**Research Project Application**

**Section 1 – Key Details**

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| Full Title Of Research Project: | Needs and Experiences of Female Foreign National Prisoners in England and Wales – a Case Study of Female Eastern European Prisoners | | |
| Date Of Application: | 30/01/2017 |  | |
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| Report Completion Date: | 30/10/2018 |  | |

**Section 2 – Aims & Objectives**

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| Brief description of research  (Max 300 words using language easily understood by a lay person): | In a little over a decade, the number of female foreign prisoners has doubled, rising from 5% in 2005 to 11% of all women currently housed in the female estate in England and Wales (MoJ, 2016)\*, today also accounting for 12% of new receptions into custody. Additionally, the last 5 years saw this population undergo a significant demographic change and diversification. While since 2009 the previously predominant proportion of women from former Commonwealth countries such as Nigeria and Jamaica has been systematically decreasing, recent sources including the MoJ (2016) and HMIP (2015) have noted marked increases in female prisoners of European origin, particularly those from A8 and A2 accession countries to the European Union and wider Eastern Europe - today 2 out of every 5 foreign women in the female estate were born in Eastern Europe (hereafter EE). Crucially, this has also followed a pattern manifest throughout the entire prison system, which between 2009 and 2016 saw its foreign EE prisoner population rise by 43% (MoJ, 2016). A number of implications terms management of female foreign nationals has also been noted. While until recently the needs of this group ran largely parallel to those of female British BAME prisoners, the increasing female EE prison population is more likely to experience language barriers; more likely to be isolated from other prisoners and staff; less likely to have good rehabilitation outcomes; more likely to have worked in sex trade; and less likely to understand the deportation process.  Yet, this is also a population about which very little is known beyond large-scale statistical data tracking its growth and its possible implications. This study seeks to add to this evidence base. Drawing on semi-structured interviews with 36 Eastern European women across 3 establishments, and 15 staff members who work with them, this study aims to provide a detailed, multi-perspectival case study of the needs and experiences of female EE prisoners in England and Wales. This will be explored in 5 key areas: background, relationships with staff, relations with other prisoners, rehabilitation outcomes, and engagement with deportation process. By focusing on these aspects, the research will help inform targeted and cost-effective use of NOMS resources in terms of adequate service provision to female foreign national prisoners (taking into the account the growth in the female EE population), as well as contributing to the understanding of links between gender, nationality and imprisonment.  \*A list of all works referred to throughout this document is attached. |
| Aim of the research | This study’s broad research aim is to provide a detailed, multi-perspectival analysis of needs, experiences (and to what extent they are met in the prison system) of female Eastern European prisoners in the female prison estate in England and Wales. This aim will be achieved by addressing the following underlying research objectives:  - Examination of how female EE prisoners cope with/experience imprisonment in England and Wales day-to-day;  - Examination of how female EE prisoners are perceived, supported and managed by the prison staff who work with them.  These will be explored within 5 areas of particular relevance:  • Background  • Relationships with staff  • Relationships with other prisoners  • Access to rehabilitative services  • Deportation process (where applicable)  The above objectives will further contribute to the fulfilment of a broader, holistic contribution to the advancement of strategies for establishing positive, safe, decent and secure environments for this sub-section of female prison population, particularly adequate and cost-effective use of resources allocated to sentence management and service provision which adequately respond to the needs of this population; as well as assisting the Prison Service in delivering the sentences and court orders effectively (deportation orders, where appropriate) in relation to the EE sub-section of female foreign national prison population. |
| What are the primary research questions (and/or hypotheses)? | The study will aim to answer the following research questions:  - What are the needs of female Eastern European prisoners and how are they experienced by the women?  - To what extent are those experiences and arising out of them needs recognised and addressed within the prison system?  -How can these needs be best addressed?  Supporting questions:  What are the needs experienced by female Eastern European prisoners? How are they articulated by both, the women and staff working with them? How do they manifest themselves in every-day prison life, i.e. relationships with staff and other prisoners, outcomes in terms of access to rehabilitative services, and engagement with the removal proceedings (where appropriate)? To what extent are they dictated by the female Eastern European prisoners’ socio-cultural backgrounds? |
| What are the potential benefits of the research to HMPPS policy/business? | Links to the NOMS Business Priorities (2014/15) cut across two areas of interest, specifically:  1. Delivery of Core Probation, Prison and Corporate Services under the Transforming Rehabilitation Programme – increasing the effectiveness of operational capacity and delivering improved regimes at less cost.  This research has the potential to inform and maximise more adequate and targeted use of resources allocated to diversity departments and to supporting effective sentence management of foreign national women (A8 and A2 and East European women particularly) taking into account the changing nature of the female foreign national population.  2. Continuous Improvement, Innovation and Partnership Priorities- implementing the recommendations of the Women’s Custodial Review 2013 as part of a new benchmark for women’s prisons.  This relates to Recommendation 17 of the Review: “to develop a hub at Peterborough for foreign national women who are likely to be deported, […] to allow for a more effective decision making while providing earlier clarity for these women” (p. 6). By conducting an in-depth needs analysis of the most numerous subset of female foreign national population, this research can offer data to support effective implementation and management of the hub, especially where the removal of EE women is concerned.  In addition, this research has the potential to support NOMS commitment to provision of ‘due regard to the need to advance equality of opportunity, and to foster good relations’ under Public Sector Equality Duty and The Equality Act of 2010, as spelt out in the ‘Equality’ section of NOMS Business Plan 2014-2015 (p. 32).  Specifically, this may involve provision of contributory/complimentary data regarding the outcomes for offenders within the specific ‘protected characteristic’ cohorts in relation to ‘gender’ and ‘race/nationality’, and to help employ a proactive set of measures to promote inclusive prison regimes and staff organisational cultures (NOMS Annual Report and Accounts 2013-14; 2016).  The research has further potential to support future NOMS business priorities in line with 1 overarching commissioning intention (NOMS Commissioning Intentions from 2014):  1. ‘Ensuring the service delivery is responsive to individual needs and characteristics to maximise outcomes’.  Findings provided to NOMS and to individual participating establishments carry significant potential to contribute to effective identification, assessment and monitoring of female EE prisoners’ needs and characteristics across the protected characteristics of gender and race/nationality, including the development of systems to ensure that individual needs are assessed appropriately (e.g. language and resettlement needs), with the recognition that the nature and needs of the population may change over time (p. 34).  Potential operationalization of the research findings could include:  - improvements to the training of Personal Officers in the female estate, particularly those managing EE women in establishments with a high proportion of foreign prisoners;  - appropriate training of EE Listeners;  - Improvements to the organisation of diversity/foreign national forums/councils; and of diversity resources such as targeted one to one support offered to female EE prisoners;  - Where appropriate, greater emphasis on employment of staff who reflect the characteristics of the population (e.g. prison officers fluent in particular languages such as Polish or Romanian), improvements to the training of diversity and foreign national officers providing them with insight about the predominant needs and characteristics of EE women. |
| What are the potential benefits of the research to academic knowledge in the field of study? | This study can offer the following contributions to the field of criminology and prison sociology:  On a conceptual level, it offers further insight into how markers of identity such as gender and nationality shape one’s experiences of incarceration, and how this relates to the nascent body of research exploring links between gender, race and nationality in prison (e.g. Bosworth, 2012; Kaufman, 2012, 2015).  In terms of contribution to the field of criminological theory, this research can help us learn more about and clarify theoretical linkages between gender, immigration and the criminal justice process.  Finally, this research will link policy and practice by offering a detailed, theoretically and empirically informed insight into the experiences of one, increasingly significant but forgotten female inmate group with a shared cultural identity, and by exploring how that shared identity impacts on their experiences of imprisonment. |
| What previous research has been conducted in this area? | First systematic data regarding female foreign nationals in the UK prison system emerged within the HMIP Thematic Reviews of the needs of incarcerated foreign nationals (HMIP, 2006; 2007). These reports, although not squarely focused on female foreign national prisoners (hereafter FFNPs), precipitated an emergence of a small number of statistical, governmental and third sector accounts (e.g. Corston, 2007; Prison Reform Trust 2012; Gelsthorpe and Hales, 2012) which have recognised foreign women as a sub-group with specific experiences, characteristics and needs.  Collectively, these accounts have identified FFNPs as women who tend to serve their ‘first and only’ prison sentences, with Prison Reform Trust (2012) describing the likelihood and rates of re-offending among them as ‘significantly lower’, certainly compared to the British counterparts (51%) (MoJ, 2012). Both, Women and Young Peoples Group (W&YPG) (2007) and the Corston Report (2007) emphasized ‘low rate of violent offences as particularly noteworthy’, with majority of FFNPs serving terms for drug importation (47%) – an offence which continues to attract long custodial penalties on average between five and eight years for a first offence. Couching these characteristics in a framework of ‘need’ and ‘service provision’, HMIP (2006; 2007) particularly reported that the tenor of FFNPs’ prison sentences was to a significant extent dictated by concerns about language and culture (59%), family links (71%), and immigration status (63%). PRT (2012) further suggested that the two latter ‘needs’ are often related, as complications in relation to immigration status and possible transfer into immigration detention delay return to family.  These statistics, as the Corston Report highlighted (2007), contribute to an image of a female penal estate in which an increasing number of culturally and legally vulnerable women serve some of the longest prison terms (ibid.; 2007), however their needs have lacked systematic empirical analysis, despite calls for a coordinated approach to management of foreign nationals in the female estate.  However, in casting a closer look at the demographic composition of the FFNP population, several more recent reports (e.g. Kaufman, 2012; Bosworth et al, 2015) have highlighted that the female foreign nationals ‘cannot be lumped into one homogenous group’, stressing that their needs and outcomes will be different depending on socio-cultural characteristics, offending histories and criminogenic needs. According to the MoJ (2016) data, today’s female foreign national population hails from as many as 161 countries, reflecting a significant process of diversification of a population which previously predominantly came from former British Commonwealth states, notably Jamaica or Nigeria (Corston, 2007). The most pronounced pattern, as highlighted by the Prison Reform Trust (2012), Ministry of Justice (MoJ) and HMIP has been the significant influx of women of Eastern European origin. Data collated by Hibiscus Initiatives\* found that for example 106 new cases opened in the second half of 2012 alone were on women from Bulgaria, and there was a 30% increase in cases of women from A8 and A2 states referred to Hibiscus for guidance and support.  Correlating with this increase has been a reported shift in the balance of offence categories and criminogenic needs profile of this group. Most notably, PRT (2012) reported a sharp increase of foreign women charged with acquisitive offences such as theft or fraud and deception, especially in immigration-related paperwork. PRT (2012) correlated this to the increase in female EE prisoners, a significant number of whom have been charged with these offences. Hibiscus database further indicates that a high number of these women are likely to have been brought in by smugglers and have been subsequently forced into sex work. Research conducted by the Association of Chief Police Officers (ACPO) in 2010 concluded that approx. 17,000 of the estimated 30,000 women involved in off-street prostitution in England and Wales are foreign, 50% of which come from Eastern Europe.  Yet, empirical research investigating the experiences of Eastern European prisoners has been scarce (1 study), and has been conducted exclusively in the male estate, and has not taken into account the gendered dimensions. In her study of Polish prisoners in the Northern Irish prison system, Martynowicz (2016) found that Polish prisoners represent one of the most socially isolated groups within the system. This was often dictated by the language barrier and cultural divisions. Further, Martynowicz (2016) highlighted that the implications of language and culture related barriers were most acutely felt by those subject to removal proceedings (who served prison terms of 2 or more years, and thus in line with the UK Borders Act 2007 had no right to remain in the UK). Although Polish prisoners overwhelmingly complied with the deportation process, they had a very limited understanding of what it entailed, often seeking support and information from other Polish or EE prisoners.  This picture is corroborated by research conducted by Kaufman (2012) who examined the experiences of a broader group of foreign nationals across 5 establishments in England and Wales, confirming that prisoners from Eastern Europe are ‘most routinely forgotten’ (2012), certainly in comparison to those born or identified with the British Commonwealth, who often learned English in British colonial schools. This, concluded Kaufman (2012), situated them in a worse position to navigate prison life, from relationships with other prisoners, relationships with staff, through to access to services such as library, gym or education/training programmes, and removal proceedings.  \*Hibiscus Initiatives is a charitable organisation with an established presence within the female prison estate in the UK, providing support and guidance to foreign national women in the criminal justice system. |
| What are the main limitations of the research proposed? | This research will have 3 main limitations, chiefly of methodological nature:  1. Data not collected across the whole of the female estate in England and Wales– Data collected in this research will be collected across a sample of most pertinent/suitable institutions, based principally on the size of foreign national population housed within them. It must be therefore noted that:  i) the accounts provided by both, practitioners and prisoners in this study cannot be interpreted as being fully representative of all female EE prisoners and all practitioners working with them throughout the entire female estate in England and Wales;  ii) the findings and recommendations derived on the basis of this study may not be uniformly applicable to the whole female prison estate in England and Wales.  The significance of this limitation is however mediated by the fact that the size of foreign national population in the excluded establishments is very small, and establishments to which this study’s findings are most pertinent (those with high proportion of foreign national prisoners within the inmate population), are included in the study.  2. Quality of self-report data – The findings of the study will be based on interview data, grounded in subjective interpretations of the participants involved. This method is crucial to achieve the depth of data needed to adequately grasp the nature of the needs and experiences of female EE prisoners, and it thus represents the hallmark of any in-depth, case study needs analysis of a population. It must however be recognised at the same time that this makes the findings difficult to verify independently.  3. Potential language barrier – It must be clearly acknowledged that due to limited resources this study will require some participants to be interviewed in English – a language which is not their mother tongue. This may be constraining to some participants, and may therefore impact negatively on the quality/depth/richness of the interview data collected. However, as discussed before, this limitation will be limited by making sure, where possible, that participants can speak their own language during interviews, by making use of my own language skills (Polish) and selecting those individuals whose English language skills are at the level which allows them to communicate comfortably.  3 a) Inconsistencies in languages used during interviews – Efforts will be made to where possible use my own language skills (Polish) to achieve greater depth/richness of data by giving participants the opportunity to be interviewed in their mother tongue. It must be acknowledged however that this approach will not be possible to apply consistently across all nationalities interviewed, meaning that the depth/richness of gathered data may vary.  All above limitations will be acknowledged within the methodology chapter of the researcher’s PhD thesis and any associated publications, including the report provided to NOMS upon the completion of the project.  Where appropriate, the identified limitations will also be used to provide recommendations for future research which may be of benefit to NOMS/The Prison Service and to the wider academic field of prison research. These will be discussed within the conclusions chapter of the researcher’s PhD thesis as well as any associated publications, including the report provided to NOMS upon the completion of the project. |

**Section 3 – Proposed Methodology**

Methodologies to be used:

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| Literature Review: | No |
| Rapid evidence assessment/systematic review: | No |
| Action research: | No |
| Case studies: | Yes |
| Process evaluation: | No |
| Impact evaluation: | No |
| Economic evaluation: | No |
| Other: | No |
| Other Method Specified: |  |
| Please summarise your proposed design and methodology (including details on sampling and sample sizes) | Research Design  The fieldwork will be conducted solely by the lead researcher and is anticipated to take place between 30 April 2017 and 30 October 2017.  The research design is purposively qualitative, based on in-depth semi-structured interviews with a sample of EE women prisoners as well as prison staff working with them. This method will enable to capture the meanings and understandings participants attribute to their needs and experiences, which is the primary aim of the study. These are often culturally and socially bound and it is crucial for the research to flesh them out, if particular barriers and needs experienced by EE women are to be adequately understood and recognised. In-depth interviewing represents the most suitable method of achieving this aim and represents the hallmark of case study research (Magenta Book, p. 90).  It is anticipated that the interviews will be conducted on the 1-to-1 and voluntary basis, will last between 30 minutes to 1 hour each (depending on the constraints of the prison regime), will be audio-recorded (subject to approval in each site and participants’ consent) and transcribed (where appropriate translated) in full.  Sampling  The research aims to achieve the total 50 respondents, including 36 female EE prisoners, and 14 staff working with them across 3 establishments. The inclusion of both groups of participants will be crucial in terms of providing an 'in-depth understanding that is holistic, comprehensive and contextualised' - the central characteristic of case study research (Magenta Book, p. 85).  The prisoner sample size was determined to reflect the size of the overall female EE population. The research aims to recruit a total of 36 women across 3 establishments, representing 25% of the total female Eastern European inmate population. The number of respondents recruited within each establishment will further reflect the size of the foreign national population within each establishment (MoJ, 2016) and estimated proportion of Eastern European prisoners within this population (a third) (MoJ, 2016):  Establishment 1: 15 respondents  Establishment 2: 11 respondents  Establishment 3: 10 respondents  When it comes to the size of the staff sample, the study will aim to recruit a total of 14 respondents, across 3 establishments:  Establishment 1: 5 respondents  Establishment 2: 6 respondents  Establishment 3: 3 respondents.  Both groups of participants will be selected using purposive sampling, allowing for criteria-driven selection of prisoners and staff, based on their characteristics or experiences directly related to the research questions guiding the study. Some practitioners may also be identified through a snowballing technique – one based on recommendation from a previously interviewed staff member suggesting other individuals who fit the staff sampling criteria.  The criteria guiding the selection of the female EE sample are as follows:  - Housed within one of the selected establishments; on remand, sentenced or under immigration powers;  - Identified as a foreign national\*, with a country of origin as one of the A8 or A2 accession to the EU countries (the Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Slovakia, Slovenia, Bulgaria, Romania). This may also include countries outside of the EU, however represented within the female foreign national EE population in England Wales: Albania, Bosnia and Herzegovina, Ukraine, and Russia.  - Able to understand the contents of the Participant Information Sheet and Consent Form and able to participate in the interview conducted in English (further discussion of this in the Research Ethics section).  Prisoners identified as vulnerable, i.e. participating in Therapeutic Community, Psychologically Informed Planned Environments (PIPEs), diagnosed with serious mental health conditions (e.g. DSPD, ASPD) or identified by their Personal Officer as vulnerable at the time of research (e.g. experiencing depression, anxiety) will be excluded from the sample. This will also involve inmates identified as High or Exceptional Risk, and E List prisoners.  \*The definition of lack of British citizenship will follow one adopted by the Prison Service, i.e. “offender subject to custodial sentence who is not of British nationality” (PSI, 29/2014), as determined on the basis of a passport or national identity card or any document indicating place of birth and family name (PSO, 287/2008).  The criteria guiding the selection of prison staff sample are as follows:  - Front-line staff employed within the selected establishments;  - Working within a capacity which requires them to have frequent, regular, direct contact with female EE prisoners and female foreign national prisoners more broadly (this may include: Diversity Officers, Foreign National Officers, Wing Officers (e.g. at the foreign national wing at HMP Peterborough), ESOL teachers, Offender Managers involved in sentence management of women the above sampling criteria).  Prisoner sample  Respondents fitting the selection criteria will be identified in consultation with the nominated Point of Contact (PoC) for each site as specified in NOMS Research Guidance (AI 17/2014). The recruitment strategy will be subject to discussion with and approval of the Governor at each site. Subject to their approval, contact will be made with the Foreign National Liaison Officers (FNLO) who have an established presence in each selected prison.  Suitable individuals will be identified with the help of the FNLO(s) to ensure that vulnerable prisoners who cannot give informed consent are excluded from the study (e.g. participating in Therapeutic Community, Psychologically Informed Planned Environments (PIPEs), diagnosed with serious mental health conditions (e.g. DSPD, ASPD) or identified by their Personal Officer as vulnerable at the time of research (e.g. experiencing depression, anxiety)). Where it is deemed appropriate by the Research Committee or Governors, prisoners identified as High or Exceptional Risk will also be excluded at this stage.  Suitable individuals will be approached individually by the researcher, in agreement with relevant Wing/Personal Officers, and asked to consider participation, and will be provided with the Participant Information Sheet (attached, PIS 1; PIS 2). The subject and nature of the research will be explained to them in detail, including the need for a communicative level of spoken English. This information will be also provided to participants in a form of a flyer (attached). Where an individual requires that the contents of the PIS are read out to them (e.g. due to a limited level of literacy), the PIS will be read out to the individual in full and/or any unclear phrases/words explained. Where it is clear that the approached individual does not understand what is being explained and cannot engage in basic conversation, or she clearly indicates she is not interested in participating in the study, the communications with this individual will cease and they will not be included in the study. Each approached individual who expresses initial interest will be advised that should they so wish, they can take the PIS away with them to consider becoming involved, and approach the FNLO at a later time to organise the time and date of the interview. The interview will be subsequently arranged in agreement with the FNLO, and relevant Wing/Personal Officers informed. Interviews will be arranged taking into account the nature of the prison regime as well as the prisoners’ own commitments related to sentence planning and work/education engagements. Where a potential participant wishes to schedule the interview immediately after having become familiar with the PIS, suitable time and date will be confirmed. The interview will be subsequently organised in agreement with the FNLO, and appropriate Wing/Personal Officer.  In the event where the primary method of recruitment will not yield sufficient number of participants, participants will be approached in group contexts, which has been documented as an effective recruitment method in custodial settings. Specifically, this will involve liaising with ESOL teachers within educational departments and arranging for the research to be introduced to participants before or after an ESOL class. Most suitable class groups and times will be discussed in detail with the relevant education personnel. Interviews will those women who express interest in participation will be scheduled as detailed above.  As far as possible, interviews will be arranged to take place in settings which protect participants’ confidentiality and anonymity (e.g. interview rooms, offices). Where possible, interview rooms will be booked in advance at the time when the interview is scheduled, in agreement with FNLOs. To ensure transparency, Wing/Personal Officers will be informed about the place and approx. duration of the interview directly before it takes place. Where necessary, movement slips will also be organised with the FNLO on the day the interview is being organised. On the completion of the interview, relevant Wing/Personal Officers will be informed that the interview has been completed.  Staff sample  Suitable staff members fitting the selection criteria will be approached individually and asked whether they would like to take part in the study. This will, in the first instance, pertain to the FNLOs and Diversity Officers. Further staff members will be identified with the help of FNLOs and also approached individually. Each officer/practitioner approached will be provided with the Participant Information Sheet (attached, PIS 2) and will be informed of the nature and subject of the study.  Conditional on their initial consent, the time and place of the interview will be discussed, with particular emphasis upon arranging them to take place at a time which is I) most convenient for each practitioner, II) does not conflict with their ability to perform their duties. Where an individual indicates they are not interested in participating in the study, they will be thanked for their consideration and communication with them will cease.  Interviews will be arranged to take place in settings which protect participants’ confidentiality and anonymity (e.g. interview rooms, offices). Where possible, interview rooms will be booked in advance at the time when the interview is scheduled, in agreement with FNLOs and the staff participant in question.  Data collection instruments – interview guides  Interviews with both groups of participants will be organised around interview guides prepared for each group. This will enable the researcher to cover key specific areas of interest, while providing participants with the flexibility to explore them on their own terms, providing as much or as little information as they wish.  Both interview schedules (attached), have been designed to mirror and correspond with each other in terms of the segments of the interview as well as questions within the segments (e.g. III. Relationships with other prisoners). This will allow for specific aspects of the research questions to be addressed in a way which compares and contrasts the accounts of prisoners and staff which in turn will:  I) ensure cross case comparability and consistency of the findings in the analytical process, II) enable the researcher to gain a more holistic understanding of the problems surrounding female Eastern European prisoners.  Both interview schedules have been developed based on the review of the literature in the field of sociology of imprisonment and corresponding research on foreign national prisoners. Sections of both interview guides have been designed to reflect the 5 main themes transpiring through both bodies of literature. Both interview guides have been reviewed and approved by two academic experts in the field as well as the University of Surrey Ethics Committee. |
| Please describe the proposed methods of analysis: | The analytical approach will consist of simple thematic analysis in relation to both, prisoners and staff. Following full verbatim transcription of all interviews/reading and re-reading of hand-written notes taken during the interviews, a total of 5 overarching themes will be developed which will form the main findings of the study.  This approach will involve subjecting all interview data to 3 rigorous analytical stages to ensure the reliability and validity of the findings. Firstly, initial open codes (grouped passages in the transcripts) will be identified right from the beginning of data collection. These will be subsequently developed, tested and re-tested through axial coding (identifying patterns, e.g. the influence of socio-economic background on the removal-related needs) as new data comes in throughout the duration of the fieldwork. On conclusion of the data collection, overarching themes (broader generalisations) will be drawn out and examined in relation to the existing body of research on foreign national prisoners/female prisoners.  This process will be both deductive (steered by the research questions and original proposal) and inductive (based on the interviews themselves), and will take place with the assistance of NVivo, which is widely recognised as well suited to achieving the goals of thematic analysis. This method will also allow the researcher to compare and contrast the data gathered from staff and prisoners on particular aspects of the research problem, further increasing the depth and the comprehensiveness of the analysis.  Care will be taken to ensure that themes are identified ‘horizontally’, i.e. across all interviews, in order to capture findings which hold true across establishments as opposed to within individual establishments. This will help highlight wider contexts and explanatory frames which give rise to the experiences of prisoners and staff in specific establishments, rather than merely relying on individual cases (participants or establishments) as features of explanation in their own right. |
| What are the resource implications (e.g. anticipated demands on staff time, office requirements, demands on data providers etc.)? | Demand: Security vetting (where required)  Staff: Vetting Contact Point (VCP), security staff  Time: 1 hr x 3 sites: 3 hrs  Demand: Staff cooperation in facilitation of the research  Staff: Diversity staff and Foreign National Liaison Officers  Time: 30 mins - 1 hr per each visit  Establishment 1: approx. 15 visits x 30mins/1hr = 7.5 – 15 hrs  Establishment 2: approx. 15 visits x 30mins/1hr = 7.5 – 15 hrs  Establishment 3: approx. 20 visits x 30mins/1hr = 10 – 20 hrs  Total: approx. 28 hrs - 53 hrs.  Office requirements  Office space requirements associated with this research will be minimal, and will be limited to one-time access to a computer with a printer in each selected establishment, via which the Participant Information Sheets, Consent Forms and Debrief Sheets can be printed out on the soft paper, where required.  Data providers  The primary demand on data providers will involve time demands on participants associated with interviewing, as follows:  36 prisoner participants across 3 establishments, 30 mins – 1 hr each = 18 – 36 hrs.  14 staff participants across 3 establishments, 30 mins – 1 hr each = 7 – 14 hrs. |
| What are the main methodological and/or operational risks and how will these be mitigated? | This research has been fully risk assessed and has gained a full favourable opinion of the University of Surrey Ethics Committee (attached). The potential risks and mitigation strategies pertaining to this research are following:  Sensitivity Of The Subject  Although the study is not focused on a sensitive topic (e.g. bereavement, abuse, suicide etc.), nor does it aim to seek out specifically sensitive/upsetting information from participants, it must be acknowledged that discussing one’s experiences of incarceration may cause emotional distress to some participants. The strategies to mitigate this risk are as follows:  - All participants will be advised clearly and transparently of the subject matter and the voluntary nature of the research, as further specified in the section on Ethical Considerations,  - In agreement with the PoC and the FNLO vulnerable prisoners who cannot give informed consent will be excluded from the study (e.g. participating in Therapeutic Community, Psychologically Informed Planned Environments (PIPEs), diagnosed with serious mental health conditions (e.g. DSPD, ASPD) or those identified by their Personal Officer as vulnerable at the time of research (e.g. experiencing depression, anxiety)). Where it is deemed appropriate by the Research Committee or Governors, prisoners identified as High or Exceptional Risk will also be excluded at this stage.  - All information provided to potential participants during recruitment will be worded in a sensitive manner and will give them autonomy over their choice to participate. The topic guides have been designed in such a way as not to ask participants direct questions about potentially upsetting experiences and to allow participants to discuss difficult experiences on their own terms, if they wish to do so (e.g. ‘What does it mean to you to be foreign in this prison?').  - All participants will be provided with information about avenues of emotional support available in each prison and ways of accessing them. This information will be provided within the Information Sheets as well as Debrief Sheets provided to participants on the completion of the interviews (attached), including services such as the Listeners, the prison-based psychologist and telephone number to Samaritans, where appropriate). They will be also further advised that they can seek further detail about these services by contacting their Personal Officer or the Diversity staff.  - In instances where a participant becomes distressed during the interview, they will be advised that they can take a break or conclude the interview. Should a participant cease the interview, they will be reminded of the support services available in the establishment and returned to their cell. Relevant authorities (Personal Officer, Wing Officer) will be informed about the emotional state of the participant.  Participant and researcher safety  The following steps will be taken to ensure participant and researcher safety:  -Any direct interaction with (potential) participants will be preceded with appropriate staff (Wing/Personal Officers, FNLO(s), where appropriate) being informed. This will especially apply to prisoner participants;  - Each interview will follow a set procedure (as specified in the Research Protocol) which consists of a series of measures ensuring that the respondents are treated fairly and ethically;  - Prisoners identified as vulnerable or likely to pose risk to the researcher or others will be excluded from the study, in agreement with the PoCs, FNLOs, Wing/Personal Officers (as set out within the sampling criteria);  - The lead researcher has become fully familiar with documentation guiding prison safety and security, including: AI 17/2014 ‘Research Applications’, PSI 55/2011 ‘Management and Security of Keys and Locks’; AI 08/2016 ‘Information Risk Management Policy’, PSI 25/2014 ‘IT Security Policy’, AI 08/2015 ‘Fire Safety in Prison Establishments’, PSI 29/2015 ‘First Aid’, as well as the safety and security information provided within each establishment;  - The lead researcher will familiarise myself with safety procedures such as fire drills and evacuation procedures provided to her in each site. If an incident occurs in her vicinity, the Wing Officer or a member of staff in the immediate vicinity will be notified and the prison emergency procedure followed;  Finally, I will draw on my own experience of conducting detailed qualitative research in custodial settings which I developed during my tenure at HMP X, where I have successfully carried out extensive interviews with a wide variety of prisoners, including foreign nationals, prisoners with disabilities, and prisoners housed in the high security wing. I have been able to further develop my competencies related to research safety during my current work at X (third sector organisation), where I am responsible for co-coordinating clinical trial involving aggressive offenders diagnosed with Antisocial Personality Disorder, and working with Offender Managers in prisons and in the community, assessing the risk they pose to the research team as well as themselves. |

**Section 4 – Access to Establishments & Trusts**

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| Requires Access To Prisons: | Yes | Requires Access To Trusts: |  |
| Requires Access To YOIs: | No |  | |
| Youth Offending Teams/Secure Training Centres/Secure Children's Homes: | No |
| Requires Access To High Security: | Yes |
| List of Prisons To Be Accessed: |  | List of Trusts To Be Accessed: |  |
| Please state your reasons for choosing the selected establishments/trusts: | Section removed for data protection purposes | | |
| Have any establishments/trusts already been approached about this research? If so, provide details: | The research discussed briefly with Diversity staff at Establishment 3 | | |
| Please list any equipment which you are intending to use within the establishments/trusts: | Audio-recording device  A simple audio-recording device will be needed to record the interviews. I recognise however, that any recording equipment is classed as list B item under the Prison Act (PSI 10/2012) and permission to bring it in is strictly at the Governor’s discretion/dependant on the security arrangements of each establishment. The use of the audio-recording device during the interviews will therefore be discussed with each Governor individually. Where the use of own recording equipment will be restricted, the possibility of making use of the prison’s audio-recording equipment will be discussed or interviews will be recorded by way of detailed, hand-written notes, with each participant’s consent. All recordings will be wiped immediately following the transcription. | | |

**Section 5 – Data Protection**

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| Does the proposed study involve the collection/use of personal data? | Yes – information included below |
| What is your organisation's Data Protection Notification Number? |  |
| Does your Data Protection Notification allow for offence- related information of individuals to be stored within your organisation for research purposes? |  |
| Explain how you will hold the personal data in order to ensure its security during the study: |  |
| How will you ensure that any findings do not reveal information about single individuals? |  |
| How long will the data be retained for? |  |
| How will you dispose of the data? |  |
| Please provide details on any access required to existing data sources (and whether access to this data has already been sought and from whom): |  |

**Section 6 – Research Ethics**

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| What are the ethical considerations relevant to this study and how have you addressed them? | This research has been reviewed and gained full ethical approval by the University of Surrey Ethics Committee on the 20/01/2017 (please see attached the approval letter). All ethical issues and considerations in this proposal have been considered and addressed with full regard to:  • The British Society of Criminology Code of Research Ethics;  • University Ethics Committee’s Ethics Handbook for Teaching and Research 2016 and Code on Good Research Practice 2015 (University of Surrey);  • The British Sociological Association Statement of Ethical Practice;  • Prison Service Instruction 22/2014.  Steps have been taken to ensure that ethical considerations are applied at all stages of the research process: I) at the data collection stage, II) during the process of analysis and III) after the completion of the project.  Informed consent  Given that this research involves contributions from participants in the form of interviews, concrete steps have been taken to ensure that participation of all participants is based on full, informed and voluntary consent. Following the principles of ‘honesty, transparency and openness’ (AI 17/2014), this will be achieved by ensuring the following:  a) participants will be given exhaustive information about the nature and purpose of research such that they can properly decide if they want to be involved. This will be provided in the initial recruitment flyers which will be used to assist in recruitment (attached), verbally while recruiting participants face-to-face and within Participant Information Sheets (PIS). Individual information sheets have been tailored to both groups of participants to ensure that they are provided with adequate information about the study. Participants will be informed that they do not have to decide about their participation on the spot and will be free to take a copy of the Information Sheet with them and take time to consider involvement.  b) all participants will be required to become familiar with and sign an appropriate Consent Form (attached) directly before the commencement of the interview. Where a participant indicates that they cannot read the form, it will be read out to them point by point, and any unclarities explained. Consent will be treated as an ongoing process and voluntary nature of research will be emphasized throughout- participants will be clearly informed (in the Information Sheet and verbally) that have the right to withdraw from participation at any time up to the final stages of the thesis, and will be told that they can opt out of answering any questions without explanation and without any repercussions for their further treatment in the prison, their level of Incentives and Earned Privileges or their immigration status (see PIS, recruitment leaflet).  c) Participants will be clearly informed that the research does not seek any direct detail about their immigration cases or any other strictly personal details (e.g. addresses, offences) and that they are under no obligation to provide it (see PIS).  d) Participants will be advised that the research will not offer them any incentives and that neither will it result in any negative repercussions should they refuse to participate, or attend the interview, cease the interview, or choose to withdraw their data from the research (see PIS).  e) Participants will be advised that the research will not offer them any incentives and that neither will it result in any negative repercussions to their treatment within the prison should they refuse to participate, or attend the interview, cease the interview, or choose to withdraw their data from the research. It will be made clear to all participants that they can withdraw from the research and have their data removed up to 2 months following the interview (PSI, 17/2014) (see PIS).  f) Both Information Sheets and Consent Forms have been written using clear and accessible language to ensure maximum level of transparency and understanding among all participants, including those with low literacy levels and those with a low level of reading English/enabling participants with varying English language reading proficiencies to understand their contents. All participants will be clearly advised before they receive both forms that should they wish, both forms can be read out to them and that should they be unsure about the meaning of any phrase or word, care will be taken to explain it to them verbally.  Further detail on the informed consent procedure and interview procedure in set out within the Interview Protocol (attached).  Language  The second important consideration relates to the potential language barrier – this is primarily considered as an issue of informed consent, however insufficient language proficiency could also impede the participants’ ability to express themselves comfortably during the interview. As explained in the protocol, the approach to dealing with the issue of a language barrier will be one which within the constraints imposed by the prison environment and limited resources i) emphasizes inclusion and removes obstacles to participation in line with AI 17/2014, ii) emphasizes participants’ right to self-determination (i.e. voluntary participation) iii) ensures that those consenting to participation have full understanding of the nature and subject of the study. As discussed in the protocol, the following steps will be taken to safeguard inclusivity, while ensuring procurement of consent:  a) Recruitment materials as well as Consent Forms and Information Sheets have been written very simply and clearly, with no specialist language or jargon,  b) It has been made clear in the Information sheet and Consent Form that if participant is not sure about a meaning of a sentence, phrase or word, I will be happy to explain and clarify,  c) Participants will be asked whether they understand the Information Sheet and the Consent Form before they sign them,  d) Topic guides are also worded very simply and clearly,  e) Participants will be advised before the beginning of the interview that if they are not sure about the meaning of a sentence, phrase or a word, they can ask me and it will be explained or re-worded for them. Where a participant will continue to indicate that they struggle to understand, they will be given the choice to skip the question.    Confidentiality and anonymity  Truly informed consent demands complete honesty with participants about the risks of the research and what ‘confidentiality’ and ‘privacy’ actually mean in this particular study. Ensuring that will require me to make sure that participants know, where appropriate, that the duty of confidentiality to them needs to be balanced with the duty of confidentiality to the Prison Service. The following measures will be adopted to ensure that participants' anonymity and confidentiality are protected:  - Arrangements will be made with the PoC/FNLOs and the Wing Officers to ensure that, as far as possible, participants are interviewed in a place within the prison which is private, and where no third parties will be present during the interview;  - Where participants feel that the level of confidentiality which makes them feel comfortable has not been provided, they will be able to stop the interview at any time or refuse to take part in the interview at all. This will be made clear to them before the interview;  - All participants will be asked to pick a pseudonym which will be used to describe them in transcripts and in the write up of the thesis;  - Names of prisons from which the participants will be recruited will be anonymised. Prisons will be referred to in research and associated publications as HMP [capital letter]. Participants will therefore be presented as [pseudonym] at HMP [A]. Practitioners will be presented as [occupational position] at [HMP X].  - All information discussed by participants during the interviews which could lead to their identification (e.g. names, age) will be erased in the process of transcription;  - Participants will be advised within Participant Information Sheets that all other data they provide will be used solely in my thesis, future publications and the report which I will have to submit to the NOMS and each accessed prison outlining the findings of the study and recommendations for improvements to service provision in the Prison Service;  - All participants will be assured of the independent and impartial nature of the study and that is not conducted on behalf of the Prison Service or any other government agency and anything discussed during the interviews will remain strictly confidential. Participants will be assured that their anonymity will be protected throughout the research and that any personal data provided by them will not be shared with the Prison Service/Home Office or any other authorities;  - Prisoner participants will be additionally informed both within the PIS and the Consent Form that in line with the prison security rules (rule 51 of the Prison Rules 1999) and AI 17/2014, I, as a researcher, am under the obligation to report to appropriate authorities instances where:  • they report an intention to harm themselves or others,  • they report an intention to break prison security rules,  • they disclose unreported offences.  Participants will also be advised that the information disclosed to the authorities will strictly regard the above named exceptions and all other data will remain confidential (see PIS and Consent Form).  Data protection  The following measures will serve to ensure the confidentiality of data provided by the participants after the interviews:  a) I will transcribe and where appropriate translate all of the interviews so that no third parties see these.  b) All research materials, i.e. consent forms, information sheets, transcriptions, recordings, field notes, will be stored under the requirements of the Data Protection Act 1998 as well as in line with the requirements of AI 03/2009, PSO 9015 Information Assurance and PSO 9010 I.T. Security.  More precisely:  - all data provided by participants will be handled solely by me and not shared with any third parties,  - all data will be saved onto a password-protected, networked laptop following each interview. All recordings will also be erased immediately after the completion of the transcription process. The transcripts and the recordings as well as other research materials, such as interview notes will be stored at all times in a secure, password-protected database, accessible only by the researcher, in accordance with AI 03/2009, PSO 9015 Information Assurance and PSO 9010 I.T. Security. When it comes to data storage, all research data and any associated project paperwork will be stored securely in accordance with Data Protection Act 1998 and in line with section 4.9 of the UEC’s Ethical Principles for Teaching and Research (2015) for a minimum of six years after the completion of the project.  - back up copies of data will be kept on a separate, password-protected university server,  - all software on my laptop is and will be kept up-to-date and all work will be conducted on this machine or university computers (also password protected).  In the unlikely event of any loss or suspected loss of data collected within the Prison Service, this will be brought to the attention of the PoC within the relevant establishment and reported via the NOMS Incident Reporting System to the NOMS Information Assurance Team, as required by the AI 03/2009 and PSO 9015 Information Assurance. Supervisors will also be notified and the best course of addressing the issue discussed with them. |
| Has a relevant Ethics Committee approved the research? | Yes |

**Section 7 – Dissemination**

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| When will the research summary and project review form be made available for HMPPS? | The research summary and project review form will be submitted to NOMS on 30/10/2018. |
| How else will the results of the research be disseminated (e.g. article, book, thesis etc.)? | The results of the research will be disseminated in two forms:  I) the researcher's PhD thesis, it will be held in the university library, in Closed Access and made available upon request, for library use only;  II) article submissions in peer reviewed journals, conference presentations. |