descriptions of county service systems, multi-service providers, single service providers, MAA's and consortiums).
2. Pre-Planning Considerations (the administrative context and needs assessment).
3. Linkage (including the purpose of linkages; linkage sources and mechanisms; and special considerations for information sharing).
4. Philosophy, Goals and Priorities (including the development of a mission statement by providers and other considerations in setting service goals and priorities).
5. Service Planning and Management Considerations (these include services to be provided; service delivery strategies; funding issues; essential management staff functions; and special considerations); and
6. Monitoring and Evaluation (including purposes of monitoring and evaluation; fiscal, quantitative and qualitative measurements; and the use of information systems).

B. Types of Community Providers

Services at the community level can be planned and delivered by a wide range of agencies and organizations working through a variety of systems. Local conditions will generally determine which of the following providers or mix of providers will be most appropriate for refugee services in a given community.

1. County Service System

Counties can be particularly effective resources especially in states where counties already assume a role of primary provider, either by tradition or mandate. The county administrative system and service distribution generally cover a broad and well defined geographic area. In addition to serving as primary providers, counties may administer subcontracts to other local service providers. In either case, cooperative linkages with other local public and private agencies are often established. In areas with large concentrations of refugees, linkages between refugee service providers and county agencies are particularly important.

2. Multi-Service Provider

Multi-service providers are those agencies offering services in two or more topical areas. Multi-service providers present a coordinated and frequently integrated system of service delivery. This "one-stop shopping" approach provides added convenience to clients and reduces the problems of gaining access to a variety of different agencies. Additionally, the coordination of services should provide for lower overall program costs and more comprehensive service delivery.

3. Single Service Provider

Single service agencies provide a high degree of specialization in one particular service field. Depending on their expertise and experience, the specialization of these agencies offers a potential for greater service selectivity and effectiveness as well as lower costs per unit of service. Given such specialization, it is critical that single service providers establish linkage and referral networks with other providers.

4. Mutual Assistance Association (MAA)

As described in Chapter I, MAA's are community organizations, usually representing a single ethnic group and providing cultural activities and/or other important social services (particularly native language counseling, orientation, outreach, information and referral, translation services, etc.). MAA's bring valuable language ability and cultural sensitivity to refugee service provision and are frequently the first source of outside help to be contacted by a refugee in need. Most MAA's offer services on a voluntary basis with little or no funding base.

5. Consortium

There are several types of consortiums, the most common being an arrangement by which service providers in a given area agree to cooperative service planning, delegation of responsibility and sharing of resources. Most consortiums are developed on the initiative of local service providers or funding sources to minimize duplication of efforts and maximize service impact. Some consortiums are mandated by state or county authorities.

Types of consortiums include the following:

- a. Single purpose consortium: a number of agencies unite around a single purpose such as enhancing accessibility of services; improving information flow; or carrying out mutual planning, forecasting or assessment.
- b. New organizational entity: a number of agencies with mutual needs unite to establish a new agency for the sake of more effective service provision.
- c. Prime contractor: a number of agencies unite and identify one member to act as the administering agency or fiscal agent to simplify administration or reduce costs and/or to provide specialized services such as staff training.

C. Pre-Planning Considerations: Administrative Context and Assessment

As discussed in Chapter II, understanding the administrative context provides a framework within which management decisions can be made. Community providers must identify their role and establish their legitimacy within this context. Through assessment, the provider's role is clarified, service delivery strategies are refined, and appropriate linkages are established.

D. Linkages

Information sharing and service coordination are vital activities among community providers. Both activities can be greatly enhanced through a cooperative network among service providers and other community resources. Contact should not be limited only to those who are serving refugees.

1. Linkage Purposes

Linkages among community service providers and other resources serve two basic functions: an information sharing function and a service coordination function. These two linkage functions are outlined below with enumeration of the following specific purposes:

a. Information Sharing

- (1) To define, clarify and reconcile respective responsibilities and services;
- (2) To identify restrictions in service regulations and/or eligibility, and overall program capacity;
- (3) To identify client needs and assess service effectiveness;
- (4) To advocate for mutual concerns;
- (5) To identify gaps in services; and
- (6) To standardize information and service definitions.

b. Service Coordination

- (1) To serve individual clients better;
- (2) To identify and reduce or remove duplication of efforts;

- (3) To establish joint priorities and objectives;
- (4) To develop joint assessment, referral, and tracking systems;
- (5) To develop joint policies and procedures where appropriate;
- (6) To mobilize additional client resources, technical assistance, or community support;
- (7) To share staff in service delivery and staff training;
- (8) To initiate coordination of staff and services; and
- (9) To monitor and evaluate services and initiate new service strategies.

2. Linkage Sources

Following is a list of agencies, organizations and resources with whom a community provider should consider establishing linkages:

- a. The State Refugee Coordinator and the lead state agency
- b. Major state agencies (Education, Health, etc.)
- c. The ORR Regional Director
- d. Local governments (city, county, ward, etc.)
- e. Local public and private service providers (for refugees and non-refugees)
- f. Local voluntary resettlement agencies
- g. Churches, individual sponsors, and refugee family networks
- h. Refugee Mutual Assistance Associations
- i. Local coordinating councils or forums
- j. Refugee community leaders and other refugees with special knowledge or skills
- k. Major employers
- l. Local labor unions
- m. Civic organizations
- n. Religious community leadership
- o. Other resources (e.g. volunteer programs, private foundations, CETA programs, WIN, etc.).

3. Linkage Mechanisms

Linkage may assume a variety of forms depending on local needs and conditions, and may change over time in degree of formality, frequency of contact and purpose. Linkage mechanisms may take any of the following forms:

- a. Appointed liaison person(s)
- b. Purchase-of-service contracts
- c. Formal interagency agreements

- d. Advisory boards or interagency management teams
- e. Consortiums
- f. Coordinating councils or refugee forums
- g. Informal discussions and other ad hoc arrangements.

4. Communication

The importance of communication among community providers and most especially, between provider and client, cannot be stressed too emphatically. The development and use of mailing lists by community service providers helps to assure that critical information is shared with other providers, state agencies, MAA's and others. Information provided to refugees should reflect a sensitivity to language barriers and cultural distinctions: it frequently may be necessary to translate materials into several languages.

Refugee participation in service planning and delivery should be sought in an environment that allows for full involvement and candor (large public meetings conducted in English are frequently not conducive to such participation). Community providers should be willing to take additional steps (such as participating in bilingual meetings at odd times and places) to ensure that mutual trust and communication are developed with refugees.

E. Philosophy, Goals, and Priorities

Community service providers should develop and articulate a mission statement on their role in the refugee resettlement program. The mission statement should be consistent with the

philosophical base of the organization and cognizant of local realities. If the provider is dependent, in substantial measure, on federal funding through the state, the mission statement must also be consistent with the state resettlement philosophy and policies.

The mission statement becomes the foundation upon which service priorities and program policies are established; planning, resource development and allocation decisions are made; evaluation methodologies are designed; and the basis by which results are documented and evaluated.

In developing service goals and priorities, community providers should bear in mind a number of basic considerations:

- While recognition of national and state priorities is essential, adjustments must be made at the community level to respond to the client needs within the context of local conditions.
- Goals and priorities should be developed in an open process of community participation and dialogue.
- Goals and priorities should demonstrate an understanding of cultural distinctions and an active accommodation of client values.
- Goals and priorities should reflect coordination with interrelated services offered by other providers.
- Goals and priorities should realistically reflect the state-of-the-art for services offered.

F. Service Planning and Management Considerations

Community service providers must resolve a variety of issues in planning, establishing and maintaining services for refugees. These issues relate to service delivery strategies (including the services to be provided), funding and financial management, essential management staff functions, and special considerations.

1. Service Delivery Strategies

In deciding upon appropriate delivery strategies for resettlement services, community providers should identify the client groups to be served, and determine the most effective arrangement and location of services.

a. Identification of Target Groups

Unless sufficient funding is available to serve all refugee clients, the community provider will need to determine which refugees are most in need of services. The categories of clients in need are the same as those identified in Chapter III, Refugee Service Planning and Delivery at the State Level (see pages 23-24).

b. Services to be Provided

In determining specific resettlement services to provide, the community agency should pose the following questions:

- (1) What are the priority needs of the clients?
- (2) Are the services being considered consistent with the agency's philosophy and mission statement?
- (3) Does the agency currently have the capacity and expertise to provide these services; if not, what will be needed to develop that capacity and expertise?
- (4) Will the services being considered fit within the existing service network for refugees?
- (5) Will the services being considered fit within the broader community context of local political concerns, community attitudes, etc?
 - What is the perception in the refugee community of the agency's service capacity, commitment and cultural sensitivity?

- How much work will be required in educating and informing non-refugee clients, other agencies and the community at large?
- (6) Is funding available for these services? If so, at what level and with what requirements and constraints? If not, how difficult will fund raising and resource development be?
 - (7) What are the long term considerations and interrelationships of client need, service capacity and availability of funds?

c. Location of Services

In determining where services would be most effectively placed, the community provider should assess refugee housing clusters or patterns as well as the availability of transportation, child care and other services that may determine initial accessibility and continuing service participation. Based on the results of this assessment, community providers should consider the following options in service distribution patterns:

- (1) Provide services through centralized facilities;
- (2) Provide services through decentralized facilities;
- (3) Co-locate services with other service providers; or
- (4) Station staff on a regular basis in other facilities and/or agencies.

2. Funding and Financial Management

Following are a number of issues relating to funding and financial management that community providers should address. These issues include multiple-source funding; indirect cost-budgeting systems; cash flow problems; the

role of consortiums and other interagency linkage systems in generating funding; and suggested responses to funding reductions.

- Multiple-source funding is essential to many providers, particularly those in the private sector. Multiple-source funding helps insure service continuity and allows agencies to maintain perspective and some independence for planning and advocacy purposes, and accountability to clients.
- Community providers, particularly multi-service providers, should seek indirect cost-budgeting systems to manage the significant indirect costs that accrue as services expand.
- Community providers in the private sector are often confronted with cash flow problems. Providers should contact the lead state agency or other funding source to determine the possibility of advance payments rather than reimbursements. In collaboration with their funding source, providers should identify other methods of resolving their cash flow problems, such as the preparation of biweekly invoices or the development of more rapid processing procedures for invoices.
- Consortiums and other interagency linkage systems can be instrumental in promoting funding in several ways:
 - a. By raising issues and making suggestions in a unified, cooperative fashion, consortiums and other interagency linkage systems can legitimize community concerns and promote a funding response.
 - b. In representing a broad spectrum of interests, capabilities and affiliations, consortiums and other interagency linkage systems can often draw on resources outside the traditional resettlement networks.
- Community providers should consider the following suggestions for dealing with funding reductions:
 - a. Centralize services
 - b. Promote volunteer and pro bono services (e.g. invest in volunteer training and coordination, or inquire about 'borrowing' executives from local corporations for short periods of time to provide training or some other form of assistance)

- c. Re-examine and refine service priorities and strategies
- d. Explore methods of reducing costs through cooperative planning and sharing of resources with other community providers
- e. Explore new funding resources in the public and private sector.

3. Essential Management Staff Functions

The following six functions should be carried out by community service program management staff:

a. Direction and Coordination

It is a primary management responsibility to see that the program or programs maintain consistency with established goals, and to see that interaction of programs within the agency and with other agencies is appropriate to client needs and the overall agency mission.

b. Personnel Management

Management staff should ensure that personnel policies are equitable and in keeping with all legal, contractual and programmatic requirements and responsibilities. Written policies and procedures should be developed to cover the following areas:

- (1) Compensation (salaries, wages, etc.)
- (2) Recruitment
- (3) Hiring and dismissal procedures
- (4) Staff development
- (5) Personnel records, position descriptions and staff evaluations.

c. Financial Management

Management staff should maintain internal fiscal controls. It is recommended that private agencies conduct independent annual fiscal audits in addition to those conducted by the government funding source. Regular financial reporting is another important management staff function.

d. Fund Raising (From both public and private sources).

e. Public Relations

Community service providers, particularly multi-service agencies and other major providers, frequently serve as spokespersons for the resettlement network and the refugee community. It is important to develop a rapport and share information with media contacts to better ensure accurate portrayals of the refugee program, in regards to both national issues and local issues of immediate concern to the community.

f. Planning and Evaluation

Management staff should ensure ongoing, internal program review and response to identified needs.

4. Special Considerations

Following are several special considerations for community service providers in the areas of staff training, bilingual staff services and the utility of case management systems.

a. Staff Training

It is an absolute necessity to provide training to all program staff, professional, paraprofessional and volunteer, refugee and non-refugee.

- Non-refugee staff should receive education and training on cultural differences, as well as on methods of adapting service techniques to accommodate those differences.
- Refugee staff should be provided with an orientation to American service systems and specifically to the role of the agency within the refugee service network and the broader community context. They should be given education and training in specific job responsibilities and case record procedures.
- Training plans should be well defined over time. Specific training plans should be revised for staff working in different program areas, and for individual staff members.

b. Bilingual Staff Services

There is a tendency in refugee service programs for bilingual staff to serve a variety of functions. While this latitude may be necessary and even beneficial, it is important that the professional development of bilingual staff be promoted through their specialization in some areas.

Bilingual resources are invaluable to refugee services, for orientation, counseling, outreach, intake, interpreting, translation and production of materials (printed and audio-visual) as well as for service planning and evaluation. Bilingual staff should be given full opportunity to participate in ongoing program assessment and modification.

Following are some strategies community providers could employ to make the most efficient use of bilingual personnel:

- (1) Interagency agreements can be developed between providers to share bilingual resources.
- (2) Providers can contract for specific language services from individuals or other agencies on an as-needed basis.
- (3) Intake, orientation and other services requiring bilingual resources can be performed on a scheduled group basis, rather than individually.

c. Case Management

Refugees are often recipients of a variety of services simultaneously; it is therefore important to establish a case management system that can effectively chart a course for clients through multiple services. Such a system may be an internal function within a multi-service agency or it may be established as a shared responsibility among interrelated service providers.

The primary function of case management is to designate one individual as the case-responsible person for a particular client. This individual is responsible for providing the client with the following services:

- (1) Assessment of needs
- (2) Development of a case plan (in conjunction with the client to ensure that the client understands and accepts the case plan)
- (3) Counseling (to ensure that the client understands his or her own responsibilities), and assistance in securing needed services.
- (4) Referral (if necessary)
- (5) Follow-up.

It is critical that the case counselor and the client establish rapport and that the client feels free to discuss any problems and concerns he or she might have. Counseling should be provided as frequently as necessary to ensure that a relationship of mutual trust develops. If a referral is made to another agency for services, the case counselor should make sure that the client is properly prepared for the referral and that follow-up is provided.*

The case counselor is responsible for following his or her client through receipt and completion of services to resolution of the need. Case counselors should maintain a case record for each client. This case record should contain, at a minimum, the following kinds of information:

- Results of the needs assessment (including client data, the client's presenting problem, and the counselor's assessment of the client's needs)
- Documentation of the case plan (including service objectives agreed upon by the client and the counselor)
- Case narrative (this is a log or journal that contains an entry for each client contact whether by phone, correspondence or in person)

*For more information on referral procedures, please see Workshop Document No. VI, Outreach, Information and Referral, pages 19-21.

- Information on other collateral consultations that pertain to the case
- Agencies to which the client has been referred (if any)
- Reasons for closure (when services have been completed)
- Follow-up activities (including periodic case review).

In some cases, there may be conflicting opinions within individual service agencies (or individual service components in a multi-service agency) in determining the priorities of a client's service needs. In such instances, a case conference should take place involving the client, the case counselor and appropriate service providers. In the case conference the service providers should seek to resolve their differences and develop a case plan that will best meet the client's needs. It is critical that the client participate fully in this decision making process. Any sharing of confidential information, either in the case conference or elsewhere, should be done only with the client's consent and should be in keeping with all state laws and regulations.

It is recommended that, whenever possible, the case counselor should possess bilingual capabilities. If a bilingual aide is needed in addition to the case counselor, the aide should be given the opportunity to become familiar with the client's needs, rather than simply serving as an interpreter. The aide should be trained in interviewing techniques and should be skilled in cross-cultural communication.

G. Monitoring and Evaluation

Community service providers should be responsible for ensuring that their programs are adequately monitored and evaluated, both internally and externally. Such work is invaluable to the assessment and improvement of services and overall program capabilities. Monitoring and evaluation results can be used for the following purposes:

1. To provide information for future planning decisions;
2. To justify or modify the mission statement, program goals and service priorities;
3. To improve services;
4. To help coordinate interrelated services;
5. To identify staff strengths as well as needed training and development activities;
6. To improve future management decisions;
7. To identify service gaps and options for corrective action;
8. To stimulate new ideas and service strategies;
9. To meet federal, state and contract report requirements;
10. To affirm staff performance and confidence;
11. To affirm organizational credibility and legitimacy; and
12. To provide information for community education.

The fiscal, quantitative and qualitative considerations for monitoring and evaluation are essentially the same for community service providers as they are for state program managers (see Chapter III, pages 28-30). In performing these activities, community providers should involve their own staff as well as encourage the participation of outside consultants and service specialists, and staff from the lead state agency and the ORR Regional Office.

Community Service providers must also work with state coordinators and lead state agencies to develop information sharing systems to collect, assess and make use of data from both formal and informal monitoring and evaluation activities (see Chapter III, pages 31-32).

Practitioner Workshop Project

REFUGEE RESETTLEMENT SERVICE DELIVERY APPROACHES

The Practitioner Workshop Project is a project of the Indochina Refugee Action Center, conducted under a grant from the Department of Health and Human Services, Office of Refugee Resettlement (HHS/ORR) (Grant #96-P-10003-3-01).

A series of seven workshops is being held. Each workshop deals with a different social service or services which can be provided Indochinese and other refugees through Department of Health and Human Services Title XX and/or Refugee Resettlement Program social services funding. The workshops are:

Orientation	- August 1980
Health-Related Services	- September 1980
Social Adjustment	- September 1980
Vocational Training and Skills Recertification	- October 1980
Employment Services	- October 1980
Outreach, Information and Referral	- November 1980
Refugee Resettlement Service Delivery Approaches	- December 1980

The goals and objectives of these intensive workshops are to:

- develop practical models and approaches to serve as examples of effective programs and as stimulants to new, quality project development in resettlement communities;
- develop models to stimulate acceptance and to serve as a guide for state human service administrators charged with making refugee social service funding decisions;
- facilitate communication between resettlement workers regarding approaches used in other locales;

- provide input from knowledgeable local resettlement practitioners into national program operations; and
- increase the very limited body of knowledge on effective resettlement practice in very pragmatic terms -- to move forward the state-of-the-art.

Each workshop is comprised of approximately ten service providers who are involved in delivering social services to Indochinese refugees. Each workshop is three days in length, and is directed by a lead consultant designated by project staff. The lead consultant has primary responsibility for drafting a workshop report. For each of the workshops, the report includes an introduction, with a definition of the service(s); necessary program considerations; a description of appropriate delivery settings; and various models or approaches for delivering the service(s). The report is reviewed by project staff, workshop participants and by HHS/ORR, and then distributed to major refugee resettlement information distribution sources and to resettlement practitioners.

The workshop on Refugee Resettlement Service Delivery Approaches was held in Gléneden Beach, Oregon, December 3-6, 1980. The lead consultant was Jerry Burns, who is Director of the Refugee Program at Portland Community College in Portland, Oregon. The workshop was attended by fifteen participants all of whom have considerable experience in refugee service planning and delivery. The names and addresses of the participants are listed in Appendix B.

Implementation Phase

This second six-month phase of the project will implement the practical models of service delivery developed in the workshops. Short-term, on-site assistance will be available to local resettlement practitioners who express a need for assistance in the program development areas covered in the workshops. Practitioners involved in the workshop phase will be linked with communities requesting implementation support.

The objectives of this implementation phase are to:

1. stimulate the development of effective refugee services in areas where services are either inadequate or non-existent;
2. encourage coordination among service programs, particularly in high-impact areas; and
3. assist specific groups (e.g., MAA's, voluntary agencies and other local service providers) in enhancing their capacity to provide service to refugees.

The implementation phase of the project will be directed by a coordinator. The coordinator will assist specific agencies and/or communities who indicate a need of program development by matching them with experienced local resettlement practitioners identified through the workshop process. These practitioners will provide on-site technical assistance in a number of communities around the country. Services provided on-site may include the following:

- a. identification of the delivery model(s) appropriate to the agency/community and its specific needs
- b. development of service delivery plans, including specific modifications and implementation concerns
- c. follow-up assessment and evaluation.

PRACTITIONER WORKSHOP PROJECT
Refugee Resettlement Service Delivery Approaches

December 3-6, 1980
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Appendix B

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THE DEPARTMENT OF STATE RECEPTION AND PLACEMENT
CONTRACTS WITH VOLUNTARY AND STATE AGENCIES

In recent years the Congress has recognized the need to supplement the resources of the private sector in order to respond to the growing need for resettlement opportunities in the U. S. and provide partial support for some of the initial costs involved in domestic resettlement. This has resulted in per capita payments to resettlement agencies under contract to the Department of State's Bureau of Refugee Programs.

The current resettlement agencies include seven religious, four secular, and two state organizations:

- American Council for Nationalities Service
- American Fund for Czechoslovak Refugees, Inc.
- Buddhist Council for Refugee Rescue and Resettlement
- Church World Service
- Hebrew Immigrant Aid Society, Inc.
- Idaho State Voluntary Agency
- International Rescue Committee, Inc.
- Iowa Refugee Service Center
- Lutheran Immigration and Refugee Service
- National Council of YMCAs
- Tolstoy Foundation, Inc.
- U. S. Catholic Conference
- World Relief Refugee Services

Article I of the current contract describes the goal of the resettlement agencies' (contractors') activities:

...the Grantee shall use its best efforts to assure successful resettlement of each assigned refugee into American life, leading toward economic self-sufficiency and hereby minimizing dependency on state and local assistance.

Article II specifies the contract period, October 1, 1980 through September 30, 1982.

Article III, which describes "Required Core Services" and "Optional Services," is printed below:

ARTICLE III

RESPONSIBILITIES

A. Required Core Services

The Grantee undertakes to assure, either from the resettlement grants or from other sources, the availability of the following assistance up to one year to each refugee who arrives in the U. S., during the period October 1, 1980 through September 30, 1981:

1. Pre-Arrival

- a. Secure resettlement opportunity
- b. Provide needed information to local sponsor or resettlement office
- c. Make available orientation materials to appropriate, interested local agencies and individuals
- d. Conduct resettlement preplanning, including as appropriate, recruitment and training of persons adequate to render services enumerated below

2. Reception

- a. Arrange for the refugee to be met at the airport nearest to the refugee's final destination and transported to final or transient quarters
- b. Provide temporary accommodations, as necessary, and assist in obtaining initial housing and essential furnishings, which may include one month's rent and security deposit and other essential fees necessitated by the resettlement process

- c. Assure that food or a food allowance is provided and that the other basic needs of the refugee are met for up to one month after arrival or until other resources are available, whichever comes first
 - d. Provide minimum clothing for refugees upon arrival if necessary
 - e. Assist refugees in applying for a social security card and in registering children for school
3. Counseling and Referral (performed in coordination with other locally available counseling and referral services)

a. Orientation

Oral orientation to refugees and sponsors supplemented by:

- (1) General and local multilingual or bilingual orientation materials developed by the Grantee, local coordinating councils, and/or others as available
- (2) Materials for sponsors, including an explanation of the resettlement process and the sponsor's role

b. Health

- (1) Encourage and assist the refugees as soon as possible after arrival to seek health services available through the local health system (public or private) and assist refugees with known health problems to secure follow-up treatment as necessary
- (2) Coordinate with the local health authorities on programs which assist in health care, orientation and education of the refugee about the health care system

c. Employment and Services

- (1) Provide job counseling and assistance in placing employable refugees in jobs on arrival and/or thereafter as necessary and appropriate
- (2) Advise the refugees on the availability, advisability and procedure for applying for various training programs as needed and appropriate

4. Consultation with Public Agencies

- a. Inform interested local government authorities about the Grantee's resettlement program
- b. Provide advice when requested by local welfare or employment services about a refugee's employability

5. Unaccompanied Minors

The foregoing notwithstanding, the primary undertaking of the Grantee with respect to unaccompanied minors shall be to place them within an extended family setting, or the existing child welfare system, to ensure they will have the benefit of the same services and protections available in general to minors in that community. To the extent necessary, the Grantee will cooperate with public welfare authorities to assure that the placements of such minor children are legally sufficient and appropriate.

B. Optional Services

Funds provided herein may be used in any project or activity which is of assistance to Indochinese refugees in the process of their resettlement in the United States and their successful integration into society. Care should be taken to avoid duplication of other available and adequate services, public or private. Some of these services overlap or expand the basic core services outlined in Section A, Paragraphs 1 through 4 above. The fact that such provisions are repeated in a permissive form in Section B does not minimize the mandatory character of the required services in Section A, Paragraphs 1 through 4. It is understood and agreed that these services may be provided not only to those refugees arriving in the United States during the period October 1, 1980 through September 30, 1981, but also to those refugees who previously arrived. These services could include, but are not limited to, the following:

1. Pre-Arrival Services and Facilitation

- a. Administration and policy coordination at national level
- b. Public information and education
- c. Securing resettlement opportunities including local service planning, coordination and information
 - (1) Location of stateside relatives
 - (2) Promotion to prospective sponsors, national distribution

(3) Matching of refugee with local sponsors, with special regard to matching specific needs to resources

d. Coordination of travel and local reception between ICM, national agency and sponsor.

2. Port of Entry Services

a. Public Health, Immigration, and Customs assistance

b. Emergency needs, including health, clothing and food

c. Arranging for onward bookings, confirmation and securement

d. Providing care through onward movement to final destination

3. Services Under Reception and Placement

a. Arranging for availability of transit facilities before arrival at final destination

b. Providing ongoing community orientation

c. Providing ongoing assistance with basic physical needs -- health, housing, employment and transportation

d. Arranging extensive orientation of individual families on basis of self-sufficiency potential and means:

(1) Employment assessment, employment career planning, counseling placement and follow-up

(2) Information and referral to public services as needed, including MEDICAID and Social Security Programs, etc.

(3) Assessment of language and skills training requirements

(4) Provision of training and/or referral

(5) Utilization of and access to community resources to enhance resettlement process

e. Furnishing emergency financial and crisis intervention

f. Continued monitoring of reception and placement process

4. Ongoing Resettlement Services to Refugees and Sponsors

- a. Providing family counseling particularly with regard to educational, medical and employment problems
- b. Providing continued orientation and assistance with adjustment problems -- social, legal and financial
- c. Arranging immigration counseling and assistance -- adjustment of status and naturalization counseling
- d. Assisting with job upgrading and introducing additional family members into the labor market
- e. Working with refugee communities on self-help activities and assistance to new arrivals
- f. Arranging for day care services and providing family planning information and counseling
- g. Providing ESL instruction, tutoring and curriculum development
- h. Establishing revolving loan funding
- i. Locating relatives in the United States and abroad
- j. Arranging grants or loans for emergency needs, including down payments for housing, especially for large families
- k. Providing information services, including development of materials, interpreter/translation services
- l. Assisting with relocation within the United States where warranted
- m. Arranging ongoing community orientation for target groups such as the elderly
- n. Assisting refugees with preservation of cultural heritage and maintenance of cultural contact
- o. Establishing and providing mental health programs
- p. Emergency health care maintenance for conditions developed during training, care and maintenance
- q. Training and retraining artisans, academic graduates, professionals and technicians
- r. Providing or arranging for services such as examinations and payment of tuition which materially contribute to employment and income objectives
- s. Ongoing monitoring of resettlement programs.

5. Activities Facilitating Effective Management and Delivery of Programs

- a. Coordination with federal, state and local government and other service providers
- b. Arranging staff development and training, including training Indochinese paraprofessionals and community volunteers
- c. Meetings and communications -- national, regional and local networks
- d. Servicing management needs and education

Article IV of the agreement deals with administration of the contract. Article V outlines funding and payment procedures. Article VI outlines financial and program reporting requirements, and Article VII identifies the program liaison office as:

The Office of Asian Refugees
Bureau for Refugee Programs
Department of State
2201 "C" Street, N.W.
Washington, D.C. 20520

Financial liaison activities are conducted with:

The Office of Contracts and Grants
Management and Financial Analysis
Bureau of Refugee Programs
Department of State
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Washington, D.C. 20520