

**A REPORT ON ARRESTS ARISING FROM THE
NEW YORK CITY POLICE DEPARTMENT'S
STOP-AND-FRISK PRACTICES**



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I. EXECUTIVE SUMMARY

The stop-and-frisk practice of the New York City Police Department (“NYPD”) has been the subject of significant public debate and litigation. Much of the discourse has focused on the practice’s constitutionality and its impact on African-American, Latino, and other minority communities. A federal court decision, *Floyd v. City of New York*, declared stop and frisk unconstitutional as practiced in New York City. That decision has been stayed and is now on appeal to the Second Circuit. Neither the appeal nor the lower court decision, however, addresses the effectiveness of stop and frisk in combating crime.¹

Supporters and opponents of the practice agree that only 6% of all stops result in an arrest. Yet until now, no known study has sought to assess what happens following those arrests. By analyzing close to 150,000 SQF arrests* from 2009 through 2012 (out of the approximately 2.4 million stops conducted during those years), this report offers new data on the outcomes of the NYPD’s stop-and-frisk practice.

The report’s key findings include the following:

- Close to half of all SQF arrests did not result in a conviction;
- Fewer than one in four SQF arrests—or 1.5% of all stops—resulted in a jail or prison sentence;
- Just one in fifty SQF arrests—or about 0.1% of all stops—led to a conviction for a crime of violence;
- Just one in fifty SQF arrests—or about 0.1% of all stops—led to a conviction for possession of a weapon; and
- Almost one quarter of SQF arrests (24.7%) were dismissed before arraignment or resulted in a non-criminal charge such as an infraction or a violation at the time of arraignment.

The Office of the Attorney General (“OAG”) conducted a series of meetings with prosecutors, the defense bar, the Civilian Complaint Review Board, and the Office of the New York City Comptroller to explore the practical effects of the trends apparent in the stop-and-frisk data. Among others, the following observations emerged from these meetings:

* The NYPD refers to its stop-and-frisk program as “stop, question and frisk.” Throughout this report, arrests that result from the stop-and-frisk program are labeled as “SQF arrests,” and the stop-and-frisk program is referred to as “stop and frisk.”

- The need to avoid collateral consequences of open arrests—including possible loss of employment, housing, student loans, and immigration status—creates an incentive for SQF arrestees to plead guilty; and
- As stops increased, New York City saw a sharp uptick in litigation costs for lawsuits alleging violations by the NYPD. In 2009, for the first time in thirty years, the NYPD became the city agency with the highest dollar amount of legal settlements.

Data Sources and Topics

The NYPD identifies stop and frisk² as a tool to combat violent and gun-related crime and deter future criminal conduct. This report's findings demonstrate the extent to which stop and frisk yielded convictions for serious crimes. The analysis does not address whether stop and frisk deters crime. It also does not analyze or compare the outcomes of SQF arrests to the outcomes of non-SQF cases. Nor does it explore other considerations that may be relevant in assessing the effectiveness of stop and frisk as a law enforcement strategy.

The OAG received data from the NYPD that allowed us to analyze approximately 150,000 arrests that resulted from the more than 2.4 million stops conducted between 2009 and 2012. In addition to providing this essential data, representatives of the NYPD met with the OAG on several occasions to discuss the data, provided further information to facilitate the OAG's analysis of the data, and helped the OAG understand some of the gaps in the data by reviewing underlying records and providing additional samples of data when able to do so.

This analysis omits approximately 5% of arrests for which final disposition information was unavailable and for which it would have required extensive time and effort for the NYPD to provide further information.

In addition, the OAG received information from the Office of Court Administration ("OCA") that allowed us to track stops from arrest through arraignment, disposition, and sentencing. OCA staff members also provided supplemental information regarding the data and consulted with the OAG throughout the preparation of this report.

The report focuses on three major aspects of the data: (1) the patterns observed between arrest and disposition; (2) the nature of the offenses charged by the NYPD at the time of arrest and how those charges were reduced by the time of conviction; and (3) racial disparities observed from the time of arrest to the time of disposition.

Summary of Findings

Tracking Arrests Arising From Stop and Frisk

Close to half of all SQF arrests between 2009 and 2012 did not result in a conviction. Almost one in six arrests (15.7%) were never prosecuted. This typically means that either the NYPD voided the arrest at the precinct or the district attorney declined to prosecute. An additional 10.6% of arrests were dismissed or resulted in an acquittal at trial. More than one in five arrests (21.3%) ended with an Adjournment in Contemplation of Dismissal (“ACD”), which represents neither an admission of guilt nor a finding of innocence. An ACD ultimately results in a complete dismissal and sealing of the case, as long as there is no subsequent offense committed. In most cases, ACDs are functionally equivalent to dismissals and are thus analyzed alongside dismissals throughout the report.

Offenses Charged & Sentencing

Between 2009 and 2012, approximately half of all SQF arrests, representing less than 3% of stops, resulted in a criminal conviction or a finding of guilt for a violation. This report uses the term “conviction” to refer to both criminal convictions and violations, even though violations are not crimes and do not result in a criminal record under the penal law. Thus, an important portion of those SQF arrestees that the report characterizes as “convicted” were not actually convicted of a crime.

Whether for a crime or violation, most of these convictions were for relatively minor offenses. For example, more than 40% were for quality-of-life offenses, such as graffiti and disorderly conduct. The next three most frequent categories—drugs, trespass, and property crimes—combined to make up more than a third of all convictions. In contrast, possession of weapons, including common small knives, such as gravity knives,³ constituted just 2% of SQF arrests, or about 0.1% of stops. Similarly, crimes involving violence constituted 4.2% of all convictions, representing only 2% of all SQF arrests, or about 0.1% of all stops.

Sentencing reflected the relatively minor charges resulting from SQF arrests: (1) fewer than one in four arrests, or 1.5% of total stops, resulted in a jail or prison sentence of any length; (2) approximately 18% of arrests resulted in a conditional discharge (in which a court finds that neither the public interest nor the ends of justice would be served by incarceration); and (3) approximately 8% resulted in a fine or probation. For those sentenced to jail, 48.8% received time served (which occurs when an arrestee has been incarcerated for some period of time before sentencing and no additional, post-sentencing incarceration period is imposed by the court).

In the few instances in which post-sentencing incarceration was imposed, the length of incarceration tended to be short. Less than one in seventeen SQF arrests, or 0.3% of stops, resulted in sentences of more than 30 days of imprisonment.

Racial Disparities Post-Stop

In 1999, the OAG issued an extensive report concerning the NYPD's stop-and-frisk practice. The report demonstrated that, even when controlling for crime rates and the demographics of high-crime neighborhoods where police are more heavily deployed, blacks and Hispanics are stopped at a disproportionate rate. Further, police data reveal that only about 15% of stops are made on the basis that an individual fits the description of a crime suspect.⁴ In this report, stop-and-frisk data confirm that racial disparities documented in stops continue through arrest, disposition, and sentencing. This disparity is especially pronounced in marijuana arrests, in which white defendants charged with misdemeanor marijuana possession after a stop are nearly 50% more likely than blacks to receive an ACD, and thereby avoid a conviction.

Conclusion

This report seeks to contribute to an ongoing conversation about the most effective strategies for combating crime by focusing on a narrow question: what happened following the 6% of stops that resulted in an arrest? In particular, the findings offer insight into the costs and benefits of stop and frisk as a tool for targeting serious crime.

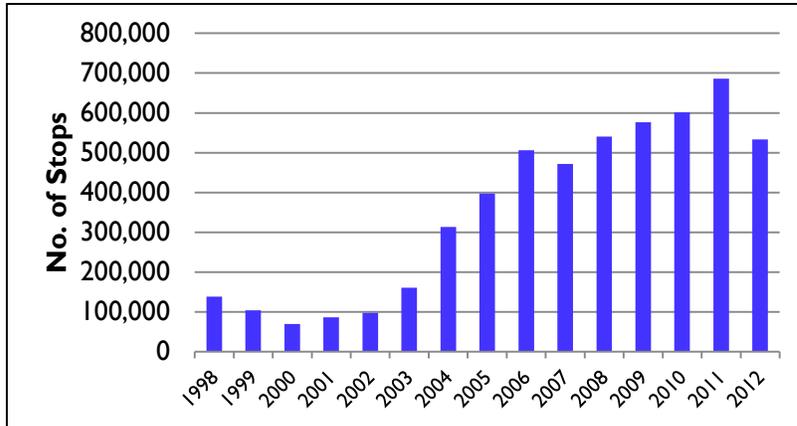
The results are instructive. Among other things, they suggest that approximately half of SQF arrests did not lead to a conviction. For those that did, few involved guns or crimes of violence or yielded prison sentences longer than 30 days. Others convictions were for offenses that are not criminal under the penal law. Overall, such convictions, which include non-criminal violations, represent a very small percentage of total stops.

These findings merit consideration in the broader discussion of the efficacy of stop and frisk as a law enforcement tool.

II. OVERVIEW

In the years since the OAG issued its 1999 report on stop and frisk, public debate about the practice has grown along with the NYPD's use of the practice. As shown by Figure 1, the number of stops conducted by the NYPD has grown dramatically over the last fourteen years, from 69,000 stops in 2000 to more than 685,000 stops in 2011.

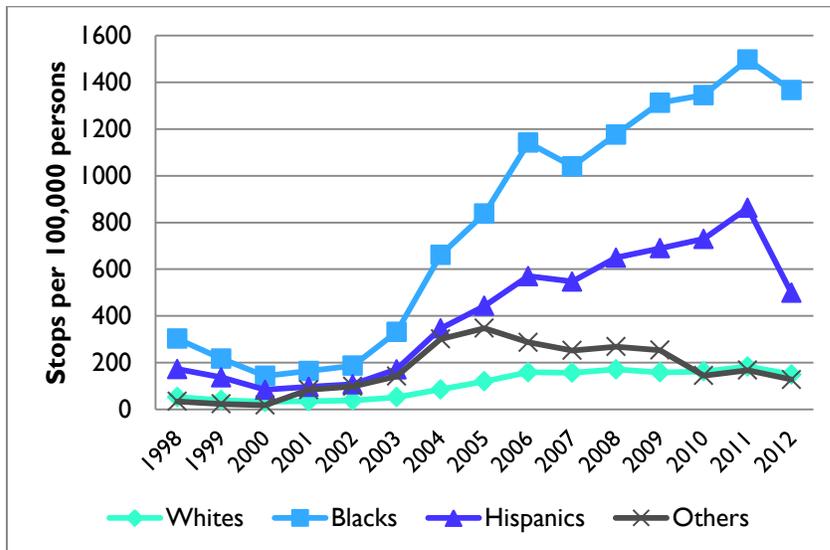
Figure 1: Stops per Year (1998-2012)



Source: City of New York, NYPD, Stop Question and Frisk Report Database, http://www.nyc.gov/html/nypd/html/analysis_and_planning/stop_question_and_frisk_report.shtml.

These stop rates reflect significant racial disparities.⁵ As shown by Figure 2, stops of black and Hispanic individuals account for not only the majority of stops each year, but also the majority of the increase of stops over the past fourteen years.

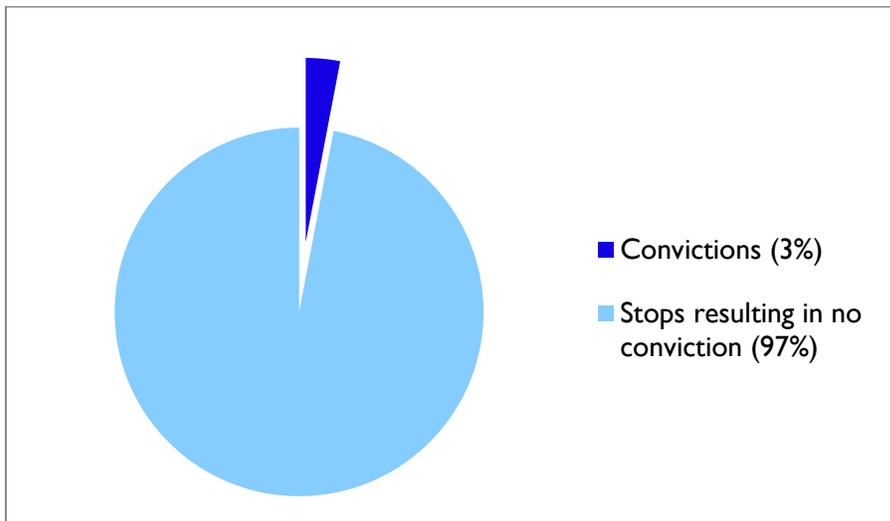
Figure 2: Stops by Race (1998-2012)



Source City of New York, NYPD, Stop Question and Frisk Report Database, http://www.nyc.gov/html/nypd/html/analysis_and_planning/stop_question_and_frisk_report.shtml.

Moreover, the “hit rate”—the number of stops in which an officer makes an arrest or issues a summons—is low: between 2009 and 2012, only about 6% of stops resulted in arrest, and, as shown in Figure 3, only 3% of stops resulted in a conviction of any type.

Figure 3: Stops Resulting in Conviction (2009-2012)



These three facts—the dramatic growth of stop and frisk, racial disparities in the practice, and the low hit rate—have led to intense public debate, legal challenges, and municipal legislation.

III. ANALYSIS OF ARRESTS RESULTING FROM STOP AND FRISK

After years of legal proceedings, municipal legislation, and debates around stop and frisk, there has been no comprehensive analysis of arrests arising from NYPD stops. This section presents the first empirical study of the disposition of these arrests.

The quantitative analysis was conducted by a team of researchers based at Columbia University and retained by the OAG to examine data from 2009-2012, the four most recent complete years of data on stop-and-frisk activity. This team, led by Drs. Jeffrey Fagan and Amanda Geller, conducted an extensive statistical analysis of the data.⁶ The OAG also benefited from the reactions, suggestions, and critiques of Franklin E. Zimring, Professor of Law at Boalt Hall School of Law, University of California, Berkeley; Dr. Delores Jones-Brown, Professor and Founding Director of the Center on Race, Crime and Justice at John Jay College of Criminal Justice, City University of New York; and

Dean Esserman, Chief of the New Haven Police Department. The OAG considered their feedback and made a number of modifications to the report in response.

Section A presents an overview of the report's methodology and a few of the limitations of the data analyzed. **Section B** sets forth basic findings regarding stop and frisk, reached by tracking arrests and following their flow from arraignment to final disposition. **Section C** analyzes the charges associated with the arrests. **Section D** provides a limited analysis of the ways in which the experiences of individuals arrested pursuant to stop and frisk vary by race and ethnicity.

A. Data & Methodology

This report reflects extensive analysis of data tracked from time of arrest to time of final disposition. To identify the arrests that resulted from stops conducted between 2009 and 2012, the NYPD compiled arrest numbers from all UF-250 forms—the worksheets that officers are required to fill out after each stop—and provided these numbers to the OAG. The OAG then submitted those arrest numbers to the OCA. For each matching arrest number, the OCA provided the OAG with information concerning arraignment, disposition, sentencing, and other details.⁷

Ultimately, of the 150,330 arrest numbers identified by the NYPD, the OAG obtained data on 142,596 records, which comprise the following categories:

- (1) 117,427 arrests for which OCA was able to provide arraignment and post-arraignment activity through final disposition;
- (2) 22,362 arrests that were dismissed prior to arraignment; and
- (3) 2,807 arrests that were pending as of August 2013 and thus excluded from analysis in many parts of this report.

The OAG could not obtain final dispositions for two sets of data. First, there were 7,734 arrest numbers that were either duplicates or lacked a complete arrest number, and therefore could not be matched with case files maintained by OCA. Second, of the 22,362 arrests that were not arraigned, the NYPD provided the OAG with files showing that 8,624 were declined for prosecution by district attorneys' offices and 7,384 were voided by the NYPD. The OAG received no information regarding the reasons for non-arraignment in the remaining 6,354 cases. According to prosecutors, some of these non-arraigned arrests are likely "undocketed" or "hanging arrests"—arrests that remain open even though a related arrest charge may have been dismissed or adjudicated. These arrests are discussed in greater detail below. Some of these also may have been arrests of minors that were adjudicated in family court.

The OAG was also unable to determine the extent to which any SQF arrests led the NYPD to uncover outstanding warrants. The data reviewed by the OAG shows that 90 individuals (.06% of all arrests) were arrested for bail jumping or failing to respond to an

NYPD desk appearance ticket, an order to appear at criminal court for arraignment. The data does not show, however, whether additional warrants were uncovered and arraigned separately from the original arrest.⁸ The OAG has not located any publicly available information indicating whether, or to what extent, stop and frisk has enabled the NYPD to apprehend individuals wanted for serious crimes.

B. Patterns Observed Between Arrest and Disposition

The OAG examined data from the years 2009-2012. During that time, stops peaked in 2011 at close to 700,000 and then declined in 2012. In total, there were more than 2.4 million documented stops over these four years, which resulted in approximately 150,000 arrests.

Figure 4: Stops and Arrests (2009-2012)

Year	Total Stops	SQF Arrests Reported by NYPD	Arrests, % of Stops
2009	581,168	34,912	6.01%
2010	601,285	41,633	6.92%
2011	685,724	41,290	6.02%
2012	532,911	32,495	6.10%
Total	2,401,088	150,330	6.26%

1. Stop and Frisk Arrests and Dispositions

Close to half of all SQF arrests did not result in a conviction. In 15.7% of arrests, no criminal charges were filed, in part because the NYPD voided the arrests at the precinct or because the district attorney declined to prosecute. In 10.5% of arrests, charges were dismissed after arraignment. Defendants received ACDs in an additional 21.3% of arrests.⁹ Finally, in 153 cases, or 0.1% of arrests, the defendants were acquitted at trial.

The remaining SQF arrests led to (1) guilty pleas for crimes and non-criminal violations, (2) convictions at trial, which also include non-criminal violations, or (3) what OCA classifies as “post-disposition resentences.”¹⁰ (A post-disposition resentence indicates that a judge modified an existing sentence, either on a motion for a reduced sentence or because a sentencing condition was violated.) These three categories together totaled 50.5% of SQF arrests.

The result is that just 3% of stops led to a criminal conviction or a finding of guilt on a non-criminal violation. (See Figure 5.)

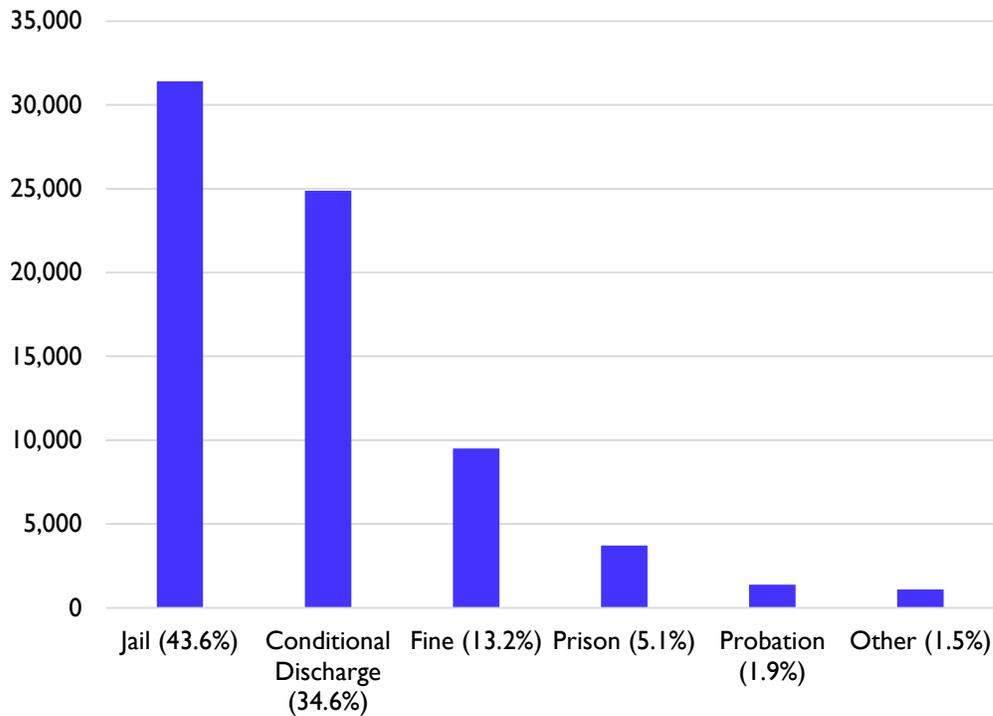
Figure 5: Disposition Type by Year

Year	Not Arraigned	Dismissed	ACD	Acquittal	Guilty Plea	Convicted at Trial	Post-Disposition Re-Sentence	Pending	Total Outcomes
2009	4,164	3,608	6,255	46	16,200	80	1,311	282	31,946
2010	5,869	4,207	7,938	49	18,511	86	1,414	469	38,543
2011	6,920	4,075	9,038	49	18,377	86	1,138	652	40,335
2012	5,409	3,048	7,130	9	14,029	37	706	1,404	31,772
Total	22,362	14,938	30,361	153	67,117	289	4,569	2,807	142,596
% of Arrest	15.7%	10.5%	21.3%	0.1%	47.1%	0.2%	3.2%	2.0%	100%
% of Stops	0.93%	0.62%	1.26%	0.01%	2.80%	0.01%	0.19%	0.12%	5.94%

2. Sentences

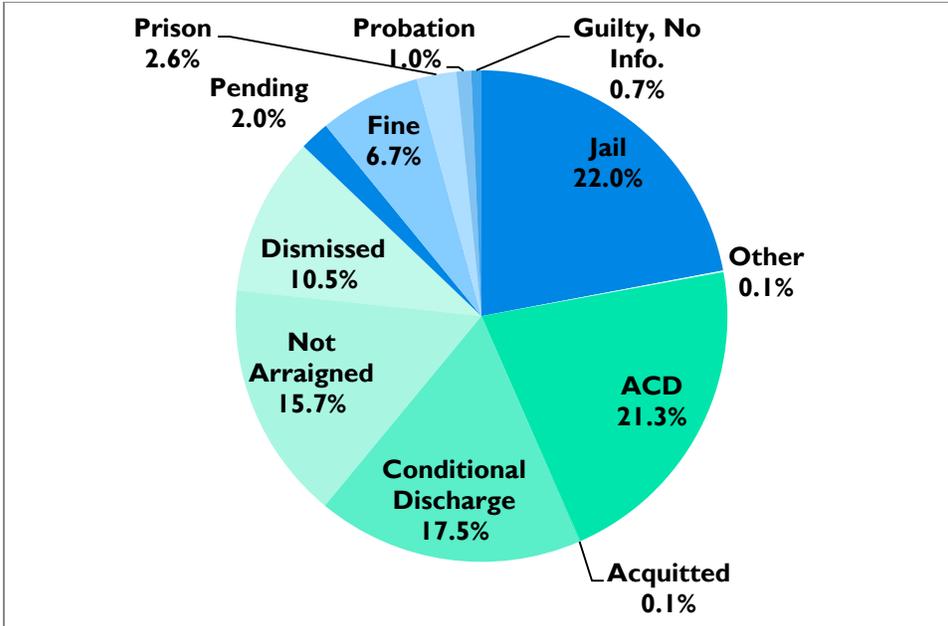
Close to half of all convictions arising out of SQF arrests did not lead to any jail or prison time. Of those individuals convicted, 34.6% received a conditional discharge, 13.2% received a fine, and 1.9% received probation. (See Figure 6.) Jail sentences—which involve incarceration at a local facility, generally for less than a year—constituted 43.6% of convictions, or 22% of SQF arrests. The vast majority of these sentences were for 30 days or less.

Figure 6: Penalty Types for Pleas and Convictions



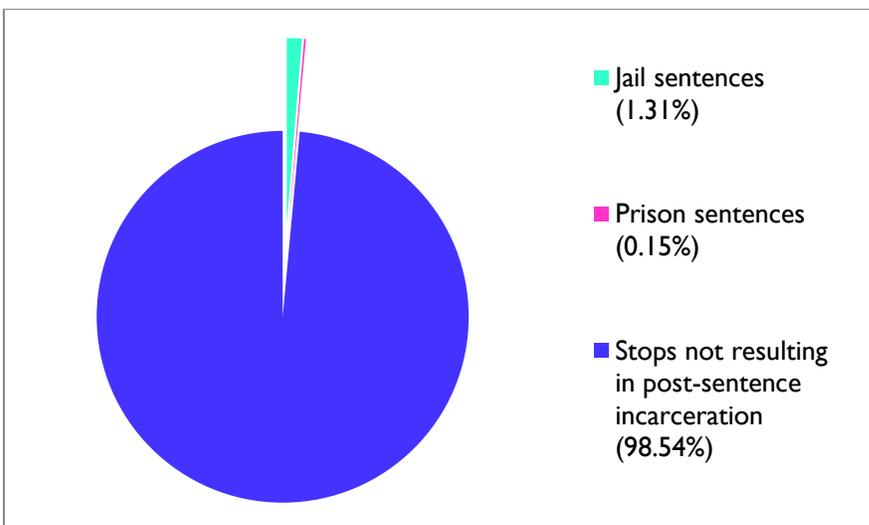
Much more rarely, SQF arrests led to prison sentences, which involve a lengthier term of incarceration at a state facility. Only 2.6% of SQF arrests (5.1% of convictions) resulted in prison sentences.

Figure 7: Post-Arrest Outcomes as Percent of All Arrestees



In all, only 1.5% of stops between 2009 and 2012 resulted in a jail or prison sentence of any duration, (see Figure 8), while an even smaller fraction of stops, just 0.1%, led to a prison sentence of more than one year.

Figure 8. Jail and Prison Sentences as Percent of All Stops



3. Sentence Lengths

As noted in the previous section, a small number of stops led to a jail or prison sentence. For those sentenced to jail, 48.8% received time served; 37.3% received a sentence of between zero and 30 days; and 13.9% received a sentence of between one month and one year.

For those sentenced to prison, 36.1% received sentences of between six months and one year; 32.5% received sentences of between one and three years; 22% received sentences of between three and five years; and 9.4% received sentences for five years or more.

In total, 5.7% of SQF arrests—or 0.3% of stops—resulted in a sentence of longer than 30 days. Less than 1.7% of SQF arrests—or less than 0.1% of stops—resulted in a sentence of longer than a year. (See Figure 9.)

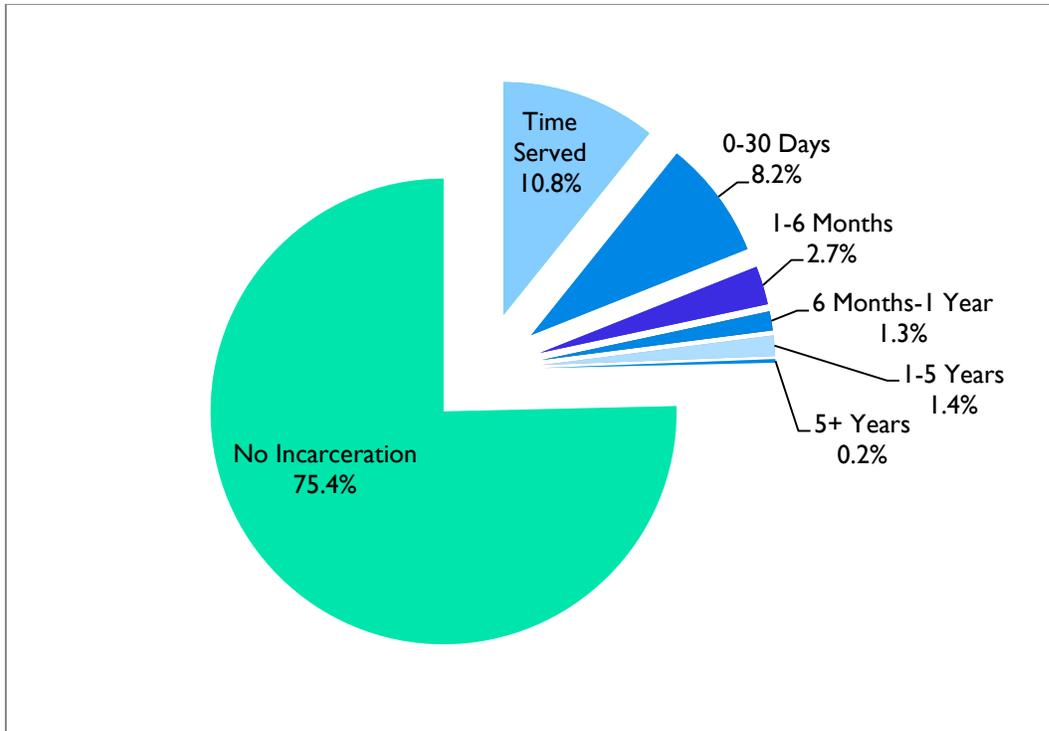
Figure 9: Length of Prison and Jail Sentences (No., %)

	<i>Jail</i>	<i>Prison</i>	<i>Total</i>	<i>%, Arrests</i>	<i>%, Stops</i>
Time Served	15,330	0	15,330	10.8%	0.64%
	48.8%	0.0%	43.6%		
0 - 30 Days*	11,716	0	11,716	8.2%	0.49%
	37.3%	0.0%	33.4%		
1 - 2 Months	1,617	0	1,617	1.1%	0.07%
	5.1%	0.0%	4.6%		
3 - 6 Months	2,199	0	2,199	1.5%	0.09%
	7.0%	0.0%	6.3%		
6 Mos. - 1 Yr.	548	1,341	1,889	1.3%	0.08%
	1.7%	36.1%	5.4%		
1 - 3 Years	0	1,208	1,208	0.8%	0.05%
	0.0%	32.5%	3.4%		
3 - 5 Years	0	816	816	0.6%	0.03%
	0.0%	22.0%	2.3%		
5+ Years	0	324	324	0.2%	0.01%
	0.0%	8.7%	0.9%		
Life	0	27	27	0.019%	0.001%
	0.0%	0.7%	0.1%		
Total	31,410	3,716	35,126	24.6%	1.46%

* 24 arrests led to jail sentences but listed 0-day sentences.

Figure 10 reflects the same data concerning sentence lengths and shows jail and prison sentences as a percentage of all arrests.

Figure 10. Jail and Prison Sentences as Percent of All Arrestees



4. Case Processing Times

This section assesses the length of time it takes to process charges arising from an SQF arrest. As addressed in the qualitative discussion in Section IV(B), extended processing time has consequences for defendants and for the criminal justice system. This analysis focuses on two dimensions: the time from arrest to arraignment (shown in Appendix F) and the time from arraignment to final disposition. Figure 11 shows case processing times from arraignment to disposition. More than half of all cases reached a disposition within a week of arraignment. Most of the remaining cases took 60 days or more to reach a disposition.

Notably, cases that did not result in a conviction—those that were dismissed or received an ACD—took far longer to reach a disposition than those in which defendants pleaded guilty. More than three-quarters of dismissed cases (78.1%) took longer than 60 days to conclude. By contrast, slightly more than one-third of convictions (36.6%) required longer than 60 days to conclude. This delay increases the burden on defendants who choose to fight the charges and creates an incentive to accept a plea to

a crime or violation to avoid further court appearances, attorneys' fees, or the consequences of an open case on their record.

Figure 11. Time from Arraignment to Disposition by Conviction Status (No., %)

<i>Days</i>	<i>Dismissed or Acquitted</i>	<i>ACD</i>	<i>Conviction or Plea</i>	<i>Total</i>
0	925 6.1%	22,681 74.7%	32,991 45.8%	56,597 48.2%
1 day	14 0.1%	14 0.05%	107 0.1%	135 0.1%
2-7 days	387 2.6%	194 0.6%	3,008 4.2%	3,589 3.1%
8 - 30 days	699 4.6%	667 2.2%	3,807 5.3%	5,173 4.4%
31-60 days	1,282 8.5%	2,287 7.5%	5,742 8.0%	9,311 7.9%
61-365 days	10,616 70.3%	4,218 13.9%	21,322 29.6%	36,156 30.8%
Over 1 year	1168 7.7%	300 1.0%	4998 6.9%	6466 5.5%
Total	15,091 12.9%	30,361 25.9%	71,975 61.3%	117,427 100%

C. Charges and Charge Reduction

The charges following SQF arrests represent a wide range of offenses.¹¹ The OAG studied the charges for SQF arrests at three stages: arrest; arraignment; and conviction.¹² Conviction charges exclude cases resolved by ACD, since these—pending a possible “failure” via subsequent arrest and conviction prior to the end of the adjournment period—are not classified as convictions in this report.¹³

The OAG first sorted the data into a set of consistent classifications, using twenty-three generic offense categories that track those in the NYPD’s publicly available stop-and-frisk data files.¹⁴ Appendix B lists the full range of twenty-three categories, including examples of the coding instructions used to aggregate the separate charges into those categories. Appendix D includes a second classification that in turn reduces the twenty-three categories into a set of eight that reflect the major groupings of suspected

crimes.¹⁵ The reduced set of categories reflects groupings of crimes according to policy interests in NYPD enforcement, such as trespass, drugs, quality of life (“QOL”) and related offenses, weapons, and violent crimes.¹⁶

The most common arrest charges in the pool of SQF arrests span a wide range of felony and misdemeanor offenses. The most common offense categories charged at arrest were marijuana possession (14.9%), trespass (13.8%), violence (12.9%), weapons offenses (12.3%), and minor property crimes (11.6%).¹⁷ These categories account for more than half—65.5%—of all SQF arrest charges. (See Appendix G.)

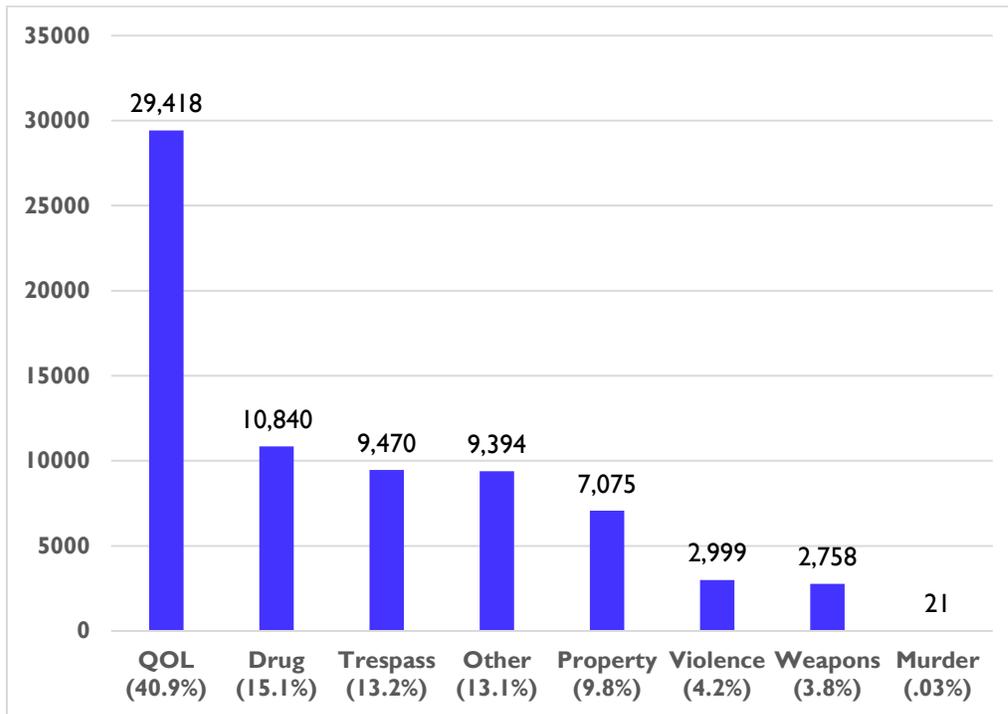
At arraignment, the distribution was fairly similar, with one exception. The most common categories at arraignment were marijuana possession (16.4%), trespass (13.8%), minor property crimes (13.7%), weapons offenses (11.7%), and violence (11.4%). Additionally, drug offenses, which include both sale and possession of controlled substances (other than marijuana) or paraphernalia, increased in prevalence at arraignment to 10.8%. Together, these six categories account for over three-fourths (77.6%) of arraigned cases.

At conviction, however, the distribution of offenses was considerably different from the distributions at arrest and arraignment. This reflects significant “charge reduction,” which likely resulted from plea-bargaining. The analysis shows that charge reduction is both common and, for some crime types, quite steep. For example:

- Violent offenses constituted 11.4% of charges at arraignment, but only 4.2% of charges at conviction. In all, these convictions accounted for one in fifty SQF arrests, or just 0.1% of all stops.
- Weapons offenses represented 11.7% of charges at arraignment, but only 3.8% of charges at conviction. Similarly, in total, these convictions accounted for one in fifty SQF arrests, or just 0.1% of stops.
- Marijuana possession charges, which were quite common at arraignment (16.4%), later proved infrequent (6.3%) in the array of conviction charges. Drug charges, including marijuana offenses, declined from 23.6% of arrest charges to 15.1% of conviction charges.

Figure 12 shows the types of dispositions resulting from SQF arrests using the aggregated set of offense charges. It reflects this general reduction in charge severity.¹⁸ Weapons and violence charges, which account for approximately one in four cases at arrest or arraignment, are fewer than 10% of cases at the conviction stage. Thus, only 1.1% of SQF stops led to an arraignment for a crime involving violence or weapons, and an even smaller percentage, 0.2%, led to a conviction for such a crime.

Figure 12: Charges at Disposition



Overall, there was a substantial downgrading of charges in stop-and-frisk cases as they proceeded from arrest to arraignment to conviction. Significantly, 12,906 arrests, most of which contained criminal charges at the point of arrest, were arraigned as a non-criminal violation or infraction. Under the penal law, violations are offenses that are not considered crimes and do not result in a criminal record.¹⁹ These cases constituted about 9.1% of the total arrests, and, when added to the 22,362 arrests that were dismissed prior to arraignment, indicate that almost one quarter of SQF arrests (24.7%) did not result in a criminal charge at arraignment.

The overall pattern of charge deterioration shows that few arrest charges result in convictions for the same charge, and that charge reduction and case attrition are quite common for the most serious crimes. For example, most arrests for violent offenses are disposed as a lesser charge or dismissed. Of the small percentage of SQF arrests alleging a violent crime, only one in seven resulted in a conviction for a violent crime. The majority were dismissed (29%) or were never arraigned (23%). (See Appendix H.)

Marijuana and other drug charges reflected a similar pattern of reduced charges. Arrests for a variety of controlled substance offenses—possession or sale of controlled substances, or of drug paraphernalia—are disposed as drug offenses in 41% of final dispositions. But the majority are either reduced to QOL or other offenses (28%), or

are dismissed or otherwise not prosecuted. More specifically, nearly half of all marijuana possession offenses are disposed by way of ACDs. (See Appendix I.)

Where QOL or “Other” offenses are the most serious or “top” offense in an SQF arrest, charges in these groupings fit the pattern described above and also deteriorate as cases proceed through arraignment and adjudication. Overall, however, the proportion of QOL and Other charges *increase* over the case processing stages, likely reflecting the reduction of more serious charges into QOL or Other charges. While QOL and Other offenses represent 23.4% of all SQF arrests, these charges account for more than half of all SQF convictions. (See Appendix J.) QOL charges increase by more than 600% over the case processing stages, from about 4% of all arrest charges, to 6.5% of arraignment charges, to 40.9% of conviction charges. (See Appendix G.) Because many of these QOL and Other charges are violations and not misdemeanors or felonies, many of those SQF arrestees that this report counts as “convicted” were not actually convicted of a crime as defined by New York State law.

The most common QOL or “Other” offense charge is disorderly conduct, which is a violation.²⁰ It is the most serious offense in 70.5% of all such offenses at disposition. The next most serious offense among QOL or “Other” offenses is VTL § 509.1 (Operating a Vehicle without a License), a traffic violation rather than a misdemeanor. VTL § 509.1 accounts for 10.9% of all QOL or “Other” offenses at disposition. The remaining QOL and “Other” guilty determinations are spread across numerous penal law and Vehicle and Traffic Law chapters. (See Appendices E, J.)

D. Racial Disparities in Final Disposition Outcomes

A final topic of inquiry is the demographic profile of SQF arrestees. The data analyzed for this report confirms that the racial disparities found in the identities of people stopped by the NYPD persist at and beyond the point of arrest. Racial disparities are evident not only in the identities of those arrested but also in disposition and sentencing. As is true for persons stopped, about one half of SQF arrests are of black individuals, about one third are of Hispanics, and one in ten are of white individuals.

One offense category in which these disparities are greatest is misdemeanor marijuana possession. Marijuana possession arrests constitute a significant portion of the SQF arrest population, and, accordingly, merit a detailed analysis of their dispositions. The OAG’s analysis indicates that white individuals were about 50% more likely to receive ACDs than black individuals for misdemeanor marijuana possession.²¹

Figure 13: Disposition of Marijuana Possession Arrests by Race

<i>Race or Ethnicity</i>	<i>Plea</i>	<i>Dismissal</i>	<i>ACD</i>	<i>Acquitted at Trial</i>	<i>Convicted at Trial</i>	<i>Post-Disposition Re-Sentence</i>	<i>Total</i>
White	453	42	1,412	0	0	15	1,922
	23.6%	2.2%	73.5%	0%	0%	0.8%	100%
Black	4,393	419	5,448	2	7	294	10,563
	41.6%	4.0%	51.6%	0.02%	0.1%	2.8%	100%
Black Hispanic	529	78	693	1	0	42	1,343
	39.4%	5.8%	51.6%	0.07%	0%	3.1%	100%
White Hispanic	1,598	156	2,529	0	3	80	4,366
	36.6%	3.6%	57.9%	0%	0.07%	1.8%	100%
Asian/PI/NA	188	14	503	0	0	11	716
	26.3%	2.0%	70.3%	0%	0%	1.5%	100%
Unknown/Other	122	11	151	0	0	6	290
	42.1%	3.8%	52.1%	0%	0%	2.1%	100%
Total	7,283	720	10,736	3	10	448	19,200
	37.9%	3.8%	55.9%	0.02%	0.1%	2.3%	100%

Figure 13 shows the dispositions of marijuana possession arraignments and demonstrates racial disparities in access to ACDs for that offense. White defendants are nearly 50% more likely to get an ACD when arrested for misdemeanor marijuana possession (73.5%) than black defendants (51.6%). Similar disparities in pleas and ACDs are present for Hispanic defendants (as compared to white defendants).

IV. QUALITATIVE PERSPECTIVES

To better understand the statistical trends observed in this report and their real world consequences, the OAG met with representatives of prosecutors' offices, advocacy organizations, and public agencies that are institutionally involved with or affected by the NYPD's stop-and-frisk practice. The meetings were conducted with district attorneys' offices for each of the five boroughs, members of the defense bar, the New York City Civilian Complaint Review Board, and the New York City Office of the Comptroller. In addition, the OAG received information from legal advocacy organizations that monitored stop-and-frisk developments over the past several years. The NYPD and OCA also provided valuable guidance and assistance as the OAG analyzed the data.

A. District Attorneys

A district attorney's office generally interviews the arresting officer and—if it believes the evidence supports criminal charges—drafts the complaint upon which the defendant will be prosecuted. The office also performs a screening function: it determines whether the underlying stop or arrest was constitutional. If, for example, a district attorney determines that the arresting officer lacked reasonable suspicion to stop the defendant or probable cause to arrest, the district attorney has the authority to decline prosecution, or “DP” the case.

The data indicate that district attorneys exercised their discretion in declining to prosecute a certain percentage of SQF arrest cases. As shown in Figures 5 and 7 above, 15.7% of SQF arrests resulted in no charges at arraignment, many because the arrests were voided by the NYPD or, as relevant here, the district attorneys declined to prosecute.

1. *Declining to Prosecute*

District attorneys highlighted the difficulty of reviewing the constitutionality of every stop that may give rise to an arrest at the time of arraignment. For example, for certain high-volume offenses like marijuana possession, the district attorneys use an Expedited Affidavit Program (“EAP”), which permits the arresting officer to prepare and sign a sworn statement without being interviewed by an assistant district attorney. Although EAP has cut down on arrest processing times, it also means that, in some cases, prosecutors do not have the opportunity to review the constitutionality of the stop or arrest prior to arraignment.

At the same time, the district attorneys noted that they routinely declined to prosecute cases in which the underlying stop was unconstitutional. In a September 2013 address to the Upper West Side's 20th Precinct Community Council, Manhattan District Attorney Cyrus Vance, Jr. stated that, “if the stop is unconstitutional, we may have to, and we have dismissed cases, and we do every day.”²² This is also consistent with the experience of prosecutors in the Bronx. In 2012, Jeannette Rucker, the Chief of the Complaint Room and Arraignment Bureau in the Bronx District Attorney's Office, testified about her efforts to address the NYPD's practice of making unconstitutional stops outside certain private buildings.²³ Rucker testified that in 2010, in addition to receiving a “steady stream of complaints about trespass arrests” from the defense bar, she learned that judges were dismissing the cases and “finding evidence that the defendants lived in the buildings where the trespass was said to have occurred.”²⁴

In 2011, Rucker met with representatives of the NYPD and the other four district attorneys' offices to address the problem and issued memoranda to clarify the rules surrounding trespassing arrests.²⁵ In a 2012 letter, Rucker informed the NYPD that she continued to receive similar complaints. As a result, she re-imposed the requirement

that arresting officers be interviewed by the district attorney's office before the arraignment of trespass cases.²⁶ Rucker also began conducting trainings for the NYPD on stop-and-frisk requirements. In evaluations reviewed by the OAG, officers were uniformly positive, writing: "extremely helpful"; "need more training"; "everyone should take this"; "cleared up a lot"; and "very helpful and should be done with refreshers."

In one federal court case, the city reported that the "NYPD takes declines to prosecute very seriously. They track it, they retrain officers as a result of it."²⁷ However, several district attorneys' offices reported that the NYPD does not always follow up on DPs or take corrective action when an officer conducts an unconstitutional stop resulting in a DP. The data appears to buttress the anecdotal observations of the district attorneys: during each of the four years covered in this report, the percentage of SQF arrests that the NYPD voided or that led to a DP remained virtually unchanged.

2. Further Information on Non-Arraigned Arrests

In meetings with district attorneys' offices, the OAG also attempted to identify the final outcomes of the 6,354 non-arraigned arrests omitted from arrest databases. According to prosecutors, some of these non-arraigned arrests may be attributable to "undocketed" or "hanging arrests"—arrests that remain open even after the lead arrest or related matter was dismissed or adjudicated. Some prosecutors identified the problem of "undocketed" or "hanging arrests" as imposing significant costs on defendants and district attorneys' offices alike.

The problem of hanging arrests dates back to around 2006, when the NYPD changed the way individuals would be processed for "pattern crimes." Under the pre-2006 policy, when an individual was arrested for pattern offenses—for example, fifteen acts of graffiti—the NYPD issued one arrest number. Under the new policy, the NYPD generated a new arrest number for each discrete offense.²⁸

This seemingly minor administrative change had far-reaching consequences. In general, the district attorneys' offices treat pattern arrests as a single transaction or occurrence. The New York State Division of Criminal Justice Services and OCA, on the other hand, cannot link more than one arrest number to a court docket. Thus, if the district attorney offers a plea to resolve all fifteen acts of graffiti, only the one docketed arrest number would be formally resolved. Following such a resolution, a search of that individual's criminal records might still reveal fourteen open arrests. As discussed more fully in Section IV(B) below, the collateral consequences of an open arrest are significant and can result in loss of public housing, student loans, job opportunities, and immigration status, among other things.

A number of district attorneys' offices have identified substantial administrative burdens tied to the problem of hanging arrests, including time spent researching case histories and writing letters for affected individuals on a case-by-case basis. As of spring 2013,

there are approximately 250,000 hanging arrests in New York City. An unknown number of these hanging arrests are tied to stop and frisk.²⁹

B. Defense Bar

The OAG met with multiple organizations that represent individuals arrested as a result of stop-and-frisk encounters. The organizations included the Legal Aid Society, the Office of the Appellate Defender, the Bronx Defenders, the Brooklyn Defenders, the New York County Defenders, and Neighborhood Defender Service of Harlem.³⁰ A number of common themes emerged from these meetings.

All of the defense bar organizations the OAG met with emphasized that the defendants they represented as a result of SQF arrests were primarily accused of low-level drug possession offenses, rather than more serious crimes. This is consistent with the data, which show that fewer than one in 25 SQF arrests—0.2% of all stops—resulted in convictions for weapons possession or violent crimes.

The defense bar also addressed the difficulty SQF arrestees face when they seek to challenge the legality of their stop in criminal court proceedings. The appropriate place for such a challenge is at a suppression hearing, which does not take place until quite a while after arraignment. If a defendant is unable to make bail, the pressure to take a plea and avoid jail while awaiting a suppression hearing and eventual trial is great. Even for those able to make bail or released on their own recognizance, the slow process of court appearances and adjournments as a case moves to trial can eventually wear defendants down. Several organizations highlighted the collateral consequences that multiple court appearances present for their clients. The collateral consequences of criminal arrests and convictions are well-documented: “with a criminal record comes official state certification of an individual’s criminal transgressions; a wide range of social, economic, and political privileges become off-limits.”³¹ Persons with an open arrest may not be able to obtain jobs, rent apartments, reside in public housing, join the military, adopt a child, or renew a green card, and may be forced to repeatedly miss school or work in defending a case.

The Bronx Defenders documented the difficulties of challenging unlawful stops in a report titled *No Day in Court*. The report tracked the outcome of 54 cases in which defendants arrested for marijuana possession as a result of stop-and-frisk encounters between March 2011 and March 2012 attempted to challenge the validity of the charges through suppression hearings.³² The defendants appeared in court an average of five times over the course of an average of eight months, but suppression hearings were not held in a single case.³³ Sixty percent of the cases were either dismissed or adjourned in contemplation of dismissal before a hearing could be held. In 30% of the cases, the defendant eventually agreed to a negotiated plea to a non-criminal violation, and the remaining defendants failed to appear in court and bench warrants were issued—but

only after such defendants spent an average of 172 days awaiting a hearing and made an average of four court appearances.³⁴

C. Civilian Complaint Review Board

The OAG also met with the Executive Director of the Civilian Complaint Review Board (“CCRB”), a New York City agency composed of thirteen members appointed by the City Council and police commissioner.³⁵ The CCRB is responsible for addressing complaints about the NYPD involving unnecessary force, abuse of authority, discourtesy, and offensive language. It receives complaints from individuals stopped and frisked by the NYPD following such encounters.

In 2012, the CCRB reported that it received a total of 5,763 complaints, of which it fully investigated less than a fifth and substantiated approximately three percent.³⁶ Slightly more than a quarter of the total complaints filed stemmed from stop-and-frisk encounters, which had higher rates of investigation and substantiation. Among the stop-and-frisk complaints that were closed in 2012, approximately a third were fully investigated, and more than a quarter of those investigated were substantiated.³⁷

The investigations of stop-and-frisk complaints documented in the CCRB’s report also revealed that officers often underreported the stops. In roughly a fifth of investigated stop-and-frisk-related complaints in 2012, officers failed to fill out the required UF-250 form, up from five percent in 2008.³⁸ In 33% of investigations, officers failed to prepare a memo book entry, a second mandatory documentation designed to aid officers’ recollection of the work they perform in case they are called on to testify about an arrest or other incident.³⁹ This suggests that the number of stops may be higher than those reported here, and that the quantitative analysis presented here may inflate the NYPD’s hit rate for stops since this report relies on the accuracy of the NYPD’s stop data, as recorded in UF-250 forms.

D. Office of the New York City Comptroller

The OAG also met with representatives from the New York City Office of the Comptroller—which is responsible for settling and adjusting monetary claims for and against the city—to discuss the relationship between the financial costs stop and frisk poses to the city and its taxpayers and the empirical analysis of arrests.⁴⁰

The NYPD’s increased use of stop and frisk in the last few years has corresponded with costly litigation contesting the practice and also a significant rise in the number of tort claims filed against the Department, as recorded by the Comptroller. Between 2007 and 2012, the number of claims against the NYPD grew by 52%.⁴¹ Claims against the NYPD reached a historic high in 2012, with 9,570 claims filed.⁴² In 2009, for the first time in thirty years, the NYPD became the city agency with the highest dollar amount of

settlements and judgments paid out, surpassing the Health and Hospitals Corporation (“HHC”).⁴³ The Comptroller recommends that the NYPD and other city agencies at similarly high risk for claims be held financially accountable, as HHC now is. Currently, no money is debited from the NYPD’s budget to account for settlements and judgments against it.⁴⁴

In response to the rising number of claims filed against the NYPD, the Comptroller has repeatedly recommended that the Department implement monitoring and accountability measures designed to reduce such claims, including a multidisciplinary task force to identify ways to reduce claim costs and a system for tracking claim types filed by precinct and by individual officer.⁴⁵ These recommendations have yet to be implemented.⁴⁶ In its 2011 Claims Report, however, the Comptroller took an initial step towards one such recommendation and mapped personal injury and civil rights claims against the NYPD by precinct.⁴⁷ The map revealed a strong correlation between precincts with large numbers of claims and precincts with large numbers of stops for the years 2003 to 2011.⁴⁸

The Comptroller is currently unable to track the number of claims arising from stops. In particular, the notices of claim, the Comptroller’s main source of information about claims, tend to be limited to information about conduct occurring after the stop—e.g., excessive force or false arrest—rather than information about the stop itself.

V. FURTHER AREAS FOR STUDY

This report analyzes the outcomes of stops that resulted in arrest across New York City.⁴⁹ A second area meriting analysis concerns the separate, though related, outcomes of stops that result in appearance tickets—more commonly referred to as “summonses.”⁵⁰ Unlike arrests, summonses result almost exclusively from non-criminal, minor penal law, health code, and administrative code violations like public consumption of alcohol, riding a bicycle on the sidewalk, disorderly conduct, and failure to comply with park signage—types of offenses the NYPD describes as “crucial” to quality-of-life policing.⁵¹ The hit rate for summonses is similar to that of stops: in 2012, the NYPD recorded 532,911 stops, of which 5.1% resulted in a summons being issued; while in 2011, the NYPD recorded 685,724 stops, of which 5.9% resulted in issuance of a summons.⁵²

A summons does not require a defendant to be detained or fingerprinted, but instead specifies a date on which the defendant must appear in court. Because summonses do not result in detention, many defendants are unaware that a court will issue a warrant for a defendant’s arrest if he fails to appear. In 2011, more than 170,000 warrants were ordered for the arrest of individuals who failed to appear on a summons.⁵³ As of February 2013, there were more than one million open bench warrants for such individuals across New York City.⁵⁴ Open warrants may cause collateral consequences

similar to those related to an open arrest, affecting employment, housing, education, immigration status, and professional licenses.

Notably, the dismissal rates for summonses resemble dismissal rates for SQF arrests. According to OCA data, the NYPD issued 2,111,967 summonses between 2009 and 2012.⁵⁵ Of those summonses, 1,007,604 (47.7%) were dismissed because, among other reasons, they were legally insufficient or had serious defects. During the same period, only 457,396 summonses (21.7%) resulted in a plea or a finding of guilt at trial. No dispositions are recorded for the remaining 646,967 (30.6%) of summonses. Although the OCA data is not limited to summonses arising out of stops, the high rate of dismissals suggests a pattern similar to that of SQF arrests, magnifying concerns about the costs and benefits of stop and frisk.

Many of the same concerns about racial disparities in stops and arrests have been raised about stops that lead to summonses. The New York Criminal Court does not provide age, race, gender, or other demographic data about individuals who receive summonses. A review of the distribution of summonses across different precincts in New York City, however, suggests that summonses may be given out disproportionately in NYPD precincts where the majority of the population is non-white.⁵⁶

VI. CONCLUSION

This report seeks to contribute to the ongoing dialogue within law enforcement, among stakeholders, and across New York about the best and most effective strategies for combating serious crimes. In this regard, the OAG recognizes the NYPD's commitment to ensuring public safety and achieving the highest standards of professionalism.

Separate from the constitutional dimensions of stop and frisk, police, prosecutors, and the public at large must also continue to examine the costs and benefits of the practice as a law enforcement tool. Relying on empirical data from the NYPD and OCA, this report endeavored to answer a narrow yet important question: what happened to the 150,000 people arrested as a result of stop and frisk between 2009 and 2012?

The findings reveal, among other things, that approximately half of SQF arrests did not lead to a conviction; stop and frisk led to few convictions for violence or gun-related crimes, with trespass, disorderly conduct, and other relatively minor crimes and violations constituting the majority of charges at conviction; and stop and frisk rarely led to the imposition of a jail or prison sentence. Moreover, these findings suggest that stop and frisk imposes significant costs and burdens on prosecutors and the court system as a whole.

These findings, along with a host of other relevant factors, merit consideration in the broader and ongoing dialogue about the City's evolving policies and practices relating to stop and frisk.

CONTRIBUTORS

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Attorney General Eric T. Schneiderman produced this report through the Office's Civil Rights Bureau, with the support of a number of attorneys and staff across the OAG. This list identifies full-time OAG attorneys and staff who provided significant assistance with this effort.

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Expert Consultants

In order to provide the comprehensive statistical analyses set forth in this report, the OAG retained the assistance of expert statisticians and criminologists capable of analyzing the data regarding stops conducted by the NYPD between 2009 and 2012. The OAG considered a number of potential candidates and ultimately selected a team of researchers based at Columbia University to conduct the quantitative and statistical analyses included in the report. That team included Dr. Jeffrey Fagan, Dr. Amanda Geller, and Chelsea Davis. Drs. Fagan and Geller received assistance from an additional researcher, Emily Cole.

The curricula vitae of the Attorney General's expert team can be found in Appendix L.

Expert Reviewers

The OAG consulted with a number of experts with a wide range of perspectives and experience regarding the quantitative and qualitative findings set forth in this report. These experts provided important feedback and critique that served as a valuable part of the report-drafting process. The experts raised key questions and identified significant areas of inquiry that strengthened the OAG's analysis of the issues presented here. The OAG carefully considered their input before finalizing this report. Experts involved in this review process include Dr. Delores Jones-Brown, Chief Dean Esserman, and Franklin E. Zimring.

Dr. Delores Jones-Brown is a Professor at John Jay College of Criminal Justice, City University of New York, where she is the founding director of the John Jay College Center on Race, Crime and Justice. Dr. Jones-Brown is a former assistant prosecutor in Monmouth County, New Jersey and has worked in both community-based and institutional corrections.

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Franklin E. Zimring is a Professor at the Boalt Hall School of Law, University of California, Berkeley. His major fields of interest are criminal justice and family law, with special emphasis on the use of empirical research to inform legal policy. He has published widely on these topics, including his recent book, *The City That Became Safe: New York's Lessons for Urban Crime and Its Control*.

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Brooklyn Defenders
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Neighborhood Defender Service of Harlem
New York Civil Liberties Union
New York County Defenders
Office of the Appellate Defender
Professor Harry G. Levine
Youth Represent
100 Blacks in Law Enforcement

ENDNOTES

¹ In its ruling, the district court observed the following: “I emphasize at the outset, as I have throughout the litigation, that this case is not about the effectiveness of stop and frisk in deterring or combating crime. This Court’s mandate is solely to judge the constitutionality of police behavior, not its effectiveness as a law enforcement tool.” *Floyd v. City of New York*, 08 Civ. 1034 (SAS), 2013 U.S. Dist. LEXIS 113271, at *3 (S.D.N.Y. Aug. 12, 2013).

² Under stop and frisk, citizens are temporarily detained for purposes of questioning, and at times frisked or searched. Such a detention is a “seizure” within the meaning of the Fourth Amendment. *Terry v. Ohio*, 392 U.S. 1, 16 (1968). These stops require articulable and individualized suspicion that crime is “afoot,” meaning that crime is either imminent, has just occurred, or is in progress at the time of the detention. Section 140.50 of the New York Criminal Procedure Law authorizes a police officer “to stop a person in a public place ... when he reasonably suspects that such person is committing, has committed or is about to commit either (a) a felony or (b) a misdemeanor.” Once that stop has been made, the Criminal Procedure Law authorizes a frisk of the person only if the officer “reasonably suspects that he is in danger of physical injury.” For purposes of this report, the terms “SQF” and “stop and frisk” do not necessarily imply that the officer frisked or searched the person.

³ New York State criminalizes possession of a gravity knife, N.Y. Penal Law § 265.01(1), which is defined as any knife with a blade that is released from its handle by a button or lever and locked into place. *Id.* at § 265.00(5). In some cases, courts have vacated arrests for possession of gravity knives where the knife in question did not clearly fit the statutory definition and was not intended for use as a weapon. See *United States v. Irizarry*, 509 F. Supp. 2d 198, 209 (E.D.N.Y. 2007); *People v Dreyden*, 15 N.Y.3d 100, 104 (N.Y. 2010).

⁴ Delores Jones-Brown et al., *Stop, Question and Frisk Practices in New York City: A Primer (Revised)*, Center on Race, Crime and Justice, John Jay College of Criminal Justice (June 2013) (hereinafter “A Primer”), available at http://stopandfriskinfo.org/content/uploads/2013/07/SQF_Primer_July_2013.pdf.

⁵ *Floyd*, *supra* note 1, at *10-11; Jeffrey Fagan, Amanda Geller, Garth Davies, & Valerie West, *Street Stops and Broken Windows Revisited: The Demography and Logic of Proactive Policing in a Safe and Changing City*, in *Race, Ethnicity, and Policing: New and Essential Readings* 309-348 (S.K. Rice & M.D. White, eds., 2010); Second Supplemental Report of Jeffrey Fagan, Ph.D. (Nov. 29, 2012), *Floyd v. City of New York*, *infra* note 15.

⁶ Dr. Jeffrey Fagan authored the plaintiffs’ expert reports in *Floyd v. City of New York*, *supra* note 1. Abbreviated versions of Dr. Fagan’s and Dr. Amanda Geller’s *curricula vitae* are included at Appendix L.

⁷ Details of the file creation are discussed in Appendix A, including the identification of arrest records provided by the NYPD that did not match OCA records.

⁸ The OAG benefited from Professor Franklin Zimring’s insights into SQF arrests and his observations regarding outstanding warrants.

⁹ With an ACD, charges are dismissed if the defendant does not commit a crime within a given period, usually six months to a year.

¹⁰ The OAG further benefited from Professor Zimring's observations about guilty pleas. He noted that such pleas may not accurately represent the apprehension of guilty parties to the same extent that criminal convictions do. In light of long or extended case processing times, addressed in Section III(B)(4), *infra*, some defendants may choose to plead guilty to a crime because the plea is likely to be faster and more expedient than waiting out the criminal justice system.

¹¹ See Second Supplemental Report of Jeffrey Fagan, Ph.D. (Nov. 29, 2012), *Floyd v. City of New York*, *infra* note 15.

¹² Pending cases and non-arraigned cases were excluded from the arraignment and conviction columns.

¹³ An ACD is an adjournment of the case with a presumption that the charges will ultimately be dismissed "in furtherance of justice." N.Y. Crim. Proc. § 170.55(2). "An ACD is emphatically not a determination on the merits...." *In re Marie B.*, 62 N.Y.2d 352, 359 (1984). It is not an admission of guilt, and ultimately results in a complete dismissal and sealing of the case, with a statutory mandate that an arrested individual cannot "suffer any disability or forfeiture" as a result of the ACD. N.Y. Crim. Proc. § 170.55(8). Accordingly, an ACD, while technically a neutral disposition of the case, is functionally equivalent to a dismissal in most cases, and thus has been treated as analogous to a dismissal in much of this report, though it remains in its own separate category in the quantitative analyses presented herein.

¹⁴ City of New York, New York City Police Department, Stop Question and Frisk Report Database, http://www.nyc.gov/html/nypd/html/analysis_and_planning/stop_question_and_frisk_report.shtml.

¹⁵ These are the same categories used in the expert reports in the *Floyd* litigation, providing a basis of comparison of SQF arrests with the larger universe of SQF cases. See *Floyd v. City of New York*, No. 08 Civ. 1034 (SAS), 2013 WL 4046209, at *14 (S.D.N.Y. Aug. 20, 2013); Report of Jeffrey Fagan, Ph.D. (Oct. 15, 2010), *Floyd v. City of New York*, PX 411 ("Fagan Rpt."); Supplemental Report of Jeffrey Fagan, Ph.D. (Dec. 3, 2010), PX 412 ("Fagan Supp. Rpt."); Second Supplemental Report of Jeffrey Fagan, Ph.D. (Nov. 29, 2012), PX 417 ("Fagan 2d Supp. Rpt.").

¹⁶ See Fagan Rpt., Fagan Supp. Rpt., Fagan 2d Supp. Rpt., *id.* Consistent with the records the NYPD submitted to the OAG for this analysis, we report only the most serious, or "top" charge for each individual arrested pursuant to a stop and frisk. Appendix E shows the distribution of SQF arrest charges at three stages, using the full range of offense codes adapted from the NYPD offense classification system.

¹⁷ Minor property crimes include petty theft and theft of services. The latter often is charged for "turnstile jumping" on mass transit. For purposes of this classification, minor violence charges resulting from SQF arrests—which are rare—are included in "Other" offenses.

¹⁸ Figure 12 combines marijuana and other drug offenses.

¹⁹ New York Penal Law § 10.00.

²⁰ New York Penal Law § 240.20 states that a person is guilty of disorderly conduct:

when, with intent to cause public inconvenience, annoyance or alarm, or recklessly creating a risk thereof: (1) He engages in fighting or in violent, tumultuous or threatening behavior; or (2) He makes unreasonable noise; or (3) In a public place, he uses abusive or obscene language, or makes an obscene gesture; or (4) Without lawful authority, he disturbs any lawful assembly or meeting of persons; or (5) He obstructs vehicular or pedestrian traffic; or (6) He congregates with other persons in a public place and refuses to comply with a lawful order of the police to disperse; or (7) He creates a hazardous or physically offensive condition by any act which serves no legitimate purpose.

²¹ This disparity may be attributed in part to the fact that in marijuana cases ACDs are only available to individuals without a prior arrest record. N.Y. Crim. Proc. § 170.56(1). Experts have observed that because policing efforts are heavily concentrated in communities of color, minorities are more likely to have multiple arrests on their record, even where whites are equally or more likely to commit the underlying offense, as with marijuana possession. See, e.g., U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, National Survey on Drug Use and Health, Table 1.24B—Marijuana Use in Lifetime, Past Year, and Past Month among Persons Aged 12 or Older, by Demographic Characteristics: Percentages, 2011 and 2012, <http://www.samhsa.gov/data/NSDUH/2012SummNatFindDetTables/DetTabs/NSDUH-DetTabsSectIpeTabsIto46-2012.htm#Tab1.24B>; New York Civil Liberties Union, *NYCLU Analysis Exposes Gaping Racial Disparities in Marijuana Arrests in Counties Across New York State* at 2, June 6, 2013, available at http://www.nyclu.org/files/publications/marijuana_06062013_final.pdf (citing National Household Survey on Drug Abuse and Health).

²² Daniel Prendergast & Jamie Schram, *Manhattan DA Knocks NYPD's Stop-Frisk*, N.Y. POST, Sept. 24, 2013, <http://nypost.com/2013/09/24/manhattan-da-rips-nypds-stop-frisk-will-prosecute-abuse/>.

²³ *Ligon v. City of New York*, 12-cv-2774 (SAS), 2013 U.S. Dist. LEXIS 22383, at *28-38 (S.D.N.Y. Feb. 14, 2013). These buildings were enrolled in “Operation Clean Halls,” a citywide program that allows police officers to patrol in and around private residential buildings.

²⁴ *Id.*

²⁵ Ltr. from J. Rucker to Deputy Inspector William McSorley at 3 (July 7, 2011), Ex. G to Plaintiffs’ Revised Proposed Findings of Fact and Conclusions of Law, *Ligon v. City of New York*, No. 1:12-cv-02274-SAS-HBP (S.D.N.Y. Sept. 24, 2012), ECF No. 44-7.

²⁶ *Id.*

²⁷ *Davis v. City of New York*, 10 Civ. 0699 (SAS), 2013 U.S. Dist. LEXIS 74189, at *3 n.6 (May 24, 2013) (citation omitted).

²⁸ According to the Department of Criminal Justice Services' rules for processing "fingerprintable" criminal cases, "an arresting agency should include all related incidents occurring within the same court of preliminary jurisdiction, for a single arrest, with one set of fingerprints." DCJS defines related incidents as those occurring during a series of crimes or as a crime spree. Dep't of Criminal Justice Servs., New York State Practices Manual: Processing Fingerprintable Criminal Cases 20 (Sept. 2001), <http://www.criminaljustice.ny.gov/stdpractices/downloads/standardpractices.pdf>.

²⁹ Email from Susan Kane, Deputy Bureau Chief, Intake Bureau, Queens District Attorney, to Kristen Clarke, Aug. 30, 2013.

³⁰ Meeting with Steven Banks, Attorney-in-Chief, and William Gibney, Director, Special Litigation Unit, Criminal Practice, Legal Aid Society, New York (June 27, 2013); Meeting with Richard Greenberg and Thomas Nosewicz, Office of the Appellate Defender, New York (July 2, 2013); Meeting with Kevin O'Connell, New York County Defenders, New York (July 2, 2013); Telephone Conversation with Robin Steinberg, Founder and Executive Director, and Kate Rubin, Director of Policy and Community Development, Bronx Defenders (July 10, 2013); Telephone Conversation with Joshua Saunders, Senior Trial Attorney, Brooklyn Defenders (July 15, 2013); Meeting with Rick Jones, Executive Director, Archana Prakash, Supervising Attorney, and Matt Knecht, Supervising Attorney, Neighborhood Defender Service of Harlem (Sept. 16, 2013).

³¹ Devah Pager, *Marked: Race, Crime, and Finding Work in an Era of Mass Incarceration* 33 (2007); see also National Inventory of the Collateral Consequences of Criminal Conviction, www.abacollateralconsequences.org (joint project of the American Bar Association and the National Institute of Justice to catalogue the collateral consequences of criminal convictions for each U.S. jurisdiction).

³² BRONX DEFENDERS, NO DAY IN COURT (2013), <http://www.bronxdefenders.org/no-day-in-court-a-new-report-by-the-bronx-defenders>.

³³ *Id.*

³⁴ *Id.*

³⁵ NYC Charter, Chapter 18-A, § 440(a).

³⁶ *Civilian Complaint Review Board 2012 Annual Report* ("CCRB Annual Report"), July 2, 2013, at 2, http://www.nyc.gov/html/ccrb/downloads/pdf/ccrb_annual_2012.pdf.

³⁷ *Id.* at 13.

³⁸ This type of misconduct by officers is not within CCRB's jurisdiction, and so it simply refers the information to the NYPD in these instances.

³⁹ CCRB Annual Report at 13.

⁴⁰ Meeting with Michael Aaronson, Bureau Chief, Bureau of Law and Adjustment, Valerie Budzik, Deputy Comptroller for Legal Affairs, and Karen Cohen, Assistant Comptroller for Claims, NYC Office of the Comptroller, in New York City, NY (Aug. 1, 2013) (hereinafter “Comptroller’s Office Meeting”).

⁴¹ John C. Liu, *City of New York Office of the Comptroller Claims Report Fiscal Year 2012*, 5, June 4, 2013 (hereinafter “2012 Comptroller Claims Report”).

⁴² *Id.*

⁴³ John C. Liu, *City of New York Office of the Comptroller Claims Report Fiscal Years 2009 & 2010*, 3, June 15, 2011 (hereinafter “2009-2010 Comptroller Claims Report”).

⁴⁴ Comptroller’s Office Meeting, *supra* note 40.

⁴⁵ 2012 Comptroller Claims Report, *supra* note 41 at 6; John C. Liu, *City of New York Office of the Comptroller Claims Report Fiscal Year 2011*, 6-7, Dec. 27, 2012 (hereinafter “2011 Comptroller Claims Report”).

⁴⁶ Comptroller’s Office Meeting, *supra* note 40.

⁴⁷ 2011 Comptroller Claims Report, *supra* note 45 at 46.

⁴⁸ Compare *id.* with Delores Jones-Brown et al., *A Primer*, *supra* note 4.

⁴⁹ A borough- or precinct-level analysis of arrest data may yield further information regarding the impact of stop and frisk.

⁵⁰ “Summons” is the colloquial term used to refer to the notice an officer serves on an individual engaged in illegal activity. The Criminal Procedure Law refers to these notices as “appearance tickets”:

An appearance ticket is a written notice issued and subscribed by a police officer or other public servant ... directing a designated person to appear in a designated local criminal court at a designated future time in connection with his alleged commission of a designated offense. A notice conforming to such definition constitutes an appearance ticket regardless of whether it is referred to in some other provision of law as a summons or by any other name or title.

N.Y. Crim. Proc. § 150.10; *Stinson v. City of New York*, 282 F.R.D. 360, 374 (S.D.N.Y. 2012).

⁵¹ Brent Staples, *Inside the Warped World of Summons Court*, NY TIMES, June 16, 2012, at SR10.

⁵² Delores Jones-Brown et al., *A Primer*, *supra* note 4 at 18-19.

⁵³ Brent Staples, *supra* note 51.

⁵⁴ Shane Dixon Kavanaugh, *1 Million Warrants Outstanding in New York City*,” NY DAILY NEWS, Feb. 23, 2013, available at <http://www.nydailynews.com/new-york/1-million-outstanding-warrants-in-nyc-article-1.1271823>.

⁵⁵ These figures are drawn from OCA data produced in *Stinson v. City of New York*, 10-cv-4228 (RWS) (S.D.N.Y.). See Appendix K.

⁵⁶ Maura R. O’Connor, *The NYPD’s Improbable Cause*, N.Y. WORLD, Sept. 5, 2012, <http://www.thenewyorkworld.com/2012/09/05/nypd-improbable-cause/>.

Appendix A

Construction of Data Files

I. Data Sources and File Inventory

The data files for this project were created from files provided by the NYPD, the Office of Court Administration and the Office of the Attorney General:

- Arrests resulting from *Stop, Question and Frisk* (SQF) events from January 2009-December 2012. We removed all references to suspect and officer names from these data to ensure that the analysis files included only de-identified data.
- Case processing records including arraignment, disposition, sentencing and other case characteristics for each SQF event. This data in this file was limited to those cases that were matched by OCA with the SQF events.
- SQF arrest events that were located in the OCA data, and that were pending disposition as of December 31, 2013.

To create the OCA files arraignment and disposition files, OCA matched the SQF events with records in the OCA file by SQF arrest number. We then examined the unmatched records to determine the reasons for non-matching.

II. Data Cleaning and Coding

Several steps were required to eliminate duplication in the SQF arrest file, and to identify the sources of attrition from the SQF arrest records to the OCA arraignment data.

A. SQF Arrest Records

1. After confirming that *Stop_Frisk_ID*, in conjunction with the *Arrest_Identifier*, was a unique identifier for stops, we extracted the year, precinct, and serial number for each stop.
2. We then purged all records without a valid arrest number. Valid arrest numbers have 9 characters. The first character is a letter code designating the borough/county of arrest (B, K, M, Q, or S). The remaining characters are numbers. Arrest numbers were dropped from the analysis files as invalid if:
 - The arrest numbers had any number of characters other than 9;
 - The arrest number had 9 characters, but started with some character other than B, K, M, Q, or S;

- The arrest number had 9 characters, starts with B/K/M/Q/S, but contains a string of 5 or more consecutive 0's, 1's, or 9's¹.
3. The 145,468 remaining records include 142,596 unique arrest ID's. These records were uniquely identified by both precinct, year, SQF serial number, and arrest number.
 4. There were 2,746 SQF records with arrest numbers that appeared elsewhere one or more times in the file. Where there were duplicates, the first instance of each unique arrest number was retained among the 142,596 cases.

B. OCA Case Processing and Disposition Records

1. We first confirmed that all arrest numbers were 9 characters long, and began with B, K, M, Q, or S.
2. We dropped as invalid cases with arrest numbers that contain a string of 5 or more consecutive 0's, 1's, or 9's.²
3. We then dropped records that are duplicates on all fields (see codebooks for each file).
4. We then dropped records with arrest numbers that appeared multiple times in the dataset. The record with the top disposition charge was retained, and other observations with the same arrest number were dropped.³
5. The final OCA file of arraigned and disposed cases contained 117,427 records. Each was uniquely identified by the arrest number linking the SQF record with the OCA record.

C. Pending Cases

1. We first dropped any records with values for the arrest number that were some length other than 9 characters.
2. We then confirmed that all remaining arrest numbers began with B, K, M, Q, or S.

¹ The NYPD provided a list of 13 arrest numbers, representing 45 observations, that had strings of repeating digits but were legitimate arrest numbers. These arrest numbers were retained in our analysis.

² As in the SQF data construction, OCA records whose arrest numbers had strings of repeating digits but were identified by the NYPD as legitimate were retained.

³ The “top charge” was based on the classification of disposition charges ranked based on NYS Penal Law classifications (i.e., AF/BF/CF/DF/EF/AM/BM/UM/V/I). Ties were broken by retaining the first record that was listed)

3. Of records where arrest numbers appeared twice, we dropped duplicate observations, retaining the more serious (top) charge.⁴
4. The final file of OCA Pending cases contained 2,807 arrests, uniquely identified by arrest number.

D. Merging Records

1. The SQF and OCA files were merged. The merge key was the arrest number.
2. This merged file was then merged with the OCA file of pending cases. The merge key again was the arrest number.
3. We confirmed that no arrest numbers were simultaneously contained in the OCA active and OCA pending files.
4. The final analysis files include:
 - 142,596 SQF records with unique and identifiable arrest numbers;
 - 117,427 records that had arrest numbers in both the SQF and OCA active files;
 - 2,807 records that had arrest numbers in both the SQF and OCA pending files;
 - 22,362 records that had arrest numbers in the SQF file but neither the OCA active nor pending files.

⁴ See *supra* note 3.

Appendix B

Sample Code for Classifying Arrest Offenses¹

gen arrestcode1=666

lab def crimecodes 0 "0: DATA ENTRY ERROR/ NOT A CRIME" 1 "1: ABANDONMENT OF A CHILD" 2 "2: ABORTION" 3 "3: ABSCONDING" 4 "4: ADULTERY" 5 "5: AGGRAVATED ASSAULT" 6 "6: AGGRAVATED HARASSMENT" 7 "7: AGGRAVATED SEXUAL ABUSE" 8 "8: ARSON" 9 "9: ASSAULT" 10 "10: AUTO STRIPPING" 11 "11: BIGAMY" 12 "12: BRIBE RECEIVING" 13 "13: BRIBERY" 14 "14: BURGLARY" 15 "15: COERCION" 16 "16: COMPUTER TAMPERING" 17 "17: COMPUTER TRESPASS" 18 "18: COURSE OF SEXUAL CONDUCT" 19 "19: CPSP" 20 "20: CPW" 21 "21: CREATING A HAZARD" 22 "22: CRIMINAL CONTEMPT" 23 "23: CRIMINAL MISCHIEF" 24 "24: CRIMINAL POSSESSION OF CONTROLLED SUBSTANCE" 25 "25: CRIMINAL POSSESSION OF COMPUTER MATERIAL" 26 "26: CRIMINAL POSSESSION OF FORGED INSTRUMENT" 27 "27: CRIMINAL POSSESSION OF MARIJUANA" 28 "28: CRIMINAL SALE OF CONTROLLED SUBSTANCE" 29 "29: CRIMINAL SALE OF MARIJUANA" 30 "30: CRIMINAL TAMPERING" 31 "31: CRIMINAL TRESPASS" 32 "32: CUSTODIAL INTERFERENCE" 33 "33: EAVESDROPPING" 34 "34: ENDANGER THE WELFARE OF A CHILD" 35 "35: ESCAPE" 36 "36: FALSIFY BUSINESS RECORDS" 37 "37: FORGERY" 38 "38: FORGERY OF A VIN" 39 "39: FORTUNE TELLING" 40 "40: FRAUD" 41 "41: FRAUDULENT ACCOSTING" 42 "42: FRAUDULENT MAKE ELECTRONIC ACCESS DEVICE" 43 "43: FRAUDULENT OBTAINING A SIGNATURE" 44 "44: GAMBLING" 45 "45: GRAND LARCENY" 46 "46: GRAND LARCENY AUTO" 47 "47: HARASSMENT" 48 "48: HAZING" 49 "49: HINDERING PROSECUTION" 50 "50: INCEST" 51 "51: INSURANCE FRAUD" 52 "52: ISSUE A FALSE CERTIFICATE" 53 "53: ISSUE A FALSE FINANCIAL STATEMENT" 54 "54: ISSUING ABORTION ARTICLES" 55 "55: JOSTLING" 56 "56: KIDNAPPING" 57 "57: KILLING OR INJURING A POLICE ANIMAL" 58 "58: LOITERING" 59 "59: MAKING GRAFFITI" 60 "60: MENACING" 61 "61: MISAPPLICATION OF PROPERTY" 62 "62: MURDER" 63 "63: OBSCENITY" 64 "64: OBSTRUCTING FIREFIGHTING OPERATIONS" 65 "65: OBSTRUCTING GOVERNMENTAL ADMINISTRATION" 66 "66: OFFERING A FALSE INSTRUMENT" 67 "67: OFFICIAL MISCONDUCT" 68 "68: PETIT LARCENY" 69 "69: POSSESSION OF BURGLAR TOOLS" 70 "70: POSSESSION OF EAVESDROPPING DEVICES" 71 "71: POSSESSION OF GRAFFITI INSTRUMENTS" 72 "72: PROHIBITED USE OF WEAPON" 73 "73: PROMOTING SUICIDE" 74 "74: PROSTITUTION" 75 "75: PUBLIC DISPLAY OF OFFENSIVE SEXUAL MATERIAL" 76 "76: PUBLIC LEWDNESS" 77 "77: RAPE" 78 "78: RECKLESS ENDANGERMENT" 79 "79: RECKLESS ENDANGERMENT PROPERTY" 80 "80: REFUSING TO AID A PEACE OR POLICE OFFICER" 81 "81: RENT GOUGING" 82 "82: RESISTING ARREST" 83 "83: REWARD OFFICIAL MISCONDUCT" 84 "84: RIOT" 85 "85: ROBBERY" 86 "86: SELF ABORTION" 87 "87: SEXUAL ABUSE" 88 "88: SEXUAL MISCONDUCT" 89 "89: SEXUAL PERFORMANCE BY A CHILD" 90 "90: SODOMY" 91 "91: SUBSTITUTION OF CHILDREN" 92 "92: TAMPERING

¹ These codes classified 92.15% of the arrest charges in SQF arrests. The remainder were classified as "other."

WITH A PUBLIC RECORD" 93 "93: TAMPERING WITH CONSUMER PRODUCT" 94 "94: TAMPERING WITH PRIVATE COMMUNICATIONS" 95 "95: TERRORISM" 96 "96: THEFT OF SERVICES" 97 "97: TRADEMARK COUNTERFEITING" 98 "98: UNLAWFULLY DEALING WITH FIREWORKS" 99 "99: UNAUTHORIZED RECORDING" 100 "100: UNAUTHORIZED USE OF A VEHICLE" 101 "101: UNAUTHORIZED USE OF COMPUTER" 102 "102: UNLAWFUL ASSEMBLY" 104 "104: UNLAWFUL POSSESSION OF RADIO DEVICES" 105 "105: UNLAWFUL USE OF CREDIT CARD, DEBIT CARD" 106 "106: UNLAWFUL USE OF SECRET SCIENTIFIC MATERIAL" 107 "107: UNLAWFUL WEARING A BODY VEST" 108 "108: UNLAWFUL IMPRISONMENT" 109 "109: UNLAWFULLY DEALING WITH A CHILD" 110 "110: UNLAWFULLY USE SLUGS" 111 "111: VEHICULAR ASSAULT" 112 "112: OTHER" 113 "113: FORCIBLE TOUCHING" 114 "114: DISORDERLY CONDUCT" 115 "115: CAR STOP" 116 "116: QUALITY OF LIFE" 117 "117: BLANK/NO ENTRY" 118 "118: RIDING BIKE ON THE SIDEWALK" 119 "119: CRIMINAL POSSESSION OF DRUG PARAPHRANALIA" 120 "120: ALCOHOL VIOLATION" 121 "121: MINOR ASSAULT" 122 "122: DISRUPTION OF A RELIGIOUS SERVICE" 123 "123: OTHER OFFENSES RELATED TO CHILDREN" 124 "124: OTHER MINOR SEX CRIMES" 125 "125: OTHER OFFENSES AGAINST THE PERSON" 126 "126: OTHER OFFENSES RELATED TO THEFT" 127 "127: UNDER THE INFLUENCE OF DRUGS" 128 "128: FCA PINOS" 129 "129: SEX CRIMES" 131 "131: VEHICLE AND TRAFFIC LAW (VTL)" 132 "132: UNINTERPRETABLE DRUG OFFENSE" 133 "133: KNIFE OFFENSES-NON-CPW", modify

lab val arrestcode | crimecodes

```
replace arrestcode | = 117 if Suspect_Arrest_Offense == ""
replace arrestcode | = 117 if Suspect_Arrest_Offense == " "
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replace arrestcode | = 14 if (Suspect_Arrest_Offense == "BURG"
)|(Suspect_Arrest_Offense == "BURG.") |(Suspect_Arrest_Offense == "BURGLARY"
)|(Suspect_Arrest_Offense == "FELONY-BURGLARY"
)|(Suspect_Arrest_Offense == "FEL/BURG" ) |(Suspect_Arrest_Offense == "FEL/ BURG"
)|(Suspect_Arrest_Offense == "FEL/BURGLARY"
)|(Suspect_Arrest_Offense == "FEL/BURGLARY/Y"
)|(Suspect_Arrest_Offense == "FELONY/BURLARY")
replace arrestcode | = 14 if (Suspect_Arrest_Offense == "BRUG"
)|(Suspect_Arrest_Offense == "BRUGLARY" ) |(Suspect_Arrest_Offense == "BUGLARY"
)|(Suspect_Arrest_Offense == "BURG (FEL)" ) |(Suspect_Arrest_Offense == "BURG (FELONY)"
)|(Suspect_Arrest_Offense == "BURGLARY (FEL)" ) |(Suspect_Arrest_Offense == "BURG/FEL"
)|(Suspect_Arrest_Offense == "BURGALRY" ) |(Suspect_Arrest_Offense == "BURGLAR")
replace arrestcode | = 14 if (Suspect_Arrest_Offense == "BURGLARY (FELONY)"
)|(Suspect_Arrest_Offense == "BURLARY" ) |(Suspect_Arrest_Offense == "BURLGARY"
)|(Suspect_Arrest_Offense == "FEL-BURG" ) |(Suspect_Arrest_Offense == "FELONY/
BURGLARY" ) |(Suspect_Arrest_Offense == "FELONY/BURG")
replace arrestcode | = 31 if (Suspect_Arrest_Offense == "CRIM TRESS"
)|(Suspect_Arrest_Offense == "CRIM TRES" ) |(Suspect_Arrest_Offense == "CRIM. TRESP."
)|(Suspect_Arrest_Offense == "CRIM TRESPASS" ) |(Suspect_Arrest_Offense == "CRIMINAL
TRESPASS" ) |(Suspect_Arrest_Offense == "CRIMINAL TRESPASSING"
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)|(Suspect_Arrest_Offense=="TRESPASS" )|(Suspect_Arrest_Offense=="TRESPASSING")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="C/T" )|(Suspect_Arrest_Offense=="CT"
)|(Suspect_Arrest_Offense=="TRES" )|(Suspect_Arrest_Offense=="TRES(MIS)"
)|(Suspect_Arrest_Offense=="C.TRES" )|(Suspect_Arrest_Offense=="CRIM TRE"
)|(Suspect_Arrest_Offense=="CRIM TREPASS" )|(Suspect_Arrest_Offense=="CRIM TRES
(MISD)" )|(Suspect_Arrest_Offense=="CRIM TRESP")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="CRIMINAL TREPASS"
)|(Suspect_Arrest_Offense=="CRIMINAL TRESSPASS"
)|(Suspect_Arrest_Offense=="CRIMINAL TRESSPASSING" )|(Suspect_Arrest_Offense=="CRI
MTRES" )|(Suspect_Arrest_Offense=="CRIM TRES" )|(Suspect_Arrest_Offense=="CRIM
TRESS" )|(Suspect_Arrest_Offense=="CRIM TRES (MISD)")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="140.15"
)|(Suspect_Arrest_Offense=="140.1" )|(Suspect_Arrest_Offense=="140.10"
)|(Suspect_Arrest_Offense=="140.17" )|(Suspect_Arrest_Offense=="MIS/CRIM TRES"
)|(Suspect_Arrest_Offense=="MISD/ CRIMINAL TRESPASS"
)|(Suspect_Arrest_Offense=="MISD/CRIM TRES" )|(Suspect_Arrest_Offense=="MISD/CRIM
TRESPASS")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="CRIM TRESPASS (MISD)"
)|(Suspect_Arrest_Offense=="CRIM RESPASSING" )|(Suspect_Arrest_Offense=="CRIM TRESS
(MISD)" )|(Suspect_Arrest_Offense=="CRIM TRESS PASS" )|(Suspect_Arrest_Offense=="CRIM
TRESS- MISD" )|(Suspect_Arrest_Offense=="CRIM TRESS/FEL"
)|(Suspect_Arrest_Offense=="CRIM TRESSPASS")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="CRIM-TRES"
)|(Suspect_Arrest_Offense=="CRIM. TRES." )|(Suspect_Arrest_Offense=="CRIM. TRES"
)|(Suspect_Arrest_Offense=="CRIM. TRESPASS" )|(Suspect_Arrest_Offense=="CRIM.
TRESSPASS" )|(Suspect_Arrest_Offense=="CRIMIIAL TRESPASS"
)|(Suspect_Arrest_Offense=="CRIMIINAL TRESPASS")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="CRIMINAL TRESPASS"
)|(Suspect_Arrest_Offense=="CRIMINAL TRES" )|(Suspect_Arrest_Offense=="CRIMINAL
TRESASS" )|(Suspect_Arrest_Offense=="CRIMINAL TRESPAS"
)|(Suspect_Arrest_Offense=="CRIMINAL TRESS" )|(Suspect_Arrest_Offense=="CRIMINAL
TRESSPASS" )|(Suspect_Arrest_Offense=="CRIMINAL TRSPASS")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="CRIMINALTRESPASS"
)|(Suspect_Arrest_Offense=="CRIMINIAL TRESPASS"
)|(Suspect_Arrest_Offense=="CRIMINLA TRESPASS" )|(Suspect_Arrest_Offense=="CRIMNAL
TRESPASS" )|(Suspect_Arrest_Offense=="CRIMTRES"
)|(Suspect_Arrest_Offense=="CRIMTRESSPASS" )|(Suspect_Arrest_Offense=="CRININAL
TRESPASS")
replace arrestcode|=31 if (Suspect_Arrest_Offense=="CRMINAL TRESPASS"
)|(Suspect_Arrest_Offense=="CT 2" )|(Suspect_Arrest_Offense=="CT2"
)|(Suspect_Arrest_Offense=="CTRES" )|(Suspect_Arrest_Offense=="MIS/CRIM TRES"
)|(Suspect_Arrest_Offense=="MIS/TRES")
replace arrestcode|=46 if (Suspect_Arrest_Offense=="G.L.A."
)|(Suspect_Arrest_Offense=="FEL/GLA" )|(Suspect_Arrest_Offense=="GLA"
)|(Suspect_Arrest_Offense=="GRAND LARCENY AUTO"
)|(Suspect_Arrest_Offense=="AUTO LARCENY" )|(Suspect_Arrest_Offense=="FELONY-

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GLA" )|(Suspect_Arrest_Offense=="FEL/ GLA" )|(Suspect_Arrest_Offense=="FELONY/GLA"
)|(Suspect_Arrest_Offense=="G L A")
replace arrestcode1=46 if (Suspect_Arrest_Offense=="GLA/FELONY"
)|(Suspect_Arrest_Offense=="GLA/FEL" )|(Suspect_Arrest_Offense=="FEL - GLA"
)|(Suspect_Arrest_Offense=="FEL-GLA" )|(Suspect_Arrest_Offense=="FELONY GLA"
)|(Suspect_Arrest_Offense=="FELONY/ GLA" )|(Suspect_Arrest_Offense=="G.L.A"
)|(Suspect_Arrest_Offense=="GL VEH" )|(Suspect_Arrest_Offense=="GLA (FEL)")
replace arrestcode1=46 if (Suspect_Arrest_Offense=="GLA (FELONY)"
)|(Suspect_Arrest_Offense=="GLA / FELONY" )|(Suspect_Arrest_Offense=="GLA FELONY"
)|(Suspect_Arrest_Offense=="GLA- FELONY" )|(Suspect_Arrest_Offense=="GLA(FEL)")
replace arrestcode1=45 if (Suspect_Arrest_Offense=="GRAND LARCENY"
)|(Suspect_Arrest_Offense=="LARCENY" )|(Suspect_Arrest_Offense=="GL"
)|(Suspect_Arrest_Offense=="G.L" )|(Suspect_Arrest_Offense=="FEL/GL"
)|(Suspect_Arrest_Offense=="FEL/G/L" )|(Suspect_Arrest_Offense=="FELONY/GRAND
LARCENY" )|(Suspect_Arrest_Offense=="GRAND LARC"
)|(Suspect_Arrest_Offense=="GRAND LARC.")
replace arrestcode1=45 if (Suspect_Arrest_Offense=="AUTO BREAK"
)|(Suspect_Arrest_Offense=="AUTO BREAKS" )|(Suspect_Arrest_Offense=="FEL - GRAND
LARCENY" )|(Suspect_Arrest_Offense=="FEL-GRAND LARCENY"
)|(Suspect_Arrest_Offense=="FEL/ GRAND LARCENY" )|(Suspect_Arrest_Offense=="FEL/G.
LARCENY" )|(Suspect_Arrest_Offense=="FEL/GRAND LARCENY")
replace arrestcode1=45 if (Suspect_Arrest_Offense=="FELO/ GRAND LARCENY"
)|(Suspect_Arrest_Offense=="FELO/GRAND LARCENY"
)|(Suspect_Arrest_Offense=="FELONY / GL" )|(Suspect_Arrest_Offense=="FELONY /
GRAND LARCENY" )|(Suspect_Arrest_Offense=="FELONY/ GRAND LARCENY"
)|(Suspect_Arrest_Offense=="G LARCENY" )|(Suspect_Arrest_Offense=="G. LARCENY")
replace arrestcode1=45 if (Suspect_Arrest_Offense=="G.L." )|(Suspect_Arrest_Offense=="G.L.
FROM AUTO" )|(Suspect_Arrest_Offense=="G/L"
)|(Suspect_Arrest_Offense=="G.LARCENY" )|(Suspect_Arrest_Offense=="G/L/FEL"
)|(Suspect_Arrest_Offense=="GL FR AUTO" )|(Suspect_Arrest_Offense=="GL FROM AUTO"
)|(Suspect_Arrest_Offense=="GLAR" )|(Suspect_Arrest_Offense=="GR LARCENY"
)|(Suspect_Arrest_Offense=="GR. LARCENY")
replace arrestcode1=45 if (Suspect_Arrest_Offense=="GRAN LARC"
)|(Suspect_Arrest_Offense=="GRAND LANCENY" )|(Suspect_Arrest_Offense=="GRAND
LAR" )|(Suspect_Arrest_Offense=="GRAND LARCENCY"
)|(Suspect_Arrest_Offense=="GRAND LARCENY (FELONY)"
)|(Suspect_Arrest_Offense=="GRAND LARCENY FROM AUTO"
)|(Suspect_Arrest_Offense=="GRAND LARCENY-FELONY")
replace arrestcode1=45 if (Suspect_Arrest_Offense=="GRAND LARCNEY"
)|(Suspect_Arrest_Offense=="GRANDLARCENY" )|(Suspect_Arrest_Offense=="LARC"
)|(Suspect_Arrest_Offense=="LARC FROM AUTO" )|(Suspect_Arrest_Offense=="LARCENY
FROM AUTO")
replace arrestcode1=85 if (Suspect_Arrest_Offense=="ROB"
)|(Suspect_Arrest_Offense=="ROBB" )|(Suspect_Arrest_Offense=="ROBBERY"
)|(Suspect_Arrest_Offense=="FEL/ROBBERY" )|(Suspect_Arrest_Offense=="
FELONY/ROBBERY" )|(Suspect_Arrest_Offense=="ROBB/FEL"

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)|(Suspect_Arrest_Offense=="ROB(FEL)" )|(Suspect_Arrest_Offense=="ROBBERY/FEL"  
)|(Suspect_Arrest_Offense=="ROBBERY/FELONY")  
replace arrestcode1=85 if (Suspect_Arrest_Offense=="BANK ROBBERY"  
)|(Suspect_Arrest_Offense=="FEL - ROBBERY" )|(Suspect_Arrest_Offense=="FEL-ROBB"  
)|(Suspect_Arrest_Offense=="FEL-ROBBERY" )|(Suspect_Arrest_Offense=="FEL/ ROBBERY"  
)|(Suspect_Arrest_Offense=="FEL/ROB" )|(Suspect_Arrest_Offense=="FEL/ROBB"  
)|(Suspect_Arrest_Offense=="FELO/ ROBBERY")
```

Appendix C

Sample Code for Classifying Arraignment Offenses (Similar Classification Used for Disposition Classification)

```
gen argnchargedesc=""
replace argnchargedesc="0" if ARGNCHARGE=="110-AC 10-133 0B V"
replace argnchargedesc="Attempted Unauthorized Practice of Profession" if
ARGNCHARGE=="110-ED 6512 01 UM"
replace argnchargedesc="Attempted Unauthorized Practice of Profession" if
ARGNCHARGE=="110-ED 65120 01 AM"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.00 00 BM"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.00 01 BM"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.00 03 BM"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.05 01 EF"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.05 02 EF"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.05 03 EF"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.05 11 EF"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.05 12 EF"
replace argnchargedesc="Attempted Gang Assault" if ARGNCHARGE=="110-PL 120.06 00
DF"
replace argnchargedesc="Attempted Gang Assault" if ARGNCHARGE=="110-PL 120.07 00
CF"
replace argnchargedesc="Attempted Assault" if ARGNCHARGE=="110-PL 120.10 01 CF"
. . .
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC 10.133
0C V"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC 10.133
0G UM"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC 10.133
B I"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC 10.133
B UM"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC 10.133
B V"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133(B) 00 V"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133(B0 00 UM"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133(C) 00 V"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133.B 0B I"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133B 00 I"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133B 00 UM"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133B 00 V"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133B 01 I"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133B 0B V"
```

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replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133C 00 I"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133C 00 V"
replace argnchargedesc="Unlawful Possession of a Knife" if ARGNCHARGE=="AC
10.133C C V"
replace argnchargedesc="Prohibition on sale of certain knives" if ARGNCHARGE=="AC
10.134 1E UM"
replace argnchargedesc="Prohibition on sale of certain knives" if ARGNCHARGE=="AC
10.134 1E V"
replace argnchargedesc="Prohibition on sale of certain knives" if ARGNCHARGE=="AC
10.134 E1 V"
replace argnchargedesc="Prohibition on sale of certain knives" if ARGNCHARGE=="AC
10.134(1) E UM"
replace argnchargedesc="Prohibition on sale of certain knives" if ARGNCHARGE=="AC
10.134.1E 1E UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136 (B UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136 01 UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136 B1 UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136 B2 UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136(B) 01
UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136(B) 02
UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136B 01
UM"
replace argnchargedesc="Aggressive Solicitation" if ARGNCHARGE=="AC 10.136B 02
UM"
replace argnchargedesc="0" if ARGNCHARGE=="AC 10.176B 00 V"
replace argnchargedesc="Sale of Rifle/Shotgun" if ARGNCHARGE=="AC 10.303 00 UM"
replace argnchargedesc="Unauthorized operation of a recording device in a place
of public performance" if ARGNCHARGE=="AC 10.702 00 UM"

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gen argnchargecat=.
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lab val argnchargecat crimecodes
replace argnchargecat=0 if argnchargedesc=="0"
replace argnchargecat=0 if argnchargedesc=="
replace argnchargecat=120 if argnchargedesc=="ABC LICENSE VIO"
replace argnchargecat=120 if argnchargedesc=="ABC PERMIT VIOL"
replace argnchargecat=120 if argnchargedesc=="ABC VIOL MINOR"
replace argnchargecat=0 if argnchargedesc=="Administrator defined"
replace argnchargecat=99 if argnchargedesc=="Advertisement or sale of
unauthorized recordings"
replace argnchargecat=131 if argnchargedesc=="Agg Unlic Operation-2nd:3/More Open
Suspensions- 3/More Separate Dates"
replace argnchargecat=131 if argnchargedesc=="Aggr Unlicensed Operation 2:Commit
Agg Unlic Op 3/Mandatory Suspension"
replace argnchargecat=5 if argnchargedesc=="Aggravated assault upon a police
officer or a peace officer"
replace argnchargecat=22 if argnchargedesc=="Aggravated criminal contempt"
replace argnchargecat=112 if argnchargedesc=="Aggravated Failure To Answer
Appearance Ticket"

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replace argnchargecat=6 if argnchargedesc=="Aggravated harassment"
 replace argnchargecat=7 if argnchargedesc=="Aggravated sexual abuse"
 replace argnchargecat=131 if argnchargedesc=="Aggravated Unlicensed Operation - Alcohol Related"
 replace argnchargecat=131 if argnchargedesc=="Aggravated Unlicensed Operation Motor Vehicle-2nd Degree"
 replace argnchargecat=131 if argnchargedesc=="Aggravated Unlicensed Operation Of A Motor Vehicle- 3rd Degree"
 replace argnchargecat=112 if argnchargedesc=="Aggressive Solicitation"
 replace argnchargecat=112 if argnchargedesc=="Agriculture and Markets Violation - Animal Violation"
 replace argnchargecat=120 if argnchargedesc=="ALC BEV VIOL"
 replace argnchargecat=8 if argnchargedesc=="Arson"
 replace argnchargecat=112 if argnchargedesc=="Arts and Cultural Affairs Ticket Sales Violation"
 replace argnchargecat=112 if argnchargedesc=="Arts and Cultural Affairs Violation"
 replace argnchargecat=9 if argnchargedesc=="Assault"
 replace argnchargecat=9 if argnchargedesc=="Assault on a peace officer, police officer, fireman or emergency medical services professional"
 replace argnchargecat=68 if argnchargedesc=="Attempted Petit Larceny"
 replace argnchargecat=131 if argnchargedesc=="Attempted Aggravated Unlicensed Operation Of A Motor Vehicle"
 replace argnchargecat=8 if argnchargedesc=="Attempted Arson"
 replace argnchargecat=9 if argnchargedesc=="Attempted Assault"
 replace argnchargecat=14 if argnchargedesc=="Attempted Burglary"
 replace argnchargecat=135 if argnchargedesc=="Attempted Cigarette Tax Violation"
 replace argnchargecat=112 if argnchargedesc=="Attempted Criminal diversion of prescription medications and prescriptions"
 replace argnchargecat=23 if argnchargedesc=="Attempted Criminal Mischief"
 replace argnchargecat=24 if argnchargedesc=="Attempted Criminal possession of a controlled substance"
 replace argnchargecat=20 if argnchargedesc=="Attempted Criminal Possession of a Weapon"
 replace argnchargecat=27 if argnchargedesc=="Attempted Criminal possession of marihuana"
 replace argnchargecat=20 if argnchargedesc=="Attempted Criminal Possession of Stolen Party"
 replace argnchargecat=29 if argnchargedesc=="Attempted Criminal sale of marihuana"
 replace argnchargecat=129 if argnchargedesc=="Attempted Criminal Sexual Act"
 replace argnchargecat=31 if argnchargedesc=="Attempted Criminal trespass"
 replace argnchargecat=37 if argnchargedesc=="Attempted Forgery"
 replace argnchargecat=38 if argnchargedesc=="Attempted Forgery of a Vehicle Identification Number"
 replace argnchargecat=9 if argnchargedesc=="Attempted Gang Assault"
 replace argnchargecat=35 if argnchargedesc=="Attempted Grand Larceny"
 replace argnchargecat=41 if argnchargedesc=="Attempted Identity Theft"
 replace argnchargecat=112 if argnchargedesc=="Attempted Illegal possession of a vehicle identification number"
 replace argnchargecat=49 if argnchargedesc=="Attempted Intimidating a victim or witness"

Appendix D
Figure 14: Classification Scheme for Aggregating Arrest, Arraignment, and Conviction Offenses

Detailed Classifications Aggregated into “Meta” Categories							
Murder	Violence	Weapons	Property	Drug	Trespass	QOL	Other
<ul style="list-style-type: none"> • Murder 	<ul style="list-style-type: none"> • Aggravated Assault • Aggravated Harassment • Aggravated Sexual Abuse • Assault • Kidnapping • Rape • Robbery 	<ul style="list-style-type: none"> • Criminal Possession of (CP) a Weapon • Prohibited Use of Weapon 	<ul style="list-style-type: none"> • Arson • Auto Stripping • Burglary • CP Stolen Property • Criminal Mischief • CP Forged Instrument • Criminal Tampering • Grand Larceny • Petit Larceny • Possession of Burglar’s Tools • Reckless Endangerment of Property • Unauthorized Use of a Vehicle • Unauthorized Use of a computer 	<ul style="list-style-type: none"> • CP Controlled Substance • CP Marijuana • Criminal Sale (CS) Controlled Substance • CS Marijuana • CP Drug Paraphernalia 	<ul style="list-style-type: none"> • Criminal Trespass 	<ul style="list-style-type: none"> • Gambling • Loitering • Making Graffiti • Obstructing Governmental Administration • Possession of Graffiti Instruments • Trademark Counterfeiting • Unlawfully Dealing with Fireworks • Unauthorized Recording • Unlawful Assembly • Disorderly Conduct • Quality of Life • Riding Bike on Sidewalk • Alcohol Violation • Other Offenses against Public Code 	<ul style="list-style-type: none"> • Data Entry Error/Not a Crime • Bribery • Coercion • Course of Sexual Conduct • Creating a Hazard • Criminal Contempt • Custodial Interference • Endangering Welfare of a Child • Escape • Falsifying Business Records • Forgery • Forgery-VIN • Fraud • Fraudulent Accosting • Harassment • Hindering Prosecution • Jostling • Menacing • Official Misconduct • Prostitution • Public Display of Offensive Sexual Content

Detailed Classifications Aggregated into “Meta” Categories

Murder	Violence	Weapons	Property	Drug	Trespass	QOL	Other
							<ul style="list-style-type: none"> • Public Lewdness • Reckless Endangerment • Resisting Arrest • Riot • Sexual Abuse • Sexual Misconduct • Tampering with Public Record • Tampering with Consumer Product • Theft of Services • Unlawful Possession of Radio Device • Unlawful use of Credit/Debit Card • Unlawful Imprisonment • Unlawfully Dealing with a Child • Forcible Touching • Other Sex Crimes • Other Offenses against the Person • VTL • Tax Violation • Unlawful Surveillance • Other

Appendix E

Figure 15: All Charges at Arrest, Arraignment, and Conviction

Arrest Charges	No.	%
0: DATA ENTRY ERROR/ NOT A CRIME	1,644	1.15
1: ABANDONMENT OF A CHILD	1	0.00
3: ABSCONDING	1	0.00
5: AGGRAVATED ASSAULT	70	0.05
6: AGGRAVATED HARASSMENT	182	0.13
8: ARSON	22	0.02
9: ASSAULT	10,556	7.40
10: AUTO STRIPPING	217	0.15
13: BRIBERY	11	0.01
14: BURGLARY	2,113	1.48
16: COMPUTER TAMPERING	12	0.01
19: CPSP	3,248	2.28
20: CPW	17,523	12.29
22: CRIMINAL CONTEMPT	758	0.53
23: CRIMINAL MISCHIEF	2,777	1.95
24: CRIMINAL POSSESSION OF CONTROLLED SUBSTANCE	11,088	7.78
26: CRIMINAL POSSESSION OF FORGED INSTRUMENT	1,882	1.32
27: CRIMINAL POSSESSION OF MARIJUANA	21,282	14.92
28: CRIMINAL SALE OF CONTROLLED SUBSTANCE	731	0.51
29: CRIMINAL SALE OF MARIJUANA	539	0.38
30: CRIMINAL TAMPERING	214	0.15
31: CRIMINAL TRESPASS	19,715	13.83
32: CUSTODIAL INTERFERENCE	1	0.00
34: ENDANGER THE WELFARE OF A CHILD	92	0.06
35: ESCAPE	1	0.00
37: FORGERY	637	0.45
38: FORGERY OF A VIN	24	0.02
40: FRAUD	42	0.03
41: FRAUDULENT ACCOSTING	161	0.11
44: GAMBLING	259	0.18
45: GRAND LARCENY	2,781	1.95
46: GRAND LARCENY AUTO	1,080	0.76
47: HARASSMENT	51	0.04
49: HINDERING PROSECUTION	9	0.01
51: INSURANCE FRAUD	1	0.00
55: JOSTLING	29	0.02
56: KIDNAPPING	16	0.01
58: LOITERING	43	0.03

59: MAKING GRAFFITI	1,072	0.75
60: MENACING	1,049	0.74
61: MISAPPLICATION OF PROPERTY	1	0.00
62: MURDER	55	0.04
65: OBSTRUCTING GOVERNMENTAL ADMINISTRATION	956	0.67
68: PETIT LARCENY	4,740	3.32
69: POSSESSION OF BURGLAR TOOLS	327	0.23
71: POSSESSION OF GRAFFITI INSTRUMENTS	70	0.05
74: PROSTITUTION	458	0.32
76: PUBLIC LEWDNESS	267	0.19
77: RAPE	106	0.07
78: RECKLESS ENDANGERMENT	733	0.51
79: RECKLESS ENDANGERMENT PROPERTY	7	0.00
82: RESISTING ARREST	509	0.36
84: RIOT	22	0.02
85: ROBBERY	7,422	5.20
87: SEXUAL ABUSE	345	0.24
88: SEXUAL MISCONDUCT	4	0.00
90: SODOMY	2	0.00
92: TAMPERING WITH A PUBLIC RECORD	3	0.00
93: TAMPERING WITH CONSUMER PRODUCT	2	0.00
95: TERRORISM	2	0.00
96: THEFT OF SERVICES	2,564	1.80
97: TRADEMARK COUNTERFEITING	487	0.34
98: UNLAWFULLY DEALING WITH FIREWORKS	33	0.02
99: UNAUTHORIZED RECORDING	27	0.02
100: UNAUTHORIZED USE OF A VEHICLE	543	0.38
102: UNLAWFUL ASSEMBLY	267	0.19
104: UNLAWFUL POSSESSION OF RADIO DEVICE	1	0.00
105: UNLAWFUL USE OF CREDIT CARD, DEBIT	4	0.00
108: UNLAWFUL IMPRISONMENT	28	0.02
109: UNLAWFULLY DEALING WITH A CHILD	5	0.00
112: OTHER	3,034	2.13
113: FORCIBLE TOUCHING	270	0.19
114: DISORDERLY CONDUCT	1,241	0.87
115: CAR STOP	3,256	2.28
116: QUALITY OF LIFE	1,461	1.02
117: BLANK/NO ENTRY	3	0.00
118: RIDING BIKE ON THE SIDEWALK	41	0.03
119: CRIMINAL POSSESSION OF DRUG PARAPHERNALIA	105	0.07
131: VEHICLE AND TRAFFIC LAW (VTL)	54	0.04
133: KNIFE OFFENSES-NON-CPW	11	0.01
UNABLE TO BE CODED	11,196	7.85
Total	142,596	100%

Arrestment Charges	No.	%
0: DATA ENTRY ERROR/ NOT A CRIME	25,561	17.93
5: AGGRAVATED ASSAULT	1	0.00
6: AGGRAVATED HARASSMENT	191	0.13
7: AGGRAVATED SEXUAL ABUSE	1	0.00
8: ARSON	21	0.01
9: ASSAULT	8,316	5.83
10: AUTO STRIPPING	121	0.08
13: BRIBERY	28	0.02
14: BURGLARY	1,502	1.05
15: COERCION	6	0.00
18: COURSE OF SEXUAL CONDUCT	4	0.00
19: CPSP	2,068	1.45
20: CPW	13,683	9.60
21: CREATING A HAZARD	38	0.03
22: CRIMINAL CONTEMPT	713	0.50
23: CRIMINAL MISCHIEF	2,260	1.58
24: CRIMINAL POSSESSION OF CONTROLLED SUBSTANCE	12,205	8.56
26: CRIMINAL POSSESSION OF FORGED INSTRUMENT	2,376	1.67
27: CRIMINAL POSSESSION OF MARIJUANA	19,200	13.46
28: CRIMINAL SALE OF CONTROLLED SUBSTANCE	362	0.25
29: CRIMINAL SALE OF MARIJUANA	314	0.22
30: CRIMINAL TAMPERING	32	0.02
31: CRIMINAL TRESPASS	16,166	11.34
32: CUSTODIAL INTERFERENCE	1	0.00
34: ENDANGER THE WELFARE OF A CHILD	210	0.15
35: ESCAPE	126	0.09
36: FALSIFY BUSINESS RECORDS	3	0.00
37: FORGERY	174	0.12
38: FORGERY OF A VIN	8	0.01
40: FRAUD	686	0.48
41: FRAUDULENT ACCOSTING	174	0.12
44: GAMBLING	138	0.10
45: GRAND LARCENY	1,272	0.89
47: HARASSMENT	52	0.04
49: HINDERING PROSECUTION	446	0.31
55: JOSTLING	33	0.02
56: KIDNAPPING	24	0.02
58: LOITERING	568	0.40
59: MAKING GRAFFITI	637	0.45
60: MENACING	1,516	1.06
62: MURDER	112	0.08
65: OBSTRUCTING GOVERNMENTAL ADMINISTRATION	567	0.40
67: OFFICIAL MISCONDUCT	2	0.00

68: PETIT LARCENY	5,338	3.74
69: POSSESSION OF BURGLAR TOOLS	987	0.69
71: POSSESSION OF GRAFFITI INSTRUMENTS	91	0.06
72: PROHIBITED USE OF WEAPON	3	0.00
74: PROSTITUTION	324	0.23
75: PUBLIC DISPLAY OF OFFENSIVE SEXUAL CONTENT	1	0.00
76: PUBLIC LEWDNESS	233	0.16
77: RAPE	84	0.06
78: RECKLESS ENDANGERMENT	533	0.37
79: RECKLESS ENDANGERMENT PROPERTY	3	0.00
82: RESISTING ARREST	2,711	1.90
84: RIOT	19	0.01
85: ROBBERY	4,750	3.33
87: SEXUAL ABUSE	72	0.05
88: SEXUAL MISCONDUCT	11	0.01
92: TAMPERING WITH A PUBLIC RECORD	2	0.00
93: TAMPERING WITH CONSUMER PRODUCT	1	0.00
96: THEFT OF SERVICES	2,836	1.99
97: TRADEMARK COUNTERFEITING	411	0.29
98: UNLAWFULLY DEALING WITH FIREWORKS	37	0.03
99: UNAUTHORIZED RECORDING	12	0.01
100: UNAUTHORIZED USE OF A VEHICLE	7	0.00
101: UNAUTHORIZED USE OF COMPUTER	1	0.00
102: UNLAWFUL ASSEMBLY	93	0.07
104: UNLAWFUL POSSESSION OF RADIO DEVICE	2	0.00
105: UNLAWFUL USE OF CREDIT CARD, DEBIT	1	0.00
108: UNLAWFUL IMPRISONMENT	35	0.02
109: UNLAWFULLY DEALING WITH A CHILD	21	0.01
112: OTHER	1,508	1.06
113: FORCIBLE TOUCHING	439	0.31
114: DISORDERLY CONDUCT	1,170	0.82
116: QUALITY OF LIFE	2,130	1.49
118: RIDING BIKE ON THE SIDEWALK	224	0.16
119: CRIMINAL POSSESSION OF DRUG PARAPHERNALIA	110	0.08
120: ALCOHOL VIOLATION	1,125	0.79
125: OTHER OFFENSES AGAINST THE PERSON	101	0.07
129: SEX CRIMES	14	0.01
131: VEHICLE AND TRAFFIC LAW (VTL)	4,662	3.27
135: TAX VIOLATION	157	0.11
136: UNLAWFUL SURVEILLANCE	53	0.04
137: OTHER OFFENSES AGAINST PUBLIC ORDER	366	0.26
Total	142,596	100%

Conviction Charges	No.	%
0: DATA ENTRY ERROR/ NOT A CRIME	1,264	1.76
6: AGGRAVATED HARASSMENT	28	0.04
8: ARSON	6	0.01
9: ASSAULT	1,256	1.75
10: AUTO STRIPPING	139	0.19
13: BRIBERY	2	0.00
14: BURGLARY	524	0.73
15: COERCION	3	0.00
18: COURSE OF SEXUAL CONDUCT	1	0.00
19: CPSP	923	1.28
20: CPW	2,758	3.83
21: CREATING A HAZARD	12	0.02
22: CRIMINAL CONTEMPT	264	0.37
23: CRIMINAL MISCHIEF	519	0.72
24: CRIMINAL POSSESSION OF CONTROLLED SUBSTANCE	6,082	8.45
26: CRIMINAL POSSESSION OF FORGED INSTRUMENT	613	0.85
27: CRIMINAL POSSESSION OF MARIJUANA	4,545	6.31
28: CRIMINAL SALE OF CONTROLLED SUBSTANCE	104	0.14
29: CRIMINAL SALE OF MARIJUANA	84	0.12
30: CRIMINAL TAMPERING	20	0.03
31: CRIMINAL TRESPASS	9,470	13.16
34: ENDANGER THE WELFARE OF A CHILD	44	0.06
35: ESCAPE	147	0.20
36: FALSIFY BUSINESS RECORDS	1	0.00
37: FORGERY	50	0.04
38: FORGERY OF A VIN	1	0.00
40: FRAUD	250	0.35
41: FRAUDULENT ACCOSTING	100	0.14
44: GAMBLING	50	0.07
45: GRAND LARCENY	357	0.50
47: HARASSMENT	556	0.77
49: HINDERING PROSECUTION	141	0.20
55: JOSTLING	17	0.02
56: KIDNAPPING	2	0.00
58: LOITERING	146	0.20
59: MAKING GRAFFITI	47	0.07
60: MENACING	179	0.25
62: MURDER	21	0.03
65: OBSTRUCTING GOVERNMENTAL ADMINISTRATION	148	0.21
68: PETIT LARCENY	3,547	4.93
69: POSSESSION OF BURGLAR TOOLS	418	0.58
71: POSSESSION OF GRAFFITI INSTRUMENTS	12	0.02
74: PROSTITUTION	59	0.08

76: PUBLIC LEWDNESS	56	0.08
77: RAPE	13	0.02
78: RECKLESS ENDANGERMENT	86	0.12
79: RECKLESS ENDANGERMENT PROPERTY	1	0.00
82: RESISTING ARREST	465	0.65
84: RIOT	1	0.00
85: ROBBERY	1,700	2.36
87: SEXUAL ABUSE	56	0.08
88: SEXUAL MISCONDUCT	2	0.00
96: THEFT OF SERVICES	667	0.93
97: TRADEMARK COUNTERFEITING	101	0.14
98: UNLAWFULLY DEALING WITH FIREWORKS	16	0.02
99: UNAUTHORIZED RECORDING	2	0.00
100: UNAUTHORIZED USE OF A VEHICLE	7	0.01
101: UNAUTHORIZED USE OF COMPUTER	1	0.00
102: UNLAWFUL ASSEMBLY	11	0.02
104: UNLAWFUL POSSESSION OF RADIO DEVICE	1	0.00
108: UNLAWFUL IMPRISONMENT	5	0.01
109: UNLAWFULLY DEALING WITH A CHILD	1	0.00
112: OTHER	568	0.79
113: FORCIBLE TOUCHING	67	0.09
114: DISORDERLY CONDUCT	27,357	38.10
116: QUALITY OF LIFE	1,136	1.58
118: RIDING BIKE ON THE SIDEWALK	7	0.01
119: CRIMINAL POSSESSION OF DRUG PARAPHERNALIA	25	0.03
120: ALCOHOL VIOLATION	187	0.26
125: OTHER OFFENSES AGAINST THE PERSON	16	0.02
129: SEX CRIMES	2	0.00
131: VEHICLE AND TRAFFIC LAW (VTL)	4,249	5.90
135: TAX VIOLATION	51	0.07
136: UNLAWFUL SURVEILLANCE	10	0.01
137: OTHER OFFENSES AGAINST PUBLIC ORDER	198	0.28
Total	71,975	100%

Appendix F

**Figure 16: Time From Arrest to Arraignment
by Conviction Status (No., Row %)**

Days	Dismissed or Acquitted	ACD	Conviction or Plea	Total
0	2,915 19.3%	4,432 14.6%	12,386 17.2%	19,733 16.8%
1 day	8,457 56.0%	12,656 41.7%	41,000 57.0%	62,113 52.9%
2-7 days	1,885 12.5%	1,460 4.8%	6,672 9.3%	10,017 8.5%
8 - 30 days	399 2.6%	2,423 8.0%	2,259 3.1%	5,081 4.3%
31-60 days	740 4.9%	5,694 18.8%	4,927 6.8%	11,361 9.7%
61-365 days	665 4.4%	3,494 11.5%	4,436 6.2%	8,595 7.3%
Over 1 year	30 0.2%	202 0.7%	295 0.4%	527 0.4%
Total	15,091 12.9%	30,361 25.9%	71,975 61.3%	117,427 100%

Appendix G

Figure 17: Arrest, Arraignment, and Conviction Charges (Top Charge Only)

Table 9. Arrest, Arraignment and Conviction Charges (Top Charge Only)						
Offense Type	Arrest Charges**		Arraignment Charges		Conviction Charges	
	N	%	N	%	N	%
Murder	55	0.04%	112	0.10%	21	0.03%
Felony Violent (non-murder)	18,352	12.87%	13,367	11.38%	2,999	4.17%
Minor Violent	2,421	1.70%	5,000	4.26%	1,325	1.84%
Drug	11,924	8.36%	12,677	10.80%	6,211	8.63%
MJ Possession	21,282	14.92%	19,200	16.35%	4,545	6.31%
MJ Sale	539	0.38%	314	0.27%	84	0.12%
Felony Property	5,996	4.20%	2,795	2.38%	887	1.23%
Minor Property	13,968	9.80%	13,193	11.24%	6,188	8.60%
Fraud and Related	872	0.61%	1048	0.89%	402	0.56%
Trespass	19,715	13.83%	16,166	13.77%	9,470	13.16%
Prostitution and Related	458	0.32%	324	0.28%	59	0.08%
Terrorism	2	0.00%	0	0.00%	0	0.00%
QOL/Disorder	5,957	4.18%	7,569	6.45%	29,418	40.87%
Sex Crimes and Related	888	0.62%	774	0.66%	184	0.26%
Bribery and Official Misconduct	11	0.01%	30	0.03%	2	0.00%
Weapons and Related	17,534	12.30%	13,686	11.65%	2,758	3.83%
DV and Crimes against Children	857	0.60%	945	0.80%	309	0.43%
Other Felonies	12	0.01%	789	0.67%	352	0.49%
Other Misdemeanors	2	0.00%	40	0.03%	13	0.02%
Other	5,598	3.93%	4,344	3.70%	1235	1.72%
Not coded	11,196	7.85%	0	0.00%	0	0.00%
Vehicle and traffic laws	3,310	2.32%	4,662	3.97%	4,249	5.90%
Error or Uncodeable	1,647	1.16%	392	0.33%	1264	1.76%
Total	142,596	100%	117,427	100%	71,975	100%

Appendix H

Figure 18: Final Disposition Charge by Initial Arrest Charge

Conviction Charge	Murder Arrests		Violence Arrests		Weapons Arrests		Property Arrests		Drug Arrests	
	No.	%	No.	%	No.	%	No.	%	No.	%
Murder	8	14.55%	8	0.04%	3	0.02%	0	0.00%	0	0.00%
Violence	9	16.36%	2,658	14.48%	45	0.26%	82	0.41%	24	0.07%
Weapons	1	1.82%	80	0.44%	2,321	13.24%	62	0.31%	45	0.13%
Property	0	0.00%	675	3.68%	89	0.51%	5,257	26.33%	77	0.23%
Drug	0	0.00%	71	0.39%	277	1.58%	198	0.99%	8,740	25.90%
Trespass	0	0.00%	27	0.15%	73	0.42%	330	1.65%	438	1.30%
QOL	0	0.00%	2,528	13.78%	6,694	38.18%	4,172	20.90%	6,371	18.88%
Other	6	10.91%	893	4.87%	589	3.36%	1,184	5.93%	744	2.20%
Dismissed or NG	10	18.18%	5,311	28.94%	1,751	9.99%	2,109	10.56%	1,764	5.23%
Disposed ACD	1	1.82%	1,551	8.45%	2,518	14.36%	2,764	13.84%	11,130	32.98%
Not arraigned (pending)	0	0.00%	290	1.58%	348	1.98%	378	1.89%	634	1.88%
Not arraigned (not pending)	20	36.36%	4,260	23.21%	2,826	16.12%	3,428	17.17%	3,778	11.20%
Total	55	100.0%	18,352	100.0%	17,534	100.0%	19,964	100.0%	33,745	100.0%

Conviction Charge	Trespass Arrests		QOL Arrests		Other Arrests		Total Arrests	
	No.	%	No.	%	No.	%	No.	%
Murder	0	0.00%	0	0.00%	2	0.01%	21	0.01%
Violence	14	0.07%	13	0.22%	154	0.56%	2,999	2.10%
Weapons	23	0.12%	5	0.08%	221	0.81%	2,758	1.93%
Property	83	0.42%	67	1.12%	827	3.03%	7,075	4.96%
Drug	603	3.06%	47	0.79%	904	3.31%	10,840	7.60%
Trespass	7,707	39.09%	20	0.34%	875	3.21%	9,470	6.64%
QOL	2,106	10.68%	1,747	29.33%	5,800	21.27%	29,418	20.63%
Other	198	1.00%	326	5.47%	5,454	20.00%	9,394	6.59%
Dismissed or NG	1,468	7.45%	343	5.76%	2,335	8.56%	15,091	10.58%
Disposed ACD	4,215	21.38%	2,024	33.98%	6,158	22.58%	30,361	21.29%
Not arraigned (pending)	445	2.26%	61	1.02%	651	2.39%	2,807	1.97%
Not arraigned (not pending)	2,853	14.47%	1,304	21.89%	3,893	14.27%	22,362	15.68%
Total	19,715	100.0%	5,957	100.0%	27,274	100.0%	142,596	100.0%

Appendix I
**Figure 19: Final Disposition Charge by
Initial Arrest Charge – Drug Charges**

Offense Type	Drug		Marijuana Possession		Marijuana Sale	
	No.	%	No.	%	No.	%
Violence	11	0%	12	0%	1	0%
Weapons	23	0%	21	0%	1	0%
Property	52	0%	22	0%	3	1%
Drug	4,843	41%	3,738	18%	159	37%
Trespass	292	2%	140	1%	6	1%
QOL	2,879	24%	3,376	16%	116	27%
Other	450	4%	288	1%	6	1%
Dismissed or NG	987	8%	730	3%	47	11%
Disposed ACD	1,069	9%	9,904	47%	43	10%
Not arraigned (pending)	217	2%	409	2%	8	2%
Not arraigned (not pending)	1,101	9%	2,642	12%	35	8%
Total	11,924	100%	21,282	100%	425	100%

Appendix J

Figure 20: Quality of Life and “Other” Arrest Charges at Arrest and Conviction

Arrest Charge	Arrested	Convicted as Charged	% Convicted
Fraud and Related	872	249	28.56
Prostitution and Related	458	276	60.26
Terrorism	2	0	-
Sex Crimes and Related	888	209	23.54
Bribery and Official Misconduct	6	0	-
DV and Crimes Against Children	857	155	18.09
Other Felonies and Misdemeanors	14	1	7.14
Other	5,598	1140	20.36
Administrative Code	11,196	2585	23.09
Vehicle and Traffic Laws	3,310	216	6.53
Error - Uncodable	1,647	354	21.49
Gambling	259	89	34.36
Loitering	43	14	32.56
Making Graffiti	1,072	348	32.46
OGA	956	271	28.35
Graffiti Instruments	70	11	15.71
Trademark & Counterfeiting	487	268	55.03
Fireworks	33	8	24.24
Unauthorized Recording	27	14	51.85
Unlawful Assembly	267	43	16.10
Disorderly Conduct	1,241	273	22.00
Quality of Life	1,461	403	27.58
Riding Bike on Sidewalk	41	5	12.20
Total	30,805	6,932	22.50
Total QOL and Other Charges	33,231	38,812	
% of All SQF Arrests	23.37	51.16	

Appendix K
OCA Summons Data

NYS Unified Court System
 Summons- SAMS and DCRIMS
 Arresting Agency - NYP
 5/25/2007-12/31/2012

Question #

SAMS							
	5/25/2007-12/31/2007	2008	2009	2010	2011	2012	TOTAL
Issued*							
Docketed Summons (no defectives included)	294,959	474,653	502,752	489,715	448,375	435,458	2,645,912
Defective summons (pre-docketing dismissal)	22,181	35,090	37,548	34,680	22,783	20,025	172,307
Total Summons Issued	317,140	509,743	540,300	524,395	471,158	455,483	2,818,219
Disposition**							
Dismissed DINSF in SAP-D part	57,560	92,705	94,668	89,828	91,205	87,648	513,614
Dismissed DINSF not in SAP-D part	18,344	35,715	45,752	27,173	16,978	16,360	160,322
Total Dismissed DINSF	75,904	128,420	140,420	117,001	108,183	104,008	673,936
Dismissed post docketing not DINSF	49,668	85,455	83,365	76,260	91,584	90,531	476,863
Total Dismissed Post Docketing	125,572	213,875	223,785	193,261	199,767	194,539	1,150,799
Dismissed Pre Docketing (Defective summons)	22,181	35,090	37,548	34,680	22,783	20,025	172,307
Total Dismissed Pre/Post Docketing	147,753	248,965	261,333	227,941	222,550	214,564	1,323,106
Plea or TFG	69,299	106,017	113,489	110,899	108,401	110,595	618,700

DCRIMS							
	5/25/2007-12/31/2007	2008	2009	2010	2011	2012	TOTAL
Issued***							
Total Summons issued - all issued are docketed	3,181	15,416	17,543	28,550	36,928	37,610	139,228
Disposed**							
Dismissed DINSF	0	93	464	3,278	7,380	6,060	17,275
Dismissed not DINSF	75	8,576	11,349	12,546	18,584	21,555	72,685
Total dismissed	75	8,669	11,813	15,824	25,964	27,615	89,960
Plea or TFG	55	2,079	2,800	3,471	3,618	4,123	16,146

Total Summons (SAMS + DCRIMS)							
	5/25/2007-12/31/2007	2008	2009	2010	2011	2012	TOTAL
Issued							
5 Docketed Summons (no defectives included)	298,140	490,069	520,295	518,265	485,303	473,068	2,785,140
6 Defective summons (pre-docketing dismissal)	22,181	35,090	37,548	34,680	22,783	20,025	172,307
3 Total Summons Issued	320,321	525,159	557,843	552,945	508,086	493,093	2,957,447
Disposed							
9 Dismissed post docketing-DINSF (Legal Insufficiency)	75,904	128,513	140,884	120,279	115,563	110,068	691,211
Dismissed post docketing - not DINSF	49,743	94,031	94,714	88,806	110,168	112,086	549,548
8 Total Dismissed Post Docketing	125,647	222,544	235,598	209,085	225,731	222,154	1,240,759
Defective summons (pre-docketing dismissal)	22,181	35,090	37,548	34,680	22,783	20,025	172,307
4 Total dismissed	147,828	257,634	273,146	243,765	248,514	242,179	1,413,066
10 Plea or TFG	69,354	108,096	116,289	114,370	112,019	114,718	634,846

* Based on Issue date.
 ** Based on disposition date.
 *** Based on crime date.

Appendix L
Curricula Vitae of Expert Consultants

CURRICULUM VITAE
(Summary)

Jeffrey A. Fagan
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DOB: 17 December 1946
Tel: 718-875-3154 (h)
212-854-2624 (v)
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PROFESSIONAL EXPERIENCE:

2011 – present: Isidor and Seville Sulzbacher Professor of Law, Columbia Law School
2013 (Spring): Florence Rogatz Visiting Professor of Law, Yale Law School
2001-2011: Professor, Columbia Law School
2010-11: Fellow, Straus Institute for the Advanced Study of Law and Justice, New York University School of Law
2010-present: Senior Research Scholar, Yale Law School
2009-10 Visiting Professor, Yale Law School
2004-present: Director, Center for Crime, Community and Law, Columbia Law School
2001-2006 Director, Doctor of Juridical Science in Law (JSD) Program, Columbia Law School
2008 – present: Faculty Fellow, Columbia Population Research Center
1999-present Faculty Fellow, Institute for Social and Economic Research and Policy, Columbia University
1998-2001: Visiting Professor, Columbia Law School
1996-present: Professor, Department of Epidemiology, Mailman School of Public Health, Columbia University
1995-2002: Founding Director, Center for Violence Research and Prevention, Mailman School of Public Health, Columbia University
1989-1996: Associate Professor to Professor, School of Criminal Justice, Rutgers-The State University of New Jersey
1988-1989: Associate Professor, Department of Law and Police Science, John Jay College of Criminal Justice, City University of New York; Associate Professor, Doctoral Program in Criminal Justice, City University of New York Graduate Center; Associate Director for Research, Criminal Justice Center, John Jay College of Criminal Justice, City University of New York

EDUCATION:

PhD, 1975, Policy Science, Department of Civil Engineering, State University of New York at Buffalo. Dissertation: "A Predictive Model of Success in Criminal Justice Employment Programs."
MS, 1971, Human Factors Engineering, Department of Industrial Engineering, State University of New York at Buffalo.
BE, 1968, Industrial Engineering, New York University.

AWARDS AND HONORS:

Fellow, American Society of Criminology, elected April 2002
Fellow, Davenport College, Yale University

Soll Lecture, *Indignities of Order Maintenance*, Rogers College of Law, University of Arizona, March 2013.
Lecturer, Hoffinger Colloquium, *Profiling and Consent: The Trouble with Police Consent Decrees*, New York University School of Law, April 2011
National Associate, National Research Council and Institute of Medicine, 2011 - present
Senior Justice Fellow, Open Society Institute, 2005-6
Health Policy Scholar Award, Robert Wood Johnson Foundation, 2002-2004
Book Award, "Best Book on Adolescence and Social Policy" for *Changing Borders of Juvenile Justice* (with F. Zimring), Society for Research on Adolescence, 2002
Bruce Smith Senior Award, Academy for Criminal Justice Sciences, March 2000.
Fellow, Earl Warren Legal Institute, School of Law, University of California-Berkeley, 1999-present

PUBLICATIONS:

Books:

- Tyler, T., A. Braga, J. Fagan, et al. (eds.), *Legitimacy, Criminal Justice, and the State in Comparative Perspective*. New York: Russell Sage Foundation Press (2008).
J. Fagan and F.E. Zimring (eds). *The Changing Borders of Juvenile Justice: Waiver of Adolescents to the Criminal Court*. Chicago: University of Chicago Press (2000). (Received Society for Research on Adolescence Award for "Best Book on Adolescence and Social Policy," 2002).
D. Baskin, I. Sommers, and J. Fagan, *Workin' Hard for the Money: The Social and Economic Lives of Women Drug Dealers*. Huntington NY: Nova Science Press (2000).

Journal Articles and Chapters (by Topic):

1. Policing

- Fagan, J., and MacDonald, J., "Policing, Crime, and Legitimacy in New York and Los Angeles: The Social and Political Contexts of Two Historic Crime Declines," in *New York and Los Angeles: The Uncertain Future* (David Halle and Andrew Beveridge, eds.), Oxford University Press 243 (2013)
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- Zimring, F.E., and Fagan, J. "The Search for Causes in an Era of Crime Declines: Some Lessons from the Study of New York City Homicide." *Crime and Delinquency* 46: 446-456 (2000).
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2. Capital Punishment

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- Zimring, F.E., Fagan, J. & Johnson, D. T. "Executions, Deterrence and Homicide: A Tale of Two Cities." 7 *Journal of Empirical Legal Studies* 1 (2010).
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3. Juvenile Justice

- Fagan, J., and A. Kupchik, "Juvenile Incarceration and the Pains of Imprisonment," 3 *Duke Forum for Law and Social Change* 29 (2011)
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PAPERS PRESENTED (SELECTED):

- "Aggressive Policing and the Health of Young Urban Men" (A. Geller, J. Fagan and T. Tyler), Presented at the Annual Meeting of the Population Association of America, New Orleans, LA, March 2010
- "Social Context and Proportionality in Capital Punishment in Georgia" (with R. Paternoster), Presented at the Annual Meeting of the American Society of Criminology, San Francisco, November 2010
- "Profiling and Consent: Stops and Searches in New Jersey after *Soto*" (with A. Geller), Presented at the Sixth Annual Conference on Empirical Legal Studies, New Haven CT, November 2010
- "Doubling Down on Pot: Marijuana, Race and the New Disorder in New York City Street Policing" (with A. Geller), Presented at the Fifth Conference on Empirical Legal Studies, Los Angeles CA, November 2009
- "Crime, Conflict and the Racialization of Criminal Law," Presented at the Annual Meeting of the European Society of Criminology, Ljubljana, Slovenia, September 2009
- "Measuring A Fair Cross-Section of Jury Composition: A Case Study of the Southern District of New York," (with A. Gelman, D.E. Epstein, and J. Ellias). Presented at the Annual Meeting of the Midwest Political Science Association, Chicago, April 4, 2008
- "Race, Legality and Quality of Life Enforcement in New York City, 2006," John Jay College of Criminal Justice, New York, February 28, 2008
- "Be Careful What You Wish For: The Comparative Impacts of Juvenile and Criminal Court Sanctions on Adolescent Felony Offenders," Presented at Annual Conference on Empirical Legal Studies, New York, November 19, 2007
- "The Common Thread: Crime, Law and Urban Violence in Paris and the U.S.," Presented at the Conference on "Poverty, Inequality, and Race: Forty Years after the Kerner Commission

- Report and Twenty Years after the Scarman Commission Report,” University of Paris IX (Sorbonne), July 2007
- “Race, Political Economy, and the Supply of Capital-Eligible Cases,” Presented at the Annual Meeting of the American Society of Criminology, Atlanta GA, November 2007.
- “The Political Economy of the Crime Decline in New York City,” Presented at the Annual Meeting of the American Society of Criminology, Atlanta GA, November 2007. Also presented at the Annual Meeting of the American Association for the Advancement of Science, San Francisco, February 2007 (with G. Davies). Also presented at the Symposium on the Crime Decline, University of Pennsylvania, Department of Criminology, March 31, 2006.
- “Crime and Neighborhood Change.” Presented at the National Research Council, Committee on Law and Justice, Washington DC, April 2007.
- “Immigration and Crime,” Presented at the Annual Meeting of the American Society of Criminology, Los Angeles, November 2006 (w. Garth Davies).
- “Rational Choice and Developmental Contributions to Legal Socialization,” Presented at the Conference on Empirical Studies in Law, Austin, Texas, October 2006; also presented at the Annual Meeting of the American Society of Criminology, Toronto, November 2005 (with A. Piquero) http://papers.ssrn.com/sol3/papers.cfm?abstract_id=914189.
- “The Diffusion of Homicides from Illegal Gun Markets: A Test of Social Contagion Theories of Violence, Presented at the Annual Meeting of the American Society of Criminology, Toronto, Ontario, November 14, 2005 (with G. Davies).
- "Attention Felons: Evaluating Project Safe Neighborhoods in Chicago" (November 2005). U Chicago Law & Economics, Olin Working Paper No. 269 <http://ssrn.com/abstract=860685>, presented at the Annual Meeting of the American Society of Criminology, Toronto, November 2005 (with A. Papachristos and T.L. Meares)
- “Science, Ideology and the Death Penalty: The Illusion of Deterrence.” The Walter Reckless Lecture, delivered at the Moritz School of Law and the Criminal Justice Research Center, The Ohio State University, Columbus, OH, April 2005.
- “Crime Currents and the Co-Production of Security in New York City.” Presented at the *Colloquium on the Urban Age*, London School of Economics, February 2005.
- “The Effects of Drug Enforcement on the Rise and Fall of Violence in New York City, 1985-2000,” Presented at the *Workshop on Behavioral and Economic Research* National Institute on Drug Abuse, Bethesda MD, October 2004 (with G. Davies).
- “Police, Order Maintenance and Legitimacy,” Presented at the Conference on *Dilemmas of Contemporary Criminal Justice: Policing in Central and Eastern Europe*, University of Maribor, Ljubljana, Slovenia, September 2004 (with Tom R. Tyler)
- “Age-Specific Sanctions for Juvenile Offenders: Crime Control and the Exclusion of Adolescent from the Juvenile Court,” Presented at the Symposium for the 10th Anniversary of the Netherlands Institute for the Study of Crime and Law Enforcement, Leiden, The Netherlands, September 2002.

EXPERT TESTIMONY:

- Floyd, et al. v. City of New York, et al.*, U.S. District Court, Southern District of New York, 08 Civ. 1034 (SAS) (2008)
- Davis et al. v. City of New York*, U.S. District Court, Southern District of New York, 10 Civ. 0699 (SAS) (2010)
- Ligon et al. v. City of New York*, U.S. District Court, Southern District of New York, 12 Civ. 2274 (SAS) (2012)
- State v. Raheem Moore*, Circuit Court # 08CF05160, State of Wisconsin, Criminal Division, Milwaukee County
- Connecticut v Arnold Bell*, Docket # CR02-0005839, District Court of Connecticut, New Haven

Jessica Gonzales v. United States, Petition No. 1490-05, Inter Am. C.H.R., Report No. 52/07, OEA/Ser.L./V/II.128, doc. 19 (2007)

U.S. v. Joseph Brown and Jose Lavandier, U.S. District Court for the District of Vermont, Docket No. 2:06-CR-82-2

United States v. Khalid Barnes, U.S. District Court, Southern District of New York, 04 Cr. 186 (SCR)

Loggins v. State, 771 So. 2d 1070 (Ala. Crim. App. 1999)

Truman-Smith v. Bryco Firearms et al. (02-30239 (JBW)), and *Johnson v. Bryco Firearms et al.* (03-2582 (JBW)), Eastern District of New York

U.S. v. Alan Quinones, S3 00 Cr. 761 (JSR), Southern District of New York

National Association for the Advancement of Colored People (NAACP) and National Spinal Cord Injury Association (NSCIA) v. American Arms Corporation, Accusport Corporation, et. al., Eastern District of New York, 99 CV 3999 (JBW), 99 CV7037 (JBW)

U.S. v. Durrell Caldwell, J-2045-00; J-2250-00, Family Division, Juvenile Branch, Superior Court of the District of Columbia

Nixon v. Commonwealth of Pennsylvania, Department of Public Welfare, 839 A.2d 277 (Pa. 2003)

National Congress of Puerto Rican Rights v. City of New York, 99 Civ. 1695 (SAS) (HBP)

State of Wisconsin v. Rodolfo Flores, 99-CF-2866, Circuit Branch 28 (Hon. Thomas R. Cooper)

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TECHNICAL REPORTS (SELECTED):

Project Safe Neighborhoods in Chicago: Three Year Evaluation and Analysis of Neighborhood Level Crime Indicators, Final Technical Report (J. Fagan, A. Papachristos, T.L. Meares), Grant # 2004-GP-CX-0578, Bureau of Justice Assistance, U.S. Department of Justice (2006).

Social and Ecological Risks of Domestic and Non-Domestic Violence against Women in New York City (J. Fagan, J. Medina-Ariza, and S.A. Wilt). Final Report, Grant 1999-WT-VW-0005, National Institute of Justice, U.S. Department of Justice (2003).

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Drug Control in Public Housing: The Impact of New York City's Drug Elimination Program on Drugs and Crime (J. Fagan, J. Holland, T. Dumanovsky, and G. Davies). Final Report, Grant No. 034898, Substance Abuse Policy Research Program, Robert Wood Johnson Foundation (2003).

The Effects of Drug Enforcement on the Rise and Fall of Homicides in New York City, 1985-95 (J. Fagan). Final Report, Grant No. 031675, Substance Abuse Policy Research Program, Robert Wood Johnson Foundation (2002).

Getting to Death: Fairness and Efficiency in the Processing and Conclusion of Death Penalty Cases after Furman (J. Fagan, J. Liebman, A. Gelman, V. West, A. Kiss, and G. Davies). Final Technical Report, Grant 2000-IJ-CX-0035, National Institute of Justice (2002).

Analysis of NYPD "Stop and Frisk Practices" (J. Fagan, T. Dumanovsky, and A. Gelman). Office of the Attorney General, New York State, 1999 (contributed chapters and data analyses).

Situational Contexts of Gun Use by Young Males in Inner Cities (J. Fagan and D.L. Wilkinson). Final Technical Report, Grant SBR 9515327, National Science Foundation; Grant 96-IJ-CX-0021, National Institute of Justice; Grant R49/CCR211614, Centers for Disease Control and Prevention (NIH), 1999.

The Specific Deterrent Effects of Arrest on Domestic Violence (C. Maxwell, J. Garner and J. Fagan). Final Technical Report, Grant 93-IJ-CX-0021, National Institute of Justice, 1999.

- The Epidemiology and Social Ecology of Violence In Public Housing* (J. Fagan, T. Dumanovsky, J.P. Thompson, G. Winkel, and S. Saegert). National Consortium on Violence Research, National Science Foundation, 1998.
- Reducing Injuries to Women in Domestic Assaults* (J. Fagan, J. Garner, and C. Maxwell). Final Technical Report, Grant R49/CCR210534, Centers for Disease Control, National Institutes of Health, 1997.
- The Effectiveness of Restraining Orders for Domestic Violence* (J. Fagan, C. Maxwell, L. Macaluso, & C. Nahabedian). Final Technical Report, Administrative Office of the Courts, State of New Jersey, 1995.
- The Comparative Impacts of Juvenile and Criminal Court Sanctions for Adolescent Felony Offenders: Certainty, Severity and Effectiveness of Legal Intervention* (J. Fagan). Final Report, Grant 87-IJ-CX-4044, National Institute of Justice, U.S. Department of Justice, 1991.
- Final Report of the Violent Juvenile Offender Research and Development Program*, Grant 85-MU-AX-C001, U.S. Office of Juvenile Justice and Delinquency Prevention:
- *Volume I: Innovation and Experimentation in Juvenile Corrections: Implementing a Community Reintegration Model for Violent Juvenile Offenders* (J. Fagan and E. Hartstone), 1986.
 - *Volume II: Separating the Men from the Boys: The Transfer of Violent Delinquents to Criminal Court* (J. Fagan and M. Forst), 1987.
 - *Volume III: Rehabilitation and Reintegration of Violent Juvenile Offenders: Experimental Results* (J. Fagan, M. Forst and T. Scott Vivona), 1988.

EDITORIAL:

Senior Editor, *Criminology and Public Policy*, 2001 - 2010
 Advisory Board, *Family and Child Law Abstracts*, Legal Scholarship Network, 1999-present
 Editorial Advisory Board, *Journal of Criminal Law and Criminology*, 1996-present
 Editorial Board, *Criminology*, 1997-2001
 Editorial Board, *Journal of Quantitative Criminology*, 2001-2008
 Editorial Board, *Crime and Justice: A Review of Research*, 1998-present
 Editorial Board, *Journal of Research in Crime and Delinquency*, 1997-2006
 Editor, *Journal of Research in Crime and Delinquency*, 1990 - 1995
 Editor, *Contemporary Drug Problems*, Special Issues on Crack (Winter 1989, Spring 1990)
 Co-Editor, *Oxford Readers in Crime and Justice* (w. Michael Tonry), Oxford University Press, 1994-95

ADVISORY BOARDS AND COMMITTEES:

Research Advisory Board, The Innocence Project (2009 – present)
 Committee on Law and Justice, National Academy of Sciences (2000-2006) (Vice Chair, 2004-6)
 Member, Committee to Review Research on Police Policy and Practices, National Research Council, National Research Council (2001-2003)
 Working Group on Law, Legitimacy and the Production of Justice, Russell Sage Foundation (2000-present)
 Working Group on Incarceration, Russell Sage Foundation (2000-2006)
 Academic Advisory Council, National Campaign Against Youth Violence (The White House) (1999-2001)
 Fellow, Aspen Roundtable on Race and Community Revitalization (1999 - 2001)
 Research Network on Adolescent Development and Juvenile Justice, MacArthur Foundation (1996-2006)
 National Consortium on Violence Research, Carnegie Mellon University (NSF) (1996-present)

Committee on the Assessment of Family Violence Interventions, National Research Council,
National Academy of Sciences (1994-1998)

PROFESSIONAL ASSOCIATIONS:

Society for Empirical Legal Studies
American Society of Criminology
American Sociological Association
Law and Society Association
American Association for the Advancement of Science
American Public Health Association

RESEARCH GRANTS:

Principal Investigator, *Citizens, Police and the Legitimacy of Law in New York*, Grant # 20033258, Open Society Foundations, October 2011-September 2013

Principal Investigator, *Proactive Policing and Mental Health: Individual and Community Effects*, Grant # 69669, Public Health Law Research Program, Robert Wood Johnson Foundation, 2011-13

Co-Investigator, *Street Stops and Police Legitimacy*, Grant 2010-IJ-CX-0025 from the National Institute of Justice, U.S. Department of Justice, subcontract from New York University, 2011 – 2012

Principal Investigator, “Evaluation of Project Safe Neighborhoods in Chicago,” May 2004 – September 2010, Grant # 2004-GP-CX-0578, Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice.

Principal Investigator, “Capital Sentencing of Adolescent Murder Defendants,” March – December 2004, Grant #20012433 from the Open Society Institute. Additional support from the Wallace Global Fund.

Principal Investigator, “Legitimacy, Accountability, and Social Order: Majority and Minority Community Perspectives on the Law and Legal Authorities,” September 2002 - August 2003, Russell Sage Foundation.

Principal Investigator, “Social Contagion of Violence,” Investigator Awards in Health Policy Program, Robert Wood Johnson Foundation, September 2002 – June 2004

Principal Investigator, “Getting to Death: Fairness and Efficiency in the Processing and Conclusion of Death Penalty Cases after Furman,” Grant #2000-IJ-CX-0035, September 2000 - August 2001, National Institute of Justice, U.S. Department of Justice.

Co-Principal Investigator, “Columbia Center for the Study and Prevention of Youth Violence,” Grant R49-CCR218598, October 1, 2000 - September 30, 2005, Centers for Disease Control, U.S. Department of Health and Human Services.

Principal Investigator, “Neighborhood Effects on Legal Socialization of Adolescents,” John D. and Catherine T. MacArthur Foundation, October 1, 2000 - September, 30, 2002.

Principal Investigator, “Violence Prevention through Legal Socialization,” 1 R01-HD-40084-01, October 1, 2000 - September 30, 2003, National Institute of Child and Human Development, U.S. Department of Health and Human Services.

Principal Investigator, “The Effects of Incarceration on Crime and Work in New York City: Individual And Neighborhood Impacts,” Russell Sage Foundation, Grant 85-00-11, September 2000 - August 2002.

Principal Investigator, “Community Courts And Community Ecology: A Study of The Red Hook Community Justice Center,” Grant 2000-MU-AX-0006, June 1, 2000 - December 31, 2002, National Institute of Justice, U.S. Department of Justice.

COURSES TAUGHT:

Seminar on Incarceration	Foundations of Scholarship
Seminar on Policing	Seminar on Violent Behavior
Criminal Law	Seminar on Drugs, Law and Policy
Capital Punishment	Seminar on Communities and Crime
Empirical Analysis of Law	Research Methods in Criminal Justice and Criminology
Juvenile Justice	Advanced Research Methods
Seminar on Crime and Justice in New York	Qualitative Research Methods
Pro-Seminar on Race, Crime and Law	Criminal Justice Policy Analysis
Pro-Seminar on Community Justice and Problem-Solving Courts	Administration of Juvenile Corrections
Seminar on Regulation in the Criminal Law	Research Methods
Law and Social Science	Seminar on Deterrence and Crime Control Theory
Seminar on Criminology	

CONSULTATIONS:

Robina Institute, University of Minnesota School of Law, 2012
Boston Police Department, 2012-present
New Jersey Commission on Law Enforcement Standards and Practices, 2006-7
London School of Economics, Urban Age Colloquium, 2005
Inter-American Development Bank, Urban Security and Community Development, 2002-3
Trans.Cité (Paris, France), Security in Public Transportation, 2002
National Funding Collaborative for Violence Prevention (Consortium of foundations), 1995
National Council on Crime and Delinquency, 1989-94
National Conference of State Legislatures, 1994-2001
U.S. Department of Labor, 1994
City of Pittsburgh, Office of the Mayor, 1994
Center for the Study and Prevention of Violence, Colorado University, 1993 - 2000
Washington (State) Department of Health and Rehabilitative Services, 1993
National Council of Juvenile and Family Court Judges, 1993
Center for Research on Crime and Delinquency, Ohio State University, 1992, 1993
New York City Criminal Justice Agency, 1992, 1993
Violence Prevention Network, Carnegie Corporation, 1992-3
National Institute of Corrections, 1992, 1993

SERVICE:

Chair, Sutherland Award Committee, American Society of Criminology, 2006-7
Chair, National Policy Committee, American Society of Criminology, 2002-2003
Delegate from the American Society of Criminology to the American Association for the
Advancement of Science, 1995-1999
Executive Counselor, American Society of Criminology, 1994-97
Chair, Nominations Committee, American Society of Criminology, 1995-96.
Counsel, Crime, Law and Deviance Section, American Sociological Association, 1993-94
Domestic Violence Working Group, New Jersey Administrative Office of the Courts, 1991-1998
Prevention Task Force, New Jersey Governor's Commission on Drug and Alcohol Abuse, 1990
State Judicial Conference, State of New Jersey, Administrative Office of the Courts, 1990
Task Force on Youth Gangs, State of New York, Division for Youth, 1989-90

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Date of Preparation: July 6, 2013

ACADEMIC APPOINTMENTS/WORK EXPERIENCE

02/2013 – Present	Department of Sociomedical Sciences Mailman School of Public Health, Columbia University <i>Assistant Professor</i>	New York, NY
06/2007-01/2013	School of Social Work Columbia University <i>Associate Research Scientist</i>	New York, NY
06/2004-05/2007	School of Social Work Columbia University <i>Research/Teaching Assistant</i>	New York, NY
03/2000-06/2003	RAND Corporation <i>Associate Operations Researcher</i>	Santa Monica, CA

EDUCATION

08/2003-05/2007	Columbia University, School of Social Work Ph.D., May 2007 Field: Social Policy Analysis Thesis Title: <i>Neighborhood Disorder and Crime: An Analysis of Broken Windows in New York City</i> Sponsor: Irwin Garfinkel	New York, NY
08/2003-05/2007	Columbia University, School of Social Work M. Phil, Social Policy Analysis, May 2006	New York, NY
01/1999-12/1999	Cornell University, School of Engineering M. Eng., Operations Research & Industrial Engineering December 1999	Ithaca, NY
08/1995-12/1998	Cornell University, School of Engineering BS, Operations Research & Industrial Engineering December 1998	Ithaca, NY

HONORS

- 2013 Invited Presentation, White House Workshop on Parental Incarceration
2011 Association for Public Policy Analysis and Management, Poster Competition, Second Place
2011 Study Team examining the Crime Decline in New York City, John Jay College
2010 Department of Health and Human Services Welfare Research and Evaluation Conference, Invited Poster, Emerging Scholars Session
2008 Invited Presentation to Annie E. Casey Foundation *Kids Count* Conference

PROFESSIONAL ORGANIZATIONS, SOCIETIES, AND SERVICE

Memberships and Positions

- 2011-2017 Executive Director, Fragile Families Summer Data Workshop Series
2011-Present Faculty Affiliate, Columbia Population Research Center
2010-Present Convener, Columbia Population Research Center Incarceration Working Group
2008-Present Member, Population Association of America
2006-Present Member, Association for Public Policy Analysis and Management
2004-Present Member, American Society of Criminology
2007-2011 Fellow, Columbia Population Research Center

Consultative Positions

- 2012 Grant Reviewer, National Science Foundation
2012 R15 Review Panel, National Institutes of Health
2011 Invited Presentation on Employment and Incarceration, 2011 Policy Conference, New York City Human Resource Administration, Office of Child Support Enforcement
2011 Invited Testimony on Children of Incarcerated Parents, New York City Council
2006 Grant Reviewer, U.S. Department of Health and Human Services

Editorial Positions

- 2012-2014 Editorial Advisory Board, *Criminology*
2008-Present Ad Hoc Reviewer: *American Sociological Review*, *Criminology*, *Demography*, *American Journal of Sociology*, *European Journal on Criminal Policy and Research*, *City and Community*, *Social Science Research*, *Economic Inquiry*, *Social Service Review*, *Social Forces*, *Social Problems*, *Justice Quarterly*, *Addiction*

DEPARTMENTAL AND UNIVERSITY COMMITTEES

- 2013-Present Faculty Scholar, MSPH Dean's Initiative on Mass Incarceration and Public Health
2013 Member, Department of Sociomedical Sciences MPH Admissions Committee

FELLOWSHIP AND GRANT SUPPORT

Past Support (Past 5 years)

- 2011-2013 *Citizens, Police, and the Legitimacy of Law in New York* (Grant #20033258)
Status on Grant: Co-Investigator
Funding Agency: Open Society Institute
- 2011-2012 *Fragile Families Summer Data Workshop 2012* (Grant #1R25HD72818-01)
Status on Grant: Executive Director
Funding Agency: National Institutes of Health OppNet
- 2011-2012 *Parental Incarceration and Father Involvement* (Grant #10450045 CUNY)
Status on Grant: Principal Investigator
Funding Agency: National Center for Family and Marriage Research
- 2011-2012 *Street Stops and Police Legitimacy* (Grant #2010-IJ-CX-0025)
Status on Grant: Co-Investigator
Funding Agency: National Institute of Justice/Sub-award from New York University
- 2007-2011 *Fragile Families and Child Well-Being* (Grant #PU00001278)
Status on Grant: Investigator
Funding Agency: Robert Wood Johnson Foundation
- 2007-2010 *Parental Incarceration and Child Well-Being* (Grant #CU02742601)
Status on Grant: Investigator
Funding Agency: Annie E. Casey Foundation

Present Support

- 2013-2014 *Understanding Parental Incarceration Through Survey and Administrative Data*
Status on Grant: Principal Investigator
Funding Agency: Columbia Population Research Center Seed Grant Program
- 2013-2017 *Fragile Families Summer Data Workshop Series* (Grant #1R25HD074544-01)
Status on Grant: Executive Director
Funding Agency: Eunice Kennedy Shriver National Institute for Child Health and Human Development.
- 2012-2013 *Extended Analysis of Stop, Question, and Frisk Policing in New York City*
(Grant #20033258)
Funding Agency: New York State Office of the Attorney General
- 2011-2013 *Proactive Policing and Mental Health* (Grant #69669)
Status on Grant: Co-Principal Investigator
Funding Agency: Robert Wood Johnson Foundation Program in Public Health Law Research

Pending Support

- 2014-2016 *Police Contact and Juvenile Delinquency Among Adolescents in the Fragile Families Birth Cohort*
Status on Grant: Co-Principal Investigator
Funding Agency: Office of Juvenile Justice and Delinquency Prevention
- 2014-2016 *Police Contact and Adolescent Legal Socialization*
Status on Grant: Principal Investigator
Funding Agency: National Institute of Justice
- 2013-2016 *Measuring Justice, Managing Equity: An Interdisciplinary, Multilevel Approach to Understanding Bias and Equity in Police Stops and Use of Force*
Status on Grant: Co-Principal Investigator
Funding Agency: National Science Foundation

TEACHING EXPERIENCE AND RESPONSIBILITIES

Specific Courses

Survey Research Methods (anticipated Spring 2014, approximate enrollment TBD)
Mailman School of Public Health, Department of Sociomedical Sciences

Quantitative Methods in Social Work Research (Fall 2006, approximate enrollment 20)
Columbia University School of Social Work

General Teaching Activities

Guest Lecturer, Seminar, "From the Streets to Prison" (Spring 2012, approximate enrollment 20)
Columbia Law School

Panelist, Teach-In on Capital Punishment (Fall 2011, approximate attendance 100)
Columbia University School of Social Work

Guest Lecturer, "Current Issues in Criminal Law" (Fall 2011, approximate enrollment 25)
City University of New York, School of Law

Panelist, Fragile Families Summer Data Workshop (Summer 2008, approximate attendance 40)
Columbia University School of Social Work

PUBLICATIONS

Original, Peer Reviewed Articles

Geller, A., Garfinkel, I., Cooper, C. E., & Mincy, R. B. (2009). "Parental Incarceration and Child Wellbeing: Implications for Urban Families." *Social Science Quarterly*. 90 (5): 1186-1202.

Geller, A. & Fagan, J. (2010). "Pot as Pretext: Marijuana, Race, and the New Disorder in New York City Street Policing." *Journal of Empirical Legal Studies*. 7 (4): 591-633.

Geller, A., Garfinkel, I., & Western, B. (2011). "Paternal Incarceration and Support for Children in Fragile Families." *Demography*. 48(1): 25-47.

Geller, A. & Curtis, M. (2011). "A Sort of Homecoming: Incarceration and housing insecurity among urban men." *Social Science Research*. 40(4): 1196-1213.

Schwartz-Soicher, O., Geller, A., & Garfinkel, I. (2011). "The Effects of Paternal Incarceration on Material Hardship." *Social Service Review*. 85(3) 447-473.

Note: I made substantial contributions to this paper with respect to the conception and design of the study, analysis and interpretation of data, drafting the manuscript, and revising the manuscript for intellectual content.

Geller, A., Cooper, C. E., Garfinkel, I., Schwartz-Soicher, O., & Mincy, R. B. (2012). "Beyond Absenteeism: Father Incarceration and Child Development." *Demography*. 49(1): 49-76.

Geller, A. (forthcoming, Oct. 2013). "Paternal Incarceration and Father-Child Contact in Fragile Families." *Journal of Marriage and Family*. 75: 1288-1303.

Books and Chapters

Amouzegar, M. A., Galway, L., & Geller, A. (2002). *Alternatives for Jet Engine Intermediate Maintenance*. Santa Monica, CA: RAND.

Note: I made substantial contributions to this paper with respect to the analysis and interpretation of data.

Leftwich, J. A., Tripp, R., Geller, A., Mills, P., LaTourrette, T., Roll, C. R., von Hoffman, C., & Johansen, D. (2002). *Supporting Expeditionary Aerospace Forces: An Operational Architecture for Combat Support Command and Control*. Santa Monica, CA: RAND.

Note: I made substantial contributions to this paper with respect to the acquisition of data, identification of sources, or conduct of interviews, the analysis and interpretation of data, and drafting the manuscript for intellectual content.

Pace, N. M., Reville, R., Galway, L., Geller, A., Hayden, O., Hill, L., Mardesich, C., Neuhauser, F., Polich, S., & Yeom, J. (2003). *Improving the People's Court: Issues Facing the Adjudication of Claims before the California Workers' Compensation Appeals Board*. Santa Monica, CA: RAND.

Note: I made substantial contributions to this paper with respect to the analysis of staffing in workers compensation courts, and drafting and revising the accompanying section of the manuscript for intellectual content.

Tripp, R. S., Mills, P., Geller, A., Roll, C. R. Jr., von Hoffman, C., Johansen, D., L., Leftwich, J. A. (2003). "Combat Support C2 Architecture: Supporting expeditionary airpower – C2 Combat Support." *Air Force Journal of Logistics*. 27(2).

Note: I made substantial contributions to this paper with respect to the analysis and interpretation of data, and drafting the manuscript for intellectual content.

Geller, A., George, D., Tripp, R., Amouzegar, M., Roll, C. R. (2004). *Supporting Expeditionary Aerospace Forces: Analysis of Maintenance Forward Support Locations*. Santa Monica, CA: RAND.

Fagan, J., Geller, A., Davies, G., & West, V. (2010). "Street stops and *Broken Windows* revisited: The demography and logic of proactive policing in a safe and changing city." In *Race, Ethnicity, and Policing: New and essential readings*, edited by S. K. Rice and M. D. White. New York, NY: NYU Press.

Note: I made substantial contributions to this paper with respect to the analysis and interpretation of data, drafting the analysis section of the manuscript, and revising the manuscript for intellectual content.

Reviews, Editorials, and Commentaries

Geller, A. (2012). Review of Frances T. Cullen, Cheryl Lero Jonson, Andrew J. Myer, and Freda Adler, eds. *The Origins of American Criminology*. *Social Service Review* 86 (1): 180-82. DOI: 10.1086/666351.

Fagan, J., Geller, A., Zimring, F. E. (2012). "The Texas Deterrence Muddle". *Criminology and Public Policy* 11(3) 579-591.

Note: I made substantial contributions to this paper with respect to the analysis and interpretation of data and drafting and revising the manuscript for intellectual content.

Other Publications

Amouzegar, M. A., Galway, L., Geller, A., Tripp, R., & Grammich, C. (2001). "Intermediate Engine Maintenance Alternatives: Expeditionary Operations." *Air Force Journal of Logistics*, 25(1), 31-36.

Note: I made substantial contributions to this paper with respect to the analysis and interpretation of data.

Geller, A., Tripp, R., Amouzegar, M., & Drew, J. G. (2003). "C2 in the CIRF test: a proof of concept: C2 To-Be Operational Architecture - C2 Combat Support." *Air Force Journal of Logistics*. 27(2).

Fagan, J., Zimring, F. E., & Geller, A. (2006). "Capital Punishment and Capital Murder: Market Share and the Deterrent Effects of the Death Penalty." *University of Texas Law Review*. 84, 1803-1867.

Note: I made substantial contributions to this paper with respect to the analysis and interpretation of data and drafting the analysis section of the manuscript for intellectual content.

PAPERS IN PREPARATION

Geller, A., and Walker, A. *Partner Incarceration and the Housing Insecurity of Urban Women*. Center for Research on Child Wellbeing Working Paper WP12-02-FF. (Second R&R at *Journal of Marriage and Family*)

Geller, A., Fagan, J., Tyler, T. R., and Link, B. *Aggressive Policing and the Health of Young, Urban Men*. (Presented at the 2013 Annual Meeting of the Population Association of America)

Geller, A. *Data Needs in the Assessment of Crime Trends: New York City as Example and Cautionary Tale*. (Presented at the 2011 John Jay Conference on the New York City Crime Decline).

Geller, A. and Fagan, J. *Crime, Policing, and Enforcement Spillover* (Presented at the 2012 Annual Meeting of the American Society of Criminology)

Tyler, T. R., Fagan, J., and Geller, A. *Street Stops and Police Legitimacy: Teachable Moments in Young Urban Men's Legal Socialization*.

Fagan, J., Geller, A., and Zimring, F. *Race, Political Economy, and the Social Production of Capital Homicides*. (Presented at the 2012 Annual Meeting of the Association for Public Policy Analysis and Management)

Curtis, M.A. and Geller, A. *"One Strike Enforcement" in Public Housing and Housing Insecurity*.

Curtis, M. A. and Geller, A. *Housing Insecurity among Urban Fathers*. Center for Research on Child Wellbeing Working Paper WP-10-05-FF.

Fagan, J. and Geller, A. *Profiling and Consent: Stops, Searches, and Seizures After Soto*. SSRN 1641326. (Presented at the 2013 Meeting of the Law and Society Association).

CHELSEA B. DAVIS

cbd2116@columbia.edu, 201.519.3401

EDUCATION:

Columbia University Mailman School of Public Health New York, NY
M.P.H., Department of Sociomedical Sciences- History and Ethics of Public Health and Medicine
May 2012, *Community Scholar* Award Recipient

Vanderbilt University Nashville, TN
Bachelor of Arts, *Magna Cum Laude*, May 2009
Majors: Anthropology; Philosophy; Medicine, Health, and Society

EXPERIENCE:

9/13-Present: Bard College Prison Initiative Woodbourne, NY
Faculty Instructor, Woodbourne Correctional Facility

2/13-Present: Mass Incarceration and Public Health Initiative New York, NY
Columbia University Mailman School of Public Health
Program Coordinator

11/12-2/13: Vera Institute of Justice New York, NY
Substance Use and Mental Health
Research Intern
- Justice and Health Data Exchange (JAHDE) Initiative

6/11-8/11: Vera Institute of Justice New York, NY
Center for Immigration and Justice
Research Intern

1/11-5/11: New York City Department of Health and Mental Hygiene New York, NY
Health Research Training Program
Division of Mental Hygiene, Bureau of Mental Health

8/09- 7/10: AmeriCorps Member, Literacy Coalition of Palm Beach County PBC, FL
Urban League of PBC and Riviera Beach Boys and Girls Club

10/08 – 5/09: Vanderbilt University Medical School’s Institute of Global Health Nashville, TN

5/08-8/08: VUSRP (Vanderbilt Undergraduate Summer Research Program) Nashville, TN

5/07: Archaeology Field School (Holmul and Cival Sites) Central America

2004-2005: Bergen County Commission on the Status of Women Bergen County, NJ
Junior Commissioner

SPECIAL PROJECTS

From Punishment to Public Health, Academy Member 2/13-present
Social Justice Institute to End Mass Incarceration, participant 2013
Grant Writer, evidence based policy – Columbia University 2012
Columbia University Journal of Global Health, Graduate Advisor 2011
JASMED- Joint Atlantic Seminar on the History of Medicine, Conference Organizer 2011
Teaching Assistant/Seminar Leader – Introduction to Sociomedical Sciences 2011

PUBLICATIONS, SELECT POPULAR ARTICLES, AWARDS, AND PRESENTATIONS

Davis, Chelsea. "Migrant Mental Health, Law, and Detention: Impacts and Alternatives." Refugee Resettlement and Mental Health: Promoting Resiliency, Constructing Equity. Ed. Simich, Laura. (In Press)

Davis, Chelsea. "Therapeutic Jurisprudence, Drug Courts, and Mental Health Courts: With the Best of Intentions." *Mental Health Law and Policy Journal*. (Forthcoming Fall 2013)

David Cloud & Chelsea Davis. "Treatment Alternatives to Incarceration for People with Mental Health Needs in the Criminal Justice System: The Cost-Saving Implications." Vera Institute of Justice. Research Summary, February 2013.

Davis, Chelsea. "The Public Health Consequences of Criminal Justice Policy: Incarceration, Law Enforcement, and Public Health." 2x2 Project, August 2013

Panel on Disability and the Law – International Mental Health Courts, AALS Meeting, January 7, 2013

Panelist – Alumni Summit for Public Health Leadership 2013: Panel on Mass Incarceration, 2013

Community Scholar Award, Mailman School of Public Health – Columbia University, 2012

PROFESSIONAL AND UNIVERSITY ORGANIZATIONS

WIN.NYC (Women's Information Network)	2012- present
American Public Health Association	2012-present
Columbia University Association for Public Health Action and Criminal Justice	2012
Vanderbilt CARES – vice president	2008 - 2009
LIVE (Living Wage for Vanderbilt Employees) -president (2006-2007)	2006 – 2009
HRC (Human Rights Campaign)	2008 - 2009
VSN (Vanderbilt Students for Nonviolence)	2007 - 2009

SKILLS

Software Knowledge: SPSS, STATA, Atlas-ti, Microsoft Office Suite proficient; grant writing, qualitative and quantitative research- literature reviews, archival research, policy development and analysis, cost benefit analysis, emerging social networking technologies, public speaking, event and conference planning

The Civil Rights Bureau of the New York State Attorney General's Office works to promote equal justice under law. The Bureau enforces federal, state, and local laws that protect all New Yorkers from discrimination in a variety of areas.

To file a complaint, please contact:

Office of the NYS Attorney General
Civil Rights Bureau
120 Broadway, 23rd Floor
New York, NY 10271
Tel: 212-416-8250
Fax: 212-416-8074
Civil.Rights@ag.ny.gov