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Impact of Minority Incarceration on the Family Unit

Huey S. Ratcliff
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Walden University

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Huey S Ratcliff

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Walden University

2022

Abstract

Impact of Minority Incarceration on the Family Unit

by

Huey S Ratcliff

MPhil, Walden University, 2021

MS, Southern New Hampshire University, 2015

BA, Grantham University, 2012

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Criminal Justice

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Abstract

The economic impact of incarceration on minority family units has both secondary and third-order effects on the minority family unit when a family member is incarcerated, which is exacerbated when the incarcerated family member was both the primary breadwinner and a parent. The purpose of this study was to identify the social and economic effects incarceration has on minority families. The study addressed how minority families adjust to changes in organic composition and how the minority family copes with increased debt and loss of earning potential. Further, the study sought to answer how minority families overcome economic hardship when the primary breadwinner is incarcerated. The overall research design is a concurrent nested study with qualitative methods used to support quantitative analysis used throughout the study. There are several data analysis procedures that were employed during this study. The initial data gathering procedure was through the in-person interview approach along with random surveys. The sample size of the survey pool participants was 500. The analysis process incorporated statistics from the Department of Justice, Federal Bureau of Investigation, and Bureau of Prisons databases, which provide a cross-analysis of incarceration of groups by ethnicity and gender. Results showed a small demographic of two or more ethnicities that were both underrepresented and studied. The positive social change implications of the study include preventing the economic, psychological, and social transgenerational effects of incarceration from continuing to impact the family unit post incarceration.

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Dedication

All praises due to Allah, the Most High. This study is dedicated to all my ancestors who invested in me with constant counsel and ensured that I would represent the village as it should. All the educators from Roseland Elementary Mrs. Palmer, Mrs. Brumfield, Ms. Resatar, Mrs. Falcone, Mrs. Letard to Central Jr Mrs. Peace, and Mrs. Johnson. Early education had a profound impact. I would not be here if not for my first educator, my loving mother. Thank you, Mary Ratcliff, for instilling in me the importance of a book and the knowledge within the cover that was always at my disposal. I want to thank Uncle Ivan, Uncle Hermon, Uncle Lawrence, Uncle ML, Uncle Harry, Uncle Robert, and Uncle Glenwood for always taking the time to ask me what I learned new today. Also, my Uncles' Huey, Bobby H, Bobby S, Elbert, Eldridge, Fred, Geronimo, and Stokley for teaching me the best way of helping anyone is to be of service first. This is for my grandparents, Hugh and Claudatrice Ratcliff, who were denied the opportunity of education yet always instilled its importance where it could take me if I was willing to always learn. To my fallen brothers in arms Terry Thomas, Shawn Suzch, Michael Mutter, Kevin Gilbertson, Jason Funkhouser, Aurelio Dudley, Humayan Khan, John Barrett, Tony Graham, Eric Cooke, Eugene Aguon, and Dwayne Flores. Finally, I would like to dedicate this to my great-aunt Lucy Lewis who saw something in me all those years ago that I did not see at the time, thank you so very much for your belief in your "Old Man."

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Table of Contents

List of Tables	iv
List of Figures	v
Chapter 1: Introduction to the Study.....	1
Background.....	1
Problem Statement.....	2
Purpose of the Study.....	3
Research Questions.....	3
Theoretical Foundation.....	4
Conceptual Framework.....	5
Nature of the Study.....	6
Definitions.....	7
Assumptions.....	9
Scope and Delimitations.....	9
Limitations.....	10
Significance.....	11
Summary.....	12
Chapter 2: Literature Review.....	13
Literature Research Strategy.....	13
Theoretical Foundation.....	14
Conceptual Framework.....	16
Literature Review Related to Key Variables and Concepts.....	17

Quantitative Components.....	19
Qualitative Components.....	21
Summary	22
Chapter 3: Research Methods	24
Setting	24
Research Design and Rationale	25
Role of Researcher	26
Methodology	27
Sampling	27
Instrumentation	28
Recruitment, Participation and Data Collection	29
Data Analysis Plan	33
Threats to Validity	36
Issues of Trustworthiness.....	38
Ethical Procedures	39
Summary	42
Chapter 4: Results.....	44
Setting	44
Demographics	45
Qualitative Data Collection.....	46
Quantitative Data Collection.....	47
Qualitative Data Analysis	48

Quantitative Data Analysis	50
Results.....	51
Qualitative Results	51
Quantitative Results	52
Evidence of Trustworthiness.....	59
Summary	63
Chapter 5: Discussion, Conclusions, and Recommendations.....	65
Interpretation of the Findings.....	66
Limitations of the Study.....	68
Recommendations.....	68
Implications.....	70
Conclusion	71
References.....	72
Appendix: Freedom of Information Act/Privacy Act	91

List of Tables

Table 1. Response Percentage by Ethnicity 47

Table 2. Survey Participation Abandonment Rate..... 49

Table 3. Age Demographic of Children with Incarcerated Parents 51

List of Figures

Figure 1. Participants by Ethnicity.....	46
Figure 2. Household Income.....	57
Figure 3. Participant Breakdown by Location	60

Chapter 1: Introduction to the Study

The impact of incarceration on the minority family unit has economic and social impacts (Hattery & Smith, 2014). But there were elements of incarceration that were understudied. The two elements addressed in this study were the economic and social challenges created within the affected household. The redirected use of social program funding could mitigate some of the economic impacts of incarceration on the family unit by providing additional opportunities for job training, small business, and after-school programs. The greatest impact incarceration has had on the minority family is transgenerational social and economic inequality (Shaw, 2016)

Background

The literature used to support this study addressed all three aspects of the disparity that took place when minorities were incarcerated. Economic, psychological, and social aspects had not been addressed as singular entities, although each had been previously addressed individually (Maroto & Sykes, 2016), revealing a gap in the literature. There were articles that were both qualitative and quantitative that addressed social aspects of family separation that contribute to change in the organic family dynamic (Fort, 2014). It was this change to the modern family construct that was addressed along with the macro and micro level communal effects. When a transfer of parental responsibility occurred, the forgotten independent variable, children, and caregivers, had not been studied as to how this specific change in family dynamics affected them economically and socially. Although there were psychological studies conducted, they addressed separation anxiety created in the mother-child relationship or

the absent father paradigm present in some minority communities (Baker, McHale, Strozier, & Cecil, 2010). Since the 1990s, minority mass incarceration attributed to the altered minority family construct (Barranco, Evans, & Shihadeh, 2018). The inversion of household income and debt created a burden on the unit, which had secondary and tertiary order effects. The need for additional economic support came way of public assistance programs initially designed to support low-income families. The change in the family construct, diminished household income and increased debt created by incarceration had not been studied nor had the combined long-term effect of maternal/paternal separation anxiety developed in the children left behind.

Problem Statement

Mass incarceration has had a transgenerational effect on minority family units (Abeita, Brown, & de Ravello, 2008). The traditional family construct has been altered through a series of antiquated laws and legislative practices. Minority communities experienced a 200% incarceration rate increase during the 1980 and 1990s (Patten, 2016). It was during that period minority families experienced a transfer of parental responsibilities. The reversal of parental roles changed the traditional composition of what a minority family's unit would resemble going forward. The new responsibility of parenting or guardianship was delegated to older siblings or extended family members, many of whom did not possess the financial stability to assume this role. There was an economic burden transferred to the new custodial unit. The primary caregiver also assumed psychological and emotional responsibility to the children whose parents were incarcerated. This became a difficult undertaking when there was no established

relationship or familiarity prior to the significant emotional event, which was the incarceration of a parent or parents. There was a need to gain better insight into the effects of this forced societal familial change and the long-term effect this shift had on adolescent and adult children. The current research addressed the recidivist aspect, but little information existed about reintegration into the micro-level society which was the family unit and the impact as experienced by the children with an incarcerated parent.

Purpose of the Study

This ontological mixed methods study was conducted to examine how incarceration affected minority communities. The intent of this study was to determine what correlation if any existed between minorities and mass incarceration. Incarceration rates among African Americans, Asian-American, Indigenous, Hispanics, and Pacific Islanders varied, but the one commonality that existed between the various ethnicities was the changed family dynamics (Felson & Krajewski, 2020). The central focus of the study was the family unit and how it adapted to the incarceration of a parent or parents regardless of ethnicity. The use of a dependent variable incarceration and independent variable minority family unit was used to determine a correlation between incarceration and family units of different ethnicities.

Research Questions

RQ 1: What was the social and economic effect of incarceration on children in single and dual parent households?

RQ 2: What socioeconomic factors contributed to the incarceration of minorities?

RQ 3: How did the changed family unit adapt to social and economic hardship as a result of incarceration?

RQ 4: How did legislative laws and practices inform the mass incarceration of minorities?

The null hypothesis (H_0) for this study was that African Americans households were the most adversely affected by parental incarceration when compared to Hispanic, Asian, Indigenous, and Pacific Islander American households who experienced the same phenomena. The alternative hypothesis (H_1) for this study was that minority families collectively were twice as likely to experience greater economic hardship during incarceration than non-minorities. The variables were studied to determine whether there was a relationship were incarceration and the minority family. An additional dependent variable that was measured was household economics of the incarcerated individual. The household income of homes with at least one incarcerated family member were compared to income prior to incarceration.

Theoretical Foundation

The theoretical base for this study was the blurred genres theory originally written by Clifford Geertz in (1983) and reintroduced by Norman Denzin and Yvonna Lincoln in (1994). The theory argued for the rejection of foundations of objectivism, imperialism, monumentalism and timelessness of previous traditional periods. The additional use of organizational ecology focused on the organization, which in this study was the family unit. The theory provided this study with fundamental historical, biographical, and ethnographical elements. The blurred genres theory placed emphasis on use of multiple

perspectives that were interpretive rather than positivist, explanation, and purpose. It offered both qualitative and quantitative approaches, which addressed social aspects through diving deeper into the problem studied; it generated measurable data by adding validity to the study.

Conceptual Framework

Minority incarceration has created a change in family dynamics by altering the family structure and creating economic and social hardship. Incarceration's greatest impact on minority families was the reduction of household income by 64% while increasing debt by 85% within the same household (Maroto & Sykes, 2016). This change in family dynamics extended beyond the incarceration period. There was an alteration that took place in the family unit, which created secondary and tertiary order effects.

The incarceration rates of minorities saw incremental increases since the 1970s even though crime had declined over the last three decades (Berg, Baumer, Rosenfeld, & Loeber, 2016). The hyper incarceration of minorities was considered by some scholars as a targeted effort by government officials owing political favors (Bretherton, 2015). Local and state political officials ran on a tough-on-crime platform when campaigning for a higher political office. The 200% rate increase of minorities incarceration during the 1980s and 1990s served as a major catalyst for the altered minority family's construct, creating an emotional change in both children and caregivers (Chung & Hepburn, 2016). The most noticeable change was an economic void created when the primary breadwinners were incarcerated.

This study was designed to view minority families and see if there was a shared experience between African, Asian/Pacific Islander, Indigenous (Native) and Hispanic American, respectively. This study's approach was an attempt to answer questions about incarceration's macro- and micro-level changes in minority households. It was designed to view chosen research question with greater detail later in the study. There were a series of surveys of those who met the necessary qualifications to participate in the study. The main premise of the survey was to identify how incarceration impacted the family. Survey questions only addressed economic, social, and psychological changes experienced by the minority family unit.

Nature of the Study

The selection of a mixed-methods research was to make use of qualitative methods, which provided more personable insight than the sole use of the quantitative method. The application of an in-depth interview process provided a micro-level view of the social impact associated with mass incarceration on the minority family unit. The key variable in this study was the family unit, which served as the dependent variable, and the independent variables were incarceration, economic disparity, and transgenerational incarceration.

The chosen data collection methods were both in-person interviews and random surveys which were be sent to participants. The dual collection methods allowed data comparison among various ethnic groups. This provided enough statistical data to conduct a valid comparative analysis. A qualitative in-person interview of qualifying and willing participants addressed questions of economic disparity associated with the

incarceration of the household's primary breadwinner. The in-person interview provided insight into economic disparity as experienced by the unit. It also provided an analysis of present trends and served as a predictor of future occurrence amongst ethnic familial units that were part of the study.

The data once compiled were categorized by regional demographics, ethnicities, median household income, and socioeconomic status. The nominal measures applied to willing participants were ethnicity, and median household income. The measures served as the analysis of variance when addressing incarceration and its correlation to the minority family unit. The analysis of variance was used to identify any additional variants such as region or locality that contributed to economic disparity.

Definitions

Bureau of Prisons (BOP): The BOP is a federal law enforcement agency under the Department of Justice responsible for the care, custody, and control of incarcerated individuals.

Custody: To have custody of a prisoner, a state, or the Federal BOP must physically hold that person in one of its facilities. A locality, state or the BOP may hold inmates over whom a different government maintains jurisdiction (Bureau of Justice Statistics, 2020).

Humanistic approach: Psychological term relating to an approach that studies the whole person, and the uniqueness of each individual often considered the third force in psychoanalysis (Henry, 2017).

Human ecology: A branch of sociology dealing with the spatial and temporal interrelationships between humans and their economic, social, and political organization (Hawley A. H., 1944).

Indigenous people: Ethnic group descended from and identified with original inhabitants of a region (Merriam-Webster, 2020).

Mass incarceration: Widespread incapacitation of people in prisons and jails characterized by its systematic targeting of segments of the population (Pettit & Gutierrez, 2018).

Organizational ecology: An approach to the macrosociology of organizations that build on general ecology and evolutionary models of change in populations and communities (Hannan, 1989).

Social construct: An idea that has been created and accepted by the people in a society (Merriam-Webster, 2020)

Social exclusion: Isolation from resources, networks and information needed to participate fully in society (Plassmeyer et al., 2018).

Social fracturing: The breaking of or state of being broken due to changes in social construct brought on by incarceration.

Socioeconomic status: Social standing or class of an individual or group often measured as a combination of education, income, and occupation (American Psychological Association, 2019).

Assumptions

The focus of this study was to gain a better understanding of incarceration's impact on minority families beyond the altered family dynamic. The alteration that occurred produced economic stressors that created social stigmas for the unit impacted by the phenomenon (Brown, 2018). The increased incarceration that took place during the 1980s and 1990s created a change in their family construct economically, psychologically, and socially. The economic alterations that occurred during incarceration were household income and debt. The reduction in income was attributed to the absence of the primary breadwinner, thus resulting in increased debt within the same household (Maroto & Sykes, 2016). The prolonged absence of economic stability contributed to economic disparity that was transgenerational. The adverse effects suffered by the African American demographic was thought by some as a singular phenomenon (Chouhy, 2019). The assumption for this study was incarceration's impact was only experienced by the African American and Hispanic/LatinX communities (Enders, Pecorino, & Souto, 2018). Asian American, First Nation/Indigenous and Pacific Islander communities experienced incarceration's secondary and tertiary order effects even though their incarceration rates were not as high when compared to African American and Hispanic/LatinX communities (Hamilton & Hummer, 2010).

Scope and Delimitations

The data collection sample for this study was delimited to populations that met the following criteria: African American, Asian/Pacific Islander, Hispanic and Indigenous (Native American), with at least one incarcerated family member identified as

a primary breadwinner and be a parent and or caregiver of child with an incarcerated parent and provide some economic support to both the incarcerated and or their children. The study employed the blurred lines genre and organizational ecology, which provided historical, biographical, and ethnographical information that utilized multiple perspectives that interpreted the social aspect through a qualitative lens. The secondary theory of organizational ecology was employed to study the family on three levels. The theory provided measurable statistical data that addressed issues of external validity. The study had the potential to be transferable to future research related incarceration and the impact it had on the minority family unit. It can also be used to address secondary and tertiary effects presented in the form of economic and social hardships throughout the period of incarceration.

Limitations

Identifying minority groups that had at least one family member incarcerated that was a parent was difficult; minority family groups who had been subjected to the incarceration phenomenon were not as forthcoming due to cultural stigmas and practices. Asian-American/Pacific Islander demographic was broken down to subgroups in the form of Chinese, Filipino, Korean, Samoan, and Vietnamese (Lum, 2018). Although minority incarceration was viewed solely as an African American and Hispanic American concern it extended to other minority ethnicities who during incarceration were categorized as other in state and federal database which resulted in underreporting of these minority groups. Native American much like the Asian American population had subgroups that comprise the whole, Apache, Blackfoot, Iroquois, Navajo, Oneida, Pueblo, and Seminole

(Mebane-Cruz, 2015). I knew this posed logistical challenges, as First Nation communities were regionally and internationally dispersed, access and contact with members of the respective tribes only occurred once approval by the tribal council was granted.

Significance

This study was significant as it filled gaps in research regarding the effect of mass incarceration on the minority family unit. Incarceration had been studied from an African American and Hispanic American perspective, yet its effects on Asian-American/Pacific Islander and Indigenous communities had not been addressed from an economic and or social perspective (Mebane-Cruz, 2015). There were studies that examined incarceration of African and Hispanic American respectively, but Asian-American/Pacific Islander and Indigenous were the most underreported incarcerated minority groups. This study's relevance was through providing insight into the legislative laws and practices that informed minority incarceration in the United States (Gould & Spearit, 2014). The over incarceration of minorities altered their family dynamic economically, psychologically, and socially. The change that incarceration created in minority families had a residual effect on the communities which they lived, leave, and eventually return post incarceration (Rosario-Moore & Rosario-Moore, 2017). The economic and social hardships that occurred during incarceration often extended to post-incarcerated life. There were minimal employment opportunities due to possessing minimal to no skill sets when attempting reintegration and to regain their economic footing (Sugie, 2018). While conducting the literature review for this study, there were no peer-reviewed articles that

explained incarcerations effect on the minority family unit economically, socially, and structurally.

Summary

Incarceration has had an impact on African American and Hispanic communities as well as Asian-American/Pacific Islander and Indigenous (Native American) communities. The growing number of private prison and increased incarceration of minorities had been viewed as racially motivated legislation by individuals in office who campaigned on an anti-crime platform even though crime rates had declined the last three decades (Adler, 2015). There was increased incarceration of minority women that had gone under reported (Abeita, Brown, & de Ravello, 2008). Chapter 2 includes a literature review that focuses on the minority family unit's change in dynamic by altering the organic economic, psychological, social structures in place.

Chapter 2: Literature Review

The impacts of incarceration on the minority family unit effects have been experienced by minority men and women (Dallaire, 2019), involving children and creating a transgenerational ripple effect. The current literature established the individual effects of incarceration on the incarcerated individual, but none currently established relevance of the problem that existed in minority family units (Adams, 2018). In Chapter 2, I provide literature search strategies along with conceptual and theoretical framework upon which the research rested. I also provide a synthesis of knowledge on shared lived experiences of minority families as well as insight on how minorities were impacted by incarceration economically, psychologically, and socially. Finally, I offer in-depth critical analysis of literature that supported the study.

Literature Research Strategy

There were over 30 search terms that were used when accessing multiple databases. The University Library Thoreau search engine, ProQuest database, Criminal Justice database, and Bureau of Justice Statistics and the Office of Justice Programs were used. The combination of search terms used in the respective databases were *minority* and *incarceration*. When utilizing *minority* as a standalone search term, there was a needed additional specificity. Searches for this study included ethnicities severely underrepresented in previously conducted research. The use of the term was in combination with African American, Asian-American/Pacific Islander (AAPI), Hispanic, and Indigenous (Native American) there were multiple subsects under the AAPI and Native American minority sects, respectively.

The scope of literature reviewed in terms of years searched are from 2014 to present. However, there were several articles that provided historic context that was useful to this study. They provided insight into the criminal justice system and its treatment of minority populations and its correlation with incarceration. There had been several studies conducted that examined the effects of parental incarceration on children, but these were conducted after the child reached the age of the majority (Clark, Eddy, Kjellstrands, & Yu, 2019). They did not address pre-adolescence years, nor did they offer detail about changed family dynamics. When addressing this phenomenon, studies spoke only of African American men and women only. There were several other minority communities included Asian/Pacific Islander, Hispanic and Indigenous First Nation communities, respectively. There were instances in current research which answered questions of incarceration in the African American demographic; however, many of the articles reviewed did not address the specific areas of economic, psychological, or social changes that occurred during incarceration. Instead, they spoke mostly of the alteration in the maternal and paternal relationships. This study was designed to address changes that occur within the family dynamic during the period of incarceration from three distinct perspectives.

Theoretical Foundation

The theoretical foundation that was used for this study was the blurred genres and organizational ecology theories. The origin of blurred genres theory was credited to Clifford Geertz in 1983. The theory argued the rejection of previous foundations of the traditional periods, which were objectivism, imperialism, monumentalism and

timelessness. Dr. Norman Denzin and Dr. Yvonna Lincoln (1999) stated that emphasis was in seeking multiple perspectives, interpretive rather than a positivist explanation or purpose. This theoretical proposition helped in providing biographical, ethnographical, and historical context to this study. Blurred genres offered both qualitative and quantitative perspectives, which addressed the social context of incarceration. It also generated measurable data for future follow-on studies. The earlier research by Denzin and Lincoln (2005) was written when many theorists felt the current conflict between evidence-based methodologist and mixed methods interpretive and critical theory schools began. But social science and humanities are critical for conversations about race, gender, and class, which were three key elements for this study.

Organizational (human) ecology introduced by sociologist Dr. Amos H. Hawley was considered one the most profound theories derived in social science in the 20th century (Hawley, 1944). The idea of humans adapting to the changing environment had not been studied. Organizational ecology utilized insight from biological, economical, and sociological perspectives to understand the emergence, growth, and death of an organization. This theory offered a framework through which researchers examined individuals' relationships within their community (micro) and the wider society (macro; Hawley, 1981). This theory was appropriate based on use and collection of empirical material, which included case studies, personal experience, introspection, and life stories. This provided a cultural text when searching new social science theories and ways to study popular cultural and its local ethnographic context.

The use of multiple theoretical foundations helped with providing in-depth understanding of question being addressed in the study. The blurred genres theory brought psychological and emotional unity to the question being interpreted or studied. The organizational ecology theory utilized biology, economics, and sociology to define the greater impact the phenomenon studied had on the minority family unit. The theories offered both qualitative and quantitative approaches, which answered the research question. They also provided a scientific perspective on a humanistic issue. Blurred genres theory assisted in addressing a specific challenge presented in this study, the subethnic minorities that existed within a larger group that had unreported incarcerations numbers. Organizational ecology addressed how the minority family adapted to the change created by incarceration. It provided biological, economical, and sociological data that further supported the change of dynamics within the minority family.

Conceptual Framework

The use of the organizational ecology concept was applied to this study to focus on the organization, which applied to the family unit. This concept utilized insight from the sciences of biology, economics, and sociology. When combined they were important for the current study. They each provided notable variables that attributed to the change in the family dynamic. The economic variable addressed increased debt and reduced income. The emotional change that occurred when a parent was removed from the home spoke to the biological variable that was present.

Hannan and Freeman (1989) believed that long-term changes occurred through selection rather than adaptation. Theorist who has studied organizational ecology

believed most organizations had structural inertia that hindered adaptations when there was a change in the environment. In summary, any organization that did not adapt was eventually replaced. The minority family unit represented the organization in studied on how it adapted to change when a family member was incarcerated. Chung (2013) provided critical information that further supported the organizational ecology model by providing statistical data previously unreported, children in a dual parent household affected by incarceration.

Organizational ecology was applied in earlier studies. Astley (1985) spoke of the two ecologies that existed - population and community. Each of these had relevance to the current study. Its relevance was the focus placed on the reconfiguration of social thought first mentioned by anthropologist Clifford Geertz in the 1970's. The idea of human ecology explained how humans developed and established relationships. It provided insight as to how changes in ecology, psychology and sociology originated and how those changes affected all organizational types. The benefit of using human ecology was the focus on the human experience which described the rise and fall of variables that affected the unit of study, that unit being the minority family. Incarceration created biological, economic, and sociological instability within the home previously unexperienced. The use of both organizational and human ecology provided two unique perspectives on the change in the family dynamic brought on by incarceration.

Literature Review Related to Key Variables and Concepts

A study conducted by Battle et al. (2013) addressed the economic impactors experienced by the minority family. It described the nature of the relationship that existed

between the incarcerated and their spouse and children. The nature of this study explored the historical, political, economic, and sociocultural roots of mass incarceration. This study touched on collateral effects of incarceration and other unintended consequences associated with minority families and their community.

The use of qualitative methodology was apparent throughout the interview process utilized to discuss variables associated with incarcerations from experts and scholars currently working in the field of social science and its various sub-disciplines. The application of a multidisciplinary approach and variables used in the Battle study ensured both alignment and consistency were maintained in the current study. The strength of the Battle study addressed the economic impact of incarceration as experienced by the family, specifically the spouse and children of the incarcerated. One weakness identified in the researcher's approach was the change of the mother-child relationship status and the newly altered family dynamic that occurred during the period of incarceration.

The study titled "Kin Availability in the Era of Mass Incarceration" spoke to several variables that were relevant for this study as previously stated. It spoke to the increased incarceration of African American men during what it labeled a prison boom from 1980 to 2000. The study spoke to the disproportionate percentage of African American men imprisoned when compared to the general population of which they comprised. The study also spoke to the changed family dynamic which took place in the African American community over the course of a generation. The idea of transgenerational incarceration was not a new thought but was considered to be racially

targeting a specific minority community. The study stated that young African American male were at a five-time greater risk of having an incarcerated relative during their adolescent years.

The findings in that study addressed the lack of kin availability or family structure during the post incarceration period. This created a strain on the micro level economic communal impact on both the minority family and the incarcerated family member. In summary, this study was one of the first that addressed incarceration's impact on not just the individual but the family, specifically children with incarcerated parents. The study stated that mass incarceration was perhaps the foremost issues of children with an incarcerated father. It was said that those who had an incarcerated parents were at higher risk of being incarcerated themselves later in life. This spoke directly to the transgenerational effect incarceration had on the minority family.

Quantitative Components

Chung & Hepburn (2013) conducted a quantitative study that addressed incarceration's impact on the partners, families, and the community. This study along with several others used the keywords mass incarceration, children, incarcerated parents, and community of color (Burkholder, D., Hall, & Porter, 2020). This study even stated that mass incarceration was a national epidemic that disproportionately impacted communities of color. In a study by (Dyer, Hardeman, Vilda, Theall, & Wallace, 2019) the effects of mass incarceration from the African American maternal perspective were addressed. A study published in the Journal of Offender Rehabilitation highlighted several variables that were used in this study (Mckay, Comfort, Grove, Bir, & Lindquist,

2018). This was done by addressing dependent variables of incarceration and their effects on pre-teen and adolescent children. There were additional correlations identified that provided a detailed explanation of how incarceration created secondary and tertiary effects on children, partners, and the community in which they lived. Third order effects of incarceration touched on by the study referenced the financial cost of imprisonment which was spread across the family. The variables used were African, Asian, Caucasian, Hispanic, Indigenous and Pacific Islander American families that had at least one incarcerated family member. Although the study used African and Hispanic American families as the primary dependent variables it also included Caucasian families. What remained to be studied based on the outcome of the Chung & Hepburn (2016) were the effects of incarceration on Asian/Pacific Islander and Indigenous family units who also suffered from high incarceration rates based on low total population numbers.

There were several studies (Duxbury, 2019), (Abeita, Brown, & de Ravello, 2008) and (Adams, 2018) that related to the research question that addressed the change in family dynamics per Battle et al. (2013) study. One noticeable change that occurred was the economic impact of incarceration experienced by the family. Also, relationship changes that occurred between incarcerated parents, their spouses, and children. When reviewing the article in *Punitive Turn* titled “New Approach to Race and Incarceration”, the research provided a brief synopsis on the research questions that were addressed in the current study, however there were identifiable gaps. Although the research compared Caucasians to African and Hispanic Americans experiences, it omitted Asian/Pacific Islander and Indigenous communities. This was important in providing an outlook that

served as a cross comparison amongst different ethnicities and the impact experienced by each minority community individually. Mark Plassmeyer (2016) reviewed a study conducted by Elizabeth Hinton (2016) from a social perspective and revisited both the war on poverty and the war on crime paradigm. There were some scholars who viewed both paradigms as legislatively racial and socioeconomically repressive.

Qualitative Components

There were a multitude of studies that addressed concepts used in the current study. The Battle et al (2013) study provided information on the economic hardship of incarceration experienced by the minority family unit. This created a distinct change in the nature of the relationship that previously existed among the incarcerated, their spouse and children. The study spoke to the created economic hardship and social fracturing that occurred during the period of incarceration. What remained to be studied based on the Battle study findings was, how did economics drive the psychological and social change created within households of the incarcerated. The Battle et al. study left room to study the transgenerational incarceration phenomena thought to be brought on by the incarceration of a parent. The controversy surrounding transgenerational incarceration were statistics that stated a child or adolescent experienced parental incarceration are themselves prone to incarceration.

A study by Plassmeyer (2016) addressed the research question of how legislative laws and practices informed mass incarceration of minorities. A sociological perspective was provided on the strain that exist amongst legislators, law enforcement and the minority community. This led to a tough on crime rhetoric which directly impacted

minorities as it transitioned from spoken to written legislation. Although crime was on a decline nationally, incarceration rates had increased in minority communities. Higher incarceration rates coupled with high unemployment and poverty rates proved to further disenfranchise minority family units. According to an article titled, “The long arm of the law: The concentration of incarceration in families in the era of mass incarceration.” published in the *Journal of Gender, Race & Justice* (2014) qualitative research conducted on incarceration and family life showed the poorest families often had multiple family members incarcerated simultaneously. The article further addressed how research conducted recently by public health officials, sociologist and political scientist suggested incarceration of a family member had broader implication for women’s well -being (Wildeman & Wakefield, 2014).

Summary

A review of data conducted from multiple research studies showed a lack of representation from Asian, Native, Pacific Islander families. Those studies highlighting incarceration’s impact on minority families only addressed African and Hispanic American families (Chung & Hepburn 2016). The focus on incarceration the impact it has on the minority family unit helped explain economic, psychological, and social challenges experienced by minority family units. The research conducted in this study examined multi-faceted impacts of incarceration minority groups experienced. This study also addressed those underrepresented minority populations that had members incarcerated who were not statistically reported under the minority group to which the

belonged. In Chapter 3, I will discuss research design, rationale, my role as the researcher, ethnography, and issues of trustworthiness for my proposed research.

Chapter 3: Research Methods

The purpose of this mixed-methods study was to address a series of social issues that occur in the minority family unit during the incarceration of a parent or parents. The overall intent was to provide a socioeconomic based template that addressed the economic, psychological, and social disparities associated with incarceration and the impact these factors had on the minority family unit. The central focus of this study was caregiver of children with an incarcerated parent and extended family members. Potential respondents were chosen geographically throughout the United States. There were several locations including California, Louisiana, Maryland, and Michigan. Secondary and tertiary order effects that extend beyond the immediate family unit were studied. This assisted in identifying effects of incarceration at macro and micro communal levels.

In Chapter 3, the research design and rationale and my role as the researcher are explained as are the methodology and threats to the study. In this chapter trustworthiness concerns are also addressed. The summary will provide an overview of what was covered in the chapter along with a brief synopsis of what was addressed and how it benefited the study going forward.

Setting

The setting used for the study was neutral office spaces. The space has neither the resemblance of participants' residences nor of government offices, such as courtrooms, police stations, or social service office settings. The need for a neutral setting was important as to not invoke any form of emotions that would generate subjective responses during the interview process. The physical setting by design can set the tone of the study

through the willingness of participants to engage in a potential follow-on study (Babbie, 2018).

Research Design and Rationale

An ethnographic approach was used in this research project (Chung & Hepburn 2016) to answer the following research questions:

- RQ 1: What is the social and economic effect of incarceration on children in single and dual parent households?
- RQ 2: What socio-economic factors contribute to the incarceration of minorities?
- RQ 3: How does the changed family unit adapt to social and economic hardship as a result of incarceration?
- RQ 4: How does legislative laws and practices inform mass incarceration of minorities?

Ethnography is a research method predicated on diversity of cultures at home or abroad and serves as a social and cultural anthropology hybrid (Battle et al., 2013). Ethnography is an integral component of social sciences and humanities (Fort, 2014). The use of an ethnographical approach required any recording of a participant's lived experiences be conducted in a social setting conducive to the participant. The population for this study is best described as African, Asian, Hispanic, Indigenous/Native American and Pacific Islander ethnicities with an incarcerated family member. The subculture of minorities was the focus of this research topic based on previous research results. The previous research results only addressed one or two of the five ethnicities which fell within a designated

minority category previously studied. Therefore, I focused on minority family units and how they adapted to a change in the family construct.

Role of Researcher

I maintained objectivity in the event of a developed relationship throughout the research gathering or interview processes. The establishment of a working relationship was a key component in supporting the validity of the information provided. Any data provided that was subjective in nature was not considered as it cannot be supported by any form of data quantitatively or quantitatively. The relationship or establishing thereof was from a scholarly perspective, thus providing the voice of the participants who would otherwise not be heard through an authoritative or supervisor/subordinate paradigm.

To address biases and/or a power relationship, their participation was strictly voluntary. Additionally, sample surveys were drafted in the same manner as the interview questions. This was necessary for preventing feelings of pressure to answer in a specified manner. The intent was for me to not be viewed as a representation of a system that they feared.

Potential ethical issues were loyalty biases and lack of privacy. Conflicts that may were prevalent was the sharing of information among participants. To prevent such conflict, the interview process was purely random conducted at a neutral interview site. The use of subordinates in this study was another ethical consideration; this was necessary to ensure answers provided by participants were honest and objective. The use of incentives was considered but not to the extent of enticing participants to answer subjectively to appease the researcher. The use of incentives was reconsidered at an

additional step and depended on total number of participants and their individual need for financial compensation.

Methodology

The integration between quantitative and qualitative data was done through a convergent design meaning both forms of data were collected simultaneously. This design allowed comparison of findings from both qualitative and quantitative data sets. It allowed separate analysis of both data sets while comparing results side-by-side.

Sampling

The participants for this study consisted of a sample pool of 500 participants or until saturation was reached, who fell within a designated minority category that had a loved one incarcerated who was a parent. In selecting the sample size for this study, the Taro Yamane method was applied to ensure adequate representation of each minority group chose as participants for this study (Yamane, 1967). As an observer, the intent was to gain an insight on how incarceration impacted minority families psychologically and socially.

When selecting participants for the First Nation (Indigenous/Native American) demographic there were additional requirements that had to be met to participate in the study. When soliciting First Nation participants, additional prerequisites had to be met. This group of participants needed to be classified as First Nation and be from one of the 574 recognizable tribe acknowledged by the Bureau of Indian Affairs, to include Alaska Natives. The rationale was to ensure adequate representation of each tribe. It was imperative to have a minimum of five participants per tribe. This was a key tenet for this

study, adequate representation of all the demographics participating. The smaller more reclusive minority groups such as the Indigenous and Asian American/ Pacific Islander (AAPI) communities may achieve saturation at a lower number than the larger African and Hispanic demographic.

Instrumentation

It was necessary to establish a sufficiency of instrumentation to answer research questions for this study. The first instrument used was the random survey. It was this instrument that assisted in achieving the highest rate of saturation possible for each minority group represented. The second instrument was an interview that allowed participants to provide first-hand accounts of how economic, psychologic, and social impacts of incarceration were experienced by their family unit. Participants were selected based on shared real-world experience of familial incarceration. The importance of the selected instruments was to ask specific questions and get real time answers which required additional or follow-on questioning.

The goal of this study was to use in-person interviews as a form of data collection for those who are willing participants and meet base line requirements to qualify for participation in the study (Plassmeyer, 2016). The use of a focus group was considered to gain additional insight into the phenomenon of incarceration and its impact on the family unit. This approach was thought to add additional support to study where a shared experience had different outcomes and end state with each participants household. However, the focus group method was not used.

An interview protocol was conducted in four phases. First, the interview questions were aligned with the research questions of the study. Second, the questions were drafted in an inquiry-based format which would establish dialogue, the basis of conversation. This was an essential element of the study it allowed the participants to speak freely when answering any question asked. When framing interview questions there were several factors taken into consideration. For instance, when addressing ethnic groups, it was important to get input and as much data as possible from each of the subgroups (e.g., Chinese, Filipino or Korean American subgroups for the Asian community and the experience of a participant from the Algonquin, Apache, Blackfoot, Choctaw, or Iroquois nation for the Indigenous/Native American community). No single minority group selected for this study was a monolith that could address contextual and culturally specific issues for the whole as they may arise. Third, I was open to receiving feedback on interview protocol to enhance the study. Finally, I considered a pilot interview protocol using small sample sizes of participants who identify with actual participants and are interviewed under real conditions (Castillo-Montoya, 2016).

A random survey was implemented to achieve two additional objectives. The first was for participants who were uncomfortable in a group setting yet wanted to participate. The second objective of the survey was to reach those participants who fell within a smaller minority demographic and wanted to maintain anonymity throughout the study.

Recruitment, Participation and Data Collection

The recruitment procedures utilized were criteria based in nature. Participants were selected after having met the prerequisite of belonging to a recognized minority

group. Participants also had to have an immediate family member incarcerated. Participants had to the role of guardian or parent as a result of incarceration. All participation was strictly voluntary. Those chosen for participation were randomly selected from states regionally located.

All participants were provided informed consent forms ensuring privacy of any information provided during the study. Those selected for participation in the study received informed consent in person prior to in-person interview sessions. Those who participated in the random survey had a consent form attached to the survey. Surveys were not accepted without a signed consent form authorizing use of participant data.

There were two data collection methods utilized in this study. Random surveys for those wanting to participate but were uncomfortable in a focus group setting. The other method used for this study was in-person interviews. Those who chose to participate utilizing this method, were asked questions which mirrored those used for the random survey. The organizations chosen to survey ranged in size and scope from local to federal organizations. However, key members who would impact the study were not identified. A liaison from Health and Human Services, United States Sentencing Commission, Bureau of Prisons and Bureau of Indian Affairs were contacted through their public affairs or legal counsel offices, respectively. The interview process of key members identified were primarily to gain more insight from a policy perspective. Interviews were conducted to gain insight as to how legislatively the organization creates and enforces policy. The impact on the study was to gain key leader insight on

determining factors that went into drafting and legislating of policy along with the influence it had on the minority family unit.

The debriefing procedures were important for those who participated in the study. The debriefing process was in a summarized format. At the conclusion of each interview participants were allotted time to ask questions. During this point of the process participants were given a synopsis of the study. They were informed of the importance of their participation and addressed any areas of concern participants had at that time. The participants were afforded the opportunity to readdress areas of concern missed at any time during the interview. However, to be considerate of each participant's time, debriefing was factored into scheduling to ensure a debrief was conducted in a timely and appropriate manner.

The opportunity for a follow-up interview opportunity was covered during debriefing and was voluntary and completely optional. Those participants who met additional criterion of having children who experienced secondary and tertiary order effects because of parental incarceration were be asked to participate. One additional consideration for those who opted to participate was any changes in their economic, psychological, or social status during intra or post incarceration periods. This was relegated to those with family member that had been released or they witnessed any noticeable changes in either of the three areas mentioned in the study.

The data collection process took place through email and at local health and human service offices for those who elected to participate by way of in-person interviews. The frequency of data collection was determined by the participants as this

assisted with achieving saturation due to this being a regional study. For the possibility of displaced participants, a 2-week window was allotted; however, frequency was subject to change. Data for this study were digitally recorded of those interviewed, and paper copies of the random survey will be kept in a locked cabinet once completed. The interviews were maintained in a digital format with copies available to participants upon request.

Archival data for this study were also collected from several federal and state databases which were accessible online and through print media. Data bases that accessed locally were health and human service official websites (California, 2017). It was through this collection method that economic and social data was be collected. The data collected from this resource was to address the economic impact of incarceration. It was during this period a significant income loss occurred within the home of those incarcerated (Maroto & Sykes, 2016). There was social construct that took place when a change in organic familial dynamic occurred. There was a transfer of economic, psychological, and social support that also took place. This data source was used to identify which family member(s) assumed economic and parental responsibilities when parental incarceration occurred within their home.

Freedom of Information Act request were submitted for information that was not readily available through normal public access (Office of Information Policy, 2020). The timeframe in which request are submitted is determinate on the nature of the request. A BOP simple request timeline is 6 days on average, whereas complex request average around 72 days or two and half months (Federal BOP, 2020). Department of Justice

stated any request submitted will have an average processing time of 42 days (simple) to 9 months (complex; U.S. Department of Justice, 2018).

There was a need to maximize the use historical text and legal documents to demonstrate the reputability of the data sourced. When selecting historical references, the original Omnibus Crime Control and Safe Streets Act of 1968 and the revised version of 1994 served in that capacity. The Crime Control act of 1990 and the Law Enforcement Enhancement Act of 1995 also served as additional point of reference. The rationale for using historical text and legal doctrine was to address the legislative laws and practices that impacted minority communities generationally (Gould, 2014). Electronic versions of documents were available through normal online access which did not require an official request. A request was still submitted for both legal and ethical purposes. The reference of laws passed by current and past legislators demonstrated reputability of this source. There was specificity when there was an identified targeted legislative agenda. The use of tough on crime campaign platforms transitioned from campaign promise to generationally impactful laws which currently exist and still as effective. (Gould & Spearit, 2014)

Data Analysis Plan

The implementation of an effective data analysis plan required analytical software which added a quantitative component to the study. Statistical packages for the social sciences were used for converting written data into numerical data. All data gathered through interviews was converted to graph and pie chart format so cross comparisons of the various ethnicities who participated in the study could be conducted. Data cleaning

was dependent upon the accuracy of the data provided by participants. The data was compared to ensure there was no repetitive information was provided. Data from one sample group was cross referenced to identify any inconsistencies which would make the data set obsolete. The number of participants had to be substantial enough to prevent data loss which would invalidate the study.

The null hypothesis (H_0) was African American households were more adversely affected by parental incarceration when compared to Asian, Hispanic, Indigenous and Pacific Islander households that experienced the same phenomenon. The alternate hypothesis (H_1) in this study was minority families collectively were likely to experience greater economic hardship during incarceration than non-minorities families. Statistical testing used for this study was an analysis of variance testing. It was used to determine how incarceration that served as the dependent variable related to the minority family unit which served as the independent variable for this study. The rationale was to test the hypothesis across various minority family units studied then compare the means among the five minority groups. The inclusion of confounders and the influence they had on the independent variable were addressed. The confounding variables were economic, psychological, and sociological experiences which occurred as a result of incarceration within the minority family.

The results were interpreted using probability values that served as indicators. An example was the likelihood of African American male/female incarceration compared to Asian, Hispanic, Indigenous and Pacific Islander male/females experiencing the same phenomena. Also, the economic impact experienced by minority groups and was there a

direct correlation to incarceration or were there other mitigating factors. Interpretation included the psychological and social implications utilizing odds ratios that children with an incarcerated parent had greater difficulty learning and were themselves more prone to incarceration as a result. Data cleaning for this study detected and deleted any data that did not support the hypothesis its alternative and the research question(s). When gathering data for the study it was inherent the data was accurate and consistently aligned with the research question(s) and topic.

Attribute coding was the coding used in this study it afforded the researcher the ability to apply the technique with multiple participants at multiple sites with various forms of data gathered (Saldana, 2016). NVivo coding was applied to the study. It allowed use of short phrases from participants own language to be used as code. The last coding method used was initial coding. This method of coding was used to give an in-depth breakdown of the data individually and compare it to identified similarities and differences. The examination of each distinct element provided insight across a broader spectrum of incarceration and the impact it had on minority family units. Coding software used to support this study are qualitative data miner lite and NVivo software packages. They were used to conduct qualitative analysis of the data gathered through interviews and random surveys.

The plan in this study was to utilize both quantitative and qualitative data to address the research topic and research questions. Quantitative data collected served as a baseline for number of interviews needed to support the qualitative data requirement. Interviews and random surveys were utilized to meet the qualitative elements of the

study. Once maturation was achieved through surveys and interviews the data was integrated. Quantitative data gathered through statistical analysis was used to determine the number of subgroups identified needed to serve as a representation of the larger group as defined. The statistical data provided an overall number of how incarceration impacted minority communities. Quantitatively provided data was measured while simultaneously providing an unmeasurable humanistic aspect on how this phenomenon impacted the individual directly.

Threats to Validity

There were two potential threats identified prior to selection of participants and research. The first was population characteristics, the idea of participants willing to be truthful and forthcoming with information vital to the research topic. The selection of participants primarily from minority groups had to represent the larger minority population being studied. Participants in this study had cultural norms which that had to be overcome. When addressing external threats, the selection process was a prime factor to determine if participants met baseline criteria required for study participation. A few requirements of necessary criteria were, they had a family member incarcerated. The individual incarcerated was a parent or they assumed parental responsibility because of incarceration. Finally, the incarcerated individual was the affected household's primary breadwinner.

The specificity of selection was necessary in supporting variables which were key to the study to address the topic of research and research questions. The factors that contributed to the selection process also served as experimental variables. This was to

ensure participants did not suffer any stigmas associated with familial incarceration. They remained completely anonymous. Participants were assigned random number codes further ensuring anonymity throughout the study. There was no contact with other participants of the study.

The immediate threats to internal validity that had the most profound effects on the study were maturation and attrition. The significance of these threats had the potential to undermine the main tenant of the research topic chosen for this study. The maturation effect could occur at any time. It took place in a timeframe ranging from a few hours to a few days. Fatigue, boredom, and hunger occurred during the interview process when it took longer than originally advertised. The human element, in this case participants, had the greatest impact on this study serving as the dependent variable. The other threat to internal validity was attrition, this could invalidate the study if selected participants chose to leave at any point during the study. There was no scientific proven measure that prevented attrition, however, to mitigate this threat, the pool of participants was ensured their participation in the study would be brief. They were notified of possible compensatory measures for their time, if necessary.

There was one threat to construct validity that was found in the current study. The variables of the family unit and incarceration were not the only variables of interest for this study. The change in family dynamic because of incarceration was the primary focus of this study. Economic, psychologic, and social elements were also variables that were addressed that could be studied individually and in a standalone study. The main variables of focus for the current study was minority family units and how they were

changed by incarceration. It was important that I not to place emphasis on causes of incarceration but the effect it had on those who experienced it.

Issues of Trustworthiness

The strategy implemented to help show credibility was through a triangulation of sources. This was necessary for the current study due to the inclusion of five separate minority populations. The use of multiple populations was required when interviewing participating populations at various locations and times. Populations studied were regionally located, this was effective in better understanding their shared experiences. The data collection methods were the same throughout the process to ensure data collected was not duplicated. It was necessary to minimize contact with participants to prevent creating false positives. When the study was completed, that data could be viewed as objective based on the nonexistence of a relationship among myself and participants. It was through this strategic approach credibility was proven and maintained.

The strategy applied supplied evidence to colleagues within the field and those outside. This allowed expansion of the current study when gaps were found. It could also serve as a base for future studies similar in nature. The populations studied were afforded the opportunity to take part in a follow-on study that addressed variables of interest to any of the five minority groups. When selecting participants, a regional approach was used to cross reference data received from an African American family in Michigan and compare it to an Asian-American family in California. The comparison of data on the shared experiences was separated by ethnicity and locale. This served as a triangulation

source through the convergence of data collected from each participant to gain a comprehensive understanding of minority incarceration on the family unit.

The last element of trustworthiness proven was confirmability. This was based solely on the narratives provided by participants during the interview and survey processes used for data collection. The best approach to ensure that confirmability was attained was through participants individual narratives. Participants were afforded the opportunity to review the data they provided at the conclusion of the interview. This was an integral part to ensure shared experiences supplied were solely the participants. It also brought a level of comfort to participants hearing their story in their own words. As a researcher with a criminal justice background topic choice was approached objectively. The study was ethnographical by design to better understand the shared cultural themes that were associated with incarceration. The theorem of minority families experiencing higher incarceration created added hardships when compared to non-minority population. The purpose of this study was to analyze the data collected, interpret the results, and provide a conclusion. All data was carefully analyzed to supply a sound conclusion which would be more definitive if a follow-on study was conducted.

Ethical Procedures

All agreements needed to gain access to participants and data was two-fold. They were voluntary and only data agreed upon with written consent was collected during interviews. This was applied in the event there were any last-minute concerns on behalf of the participant. Consent forms were provided to participants who agree to take part in the study. The forms were returned prior to interviews session, or the participant could

take part in the study. Those who took part through the survey process provided authorization for use of their response for the sole purposes of research.

The treatment of participants was with the utmost respect, it was key their privacy and any information provided was kept confidential. Those who took part in the survey were not asked questions pertaining to crimes nor were they to provide the incarcerated family members names. Participants were asked basic question prior to taking part in the study such as their age and to give their full consent for use the information they provided. They were not asked to supply any personal identifiable information like full name or physical address. They were afforded the possibility at any time during the process to opt out of the study. They were again informed at the time of interview scheduling their participation is strictly voluntary and they could still opt out if they so choose. Institutional Review Board requests were sent for the study and approval was obtained. When Institutional Review Board approved my request, #09-08-21-0403744, the interview process was conducted and included as an appendix in the final study.

Ethical concerns relating to recruitment were minimal, concerns were more cultural in nature and was integral to the recruitment process. Materials were disseminated as widely as possible to ensure there were enough recruits to represent each minority groups and subgroups mentioned in the study. All materials were printed in native languages preventing any confusion about the data collected. This was to ensure those who had English as their second language could supply data for the study that was not considered in previous studies. The current study addressed the topic and research questions that were designed to speak to the specific interest of those affected by

incarceration. It allowed them to ask question they were afraid to ask in prior studies. Throughout the course of this study, the participant's interest was the focus of data collection, recruitment and concerns of ethics associated with human research studies. There was no reprisal or recourse for those who withdrew from this research project. The data they supplied was destroyed or returned to the individual in the same format that it was received.

All archival data included in this study was available through freedom of information act channels or was already a matter of public record. The data that was archival was anonymous and did not have names or personal identifiable information. The data was statistical in composition. This data was available through the Bureau of Indian Affairs, Bureau of Prisons, Department of Justice, databases, respectively. Once data was collected it was kept in a locked file box that was password protected. Data was stored on a laptop dedicated solely to data collection and protection. All data would be maintained at the completion of the study per Walden University research guidelines, any written notes were kept and archived for those who chose to participate in a follow-on study.

This study was conducted in a neutral environment so participants privacy during the interview process was not infringed upon. It was important that during interviews it remained conversation driven so elements of power differentials were kept to a minimum. As a researcher, I found this to be a main tenant of the research process especially in the realm of ethics. Since the participants did not have any input on the research directions or modes of inquiry, questions were open ended and fluid. The

questions were ethically drafted so they were not invasive and would undermine the overall study. This study spoke to the economic hardships associated with incarceration. Those who chose the interview process were offered a small incentive for their time in the manner of a gift card. A cash options to every individual proved to be expensive, so anyone who received a gift card was randomly selected.

Summary

The purpose of this mixed-methods study was to examine how minority incarceration impacted the family unit. The research focused on the economic, psychologic, and social change that took place as a result on incarceration. The researcher used the following data collection methods: interviews, surveys, archival data, and document analysis. Data was stored and kept in NVivo. Qualitative data analysis miner lite was used to mine quantitative data that corresponded with each minority group and location. NVivo was used to find common themes identified through interviews, surveys, and peer reviewed journal articles as part of document analysis. The study was conducted per all university ethics requirements as mandated by the Institutional Review Board at Walden University. A stratified sampling of one hundred participants was used.

20 interviews were conducted, and five hundred surveys were made available online. Consent forms were provided to participants and had contact information of Walden University's Institutional Review Board personnel if there were questions or concerns about individual rights when participating a human research study. In Chapter 3, I included research design and rationale, methodology, data collection, data analysis plan, threats to validity and reliability, consent, ethical consideration and procedures and

summary. In Chapter 4, I will include introduction, setting, demographics, data collection, data analysis, results, evidence of trustworthiness and summary.

Chapter 4: Results

The purpose of this study was to find what correlation, if any, existed between minorities and mass incarceration. Incarceration rates among African Americans, Asian-American, Indigenous, Hispanic and Pacific Islander varied, but the one commonality that existed between the various ethnicities was the change in family dynamics (Western & Wildeman, 2010). The central focus of the study was the family unit and how it adapts to the incarceration of a parent or parents regardless of ethnicity. Incarceration was the dependent variable, and minority family unit was the independent variable to find a correlation between incarceration and family units from different ethnicities. When addressing economics and its impact on the family, a quantitative approach was taken. When addressing social implications or socioeconomic contributing factors, a qualitative analysis was used to gain more insight into how each member in the minority family unit are affected individually. In Chapter 4, I will include introduction, setting, demographics, data collection, data analysis, results, evidence of trustworthiness, and a summary.

Setting

There was not any noticeable trauma that influenced participants due to surveys being online and anonymous. All in-person interviews were cancelled due to safety concerns. Any trauma that may have been present would not have been made known to me. The structure of the study was designed to prevent personal intrusion and participants could opt out of the study at any time if they experienced emotional distress.

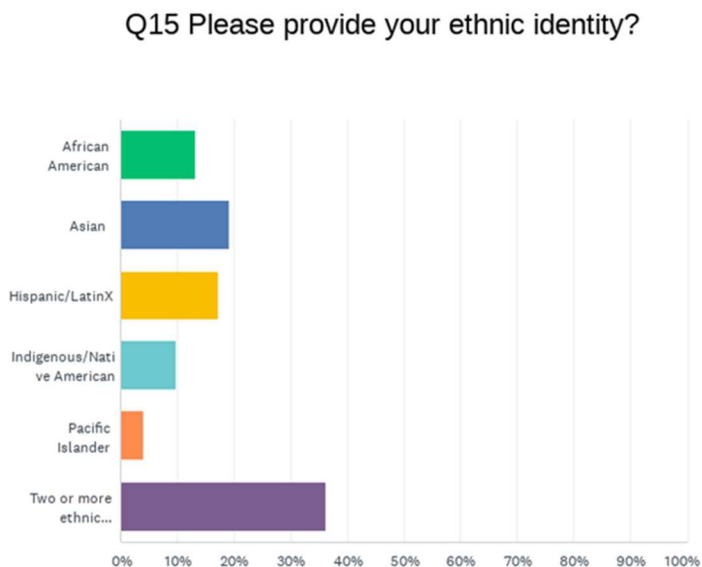
Demographics

The requirements for participants to take part in this study are minority families with an immediate family member currently or previously incarcerated who had to relinquish parental custody during the period of incarceration. The participants must fall within one of the known minority groups to include but not limited to African American, Asian/Pacific Islander, Hispanic and Indigenous demographics, respectively. Eligible participants were regional and represented the states of California, Louisiana, Maryland, and Michigan this was necessary for comparing incarceration rates between the different minority groups from various regions. This regional characteristic served a dual plurality as it provided population and employment demographics, which provided social and economic data that spoke to financial and societal hardships often associated with the incarceration of a family member.

The total number of survey participants was 265. Due to state and local health guidance in person surveys were not conducted. There were 35 African American, 51 Asian American, 46 Hispanic/LatinX, 26 Indigenous/Native American. 11 Pacific Islander and 96 two or more ethnicities (see Figure 1).

Figure 1

Participants by Ethnicity



Qualitative Data Collection

Qualitative data collection was conducted using the survey method. The online survey was conducted over a 90-day period. The online survey was made available to participants through Survey Monkey. Recruitment of participants was done using Facebook, Instagram, and Twitter social media platforms. There were no volunteers for the in-person interview process. Data provided using this method was participant’s age, ethnicity, gender, household income, and regional demographics. Additional data recording was achieved through archived statistical data available from various agencies in the form of charts and graphs.

There were no known variations in data collection previously presented in Chapter 3. However, when recruiting volunteers, they opted to take part in the study through the online survey and questionnaire method due to its anonymity. During data collection there were added statistical data provided that was not listed in data collection. There was an added ethnic group that had not been accounted in the data plan discussed in Chapter 3, Two or more ethnicities. Original data collection plan identified the following groups for identification: African American, Asian American, First Nation/Indigenous Hispanic/ LatinX and Pacific Islander minority groups, respectively. The additional two or more-ethnicity demographic comprised 36% of study participants (see Table 1).

Table 1

Response Percentage by Ethnicity

Answer	%	Frequency
African American	13.21%	35
Asian	19.25%	51
Hispanic/LatinX	17.36%	46
Indigenous/Native American	9.81%	26
Pacific Islander	4.15%	11
Two or more ethnic identities	36.23%	96
Total	100%	265

Quantitative Data Collection

Quantitative data collection was done through data available through the Freedom of Information Act. The data collected using this method was available through open-source information available through the website of BOP, Federal Bureau of Investigation and United States Sentencing Commission, respectively. A Freedom of

Information request was submitted to each agency even though there was open-source information available; the request submitted were more detailed than the information readily available through open-source channels. The data requested asked for the number of incarcerated minorities who were parents. The request submitted was considered a complex request and required additional processing due to the specificity of the information. The processing time for specific request was estimated to take between 45 and 270 days. The request was made early in the study; however, due to real world events of COVID-19 in person data collection was not possible at the respective agencies. I had to rely on email and mailed correspondence.

Qualitative Data Analysis

When conducting qualitative data analysis there was not a need to move data from coded format to a larger representation as the data collected were categorized primarily by ethnicities and locations. There were no added themes used for this study. There were specific categories used to collect data; however, one specific theme revealed during qualitative data analysis was the “two or more ethnic identities” demographic. The demographic was relevant to this study as it presented an understudied minority demographic that functioned as a subgroup originally not considered for the study.

There were codes readily found that aligned with the study. “Minority” was the overarching theme that resonated throughout the study. There were several codes that stood that related to the study, “time” as it relates to separation from the family unit. The “relationship” code was readily identified as one which exists between both “parent-child” and “extended family” during the period of incarceration. Psychological effects

and trauma were also thematic codes that appeared from the data. There were also different traumas that appeared, family, financial and individual emotional traumas that were experienced by the those affected by incarceration. In total there were fifteen identifiable coded units that are thematic. Those found can be categorized under each research question posed in the study.

There were several discrepant cases due to non-completion of survey and could not be factored into the study. The cases that were consider discrepant in this case did not provide any identifiable information, who completed the study, their ethnicity, or the nature of their association with mass incarceration. It was due to this discrepancy those were not considered for this study. The total abandonment rate was around 36%, or 146 participants began survey as some point but did not complete it. The intent overall intent was to have 500 participants with roughly 100 per minority group to ensure adequate representation (see Table 2)

Table 2

Survey Participation Abandonment Rate

Response	Frequency	Percentage	Percentage (Valid)
African American	33	7.7%	20.5%
Asian	32	7.5%	19.9%
Hispanic/LatinX	25	5.9%	15.5%
Indigenous/Native American	14	3.3%	8.7%
Pacific Islander	7	1.6%	4.3%
Two or more ethnic identities	50	11.7%	31.1%
Total (Valid)	161	37.7%	100%
Missing	266	62.3%	
Total	427	100%	

Quantitative Data Analysis

The quantitative data analysis conducted for this study provided incarceration rates for each minority group that participated in the study. The rates of incarceration by year provided a different statistical data set that was not accounted for or previously considered. There were data sets provided by the Department of Justice that comprised an unknown number of individuals who were of multiple ethnic backgrounds. Data sets provided by the Bureau of Justice Statistics offered insight on the number of those incarcerated in both federal and state prisons that had minor children. There were several thematic codes identified during the quantitative analysis process. “Parents” was a reoccurring theme throughout the process along with “father”, “mother”, and “children”. Federal and state were identified as codes in this study as well.

Quantitative analysis spoke to those incarcerated at both federal and state level’s parental status during term of incarceration. The number of children affected by parental incarceration provided five specific age demographics, younger than 1, 1-4, 5-9,10-14 and 15-17 (see Figure2). Further quantitative analysis provided parental breakdown by gender in both federal and state facilities. Statistics showed that nearly half those incarcerated in state facilities and a little more than half incarcerated at federally controlled prison facilities had a least one minor child. Additional analysis showed that more than half of parents in state prisons were female when compared to their male counterparts who comprised just under half.

Table 3*Age Demographic of Children with Incarcerated Parents*

Age of minor children at time of interview (in years)	State prison			Federal prison		
	Total	Male	Female	Total	Male	Female
Younger than 1	1%	1%	.9%	.2%	.2%	.2%
1–4	18.2	18.5	15.5	12.7	12.8	11.2
5–9	32.8	32.9	31.4	31.1	31.1	30.9
10–14	30.5	30.2	33.6	35.6	35.6	35.7
15–17	17.5	17.4	18.6	20.3	20.2	22.0
Mean age	9.2 years	9.2 years	9.7 years	10.1 years	10.1 years	10.3 years

Note. From Bureau of Justice Statistics, Survey of Prison Inmates, 2016. Details may not sum to totals due to rounding. A minor child is defined as a biological or adopted child age 17 or younger at the time of the interview. Estimates based on 10 or fewer sample cases, or coefficient of variation is greater than 50%.

Results

Qualitative Results

What are the social and psychological effects of incarceration on children in single and dual parent households? There were several notable effects that qualitative data collection correlated directly to social and psychological strains associated with incarceration and its impact on minority family units. A noticeable social impactor was the relationship status during the period of incarceration. It was during this indeterminate time away from the child that an altering of the parent-child paradigm took place. This inversion created a strain that was noticeable later in the child's adolescent years, when the question was posed to participants if there was any noticeable behavioral changes response ranged from none at all to a great deal. Participants were also asked if there were any psychological hardships just under half of respondent stated there were some hardships experienced by the members of the family.

Participants were also asked if there were any social hardships as a result of incarceration and responses ranged from none at all to a great deal. Participants were asked about any associated stigmas brought about as a result of incarceration just under half answered yes to this question. Participants also noted they experienced moments of societal isolation ranging from a great deal to none at all. Participants also noted a change in parental responsibilities due to incarceration. Those that experienced this change was just under half of the total respondents to the survey. Those who responded to the follow-on question of who assumed parental responsibility, responses were from grandparents to friends and other.

Quantitative Results

What are the economic implications of minority incarceration on the family unit? There were economic implications with a direct correlation to how households with an incarcerated family member were adversely impacted. Eighty-five percent of households experienced the incarceration of at least one family member. The same household also experienced a reduction in household income by 64%. According to participants in this study at least 112 stated the incarcerated family member was the primary breadwinner. Forty-one percent of participants in this study experienced economic hardship during the period of incarceration. It was during this time that 49% of participants also provided financial support creating additional financial challenges. Participants were posed with the question, was there need for additional or external financial assistance.

Eighty-six participants or just over 32% said this need existed. One socioeconomic factor that contributed to or limited earning potential within the household

was education level. Earned income potential was greatly diminished in homes with an incarcerated family. Fifteen participants reported an earned income of less than \$10,000 per year, while an additional 25 participants reported earning less than \$25,000 annually. There was a reported 58% of females and 57% of those housed in federal facilities were parents. The reported numbers in state facilities where 58% of the incarcerated female populations are parents when compared to the incarcerated male population which was 46%.

How does the changed family unit adapt to social and economic hardship because of incarceration? The altered family unit must overcome several added mitigating factors, from a social perspective the family unit must adjust to isolation and the children often suffer depression, often bullied and or may become aggressive. The minority family unit often became withdrawn from their social peer groups due to the incarceration of a family member. Children involved took longer to adjust to changes in the family unit. As previously said, family trauma was experienced by all involved as there was an identity shift when the primary breadwinner was incarcerated. When household income was diminished there became a need for some form of supplemental economic support. Social support services offered some relief by way of government aid. The one adaptation that happened was the change in parental responsibilities, it was now that an extended family member or long-time family friends were called upon to be the new village for children affected by parental incarceration.

How does legislative laws and practices inform mass incarceration of minorities? There were several legislative measures that have been enacted over the last four decades

that are presently in effect. These antiquated laws and practices contributed to the incarceration of minorities at higher rates. The numerous laws enacted such as Law Enforcement Assistance Act of 1965, Omnibus Crime Act of 1968, Violent Crime Control and Law Enforcement Act of 1994, PATRIOT Act of 2001 were some of the laws or acts that at a macro level had profound effects on minority groups. Each state used federal mandates to create laws viewed to be controversial such as the “Three-Strikes Law” in California aimed at repeat offenders and gang members. “Stop and Frisk” in New York was believed by some to specifically target the African American and Hispanic/LatinX male demographic between the ages of 12 – 25. Through the enactment of laws and practices each state had the responsibility of how they chose to address crime, and it was through mass incarceration some states addressed crime and recidivism.

According to Maroto and Sykes during a study conducted in 2016 there was an inversion of economics that took place during incarceration where a reduction of income in the effected household is 64%. That same household also experiences an increase in debt of 85%. There were forty respondents that reported income levels below the poverty guidelines of 2021. The economic impact experienced by the family upon incarceration there eighty-six respondents that stated they experienced a financial hardship which required external financial assistance. There were 112 participants that said the incarcerated family was the primary breadwinner who contributed to the debt the household incurs during the period of incarceration.

The social impactors of incarceration were addressed as to what extent the family experienced social hardship during the period of incarceration. Participants were asked if

there were any social or societal experiences endured by the family, 36 participants stated there was a great deal of social hardship experienced members of the family, while 53 stated that a lot of hardship was experienced. There is a notable difference between the two sets of respondents which will be addressed with greater detail as they have both emotional and psychological implications which correlate to research question. In addition to stigmas being associated with the family during incarceration, there were also periods of societal isolation experienced 33 participants noted a great deal of societal isolations along with forty-three reporting a lot, forty-two experiencing a moderate amount while 48 reported experiencing little amounts of societal isolation.

There were several laws that enacted at both the federal and state levels that contributed to increased minority incarceration. The lasting effects of tough on crime legislation was still being felt by minority communities, an example of one such policy Nixon's War on Drugs led to harsher sentencing practices The Violent Crime Control and Law Enforcement Act of 1994, supplied over 15 billion dollars for prisons and crime prevention. Each state enacted laws of their own as a response to a national tough on crime stance, none more famous than "Three Strikes" law (18 U.S.C. § 3559 (c) which became codified law on March 13, 1995.

In California, the measure was listed on the 1994 November ballot as Proposition 184. Once passed, it was brought before for the California legislature as Assembly Bill 971. This piece of legislation was created in response to several incidents that took place prior: Rodney King verdict and LA Riots (29 April- 4 May 1992); the Brinks robbery Rochester, NY and Langley Shooting Langley, VA (January 1993), World Trade City

Bombing NYC; Branch Davidian siege Waco, TX; West Memphis Three West Memphis, AR; Gian Ferri law firm shooting San Francisco, CA. The incidents that occurred between January 1992 and December 1993 were cause for political concern nationally due their occurring during gubernatorial and presidential campaign season.

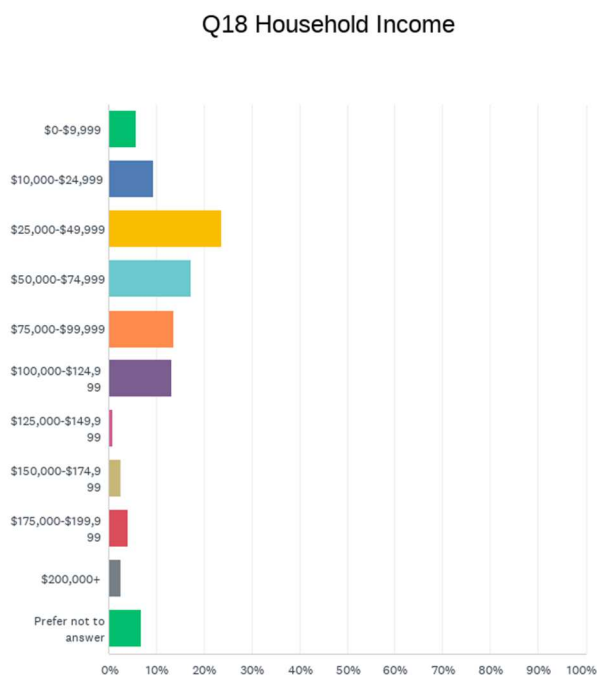
The sample size for this study was 250 voluntary participants who identified as being one of the known recognized minority groups. Responses were categorized by which minority group they most closely identified, of those participants 13.2 % were African- American, 19.25% Asian, 17.36% Hispanic/LatinX, 9.81% First Nation/Indigenous/Native American, 4.15% Pacific Islander and 36.23% identified with two or more ethnic identities. When conducting a statistical analysis for this study it was predicated on the dependent variable being the minority family unit with incarceration, economic disparity, and transgenerational incarceration serving as independent variables.

The first research questions addressed spoke to the social and economic effects of incarceration on children in single and dual parent households. When addressing the social aspect of incarceration, the participants were asked to what degree were social hardships experienced by the family ranging from a great deal, a lot, a moderate amount, a little, to none at all. Seventeen percent stated there was a moderate amount of hardship experienced socially whereas 13.5 % stated they experienced a great deal of social hardship. Economically, 42% of participants said the incarcerated family member was the primary financial contributor, while 49% reported supporting the family financially during the period of incarceration. The primary socio-economic factors that contributed to mass incarceration based on participants responses to educational status, income level

and occupation if applicable. The more notable factors were income as there were forty participants who reported incomes less than \$25,000 annually, of those 16 participants reported annual incomes of \$10,000 or less (see Figure 2) The economic strain placed on the household was clear as there was dire need for external financial support, 86 participants answered there was a need for some form of external financial assistance.

Figure 2

Household Income



The social aspect was addressed when participants were asked if there were any associated social stigmas, 45% of participants said there were some social stigmas. When the question of social hardship was asked, 13.6% of participants said they experienced a great deal endured, 20% responded a lot, about 17% responded a moderate amount, and

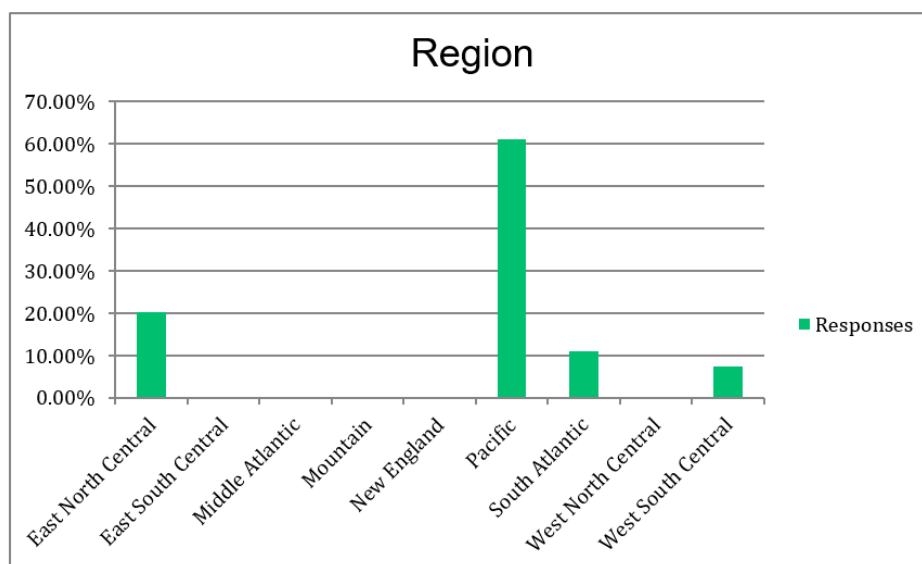
34% responded “not at all.” The alternative hypothesis was supported by the research question how legislative laws and practice informs mass incarceration of minorities. This question was supported through the passing of legislature such as the “three strikes law,” violent crime and law enforcement act of 1994 and the Omnibus Crime Bills of 1968 and 1990. Additional data that supported this increase of minority incarceration was provided by Bureau of Justice Statistics an example of one such practice was New York City’s stop and frisk. According to statistics from both the Center for Constitutional Rights and the NAACP, African American and Hispanic/LatinX were racially profiled comprising 84 % of all stops was ruled a violation of the U.S. Constitution’s 4th amendment by Judge Shira A. Scheindlin. The state of California’s implementation of the three strikes law, saw an increase of minority incarceration within its borders. African American comprise only 5.6% of the state’s male residents but 28.5% of the state male prison population. (Goss, Gumbs, Harris, & Hayes, 2017).

The post hoc analysis conducted was a two-way analysis of variance that tested the economic, psychological, and social impacts of incarceration on the minority family unit. There was one statistical anomaly that appeared as a new independent variable, the introduction of an additional minority group. The emergence of the two or ethnicities demographic was not considered part of the null hypothesis or its alternative. The main study was to address impacts of incarceration on minority families, which were the five known minority groups. The addition of this sub-group afforded me an opportunity to address this new demographic in a potential follow-on study.

Evidence of Trustworthiness

The implementation and use of triangulation of sources was necessary as it involved six different populations. There were no adjustments needed outside of safety health protocols due to the pandemic. Although multiple populations were needed for this study their regional locations afforded the researcher the opportunity to gain a different lived experiences that as a data source would not be duplicated. Contact with participants was limited to their spent on either the interview or random survey. In summary, there was not a need to adjust credibility strategies outlined previously in chapter 3.

The use of surveys with open ended questions were used to supply evidence to both colleagues within the field and individuals outside of the social science community, so this study could be expounded upon or used as the base for future studies. The populations studied had potential to be used in future studies similar in nature. The minority demographics in this study could take part in follow-on studies as variables of interest in studies that address economic, psychological, or social concerns within those specific communities. Participants were selected based on geographical location to serve as a cross reference of data between an African American family in California with their counterpart in Maryland. The comparison of data from completely separate shared experiences as viewed by ethnicity and locale (See Figure 5). This served as a triangulation source through a convergence of data collected from each group of participants which helped supply a comprehensive understanding of minority incarceration on the family unit.

Figure 3*Participant Breakdown by Location*

Credibility was achieved in this study by triangulating sources with each providing specific information that related directly to each of the six ethnic groups who participated in the study. There were no required adjustments other than health protocols due to the pandemic. Multiple locations were needed for this study which afforded me an opportunity to gain additional insight into the shared lived experiences of those impacted by incarceration. The objective of the of this study was to highlight the impact of minority incarceration on the family unit. Through the use of random surveys, literature review and open-sourced information. The need to ensure credibility was through voluntary surveys. A thorough literature review was conducted by way of an intensive peer reviewed article search using specific Boolean search terms. I reviewed articles for their relevancy to the study and kept those viewed within a six-year window. Freedom of

Information Act request were submitted to several government agencies based on their processing times provided by their public information officers. This was done in lieu of the open-sourced information available on agency websites. There were specific data sets that were requested that were not readily available solely through open-source channels.

Transferability was achieved through the use of five known minority groups, African American, Asian American, First Nation/Indigenous, Hispanic/LatinX and Pacific Islander. The results of this study could afford future researchers the opportunity to study the known minority groups in greater detail. Each of the minority groups aside from the African American demographic could be studied stand alone. Asian/Pacific Islander along with First Nation and the two or more-ethnicity demographic could be used to further research into the effects of mass incarceration on minority families. African American were viewed as those solely affected by mass incarceration; however, this study shows that other minority groups are as adversely affected yet they are more grossly underreported and studied. First Nation/Indigenous communities like the Asian American and Pacific Islanders are not monolithic in composition. The two or more ethnic demographic was a finding that can be discussed in future studies.

Dependability was achieved through use of data available through both Freedom of Information Act and open-source methods. The need to ensure that data being provided was accurate, multiple data sources were used in this study. Auditable resources were used to ensure that data used could be traced to the sourcing authority. It was this through this action that surveys, and open-sourced data was reviewed prior to being implemented. The key was to remove subjectivity from the responses received by

participants when questions were answered. Although the need for the lived experience or real-world impact incarceration had on minority families was important, questions were framed to receive yes or no answers. The survey process provided the study with objective answers that supported the research questions. The underlying intent was to receive data that supported the research questions, the alternative, and null hypotheses.

Confirmability was achieved through narratives provided by the participants. The main tenant was to get the lived experience from each minority group studied. The outcome of the study was to both confirm the impact of incarceration on minority families and compare the collateral effects of economic, psychological, and social traumas associated with the phenomenon. When addressing confirmability, the same open-ended questions were posed to eligible participants from various regions of the nation through the survey process. The research question asked what impact on minority families does familial incarceration have economically, psychologically, and socially. The same question was posed to participants of five known minority groups through an anonymous survey.

Intra-coder reliability was achieved through the use of coding programs MAXQDA and NVivo. There were seventeen identifiable codes noted during the data collection process that were themes worth noting. Each of those identified had significant findings related to the study and supported research questions. Initial coding in the early stages of the study identified eight codes that supported both the topic and research questions addressed in the study. Once both qualitative and quantitative data sets were collected, there were additional codes identified after surveys were conducted. There

were reoccurring themes and sub-themes identified when using coding software. Manual coding themes and subthemes were compared to those identified through the use of coding software to ensure reliability.

Summary

In Chapter 4, there were several research questions that were addressed in this portion of the study. Research questions were drafted with the three primary tenets in mind, which were the economic, psychological, and social aspects of incarceration's impact on the family. The first research questions answered spoke on both the economic and social effect on dual and single parent households. The impact as experienced by the family through an economic lens was the reduction in household income and earning potential. Socially, there were instances that some family units experienced societal isolation. There were also cases that participants stated there were psychological effects experienced by the family unit. The socio-economic factors that contributed to incarceration was noted as being the amount of minority family units that were financially disadvantaged living below the poverty line.

When placed in context in the form of data, half of the participants stated the incarcerated family member was the primary breadwinner. The question of how the changed family unit adapted to economic hardships encountered because of incarceration was also addressed. Some participants stated there were psychological hardships so dire in nature that professional help was required. There was also a need for external financial assistance. There were participants who experienced both social hardship and societal isolation on a ranging scale from a great deal to a none at all. There were also reported

social stigmas associated with the incarceration of a family member. The final question which the study addressed was how legislative laws and practices informed the incarceration of minorities.

The legislative laws aspect was addressed by speaking on the passage of policies like stop and frisk or three strikes laws. The creation of such policy was made possible through their birthing from national legislation such as Public Law 90-351: Omnibus Crime Control and Safe Street of 1968. The passage of Public Law 103-322: Violent Crime Control and Law Enforcement Act of 1994 was viewed by many as a response to several events that some lawmakers deemed a warranted response to crime was reactive in nature. The statistics provided by Bureau of Justice Statistics showed increased minority incarceration over a 20-year span and stated that African American were still incarcerated at rate of five times that of their Caucasian counterparts over that same time span. In Chapter 5, I will include introduction, interpretation of findings, limitations of the study, recommendation, implications, and conclusion.

Chapter 5: Discussion, Conclusions, and Recommendations

The purpose of this study was to determine if a correlation existed between minorities and mass incarceration. This study was conducted to view the unspoken strain between law enforcement, legislators, and the minority community. Qualitative methods were used to provide more personable insight from the micro-level of the social impact associated with mass incarceration on the minority family unit. There have been previous studies that addressed sociological perspectives, but this study gathered data that spoke to the secondary and tertiary aspects of incarceration, which included economic and psychological effects. This study asked several questions that were intertwined as each could be studied as standalone phenomenon. However, when addressing the question specifically for this study the minority family was used as a variable with economic and psychological implications as independent variables. This study was conducted under the tenets that incarceration served as an economic, psychologic, social, and transgenerational impactor on the minority family.

This study provided several key findings. An initial finding spoke to the null hypothesis that African American households were more adversely affected by parental incarceration at the same rate as their Asian, Hispanic, Indigenous and Pacific Islander who experienced the same phenomena. It was determined that households with an incarcerated family member needed additional resources during the period of incarceration. Households that had at least one incarcerated family member were more prone to income to debt inversion where the amount of debt increased as earning potential decreased. There were psychological effects experienced not only by the

incarcerated family members, but also their children and their caretakers. Key legal findings in the study were antiquated laws, practices, and policies that specifically targeted minorities, increasing their likelihood of an encounter with law enforcement. It was through those encounters that incarceration was either an initial introduction creating a file in the system or a subsequent strike if they were a resident in one of the 28 states that had three strikes legislation, it led to longer sentencing. The longer sentencing created an indeterminate amount of economic disparity for not only those sentenced but their families.

Interpretation of the Findings

There were several findings that were confirmed during the study. Initial findings through data collection confirmed there were several impactors on the minority family unit that were a direct correlation brought on through incarceration. Economic, psychologic, and social areas were the most adversely affected when the incarcerated family member was a parent and or the primary breadwinner within the home. Another confirmation was the extent to which minority families are impacted by incarceration. Minority families were incarcerated in greater numbers when compared to their non-minority counterparts (Enders, Pecorino, & Souto, 2018). Studies recently conducted were on the incarceration of African American men and women but had yet to address other minority communities that experienced the same phenomena. This study not only addressed incarceration's impact on the African American community but also its impact on the Asian, First Nation/Indigenous, Hispanic/Latin, and Pacific Islander American communities.

Organizational ecology provided a focus on the family using biology, economics, and sociology as variables and how they attribute to the changed family dynamic brought on by the incarceration of a family member (Hannan, 1989). The biological perspective was address through emotional changes experienced by the family when the family dynamic was altered through incarceration. The findings confirmed that there were biological effects experienced by the family that were psychological in nature. Participants stated during the survey there was a change in parental status that had a nominal effect on children with incarcerated parents. Participants also noted a behavioral change and that became a psychological hardship. Participants also addressed and subsequently confirmed the economic aspects of the concept by stating that when the primary breadwinner was incarcerated there was increased debt, so there was a need for external financial support as some participants lived below the poverty line.

Social implications of incarceration were also addressed by participants, that filled a gap discovered in an article by Astley (1985) that spoke on the population and community perspectives. Socially, participants in this study experienced associated social stigmas, hardships, and periods of societal isolation. This was a key finding that confirmed that the forced societal change of incarceration affects both the family unit and the community. In summary, the force societal change has a trans-generational impact through economic disparity experienced by the minority family unit that had an incarcerated family member.

Limitations of the Study

There were several limitations that arose during this study. The first noted limitation was an abandonment rate of 36%, that left me with no way of identifying those participants by their ethnicity or to what effect they were impacted by incarceration due to non-completion of survey. The second noted limitation of this study was when Asian Americans answered the study, they did not specify which subgroups they identified with when answering survey questions. This also applied to both First Nation/Indigenous and Pacific Islander communities. The third limitation identified in this study was as a new minority demographic of two or more ethnic identities. This new minority group did not specifically identify which two parent level minority groups they belong just that they identified with two or more minority groups.

Recommendations

One recommendation would be to study the minority subgroups, which could be stand-alone studies. There were underrepresented minority demographics that according to Bureau of Justice Statistics and the BOP that are classified as unknown due identifying as having two or more identities. When reporting numbers of minority incarceration there were three of the known minority groups that although falling under the overarching name of Asian, First Nation and Pacific Islander; they all have enough subgroups they could be categorized and study individually. I would recommend studying the demographic that reported being comprised of two or more ethnicities. It was noted that upon incarceration those who fell within this category were reported as “other” or not reported at all. As a result of the study’s findings, I recommend conducting studies of the

following: Asian American, Pacific Islander and First Nation/Indigenous along with the multi-ethnicity subgroup of those who are comprised of two or more ethnic groups.

There was enough data collected that would support such a study as the quantitative data provided through Freedom of Information Act and open-sourced data collected would further support such a study. Other communities of color have experienced the adverse impacts of economic, psychologic, and social effects of familial incarceration.

According to data provided by the United States Department of Justice's Bureau of Justice Statistics, there was a growing number of minority parents incarcerated. The statistics provided stated the growing number were Asian American, First Nation/Indigenous and Two or more races were over half or 58% of those in both federal and state facilities within the forementioned demographics are women. The male demographic varies slightly with 46 % in state and 57% in federal having the same designation of parent. Those with the designation of parent in facilities surveyed showed there was a large enough demographic to study not only the parent-child relationship but what are some secondary and tertiary effects of being a minority parent incarcerated with minor children.

This study's intent was to view the impact of incarceration on the minority family unit by asking such questions as what economic, psychologic, and social impacts are experienced by the unit. After concluding research and viewing both qualitative and quantitative data sets, the research questions could be referenced for future research. For instance, how legislative laws and practices informed the mass incarceration of minorities

through such three strikes style legislation that had the most profound impact. There has been legislation thought by many political scholars to have been subjectively drafted, and its greatest impact on minority communities was transgenerational incarceration. A regional view of incarceration's impact can be studied to determine where and how transgenerational incarceration impacts minority families with sole focus on one of the demographics used in this study to include the growing two or more races demographic.

Implications

Positive social change for the family includes preventing the economic, psychological, and social transgenerational effects of incarceration from continuing to impact the family unit post incarceration. The incarcerated individual upon release should be afforded the restoration of some of their basic rights such as the ability to regain their economic footing through gainful employment. There is also a need for therapeutics to overcome the emotional and psychological hardships endured by those directly affected by the incarceration of a family member. Society must take a comprehensive approach to not only incarceration but also how it treats both the incarcerated and their families. The stigmas were commonly associated with two minority groups, African American and Hispanic/LatinX, who experienced high profiled publicity during the peak of incarceration. However, there was the under publicizing and reporting of Asian, First Nation/Indigenous and Pacific Islander incarceration rates yet all experienced higher incarceration rates during this same period. Policy was the primary impactor of minority incarceration and many of the birthing laws and practices were antiquated. These laws need to be revisited or amended to coincide with modern crime legislation such as the

Omnibus Crime Control and Safe Streets Act of 1968 or the Violent Crime Control and Law Enforcement Act of 1994. A majority of minorities incarcerated were for drug crimes, many were for marijuana possession, that has now been legalized in 21 states to include the District of Columbia.

Conclusion

Incarceration is not solely an African American or Hispanic/LatinX problem, it is a societal concern, and there are effects of incarceration that cannot be overcome by a single generation. The money that spent in a prison industrial complex style of public safety could be redirected to social program funding to provide opportunities such as job training or provide college pathways in underserved communities. The funding of community programs can lead to financial independence by creating transgenerational wealth opportunities. There has been talk of defunding the police and reallocating funds to communities that have been traditionally underserved. The common theme from a majority of participants was that incarcerations created an economic disadvantage that is transgenerational in scope.

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Appendix: Freedom of Information Act/Privacy Act



**U.S. Department of Justice
Federal Bureau of**

Prisons

Central Office

August 20, 2020

Huey Ratcliff



Dear Huey Ratcliff:

The Federal Bureau of Prisons (BOP) received your Freedom of Information Act/Privacy Act (FOIA/PA) request. Your request has been assigned a number and forwarded to the processing office noted below. Please make a note of the request number and processing office as you will need to include it in any correspondence or inquiry regarding your request. You requested the following: Breakdown of Native American incarceration rates by tribal affiliation, Asian American breakdown by sub-group Afghan, Chinese, Korean, Pakistani. Pacific Islander by subgroup Fiji, Samoan, Filipino, etc. Also, a breakdown of minority incarceration from the following states: California, Louisiana, Maryland, Michigan. The number of incarcerated minorities who are known, parents.

FOIA/PA Request Number: 2020-03993
Processing Office: Central Office

The time needed to complete our processing of your request depends on the complexity of our records search and the volume and complexity of any records located. Each request is assigned to one of three tracks: simple, complex, or expedited. Due to the large number of FOIA/PA requests received by BOP and the limited resources available to process such requests, BOP handles each request on a first-in, first-out basis in relation to other requests in the same track. Your request was assigned to the complex track and placed in chronological order based on the date of receipt.

We determined unusual circumstances exist as the documents responsive to

your request must be searched for and collected from a field office, and/or the documents responsive to your request are expected to be voluminous and will require significant time to review, and/or your request requires consultation with at least one other agency with a substantial interest in your request. Because of these unusual circumstances, we are extending the time limit to respond to your request for the ten additional days provided by the statute. Processing complex requests may take up to nine months. Pursuant to 28 C.F.R. § 16.5(b) and (c), you may narrow or modify your request in an effort to reduce the processing time.

Pursuant to 28 C.F.R. § 16.10, in certain circumstances we are required to charge fees for time spent searching for or duplicating responsive documents. If we anticipate your fees will be in excess of \$25.00 or the amount you have indicated you are willing to pay, we will notify you of the estimated amount. At that time, you will have the option to reformulate your request to reduce the fees. If you requested a fee waiver, we will make a decision whether to grant your request after we determine whether fees will be assessed for this request.

If you have any questions or wish to discuss reformulation or an alternative time frame for the processing of your request, please feel free to contact the CO at or the Federal Bureau of Prisons' (BOP) FOIA Public Liaison, Mr. C. Darnell Stroble at [REDACTED], or [REDACTED]. You can also check the status of your request online at <http://www.bop.gov/PublicInfo/execute/foia>.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows: Office of Government Information, Services, National Archives and Records Administration, [REDACTED]

Sincerely,

T. Allen

T. Allen, GIS, for
Eugene E. Baime, Supervisory Attorney