Dar es Salaam, Tanzania

Urban Refugee Self-Reliance Pilot Program

in Rwanda, South Africa and Tanzania

CWS
cwsglobal.org

Immigration & Refugee Program

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Acronyms and abbreviations

AATZ	Asylum Access Tanzania
COSTECH	Tanzania Commission for Science and Technology
CWS	Church World Service
HIMO	Haute Intensité de Main-d'œuvre (Labour Intensive Public works) (Rwanda)
HIP	Humanitarian Innovation Project
ICESCR	International Covenant on Economic, Social and Cultural Rights
LGBTI	Lesbian, Gay, Bisexual, Transgender and Intersex
MSC	Most Significant Change
NEC	National Eligibility Committee (Tanzania)
PRM	US State Department's Bureau of Population, Refugees and Migration
ROSCA	Rotating Saving and Credit Association
SACCO	Saving and Credit Cooperative Organization
SOP	Standard Operating Procedure
TCRS	Tanganyika Christian Refugee Service
UNHCR	United Nations High Commissioner for Refugees
VICOBA	Village Community Bank
YWCA	Young Woman´s Christian Association

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The authors remain solely responsible for the content and accuracy of this report.

Executive Summary

In November 2014, CWS initiated a pilot project to increase self-reliance among urban refugees in Rwanda, South Africa and Tanzania, through intensive case management and outreach to local employers and other local stakeholders. By focusing on both the supply and demand of refugee labor, CWS sought to facilitate mutually beneficial interactions between urban refugees and host communities.

In the CWS pilot, case managers worked one-on-one with urban refugees to develop personalized livelihoods and employment strategies, and to improve employability skills and knowledge of local workplace culture and labor markets. CWS extended case management assistance to a selected number of vulnerable host country citizens. The pilot also included outreach to business federations, employers and other local stakeholders, to improve employers' understanding of refugees' work rights and emphasize how refugees' skills and experiences may benefit their businesses.

The pilot was conducted in four cities in Sub-Saharan Africa: Dar es Salaam, Tanzania; Johannesburg and Pretoria, South Africa; and Kigali, Rwanda (Johannesburg and Pretoria were treated as one project site for the purpose of the pilot). CWS directly implemented project activities in South Africa and Tanzania, and worked in partnership with YWCA Rwanda to conduct activities in Kigali.

Of the 30 refugee participants in each workshop group, approximately half were selected for intensive case management over a period of five months. This subset served as a treatment group while workshop participants who were not enrolled in case management served as a control group, for the purpose of assessing the impact of case intensive management on self-reliance. By including both the case management and comparison groups in an initial workshop, CWS also sought to ensure that all refugees were able to benefit from participation in at least part of the project's activities. Key outcomes and findings from each location included:

Rwanda: Refugee participants had mainly fled to Rwanda from Burundi and DRC.[1] Most participants, both refugees and Rwandans, chose to pursue new or expanded business opportunities (i.e. self-employment), rather than opportunities for wage employment. This may have reflected their skills and prior experiences, which tended to emphasize self-employment as a livelihood strategy. By the end of the five-month pilot, all participants had developed business plans and reported increased knowledge and confidence for engaging in economic activities. Both refugee and Rwandan participants, however, faced difficulties in attracting capital investment, as few had the collateral needed to receive bank loans. Three urban refugees chose to seek employment and completed interviews for job vacancies they identified via case management activities. CWS reached 35 employers in direct outreach. While most pledged to consider refugees in hiring; many were not previously aware that refugees have the right to work in Rwanda.

South Africa: Under domestic law, refugees and asylum seekers have relatively comprehensive protections of their right to work. In practice, though, refugees and asylum seekers report that formal sector wage employment is difficult to find. Initially, refugee participants sought both wage employment and self-employment, in part because of concerns of discrimination in the labor market; by contrast, South African participants, 9 focused on wage employment almost exclusively. By the end of the pilot period, 8 of 13 refugee job seekers, and 4 of 7 South Africans, had received job offers; all but two accepted. A two-day workshop at the start of the pilot gave space for South African and refugee participants to address social cohesion as a backdrop to economic self-reliance activities. This was an unanticipated result from the pilot, and suggests an opportunity to link livelihoods support with dialogue that can mitigate tensions in urban areas.

[1] At the time that CWS and YWCA Rwanda began the pilot in Kigali, around 2,500 refugees were identified in urban areas, mainly the capital city of Kigali. This figure increased significantly over the course of the pilot, with an estimated 24,500 new refugees and asylum seekers fleeing into Rwandan cities and towns from neighboring Burundi. The CWS pilot began before the most recent influx of Burundian refugees and thus did not target this group for participation.

Tanzania: The urban refugee population in Dar es Salaam was estimated in 2006 at 5,000, and in 2011 at between 10,000 and 20,000 (both registered and unregistered).[2] While national law does not prohibit urban refugee employment, it does prohibit refugees from staying in urban areas without alternative legal status; and there is no refugee work permit mechanism in place, thus limiting access to wage employment in the formal sector. For this reason, most pilot participants pursued self-employment and small business expansion. Participants demonstrated improvements in financial literacy and business accounting skills, and 18 participants (refugees and Tanzanians) developed new business plans during the pilot, while 11 succeeded in using these plans to open or expand small businesses. Accessing working capital remains a challenge for both refugee and Tanzanian small business owners.

CWS compared the results of refugee case management participants with those of refugees who only participated in an introductory workshop, and found that case management had a positive effect on finding work: 44% of the case management group went from not working to working (wage employment or self-employment) by the end of the pilot, versus 24% from the comparison group. The strongest results in gaining wage employment were seen in South Africa, where despite high unemployment rates, a majority of both refugee and South African participants received job offers.

In Rwanda and Tanzania, participants tended to focus on self-employment, in part because of limited formal labor markets. While many noted improvements in their ability to prepare business plans and manage financial records, the approach had limited success in linking participants to working capital. CWS has since increased outreach to banks and MFIs in an effort to increase access to capital, particularly by refugee participants; and is exploring more formal collaboration with banks and MFIs that could allow refugees who lack collateral to be considered for micro-loans.

Case management was a new approach for most pilot participants, and generally they indicated in self-assessments that the approach was useful, both for its technical advice and the encouragement and regular follow-up that CWS staff provided. In all three pilot locations, participants indicated that one-to-one meetings with CWS staff played a significant role and have recommended that this component be maintained or even expanded in the future.

I. Introduction

A. Pilot Rationale

According to the estimates of the United Nations High Commissioner for Refugees (UNHCR), more than half of all refugees now live in cities.[3] Often settling within the congested, competitive and contested spaces of the urban poor, the ability of refugees to access safety and protection, shelter, livelihoods, health care and education depends on broader networks and relationships.[4]

In November 2014, with support from the US State Department's Bureau of Population, Refugees and Migration (PRM), CWS initiated a pilot project to increase self-reliance among urban refugees in Rwanda, South Africa and Tanzania through intensive case management and outreach to local employers and other local stakeholders. By focusing on both the supply and demand of refugee labor, CWS sought to facilitate mutually beneficial interactions between urban refugees and host communities.

[2] Masabo, J., 2006, *Report on the Survey of Refugee Population in Dar es Salaam*; and Asylum Access Tanzania, 2011, *No Place Called Home*. http://asylumaccess.org/wp-content/uploads/2014/08/No-Place-Called-Home.pdf
[3] UNHCR, *Urban refugees* [online], 2016. <http://www.unhcr.org/pages/4b0e4cba6.html>.
[4] See Church World Service, 2012, *Accessing Services in the City: Findings from a Comparative Study of Urban Refugee – Host Community Relations.* http://www.cwsglobal.org/resources/pdfs/urbanrefugeestudyexecsummary.pdf

The pilot built upon a multi-country study that CWS conducted in 2012, also conducted with PRM support. This study found that urban refugees tend to generate livelihoods within narrow sectors of the urban economy, generally within the informal economy.[5] This is reinforced, to some degree, by assistance projects that promote informal livelihood activities, but not access to formal sector wage employment even in locations where urban refugees have the work rights. In locations where urban refugees lack secure rights to employment, the advocacy to establish or strengthen these rights is often limited. In some instances these have produced remarkable successes but many also fail or remain marginal and essentially informal, and are less likely to address exploitation of refugee workers and entrepreneurs.

By contrast, where the study identified urban refugee participation in wage employment or self-employment, these appeared to contribute towards strengthening refugee-host relations as well as refugee self-reliance. In terms of creating conditions for durable solutions in urban areas, this suggested that employment carries significance beyond just the level of income that it produces – it also links refugees with social and economic networks that reinforce positive relationships with hosts. For CWS, this served as the rationale for developing a self-reliance pilot that focused more intentionally on access to livelihood activities that were more formal rather than less formal.

B. Overview of Activities

In the CWS pilot, staff worked one-on-one with urban refugees and host community participants to develop personalized livelihoods and employment strategies and to improve their employability skills and knowledge of local workplace culture and labor markets. The pilot also included outreach to business federations, employers, placement agencies and other local stakeholders, to improve employers' understanding of refugees' work rights and emphasize how refugees' skills and experiences may benefit their businesses.

In three pilot locations, CWS collected livelihood baseline information from participants at the introductory workshop, drawing on a survey tool that was developed for its 2012 urban refugees study. This included baseline data on:

- Biographical information (age, gender, country of origin, urban or rural origin, length of time in country of asylum)
- Prior educational attainment and/or vocational training
- Household characteristics (e.g., number of dependents) and household expenses
- Employment history in country of origin
- Sources of income in country of origin
- Employment history in country of asylum
- Sources of income in country of asylum
- Previous participation in livelihoods support activities in country of asylum
- Monthly household consumption for essential items, e.g. housing, water, food, electricity, transportation and education
- Sources of household income for these expenses and the amount of income received from these sources

Of the 30 refugee participants in each workshop group, approximately half were selected for intensive case management over a period of five months. This subset served as a treatment group while workshop participants who were not enrolled in case management served as a comparison group, for the purpose of assessing the impact of case intensive management.

[5] *Ibid.* In this report, "informal economy" refers to economic activities taking place (partially or fully) outside of statutory and regulatory frameworks. This may include both self-employment and wage employment.

By including both the case management and comparison groups in an initial workshop, CWS also sought to ensure that all refugees involved were able to participate in and benefit from at least part of the project's activities. Introductory workshop participants were informed that not all those in attendance would be selected for subsequent case management activities.

Case management groups were formed by random selection in each location; although CWS made minor adjustments in one location to allow for comparable gender and country of origin composition between the two groups. Participant referrals to the initial workshop were based on a common set of criteria - e.g. prior employment in country of origin, past participation in a vocational training or microfinance support program - which sought to increase the validity of a comparison between the two groups.

At the end of the case management period, CWS again conducted the survey with both groups, and examined changes between baseline and final data within the two groups. CWS also used the Most Significant Change (MSC) approach to collect self-assessments from program participants. This sought to identify and evaluate program-related accomplishments from on the perspective of refugee and host community participants. CWS also used MSC to increase its accountability to pilot participants, and to identify adaptations of the pilot's approach based on recommendations from participants.

C. Pilot Locations

The pilot was conducted in four cities in Sub-Saharan Africa: Dar es Salaam, Tanzania; Johannesburg and Pretoria, South Africa; and Kigali, Rwanda (Johannesburg and Pretoria were treated as one project site for the purpose of the pilot). CWS directly implemented project activities in South Africa and Tanzania, and worked in partnership with YWCA Rwanda to conduct activities in Kigali.

The pilot countries were identified in part because they offer, to varying degrees, opportunities for refugees to live and work (either through jobs or self-employment) in urban areas. CWS was also encouraged to pursue livelihoods activities in these locations by UNHCR country offices and local civil society organizations which had identified livelihoods as a significant gap in support available to urban refugees.

II. Country Case Studies

A. Rwanda

Context

At the time that CWS and YWCA Rwanda began the pilot in Kigali, there were a relatively small number of refugees in Rwanda who were registered as living in urban areas -- around 2,500 individuals, as per 2011 statistics, mainly residing the capital city of Kigali. This figure increased significantly over the course of the pilot, with an estimated 24,500 new refugees and asylum seekers fleeing into Rwandan cities and towns from neighboring Burundi. UNHCR registers new refugee arrivals and determines refugee status, in coordination with the Rwandan government.

An additional number of refugees in Rwanda are formally registered in camp locations but work and reside in urban areas, as refugees are legally entitled to work in Rwanda.[6] While Rwanda is a signatory to the 1951 Refugee Convention, it has noted a reservation to Article 26 of the convention, thus retaining the right to determine refugees' place of residence and, potentially, restrict refugee movement. To the

[6] Stephanie Castrilli Carmichael, *The Enterprise of Integration: The Case Study of Urban Refugees in Rwanda,* 2011. Submitted as Master's Thesis to St. Mary's University, Halifax, Nova Scotia. See: http://library2.smu.ca/bitstream/handle/01/23744/carmichael_stefanie_c_masters_2011.PDF?sequence=2

credit of the Rwandan government, to date this has not been acted upon in a way that has limited refugees' access to livelihoods outside of camps.

Referrals to the Pilot
The pilot began just before Burundian refugee crisis escalated, thus referrals to the pilot did not include these most recent arrivals. Of the urban refugees referred to the pilot, all but one had been living in Rwanda for at least five years.

Composition of refugee participant referrals in Rwanda				
Gender	**Male**	**Female**	**Total**	
Case Management group	10	4	14	
Comparison group	9	4	13	
Total	19	8	27	
Country of origin	**DRC**	**Burundi**	**Afghanistan**	**Total**
Case Management group	7	6	1	14
Comparison group	8	5	0	13
Total	15	11	1	27

Table 1: Composition of refugee participant referrals in Rwanda

The origins of refugee participants were largely neighboring countries, Burundi and Democratic Republic of the Congo (DRC), with one participant having fled from to Rwanda from outside the region (i.e., Afghanistan). An additional 10 Rwandan host community members were referred to the pilot. Referrals were received mainly from UNHCR, and from Kigali-based NGOs.

Introductory Workshop
An introductory workshop took place from 25-26 March 2015 in Kigali, with participation by 27 urban refugees. The purpose of the workshop was to introduce the CWS pilot and to increase participants' understanding of employment opportunities available in the country and qualities that employers sought, including workplace practices, interpersonal skills and cultural knowledge. The workshop also addressed refugees´ rights, particularly the right to work. Feedback from participants suggested that some refugee participants were not previously aware of their right to employment in Rwanda.

Case Management
Using the CWS pilot model, YWCA Rwanda provided one-on-one tailored assistance to both refugee and Rwandan participants, designed to increase participants' employability and improve their access to business opportunities. Case management activities were conducted as per Standard Operating Procedures (SOPs) that had been prepared at the outset of the pilot.

The case management group included 14 urban refugees and 9 Rwandan participants. Each participant signed an agreement that outlined their rights and responsibilities as participants, as well as those of YWCA as a service provider. The intent of the agreement was to establish clear expectations on both sides, at the outset of activities. Through the one-on-one case management meetings, as well as follow-up by project staff, participants were able to develop strategies to increase their employability and to develop or improve business plans.

In Rwanda, participants largely chose to pursue new or expanded business opportunities: 13 urban refugees and 6 Rwandans focused on this, whereas only one refugee and three Rwandans focused on pursuing wage employment. As such, one-on-one case management meetings focused on improving financial literacy and financial management skills, and applying these skills in business planning. New

business plans were completed by seven refugee participants and six Rwandan participants, who were then linked with commercial banks for the purpose of seeking working capital.

While refugees do not face legal restrictions in pursuing bank loans or micro-credit, for most the amount of collateral required to access formal credit was a significant obstacle (some Rwandan participants also faced this challenge given their limited asset base). Case management activities did succeed in assisting urban refugees to overcome fears of discrimination and by the end of the pilot some were beginning to respond to job advertisements and to apply for jobs. Some participants had made contact with lending institutions to seek loans, but none had succeeded in their applications by the time the pilot was completed.

Employer Outreach

Through the pilot, more than 35 employers in Kigali were contacted through door-to-door outreach, and information was shared with additional 100 employers through sector working group meetings attended by the YWCA project officer. The response by employers was generally positive. Employers associations, such as the Private Sector Federation, welcomed the project and pledged to consider refugees in their capacity development programs.

Discussions with nearly all employers and stakeholders suggested that many were not aware that refugees have the right to work in Rwanda. A staff member from the World Bank indicated that, given this right to work, they would seek for refugees to be included in development projects with the government such as HIMO[7] and Ubudehe.[8] One common feedback from employers was that the pilot could have more impact if it had incorporated a microfinance aspect to its design, i.e. to support directly refugee participants that seek to start or expand a small business.

Accomplishments and Challenges

By the end of the five-month pilot, case management participants had achieved the following:

- 3 refugee participants completed interviews for job opportunities. They had found these vacancies through the case management pilot's assistance
- 13 urban refugees and 6 Rwandan participants developed business plans with assistance from the project officer
- Participants felt encouraged to actively engage in economic activities. One of the participants commented in their self-evaluation, "*Because of the your encouragement and advice, I have approached a wholesaler where I get new jeans clothes at wholesale price of Rwf 4,000 and sell them at Rwf 6,000 or sometimes at Rwf 7,000. I make a profit of Rwf 2,000 without having to invest a lot of money. Sometimes I sell 10 jeans on a market day. My wish is to be able to get more jeans because currently what I get on loan is not enough.*"

Refugees are legally permitted to engage formal banks in Rwanda and did not report discrimination because of their nationality or legal status, but few have the collateral necessary to apply successfully for bank loans (this is a similar challenge faced by asset-poor Rwandans). This was an obstacle that the refugee entrepreneurs who participated in the pilot faced. In their MSC self-assessments, both refugee and Rwandan participants indicated that improving access to credit was the most important area where the pilot approach could be strengthened.

[7] Haute Intensité de Main-d'œuvre (Labour Intensive Public works) or cash-for-work program.

[8] For more details see: "Community-led Ubudehe categorisation kicks off", available from <http://www.gov.rw/news_detail/?tx_ttnews%5Btt_news%5D=1054&cHash=a315a8b0054e76f9c699f05ce24d3eb8>

B. South Africa

Context

South Africa is also a signatory to the 1951 Refugee Convention, and as of 2014 was home to approximately 65,000 refugees and 230,000 asylum seekers.[9] Under domestic law, refugees and asylum seekers have relatively comprehensive protections of their right to work. The Refugees Act of 1998 explicitly grants recognized refugees a right to work and although the Act does not address the subject of work rights for asylum seekers, the courts have held that asylum seekers may work following the filing of their asylum claim.[10]

In practice, though, refugees and asylum seekers report that work is difficult to find in South Africa. Many employers do not recognize the validity of refugees' documents as they are a different color from the identification booklets used by South African citizens and permanent residents. In addition, the national law regarding identification does not specifically mention refugee documents. Employers tend to avoid hiring foreign workers without residence permits fearing government penalties. Consequently, many refugees and asylum seekers work in the informal sector. Refugees with advanced degrees in engineering, medicine, and finance must often resort to entry-level work or menial jobs in order to survive.[11]

South Africa receives a large number of asylum applications and it is estimated that some asylum seekers wait up to five years for a decision on their status. It may take up to three months for new asylum applicants to receive documentation and combined with a significant backlog and delays in processing application renewals, this effectively restricts legal employment options for asylum seekers.[12]

The South African National Treasury projected GDP growth of about 1% in 2015, rising to 3% by 2017, but the unemployment rate is high: the official rate is around 25 percent, and unofficial estimates are even higher.[13] Competition between South Africans and immigrants for jobs and economic resources, both real and perceived, have contributed to outbreaks of xenophobic violence. Anti-immigrant sentiments are reportedly present in the workplace as well, though may be hidden from the public eye.[14]

Referrals to the Pilot

The majority of refugees referred to the pilot resided in Johannesburg; a smaller number resided in Pretoria. Referrals were received from eight NGOs and faith-based organizations, as well as one internal referral from CWS' LGBTI refugee protection project.

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[9] 164 UNHCR, 2014 Country Operations Profile- South Africa; Available at: http://www.unhcr.org/cgi bin/texis/vtx/page?page=49e485aa6&submit= GO.

[10] 165 HRW "At Least Let Them Work" at pg. 48.

[11] USCRI, World Refugee Survey 2009: South Africa; Available at: http:// www.refugees.org/resources/refugee warehousing/archived-world-refugee- surveys/2009-wrs-country-updates/south-africa.html.

[12] http://asylumaccess.org/wp-content/uploads/2014/09/FINAL_Global-Refugee-Work-Rights-Report-2014_Interactive.pdf Retrieved on 29 January 2016

[13] **Trading Economics. 2016. *South Africa GDP Annual Growth Rate*.** http://www.tradingeconomics.com/south-africa/gdp-growth-annual

[14] Miriam Di Paola Student N° 506086 Supervisor: Prof. DevanPillay, *A labour perspective of xenophobia in South Africa : A case study of Metal and Engineery industry in Ekurhuleni*, June 2012, Research report submitted to the Faculty of Humanities, University of the Witwatersrand, in partial fulfillment of the requirements for the degree of MA in Labour Policies and Globalization Johannesburg

Composition of refugee participant referrals in South Africa					
Gender	**Male**	**Female**	**Total**		
Case Management group	8	7	15		
Comparison group	5	4	9		
Total	13	11	24		
Country of origin	**DRC**	**Burundi**	**Somalia**	**Zimbabwe**	**Total**
Case Management group	12	1	1	1	15
Comparison group	8	0	1	0	9
Total	20	1	2	1	24

Table 2: Composition of refugee participant referrals in South Africa

Introductory Workshop

The introductory workshop in South Africa took place from 13-15 April 2015, at the Archdiocese Catholic Church of Johannesburg. Out of the 40 individuals invited, based on referrals received, 31 participated, including 24 refugees and 7 South African citizens.

The workshop's main units followed the standard training materials that CWS had designed for the pilot, including activities related to job search, employability and cultural adjustment. CWS added an extra day of activities to the South Africa workshop with the targeted goal of increasing social cohesion between refugees and host community participants.

As the workshop began, already social cohesion was coming to the forefront, as debate emerged during the first training module regarding the job opportunities available in South Africa. It began when refugee participants remarked that employers often exploit refugees' labor by providing them an unfair wage or employing them without contracts. As they are obliged to make a living in a context where they do not have many job opportunities, refugee participants lamented that they have no recourse but to accept the low salaries and insecure positions offered.

In response, South African participants voiced a concern that these actions by refugees are increasing labor market insecurity in South Africa, because refugees and asylum seekers are accepting salaries below minimum wage, and this in turn encourages more employers to engage in illegal hiring practices. According South African participants, this situation creates unfair competition around job opportunities and jobs that do not meet basic employment standards, such as minimum wage and required contract terms, are not acceptable. This has been one of the factors spurring xenophobic rhetoric and violence against foreign nationals in the country, according to South African workshop participants (the week of the workshop, in fact, there was a wave of fresh xenophobic attacks in South Africa).

As discussion grew more heated, CWS staff noted that refugees also have an interest in making sure that their terms of employment meet South African labor standards, for their own protection. It was emphasized further that competition for jobs is unavoidable in the modern economy, and that increasingly labor markets reflect mobility in which workers come and go from one place to another, both within countries and across borders. While such competition is unavoidable, labor laws should be respected by employers, and the practice of exploitation of people who are desperate should be discouraged, if not prohibited.

Both local participants and refugees voiced a common concern that perpetrators of violence are ignorant of the real problems, and attack the wrong targets for the wrong reasons. By the end of the three days, participants lifted up the workshop process as a potential platform that could bring refugees and locals together and give them a chance to know better each other's concerns and identify joint actions that could be undertaken peacefully. In the words of one participant: "CWS should multiply such a training that

brings refugees and South Africans together because it allows them to know each other better. If CWS could reach many people with such training, it would be a rich experience."

Case Management

The case management activities in South Africa started in mid-April 2015, following the introductory workshop. Initially the case management group included 15 refugees and 9 South Africans. One refugee selected for participation dropped out to attend university classes and two South African participants dropped out, which left 21 case management participants (14 refugees and 7 South Africans) in total.

As a first step, CWS staff and pilot participants worked to develop individual action plans. This was based on assessment of participants' strengths and weaknesses, including their past employment and other economic opportunities, as well as their expectations regarding self-reliance.

Out of the 21 participants, 9 (three refugees and six South Africans) chose to focus on wage employment opportunities exclusively. Only two refugee participants chose to pursue formal business opportunities exclusively. Most refugee participants, but only one South African, chose to pursue employment opportunities while also looking into potential business opportunities.

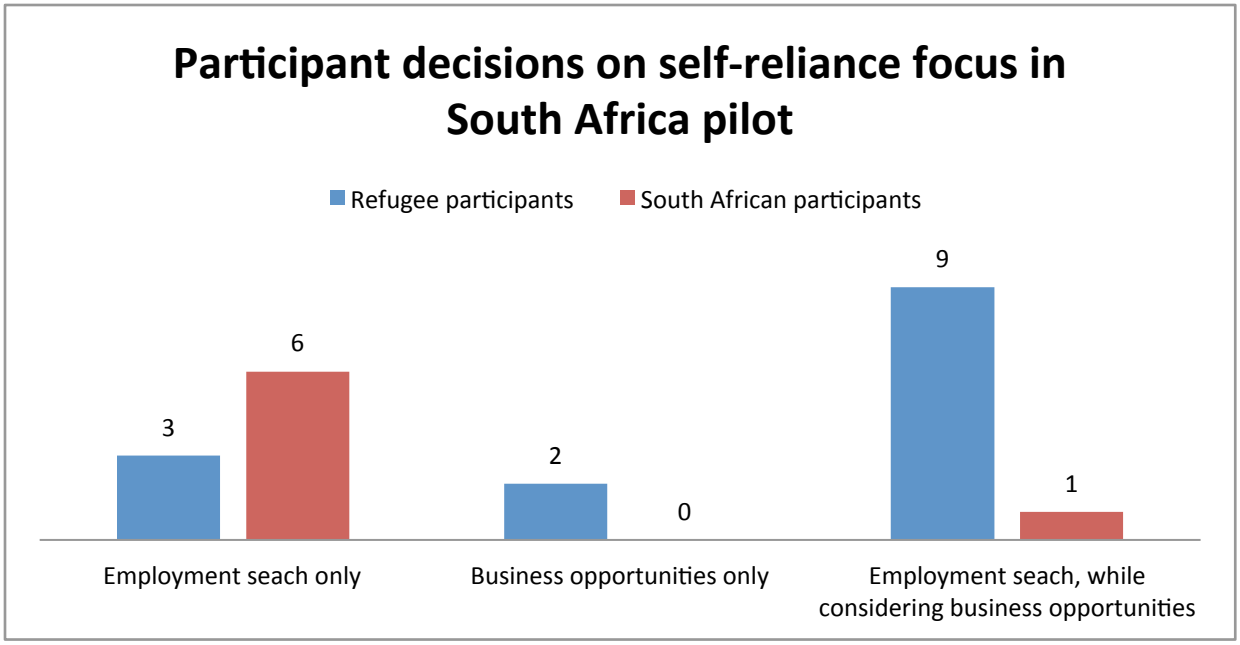


Figure 1: Participant decisions on Self-reliance focus in South Africa pilot

These decisions suggest that identifying wage employment was a priority for many refugee participants, but that they did not want to give up possibilities of pursuing business (i.e. self-employment) given that the unemployment rate in South Africa is high. Concerns about facing xenophobia in the job search process were also a factor in this decision. Over the course of the five months, though, most of this group increasingly focused on employment rather than business, as relatively few of the urban refugee participants had prior experience as entrepreneurs (in contrast to Rwanda and Tanzania, where refugee participants largely did have experience as entrepreneurs).

Monthly one-on-one meetings were conducted with each case management participant, and included the following activities:

- Review of different approaches to presenting experience in CVs (e.g., historical, functional and combined) and revise them accordingly
- Strengthening cover letter writing skills
- Identify a job search strategy

- Providing encouragement and feedback to job search, including self-evaluation of how participants' job search strategies were going in practice
- Using social networks, newspapers and the Internet to reach job openings
- Job interview skills

Participants were encouraged to apply to not only jobs matching with their education and previous experiences, but also other opportunities including entry-level jobs. At the end of each case management meeting, participants identified a target of job applications that they would submit before the following month's meeting. CWS shared information on job openings with participants, as well as policies and contact information for relevant job placement agencies.

For participants who sought to start a small business, CWS provided training and monitoring on business plan development as well as marketing training for those participants who sought to expand an existing small business. One refugee participant succeeded in starting a small business during the pilot, focusing on cellphone and electronic device repair.

Employer Outreach
Mapping was done at the outset of the pilot to identify employers, employers´ associations, placement agencies and relevant stakeholders in both Johannesburg and Pretoria. Phone calls and email outreach proved to be insufficient in South Africa (unlike the other pilot locations), so CWS staff began making spontaneous visits to employers. This proved to be a good strategy to reach them, in addition to making official appointments. Overall, CWS reached 57 employers and placement agencies, and noted the following:

- Both employers and placement agencies were willing to receive participants' CVs and applications for job openings
- Placement agencies were willing to receive five participants and place at least two in an entry-level position, free of charge, in order to build toward a future partnership.
- Employer organizations are ready to monitor participants who have skills and interest in hairdressing industry and employer assistance services.

Given the short length of the pilot, these new relationships with employers only began to yield outcomes during the project period. CWS is maintaining contacts and will seek to use them to identify job opportunities for participants in subsequent phases of the project; with the goal of increasing directly requests by employers for referrals of qualified candidates.

Accomplishments and Challenges
Eight refugee participants and four South Africans received job offers, either within the five-month pilot period or shortly after its completion. For refugee participants, these were generally entry level positions within the service sector, e.g., restaurant wait staff, janitorial services, and caregiver services. One participant with an engineering background secured a job in quality control, which was within their related sector, and one secured a job as a promoter with a marketing company. Two refugee participants declined job offers in the service sector (restaurant and car washing) and instead chose to continue their employment search.

Among the South African participants who gained employment, two are working in temporary positions within municipal government agencies; one found a job of data recorder and care giver in a clinic; and one is working as a debt collector in a financial institution.

Of participants who focused on self-employment, one refugee succeeded to start a small mobile phone and electronic device repair shop, using the business development plan that was developed in working with CWS, and drawing on social capital training provided in the initial workshop. Two other participants who were already engaged in business activities had begun to implement new marketing plans, in an effort to attract new customers and expand their customer bases.

Overall, more than half of the refugee participants found new jobs, received job offers, or developed or expanded their business by the end of the pilot. When asked what was the one most significant change they experienced during the pilot, most participants (12 of 21) indicated the practical skills acquired in searching for work, such as how to organize a CV or cover letter; a smaller number indicated that improved confidence in searching for employment was their most important change. This suggests increases in knowledge and shifts in attitudes over the course of the pilot, which contributed to participants' successes.

Two South African participants dropped out of case management activities after the first meeting; and some participants were slow to undertake action items that were identified during their meetings with CWS staff. Some participants identified lack of funds for local transport or accessing Internet or newspapers as an obstacle. Additionally, for job listings related to placement agencies – which comprise a large percentage of vacancies advertised in newspapers or internet job sites -- some participants indicated they were unable to pay for fees associated with the placement process.[15] Incorporating a financial support component was the main recommendation made in participants' MSC self-assessments.

C. Tanzania

Context

Tanzania is a party and signatory to the 1951 Refugee Convention and the ICESCR. It hosts a sizeable refugee population: as of December 2014, there were 88,492 registered refugees, according to UNHCR figures. With the increased influx of refugees from neighboring Burundi in the first half of 2015, the country's refugee population grew significantly, and by July 2015 Tanzania was hosting 84,030 refugees from Burundi and 61,999 from other countries.[16] While there is not a clear count of refugees living in Dar es Salaam, past studies have estimates between 3,000 and 5,000 refugees (both registered and unregistered) living in the Tanzanian capital city.[17] Previously in Tanzania, it was challenging for the National Eligibility Committee (NEC) to convene for asylum application determination process. There have since been improvements, and the NEC meets regularly.

Tanzanian law requires permission for refugees to live outside of camps.[18] While some refugees are granted formal permission to reside in urban or other out-of-camp locations, generally these are provided only in limited circumstances. In some cases, even refugees who have the state's permission to reside in urban areas may face arrest or harassment by law enforcement.

Within this legal framework, mechanisms that could improve urban refugees' access to livelihoods remain underutilized.[19] Under law, the Director of Refugee Services has the authority to permit urban refugee employment, but this has not been exercised due to absence of enabling regulations that would implement the provisions of the 1998 Refugee Act. As a result, refugees' access to work permits through the Director is currently impossible, although refugee employment itself is not technically illegal. Most recently, the Tanzania government has engaged with UNHCR to begin drafting regulations that would allow for issuing work permits to urban refugees, in accordance with the Non-Citizens (Employment Regulation) Act of 2014. This remains an ongoing focus of discussion among the government, UNHCR and Tanzanian civil society groups advocating for stronger refugee protections.

This regulatory weakness forces refugees to seek out immigration work permits, via government authorities responsible for general immigration matters. These are out of the reach of ordinary refugees because they are very expensive, and the process of securing these permits is long and difficult, and

[15] Placement agencies have relationships with employers, particularly in the service, and charge an administrative fee that may include basic vocational training. Fees can range from 450 to 2,500 Rand (approximately USD $35 to $175).
[16] UNHCR. 2015. *Burundi Situation*. [online]. <http://data.unhcr.org/burundi/country.php?id=212>.
[17] Masabo, J. 2006. *Report on the Survey of Refugee Population in Dar es Salaam*.
[18] Government of Tanzania. 1998. *Refugees Act*. Section 17(5).
[19] Government of Tanzania. 1998. *Refugees Act*. Section 16-17.

often dependent on prospective employers' willingness to pay necessary charges. As per the new law, Section 10(2), if refugees use the normal immigration work permits just as any other foreigner the fee payable range from $500 -$1000 depending on the type of employment.[20] Still, some urban refugees are able to access permits through this process; and CWS assisted several pilot participants to begin application for these permits.

As this reality came to light during the pilot, CWS began working with the office of the Director as well as civil society and other stakeholders to identify steps toward enacting regulations for efficient implementation of the 1998 Refugees Act. While there remains no official "urban refugee policy" in Tanzania, the government has solicited input from stakeholders, including civil society groups, with the stated purpose of drafting such a policy.

Composition of refugee participant referrals in Tanzania								
Gender	**Male**	**Female**	**Total**					
Case Management group	11	4	15					
Comparison group	13	2	15					
Total	24	6	30					
Country of origin	**DRC**	**Burundi**	**Syria**	**Kenya**	**Lebanon**	**Uganda**	**Somalia**	**Total**
Case Management group	13	1	1	0	0	0		15
Comparison group	8	1	2	1	1	1	1	15
Total	21	2	3	1	1	1		30

Table 3: Composition of refugee participant referrals in Tanzania

Referrals were received from six local and international NGOs, as well as the UNHCR country office. Tanzania, of all the pilot sites, showed the greatest diversity of refugee referrals in terms of countries of origin. In addition to the refugee participant referrals, 10 Tanzanian host community participants were referred to the pilot, including six men and four women.

Introductory Workshop

The introductory workshop took place 27-28 January 2015 at the CWS office in Dar es Salaam. A total of 30 urban refugees participated in this workshop, which focused on local employment norms, relevant local laws and regulations, and cultural adjustment. In the workshop, participants noted that accessing wage employment was a significant challenge and called upon CWS to advocate for improved access to work permits and business permits. This would allow them to have formal businesses and access to wage employment opportunities in the formal sector.

Case Management

One-on-one case management meetings began in mid-February 2015, starting with assistance to participants in preparing individual action plans. The majority of participants preferred to engage in business, as opposed to seeking employment, and 25 participants were assisted to prepare business plans for either expansion of existing businesses or development of new activities. CWS also assisted participants to prepare CVs and job application letters, and accompanied them to job interviews.

CWS assisted case management participants to contact banks and community-based microfinance institutions in an effort to improve their access to working capital. Staff worked and reviewed basic financial management trainings with participants in order to improve financial literacy and business

[20] Government of Tanzania. 2015. *Non –Citizens (Employment Regulations) Act*. No. 1. Section10(2), sixth schedule.

management skills. CWS staff accompanied participants to approach microfinance institutions, particularly some banks and Savings and Credit Cooperative Organizations (SACCOs).

In addition to providing this direct support, CWS identified obstacles that limit participants' access to business or employment opportunities – such as legal status or emergency food or housing needs -- and made referrals to other organizations (e.g., TCRS, AATZ) for services needed. A few clients were referred to other NGOs for emergency assistance, such as food and housing support, as well as for legal assistance.

Employer Outreach

Employer outreach started immediately after the introductory workshop and a total of 65 employers were contacted in Dar es Salaam during the pilot project. The goal of this outreach was to introduce project services to employers, along with the potential benefits of hiring individual refugees. CWS staff prepared talking points for guiding discussions with employers, and developed a checklist for employers that listed specific considerations when employing refugees.[21]

The feedback from most of the employers showed that most did not know whether refugees have the right to work in Tanzania. Many feared to employ refugees as they perceived that hiring foreign nationals would be in conflict with government policy. Some employers who have experience hiring refugees, such as schools in Dar es Salaam that have been employing Congolese refugees as French language teachers, indicated reluctance to employ additional refugees because of the cost of immigration work permit applications.

CWS conducted an online survey of employers at the end of project, in order to gauge knowledge and attitudes after having been contacted by staff during employer outreach. There were 14 responses, including from private sector, NGO and faith community employers.[22]

- 12 of 14 employers correctly identified that a refugee is someone who has fled persecution based on religion, race, nationality, political opinion, or membership in a particular social group; and all 14 correctly responded that not all foreign nationals are refugees.

- All 14 responded that refugees have marketable skills that could contribute to Tanzanian businesses (examples ranged from masonry and handicrafts to accounting and medical skills).

Employers suggested there is a need to intensify efforts to educate Tanzanians, and other Tanzanian employers in particular, that refugees have the right to work. Some of employers asked if refugees have the right to stay outside the camp. The current encampment policy is a hindering factor and some employers expressed uncertainty on how to verify that a given refugee employment applicant is legally permitted to stay in an urban area. The same may be true of the lack of implementing mechanisms for refugee work permits -- as reflected by the number of online survey respondents who believed it is not legal for employers to hire a refugee.

Accomplishments and Challenges

After five months of intensive case management activities in Dar es Salaam, CWS observed that close to half the participants succeeded in developing new livelihood activities:

- 18 Participants developed business plans for either new or expanded business activities.
- A total of 11 participants, including both refugees and Tanzanians, drew on these plans to open or expand new businesses. For example, one participant opened a baby supplies shop in Dar es Salaam.

[21] The checklist included: Legal status of refugees; Work permits and application procedures; and assessing credibility of refugees' work references.

[22] The respondents in Tanzania included a number of civil society groups that work with refugees, which may skew the results compared with employers generally.

A few participants improved their access to banks and community-based savings and credit cooperatives:

- One refugee participant expanded an existing small business, and launched a venture by buying a minibus to provide public transport. They had been assisted to access a bank loan from the Access Bank, which provided capital to expand these businesses.
- A Tanzanian participant got a loan from bank and managed to go to Uganda to sell her products.
- One participant was able to expand their three shops, and CWS staff worked with them to make sure he is equipped with financial literacy to be able to manage his businesses effectively.
- Participants in Bagamoyo have decided to keep their savings in VICOBA (Village Community Banks) where their funds are invested for profit in the future.
- Two participants began saving their income and are depositing it with the bank on weekly basis.

Clients also demonstrated improvements in financial literacy and their financial management skills, for example, basic book-keeping of revenue and expenses. One client reported that she improved her ability to keep business records and she is currently saving income every week from her business with the intention of opening a small restaurant.

Accessing working capital was a challenge for both refugees and Tanzanians. As part of case management, CWS assisted participants to identify and contact banks and savings cooperatives. CWS made formal referrals of participants to microfinance agencies and in one case successfully encouraged microfinance staff to visit a participant's business site and favorably consider them for inclusion. However participants' access to group-based savings and credit remained limited.

Refugees are not restricted from participating in local microfinance activities, if they possess valid documentation such as a refugee status documents – these should be sufficient legal documentation to become a member of a MFI (for refugees who only possess peasant permits and not formal permissions to reside outside of camps, participation in MFIs becomes a challenge). However refugees faced obstacles beyond those faced by host community members of similar economic means: microfinance groups often rely on social capital and mutual trust, and these were not elements that CWS could lend, at least during the short pilot period.

One refugee participant succeeded to gain employment in Zanzibar. A second was able to access an internship positions at COSTECH, a government agency that promotes science and information technology.

A significant challenge faced in Tanzania was inaccessibility of work permits for urban refugees, as these are required for refugees to work in Dar es Salaam. Currently, there are no regulations or procedures in place for work permits to be issued by Refugee Services department, despite language in the law that allows for such provisions to be enacted. This means that refugees must apply for immigration work permits, a much more expensive and cumbersome process. By the end of the pilot, Tanzanian government officials had suggested a process could be initiated to draft regulations that would establish a refugee work permit mechanism. This is a promising indication, though it remains to be seen when this mechanism will be in place.

The formal encampment policy is also a challenge for urban refugees' self-reliance in Tanzania. While the refugees who reside in urban areas are not typically detained or deported, some do face the threat of arrest and the existing compulsory encampment policy limits their access to employment and business opportunities. It also creates confusion among employers as to what are requirements for legal work authorization by refugees. In addition, the poor economy and high rate of unemployment affected both refugees and Tanzanians participants.

III. Results and Impact Analysis

A. Introductory Workshops

In each of these introductory workshops, CWS asked participants to self-evaluate their knowledge related to the workshop themes, both before and after the initial workshops, with '1' being the lowest score and '4' being the highest score. CWS then measured the changes in self-reported scores for each participant, and calculated average changes across each group. These are shown below. Given the scale used, an average increase of 1.0 represents a full step up on the assessment scale used, e.g., from "I know nothing" (score of 1) to "minimal understanding" (score of 2).

Self-reported score changes during the introductory workshops				
Workshop Topic	**Rwanda**	**South Africa**	**Tanzania**	**Avg. Score Change for all Pilot Sites**
Types of work opportunities available	0.2	1.0	0.3	0.5
Recognizing Skills and Barriers to Employment	0.6	1.0	0.3	0.6
Upward mobility	0.6	1.1	0.8	0.8
Equality in the workplace	1.5	0.7	0.5	0.9
Searching and applying for Jobs	1.0	0.6	0.5	0.7
Job Interview	-0.2	0.7	0.5	0.4
Rights and Responsibilities	1.6	0.5	0.2	0.7
Workplace Culture / Values and Etiquette	1.4	0.7	0.7	0.9
Conducting basic labor market and business opportunity assessments	1.5	1.3	0.9	1.2
Cultural Comparison / Difference	1.0	0.8	0.8	0.9
Cultural Adjustment stages	1.3	1.5	0.9	1.2
Culture shock	1.3	1.6	0.7	1.2
Family Roles	0.8	0.6	0.1	0.5

Number of workshop respondents	*RW - 26*	*SA – 31*	*TZ - 30*
Total participants	*87*		

Self-reporting knowledge scale:
1 = "I know nothing about this topic"
2 = "Minimal understanding"
3 = "Understood"
4 = "Well understood"

Table 4: Self-reported score changes during the introductory workshops

Positive values greater than 1.0 indicate that the group participants, on average, reported a full step increase on the self-reported knowledge scale (e.g., from 2 to 3, or 3 to 4). While these score changes are based on subjective pre- and post-workshop data, rather than objectively verifiable responses, they suggest increased confidence among participants in their ability to engage local labor markets, as well as positive attitude shifts that would benefit them in overcoming challenges that they face in improving self-reliance.[23]

[23] Notably, the topic with the lowest average increase was Job Interview skills. This was a focus of the intensive case management that followed. The low score change in the workshop reinforces the need to work on job interview skills in one-to-one settings rather than solely via workshop settings and over a longer period of time, as CWS did with the case management participants in the pilot.

B. Case Management

CWS compared the baseline and final survey data from refugee participants from the case management and comparison groups, to assess whether there was an impact from case management activities. In particular, two indicators related to employment status were considered along with one indicator of self-sufficiency.

Impact on Employment Status
The table below indicates the number and percentage of refugee participants who were unemployed (i.e., not working) at the start of the pilot, and their employment status (i.e., working or not working) at the end of the pilot. Participants included a mix of persons who were unemployed and "under-employed" (i.e., working rarely or occasionally), as well as refugees who were self-employed and seeking to expand their business activities. The first indicator, change in employment status, considers only refugee participants who indicated in the baseline surveys that they were not working.

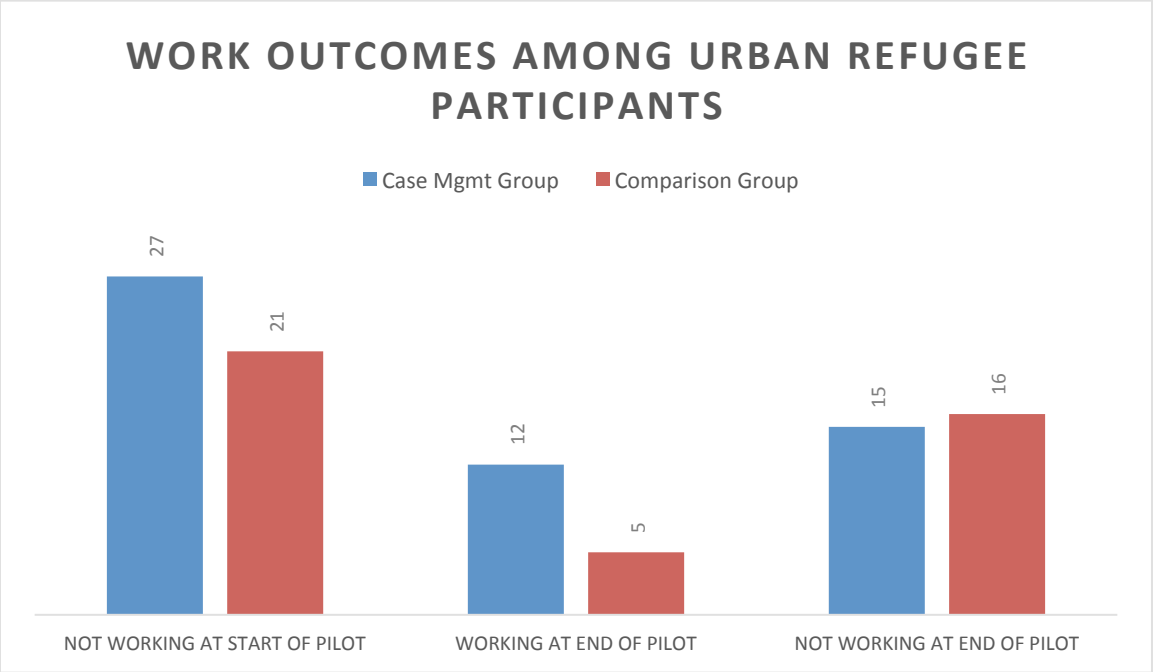


Figure 2: Work outcomes among urban refugee participants

These figures suggest that participation in case management had a positive effect on unemployed refugees' ability to find work: 12 of 27 refugees from the case management group went from not working to working by the end of the pilot; this was the case for only 5 of 21 refugees in the comparison group. This included both participants who gained wage employment and participants who started new business activities.

A second indicator, "steadiness" of work, sought to identify whether participants were working more often, less often or roughly the same amount at the end of the pilot, compared to at the start. This was measured by comparing baseline and final responses to the question, "If working, how often are you working?" Three case management participants who had been working sporadically reported that their work had become more regular at the outset of the pilot. In addition to the 12 who gone from unemployed to working, this meant 15 participants had increased the steadiness of their work.

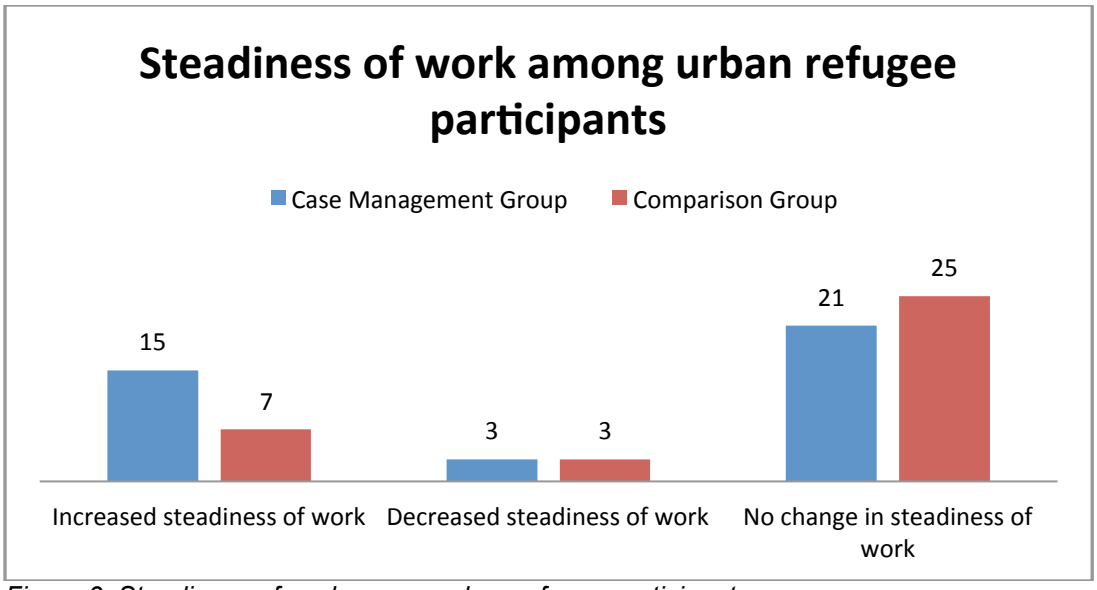


Figure 3: Steadiness of work among urban refugee participants

By the end of the pilot, 38% (15 of 39) participants in the case management group indicated that their work had become steadier, compared to 20% (7 of 35) from the comparison group. The majority of participants in both groups (53% of the case management group and 71% of the comparison group) showed no change in this measure. Three participants from each group reported their work had become less steady over the course of the pilot.

Case management participants in Rwanda and South Africa reported stronger results for this second indicator, compared to those in Tanzania:

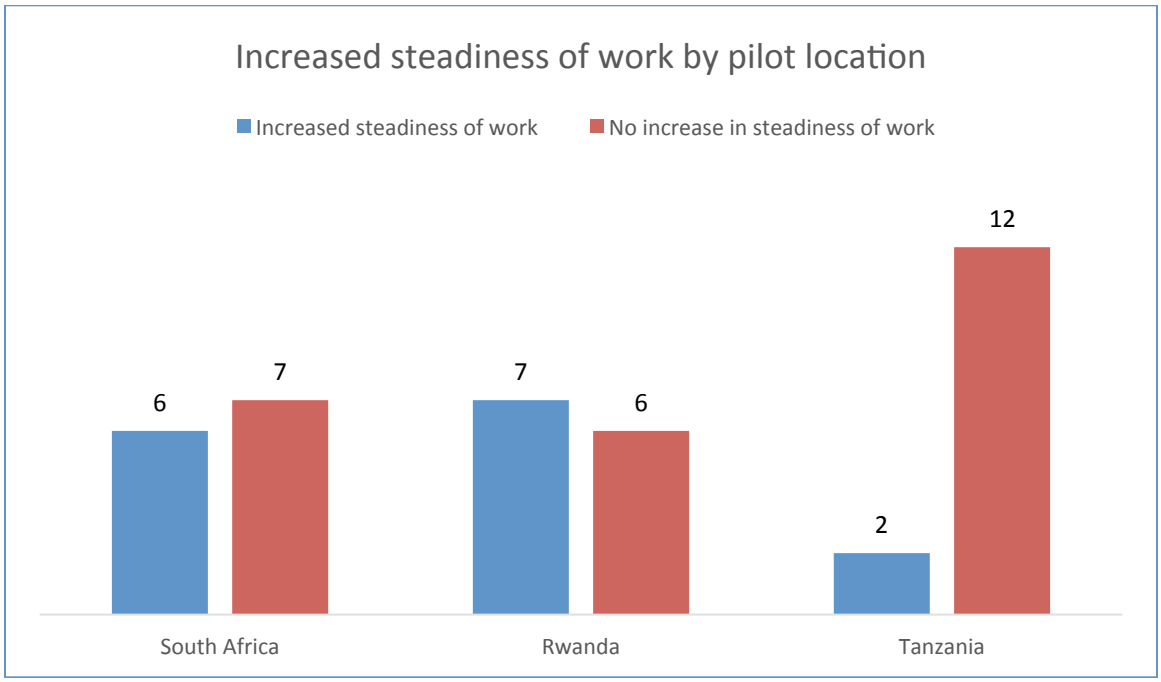


Figure 4: Increased steadiness of work by pilot location

A majority of refugee participants in Tanzania (9 of 14) were already conducting business activities (i.e., self-employment) at the start of the pilot, as might be expected given the limitations on accessing work

permits. While case management records showed that a number of refugee participants had expanded or started new business activities by the end of the pilot, this is not reflected by these two indicators. This may be a shortcoming of the survey tool used, which was designed to identify changes in employment status, not expansions of business activities among entrepreneurs who were already working full-time, or close to it, at the outset.

Impact on Self-Sufficiency

CWS sought to measure changes in self-sufficiency by asking participants to indicate the approximate percentage of their regular household expenses that were covered by earned income, i.e., none, some, half, most, or all of their expenses. Baseline and final survey responses were compared to identify how many participants reported an increase, a decrease or no change in this measure.

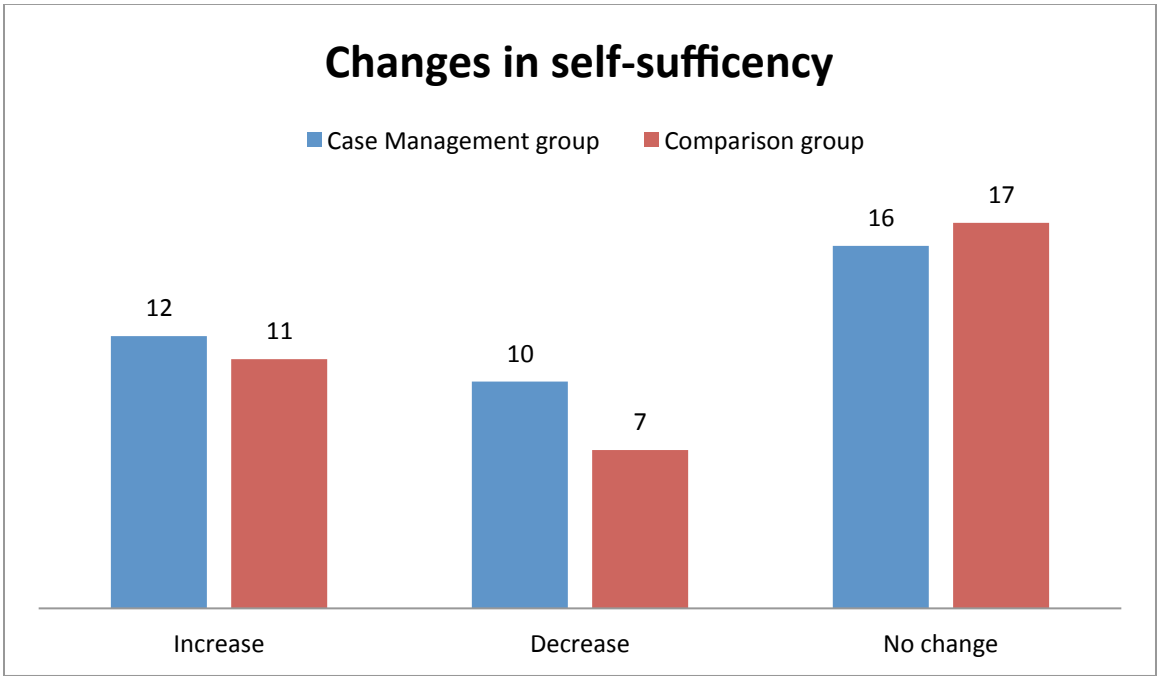


Figure 5: Changes in self-sufficiency, as measured by percentage of HH expenses covered by earned income

While 12 participants from the case management group increased self-sufficiency by this measure, another 10 reported decreased self-sufficiency, while 16 reported no change. These results were similar to those of the comparison group. Based on these responses, it is inconclusive that case management contributed to household self-sufficiency, at least within the five month period of the pilot.

The employment gains that were identified bore positively for self-reliance over the long run, but it is possible that more time is needed for this to be reflected by increased self-sufficiency, particularly for participants who gained new employment toward the end of the pilot period. CWS intends to survey participants again in six months' time, in order to gauge whether employment status gains are maintained and, if so, reflected by self-sufficiency gains.

The baseline and final surveys also asked participants to indicate specific sources of income, including assistance from family, UNHCR, NGOs or other sources. Responses for many participants were incomplete, making it difficult to identify any trends. Additionally, in at least one pilot site, CWS staff noted internal inconsistencies in participants' responses to survey questions on household consumption. This may also have contributed to the inconclusive results about changes in self-sufficiency.

In South Africa, there appeared to be some correlation between participants gaining work and decreasing reliance on external assistance: all four of the participants who reported decreased reliance on external

assistance had also gained employment during the case management period. Conversely, three South African participants reported increased reliance on external assistance, and none of those three reported new or increased employment. These results reflect a very small number of participants and were not evident in the other two pilot locations.

IV. Evaluation and Lessons Learned

The pilot's results suggest that a case management approach can have a positive impact on urban refugees' ability to find employment and/or expand business opportunities, particularly if other factors are in place. Broadly speaking, the results suggest that the legal right to work is clearly necessary, though not always sufficient, for urban refugees to move toward self-reliance via wage employment. In South Africa, the pilot location with the most well-developed formal labor market, a majority of refugee participants (and host community participants) received new job offers during the pilot period. This was also the site where participants most strongly indicated in their MSC self-assessments that employment skills development was beneficial.

CWS intended for the pilot approach to support self-employment as well as wage employment, anticipating that assisting refugees to seek wage employment may be more difficult in locations where informal economic activities predominate, such as Rwanda and Tanzania. In both countries, the vast majority of local citizens work in the informal sector: an estimated 85% of Tanzanians, and 94% of Rwandans.[24] By comparison, 33% of South Africans were employed in the informal sector, according to 2011 data. Creating a "dual track" for case management support sought to allow participants to pursue self-employment, wage employment or both, depending on their skills, asset base and aspirations.

In supporting self-employment, case management activities sought to: (1) strengthen business planning and marketing skills; (2) improving financial literacy and financial management; and, particularly for refugees, (3) facilitate connections with local sources of working capital. The approach yielded positive results with respect to the first two areas, particularly in Rwanda and Tanzania, where participants' self-assessments highlighted improvements in their ability to prepare business plans and manage their financial records. However, the approach had only limited success in linking participants to working capital. One lesson learned, therefore, that there must be more attention to increasing access to capital for self-employed refugees as part of case management design, in locations where this is likely to be a main livelihood strategy.

To some extent, the challenges faced by refugees in accessing working capital are similar to those faced by host community entrepreneurs, many of whom are operating at scales too small to access loans or support from the formal banking sector. In the MSC self-assessments, refugee and host community participants (particularly younger participants) from Rwanda and Tanzania noted similar challenges in terms of accessing loans, and recommended that CWS adopts new approaches to facilitating or providing directly startup capital. It is also possible that refugees face additional obstacles, particularly in accessing community-based microfinance, given the importance of mutual trust within a group savings and credit association.

CWS observed that receptivity of local employers to hire refugees, including their familiarity relevant legal provisions, is still at a starting point in Rwanda and Tanzania. Employers tended to respond well to the idea of hiring refugees in the abstract, when first introduced to the pilot; but several later expressed

[24] Danish Trade Union, Council for International Development Cooperation, *Rwanda Labor Market Profile 2014* and *Tanzania Labor Market Profile 2012.* See: http://www.ulandssekretariatet.dk/sites/default/files/uploads/public/PDF/LMP/lmp_rwanda_2014_final_version.pdf; and http://www.ulandssekretariatet.dk/sites/default/files/uploads/public/Afrika/Landeanalyser/labour_market_profile_2012_-_tanzania__zanzibar_web.pdf

openly a preference for hiring local citizens, or concerns that hiring refugee employees would not be received well by local governments and/or community members. Employers did not expand on this concern in great detail, but anecdotally one factor may be confusion or lack of knowledge regarding the forms of documentation that demonstrate refugee or asylum seeker status, or regarding the process for requesting relevant work authorizations. To some extent, if service providers could make it easier for employers to understand the actions they should take to hire refugees, that may help to overcome these concerns.

Refugee participants were aware from personal experience that it is difficult to gain employment in most sectors and for this reason have seemingly channeled their energies into self-employment. This challenge was exacerbated in Tanzania by the absence of mechanisms to issue refugee work permits; the more cumbersome process of applying for immigration work permits acts as a disincentive to both refugees and employers. By comparison, both Rwanda and South Africa allow refugees the right to work legally, but the pilot results in the two locations suggest that formal sector wage employment can be more readily accessed by refugees in South Africa. The pilot model was not oriented toward accessing informal sector wage employment, which may have been one contributing factor; but refugees' own perceptions about employers' preferences may also have been a factor.

For most participants, case management was a new model in terms of accessing assistance. Generally, participants indicated in their self-assessments that the case management approach was useful, both for the technical advice and for the encouragement and regular follow-up that CWS provided. In all three pilot locations, participants indicated that one-to-one meetings with CWS staff played a significant role, and have recommended that this component be maintained or even expanded in the future.[25] Among those who sought wage employment, the support in developing job interview skills and identifying employment openings were identified as key forms of support. For refugees who sought to start or expand their own businesses, assistance in strengthening financial management skills and developing business growth plans were identified as particularly useful; although their ability to translate these into actual business growth was dependent on access to capital, which tended to be quite limited.[26]

At the outset, CWS communicated to participants that the pilot intended to provide technical support, not material assistance, and participants and staff signed a brief written agreement at the start of case management that set out expectations and responsibilities of both participants and CWS as a service provider. Still, some participants seemed to expect direct financial support or other forms of material support, e.g. startup capital to support the business plans that they developed. This might be spelled out more clearly with referring agencies in advance; or shared in writing with participants, at time of referrals, to ensure that expectations are managed appropriately.

CWS did not originally plan to organize activities that would bring together refugee and host community participants. This element was added as the workshops were being prepared, with a particular eye toward South Africa where xenophobic violence had flared periodically.[27] This proved to be an important opportunity to address social cohesion as a backdrop to economic self-reliance activities.

Initial workshop sessions saw heated discussion between refugees and South African participants. By the end of the workshop, however, the tenor of discussion among participants had changed significantly, and refugees and South Africans were working together to identify strategies and actions for employment searches. This was a positive sign that the workshop approach can be used creating safe space for constructive discussion of employment and self-reliance.

[25] CWS staff spent, on average, about three hours per month assisting each participant.
[26] For this reason, in the subsequent phase of its urban self-reliance work, CWS is exploring ways to leverage greater access to capital by otherwise asset-poor participants.
[27] In fact, refugee participants were released early on the last day of the workshop in Johannesburg, as a safety precaution, because of reports shared by local law enforcement of violence targeting foreign nationals in certain parts of the city.

Notably, six of the seven South African participants cited the introductory workshop as the most significant activity; it was also indicated by four of the 13 refugee participants. In the other two pilot sites, the workshop was not highlighted nearly as strongly, meaning it may have had particular significance for participants South Africa, given the social tensions that exist in many of the country's urban communities.

V. Potential for Adaptation and Replication

Based on this pilot, CWS concludes that the approach of linking employer outreach and one-on-one case management can work effectively in a context such as South Africa, where there is a relatively strong formal labor market. Even in the face of high unemployment rates, case management participants (both refugees and South Africans) were successful in finding employment with support from the pilot.[28]

CWS has since begun a second phase in South Africa, including comparison group participants from the pilot phase. The approach is being modified to include collaboration with job placement agencies, in which CWS would provides training on employment culture and "soft skills" related to employability, while a placement agency provides skills training for a given job market, e.g., restaurant jobs.

In considering replication of case management and employer outreach activities elsewhere, the pilot experience raises question of whether informal labor markets – i.e., wage employment in the informal sector -- should be explored in addition to formal ones. A recent study by the Humanitarian Innovation Project (HIP) in Uganda, for example, found that the informal sector plays a critical role in employment: 41% of urban refugees in Kampala are employed in the informal sector, including many who are wage-earning employees in businesses that are considered part of the informal economy.[29] Excluding informal sector employment could be counter-productive to increasing self-reliance, particularly in locations where the informal sector comprises a large percentage of overall economic activities.

While the employer outreach approach used in the pilot might be replicable in informal contexts, other forms of community-based networking (including, for example, recruiting staff or trainers from among successful urban refugee entrepreneurs) may well be as, if not more, effective. The potential application of case management and outreach approaches to informal labor markets -- as well as ways to strengthen refugee workers' protections and in informal contexts -- could benefit from further exploration.

The same HIP study noted that refugees in Kampala are largely unaware of locally available business development support, including financing, training and networking opportunities. Some urban refugee communities are quite active in establishing their own self-help institutions, such as rotating savings and credit associations (ROSCAs).[30] Refugees who are not already part of social networks, though, may face challenges in accessing this support (not unlike challenges noted in accessing host community microfinance institutions during the pilot). In a follow-up phase of self-reliance activities in Tanzania, CWS is exploring ways to establish rotating loan funds that could be accessed by urban refugees and managed by MFIs or banking institutions, to address both limited assets for collateral and social capital challenges that refugees may face in accessing local ROSCAs.

In the pilot, CWS staff spent approximately three hours per month working with each client (a face-to-face meeting of at least one hour, along with time for preparation and follow-up to these meetings). Working with a cohort of 20-25 participants, this meant that about half of a standard work week time was devoted to direct activities with clients, with the remaining time available for employer outreach, monitoring and reporting, and administrative activities. If the number of staff were to increase, division of labor may allow for a greater increase in cohort size, e.g. increasing from two to three staff while doubling the number of participants to 40-50 range, given economies of scale in the various program tasks.

[28] This is also supported by findings from other global assessments, including the Global Refugee Work Rights report, which concludes that legal barriers are the most significant obstacle to refugee employment. Report available from: http://asylumaccess.org/global-refugee-work-rights-report.
[29] Alexander Betts, et. al., *Refugee Economies: Rethinking Popular Assumptions,* Humanitarian Innovation Project, 2014. See: http://www.rsc.ox.ac.uk/files/publications/other/refugee-economies-2014.pdf.
[30] *Ibid.*

Annexes

Annex 1: Baseline Survey Questionnaire

Urban Self-Reliance Workshop: Participant Survey (baseline and final)

Location: [Put Location here]
Date: [Workshop date here]

1. Participant Name	

A. Work and Education History

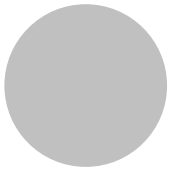
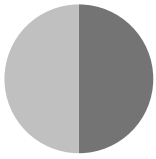
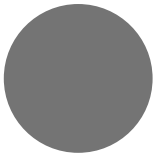
2. Education completed	Primary school	Secondary school	Vocational school	Some university	University degree
3. Were you working in your country of origin?	Yes		No		
4. If yes, what was your work in your country of origin?					
5. Have you worked before in [country of asylum]?	Yes		No		
6. Are you working now?	Yes		No		
7. If yes, how steady is your work?	Rarely 1-2 days/ month	Occasionally 1-2 days/week	Part-time 3-4 days/week	Full-time 5-6 days/week	
8. Have you ever applied for a business permit or work permit in [Country of Asylum]?	Yes		No		
If yes, what kind of work permit (Please specify)					

9. Have you ever received a business permit in country of asylum?	Yes		No	
10. How well do you understand the process for applying for a business permit in [country of asylum]?	I do not know it at all	I understand some of it	I understand most of it	I understand it completely
B. Household Budgeting				
11. Number of members in your household				
12. Who takes care of the household, you or someone else?				

13. Approximately how much does your household pay each month for the following expenses?

Housing	
Water	
Food	
Electricity	
Cooking fuel	
Transport	
School fees	
Other	

14. Approximately how much of these expenses in percentage do you cover with income from work or self-employment? (Meaning: not including income or assistance from UNHCR, churches or mosques, charity organizations, or family members or friends.)

None (0%)	A little bit (25%)	About half (50%)	Most of it (75%)	All of it (100%)
				

15. Please circle your current sources of income or assistance, and indicate an approximate monthly amount:

Source of income or assistance	Approximate monthly amount
Formal employment	
Own business (with permit)	
Informal business (e.g., street vendor)	
Day labor / occasional work	
UNHCR, mosques or churches, or charity organizations	
Family members	
Other	

C. Demographic Information

16. Country of origin				
17. Number of years living in [country of asylum]	Below 1	1-2	3-5	above5
18. Number of people in your household (including yourself)	1	2	3-4	5-6 above7
19. Age	below18	18-25	26-49	above50
20. Gender	Male	Female	Gender Non-Confirming	
21. Do you have any disability that impairs your access to employment?	Yes		No	
22. If Yes, What special needs that impact your ability to access employment?				

Annex 2: CWS tool for referring pilot participants to other Service Providers

REFERRAL FORM

From: **Title**: Project Officer **Email**: **Mobile**:
To:
Date:
Referral Number: CWS/Referral/2015/_____

Beneficiary Information

Full Name Family Name Given Name *Nationality* *Gender*		**Referral Date** Language (Other information) _____ _____	

Reason for referral (explain why individual may fall under mandate of referee organisation**)**

The information contained below is provided with the permission of the individual to be referred for further action and assistance. The information contained in this form is privileged and confidential and intended only for the intended recipient. Please delete or destroy this form if you have received it in error.

Annex 3: Case Note Contents

Case File Contents

Document for the Case File	Purpose
Monthly meeting checklist - initialed by CWS project officer	Project Officer documents that they have completed all required actions during the monthly meeting with participants.
Participant agreement form - signed by participant and CWS project officer	Ensures that participant understands what are their responsibilities & commitments, and what are CWS responsibilities & commitments.
Confidentiality form - signed by participant and CWS project officer	Ensures that client understands CWS will not release their personal case information without their consent.
Copy of refugee status documentation or Tanzanian/SA/Rwanda ID	Proof of eligibility to participate in the pilot (i.e., an undocumented migrant does not have legal work authorization, so would not be eligible to participate)
Completed baseline survey from initial workshop	Provides baseline information for assessing impact of CWS assistance.
Individual action plan for participant to increase their economic self-reliance - initialed by both the participant and CWS project officer	Documents that CWS project officer has assisted participant to identify personal strengths, opportunities, and challenges/obstacles to self-reliance; and that the project officer and participant identify actions that can maximize strengths and opportunities, and address any challenges or obstacles.
Copy of referrals form (for CWS referrals to other service providers)	Provides a record of any referrals that CWS makes; indicates that Participant has agreed for CWS to discuss specific aspects of their case with an outside agency; allows project officer to follow-up with participant and/or other service providers, to determine if these referred services were effective.
Worksite visit notes (if conducted) - initialed by the project officer	Provides a record of observations from participants' work site; and a record of actions taken by CWS project officer with employers, on behalf of participants.
Completed final survey - this is done at final monthly meeting.	Provides final information for assessing impact of CWS assistance.
Service completion form - signed by participant and CWS project officer in the final monthly meeting.	Ensures that participant understands that they have completed the assistance period that is offered by the CWS pilot.

Annex 4: Case Note Form

CASE NOTE FORM

Name of Client:	
Date of Meeting	
Location(Country/City/Area	
Mode of communication(One –on-one) phone call/ Skype call)	
Name of the Project Officer:	

1. Main objectives of the Meetings (Project Officer should have identified before the meeting)	
2. Note any new developments since the previous month's meeting. For example → Participant had two job interviews → Participant became employed → Participant lost employment etc	
3. Brief summary of meeting activities. For example: → Reviewed and revised CV → Discussed job search strategy and identified two potential employers → Practiced for job interview → Reviewed and worked together to complete business permit application → Reviewed household budget / other financial literacy activities → Discussed adapting to workplace culture and/or managing workplace challenges (e.g., for participants who become employed) → Followed-up on previous referral to English language course etc	
4. Identify any challenges that the client is facing in becoming self-reliant, e.g.: language barriers, child care, transportation, physical security, purchasing uniform or work equipment, etc. Make note of any new referrals that are made.	

5. Identify action items for (a) participant and (b) Project officer. These should build on participants' strengths, and address challenges that participants face. (Ideally, both parties will sign or initial these, to document their commitments.)	
6. Conclusion: What are next steps? Project officer explains when are the next meeting and action item deadlines.	

Annex 5: Case Management Standard Operating Procedures

CASE MANAGEMENT STANDARD OPERATING PROCEDURE

1. Context, purpose and scope of these SOPs

I. Context: Gaps and Challenges in Improving Urban Refugees Self- Reliance

According to the estimates of the United Nations High Commissioner for Refugees (UNHCR), more than half of all refugees now live in cities. Often settling within the congested, competitive and contested spaces of the urban poor, the ability of refugees to access safety and protection, shelter, livelihoods, health care and education depends on broader networks and relationships.

In 2012, Church World Service (CWS) conducted a three-country study that sought to identify new opportunities for assisting urban refugees in ways that build on the relationships they establish with host communities. Drawing on more than 1,200 survey responses from urban refugee households, CWS found that urban refugees' lives do tend to improve over time, and that these improvements are generally associated with more frequent and positive interactions between refugees and their hosts. The study affirmed that urban refugees are actively defining their futures in diverse ways and have various means to shape these paths, including by investing in relationships in the urban setting[31].

The CWS study found that urban refugees are largely marginalized from the formal urban economy - they tend to generate their livelihoods within rather narrowly defined sectors of the urban economy and are often limited to activities within the informal economy. This is reinforced, to some degree, by humanitarian interventions that promote refugee activities in the informal economy. Formal employment or formal contractual activities are generally not emphasized, even in locations where urban refugees have the right to work or establish businesses. Rather than promoting access to employment by refugees, urban refugee livelihood initiatives tend to promote small-scale, relatively informal economic activity, e.g., through microfinance or micro-enterprise development activities. In some instances such initiatives have produced remarkable successes, but many also fail or remain marginal and essentially informal. Those refugees that have jobs tend to be in highly insecure and poorly paid sectors, which are also largely outside of the formal economy. The refugee-host relations that develop within these rather constrained arrangements are more likely to be exploitative or disadvantageous towards refugees.

By contrast, where CWS identified urban refugee participation in formal employment or formal business activities, these examples appeared to contribute towards strengthening refugee-host relations as well as refugee self-reliance. In terms of creating conditions for durable local integration (whether in formal or de facto terms), this suggests that employment carries significance beyond just the level of income that it produces. Engagement in the formal economy propels refugees into a new field of social relations organized around work and enables refugees to develop social and economic networks that reinforce positive relationships with their hosts in other arenas.

In its Global Strategy Livelihoods: 2014-2018, UNHCR notes the importance of refugees' rights to employment and to market goods and services, both for increasing self-reliance and for strengthening relations with hosts. The strategy states that "refugees working in the formal sector or with minimal legal restrictions may also increase the stability and safety of communities," including through decreasing negative coping strategies by refugees.[32] The UNHCR strategy includes increasing refugees' access to

[31] Church World Service, Accessing Services in the City: The Significance of Urban Refugee-Host Relations in Cameroon, Indonesia and Pakistan, February 2013, www.cwsglobal.org/resources/pdfs/urbanrefugeefulfreport_final4-8

[32] UNHCR, Global Strategy for Livelihoods: A UNHCR Strategy 2014-2018, pp. 19-20. See: http://www.unhcr.org/530f107b6.pdf

information about employment rights and legal obligations, job counseling, and other information and services that lead to employment and greater market access; as well as increasing information to employers and other local stakeholders on potential contributions of refugees to local businesses and the local economy.[33]

II. **Purpose**

The purpose of these SOPs is to provide an insight to project officers across the three urban locations where the urban refugee self- reliance pilot project will be implemented. The SOPs present key procedures and processes that project officers must apply for the uniform implementation of the project with an intention of attaining similar results in all project locations and for consistent performance.

III. **Scope**

These SOPs will be applicable to case management activities conducted by the project officers for five months in all the urban locations where the urban refugee self-reliance project will be implemented. These SOPs will therefore be adopted by the project officers in the three urban locations including Tanzania (Dar es Salaam), Rwanda (Kigali) and South Africa (Pretoria/Johannesburg). The SOPs will focus on all case management activities that will be conducted by the project officers in their respective locations, and therefore these SOP will explain processes and measures to be taken when conducting the key case management activities in urban locations which include:

A. Conducting one on one meetings with the participants
B. Guidance on approaching prospective employers
C. Accompanying participants for interviews with prospective employers and/or Application for work permits and applicable licenses.
D. Providing referrals or identifying strategies to address other needs especially obstacles that prevent employment.
E. Conducting worksite visits to observe working conditions and Facilitation of dispute resolution as needed.

Case Management activities will be conducted to both the urban refugees (from the experiment group) and 10 local participants in all the three locations.
These SOPs do not apply to refugees from the Control group since they will not undergo intensive case management.

2. Intensive Case Management (Task Description)

Case management will be conducted by the project officers in Tanzania, Rwanda and South Africa. The Case management activities outlined above will be routine case management activities to be conducted by the project officers for a period of five months as per the project timeline. Project officers are advised to identify any other activities depending on the location specific circumstances that can be of more impact to enhance the urban refugee employability.
The procedure and processes in case management activities are as here below:

A. Conducting one-on-one meetings with participants

The project officer will conduct one on one meeting with both the refugee and local community participants.

[33] 4UNHCR, Global Strategy for Livelihoods: A UNHCR Strategy 2014-2018, p. 21. See http://www.unhcr.org/530f107b6.pdf.

- The Project Officer will have three (3) hours a month for each participant selected for case management which totals 75 hours a month for all project beneficiaries both refugees and local community participants.
- The total beneficiaries for case management will be 15 participants assigned to the Case management group (experiment group) and 10 local community participants.
- Total beneficiaries reached 25 each month from both the refugee and local community participants.
- The case management assistant should be able to assist the project officer in scheduling of one on one meetings with the project participants.
- Meetings will preferably be conducted in the field locations, say, places of business, work or placement locations etc for practical purposes.
- Project officers should not encourage beneficiaries to pop up in the office for these meetings unless its required to do so.

The one-on-one meetings are key and will present an opportunity to the Project Officer to monitor and assess progress and identify value added by intensive case management activity. To capture this information and progress effectively the project officers will adopt the use of the "standard case notes form" to be filled and completed on each meeting with the case management beneficiaries across all the project locations. The standard case note form is included as an Appendix "A" and forms part of these SOPs.

The standard case note will as much as possible capture the following key information:

- Name of participant
- Date of meeting and mode of communication (e.g., face-to-face or telephone)
- Main objectives of meeting (Project officer should identify before the meeting)
- Note any new developments since the previous month's meeting. For example:
  - → Participant had two job interviews
  - → Participant became employed
  - → Participant lost employment
  - → Participant has improved relationship with his/her co-workers, employers etc.
- Brief summary of meeting activities. For example:
  - → Reviewed and revised CV
  - → Discussed job search strategy and identified two potential employers
  - → Practiced for job interview
  - → Reviewed and worked together to complete business permit application
  - → Reviewed household budget / other financial literacy activities
  - → Discussed adapting to workplace culture and/or managing workplace challenges (e.g., for participants who become employed)
  - → Followed-up on previous referral to English language course etc
- Identify any challenges that the client is facing in becoming self-reliant, e.g.: language barriers, child care, transportation, physical security, purchasing uniform or work equipment, etc. Make note of any new referrals that are made.
- Identify action items for (a) participant and (b) Project officer. These should build on participants' strengths, and address challenges that participants face. (Ideally, both parties will sign or initial these, to document their commitments.)

B. Guidance on approaching prospective employers

Throughout the five months period, Project Officers are required to creatively assist both the 15 urban refugees and 10 local community participants to develop tailored strategies for pursuing employment or contract work. To this end the project officers will assist the participants as follows:

- Do assessment and identify possible jobs and employers who are ready to employ qualified refugees or local community participants beneficiary to the project.
- Assist refugees and local community participants to prepare their resumes and shape their confidence as they meet with employers during job search or during interviews.

C. Accompanying participants for interviews with prospective employers and/or Application for work permits and applicable licenses(where applicable).

Depending on the circumstances and uniqueness of a particular location the project officers will accompany project participants for interviews with prospective employers and will monitor progress of the respective participant. Again, one of the key issues that faces urban refugees is lack of work permits that would allow them to legally access formal employment and business opportunities.

The project officers in the three urban locations will assist urban refugee participants to secure work permits. To this end the project officers will do the following:

- Explore the legal framework relevant for refugee work permits and be conversant with the processes and procedures of acquiring work permits specific to the country where the project is in implementation.
- Will assist refugees to prepare application documents required for the work permit.
- Will prepare the checklist of requisite documents from the refugees to be shared with refugees in need of work permits.
- Will accompany refugees (where applicable) to Government offices to apply for work permits and business licenses.
- Will prepare a checklist of documents needed to apply for business licenses
- Will regularly liaise with the relevant government departments' officials for purposes of preparing positive environment for provision of work permits to urban refugees and licenses to both refugees and local community participants for those pursuing business opportunities.

It should be noted that some location specific legislation may allow refugees to access employment without having to apply for the work permit. If this is so the project officer will not be required to do process for the work permit application. Project officers must be keen on this and explore the local legal framework to ensure they understand if the work permit is required for urban refugees to work.

D. Providing referrals or identifying strategies to address other needs especially obstacles that prevent employment

This pilot project intends to address all issues that inhibit urban refugee and local community participants to fully access formal employment or engagement in formal business. Because of their refugee status and their conditions as refugees, many of them have no access to social services that in turn impair their ability to be efficient as employees or business men and women. This project seeks to address this shortcoming by trying to minimize these shortcomings and enhance the refugees and local community capacities. To achieve this, the project officer will:

- Work closely with both the refugee and local community participants and identify the shortcomings that impair their ability as better employees or business men and women.
- Identify and make a checklist of all service providers key to providing social services such as medical support, psycho- social support etc to both refugees and local community people and establish connections as well as exploring possibilities on working together to enable them accept referrals for our beneficiaries in this project.
- Do outreach to relevant service providers and introduce our project to them.
- Adopt referral tools that will be used to refer our cases to referral partners and organization that provide services.
- Work with our beneficiaries and prepare them for referral services especially psycho social services. The project officers must ascertain the beneficiary's readiness to accept and attend these services.

E. Conducting worksite visits to observe working conditions and Facilitation of dispute resolution as needed.

The project officers will have the responsibilities to monitor project participants' progress to measure their improvement in employability skills. The project officers will do worksite visits to our beneficiaries' places of work and other relevant work sites where our participants can learn key work place norms and etiquettes for improving their employability. During these visits the project officers will focus on monitoring improvement in:

- Reliability with work hours and good work place stewardship,,
- Interpersonal skills that are needed for a particular job.
- Compliance of participants to local labor laws and practices

To have access to the worksites the project officers will liaise with the relevant officials and share the objectives of this project to ensure that there are no surprises that could inhibit access at the participants' work place.

While at the work site the project officers will:

- Make sure they document all changes and improvement that are observed or reported at the work sites by the project participants.
- Fill the site visit logs
- Make sure they document workplace observation notes (standard case note forms). Here the standard case note forms appended as Annex "A" refers.
- Enquire about any available disputes with our participants and offer to solve the disputes where applicable.
- Fill relevant data collection tools to be shared by the project Coordinator to document the worksite progress.

Accompanying Documents (Annexes)

- Standard Case Note Form (Annex "A")
- Prescriptive Revised Budget (Annex B)
- Revised Timeline (C)
- Project Case Management activity timeline and Processes Description (Annex D)
- Case File Contents(Annex E)

Annex 6: Midterm Case Management Evaluation Questions

MIDTERM CASE MANAGEMENT EVALUATION.

Introduction.

This tool is meant for midterm case management evaluation across all the project locations for our assessment in terms of implementation of the Pilot project activities. With this tool we will be able to evaluate our selves based on case management indicators found under objective 1 of the Project Proposal to determine if we are on track. This evaluation will also give us the opportunity to devise our mechanism and adjust accordingly for purposes of getting back on track if we are not.
This evaluation is as per our project time which indicated that we are supposed to do "Midterm Case Management Evaluation" from the 6 to 8 month.

Case Management indicators are found in Objective 1 of the proposal from indicators 1A -1M and therefore our evaluation will base on these indicators in the chart below:

Objective 1: Increase the skills and knowledge needed for 90 urban refugees and 30 vulnerable host country citizens in three urban locations to access local employment and/or business markets.		
Indicator	**Type**	**Means of Verification**
A. Training modules on seeking urban employment and business opportunities are developed; and adapted in the three sites to reflect local workplace norms, employment regulations and identifiable job opportunities.	Input	Workshop training materials Workshop facilitator training-of-trainer notes
B. Three initial employment orientation workshops are conducted, with 30 refugees in each of three pilot locations, for a total of 90 participants.	Output	Workshop reports
C. At least 90 percent of workshop participants increase their scores by at least 10 percent, in comparing workshop pre- and post-tests tests of knowledge related to the 10 workshop training themes.	Outcome	Workshop pre- and post-tests Workshop reports
D. 15 urban refugees (selected from among the 30 workshop participants) and 10 host country citizens in each of three locations receive at least three hours of case management support per month for five months.	Input	Referral forms Case notes Participant interviews
E. All 75 case management participants (45 refugees and 30 host country citizens) develop employment or business development plans.	Output	Case management SOPs Case notes Participant interviews
F. At least 80 percent of case management participants find employment or engage in new	Outcome	Baseline and final livelihood surveys (self-reporting of

contractual or business activities, by the completion of the case management period.		household consumption and household income sources) Referral forms Case notes Participant interviews
G. At least 70 percent of case management participants remain employed or engaged in contractual business activities, six and 12 months past the completion of the case management period.	Outcome	*Pending- may include:* Participant interviews Follow-up communication with referring agencies Extended livelihood surveys at 6- and 12-month marks past project completion[34]
H. At least 80 percent of case management participants increase their average number of working hours per week, by at least 25 percent, by the completion of the case management period.	Outcome	Baseline and final livelihood surveys Case notes Participant interviews
I. At least 80 percent of case management participants report an increase of at least 25 percent in the percentage of household expenses that is supported by earned income, by the completion of the case management period.	Outcome	Baseline and final livelihood surveys Case notes Participant interviews
J. All self-employed case management participants can accurately describe the procedures for receiving permits to conduct business, by the completion of the case management period.	Outcome	Baseline and final livelihood surveys Case notes Participant interviews
K. At least 75 percent of case management participants who apply for business permits receive permits by the end of the project.	Outcome	Baseline and final livelihood surveys Case notes Participant interviews
L. At least 80 percent of case management participants report that this support increased their ability to find employment and/or perform in their jobs.	Outcome	Participant interviews
M. At least 90 percent of workplace disputes reported by case management participants were peacefully resolved, either by participants drawing on skills gained in project activities or through actions by the CWS project officer.	Outcome	Case notes Workplace observations Participant interviews

Questions & Indicators

Indicator:

A. Training modules on seeking urban employment and business opportunities are developed; and adapted in the three sites to reflect local workplace norms, employment regulations and identifiable job opportunities

Questions:

1. Were the training modules on seeking urban employment and business opportunities developed and adapted in the three sites?
2. If not, please give reasons why this has not been accomplished.
3. If Yes, Do we have a final version that can be shared externally?

Indicator:

B. Three initial employment orientation workshops are conducted, with 30 refugees in each of three pilot locations, for a total of 90 participants.

Questions:

1. Were the initial employment orientation workshops conducted?
2. If yes were workshop reports prepared and shared? If not please give reasons and/or share accordingly.
3. What are the lessons learned from the participants' feedback?
4. Was the feedback adapted by project officers and incorporated during their case management activities?

Indicator:

C. At least 90 percent of workshop participants increase their scores by at least 10 percent, in comparing workshop pre- and post-tests tests of knowledge related to the 10 workshop training themes.

Questions:

1. Have we compared workshop pre- and post-tests to determine the scores of participants?
2. Has 90 percent of workshop participants increased their scores by at least 10 percent?
3. If not, please give reasons for this variance.

Indicator:

D. 15 urban refugees (selected from among the 30 workshop participants) and 10 host country citizens in each of three locations receive at least three hours of case management support per month for five months.

Questions:

1. Have project officers ensured case management participants both refugees and local community participants receive at least 3 hours a month for case management?
2. How do project officers track these hours? Please share any practical tool used to track these hours?
3. Have the project officers employed the Case Management SOP to prepare Case Notes for each meeting with the program participant? Are the client's case files reflecting this?
4. Are there any referrals to other organizations providing services prepared by the Project Officers

Indicator:

E. All 75 case management participants (45 refugees and 30 host country citizens) develop employment or business development plans.

Questions:

1. How many case management participants pursue employment opportunities and how many pursue business opportunities?
2. Has every case management participant developed individual action plan including preparing employment and/or business plans? Are these businesses plan in each client's file in case of audit?
3. Have project officers successfully commenced implementation of the client's plans shared to improve their employability?

Indicator:
F. At least 80 percent of case management participants find employment or engage in new contractual or business activities, by the completion of the case management period.

Questions:
1. How many participants have we been able assisted to access employment opportunities so far? Please clarify.
2. How many participants have we assisted to access business opportunities? How?
3. With the current trend of our assistance shall we be able to reach the 80 percent requirement of case management access to business and employment opportunities?
4. With the remaining time what can we do to change the trend and meet the requirement?

Indicator:
G. At least 70 percent of case management participants remain employed or engaged in contractual business activities, six and 12 months past the completion of the case management period.

Questions:
1. With the case management initiative we are conducting now, are there indications of sustainability of the participants to remain employed or remain engaged in employment or contractual business activities six and 12 months after the completion of the case management period?
2. How do project officers ensure this in the way they conduct case management?
3. Have we set a mechanism to follow up on progress of the case management participants after the completion of the case management period?

Indicator:
H. At least 80 percent of case management participants increase their average number of working hours per week, by at least 25 percent, by the completion of the case management period.

Questions:
1. Do we have record of increase of number of working hours by the case management participants due to our intensive case management?
2. Can we quantify this increase in terms of percentage of increase as compared to their responses in the baseline survey? What percentage increase can we report now?
3. With the current trend, shall we be able to record at least 25 percent increase of at least 80 percent of the case management participants by the completion of the case management period?

Indicator:
I. At least 80 percent of case management participants report an increase of at least 25 percent in the percentage of household expenses that is supported by earned income, by the completion of the case management period.

Questions:

1. Are there reports of increase of household expenses that are supported by earned income since commencement of case management activity? What is the percentage of this increase?
2. With the trend, shall we be able to report increase by at least 25 of the participants by the completion of the project?
3. What can we do in our case management activity to ensure this is met if possible?

Indicator:
J. All self-employed case management participants can accurately describe the procedures for receiving permits to conduct business, by the completion of the case management period.

Questions:

1. Are case management participants aware of the procedures of receiving permits to conduct business and/or any other work permits if applicable?
2. Have project officers used case management sessions to train the case management participants on procedures to secure permits
3. Can the case management participants describe the procedures for receiving permits to conduct business and/or access employment opportunities?

Indicator:
K. At least 75 percent of case management participants who apply for business permits receive permits by the end of the project.

Questions:

1. How many case management participants have we assisted to apply for business permits so? If no, why?
2. Have we encouraged participants engaging in business to apply for business permits?

Indicator:
L. At least 80 percent of case management participants report that this support increased their ability to find employment and/or perform in their jobs.

Questions:

1. Are there any reports and feedbacks from case management participants on increase of their ability to find employment and /or perform in their jobs?
2. What percentage of this increase?
3. Do we have a mechanism to record this feedback now before final evaluation of all participants?

Indicator:
M. At least 90 percent of workplace disputes reported by case management participants were peacefully resolved, either by participants drawing on skills gained in project activities or through actions by the CWS project officer.

Questions:

1. Are there disputes reported by the participants that have been resolved by either the participants themselves drawing on skills gained from case management activities? What percentage now?
2. Do project Officers conduct work place observations for participants who are employed? If not why? If yes, is this activity recorded in the case notes

Annex 7: Midterm Case Employer Outreach Evaluation Questions

Midterm Employer Outreach Evaluation.

Since employment is cardinal to our pilot project we need to evaluate ourselves to confirm if we are on track with employer outreach activities and targets, so that we regroup and devise mechanisms for adjustments as needed to get back on track.
Our project timeline indicates that we are supposed to do midterm employer outreach evaluation on the 5 and 6 Month since commencement of implementation of the project.
We are going to do our evaluation based on indicators 2A -2D from our project proposal as bellow:

Objective 2: Increase the number of host community businesses in three urban locations that make employment opportunities and/or contractual business opportunities available to refugees		
Indicator	**Type**	**Means of Verification**
A. Develop initial employer outreach materials and talking points for general use in all three pilot sites.	Input	Employer outreach materials
B. Introduce project services, and the potential benefits of hiring individual participating in case management activities, to at least 60 host community businesses in each location over the course of the project.	Input	Employer outreach logs
C. At least five key skills or qualities of strong employees are identified through outreach to employers, and are used to adapt or revise outreach and training materials.	Output	Employer outreach logs
D. Develop at least one practical tool (e.g., checklist for hiring refugees, tips on managing disputes among employees) per location that assists employers to strengthen relations with refugee employees.	Output	Employer outreach materials Employer outreach logs

Questions & Indicators
Indicator:
Develop initial employer outreach materials and talking points for general use in all three pilot sites.

Questions:
1. What materials have you used, either (a) materials that CWS has provided, or (b) materials that you have developed or adapted for your site?
2. Have you shared these outreach materials to employers during your outreach activities

3. Have you developed any employer outreach talking points to be used during outreach in your location? How has these talking points assisted in making the project clearer and convincing to the employers?

Indicator:
Introduce project services and the potential benefits of hiring individual participating in case management activities, to at least 60 host community businesses in each location over the course of the project.

Questions:
1. How many host community businesses have you introduced project services so far since you commenced outreach activities.
2. Has this outreach effort to host country business resulted to any positive responses by these employers and/or businesses in employing or contracting with refugees, how? If not why?
3. What is your strategy forward?

Indicator:
At least five key skills or qualities of strong employees are identified through outreach to employers, and are used to adapt or revise outreach and training materials.

Questions:
1. What are five skills or qualities that have been identified by employers; and
2. How are you using this info from employers in the talking points to new employers?
3. How do you use the feedback from employers to improve skills of the participants in your case management activities?

Indicator:
Develop at least one practical tool (e.g., checklist for hiring refugees, tips on managing disputes among employees) per location that assists employers to strengthen relations with refugee employees.

Questions:
1. Is the checklist for hiring refugees prepared and shared with employers.
2. Have you prepared tips on managing disputes among employees and was this shared with employers.
3. Have these materials have improved the relationship between employers and refugees. How do you know about this?

NB for POs. Please respond in-text accordingly. We will discuss this in our conference call.

Annex 8: Participant feedback tool for Urban Self-Reliance pilot

Most Significant Change: Participant feedback on Urban Self-Reliance pilot

Date _____

Participant Name _____

Location _____

Background

CWS would like to collect stories of significant changes that may have resulted from our program. This will help us to improve what we are doing, and to ensure we are accountable to program participants and to our project funders.

The stories and information collected from these interviews will be used for a number of purposes including:

- Identify achievements made by Participants
- Understand how CWS might have contributed to these achievements
- Identify areas for future improvement
- Acknowledge and publicize what has already been achieved.

Confidentiality

We may like to use your story in reporting on program achievements to our funders, or sharing with other organizations who are conducting similar program activities.

Do you, the storyteller:

1. Consent to CWS using your story for publication or other public dissemination?
Yes ☐ No ☐
2. If you responded Yes to question 1, may we use your name or would you prefer that your story be anonymous?
Use my name ☐ Keep anonymous ☐

1. How did you find out about the CWS program?

2. From your point of view, what has been the most significant change for you or your family, from your participation in the program?

3. Why do you think this change has been significant?

4. How has CWS contributed to this change?

5. What is one thing about the CWS program that should be improved?

6. What is one thing about the CWS program that is very good, and should be continued?