

# **THE SUMMONS REPORT:**

## **Trends in the Issuance and Disposition of Summonses in New York City 2003-2013**

**A REPORT OF  
THE MISDEMEANOR JUSTICE PROJECT  
AT JOHN JAY COLLEGE OF CRIMINAL JUSTICE**

**Presented to the  
Citizens Crime Commission  
April 27, 2015**



# The Summons Report: Trends in Issuance and Dispositions of Summonses in New York City, 2003–2013

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April 27, 2015

Suggested citation: Chauhan, P., Welsh, M., Fera, A.G., & Balazon, E., with an introduction by Jeremy Travis. (2015, April). *The Summons Report: Trends in Issuance and Dispositions of Summonses in New York City, 2003–2013*. Report presented to the Citizens Crime Commission. New York: New York.



## ACKNOWLEDGEMENTS

We are grateful to the Office of Court Administration for providing data and feedback as we worked through the summons process, particularly Justin Barry, Bob Cassidy, Chip Mount, Karen Kane, and Ronald Younkins. A special thanks to Carolyn Cadoret, who conducted multiple data runs and answered so many of our questions along the way.

We would like to thank the Department of Criminal Justice Services, particularly Marge Cohen, Leslie Kellam, and Terry Salo, for being our partners on this project.

Thank you to the New York City Police Department, particularly Assistant Commissioner Ronald J. Wilhelmy; Director of Research, Policy, and Planning Rebecca Neusteter; Deputy Inspector Thomas Taffe; and Officer Gabriel Paez, whose feedback on previous versions of these analyses and suggestions for effective graphical representation were extremely helpful.

This project was made stronger through the feedback and guidance of several individuals. In the New York City Mayor's Office of Criminal Justice, Michele Sviridoff provided suggestions throughout this project. Also, thank you to Ashley Cannon from the Citizens Crime Commission, Margaret Egan from the New York State Governor's Office, and Nitin Savur from the Manhattan District Attorney's Office.

Thank you to Police Commissioner William J. Bratton and his staff for providing feedback on an earlier version of this analysis. Their feedback has significantly enhanced this report.

Thank you to our funder, the Laura and John Arnold Foundation, and especially to the staff of the Criminal Justice Initiative: Anne Milgram, Erica Gersowitz, and Joanna Weiss.

Lastly, this report would not have been possible without the hard work and thoughtful feedback of the rest of our research team—Ossama Ayesh, Carla Barrett, Mehdi Mahraoui, and Bettina Muenster.

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## INTRODUCTION

Dear Colleagues:

I am pleased to present this report on summonses issued in New York City from 2003 to 2013. This is the second report prepared by the Misdemeanor Justice Project, a research initiative at John Jay College of Criminal Justice, headed up by Dr. Preeti Chauhan in collaboration with other John Jay faculty and students in our doctoral and masters programs. The Misdemeanor Justice Project was launched with the premise that there are two distinct narratives in the public discourse on crime and justice in America. One narrative has been focused, appropriately, on serious crimes, felony arrests, and the consequences of those arrests. A second narrative has received less attention, namely the use of police powers to respond to low-level crimes. The goal of the Misdemeanor Justice Project is to deploy the tools of data analytics to provide a greater understanding of the interactions between the police and the public regarding low-level violations of the law. It is the hope of the Misdemeanor Justice Project team that the analyses we produce will inform this second narrative and thereby spark an important policy discussion.

To carry out our mission, we strive to present data in an objective, neutral manner, without attempting to identify drivers of the trends that we document or to prove causal connections between these trends and other trends, such as crime rates. We understand the intense public desire to make these connections and encourage other scholars and policy analysts to tackle those questions.

The first report of the Misdemeanor Justice Project, *Trends in Misdemeanor Arrest Rates in New York*, available at [www.jjay.cuny.edu/mjp](http://www.jjay.cuny.edu/mjp), documented trends in misdemeanor arrests in New York City and in five cities in upstate New York between 1980 and 2013. That report validated the premise of the Project. While there was a steady decline in felony arrests over this period, there was a 190 percent increase in the misdemeanor arrest rate in New York City, followed by a steep decline that began in 2010. Similar trends—sharp increases, followed by declines—were also observed in the five upstate cities. Although there has been public discussion of overall policing strategies in New York City in recent years, these trends in misdemeanor arrests have received little public or scholarly attention. We have been gratified by the level of interest from academics, journalists, and public officials in this first report from the Misdemeanor Justice Project. We are now planning follow-up reports with deeper analyses of the trends in misdemeanor arrests, the impact of these arrests on pretrial detention, the correlation between arrests and citizen calls for service, the practice of issuing Desk Appearance Tickets, and the mobility of individuals arrested for misdemeanors across the city.

This second report examines a different phenomenon: the law enforcement practice of issuing summonses for violations of administrative codes, the penal law, health codes, and park regulations, among others. These violations of the law are by definition less



serious than the misdemeanors treated in the first report, but they also constitute an important factor in police–public interactions and are therefore deserving of our attention. Whereas the first report relied on data from the New York City Police Department and the Division of Criminal Justice Services, this report presents analyses of data provided, generously, by the Office of Court Administration. This report is limited to New York City and to the decade (more precisely, eleven years) between 2003 and 2013. New York City was selected because the data were most readily available from the Office of Court Administration. The time period was chosen because the data on summonses were most reliable for this period. We closed our data collection with summonses issued before December 31, 2013 because we wanted to follow summonses through their court disposition in 2014.

What is a summons? A summons is issued when an authorized law enforcement agent, most commonly a member of the New York City Police Department, encounters an individual who is engaged in conduct that allegedly violates certain provisions of the administrative code, penal law, or health code. This is a high-volume enforcement activity in New York City. In the decade covered by this report, on average about a half-million summonses were issued each year. On a daily basis, the number of summonses issued ranged from a high of about 1,600 in 2006 to a low of about 1,200 in 2013. The vast majority (over 97 percent) was issued by the New York City Police Department. These summonses are issued for a variety of law violations. As is documented in this report, the five most frequent charges in 2013 were public consumption of alcohol, disorderly conduct, public urination, park offenses, and riding a bicycle on the sidewalk.

The summons directs the recipient of the summons to go to court on a specific date to appear, in most cases, in a special courtroom called the summons part, or in some cases in a community court. There are two violations for which the recipient can plead guilty by mail and that do not require a court appearance. In this report we document the outcomes of these summonses. In some cases, court personnel determine that the summons itself was defective or legally insufficient. In other cases, the individual fails to appear in court, which results in the issuance of a warrant. When the individual does appear, the case is sometimes dismissed, or the defendant pleads guilty and the court imposes a penalty, most typically a fine. As the report documents, there are noteworthy differences in all of these variables over time, by charge, and by borough.

Over the decade covered by this report, the number of summonses rose slightly from 550,000 issued in 2003 to 600,000 in 2006, then declined in 2008, rose slightly, and continued to decline, reaching a level slightly below 450,000 in 2013 (see Figure 1).<sup>1</sup> From the 2006 peak to the 2013 low, this trend constitutes a 25 percent drop, a remarkable shift in police enforcement activity in a short period of time. As was our practice in the report on misdemeanor arrests, we also present this trend in terms of a rate—the number of summonses as a share of the population, which we construct using data from the Census Bureau. In this metric, the decline in summons issuance is also evident. At the beginning of the decade, there were slightly fewer than 9,000

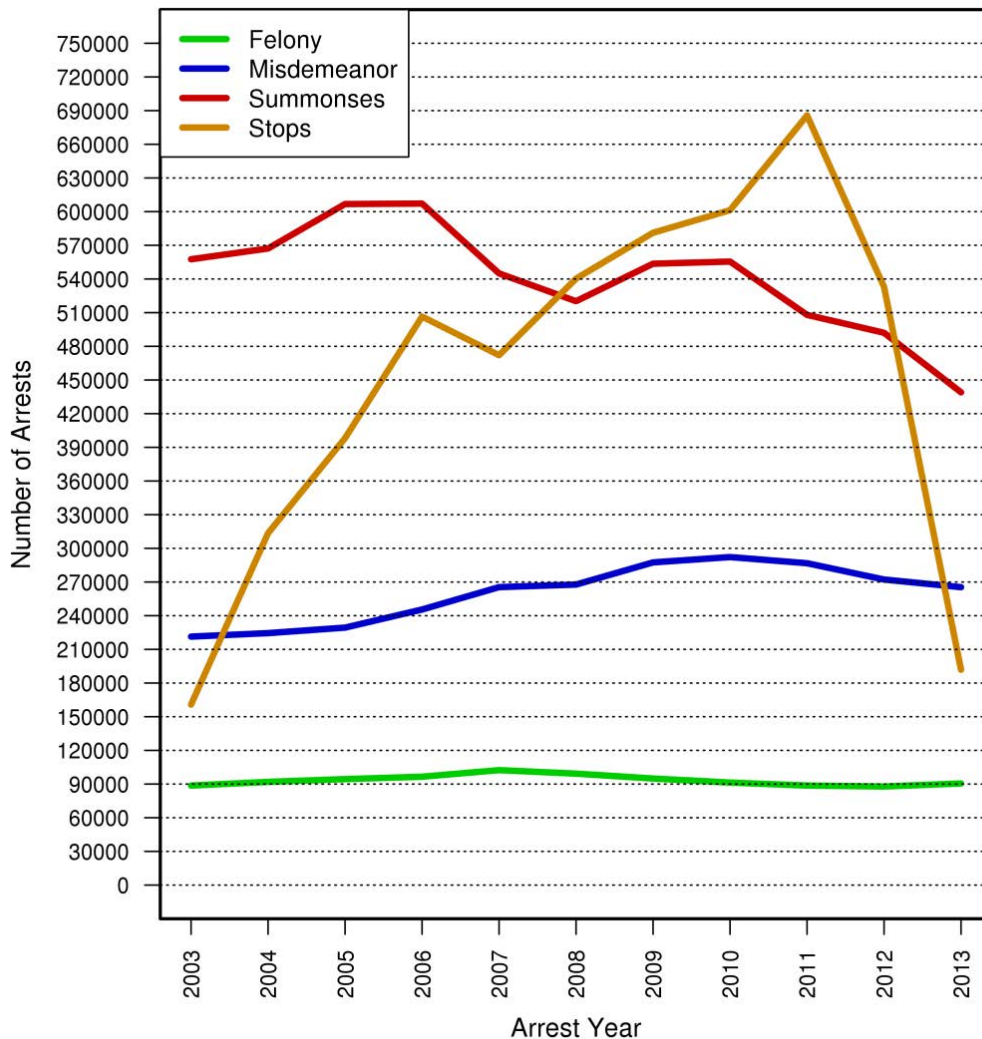
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<sup>1</sup> According to the announcement from the Mayor's Press Office (<http://www1.nyc.gov/office-of-the-mayor/news/235-15/mayor-de-blasio-chief-judge-lippman-justice-reboot-initiative-modernize-the>), the numbers are even lower for 2014 with 359,432 summonses being issued.

summonses issued per 100,000 city residents. By the end of the decade, that issuance rate had dropped to below 7,000 per 100,000 (see Figure 8).

Figure 1:

Arrests, Summonses, and Stops for New York City



Data Sources: Division of Criminal Justice Services for Felony Arrests, New York City Police Department for Misdemeanor Arrests and Stops, and Office of Court Administration for Summonses.

Consistent with the premise of the Misdemeanor Justice Project, we think it is important to view this portrait of summons issuance against other police enforcement activity in New York City. As Figure 1 shows, the number of felony arrests was relatively constant over this period at approximately 90,000 per year. Misdemeanor arrests, by contrast, rose significantly, from 221,000 in 2003 to nearly 300,000 in 2010, before dropping to 265,000 in 2013. Two other police practices displayed even more significant changes over the decade. As is documented in this report, the number of summonses issued dropped, in contrast to the more stable felony arrest rates. Yet over the same decade, the number of pedestrian stops by police officers recorded by the New

York City Police Department rose dramatically from 160,000 in 2003 to 685,000 in 2011, before declining sharply to 191,000 in 2013.

We recognize there are important legal distinctions between the arrest and summons activities of the NYPD and the exercise of legal authority to stop, question, and sometimes frisk individuals. Most importantly, the legal standards are quite different. In the case of a stop, the standard is “reasonable suspicion” of criminal activity; for an arrest it is “probable cause;” and for the issuance of a summons, it is “probable cause” for some non-fingerprintable misdemeanor offenses and the need to observe the behavior for other violations. From a citizen’s perspective, perhaps the most important difference is that very few of the stops resulted in an arrest—for instance, 6 percent in 2012—so the aggregate role of the courts in reviewing and adjudicating the results of summonses is far greater than for pedestrian stops that result in an arrest. Yet, viewed from the perspective of an accurate depiction of police–citizen interactions, the cumulative effect of these various enforcement activities is itself an important reality.

Several narratives emerge from these analyses of summons activity over the 2003–2013 decade. Perhaps most noteworthy is the simple fact of the decline, beginning in 2006, at a time when misdemeanor arrests and pedestrian stops were increasing, before they also declined. Within that citywide trend, we note important borough differences, particularly the steep decline in the issuance of summonses in the Bronx. From a case processing perspective, however, this report documents a high-volume police activity that results in very little formal criminal justice sanction. A high percentage (24 percent) of the summonses issued from 2003–2013 were found either legally insufficient (18 percent) or defective (6 percent), meaning that the courts are not able to consider the allegations on their merits (See Figure 4). Another 41 percent resulted in a dismissal, either because they are dismissed by the judge (23 percent) or the defendant receives an adjournment in contemplation of dismissal (18 percent), meaning the case will automatically be dismissed after a period of time, typically six months, without a new arrest (See Figure 5). About one in five summonses issued (21 percent) results in either a plea of guilty or a finding of guilt. For these cases, the sentence for nearly all (99 percent) in 2013 was the imposition of a fine. In some cases, the court also imposed other financial obligations such as a crime victim assistance fee or a surcharge. In 2013, the total monetary charges imposed for summonses were \$5,310,064. Beyond this, 36 percent of summonses resulted in the issuance of a warrant at some point during the pendency of the case, most often when the recipient of the summons failed to appear on the initial court date, or less frequently when the individual failed to pay a fine or to meet another court-imposed obligation (See Figure 6). About 14 percent of all summonses issued during this decade had an open warrant remaining as of December 15, 2014.

In conclusion, this report depicts a system that labors mightily but inefficiently to process a staggering number of cases from enforcement to adjudication. Each year, approximately a half-million summonses are issued, mostly by the New York City Police Department, far more than felony and misdemeanor arrests combined. A quarter of those summonses are kicked out for legal reasons. Forty percent are dismissed. Only in the remaining cases may the court impose a sanction on the individual who engaged in

the offense that led to the summons. Almost all of these cases result in monetary charges.

On April 14, 2015, Mayor Bill de Blasio and Chief Judge Jonathan Lippman announced a sweeping series of reforms to the summons system in New York City. These changes include a redesigned summons form that makes the date of appearance easier to understand, a reminder system of robocalls and text messages to ensure defendants appear in court, and a pilot program in Patrol Borough Manhattan North to examine whether flexible appearance dates and night court hours increase court appearances. In addition, they are increasing transparency and quality of the system by making quarterly data on summonses available to the public, providing real-time electronic access to case files to defense attorneys, allowing for online payment of fines, and providing training to Public Defenders and Judicial Hearing Officers on how to better advise clients about the collateral consequences associated with a summons. We applaud this ambitious initiative, which will set the stage for a new system that is more efficient, more tailored to the legitimate needs of New Yorkers who receive these summonses, and hopefully more effective in terms of the ultimate outcomes. In future reports by the Misdemeanor Justice Project, we hope to document the impact of these changes on the trends described in this report.

We have been able to conduct these analyses with the generous support of many partners. We acknowledge first the indispensable support of the Laura and John Arnold Foundation, in particular its Vice President of Criminal Justice, Anne Milgram, who is a visionary leader in our field. We are also grateful for the collegial engagement of Erica Gersowitz, Director of Criminal Justice, and Joanna Weiss, Director of Criminal Justice, both highly professional program officers. Our partners at the Arnold Foundation quickly saw the value of the Misdemeanor Justice Project strategy and have encouraged us to dig deeper in the misdemeanor data and look for national partners to replicate this use of data analytics. They are forward-looking colleagues with a deep concern for the fair and effective workings of the justice system, particularly at the pretrial and police stage.

We are also indebted to colleagues at the Office of Court Administration (OCA), starting with Chief Judge Jonathan Lippman, who gave his early approval to this project. First Deputy Chief Administrative Judge Lawrence Marks and Executive Director Ronald Younkens also provided leadership at critical moments in our partnership. Without access to the data that OCA provided, this project would not have been possible. We also acknowledge the invaluable expertise and generous support from Systems Analyst Carolyn Cadoret, Senior Management Analyst Karen Kane, New York City Criminal Court Chief Clerk Justin Barry, Deputy Chief Clerk V Bob Cassidy, and Director of Court Research and Technology Chip Mount, the talented data and operations professionals at OCA. As we wrestled with definitions of arcane terms, borough differences, and court practices, they were patient and always supportive.

This report has also benefited from our continuing collaboration with the New York City Police Department, in particular Assistant Commissioner Ronald Wilhelmy and Director of Research, Policy, and Planning Rebecca Neusteter. Finally, we have benefited

immeasurably from the guidance and encouragement of Elizabeth Glazer, Director of the Mayor's Office of Criminal Justice, and Michele Sviridoff, Deputy Criminal Justice Coordinator of Research and Policy. They have always understood the deep importance of these low-level enforcement activities and have pushed us to extend our work. Over the course of the Misdemeanor Justice Project, we have presented our preliminary findings to a group of data partners representing various city and state agencies. We stand in their debt for their constructive feedback.

As with our first report on misdemeanor arrests, we have presented this Summons Report at a forum provided by the Citizens Crime Commission. The Commission has a long history of bringing together the leaders of the City's criminal justice system, non-profit organizations, academia, and the media to discuss important criminal justice issues facing New York City. We can't imagine a more appropriate forum for the discussion of our findings. We thank the Commission's President, Richard Aborn, and its Board for providing this forum and their continuing support of the Misdemeanor Justice Project. Based on the positive reactions to the first report, we are optimistic that this report will also generate discussion on the issuance and dispositions of summonses in New York City, an important, and under-examined, dimension of the workings of our system of justice.

Jeremy Travis  
President  
John Jay College of Criminal Justice

## GOALS OF THE PROJECT

This report seeks to understand trends in the issuance and disposition of summonses for low level violations in New York City. While information about the issuance and processing of summonses is made available annually by the Criminal Court of the City of New York,<sup>2</sup> our analyses go further in a few notable ways. First, we present an in-depth longitudinal look at issuance patterns from 2003 to 2013 for New York City, the city's five boroughs, and its two community courts. Second, we parse these trends based on age, gender, charge, disposition, and sentence/fines imposed, using rates and percentages when appropriate. Importantly, we examine the proportion of summonses determined to be defective or legally insufficient, as well as the proportion of summonses resulting in the issuance of a warrant. Lastly, we examine the most frequent charges by age as well as dispositions of the most frequent charges.

This is the second technical report to emerge out of the Misdemeanor Justice Project (MJP). Our first report, *Trends in Misdemeanor Arrests in New York*, was released in October of 2014.<sup>3</sup> The first report examined misdemeanor arrests in New York City, Other Urban Centers (Albany, Buffalo, Rochester, Syracuse, and Yonkers), and the Rest of New York from 1980 to 2013. This report differs in meaningful ways from the first report. First, we are unable to conduct race/ethnicity analyses because this demographic is not consistently reported in the data and not included on the summons form. Second, we examine 11 years rather than 33 years of data. Data for summonses prior to 2003 are not comparable to data after 2003 and were entered in a different system. Third, other upstate cities have a different summons process. For instance, they may include moving and parking violations in their summonses. More importantly, there is no centralized system for summonses for New York State, making cross-city comparisons difficult. Therefore, we focus only on New York City. Similar to the last report, this is a technical report and we intentionally do not provide in-depth interpretations or conclusions.

In conducting these descriptive analyses, our aim has been three-fold: (1) to document trends in the issuance and processing of summonses in New York City, (2) to compare these trends between New York City's five boroughs, and (3) to disentangle the complexities of the summons world in an effort to continue the important policy discussion regarding low-level enforcement.

The five take-home messages are the following:

1. Overall, summonses are on the decline. This decline is driven by lower issuance rates among 16-17-year-olds and 18–20-year-olds, mainly for disorderly conduct.
2. On average for the past decade, roughly two in five summonses resulted in a dismissal or an adjournment in contemplation of dismissal. Only one in five

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<sup>2</sup> Please see the Court's annual reports here: <http://www.nycourts.gov/COURTS/nyc/criminal/annual-reports.shtml>.

<sup>3</sup> Please find our first report here: <http://www.jjay.cuny.mjp>.

summonses resulted in a guilty disposition, and one in four ultimately did not require a court appearance because of defectiveness or legal insufficiency.

3. On average over the past decade, 36 percent of summonses resulted in the issuance of a warrant. The majority of these warrants were vacated and as of December 15, 2014, 14 percent of all summonses issued between 2003 and 2013 had an open warrant remaining.
4. The top five charges for which summonses were issued are public consumption of alcohol, disorderly conduct, public urination, park offenses, and riding bicycle on sidewalk. Public consumption of alcohol and public urination resulted in higher guilty pleas, whereas summonses issued for riding bicycle on the sidewalk were most often determined to be legally insufficient or dismissed. Notably, public consumption of alcohol and public urination can be pled by mail, where the individual pleads guilty and pays a fine via mail.<sup>4</sup>
5. There is substantial borough-level variation throughout the summons process in patterns of issuance, charges, and dispositions.

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<sup>4</sup> Please see: <https://www.nycourts.gov/courts/nyc/criminal/specialprojects.shtml#pleabymail>.

## SUMMONSES: BASIC FACTS ABOUT THE PROCESS

### What is a summons?

A summons is issued for an alleged low-level violation of the law such as an administrative code, penal law, vehicle and traffic law, and others. In a strict legal sense, the term “summons” is a misnomer. It is actually an accusatory instrument—a complaint or information—handwritten by a law enforcement official and filed with the court, and an appearance ticket given to the defendant instructs him or her where and when to appear in court. When a summons is issued, it should contain the date, time, and location of a court hearing at which the case will be disposed.<sup>5</sup> Cases can be heard at a summons courts in the five boroughs (Manhattan, Brooklyn, Queens, Bronx, and Staten Island), as well as at Midtown Community Court in Manhattan and Red Hook Community Justice Center in Brooklyn.<sup>6</sup>

In New York City, there used to be one summons form with three different sections (A for parking violations, B for moving violations, and C for criminal violations). Parking and moving violations were subsequently given their own forms. C-summonses over time became the colloquialism used for criminal violations. They are given for violations and certain misdemeanors, sometimes referred to as “quality of life” offenses. These offenses may fall within or outside the penal law and may be issued for “non-fingerprintable” offenses. C-summonses are the focus of our report.

### For what violations can a summons be issued?

Summonses may be issued for a broad range of low-level offenses. In our data, the top violations were public consumption of alcohol, disorderly conduct, public urination, park offenses, and riding bicycle on sidewalk. Please see Appendix A for a list of the violation codes for which summonses were issued and the number of summonses issued for various codes.

### Who can issue a summons?

Summonses may be issued to an individual or a corporation by over 40 certified agencies, including the New York City Police Department, New York City Fire Department, Tax Enforcement, Taxi and Limousine Commission, and Environmental Control. Please see Appendix B for a full list of agencies that can issue a summons. From 2003 to 2013, the New York Police Department (NYPD) issued the largest numbers of summonses at over 97.5 percent.<sup>7</sup> Other top issuing agencies were Triborough Bridge and Tunnel Authority (TBTA; 0.4 percent), Metropolitan Transit Authority (Metro; 0.3 percent), and New York Fire Department (NYFD; 0.3 percent).

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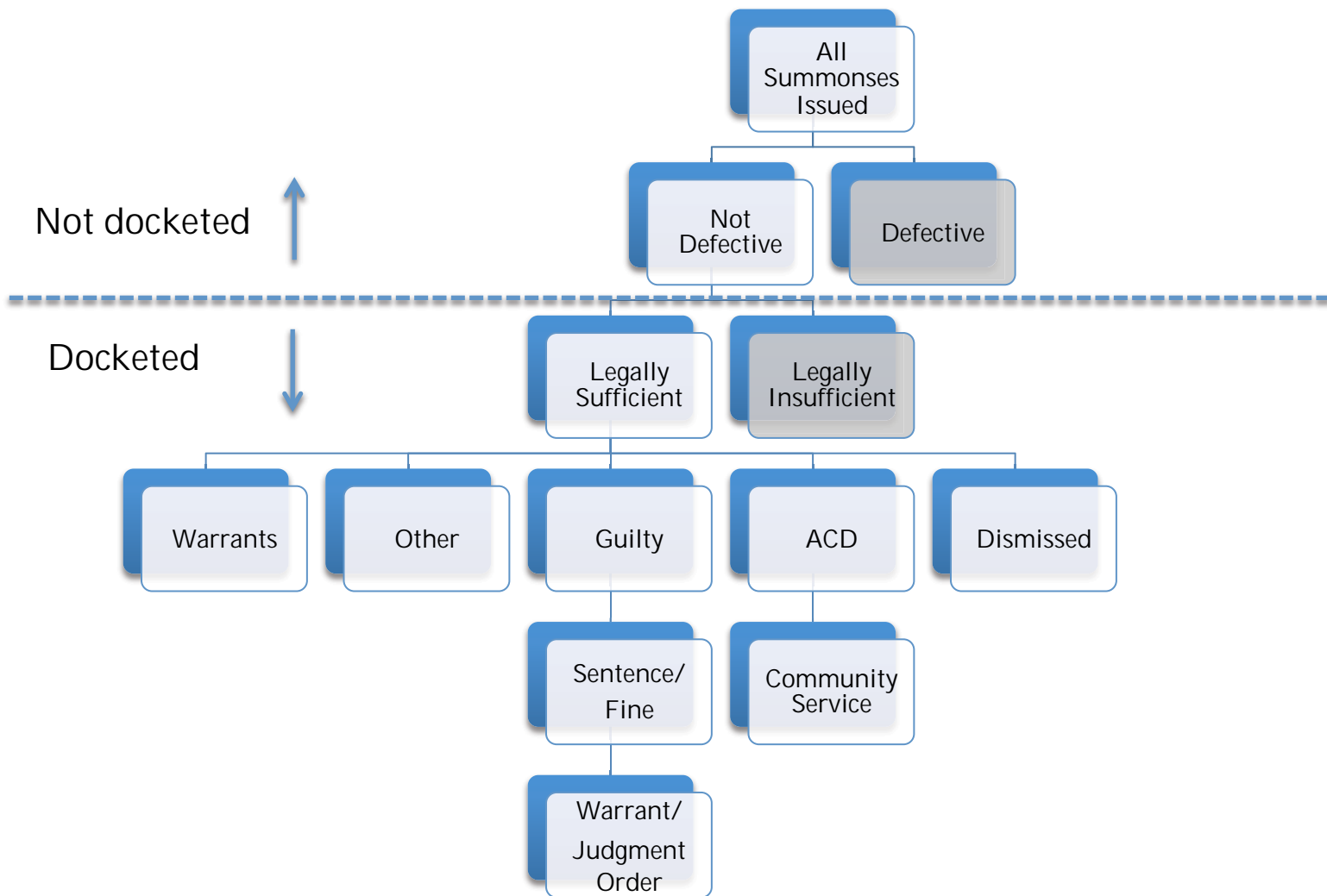
<sup>5</sup> For two Criminal Court Summons charges, a summons recipient may plead guilty and pay a fine by mail in lieu of going to court. These charges are: consumption of alcohol on streets, also known as an open container violation or consumption of alcohol in public (AC 10-125), and public urination (AC 16-118).

<sup>6</sup> Midtown Community Court processes summonses issued in the 10<sup>th</sup>, 14<sup>th</sup>, 18<sup>th</sup>, and 20<sup>th</sup> police precincts; Red Hook Community Justice Center processes summonses issued in the 72<sup>nd</sup>, 76<sup>th</sup>, and 78<sup>th</sup> precincts.

<sup>7</sup> Note that the data are for the five boroughs and the defective summonses. However, these data do not reflect docketed summonses in community courts.



Figure 2:  
The Summons Process Flow Chart



## The Summons Process<sup>8</sup>

The summons process can be complex. Here we want to spend some time describing the process to show the intricacies, as well as to demonstrate the various outcomes (see Figure 2). First, the 40 agencies that issue summonses drop them off at the Central Receiving Unit. This unit separates the summonses by county and appearance date. This unit also looks for defects in summonses that may prevent them from being docketed. A summons may be found defective for a number of reasons, typically, if the summons was filled out incompletely, leaving out the date or time to appear in court. These summonses do not get docketed, and a letter is sent indicating that the individual does not have to appear in court. As reflected in our analyses, defective summonses comprise a small portion of all summonses filed with the court. These data on defective summonses include all five boroughs and the two community courts.

Next, if the summons is not defective, it is either scanned into the Summons Automated Management System (SAMS) for the five borough courts or entered into a criminal justice database called Distributed Criminal Records and Information Management System (DCRIMS) for the two community courts. After it is docketed, a summons is then forwarded to the pertinent county. Several boroughs go through a review process called Summons All Purpose Part-Dismissed (SAP-D), where the Supervising Judge reviews the summons for legal sufficiency. If the summons is found legally insufficient during the SAP-D process, the recipient of the summons is sent a letter indicating that the individual does not need to appear in court. Staten Island and Red Hook Community Justice Center do not engage in this review. Further, Midtown Community Court only started this process recently, in 2009.

A summons that survives these first two levels of review gets scheduled for an arraignment. If an individual does not come to this appearance, a warrant is ordered. If an individual comes to the scheduled arraignment, a number of different outcomes may occur. The summons can be dismissed or be adjourned in contemplation of dismissal (ACD), where if the individual remains out of trouble for some time, typically six months, the case is dismissed. In community courts, an ACD can also result in community service. At this stage, a summons may also be dismissed as legally insufficient.<sup>9</sup> The individual can also plead guilty<sup>10</sup> and be sentenced, usually for a fine. If the individual cannot pay the fine, a warrant or a civil judgment is ordered. Other dispositions include but are not limited to acquittals and resentences. When a warrant is ordered, it is usually for a failure to appear in court rather than for not paying a fine. After a warrant is ordered, it can remain open or be vacated. If vacated, the summons can result in one of the above dispositions including dismissal, adjournment in contemplation of dismissal, or other.

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<sup>8</sup> For more information, please see the Criminal Court of the City of New York Annual Reports: <http://www.nycourts.gov/COURTS/nyc/criminal/annual-reports.shtml>

<sup>9</sup> This is done mainly in Staten Island and Red Hook Community Justice Center, where the review is not done prior to the hearing. In our analyses, we combine these legally insufficient cases into dismissals because the community courts do not specify dismissal types while the boroughs do.

<sup>10</sup> An individual can plead not guilty and then be found guilty or acquitted, but this is rare. Most individuals generally plead guilty.

## ABOUT THE DATA PRESENTED IN THIS PUBLICATION

We used data from two sources for the analyses presented here: the New York State Office of Court Administration (OCA) and the U.S. Census.

OCA: These data provide demographic, charge, disposition, and sentence information for all summonses from 2003 to 2013. Our data include all C-summonses issued to individuals—not corporations—from 2003 to 2013. Our deadline for open warrants is December 15, 2014 for summonses issued between January 1, 2003 and December 31, 2013.

The SAMS system allows us to aggregate summons data into two ways: (1) by the summons issued or (2) by the individual and incident, given that an individual can receive up to 10 summonses during a given incident. We chose to analyze data by summonses because we wanted to include community courts (the DCRIMS system does not allow us to examine data by the individual and incident) and were interested in the disposition of an individual summons. We also note here that the vast majority of individuals (86.4 percent) received only one summons over the study period. However, it is notable that this number varied over the decade. In 2003, 77.5 percent of individuals received one summons, and in 2013 this number increased to 92.3 percent.<sup>11</sup> Hence, part of the reduction in the issuance of summonses is due to a reduction in the number of summonses issued per incident to a person, rather than the numbers of incidents that resulted in a summons. We acknowledge that both metrics are meaningful.

U.S. Census: These data were downloaded from Infoshare.org and include overall population counts, as well as counts broken down by age and gender. We used linear interpolation to calculate population bases for the years between 2000 and 2010. From 2011 to 2013, we used the 2010 population base, as new estimates were not readily available for the numerous demographic breakdowns.

Consistent with the previous report issued from the Misdemeanor Justice Project, we present analyses by raw numbers, percentages, and population rates. Raw numbers are helpful for understanding broad trends over time. Percentages are useful for understanding relative changes over time, holding constant any increases or decreases in raw numbers. Rates allow for population estimates across the decade. Notably, all rates are population specific. For instance, rates for 16-17-year-old males are based on the number of 16-17-year-old males in that given year for that geographic unit, such as the city or the borough.

There is a noteworthy limitation to using population rates in our analyses. As other scholars have noted, Census data are based on individuals who live in New York City.<sup>12</sup>

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<sup>11</sup> These numbers are only for docketed summonses at the borough level. They do not include community courts or defective summonses

<sup>12</sup> See: D'Alessio, S. & Stolzenberg, L. (2003). Race and the probability of arrest. *Social Forces*, 81(4), 1381-1397; Golub, A., Johnson, B., & Dunlap, E. (2007). The race/ethnicity disparity in misdemeanor marijuana arrests in New York City. *Criminology & Public Policy*, 6(1), 131-164;

These data do not include a sizeable number of people who come into the city for work or for tourism. A 2010 estimate of how commuting changes New York City's weekday population indicates a net gain of about 608,000 people (or a 7.5 percent increase in the daytime population).<sup>13</sup> We believe that rates are informative particularly at the borough level, given that population size varies considerably by borough. We also want to acknowledge that a person can get multiple summonses in one year as well as multiple summonses during a given incident. Therefore, we do not consider our rates population rates but rather issuance rates.

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and Parker, K., Stults, B., & Rice, S. (2005). Racial threat, concentrated disadvantage, and social control: Considering the macro-level sources of variation in arrests. *Criminology*, 43(4), 1111-1134.

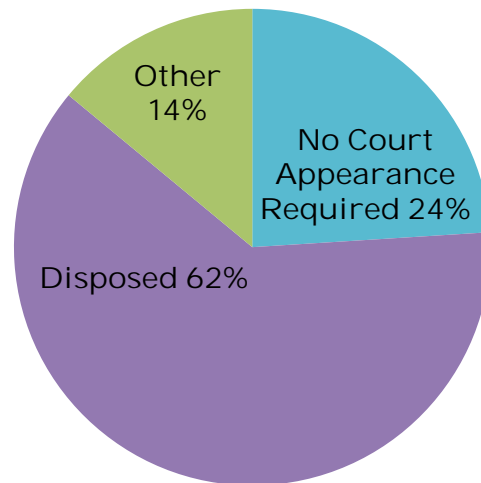
<sup>13</sup> For more information on daytime population estimates, see: [http://www.census.gov/hhes/commuting/data/acs2006\\_2010.html](http://www.census.gov/hhes/commuting/data/acs2006_2010.html) and <https://www.census.gov/hhes/commuting/files/ACS/top20-commuter-adjusted-population.pdf>.

## SUMMONSES: OUTCOMES AGGREGATED, 2003–2013<sup>14</sup>

Below, we show the macro-level picture for outcomes from summonses for the past decade. We believe it is informative to look at these aggregate outcomes before we begin to unpack longitudinal trends by age, gender, charges, and dispositions.

Figure 3:

Summonses Outcomes for 2003–2013



Data Source: Office of Court Administration.

Figure 3 shows that, on average, 24 percent, or approximately one in four of all summonses issued, did not require an appearance in court because it was defective or found legally insufficient in a judicial review prior to arraignment. On average, a little less than two-thirds, or 62 percent, were disposed in some way either at the initial arraignment or after a warrant was ordered. The remaining 14 percent indicate that the cases have an open warrant, are pending, or the disposition is unknown.

When breaking down the no court appearance required piece, we see that 6 percent of all summonses are found defective and 18 percent are found legally insufficient in the SAP-D review process (see Figure 4). In both cases, the individual is sent a letter saying no court appearance is required.

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<sup>14</sup> In this section, we round the percentages to be consistent with the figures.

Figure 4:  
 Summonses Outcomes: Defective and Legally Insufficient

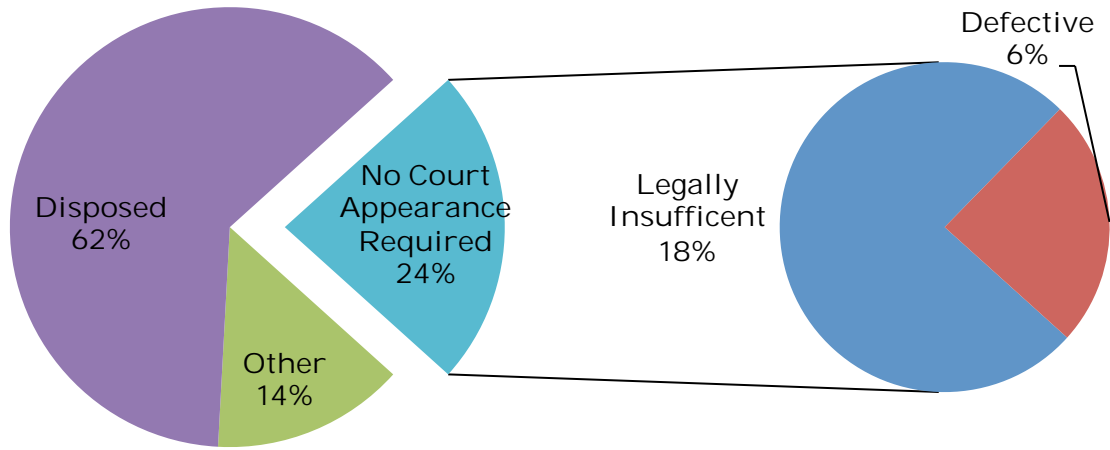
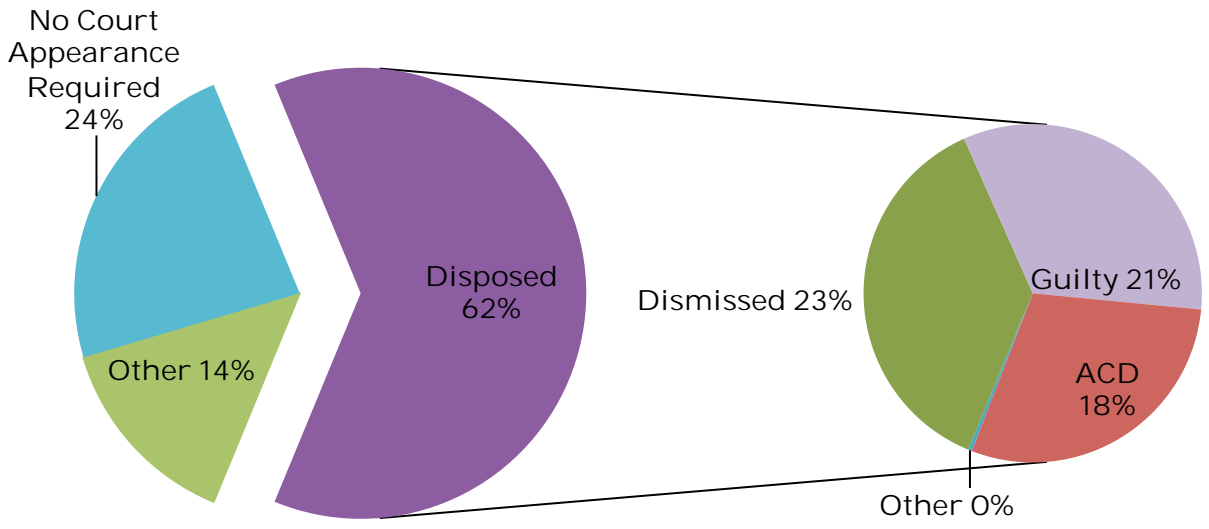


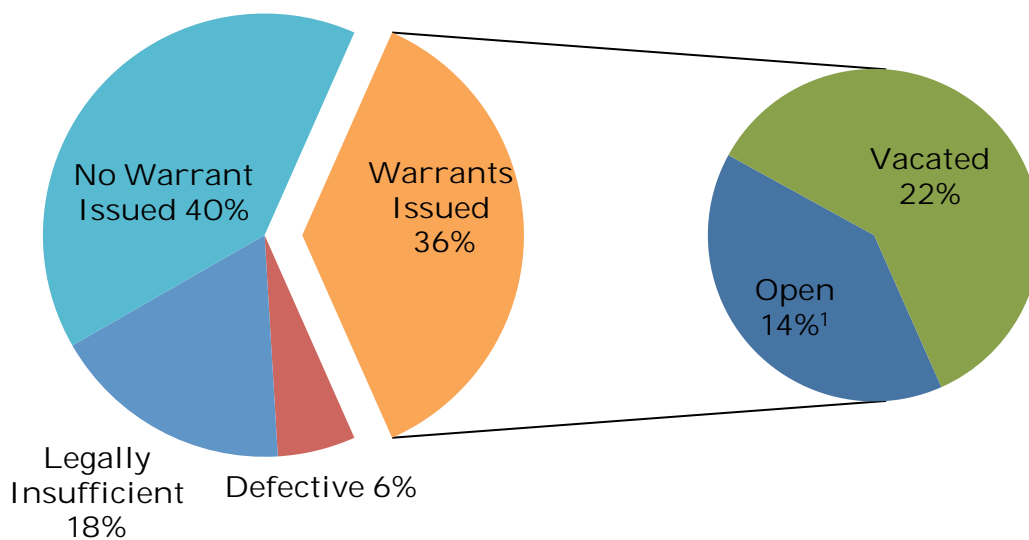
Figure 5:  
 Summonses Outcomes: Dispositions



Data Source: Office of Court Administration.

Further, when the disposition is known, 23 percent are dismissed<sup>15</sup> and 18 percent are adjourned in contemplation of dismissal. Only 21 percent of all summonses from 2003 to 2013 result in a disposition of guilt. Hence, one in five of all summonses issued result in a guilty disposition, while two in five are either dismissed or adjourned in contemplation of dismissal.

Figure 6:  
Summons Outcomes: Warrants



Data Source: Office of Court Administration.

Another way to examine the world of summonses is to disaggregate the data on warrants. In Figure 6, we see that 36 percent of all summonses result in a warrant ordered, with 22 percent of all summonses being vacated (and subsequently disposed) and 14 percent remaining open as of December 15, 2014. Notably, 40 percent of summonses do not result in a warrant.

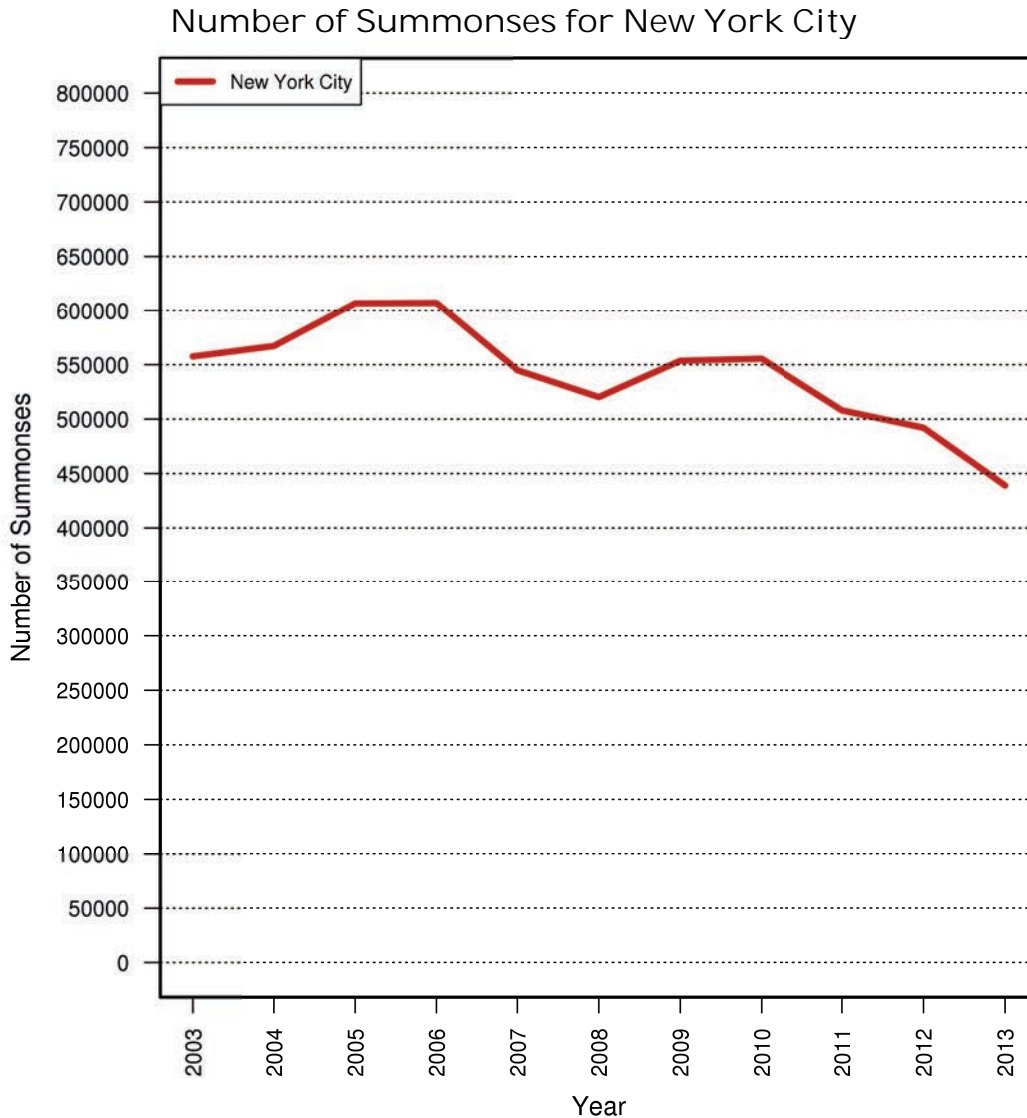
<sup>15</sup> Cases found to be legally insufficient at arraignment are included in dismissed.

## SUMMONSES: LONGITUDINAL TRENDS, 2003–2013

### Number and Rates of Summonses: Overall

Below, we present the number and rate of summonses for New York City and by borough. These data reflect all summonses, including those that are found defective and not docketed. We note here that part of the reduction in the number of summonses issued is attributed to the reduction of multiple summonses issued to a person during a given incident.<sup>16</sup>

Figure 7:



<sup>16</sup> In 2003, 81,626 individuals received more than one summonses during a given incident. This number fell to 26,699 in 2013. These numbers do not include community courts or defective summonses.

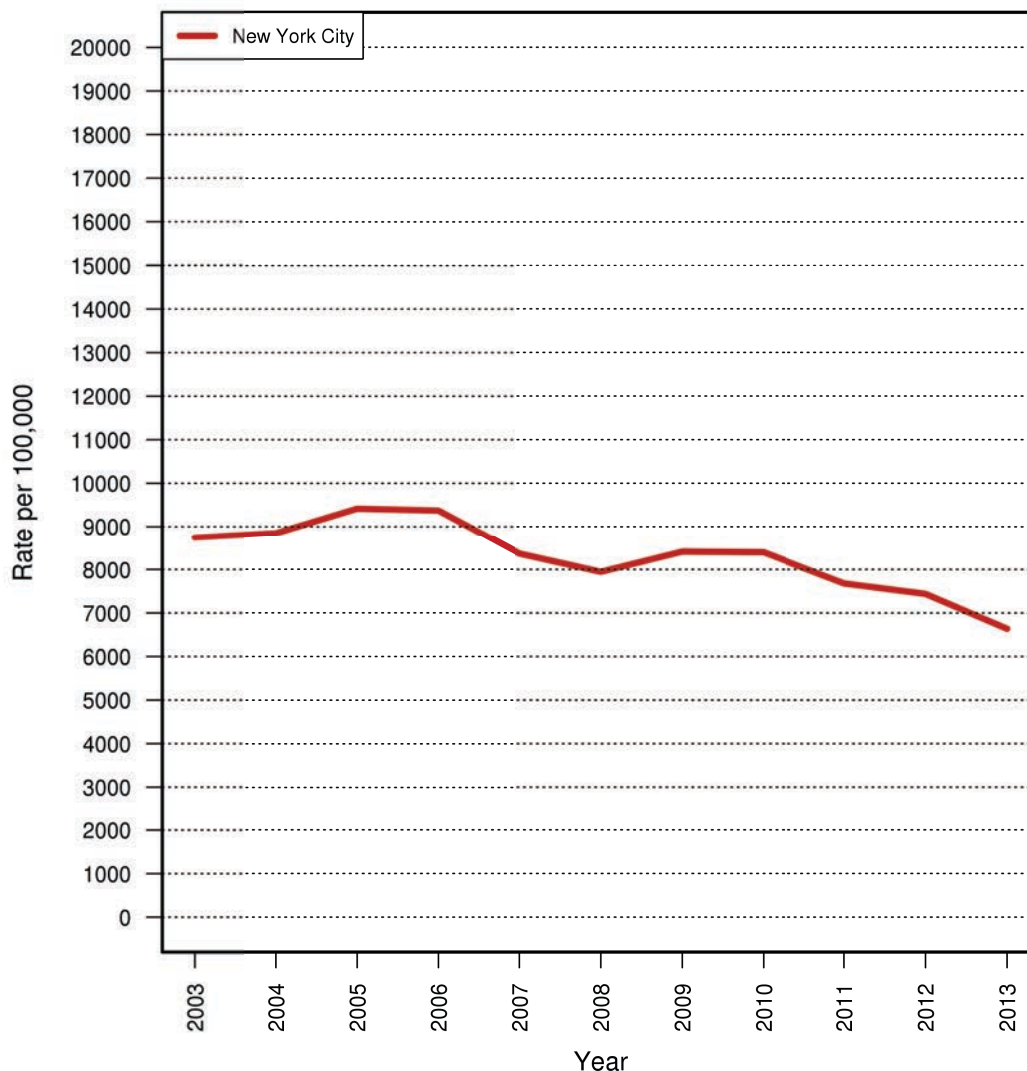


Figure 7 illustrates the number of summonses issued in New York City from 2003 to 2013. In terms of absolute numbers, the issuance of summonses began the study period at 557,570 summonses in 2003, peaked in 2006 at 607,183, then declined to a low of 439,029 in 2013. This suggests that, on average, in 2006, 1,664 summonses were issued a day. This daily rate fell to 1,202 in 2013.

Notably, the latest data from the New York City Police Department suggest that the numbers were lower for 2014 with 359,432 summonses being issued.<sup>17</sup>

Figure 8:

Rate of Summonses for New York City Per 100,000 Population



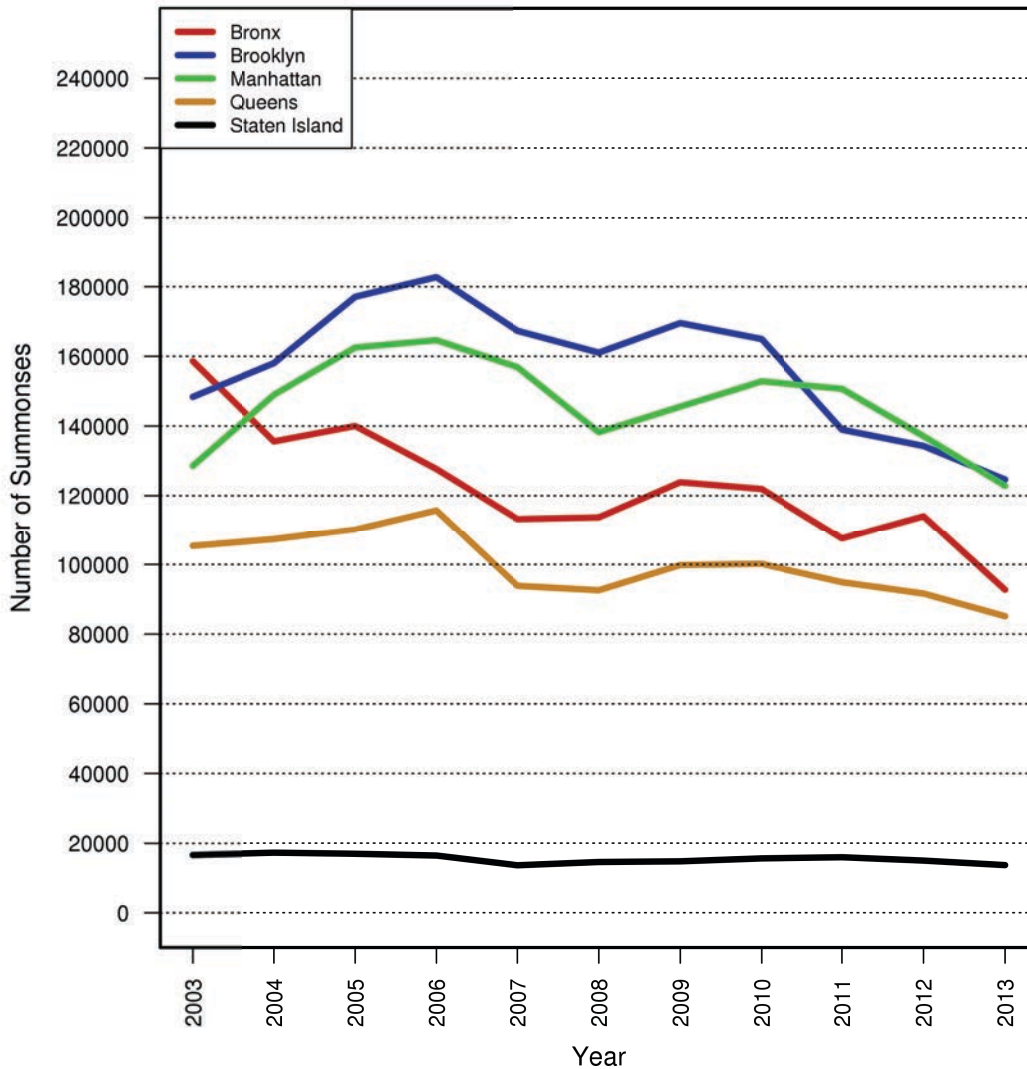
Data Source: Office of Court Administration.

<sup>17</sup> See Mayor Bill De Blasio's Press Statement <http://www1.nyc.gov/office-of-the-mayor/news/235-15/mayor-de-blasio-chief-judge-lippman-justice-reboot-initiative-modernize-the>.

Figure 8 shows these same data but as a rate per 100,000 population. For New York City, summonses were issued at the highest rate in 2005, when summonses were issued at a rate of 9,414 summonses per 100,000 population, or 9.4 percent. This rate declined steadily over the study period to a rate of 6,636 summonses per 100,000 population, or 6.6 percent in 2013.

Figure 9:

Number of Summonses by Borough (with Community Courts)



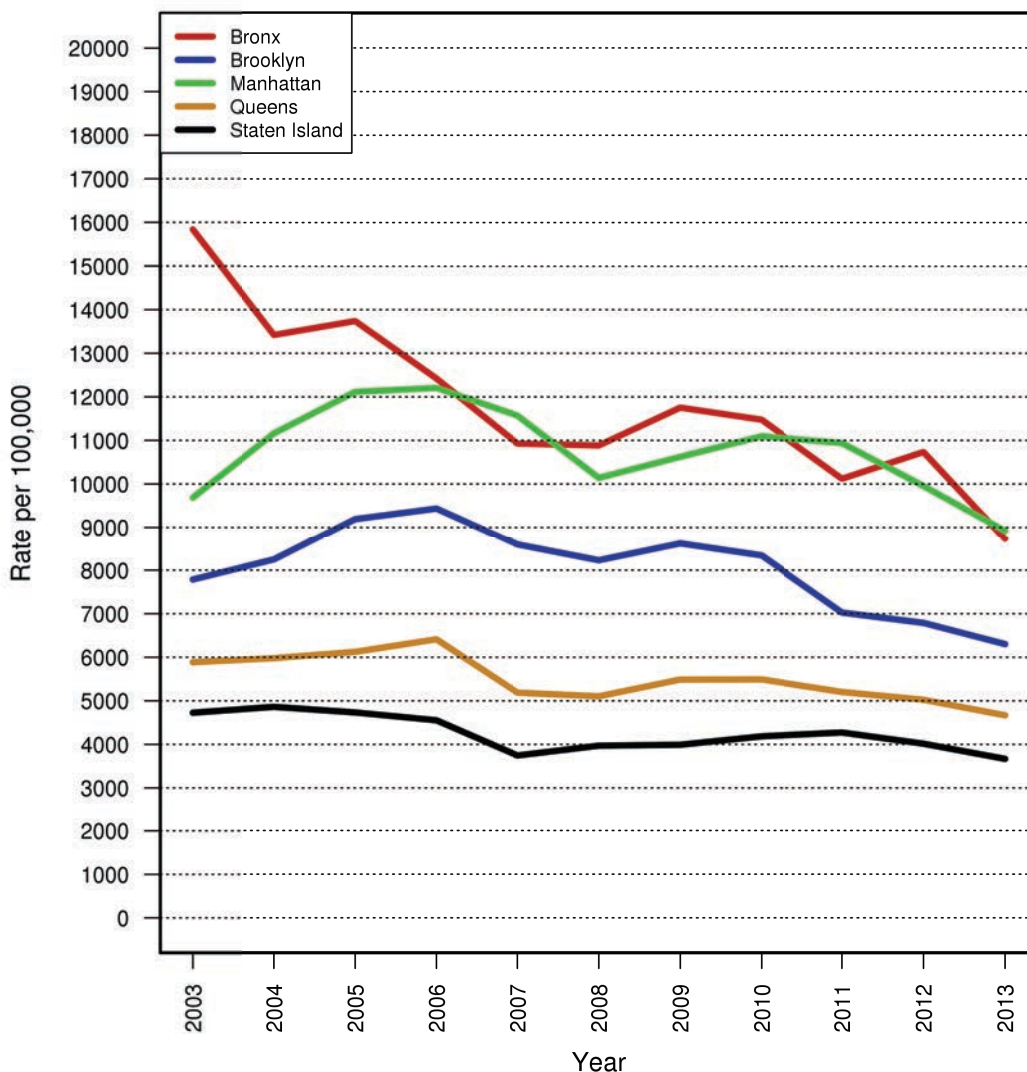
Data Source: Office of Court Administration.

Figure 9 disaggregates the number of summons issued by borough, including summonses processed through the two community courts—Manhattan includes Midtown Community Court, and Brooklyn includes Red Hook Community Justice Center. Here, we see the highest number of summonses was issued in Brooklyn, peaking in 2006 at 182,734 summonses and ending the study period with 124,638 summonses issued in 2013. Manhattan accounted for the second highest number of

summons, peaking in 2006 at 164,633 before falling to 122,844 in 2013. Interestingly, the Bronx started out at the highest in 2003 at 158,624 but then steadily declined to 92,730 summonses issued in 2013. Queens peaked in 2006 at 115,723 and then declined to 85,138 summonses issued in 2013. Staten Island consistently had the lowest number of summonses issued, ranging from a high of 17,251 summonses issued in 2004 and a low of 13,628 in 2007 and ending in 13,679 in 2013. In 2013, the number of summonses issued on an average day was 254 for the Bronx, 337 for Manhattan, 341 for Brooklyn, 233 for Queens, and 37 for Staten Island.

Figure 10:

Rate of Summonses by Borough Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

The rate of summonses by borough, shown in Figure 10, illustrates that the Bronx started with the highest issuance rate compared to the other boroughs in 2003. The

summons issuance rate was 15.8 percent for the Bronx in 2003. Over the time period, the Bronx's summons rate steadily declined to a low of 8.7 percent in 2013. Manhattan had the second highest issuance rate, at times eclipsing the Bronx, before ending 2013 at 8.9 percent. Brooklyn peaked in 2006 at 9.4 percent and then steadily declined to 6.3 percent in 2013. Similarly, Queens peaked in 2006 at 6.4 percent and then declined to 4.7 percent in 2013, while Staten Island consistently had the lowest summons issuance rate throughout the time period, ranging from a high of 4.9 percent in 2004 to a low of 3.7 percent in 2013.

### Age and Gender: Number and Rates of Summonses

Here we present the summons issuance rate by age and gender for New York City as a whole and by borough. We note some interesting borough-level differences.

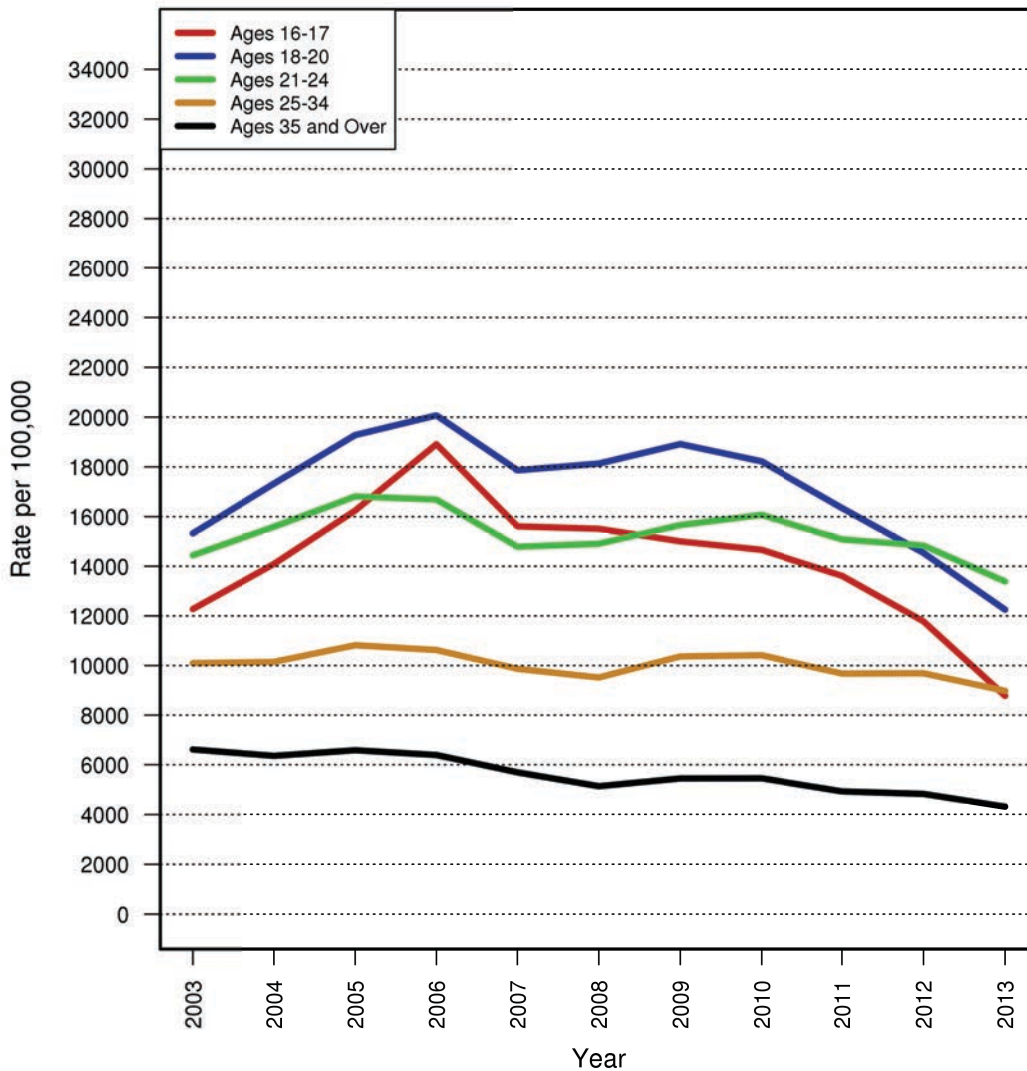
We calculated age from date of birth and the date of issuance.<sup>18</sup> We chose five distinct age groups: 16-17, 18–20, 21–24, 25–34, and 35 and older. It is important to note that the 16-17-year-old age group will have a smaller number of summonses issued because it comprises only two ages and the 35 and older will have the highest number of summonses issued because it encompasses a larger range of ages. The age ranges chosen were based on policy (i.e., the age of criminal responsibility in New York, the legal drinking age) and research on developmental patterns of antisocial activity (e.g., individuals 35 and older usually “age out” of antisocial activity).

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<sup>18</sup> Notably, we limited our age range by including only those between 16 to 99 years of age. Ages outside this range were coded as missing and thought to be data entry errors.

Figure 11:

Rate of Summonses Issued by Age for New York City Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

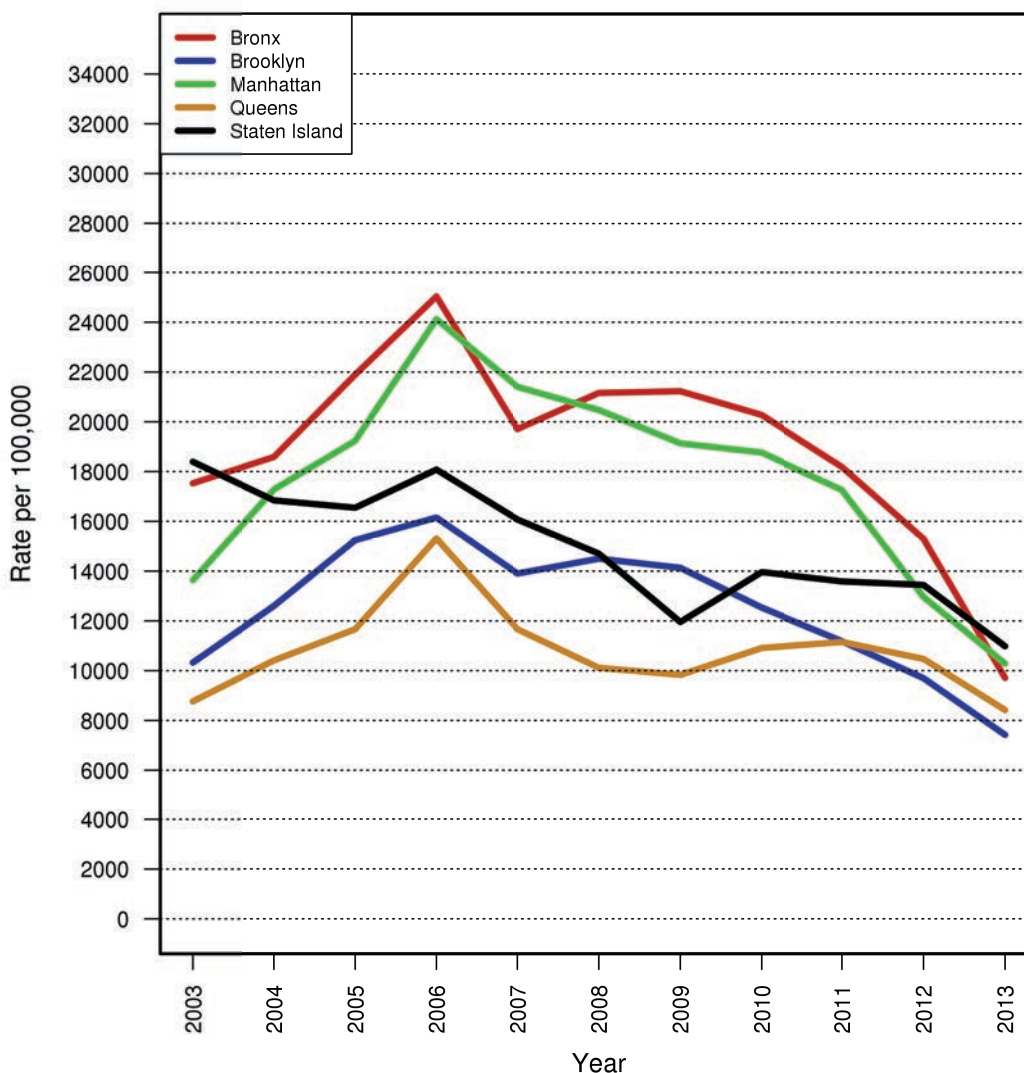
As illustrated in Figure 11, the age group to which summonses were issued at the highest rate has consistently been 18–20-year-olds, with the exception of 2012 and 2013, in which this group was eclipsed by 21–24-year-olds. For 18–20-year-olds, the summons rate peaked in 2006 at 20.0 percent, then declined to an issuance rate of 12.3 percent in 2013. For 16-17-year-olds, the rate also peaked in 2006 at 18.9 percent, then declined to 8.8 percent in 2013, a 53.4 percent decrease from the peak. For 21–24-year-olds, the summons rate peaked in 2005 at 16.8 percent and then declined to 13.4 percent in 2013. For 25–34-year-olds, the issuance rate remained fairly stable during the study time period, ranging from a high of 10.8 percent in 2005 to a low of 9.0 percent in 2013. For individuals ages 35 and older, the summons rate increased slightly from 2003 to 2005,

then steadily declined; the issuance rate was a high of 6.6 percent in 2003 and a low of 4.3 percent in 2013.

Numbers of summonses issued in 2013 by age were: 18,287 for 16-17-year-olds; 42,533 for 18–20-year-olds; 69,902 for 21–24-year-olds; 125,004 for 25–34-year-olds; and 178,511 for ages 35 and older. It is important to note that these numbers may add up to less than the total number of summonses due to missing data.<sup>19</sup>

Figure 12:

Rate of Summonses Issued for 16-17-year-olds by Borough Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

<sup>19</sup> The percentage of data missing an age for docketed summonses is 1.2 percent for the Bronx, Brooklyn, and Midtown Community Court; 1.3 percent for Manhattan and Red Hook Community Justice Center; and 1.6 percent for Queens and Staten Island.

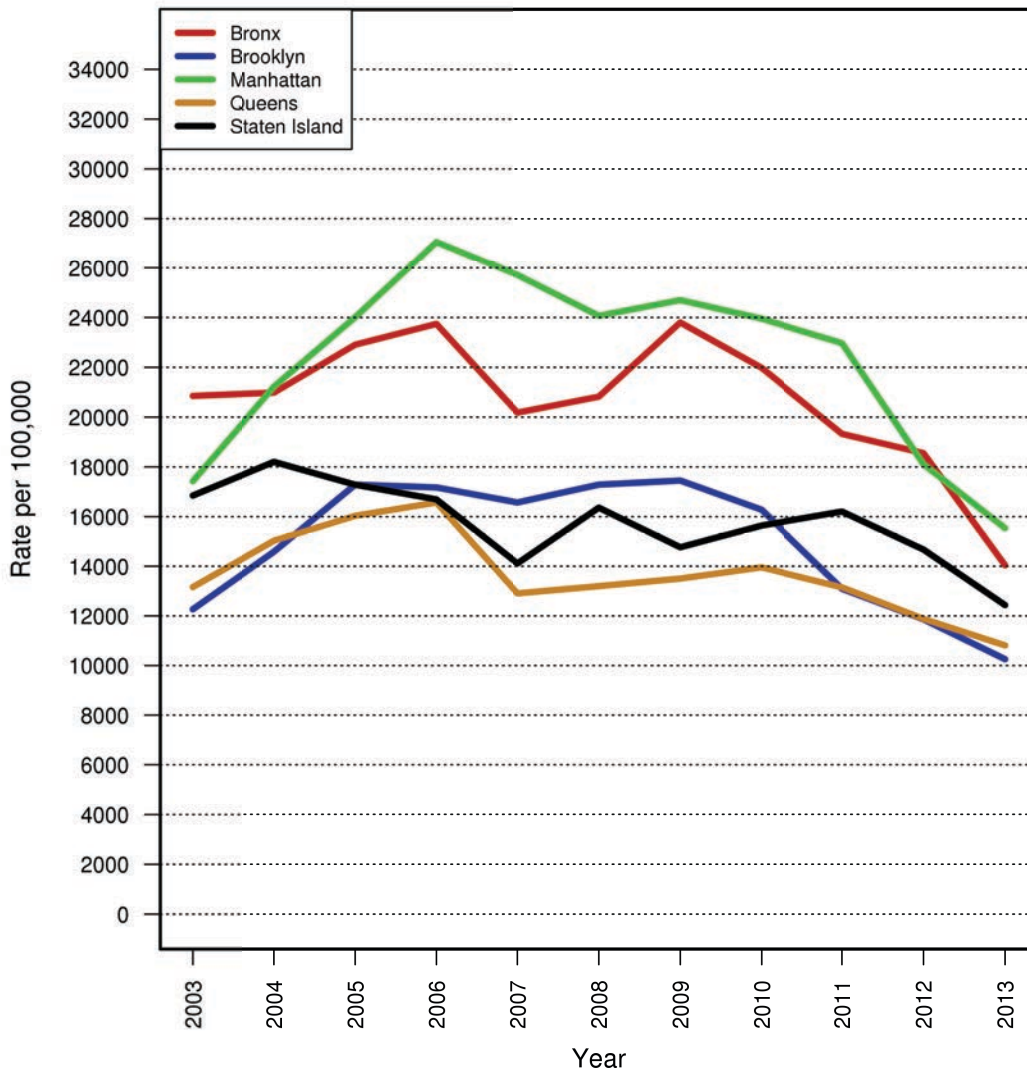


As Figure 12 shows, 16-17-year-olds in the Bronx experienced the highest summons issuance rate, peaking in 2006 at 25.0 percent before sharply declining to 9.7 percent in 2013—a 61.2 percent decrease from the peak and a 44.5 percent decrease from 2003. The second highest issuance rate for 16-17-year-olds was in Manhattan; this rate also peaked in 2006 at 24.1 percent and then experienced a steep decline to 10.3 percent in 2013. This represents a 57.3 percent decrease from the peak and a 25.0 percent decrease from 2003. Staten Island had the third highest issuance rate for this age group, starting in 2003 at 18.4 percent and then declining to 11.0 percent in 2013. Both Brooklyn and Queens experienced more modest increases and decreases for this age group. For 16-17-year-olds in Brooklyn, the summons issuance rate peaked at 16.2 percent in 2006 and then fell to 7.4 percent in 2013. In Queens, the peak issuance rate was 15.3 percent—also in 2006—before declining to 8.4 percent in 2013. The summons issuance rate for the five boroughs for this age group converged in 2013.

The numbers of summonses issued for this age group in 2013 were as follows: 4,423 in the Bronx, 5,033 in Brooklyn, 2,668 in Manhattan, 4,674 in Queens, and 1,489 in Staten Island. These raw numbers illustrate the need to account for the population of the boroughs. While the rates for Manhattan are higher than Brooklyn, the absolute numbers are lower in Manhattan. This is because there are fewer 16-17-year-olds who live in Manhattan (25,948 in 2010) compared to Brooklyn (67,816 in 2010).

Figure 13:

Rate of Summonses Issued for 18–20-year-olds by Borough Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

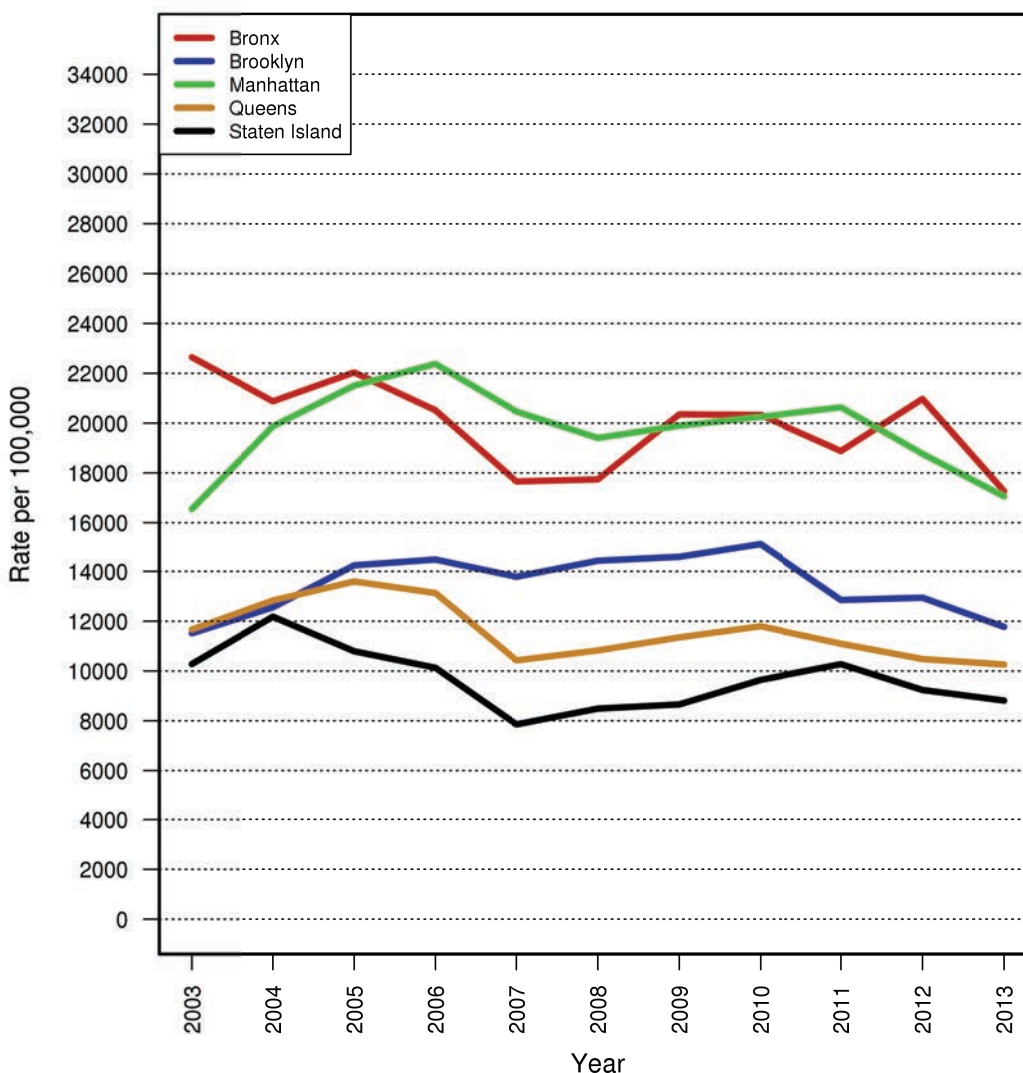
For 18–20-year-olds, the highest summons issuance rate was in Manhattan, peaking at 27.1 percent in 2006, then declining steeply to 15.5 percent in 2013. For this age group, individuals in the Bronx had the second highest rate, peaking twice—at 23.7 percent in 2006 and at 23.8 percent in 2009—before falling to 14.0 percent in 2013. Staten Island started out the study period with the third highest summons rate, peaking in 2004 at 18.2 percent, then moderately declining to 12.4 percent in 2013. The summons issuance rate for 18–20-year-olds in Brooklyn peaked in 2009 at 17.5 percent, then fell to 10.3 percent in 2013. The issuance rate in Queens peaked in 2006 at 16.6 percent, then declined to 10.8 percent in 2013. Similar to 16-17-year-olds, for 18–20-year-olds, the issuance rates among boroughs were converging in 2013.



The numbers of summonses issued for this age group in 2013 were as follows: 10,237 in the Bronx, 10,847 in Brooklyn, 9,600 in Manhattan, 9,439 in Queens, and 2,410 in Staten Island.

Figure 14:

Rate of Summonses Issued for 21–24-year-olds by Borough Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

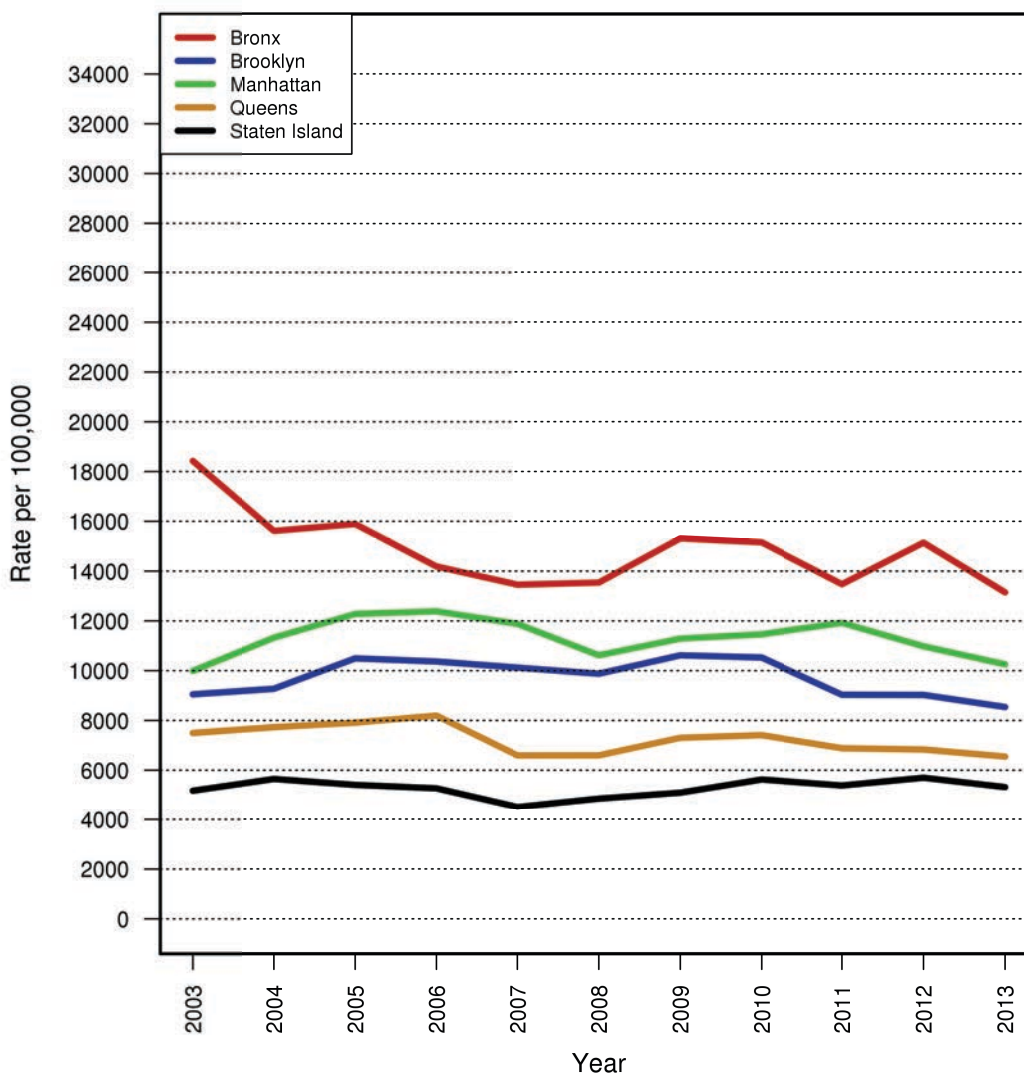
For 21–24-year-olds, the summons issuance rate for Manhattan and Bronx is distinct from the other three boroughs. For Manhattan, the issuance rate reached its highest point in 2006 at 22.4 percent; the Bronx peaked in 2003 at 22.6 percent. In 2013, the issuance rate in the Bronx was 17.3 percent; in Manhattan it was 17.1 percent. For 21–24-year-olds in Brooklyn, the issuance rate peaked in 2010 at 15.1 percent, then fell to 11.8 percent in 2013. In Queens, the issuance rate peaked in 2005 at 13.6 percent, then declined moderately to 10.3 percent in 2013. Staten Island followed a similar trend,

peaking in 2004 at 12.2 percent, declining to a low of 7.9 percent in 2007, then rising again to 8.8 percent in 2013.

In terms of numbers of summonses issued in 2013, Manhattan issued the highest number of summonses at 20,288, and Staten Island issued the lowest at 2,199. The remaining three boroughs were in the middle: 15,267 for the Bronx, 18,773 for Brooklyn and 13,375 for Queens. This is a different pattern compared to the younger age groups.

Figure 15:

Rate of Summonses Issued for 25–34-year-olds by Borough Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

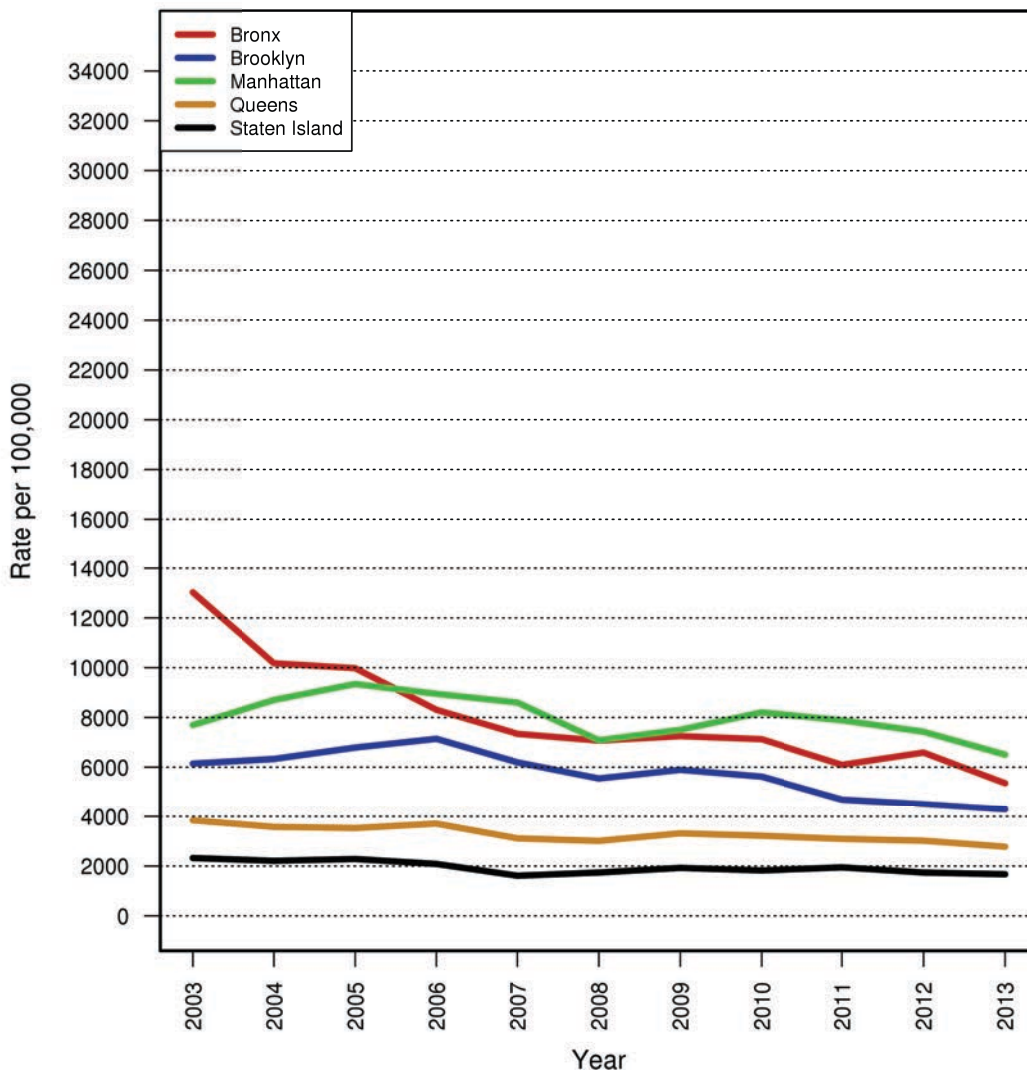
As shown in Figure 15, for 25–34-year-olds, the issuance rate was relatively stable over the study period across the boroughs. Rates were consistently highest in the Bronx, ranging from a high of 18.4 percent in 2003 to a low of 13.1 percent in 2013. For this age

group, Manhattan had the second highest issuance rate, with a high of 12.4 percent in 2006, a low of 10.0 percent in 2003, and a second near-low of 10.3 percent in 2013. Rates in Brooklyn, Queens, and Staten Island all remained stable over the time period, ending 2013 with rates of 8.5, 6.5, and 5.3 percent, respectively.

In 2013, Brooklyn had the highest number of summonses issued for this age group at 36,351, followed by Manhattan at 34,994, then the Bronx at 26,759. Queens and Staten Island were 23,716 and 3,184, respectively.

Figure 16:

Rate of Summonses Issued for Individuals 35 and older by Borough Per 100,000 Population (with Community Courts)



Data Source: Office of Court Administration.

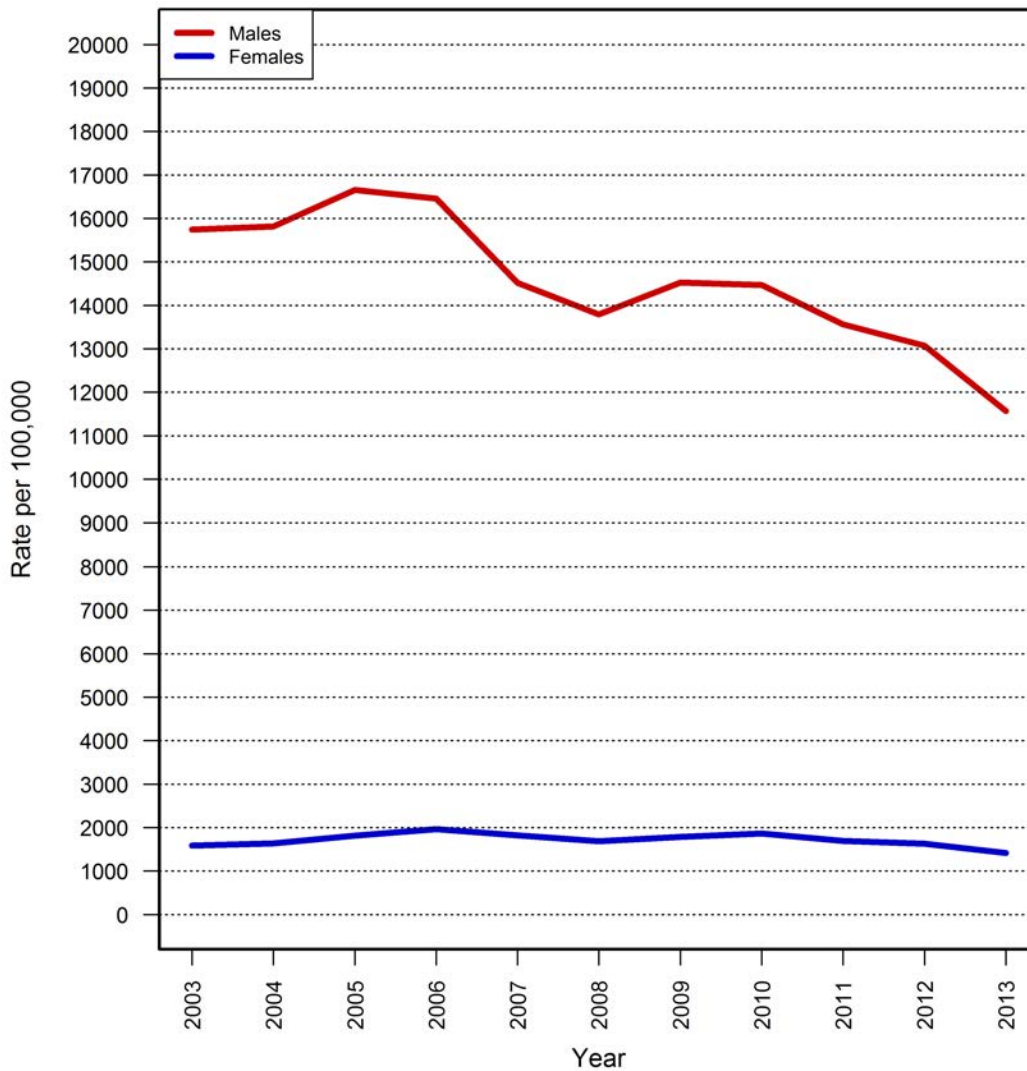
As shown in Figure 16, for individuals 35 years and older, the summons issuance rate was highest in 2003 in the Bronx at 13.0 percent. This rate steadily declined over the

study time period, ending in 2013 at 5.4 percent. The summons issuance rate in Manhattan started out the study period as the second highest at 7.7 percent in 2003, rising and then declining modestly to 6.5 percent in 2013. For the 35 and over age group in Brooklyn, the issuance rate peaked in 2006 at 7.1 percent, then fell to 4.3 percent in 2013. Rates in Queens and Staten Island remained both low and stable over the study period, ending 2013 at 2.8 and 1.7 percent, respectively.

This age group had the highest number of summonses issued given the larger number of ages encompassed within this category. In the Bronx the number of summonses issued to those 35 and older in 2013 was 34,909. Notably, this number is less than half of the number of summonses issued in 2003 in the Bronx to those 35 and older (78,856). The number of summonses issued to this age group in 2013 for the other boroughs was 52,332 in Brooklyn, 53,961 in Manhattan, 33,040 in Queens, and 4,269 in Staten Island.

Figure 17:

Rate of Summonses Issued for New York City by Gender Per 100,000 Population

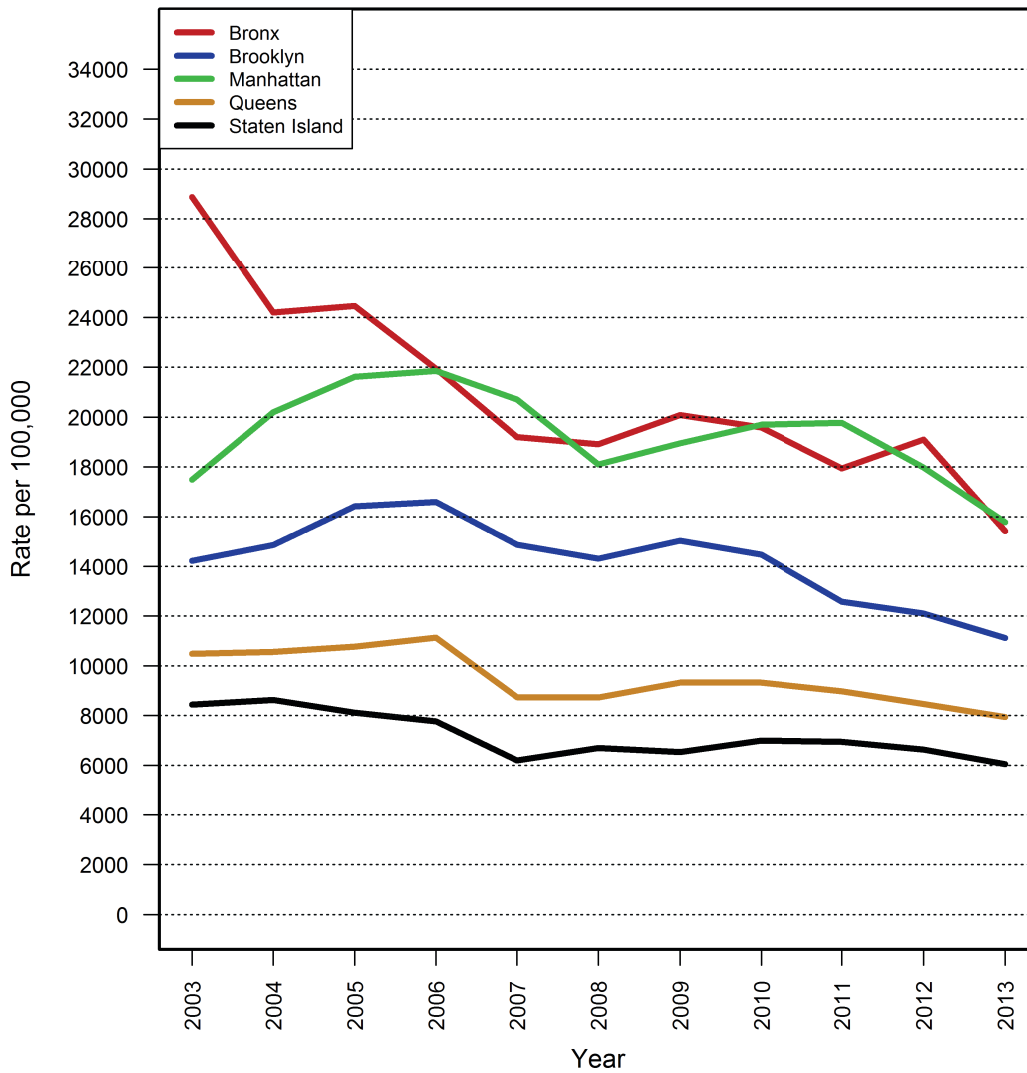


Data Source: Office of Court Administration.

Consistent with what we know about gender differences in involvement with the criminal justice system, as well as our results from the analysis of misdemeanor arrests, men were more likely to get issued a summons relative to women. Figure 17 shows the stark contrast in the rate of summonses issued for males and females. The male summons issuance rate peaked in 2005 at 16.7 percent before declining to a low of 11.5 percent in 2013. For females, the rate also peaked at 2.0 percent in 2005, then declined to 1.4 percent in 2013. Notably, because the gender variable is not available in the defective summons dataset, these include only docketed summonses.

Figure 18:

Rate of Summonses Issued for Males in New York City Per 100,000 Population

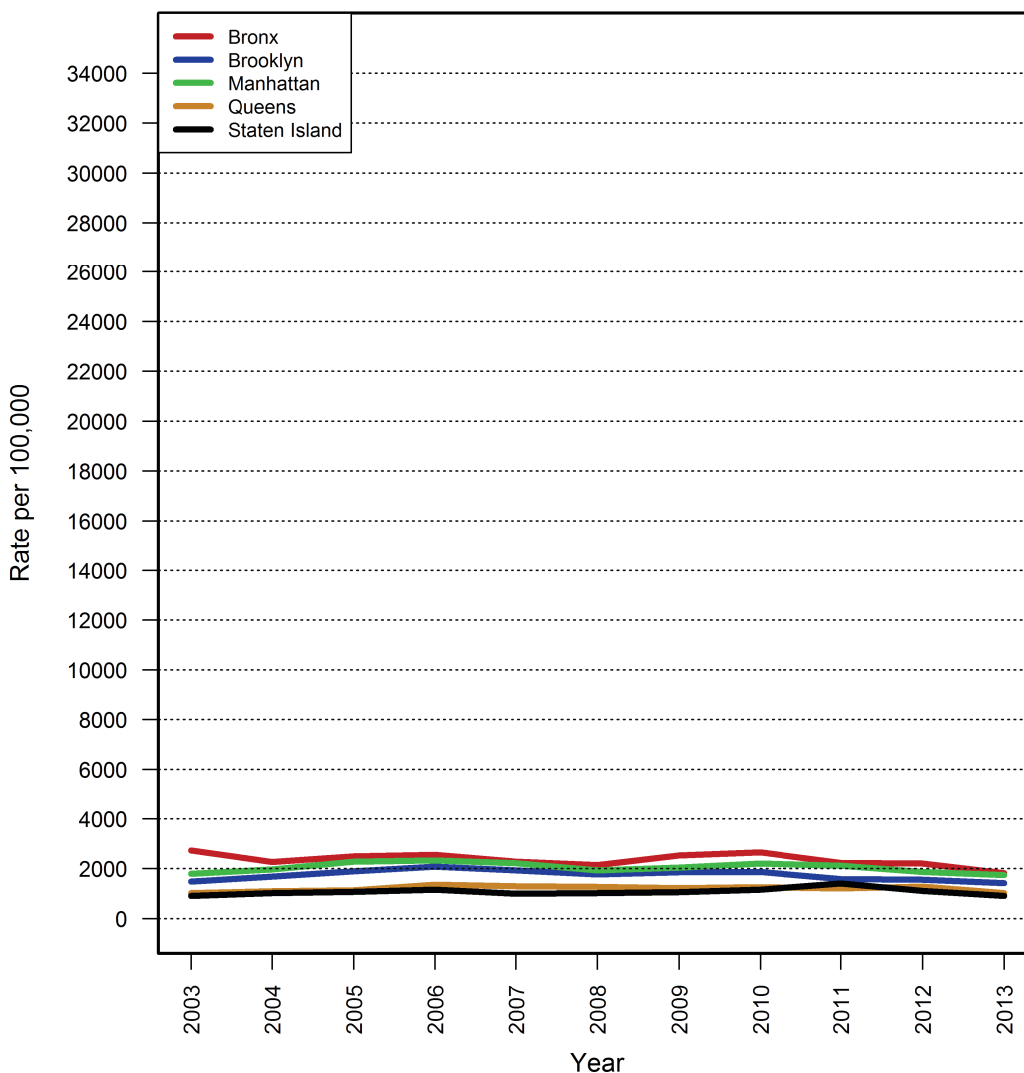


Data Source: Office of Court Administration.

As shown in Figure 18, for males only, the Bronx started out the study period in 2003 with by far the highest rate of docketed summonses at 28.9 percent, before declining to a low of 15.4 percent in 2013. For Manhattan, the docketed summons rate for males peaked in 2006 at 21.9 percent, then declined to 15.8 percent in 2013. Brooklyn followed a similar trend, peaking at 16.6 percent in 2006, then declining to 11.1 percent in 2013. Queens and Staten Island had substantially lower rates, and both experienced modest reductions over the time period. Queens peaked at 11.1 percent in 2006, then fell to 7.9 percent in 2013; Staten Island peaked at 8.6 percent in 2004, then fell to 6.0 percent in 2013.

Figure 19:

Rate of Summonses Issued for Females in New York City Per 100,000 Population



Data Source: Office of Court Administration.

For females, the docketed summons rate started at its peak in the Bronx in 2003 at 2.7 percent, peaked again in 2010 at 2.7 percent, then declined to 1.8 percent in 2013. Manhattan peaked in 2006 at 2.3 percent, and Brooklyn peaked in 2006 at 2.1 percent. In 2013, the rate for Manhattan was 1.7 percent, and for Brooklyn it was 1.4 percent. Also notably, Staten Island—which consistently had the lowest number and rate of summonses in our analyses thus far—surpasses Queens in 2011, peaking at a rate of 1.4 percent before declining to the lowest rate out of all the boroughs at 0.9 percent in 2013.

## Most Frequent Charges by Percent of Summonses

Here we present the most frequent charges for the issuance of summonses. We present our data as a percent of all charges, which holds constant the number of summonses issued. Note, these data take into account only docketed summonses and do not include defective summonses.

We had over 12,000 charge codes in our database and it was not possible to present results on all charges in a unified way. Therefore, we aggregated<sup>20</sup> the charges by borough across the 11 years and found the 10 most frequent charge types to be as follows:

1. Public consumption of alcohol (AC 10-125), also known as “consumption of alcohol in streets” and “open container.”
2. Disorderly conduct (PL 240.20), which includes eight sub-categories: obstructing traffic, disorderly conduct, fight/violent behavior, unreasonable noise, refusing to move on, creating hazardous or physically offensive condition, obscene language/gestures, and disturbing lawful assembly. Obstructing traffic (PL 240.20 05) was the most frequent of these categories, at 7.8 percent of all summonses.
3. Public urination (HC 153.09, AC 16-118), also known as “littering—liquids” and “offensive matter in street/public place.”
4. Park offenses (PRR 1-03), most frequently “unlawfully in park after hours” and “fail to comply with sign/park.”
5. Riding bicycle on sidewalk (AC 19-176).
6. Marijuana possession (PL 221.05).
7. Trespassing (PL 140.05).
8. Reckless driving (VTL 1212).
9. Noise violations (AC 24-218, AC 24-227), notably from “circulation devices” (e.g., air conditioning units).
10. Unlicensed operation of motor vehicle for hire (e.g., taxi cabs; AC 19-506).

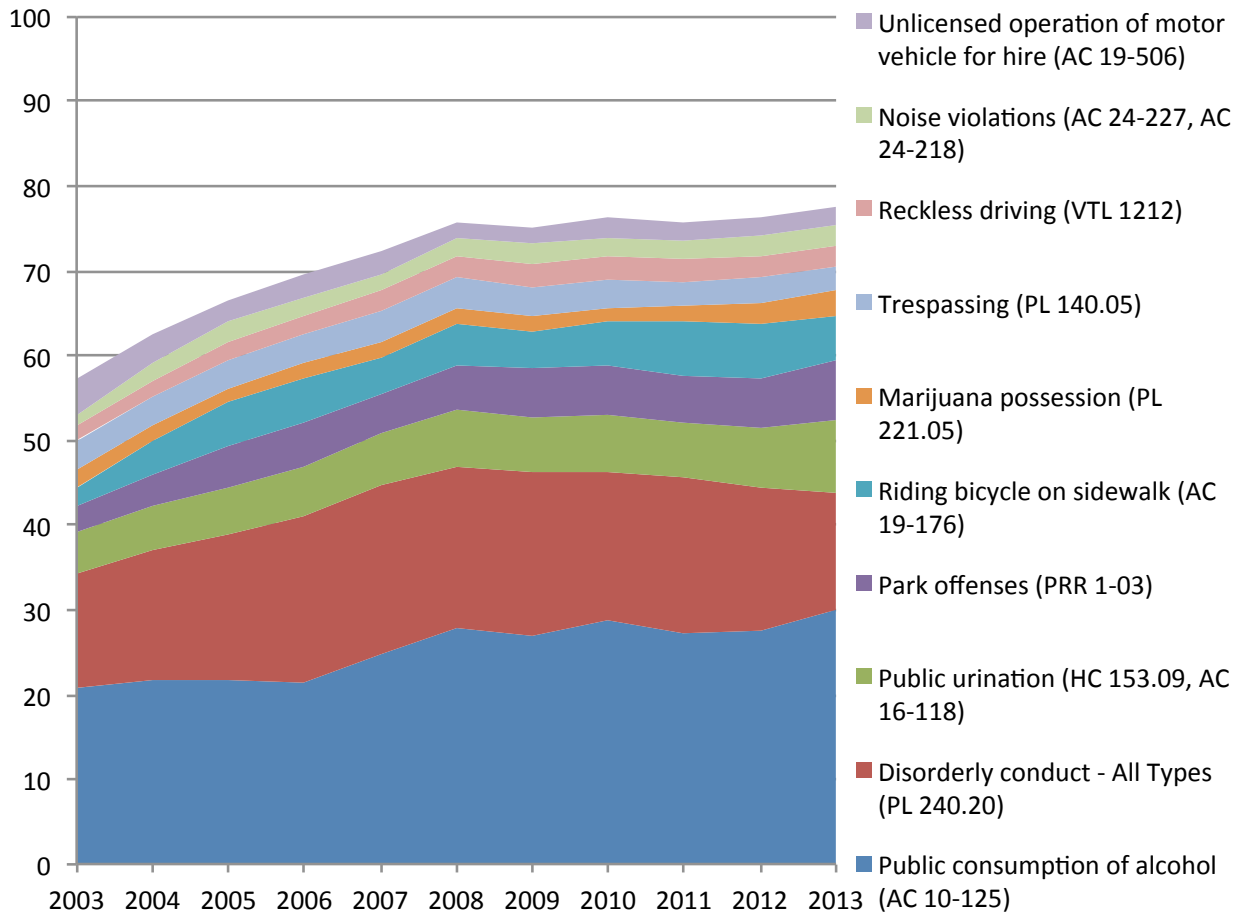
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<sup>20</sup> Notably, we coded all subsections and used critical judgment in coding potential typological errors in the system. For instance, we coded AC 153.09, a code that does not exist, to indicate HC 153.09 for public urination. Therefore, our numbers may not match exactly with other reports.



Figure 20:

Most Frequent Summons Charges by Percent of Total Summons for New York City



Data Source: Office of Court Administration.

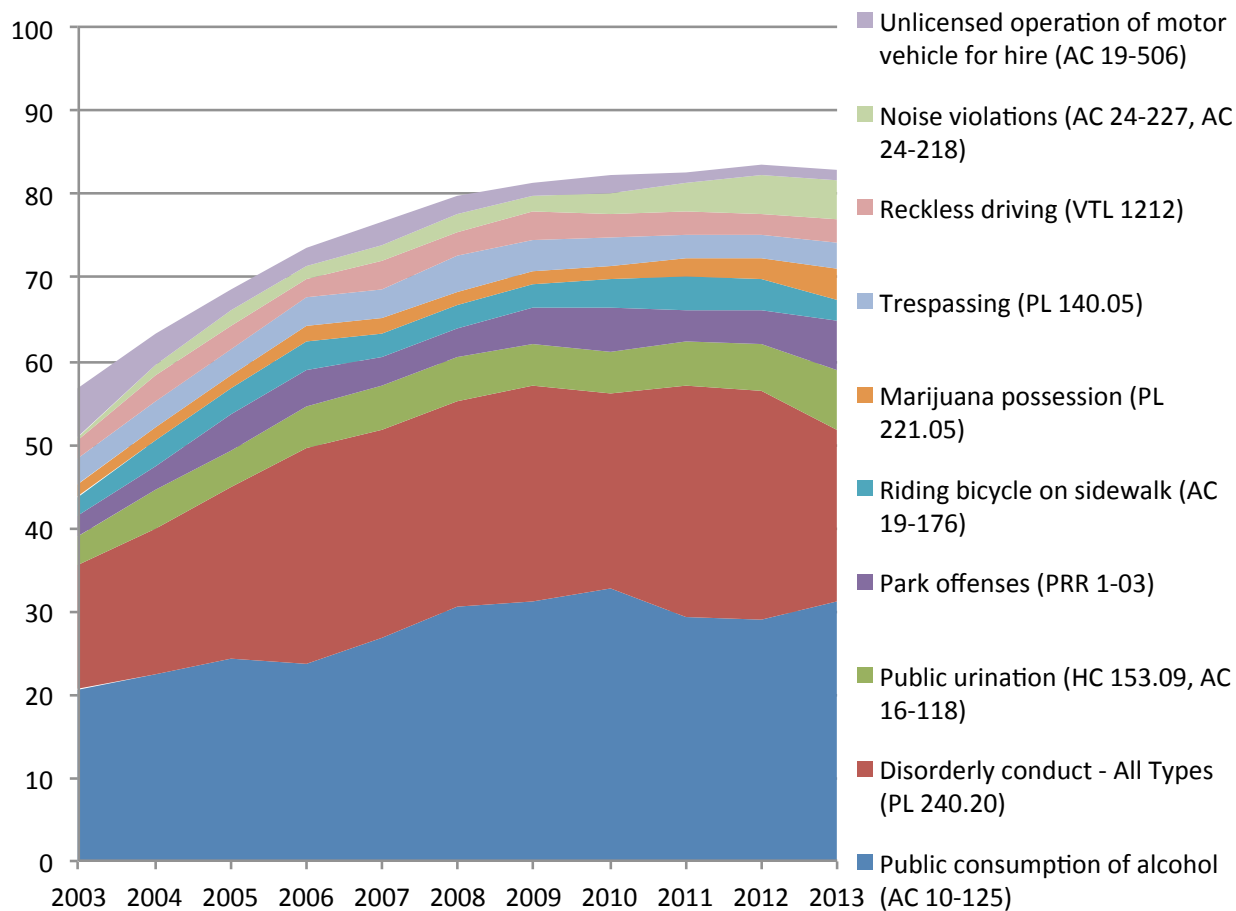
As shown in Figure 20, these ten charges constituted 57.3 percent of all charges for summonses in 2003 and 77.4 percent of all charges in 2013 for New York City as a whole. The charge of public consumption of alcohol was consistently the most frequent charge and increased from 20.8 percent of all charges in 2003 to 29.9 percent of all charges in 2013. Disorderly conduct, while accounting for the second largest percentage, experienced a different trend, growing from 13.4 percent in 2003 to a peak of 20.0 percent in 2007, then declining to 13.8 percent in 2013. Public urination accounted for the third largest percentage of charges, growing modestly over the study time period from 4.9 percent in 2003 to a peak of 8.7 percent in 2013. Riding bicycle on sidewalk more than doubled over the time period from 2.2 percent of all charges in 2003 to a high in 2012 of 6.5 percent of all charges, before declining slightly to 5.1 percent in 2013. Trespassing remained low and fairly stable at around 3.0 percent of all charges. Park offenses grew substantially as a percentage—more than doubling—over the study time period, from 3.1 percent in 2003 to 7.1 percent in 2013. In contrast, unlicensed operation of motor vehicle for hire declined from 4.4 percent in 2003 to 2.1

percent in 2013. Marijuana possession remained low at just below 2.0 percent of all charges until 2012 and 2013, when it increased to 2.3 and then 3.2 percent. Reckless driving and noise violations both remained stable and low at below 3.0 percent of charges.

In terms of numbers, summonses issued for public consumption of alcohol grew from 109,571 in 2003 to 126,229 in 2013. Summonses issued for disorderly conduct went down from 70,761 in 2003 to 58,496 in 2013. Public urination also grew over the study period from 25,816 in 2003 to 36,717 in 2013. Park offenses almost doubled from 16,355 in 2003 to 30,143 in 2013. Riding bicycle on sidewalk increased from 11,763 in 2003 to 21,334 in 2013. Marijuana possession increased slightly from 10,356 in 2003 to 13,363 in 2013. Trespassing decreased to 11,951 in 2013 from 19,133 in 2003. Reckless driving increased slightly from 8,632 in 2003 to 10,309 in 2013. The remaining charges accounted for fewer than 10,000 summonses issued in 2013.

Figure 21:

Most Frequent Summons Charges by Percent of Total Summonses for the Bronx



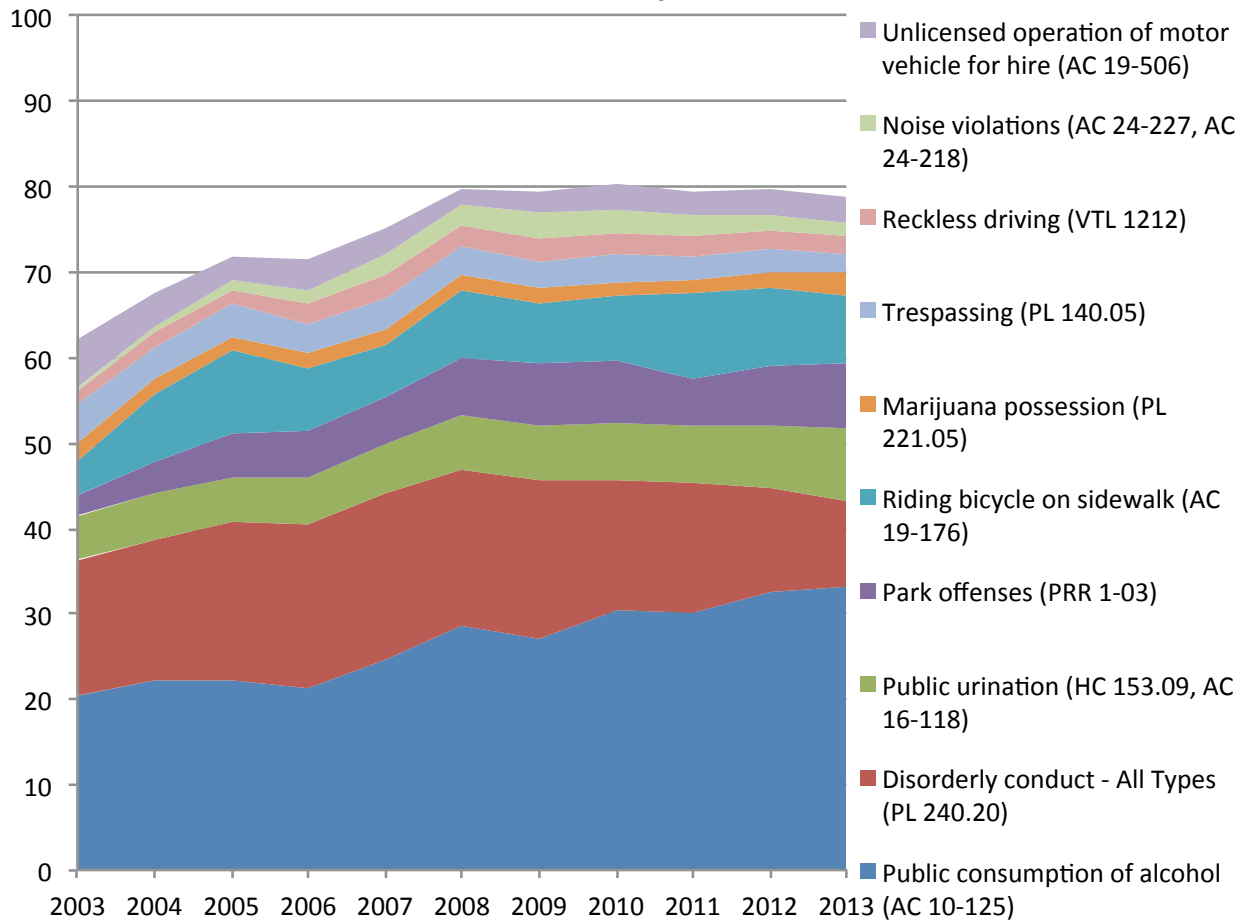
Data Source: Office of Court Administration.

Figure 21 presents the same ten charges for the Bronx. Similar to the city as whole, these ten charges accounted for 56.6 percent of all charges in 2003 and then grew to encompass 83.0 percent of charges in 2013. Public consumption of alcohol consistently accounted for the highest percentage of charges, climbing from just over 20.0 percent of charges in 2003 to 31.1 percent in 2013. Disorderly conduct accounted for the second largest percentage, growing from 14.8 percent in 2003 to a peak of 27.8 percent in 2011, then declining to 20.8 percent in 2013. Public urination accounted for the third largest percentage of charges and doubled, growing from 3.5 percent in 2003 to 7.2 percent in 2013. Trespassing and riding bicycle on sidewalk each accounted for less than 5.0 percent of charges. Unlicensed operation of motor vehicle for hire declined substantially over the study period, accounting for 5.7 percent of all charges in 2003, then falling to 1.4 percent in 2013. Park offenses more than doubled and grew from 2.3 percent in 2003 to a high of 5.7 percent in 2013. Marijuana possession remained under 2.0 percent of charges until 2011, peaking in 2013 at 3.6 percent. Similarly, noise violations were under 2.0 percent of charges until 2010, peaking in 2013 at 4.6 percent. Reckless driving remained stable during this time period at under 3.5 percent of charges.

In 2013, 27,672 summonses were issued in the Bronx for public consumption of alcohol and 18,511 were issued for disorderly conduct. The remaining charges all accounted for fewer than 10,000 summonses each.

Figure 22:

Most Frequent Summons Charges by Percent of Total Summons for Brooklyn



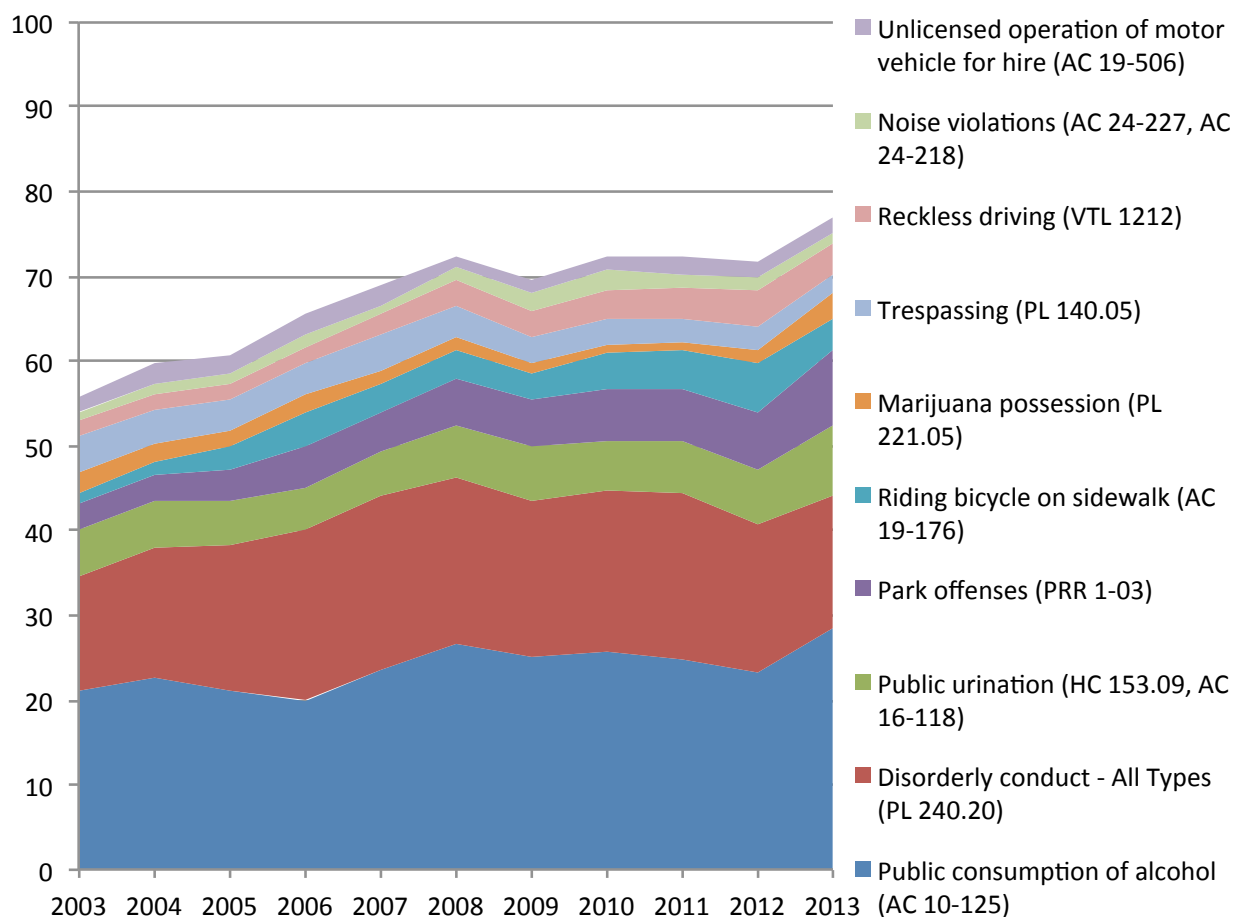
Data Source: Office of Court Administration.

For Brooklyn, these ten charges accounted for 78.8 percent of all charges in 2013, increasing from 62.1 percent. As shown in Figure 22, public consumption of alcohol grew considerably as a percentage of charges in Brooklyn over the time period, growing from 20.4 percent in 2003 to 33.1 percent in 2013. Simultaneously, disorderly conduct sharply declined from a peak of 19.5 percent in 2007 to a low of 10.0 percent in 2013. Riding bicycle on sidewalk accounted for the third highest percentage of charges and more than doubled during the study period, growing from 3.9 percent in 2003 to a peak of 10.1 percent in 2011, then declining to 8.0 percent in 2013. Public urination increased during this period from 5.2 percent in 2003 to 8.7 percent in 2013, while Trespassing declined by more than half from 4.6 percent in 2003 to 2.2 percent in 2013. Park offenses more than tripled: from 2.3 percent of all charges in Brooklyn in 2003 to 7.5 percent in 2013. Simultaneously, unlicensed operation of motor vehicle for hire declined from 5.7 percent of charges in 2003 to 3.1 percent in 2013. Marijuana possession, reckless driving, and noise violations all remained stable under 5.0 percent of all charges during this period.

In 2013, 35,640 summonses were issued in Brooklyn for public consumption of alcohol, 10,794 were issued for disorderly conduct, and the remaining charges all accounted for fewer than 10,000 summonses each.

Figure 23:

Most Frequent Summons Charges by Percent of Total Summonses for Manhattan



Data Source: Office of Court Administration.

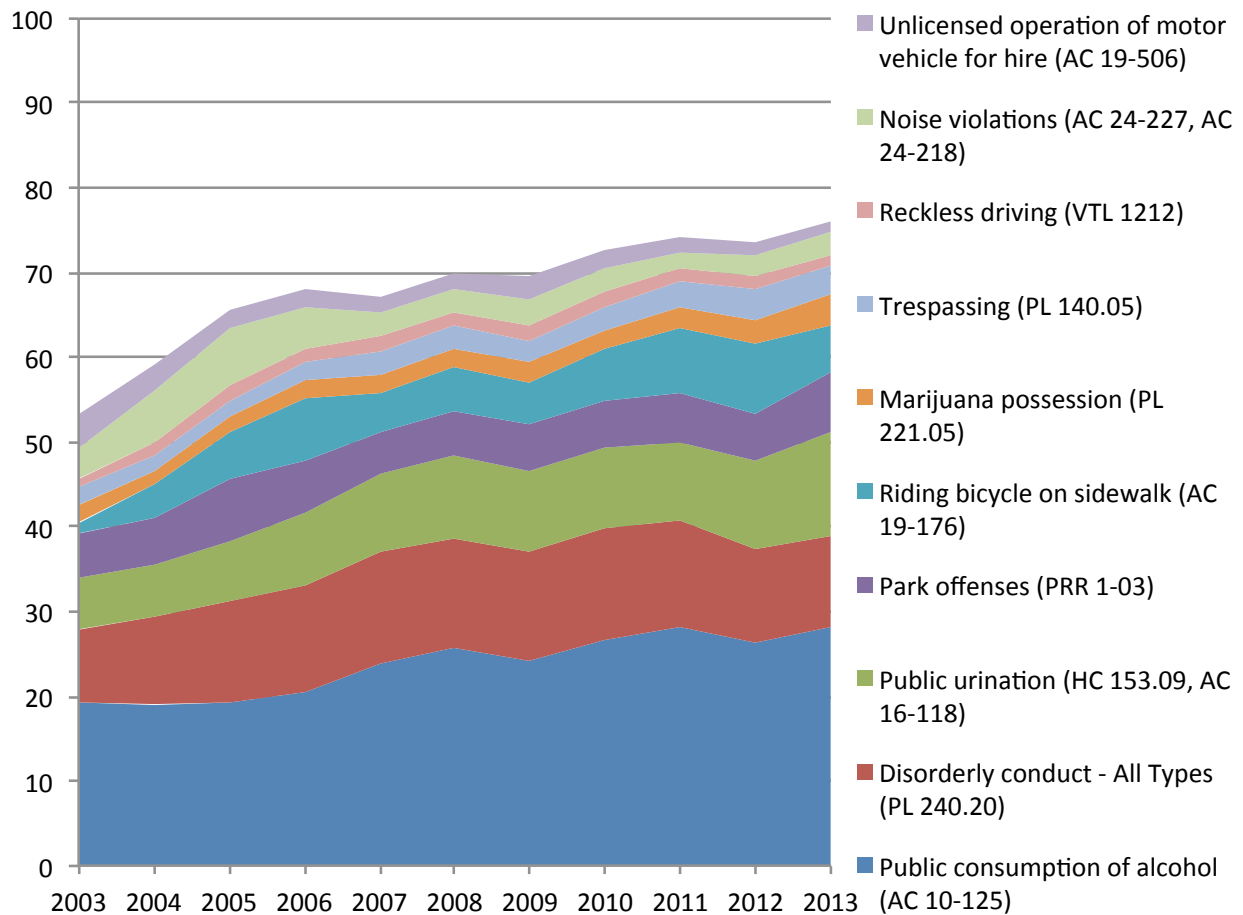
For Manhattan, these ten charges grew from accounting for 55.8 percent of all charges in 2003 to 77.0 percent in 2013. As in the Bronx and Brooklyn, public consumption of alcohol accounted for the largest percentage of charges, growing from 21.1 percent of charges in 2003 to 28.6 percent in 2013. Also similar to the Bronx and Brooklyn, disorderly conduct rose and then fell during the study period, climbing from 13.5 percent in 2003 to 20.4 percent in 2007, then declining to 15.4 percent in 2013. Public urination remained steady at just above 5.0 percent for several years, then rose to 8.3 percent in 2013. Riding bicycle on sidewalk increased from 1.3 percent in 2003 to a peak of 5.7 percent in 2012, then fell to 3.9 percent in 2013. Trespassing declined by half from a high of 4.2 percent in 2003 to a low of 2.2 percent in 2013. Park offenses almost tripled as a percentage of all summons charges in Manhattan, increasing from

3.0 percent in 2003 to 8.9 percent in 2013. Reckless driving also grew, from 1.9 percent in 2003 to a peak of 4.4 percent in 2012. Marijuana possession accounted for 2.5 percent of all charges in 2003, dipped to 1.0 percent in 2010 and then grew to 2.8 percent in 2013. Unlicensed operation of motor vehicle for hire and noise violations remained stable over the time period, each at less than 2.5 percent of all charges.

In 2013, 26,027 summonses were issued in Manhattan for public consumption of alcohol, 14,028 were issued for disorderly conduct, and the remaining charges all accounted for fewer than 10,000 summonses each.

Figure 24:

Most Frequent Summons Charges by Percent of Total Summonses for Queens



Data Source: Office of Court Administration.

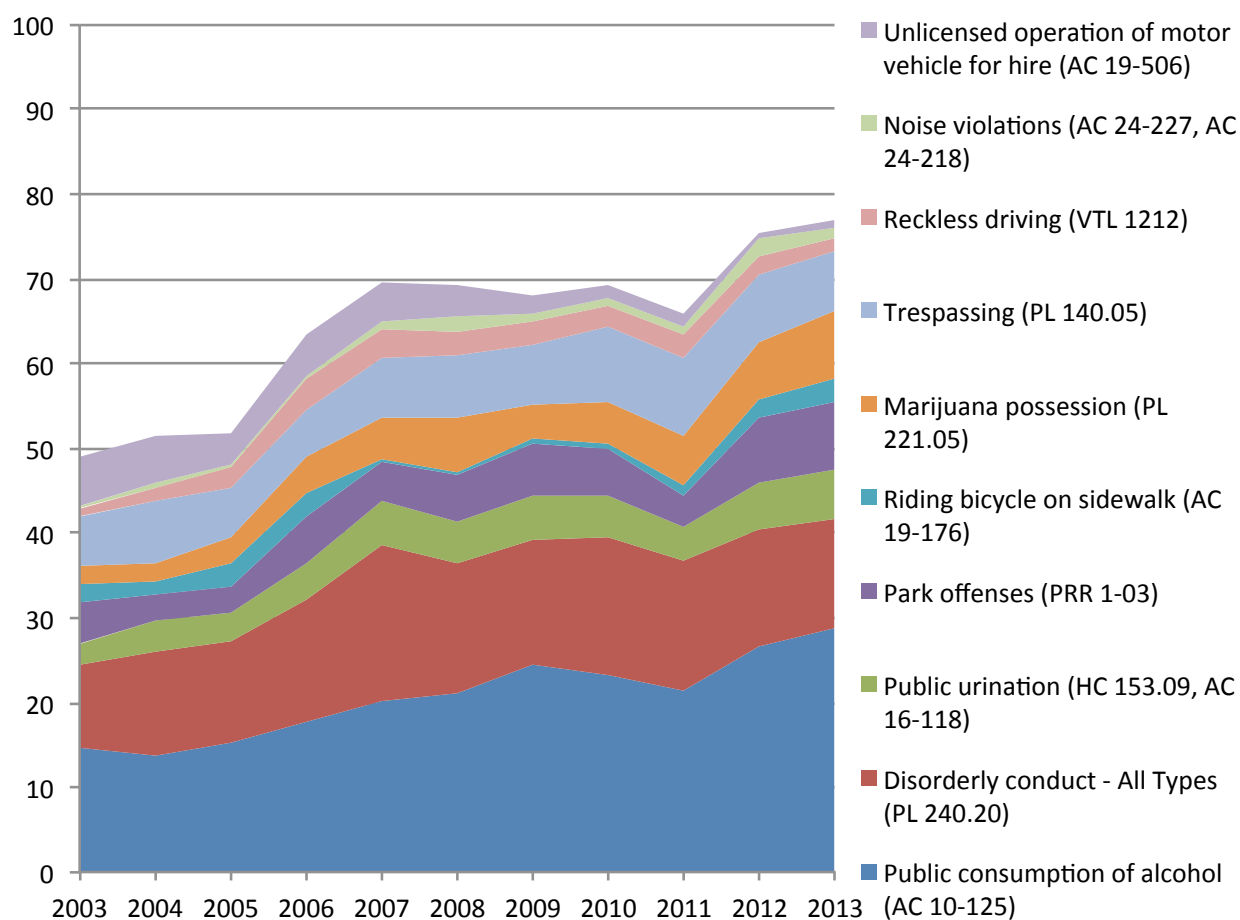
In Queens, these ten charges grew from accounting for 53.4 percent of all charges in 2003 to 75.9 percent in 2013. As in the other boroughs examined thus far, public consumption of alcohol was the largest and most steadily increasing as a percentage of all summons charges in Queens, growing from 19.1 percent in 2003 to 28.0 percent in 2013. Disorderly conduct grew modestly then slightly declined, peaking at 13.2 percent

in 2010, then declining to 10.7 percent in 2013. Public urination steadily increased, growing from 5.9 percent in 2003 to 12.3 percent in 2013. Riding bicycle on sidewalk accounted for 1.3 percent of all charges in 2003, grew to 7.4 percent in 2006, declined and then peaked again at 8.3 percent in 2012 before falling to 5.7 percent in 2013. Trespassing grew slightly from 2.0 percent in 2003 to 3.4 in 2013. Park offenses consistently accounted for more than 5.0 percent of all charges in Queens, from a low of 5.1 percent in 2007 to 7.0 percent in 2013. Noise violations climbed from 3.6 percent in 2003 to a peak of 6.8 percent in 2005, then stabilized near a low of 2.0 percent in 2011. Unlicensed operation of motor vehicle for hire declined from 4.1 percent in 2003 to 1.2 percent in 2013. Marijuana possession began the study period at 2.0 percent in 2003, declined to 1.6 percent in 2005, then rose to 3.5 percent in 2013. Reckless driving remained low at less than 2.0 percent of all charges throughout the study period.

In 2013, 22,958 summonses were issued for public consumption of alcohol, 10,102 were issued for public urination in Queens, and the remaining charges all accounted for fewer than 10,000 summonses each.

Figure 25:

Most Frequent Summons Charges by Percent of Total Summons for Staten Island



Data Source: Office of Court Administration.

In Staten Island, these ten charges grew from accounting for just under half of all charges in 2003—49.1 percent—to 76.8 percent in 2013. Consistent with trends in all other boroughs, public consumption of alcohol accounted for the largest percentage of charges in Staten Island and doubled, growing from a low of 13.6 percent in 2004 to a peak of 28.8 percent in 2013. Similar to trends in other boroughs, disorderly conduct rose, then declined during the study period, starting from a low of 9.8 percent in 2003, peaking at 18.4 percent in 2007 before declining to 12.8 percent in 2013. Trespassing remained stable, growing from 5.9 percent in 2003 to a peak of 9.1 percent in 2011 before declining slightly to 7.0 percent in 2013. Public urination increased from 2.7 percent in 2003 to 5.9 percent in 2013. Riding bicycle on sidewalk consistently remained below 3.0 percent of all charges, hitting a low of 0.2 percent in 2008 and then rising to a high of 2.8 percent in 2013. Unlicensed operation of motor vehicle for hire accounted for 5.9 percent of all charges in 2003 and then fell to 0.8 percent in 2013. Park offenses fluctuated during the study period from a low of 3.1 percent in 2005 to a peak of 8.0 percent in 2013. Marijuana possession grew from a low of 2.1 percent in

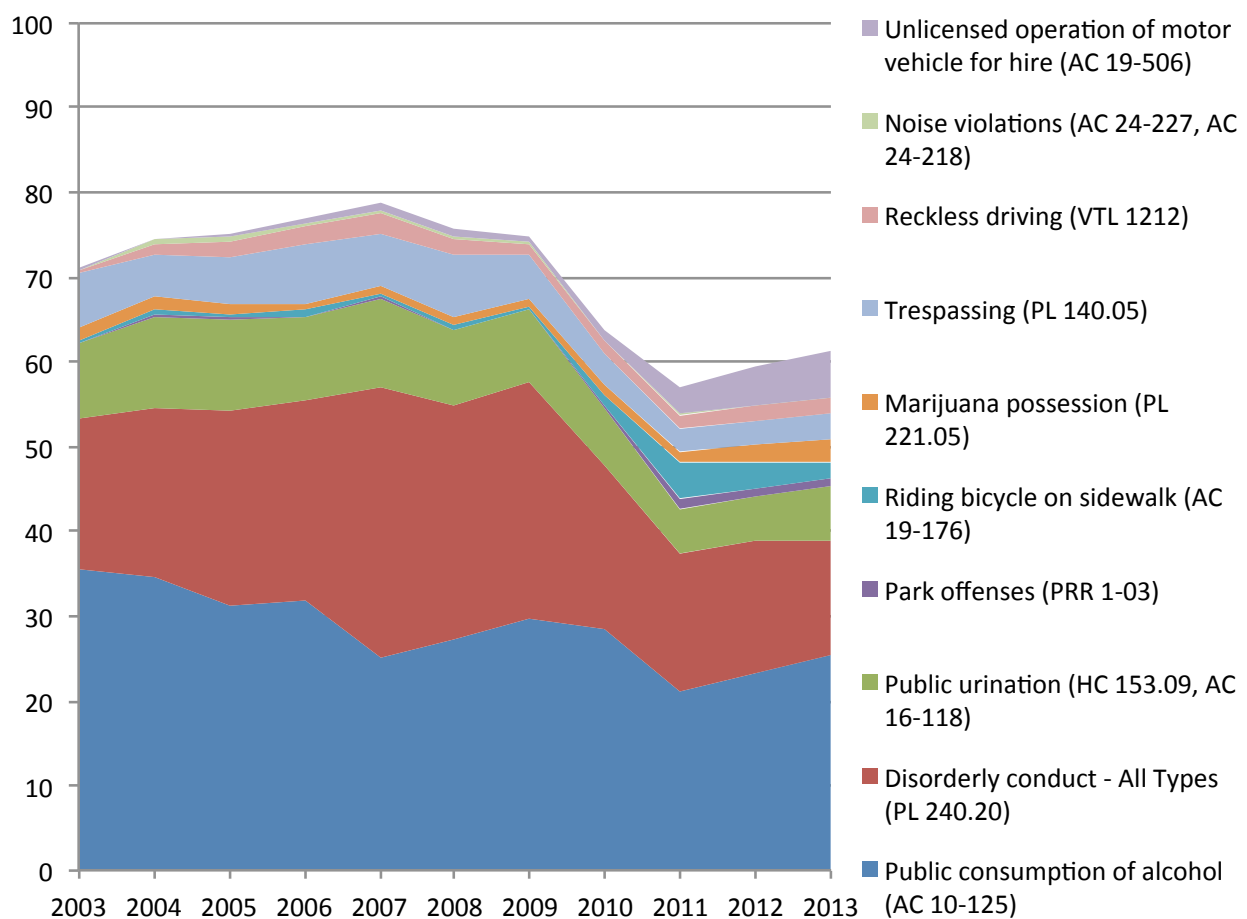


2004 to a high of 8.0 percent in 2013. Reckless driving peaked in 2006 at 3.6 percent and then fell to 1.5 percent in 2013. Noise violations remained stable and below 1.5 percent of all charges.

In 2013, 3,812 summonses were issued in Staten Island for public consumption of alcohol, 1,698 were issued for disorderly conduct, 1,059 were issued for park offenses, and 1,056 were issued for marijuana possession. The remaining charges all accounted for fewer than 1,000 summonses each.

Figure 26:

Most Frequent Summons Charges by Percent of Total Summonses for Midtown Community Court



Data Source: Office of Court Administration.

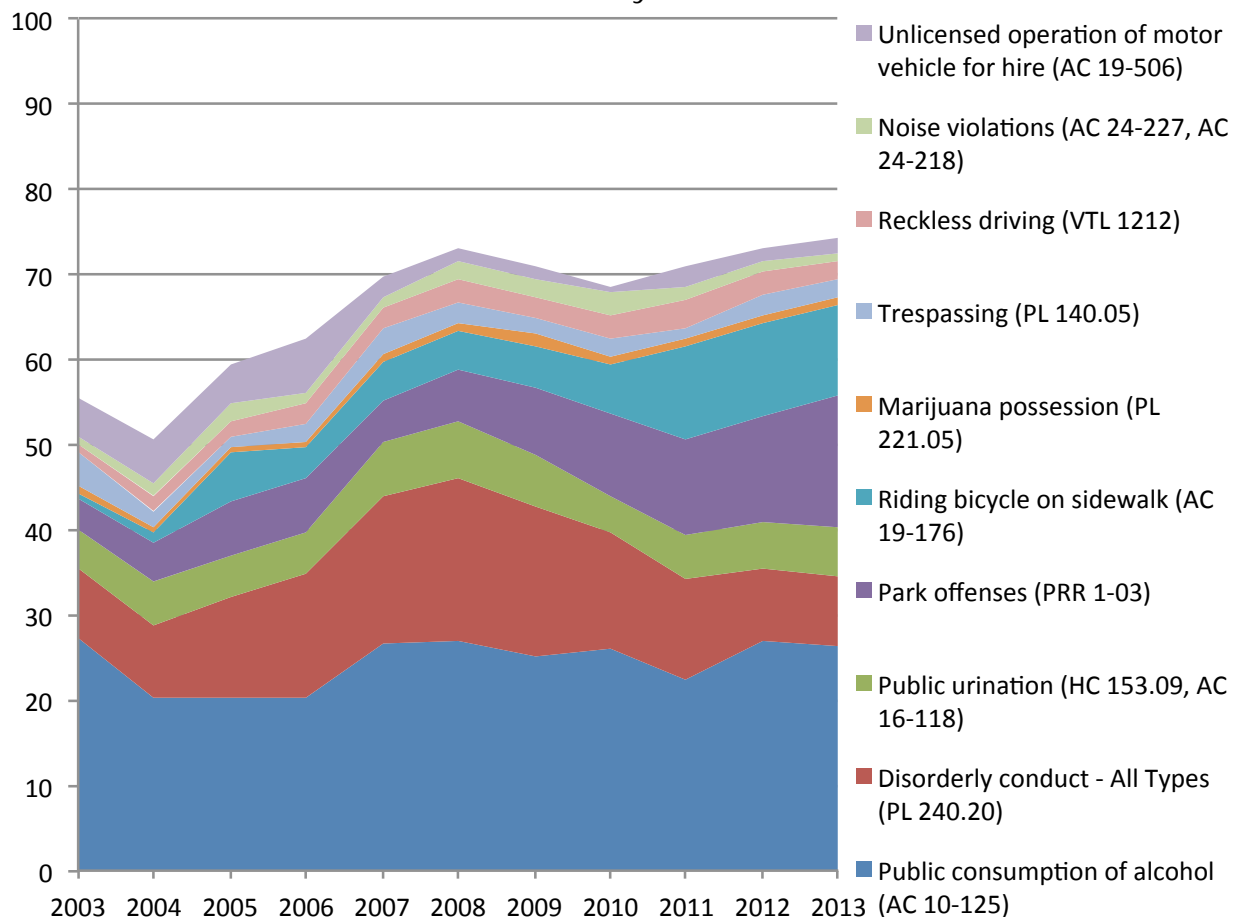
As shown in Figure 26, the trends in percent of charges are slightly different for Midtown Community Court as compared to the boroughs. In contrast to the boroughs, these ten charges decreased in the total percentage of charges they accounted for over the study period, decreasing from 71.0 percent in 2003 to 61.2 percent in 2013. Public consumption of alcohol fell from 35.5 percent of all charges in 2003 to 25.3 percent in 2013. Disorderly conduct rose from 17.9 percent in 2003 to a peak of 31.7 percent in

2007, then fell sharply to 13.5 percent in 2013. Public urination fell from a peak of 10.8 percent in 2005 to a low of 5.3 percent in 2011, then rose slightly to 6.4 percent in 2013. Trespassing followed a similar pattern, peaking in 2008 at 7.4 percent, then falling to 3.2 percent in 2013. Riding bicycle on sidewalk remained below 1.5 percent of all charges until 2011, when it peaked at 4.3 percent of all charges before falling slightly to 2.1 percent. Marijuana possession accounted for 1.7 percent of all summons charges in 2003, then declined to 0.7 percent in 2008 before rising to 2.7 percent in 2013. Unlicensed operation of motor vehicle for hire rose substantially from 0.1 percent of all charges in 2003 to 5.3 percent in 2013. Reckless driving peaked at 2.5 percent in 2007, then fell to 1.7 percent in 2013. Park offenses and noise violations both remained steadily below 2.0 percent of all charges.

In 2013, 6,863 summonses were processed by Midtown Community Court for public consumption of alcohol, 3,662 were for disorderly conduct, and 1,747 were for public urination. The remaining charges all accounted for fewer than 1,000 summonses each.

Figure 27:

Most Frequent Summons Charges by Percent of Total Summonses for Red Hook Community Justice Center



Data Source: Office of Court Administration.

For Red Hook Community Justice Center, these ten charges grew from accounting for 55.6 percent of all charges in 2003 to 74.2 percent in 2013. As shown in Figure 27, public consumption of alcohol accounted for the largest percentage of charges processed by Red Hook, fluctuating from a peak of 27.2 percent in 2003 to a low of 20.3 percent in 2005, then another peak of 26.9 percent in 2012. Disorderly conduct rose from 8.5 percent in 2003 to a high of 19.0 percent in 2008 and then declined again to 8.2 percent in 2013. Riding bicycle on sidewalk rose substantially from 0.6 percent in 2003 to a peak of 11.1 percent in 2011, where it plateaued. Public urination remained fairly stable at around 5.0 percent of all charges, while trespassing started the study period at 4.0 percent of charges in 2003 before stabilizing at approximately 2.0 percent for the remaining years. Park offenses grew from 3.5 percent of all summons charges in 2003 to 15.3 percent in 2013. Unlicensed operation of motor vehicle for hire fell from a peak of 6.3 percent in 2006 to 0.8 percent in 2010 and then rose slightly to 1.7 percent in 2013. Noise violations and reckless driving remained below 3.5 percent of all charges, while marijuana possession remained below 1.5 percent of all charges throughout the study time period.

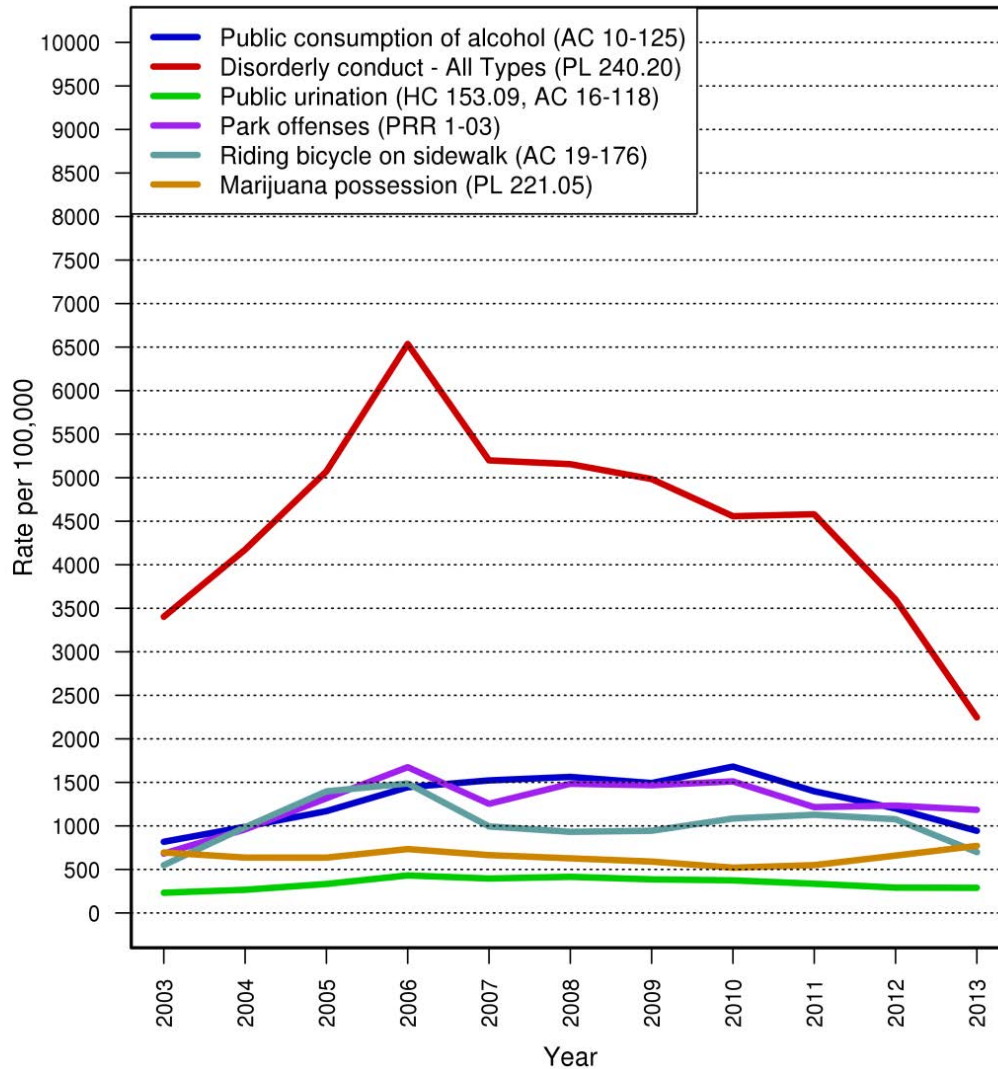
Notably, the number of summonses issued for riding bicycle on sidewalk in Red Hook grew from just 90 in 2003 to 1,294 in 2013. In 2013, 3,257 summonses were issued for public consumption of alcohol, 1,890 were for park offenses, and 1,010 were for disorderly conduct.

## Age Groups: Most Frequent Charges by Rates and Numbers

Here, we disaggregate summons charges by age group as a rate and as raw numbers in 2013. We focus on the six most frequent charges in 2013.

Figure 28:

Rate of Summons Charges for 16-17-year-olds for New York City Per 100,000 Population



Data Source: Office of Court Administration.

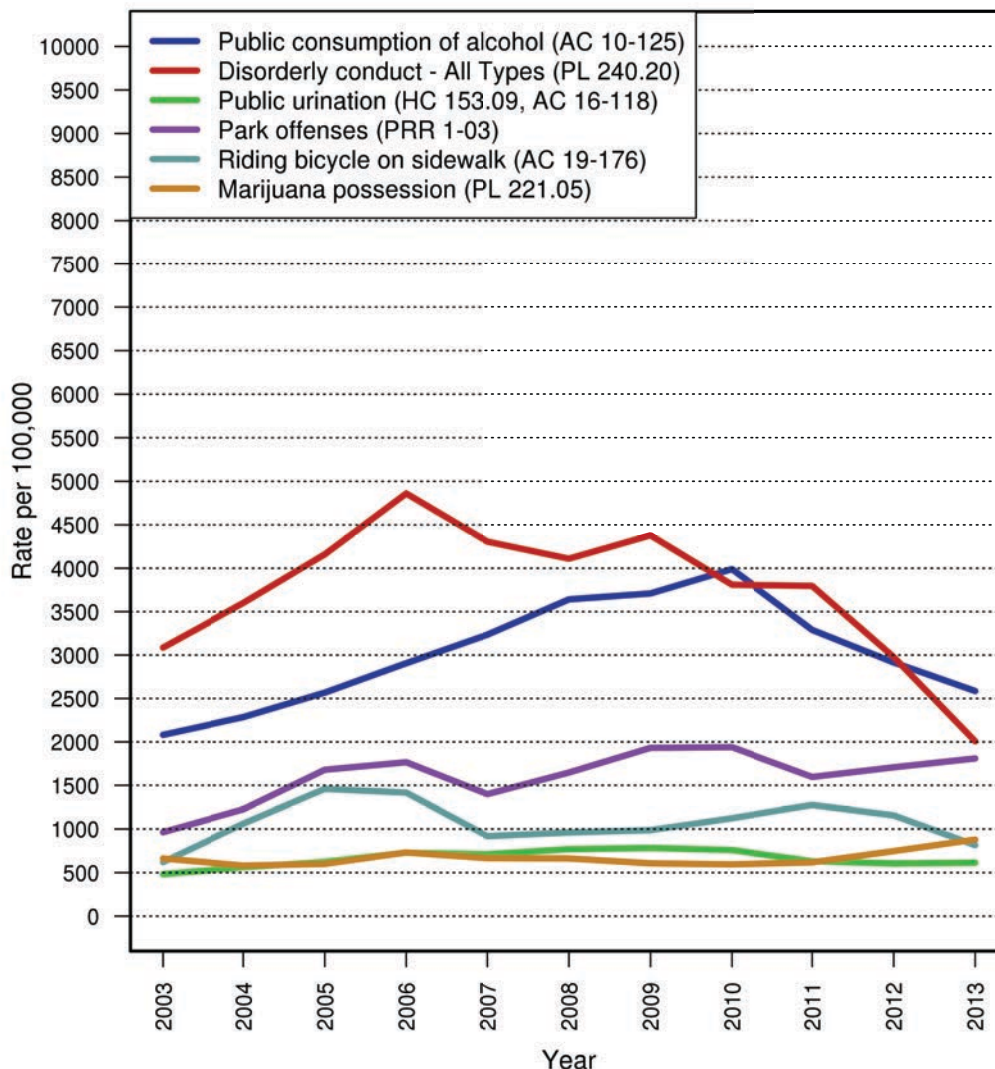
As shown in Figure 28, for 16-17-year-olds, the summons issuance rate for all types of disorderly conduct charges was by far the highest, rising from 3.4 percent in 2003 to a peak of 6.5 percent in 2006, before falling substantially to 2.2 percent in 2013. For public consumption of alcohol, the issuance rate rose from 0.8 percent in 2003 to a peak of 1.7 percent in 2010, then declined to 0.9 percent in 2013. Park offenses followed a similar pattern, rising from 0.7 percent in 2003, peaking at 1.7 percent in 2006, then

declining to 1.2 percent in 2013. Riding bicycle on sidewalk initially grew from 0.5 percent in 2003 to a high of 1.5 percent in 2006, then fell and remained stable around 1.0 percent before falling to 0.7 percent in 2013. Marijuana possession remained relatively stable between 0.5 and 1.0 percent throughout the time period, while the issuance rate for public urination was consistently the lowest of these most frequent charges at below 0.5 percent.

In 2013, 16-17-year-olds were issued: 1,966 summonses for public consumption of alcohol, 4,681 for disorderly conduct, 602 for public urination, 2,468 for park offenses, 1,456 for riding bicycle on sidewalk, and 1,606 for marijuana possession.

Figure 29:

Rate of Summons Charges for 18–20-year-olds for New York City Per 100,000 Population



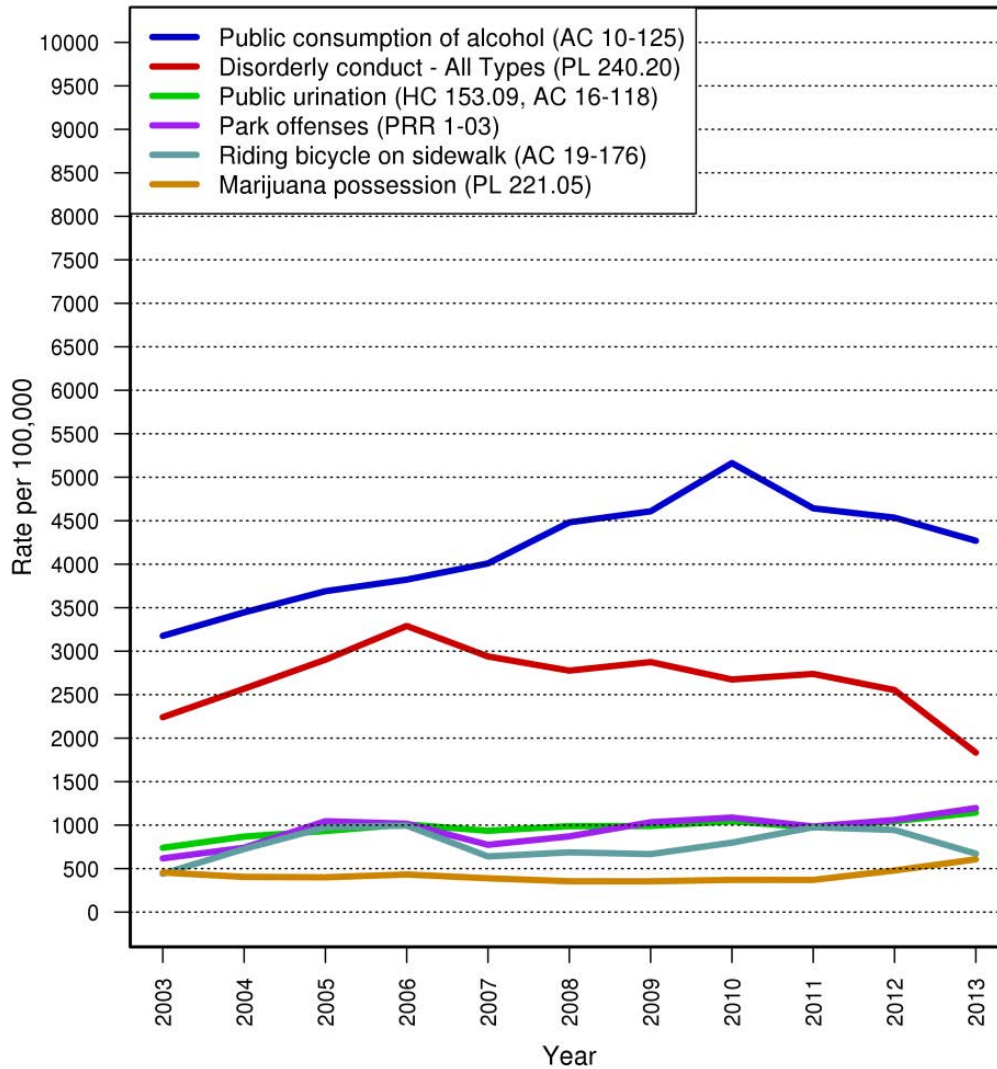
Data Source: Office of Court Administration.

For 18–20-year-olds the pattern of issuance rates by charges is noticeably different. Disorderly conduct began the study period as the highest, rising from 3.0 percent in 2003 to a peak of 4.9 percent in 2006, then falling substantially to 2.0 percent in 2013. Public consumption of alcohol rose from 2.1 percent in 2003 to a high of 4.0 percent in 2010, then fell to 2.6 percent in 2013. Park offenses rose moderately during the decade, from 1.0 percent in 2003 to a peak of 1.9 percent in 2010, ending 2013 at 1.8 percent. Riding bicycle on sidewalk initially rose from a low of 0.6 percent in 2003 to a high of 1.5 percent in 2005, then declined slightly to 0.8 percent in 2013. The issuance rates of public urination and marijuana possession both remained low, under 1.0 percent, during the study time period.

In 2013, 18–20-year-olds were issued: 8,979 summonses for public consumption of alcohol, 6,969 for disorderly conduct, 2,129 for public urination, 6,282 for park offenses, 2,830 for riding bicycle on sidewalk, and 3,051 for marijuana possession.

Figure 30:

Rate of Summons Charges for 21–24-year-olds for New York City Per 100,000 Population



Data Source: Office of Court Administration.

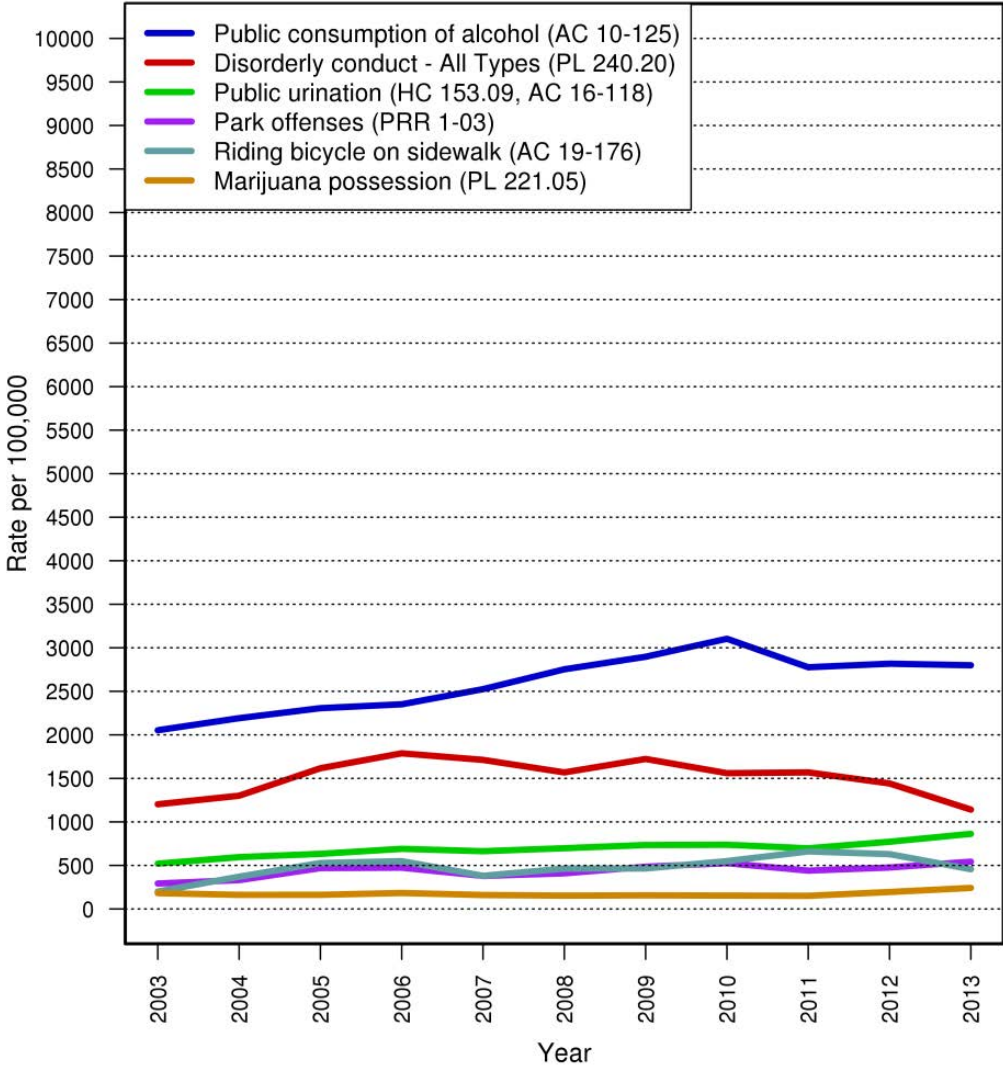
As shown in Figure 30, the rate of summons issuance by charge for 21–24-year-olds again differs from the previous two age groups examined. The charge of public consumption of alcohol consistently accounted for the highest issuance rate, climbing from 3.2 percent in 2003, peaking in 2010 at 5.2 percent, then declining modestly to 4.3 percent in 2013. Disorderly conduct had the second highest issuance rate, rising from 2.2 percent in 2003 to a high of 3.3 percent in 2006, then falling to a low of 1.8 percent in 2013. Public urination and park offenses were substantially lower and followed quite similar trends, rising from below 1.0 percent in 2003 to just above 1.0 percent in 2013. Riding bicycle on sidewalk fluctuated between 0.4 percent and 1.0 percent during the study period, while marijuana possession remained consistently low at around 0.5 percent.



In 2013, 21–24-year-olds were issued: 22,297 summonses for public consumption of alcohol, 9,574 for disorderly conduct, 5,974 for public urination, 6,247 for park offenses, 3,510 for riding bicycle on sidewalk, and 3,168 for marijuana possession.

Figure 31:

Rate of Summons Charges for 25–34-year-olds for New York City Per 100,000 Population



Data Source: Office of Court Administration.

As shown in Figure 31, summons issuance rates were lower for 25–34-year-olds than for the younger age groups. As with 21–24-year-olds, the charge of public consumption of alcohol had the highest issuance rate, rising from 2.1 percent in 2003, peaking at 3.1 percent in 2010, then plateauing at 2.8 percent in 2013. Disorderly conduct rose modestly from 1.2 percent to a high of 1.8 percent in 2006, then declined to 1.1 percent in 2013. Public urination remained low throughout the decade, but did increase from a

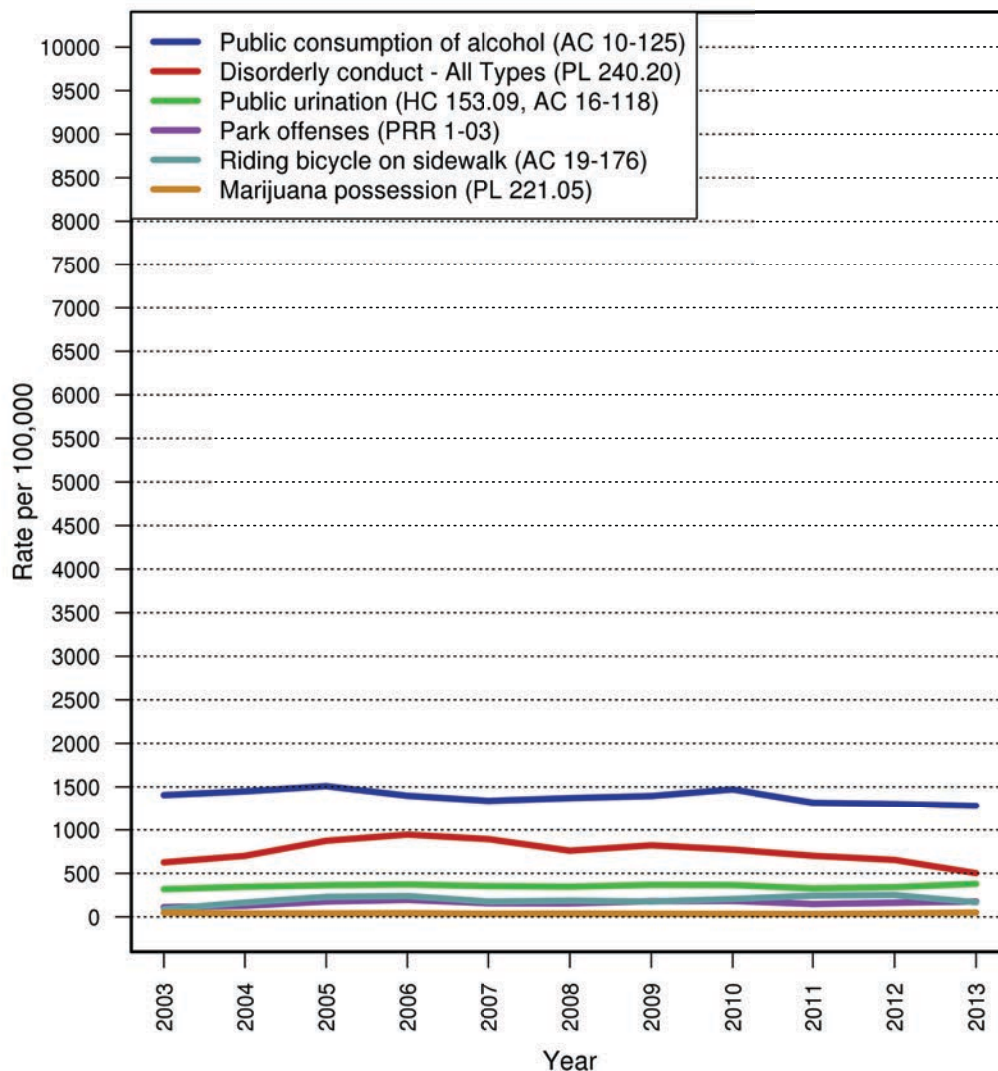


low of 0.5 percent in 2003 to a high of 0.9 percent in 2013. Park offenses, riding bicycle on sidewalk, and marijuana possession all remained stable and low, at or below issuance rates of 0.7 percent during the study period.

In 2013, 25–34-year-olds were issued: 38,978 summonses for public consumption of alcohol, 15,891 for disorderly conduct, 12,014 for public urination, 7,563 for park offenses, 6,353 for riding bicycle on sidewalk, and 3,366 for marijuana possession.

Figure 32:

Rate of Summons Charges for Individuals 35 years and older for New York City Per 100,000 Population



Data Source: Office of Court Administration.

As shown in Figure 32, the issuance rates for these charges were lowest for individuals 35 years and older. Public consumption of alcohol remained consistently the highest, declining only slightly during the study time period from 1.4 percent in 2003 to 1.3

percent in 2013. Disorderly conduct rose modestly from 0.6 percent in 2003 to a high of 0.9 percent in 2006, then fell to a low of 0.5 percent in 2013. Public urination remained stable at an issuance rate of around 0.3 percent, while park offenses, riding bicycle on sidewalk, and marijuana possession all remained consistently low at below 0.3 percent during the decade.

In 2013, individuals ages 35 years and older were issued: 53,031 summonses for public consumption of alcohol, 20,790 for disorderly conduct, 15,717 for public urination, 7,334 for park offenses, 6,947 for riding bicycle on sidewalk, and 2,065 for marijuana possession.

## Defective Summonses

As noted previously, a summons may be found defective upon initial review in the court system for a variety of reasons, including if it was filled out incompletely. These summonses do not get docketed. Here we examine the percent of summonses found to be defective during the study period, as well as the reasons it was found defective.

Figure 33:

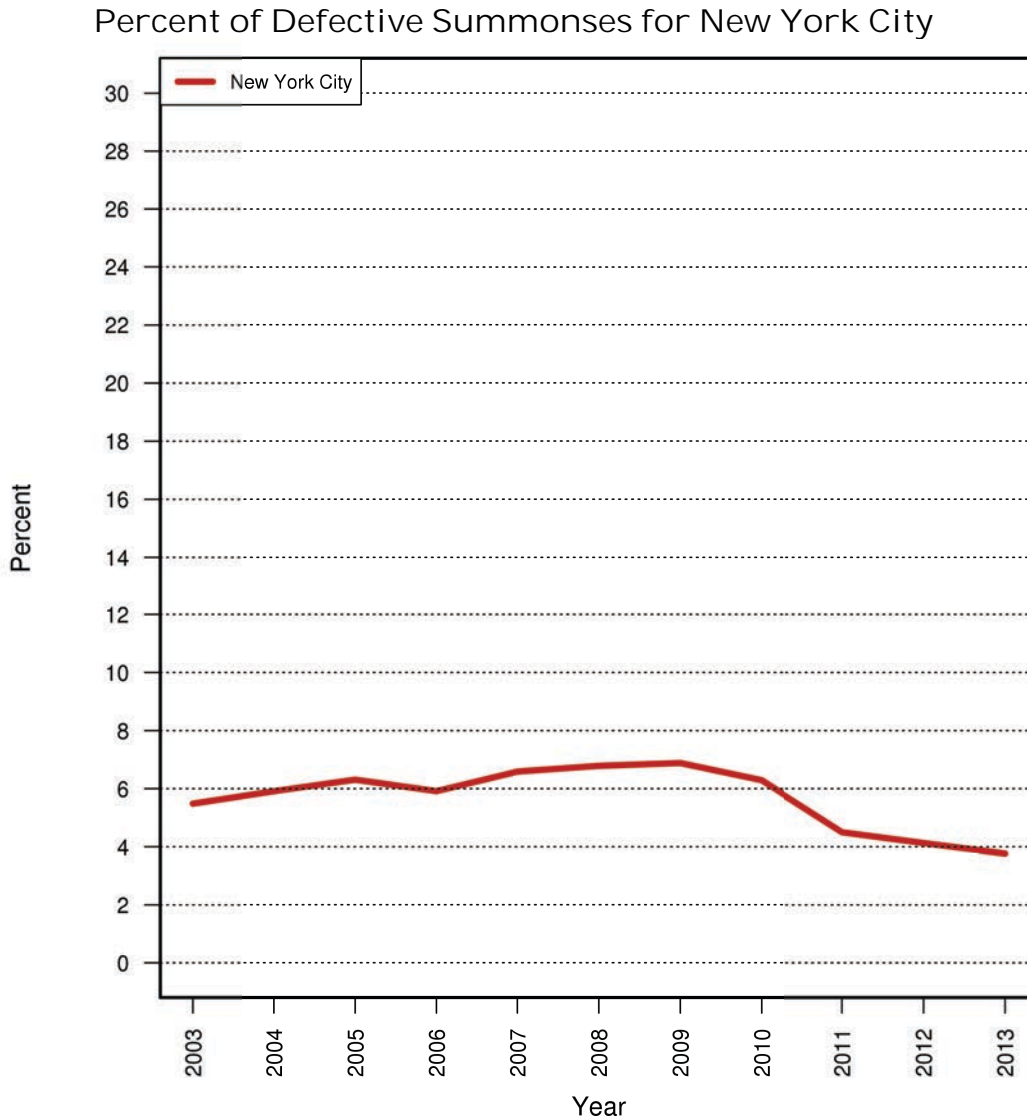
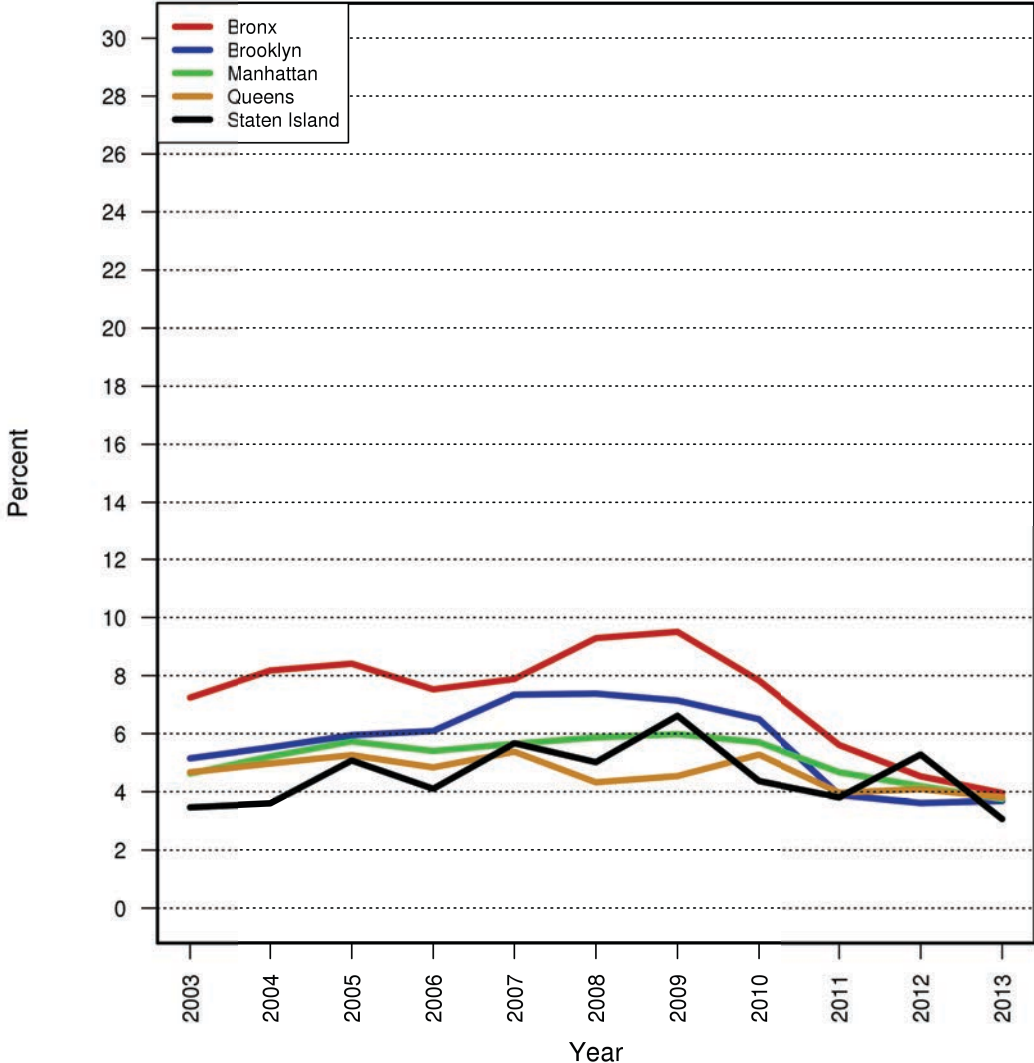


Figure 33 shows the percentage of all summonses issued that are determined to be defective. Defective summonses accounted for 5.5 percent of all summonses in 2003, peaking at 6.9 percent in 2009, then declining to 3.8 percent in 2013.

In 2003, 30,575 summonses were found to be defective. The number of defective summonses peaked in 2005 at 38,284 and fell to 16,548 by 2013.

Figure 34:

Percent of Defective Summonses by Borough



Data Source: Office of Court Administration.

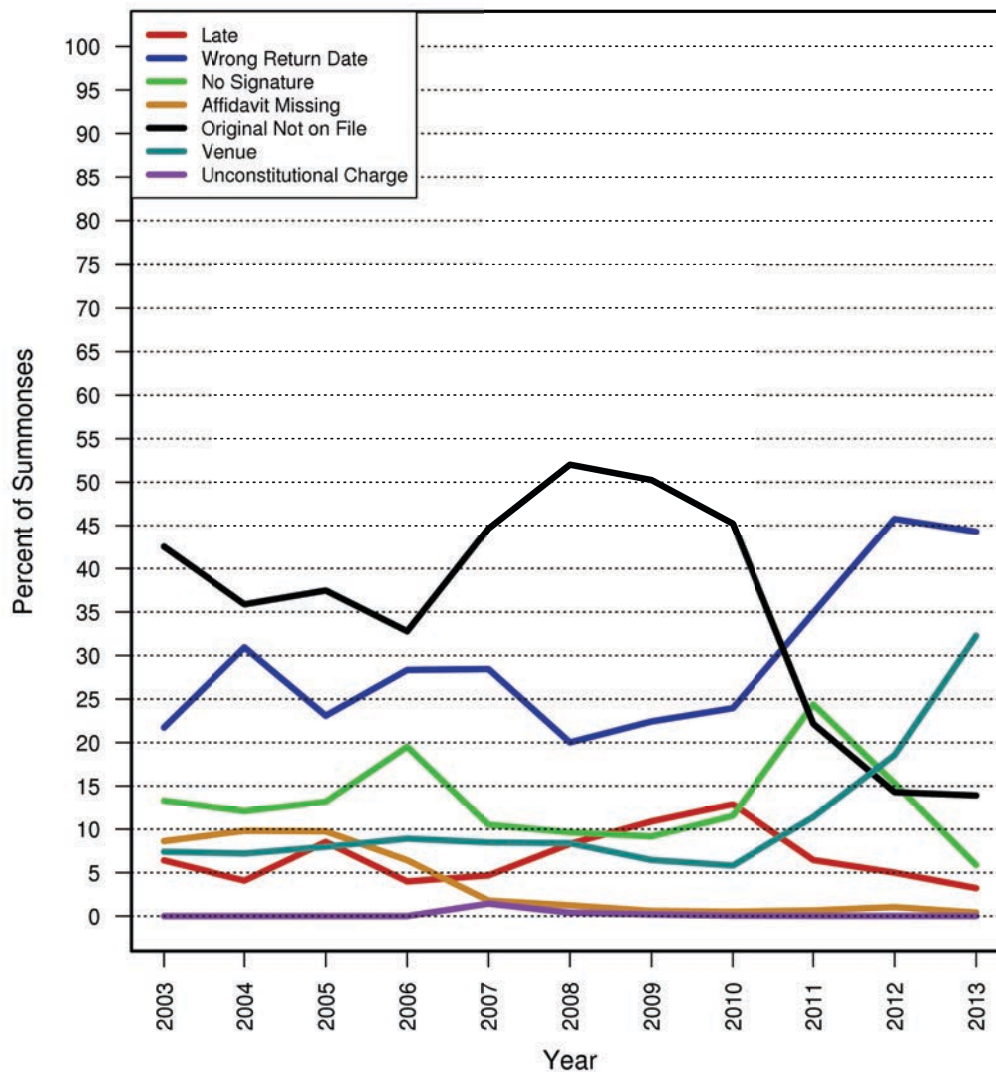
There are borough-level variations in the extent of defective summonses. As Figure 34 illustrates, until recently, the Bronx accounted for the highest percentage of defective summonses, rising from 7.2 percent in 2003 to a peak of 9.5 percent in 2009, then declining to 4.0 percent in 2013. Brooklyn followed a similar trend, climbing from 5.2 percent in 2003 to a high of 7.4 percent in 2008, then sharply decreasing to 3.7 percent in 2013. Staten Island experienced a similar trend with larger fluctuations, rising from 3.5 percent in 2003 to a peak of 6.6 percent in 2009 before declining to a low of 3.1 percent in 2013. The percentage of defective summonses for Manhattan and Queens were more stable during this time period but also experienced decreases in recent years.

Manhattan fell from a high of 6.0 percent in 2009 to a low of 3.8 percent in 2013; Queens experienced peaks in 2007 and 2010 of 5.4 and 5.3 percent respectively, then fell to a low of 3.8 percent in 2013.

At the end of the study period in 2013, the number of defective summonses by borough were as follows: 3,671 in the Bronx, 4,599 in Brooklyn, 4,615 in Manhattan, 3,243 in Queens, and 420 in Staten Island.

Figure 35:

Percent of Defective Summonses for New York City by Reason



Data Source: Office of Court Administration.

As shown in Figure 35, there are multiple reasons for why a summons can be determined to be defective upon initial review.

Original not on file, which means that the original summons cannot be found or was never sent in, accounted for the highest reason by far throughout most of the study period, peaking at 52.0 percent of all defective summonses in 2008 before sharply declining to 13.9 percent in 2013.

Summonses with the wrong return date, which means that the court date listed on the summons is incorrectly a Saturday, Sunday, or holiday, were the second highest percentage of defective summonses, fluctuating through much of the study time period between 20.0 and 30.0 percent before climbing substantially to a peak of 45.8 percent in 2012.

No signature, which means the “complainant,” or issuing agent, did not sign the summons, peaked first in 2006 at 19.5 percent, declined, then rose again to 24.4 percent in 2011 before declining sharply to a low of 5.9 percent in 2013.

In contrast, Venue, which means the issuing agent failed to indicate a court location for responding to a summons or indicated an incorrect location, remained below 10.0 percent for much of the study time period, then increased substantially starting in 2011, ending 2013 at 32.3 percent.

Late, which means the summons was received by the court after the scheduled arraignment appearance, fluctuated between 4.0 and 11.0 percent from 2003 to 2009, peaked in 2010 at 12.9 percent, then steadily declined to 3.2 percent in 2013.

Affidavit missing, which means that the issuing agent did not complete the supporting affidavit section describing the violation, began the study period at 8.6 percent, peaked at 9.8 percent in 2004, then declined to a low of 0.4 percent in 2013.

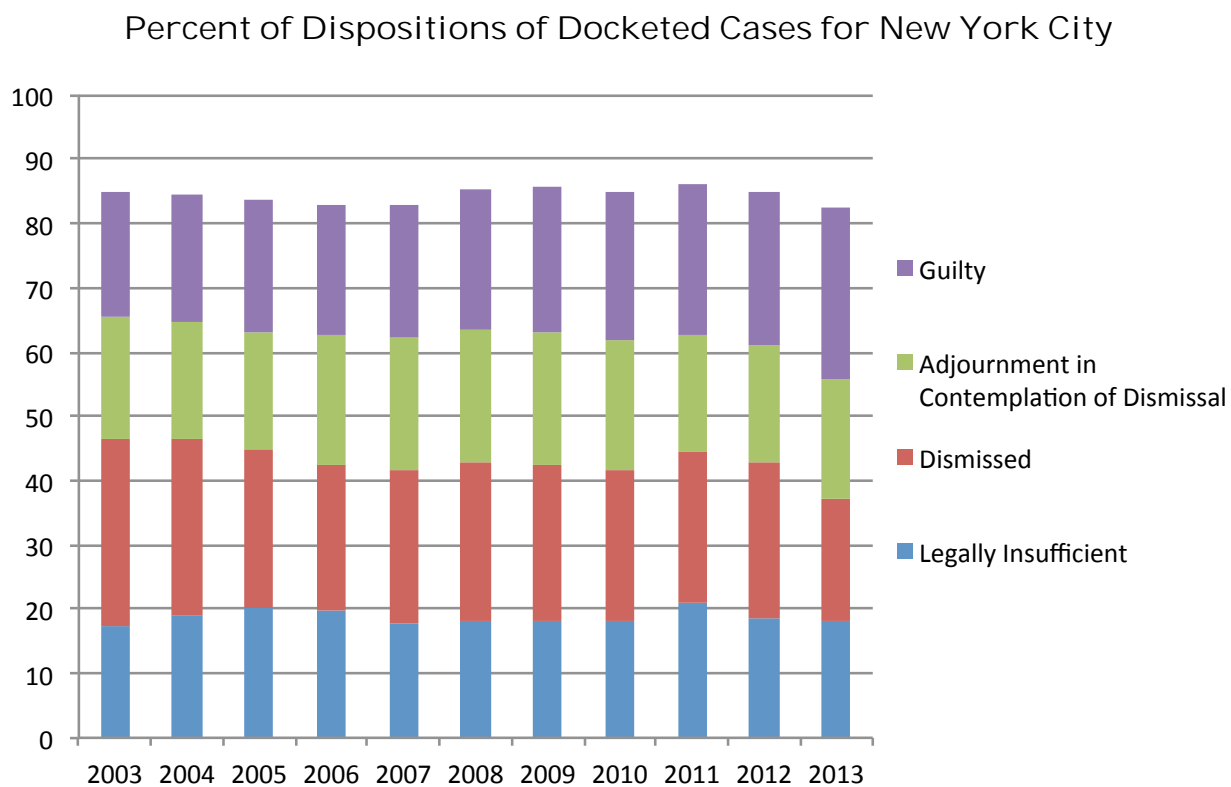
Unconstitutional charge remained consistently the lowest, only rising above 1.0 percent in 2007, then falling to 0.01 percent of charges in 2013.

In terms of numbers, in 2013: 2,304 because of the original was not on file, 7,329 were defective because of the wrong return date, 972 because of no signature, 5,341 because of venue, 532 summonses were found defective because of lateness, 68 because the affidavit was missing, and 2 because of unconstitutional charge.

## Dispositions of Summonses by Percent

The following series of figures examines how summons cases were disposed in New York City as a whole and by borough. Here, we show the four most common outcomes: legally insufficient, dismissed, adjournment in contemplation of dismissal (known colloquially by its acronym, ACD), and guilty. As stated previously, summonses can also be found legally insufficient at arraignment. Those legally insufficient summonses are included in dismissed, as community courts do not provide the reason for the dismissal. We do not present "other" because it is a very small percentage and thus does not appear in the graphs. Hence, the percentage remaining includes a small percentage of "other," including acquittals and resentenced cases, as well as pending cases and open warrants. Notably, these dispositions for docketed cases allow for borough- and community court-level comparisons and will vary from the aggregate outcomes presented in the beginning of the report.

Figure 36:



Data Source: Office of Court Administration.

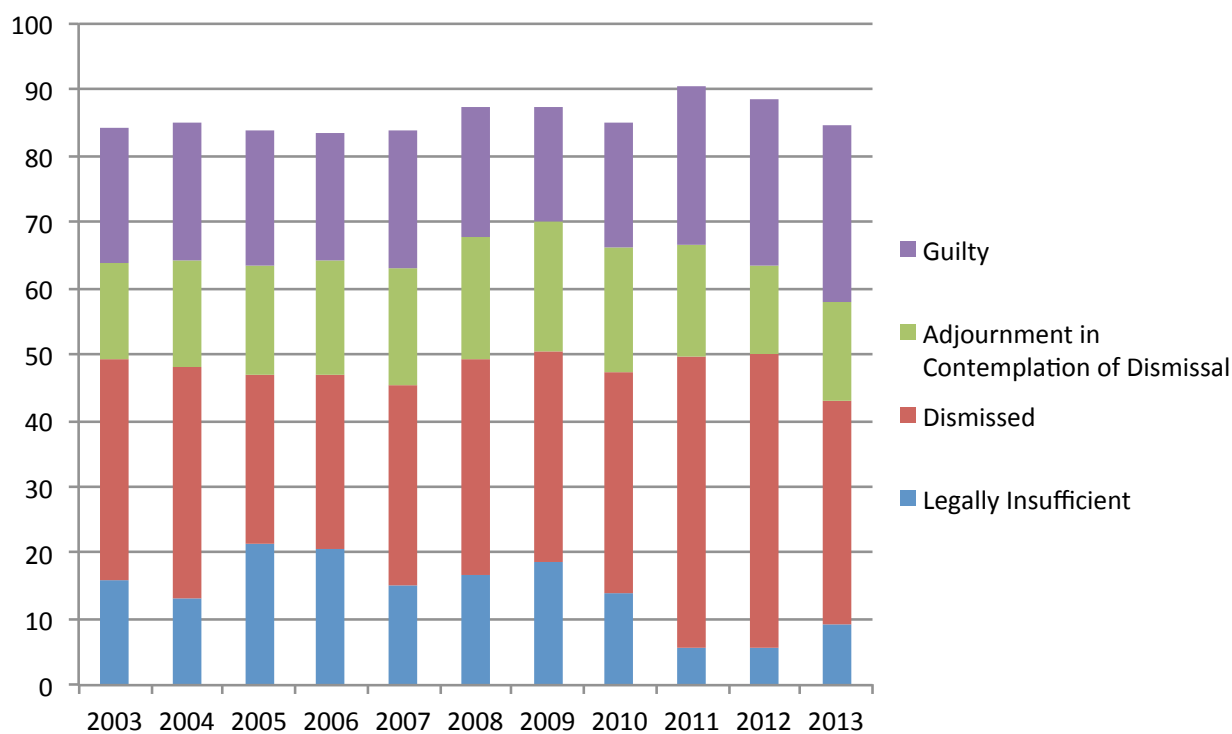
As shown in Figure 36, for New York City as a whole, the percentage of summons cases disposed as guilty grew from 19.4 percent in 2003 to 26.5 percent in 2013 for all docketed summonses. Adjournment in contemplation of dismissal fluctuated between 18.0 and 20.7 percent. Dismissed cases declined over the study period, from 28.8 percent in 2003 to 19.1 percent in 2013. Cases determined to be legally insufficient fluctuated between 17.6 and 20.9 percent. Collectively in 2003, 46.4 percent of all

docketed summonses were either dismissed at arraignment or determined to be legally insufficient prior to arraignment (please refer to our description of the summons process on pp. 13–15). By 2013, the percentage attributable to these two categories had declined to 37.1 percent of all dispositions.

Put another way, of the 526,995 summonses docketed in New York City in 2003, 102,177 were disposed as guilty, 100,208 were disposed as adjournment in contemplation of dismissal, 151,777 were dismissed, and 92,588 were determined to be legally insufficient prior to arraignment. Of the 422,481 summonses docketed in 2013, 111,996 were disposed as guilty, 79,109 were disposed as adjournment in contemplation of dismissal, 80,849 were dismissed, and 76,067 were determined to be legally insufficient prior to arraignment.

Figure 37:

Percent of Dispositions of Docketed Cases for the Bronx



Data Source: Office of Court Administration.

In the Bronx, the percentage of summons cases disposed as guilty rose from 20.3 percent in 2003 to 26.9 percent of all docketed summonses in 2013. Adjournment in contemplation of dismissal rose from 14.6 percent in 2003 to a peak of 19.6 percent in 2009, then fell to 14.8 percent in 2013. Dismissed summonses fluctuated between a low of 25.7 percent in 2005 and a high of 44.5 percent in 2012. Cases determined to be legally insufficient prior to arraignment declined from a high of 21.3 percent in 2005 to a low of 5.5 percent in 2011 before rising again to 9.3 percent in 2013. Collectively, in 2003, 49.3 percent of all docketed summonses in the Bronx were either dismissed at

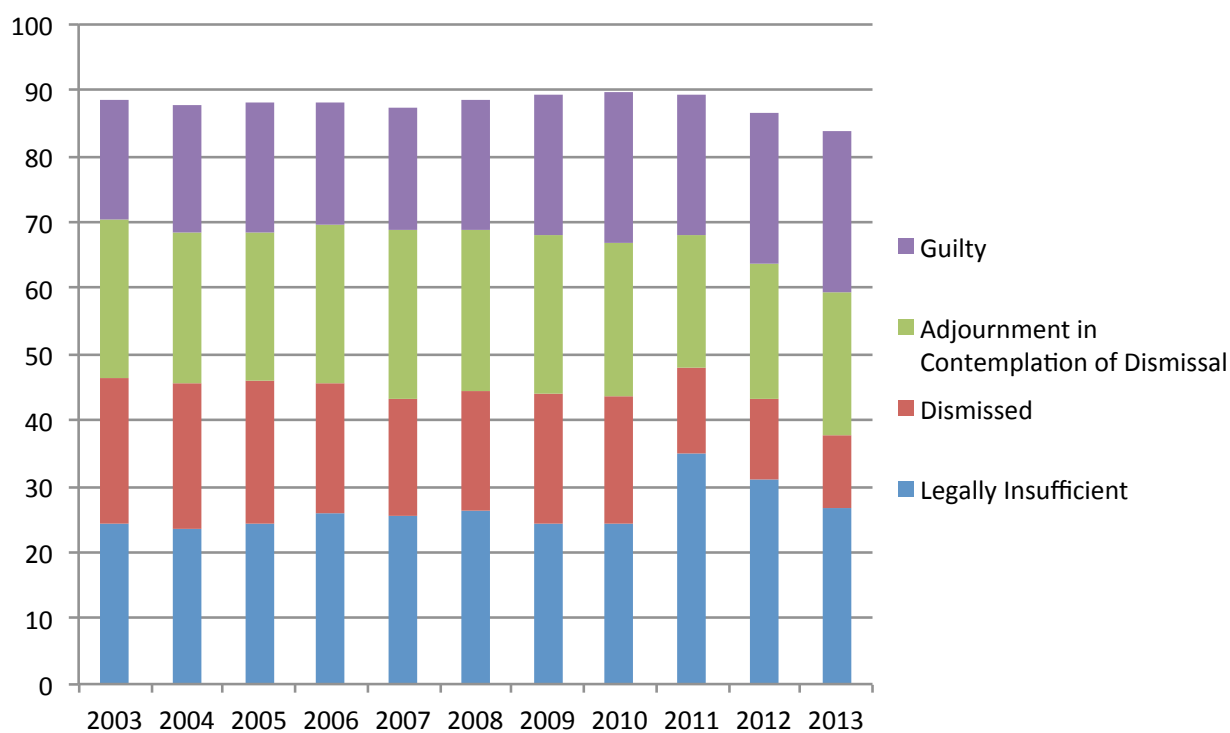


arraignment or determined to be legally insufficient prior to arraignment. By 2013, this collective percentage declined to 43.1 percent of docketed summonses.

Of the 147,139 summonses docketed in the Bronx in 2003, 29,907 were disposed as guilty, 21,428 were disposed as adjournment in contemplation of dismissal, 49,377 were dismissed, and 23,189 were determined to be legally insufficient. Of the 89,059 summonses docketed in 2013, 23,952 were disposed as guilty, 13,192 were disposed as adjournment in contemplation of dismissal, 30,084 were dismissed, and 8,262 were determined to be legally insufficient.

Figure 38:

Percent of Dispositions of Docketed Cases for Brooklyn



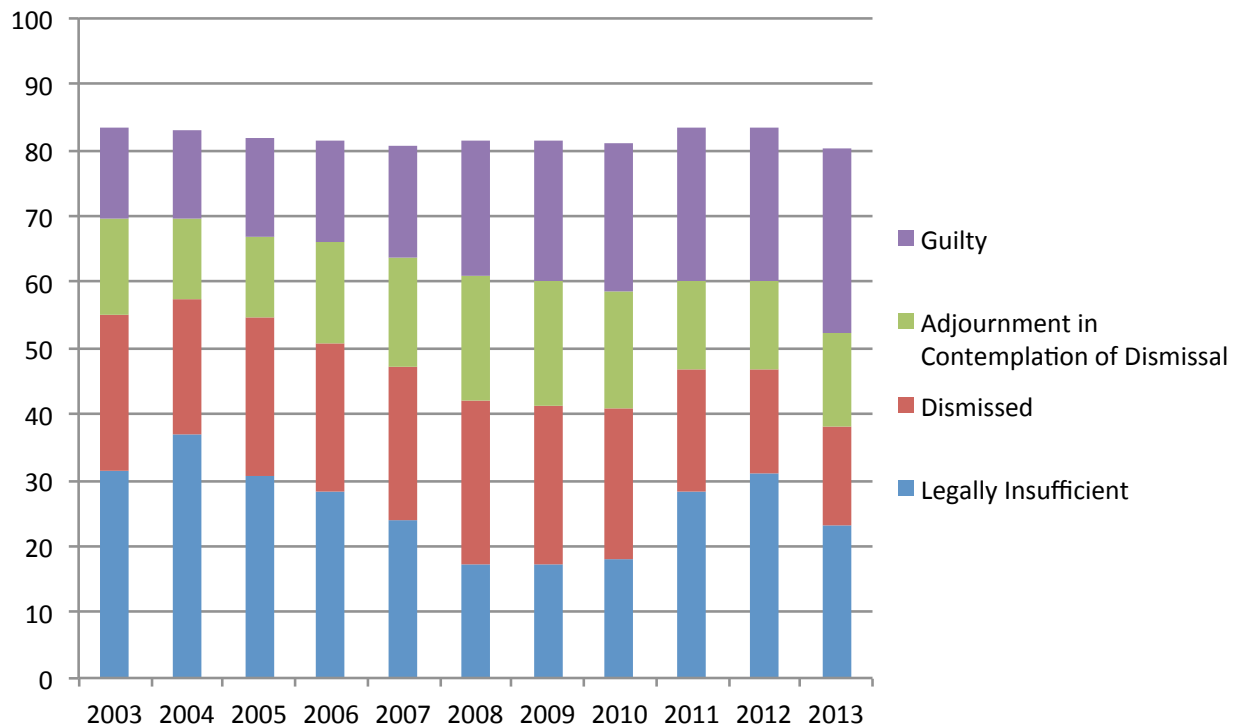
Data Source: Office of Court Administration.

In Brooklyn, the percentage of summons cases disposed as guilty rose from 18.0 percent in 2003 to 24.5 percent of all dispositions in 2013. Adjournment in contemplation of dismissal declined slightly from 24.1 percent in 2003 to 21.7 percent in 2013. Dismissed summonses declined substantially over the study time period, falling from 21.8 percent in 2003 to 10.8 percent in 2013. Cases determined to be legally insufficient prior to arraignment rose from 24.4 percent in 2003 to a peak of 35.0 percent in 2011 before falling to 26.8 percent in 2013. Collectively, in 2003, 46.2 percent of all disposed summonses in Brooklyn were either dismissed at arraignment or determined to be legally insufficient prior to arraignment. By 2013, this collective percentage declined to 37.6 percent of all dispositions.

Of the 126,871 summonses disposed in Brooklyn in 2003, 22,870 were disposed as guilty, 30,586 were disposed as adjournment in contemplation of dismissal, 27,708 were dismissed, and 30,969 were determined to be legally insufficient prior to arraignment. Of the 107,705 summonses disposed in 2013, 26,426 were disposed as guilty, 23,400 were disposed as adjournment in contemplation of dismissal, 11,648 were dismissed, and 28,822 were determined to be legally insufficient prior to arraignment.

Figure 39:

Percent of Dispositions of Docketed Cases for Manhattan



Data Source: Office of Court Administration.

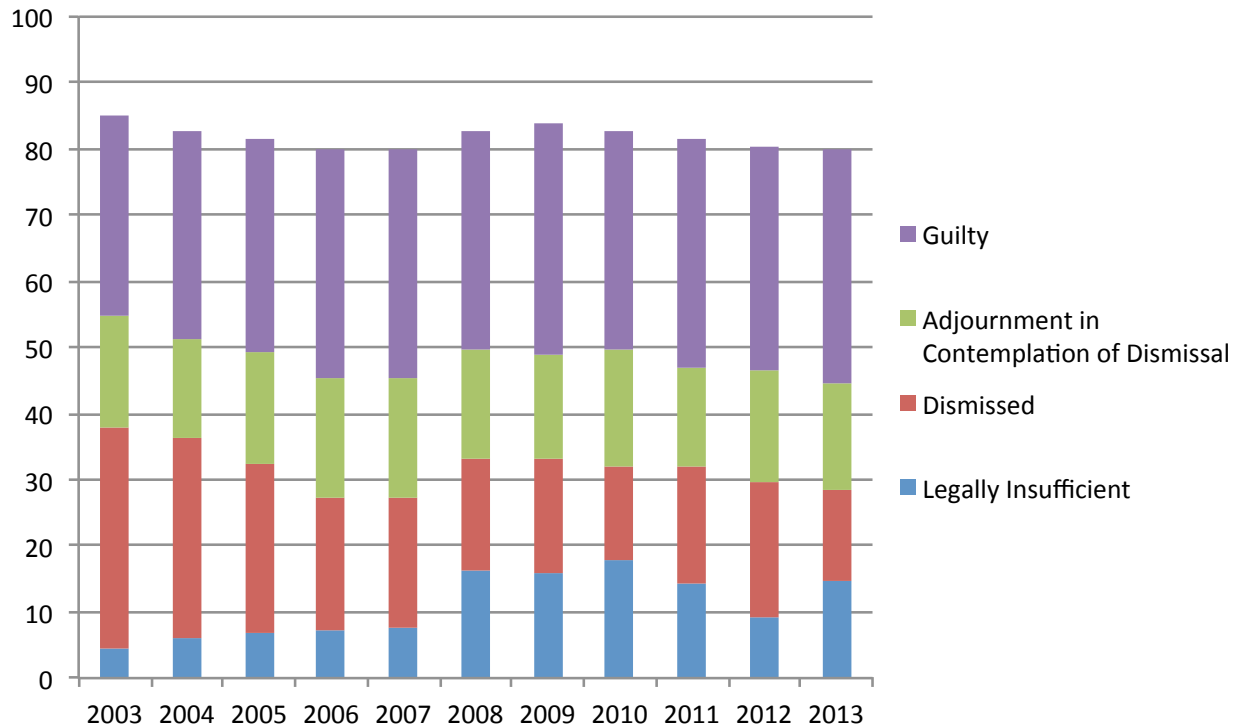
In Manhattan, the percentage of summons cases disposed as guilty grew substantially—more than doubled—from 13.6 percent in 2003 to 28.1 percent in 2013. Adjournment in contemplation of dismissal fluctuated over the study time period, rising from 14.6 percent in 2003 to a peak of 18.8 percent in 2009, before falling to 14.3 percent in 2013. Dismissed summonses declined from 23.6 percent in 2003 to 14.8 percent in 2013. Cases determined to be legally insufficient prior to arraignment also declined from 31.3 percent in 2003 to 23.2 percent in 2013. Collectively, in 2003, 54.9 percent of all docketed summonses in Manhattan were either dismissed at arraignment or determined to be legally insufficient prior to arraignment. By 2013, this collective percentage had declined to 38.0 percent.

Of the 107,843 summonses docketed in Manhattan in 2003, 14,715 were disposed as guilty, 15,791 were disposed as adjournment in contemplation of dismissal, 25,401 were dismissed, and 33,788 were determined to be legally insufficient. Of the 91,063

summons docketed in 2013, 25,552 were disposed as guilty, 13,056 were disposed as adjournment in contemplation of dismissal, 13,488 were dismissed, and 21,118 were determined to be legally insufficient.

Figure 40:

Percent of Dispositions of Docketed Cases for Queens



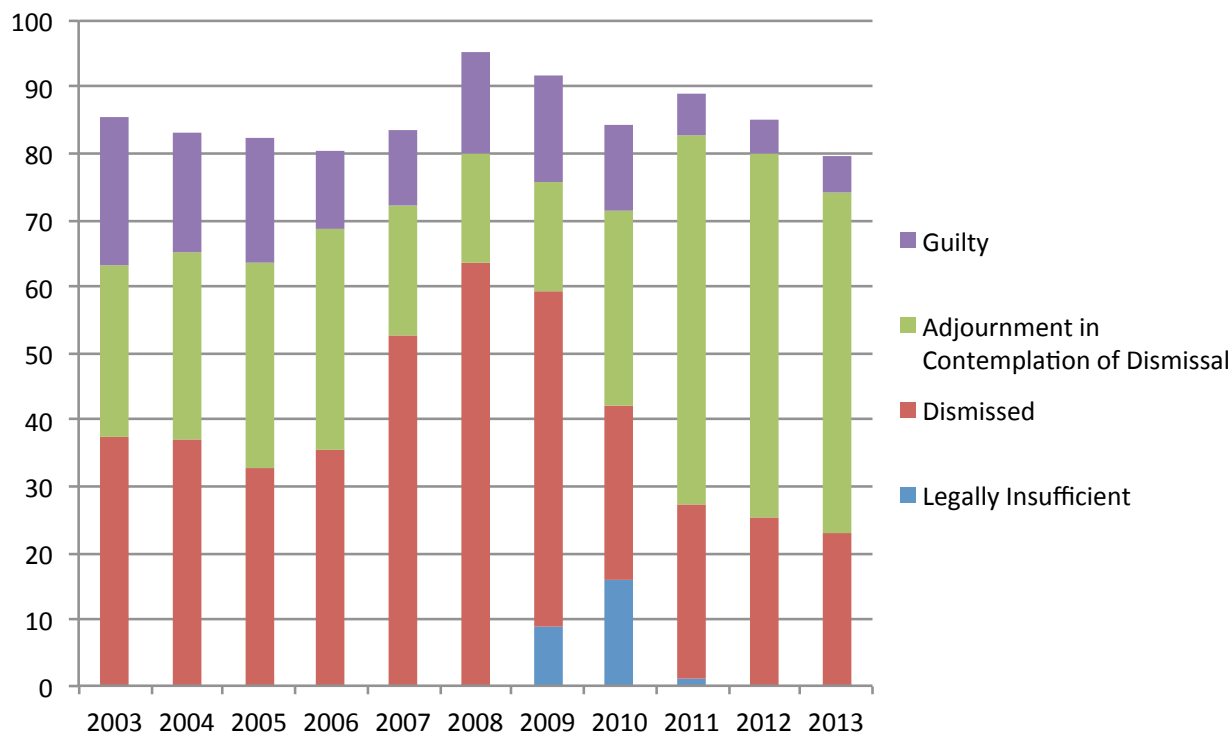
Data Source: Office of Court Administration.

In Queens, the percentage of summons cases disposed as guilty rose from 30.0 percent in 2003 to 35.6 percent in 2013. Adjournment in contemplation of dismissal remained stable over the study time period, fluctuating between 14.6 and 18.3 percent of dispositions. Dismissed summonses declined substantially from 33.3 percent in 2003 to 13.9 percent in 2013. Cases determined to be legally insufficient prior to arraignment, in contrast, rose substantially from 4.6 percent in 2003 to 14.6 percent in 2013. Collectively in 2003, 37.9 percent of all docketed summonses in Queens were either dismissed at arraignment or determined to be legally insufficient prior to arraignment. By 2013, this collective percentage had fallen by almost 10.0 percent to 28.5 percent.

Of the 100,458 summonses docketed in Queens in 2003, 30,137 were disposed as guilty, 17,052 were disposed as adjournment in contemplation of dismissal, 33,410 were dismissed, and 4,642 were determined to be legally insufficient prior to arraignment. Of the 81,895 summonses docketed in 2013, 29,131 were disposed as guilty, 13,063 were disposed as adjournment in contemplation of dismissal, 11,382 were dismissed, and 11,942 were determined to be legally insufficient prior to arraignment.

Figure 41:

Percent of Dispositions of Docketed Cases for Staten Island



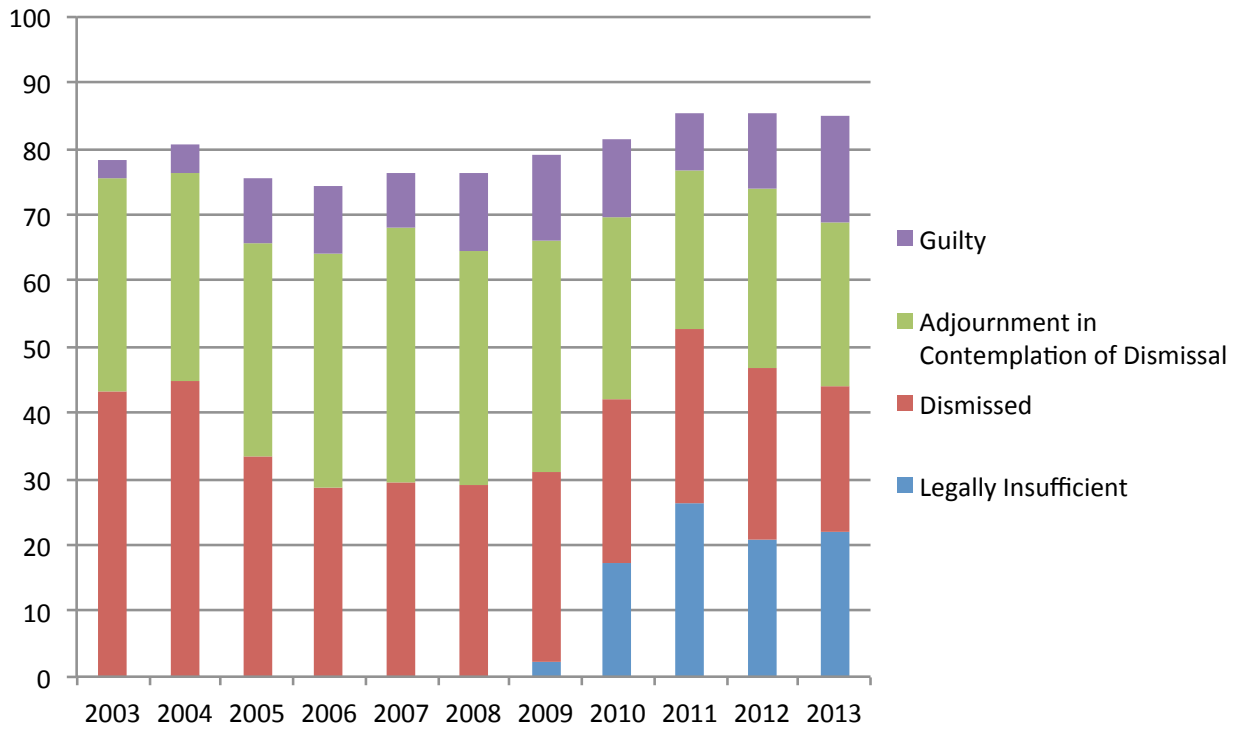
Data Source: Office of Court Administration.

In Staten Island, in contrast to other boroughs, the percentage of docketed summons disposed as guilty declined substantially from 22.3 percent in 2003 to 5.6 percent in 2013. Adjourment in contemplation of dismissal grew substantially, from 25.6 percent in 2003 to 51.0 percent in 2013. Dismissed summonses grew from 37.6 percent in 2003 to a peak of more than 63.7 percent in 2008 before declining to 23.0 percent in 2013. Staten Island only engaged in the review process for legal insufficiency (SAP-D, see pp. 13-15) for a short time, between 2009 and 2011.

Of the 16,053 summonses docketed in Staten Island in 2003, 3,575 were disposed as guilty, 4,108 were disposed as adjourment in contemplation of dismissal, and 6,031 were dismissed. Of the 13,259 summonses docketed in 2013, 736 were disposed as guilty, 6,765 were disposed as adjourment in contemplation of dismissal, and 3,046 were dismissed.

Figure 42:

Percent of Dispositions of Docketed Cases for Midtown Community Court



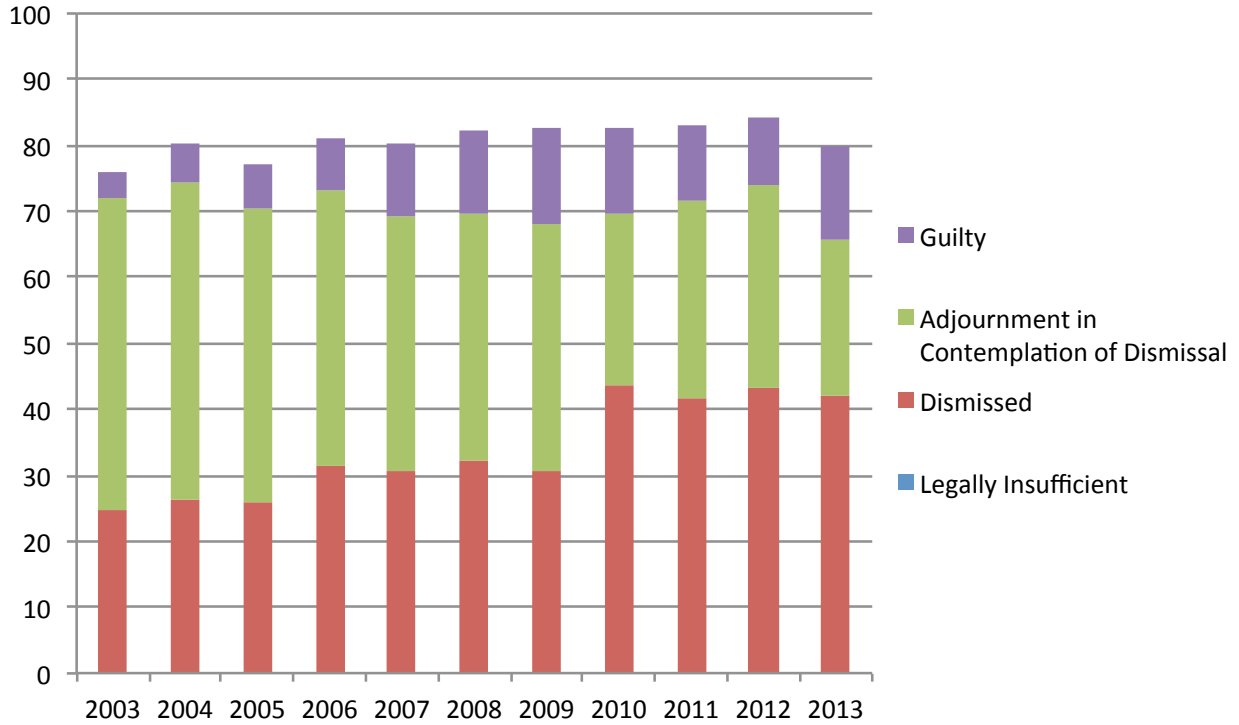
Data Source: Office of Court Administration.

At Midtown Community Court, the percentage of summons cases disposed as guilty rose substantially from 2.7 percent in 2003 to 16.4 percent in 2013. Adjourment in contemplation of dismissal declined from 32.0 percent in 2003 to 24.7 percent in 2013. Dismissed summonses declined from 43.3 percent in 2003 to 22.1 percent in 2013. Midtown Community Court began to review summonses for legal insufficiency in 2009, and the percentage of cases determined to be legally insufficient have fluctuated between 17.1 and 26.4 percent. Collectively in 2013, 43.9 percent of all summonses docketed at Midtown Community Court were either dismissed at arraignment or determined to be legally insufficient prior to arraignment.

Of the 14,775 summonses docketed at Midtown Community Court in 2003, 400 were disposed as guilty, 4,731 were disposed as adjourment in contemplation of dismissal, and 6,404 were dismissed. Of the 27,166 summonses disposed in 2013, 4,457 were disposed as guilty, 6,718 were disposed as adjourment in contemplation of dismissal, 6,010 were dismissed, and 5,923 were determined to be legally insufficient.

Figure 43:

Percent of Dispositions of Docketed Cases for Red Hook Community Justice Center



Data Source: Office of Court Administration.

At Red Hook Community Justice Center, the percentage of docketed summons cases disposed as guilty rose from 4.1 percent in 2003 to 14.1 percent in 2013. Adjourment in contemplation of dismissal declined substantially from 47.0 percent in 2003 to 23.6 percent in 2013. Meanwhile, dismissed summonses increased substantially from 24.9 percent in 2003 to 42.1 percent in 2013. As noted earlier, summonses processed at Red Hook Community Justice Center do not undergo the SAP-D review for legal insufficiency.

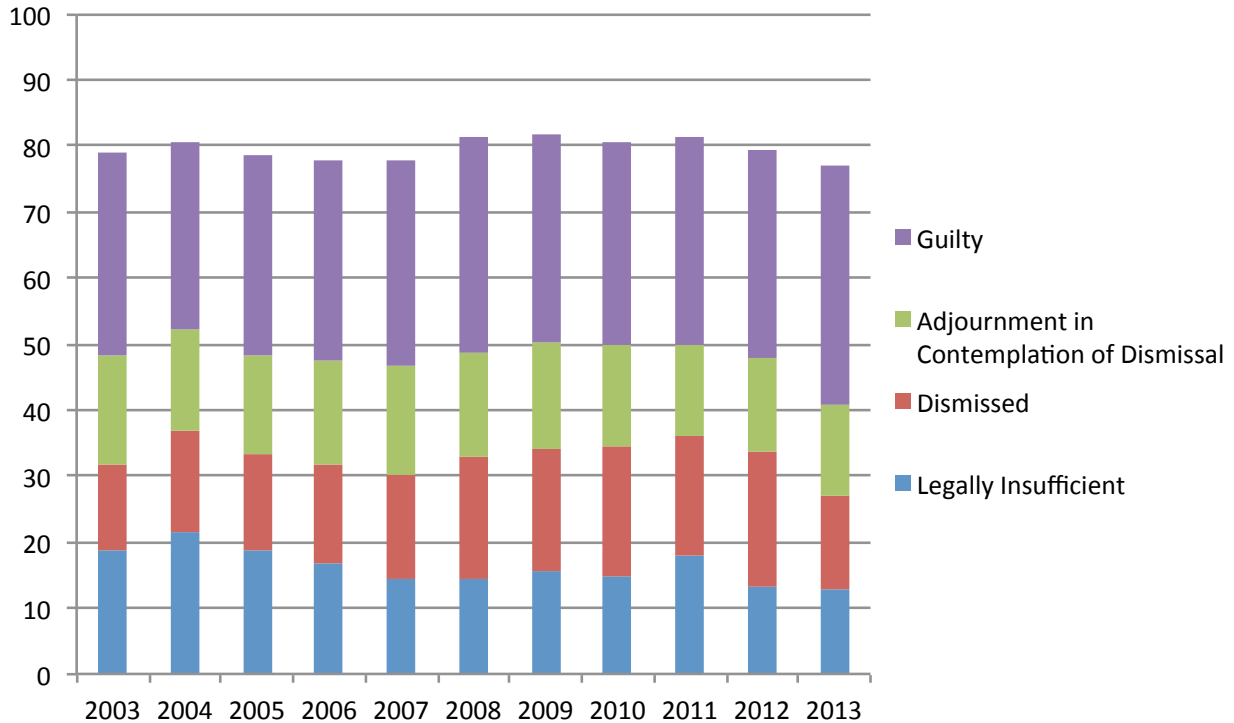
Of the 13,856 summonses docketed at Red Hook Community Justice Center in 2003, 573 were disposed as guilty, 6,512 were disposed as adjourment in contemplation of dismissal, and 3,446 were dismissed. Of the 12,334 summonses disposed in 2013, 1,742 were disposed as guilty, 2,915 were disposed as adjourment in contemplation of dismissal, and 5,191 were dismissed.

## Dispositions of Summonses by Most Frequent Charges

The following series of figures provides a further analysis of dispositions, showing the percentage of each disposition type for the six most frequent charge types.

Figure 44:

### Percent of Dispositions of Public Consumption of Alcohol Charges (AC 10-125) for New York City



Data Source: Office of Court Administration.

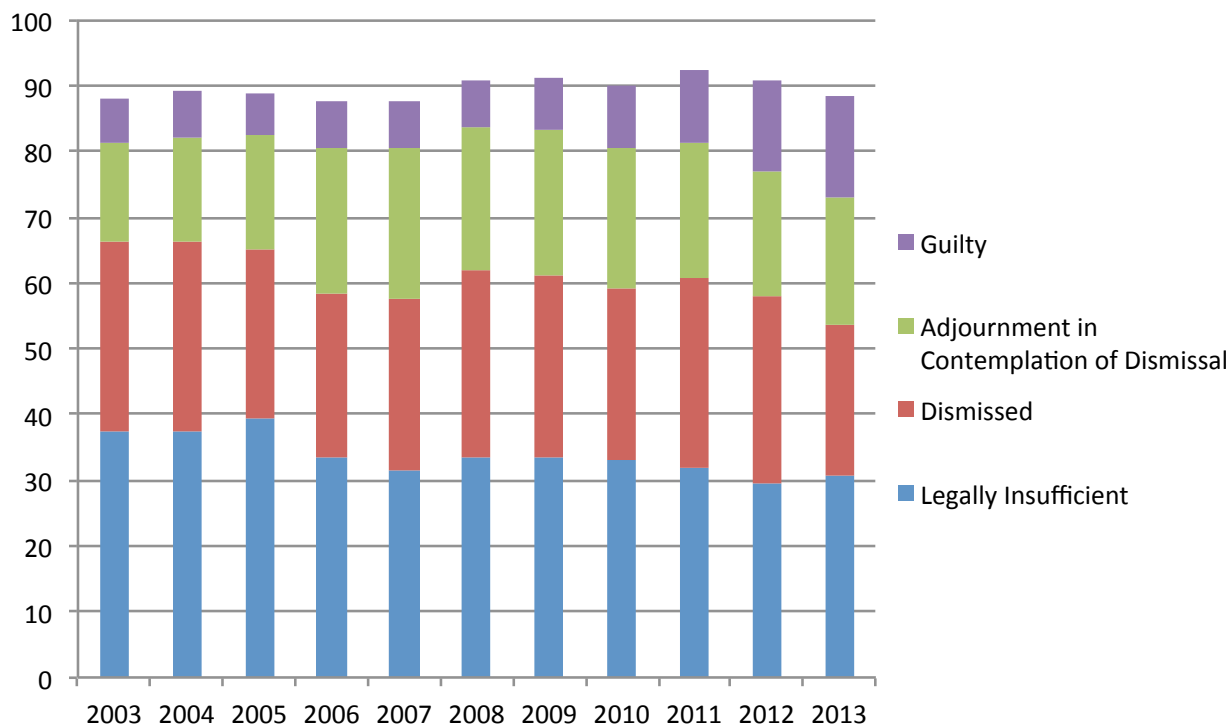
As illustrated in Figure 44, guilty dispositions comprised the largest percentage of dispositions for the charge of public consumption of alcohol, fluctuating between 28.7 and 36.0 percent of all docketed cases for this charge. Guilty dispositions peaked at 36.0 percent in 2013. It is important to note that pleading guilty and paying a fine by mail is possible for this charge. In 2003, 16.5 percent of public consumption of alcohol charges resulted in an adjourment in contemplation of dismissal, 13.1 percent were dismissed, and 18.7 percent were determined to be legally insufficient. In 2013, 13.9 percent of public consumption of alcohol charges resulted in an adjourment in contemplation of dismissal, 14.1 percent were dismissed, and 12.9 percent were legally insufficient.

Put another way, for the charge of public consumption of alcohol in 2003, 20,521 summonses were found to be legally insufficient prior to arraignment, 14,352 were dismissed, 18,031 received an adjourment in contemplation of dismissal, and 33,806 were disposed as guilty. In 2013, 16,249 summonses were found to be legally

insufficient prior to arraignment, 17,797 were dismissed, 17,515 received an adjournment in contemplation of dismissal, and 45,452 were disposed as guilty.

Figure 45:

Percent of Dispositions of Disorderly Conduct Charges (PL 240.20) for New York City



Data Source: Office of Court Administration.

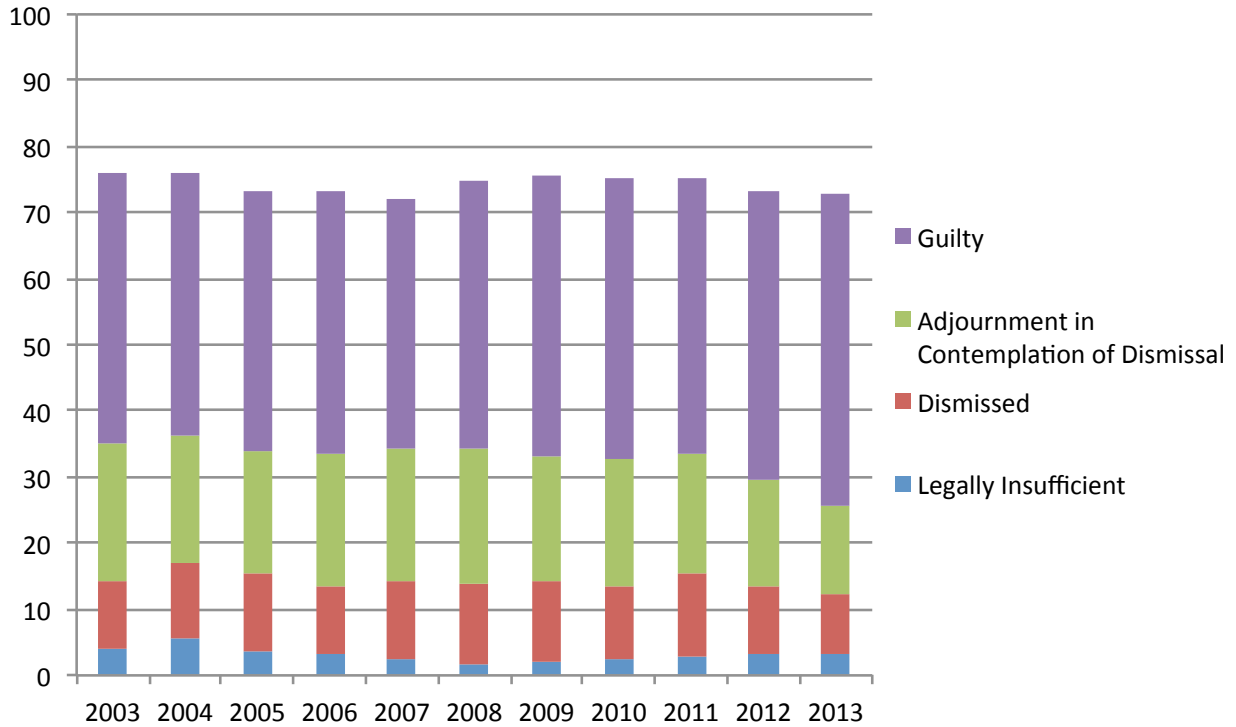
The most frequent disposition for the charge of disorderly conduct was legally insufficient prior to arraignment, which remained at or above 30.0 percent for all years, peaking at 39.5 percent in 2005. Dismissed accounted for the second largest percent of dispositions, followed by adjournment in contemplation of dismissal and guilty. In 2003, 28.6 percent of summonses with a charge of disorderly conduct resulted in a dismissal, 15.0 percent received an adjournment in contemplation of dismissal, and 7.0 percent were disposed as guilty. In 2013, 23.0 percent of disorderly conduct charges were dismissed, 19.4 percent received an adjournment in contemplation of dismissal, and 15.3 percent were disposed as guilty.

For the charge of disorderly conduct, in 2003, 26,557 summonses were determined to be legally insufficient prior to arraignment, 20,253 were dismissed, 10,591 received an adjournment in contemplation of dismissal, and 4,981 were disposed as guilty. In 2013, 17,946 summonses were found to be legally insufficient prior to arraignment, 13,457 were dismissed, 11,356 received an adjournment in contemplation of dismissal, and 8,946 were disposed as guilty.



Figure 46:

Percent of Dispositions of Public Urination Charges (HC 153.09, AC 16-118) for New York City



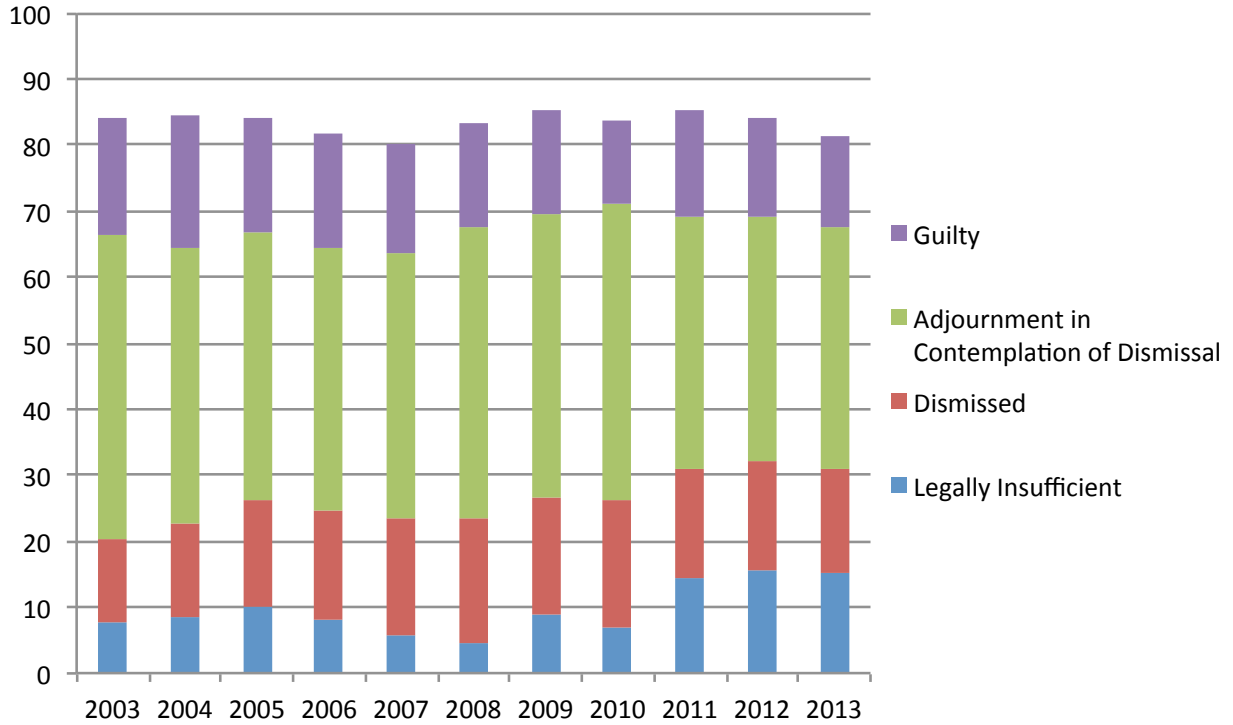
Data Source: Office of Court Administration.

The most frequent disposition for the charge of public urination was guilty. Guilty dispositions remained at or above 37.9 percent, experiencing an upward trend throughout the study period and peaking at 47.1 percent in 2013. Similar to the public consumption of alcohol charge, pleading guilty and paying a fine by mail is possible for this charge. Adjudgment in contemplation of dismissal accounted for the second largest percent of dispositions, followed by dismissed and legally insufficient. In 2003, 20.8 percent of public urination charges received an adjudgment in contemplation of dismissal, 10.3 percent were dismissed, and 4.1 percent were found to be legally insufficient prior to arraignment. In 2013, 13.5 percent of public urination charges received an adjudgment in contemplation of dismissal, 8.9 percent were dismissed, and 3.4 percent were found to be legally insufficient.

For the charge of public urination in 2003, 1,054 summonses were found to be legally insufficient prior to arraignment, 2,647 were dismissed, 5,361 received an adjudgment in contemplation of dismissal, and 10,547 were disposed as guilty. In 2013, 1,233 summonses were found to be legally insufficient prior to arraignment, 3,258 were dismissed, 4,949 received an adjudgment in contemplation of dismissal, and 17,278 were disposed as guilty.

Figure 47:

Percent of Dispositions of Park Offense Charges (PRR 1-03) for New York City



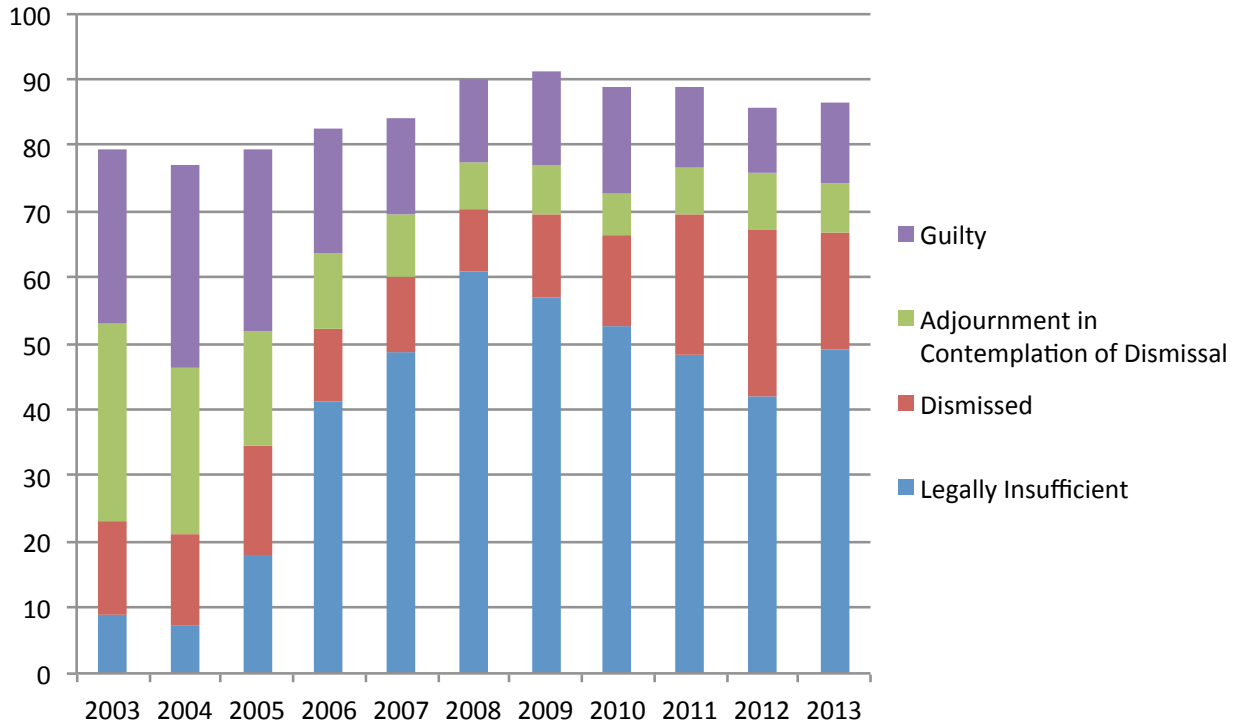
Data Source: Office of Court Administration.

The most frequent disposition for park offenses was adjourment in contemplation of dismissal, which remained at or above 39.8 percent for years 2003 to 2010 before decreasing slightly to 36.7 percent in 2013. The remaining dispositions fluctuated throughout the decade. In 2003, 7.8 percent of park offenses were determined to be legally insufficient prior to arraignment, 12.6 percent were dismissed, and 17.8 percent were guilty. In 2013, 15.2 percent of park offenses were determined to be legally insufficient prior to arraignment, 15.6 percent were dismissed, and 13.8 percent were guilty.

For park offenses, in 2003, 1,271 summonses were determined to be legally insufficient prior to arraignment, 2,062 were dismissed, 7,534 received an adjourment in contemplation of dismissal, and 2,908 were disposed as guilty. In 2013, 4,577 summonses were determined to be legally insufficient prior to arraignment, 4,703 were dismissed, 11,059 received an adjourment in contemplation of dismissal, and 4,160 were disposed as guilty.

Figure 48:

Percent of Dispositions of Riding Bicycle on Sidewalk Charges (AC 19-176) for New York City



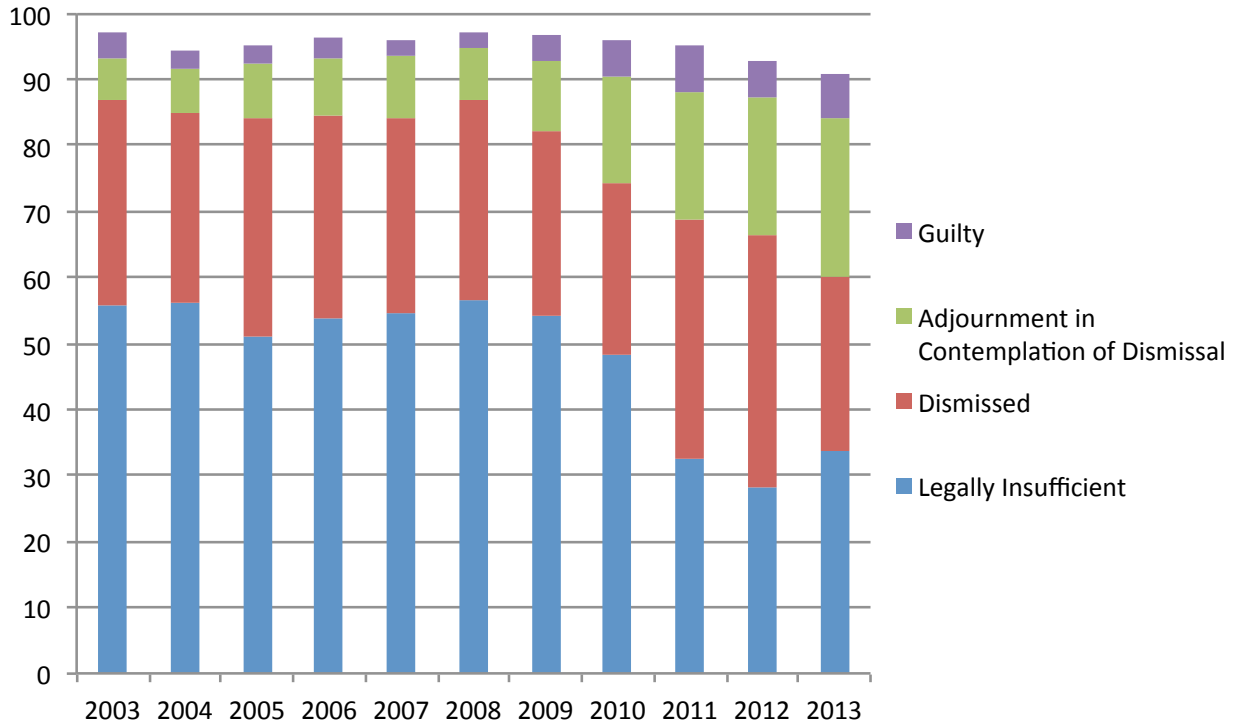
Data Source: Office of Court Administration.

Summonses with the charge of riding bicycle on sidewalk experienced the most substantial change over the study time period, showing a large increase in summonses determined to be legally insufficient prior to arraignment. In 2003, 8.7 percent of riding bicycle on sidewalk charges were legally insufficient prior to arraignment; in 2013, this percentage grew to 48.9. The percentage of summonses receiving an adjournment in contemplation of dismissal fell from 29.9 percent in 2003 to 7.2 percent in 2013. In 2003, 26.4 percent were disposed as guilty, while in 2013, 12.3 percent received this disposition. In 2003, 14.3 percent were dismissed; in 2013, this percentage grew slightly to 18.1 percent.

In 2003, 1,028 summonses were found to be legally insufficient prior to arraignment, 1,687 were dismissed, 3,521 received an adjournment in contemplation of dismissal, and 3,110 were disposed as guilty. In 2013, 10,428 summonses were found to be legally insufficient prior to arraignment, 3,863 were dismissed, 1,535 received an adjournment in contemplation of dismissal, and 2,626 were disposed as guilty.

Figure 49:

Percent of Dispositions of Marijuana Possession Charges (PL 221.05) for New York City



Data Source: Office of Court Administration.

For the charge of marijuana possession, the trend over the study period was a decrease in the determination of legally insufficient prior to arraignment and an increase in dismissals and adjournments in contemplation of dismissal. In 2003, 55.9 percent of these summonses were determined to be legally insufficient prior to arraignment, 30.9 percent were dismissed, 6.3 percent received an adjournment in contemplation of dismissal, and 3.9 percent were disposed as guilty. In 2013, 33.8 percent were disposed as legally insufficient prior to arraignment, 26.5 percent were dismissed, 23.9 percent received an adjournment in contemplation of dismissal, and 6.7 percent were disposed as guilty.

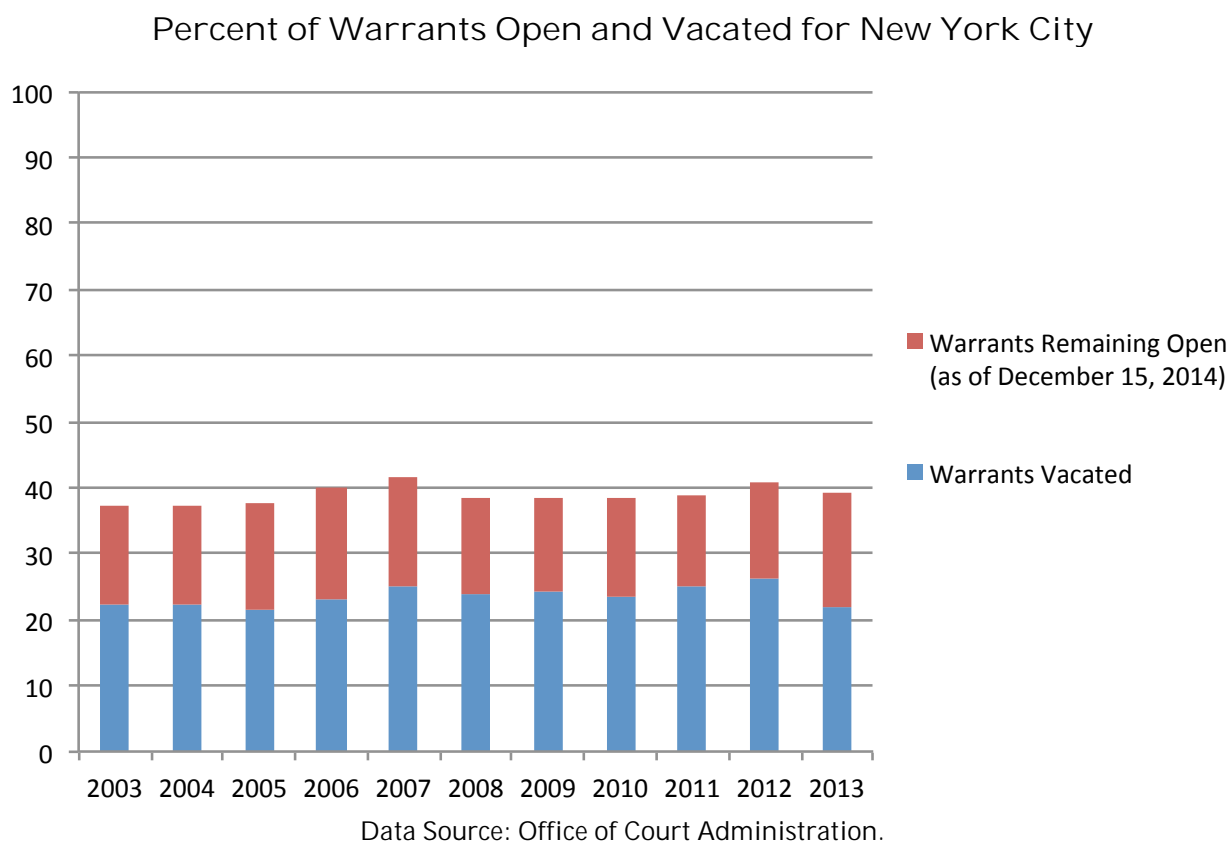
In 2003, 5,794 summonses were determined to be legally insufficient prior to arraignment, 3,205 were dismissed, 649 received an adjournment in contemplation of dismissal, and 404 were disposed as guilty. In 2013, 4,511 summonses were determined to be legally insufficient prior to arraignment, 3,536 were dismissed, 3,188 received an adjournment in contemplation of dismissal, and 898 were disposed as guilty.

## Warrants by Percent Open and Vacated

The following set of figures examines the percentage of docketed summonses for which warrants were issued, how many warrants remained open as of the end of the study period (December 15, 2014 for summonses issued no later than December 31, 2013), and how many warrants were vacated. Again, these numbers will vary from the aggregate outcomes because we use only docketed cases that allow for borough-level and community court comparisons.

We want to note that multiple warrants can be issued for one summons. The below trend line indicates whether a warrant was issued, and if issued whether it was vacated or remains open. If multiple warrants are issued, we indicate whether the summons has an open warrant or not. For example, if there were two warrants issued and one remains open, the summons would be counted as an open warrant and would not be included in the vacated section.

Figure 50:



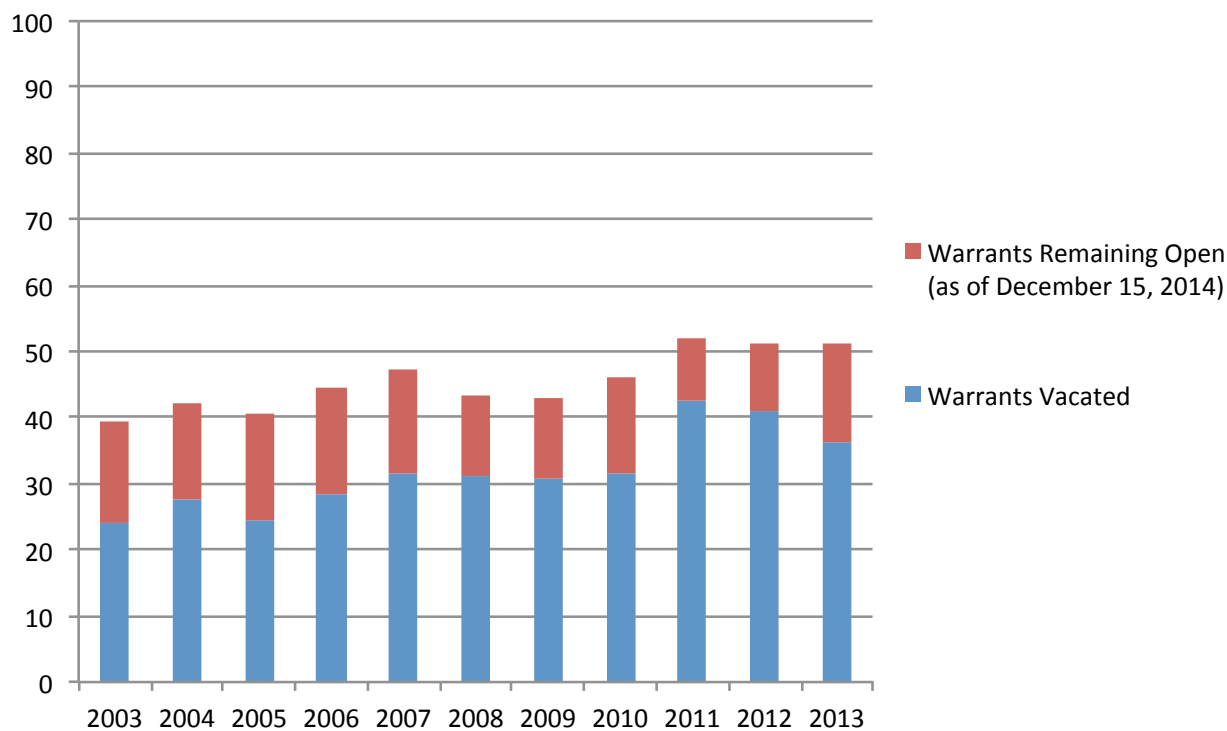
For New York City as a whole, warrants were issued for 37.4 to 41.6 percent of all summonses, but more than half were vacated, between 21.3 and 26.1 percent of all summonses had a vacated warrant. On average, 15.4 percent of warrants issued per year remained open as of December 15, 2014.

In 2003, 37.4 percent of all docketed summonses resulted in a warrant issued; 22.4 were vacated warrants and 15.0 percent remained open as of December 15, 2014. In 2013, 39.1 percent of summonses resulted in a warrant issued. Of all summonses, 21.7 percent were vacated and 17.4 remained open. It should be noted that 2013 had the highest percentage of warrants that remained open, but this is likely because these have had the shortest amount of time to be vacated.

In terms of numbers, in 2003, 197,312 warrants were issued. Of these warrants, 118,012 were subsequently vacated, while 79,300 remain open as of December 15, 2014. In 2013, 165,245 warrants were issued. Of these warrants, 91,763 have been vacated and 73,482 remained open.

Figure 51:

Percent of Warrants Open and Vacated for the Bronx



Data Source: Office of Court Administration.

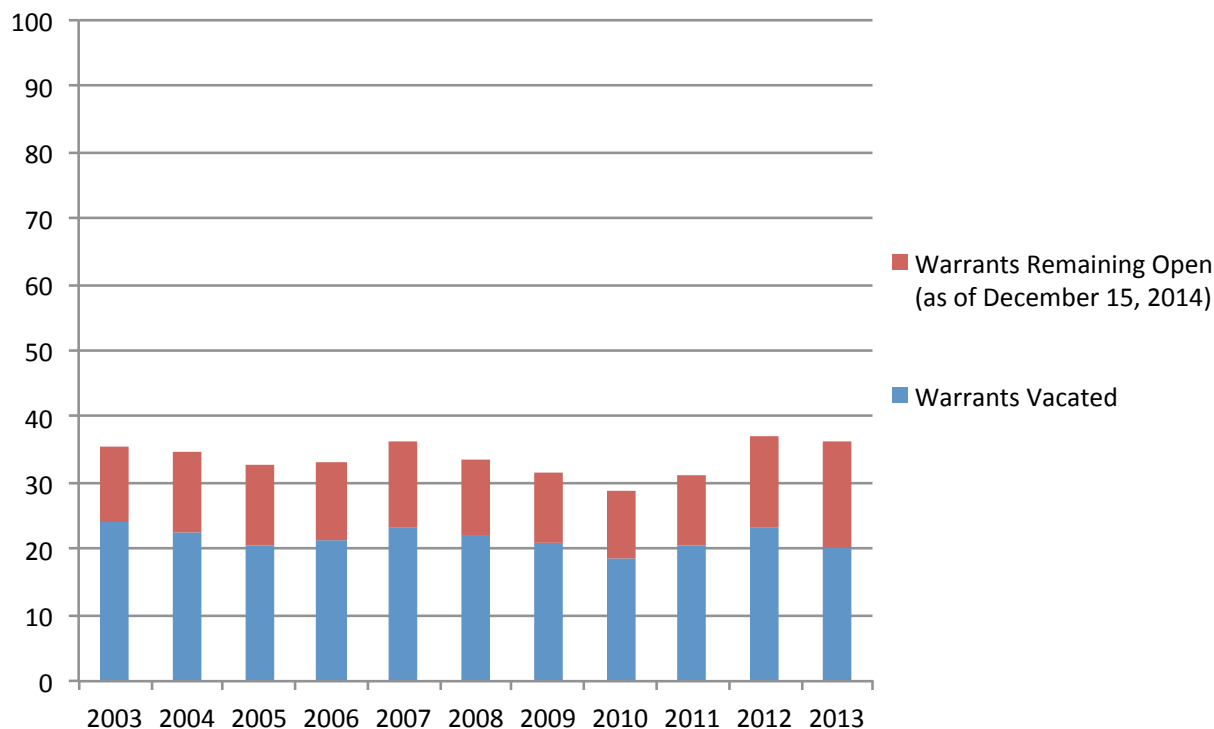
For the Bronx, there was a notable upward trend in the percentage warrants issued and those warrants that were vacated throughout the study period. In 2003, 39.5 percent of summonses resulted in a warrant issued. This grew to 51.1 percent in 2013. More than half of these warrants were ultimately vacated. In 2003, 23.9 percent of all summonses were vacated; in 2013, 36.1 percent were vacated. On average, 13.9 percent of issued warrants in the Bronx remained open each year.

In the Bronx in 2003, 58,181 warrants were issued. Of these warrants, 35,196 were subsequently vacated, while 22,985 remained open as of December 15, 2014 for

summonses issued by December 31, 2013. In 2013, 45,482 warrants were issued. Of these warrants, 32,183 have been vacated and 13,299 remained open at the end of the study period.

Figure 52:

Percent of Warrants Open and Vacated for Brooklyn



Data Source: Office of Court Administration.

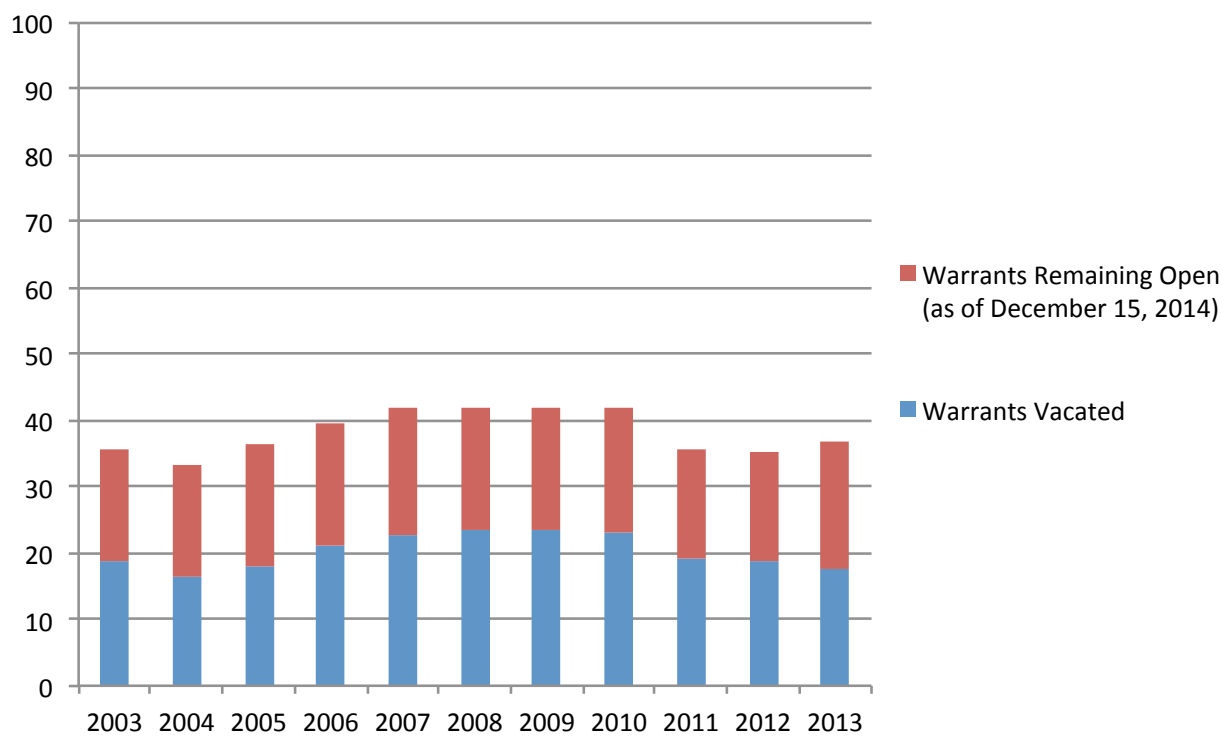
For Brooklyn, over the study time period, warrants were issued for between 28.8 and 36.9 percent of all summonses, but for half or more of these warrants—between 18.5 and 24.0 percent of all docketed summonses—were vacated. On average, 12.1 percent of issued warrants remained open per year.

In 2003, 35.4 percent of summonses resulted in a warrant and increased slightly to 36.1 percent of summonses by 2013. In 2003, 24.0 percent of all summonses were vacated while 11.5 percent of all summonses had an open warrant as of December 15, 2014. In 2013, 20.3 percent of all summonses had a vacated warrant and 15.9 percent of all summonses had an open warrant.

Put another way, in 2003, 44,969 warrants were issued. Of these warrants, 30,410 were subsequently vacated, while 14,559 remained open as of December 15, 2014. In 2013, 38,931 warrants were issued. Of these warrants, 21,853 have been vacated and 17,078 remained open.

Figure 53:

Percent of Warrants Open and Vacated for Manhattan



Data Source: Office of Court Administration.

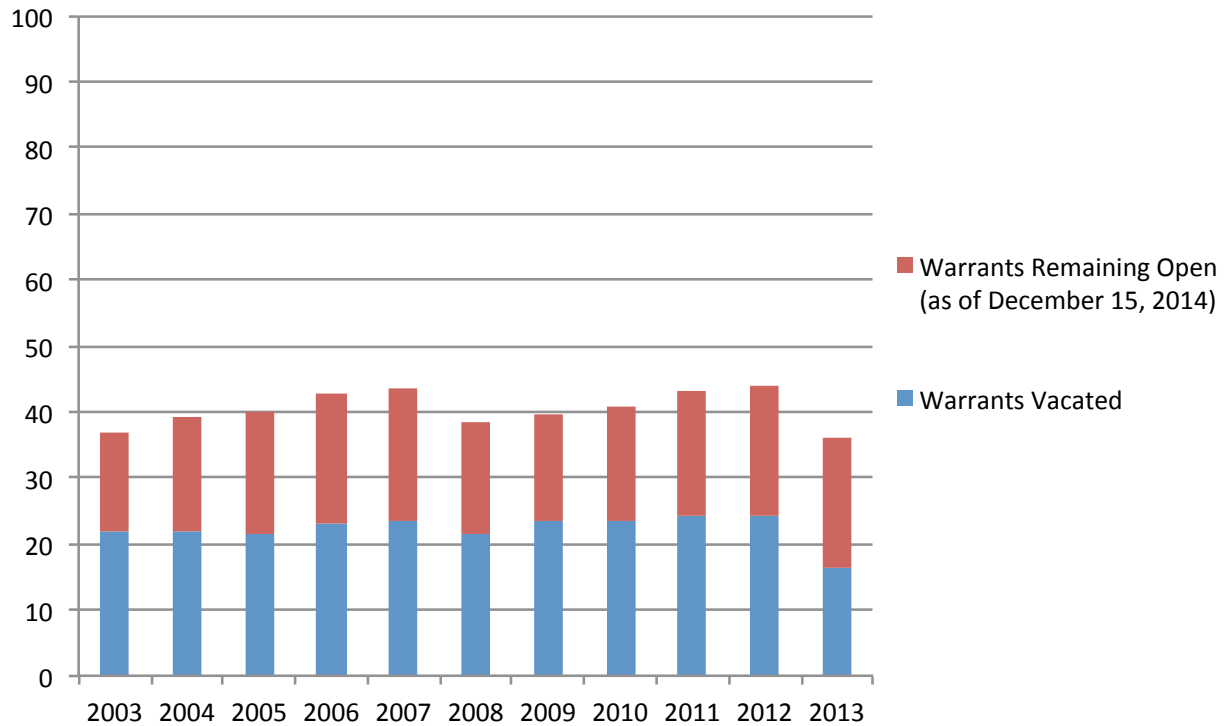
For Manhattan, warrants were issued for between 33.4 and 42.0 percent of summonses, and close to half or more—between 16.4 and 23.6 percent—were vacated. On average, 18.0 percent of issued warrants remained open per year. Warrants issued remained relatively stable in Manhattan during the study period going from 35.6 percent in 2003 to 37.0 percent in 2013. In 2003, 18.9 percent of all summonses had a vacated warrant and 16.7 percent had an open warrant. In 2013, 17.6 percent of all summonses had a vacated warrant while 19.4 percent had an open warrant.

In terms of numbers, in 2003, 38,441 warrants were issued. Of these warrants, 20,379 were subsequently vacated, while 18,062 remained open as of December 15, 2014. In 2013, 33,649 warrants were issued. Of these warrants, 16,012 have been vacated and 17,637 remained open.



Figure 54:

Percent of Warrants Open and Vacated for Queens



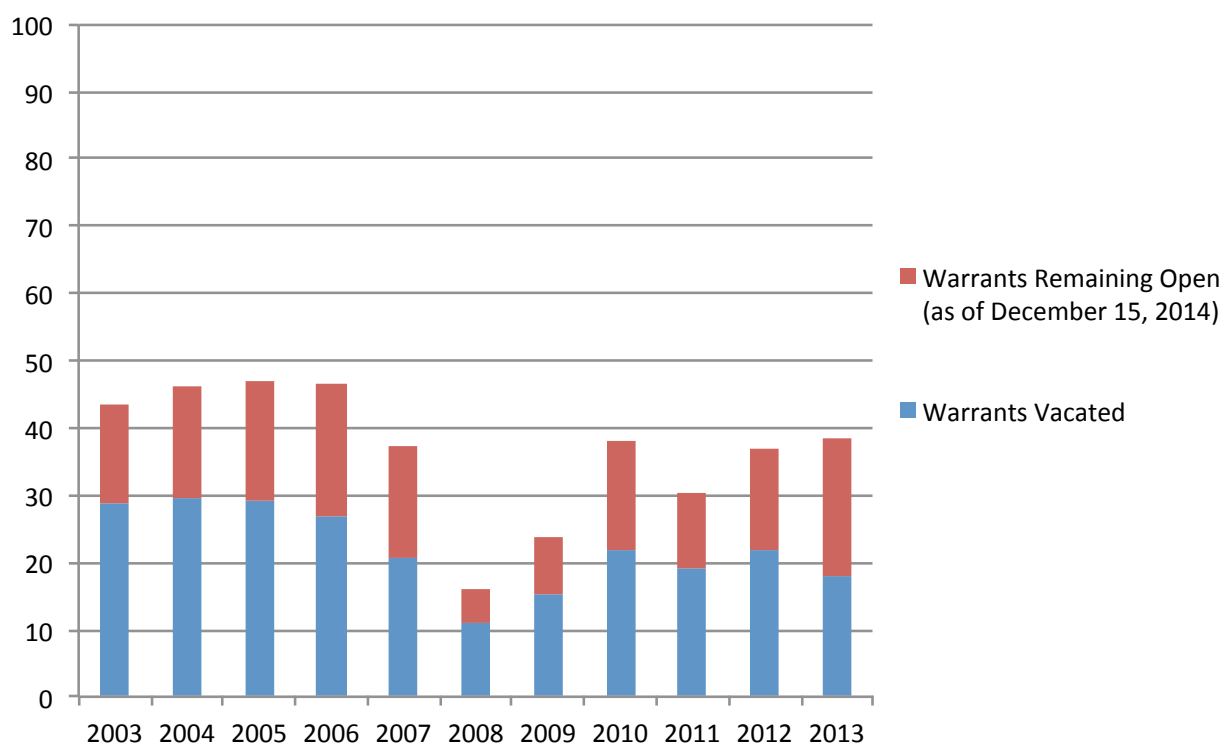
Data Source: Office of Court Administration.

For Queens, warrants were issued for between 36.2 and 43.8 percent of all summonses and between 16.3 and 24.4 percent were vacated. On average, 18.1 percent of issued warrants remained open per year. Similar to Manhattan, the percent of warrants issued for summonses stayed relatively constant from 37.0 percent in 2003 to 36.2 percent in 2013. In 2003, 21.9 percent of all summonses had a vacated warrant while 15.0 percent had an open warrant. In 2013, 16.3 percent of all summonses had a vacated warrant while 20.0 percent had an open warrant

In 2003, 37,076 warrants were issued. Of these warrants, 21,989 were subsequently vacated, while 15,087 remained open as of December 15, 2014. In 2013, 29,630 warrants were issued. Of these warrants, 13,331 have been vacated and 16,299 remained open.

Figure 55:

Percent of Warrants Open and Vacated for Staten Island



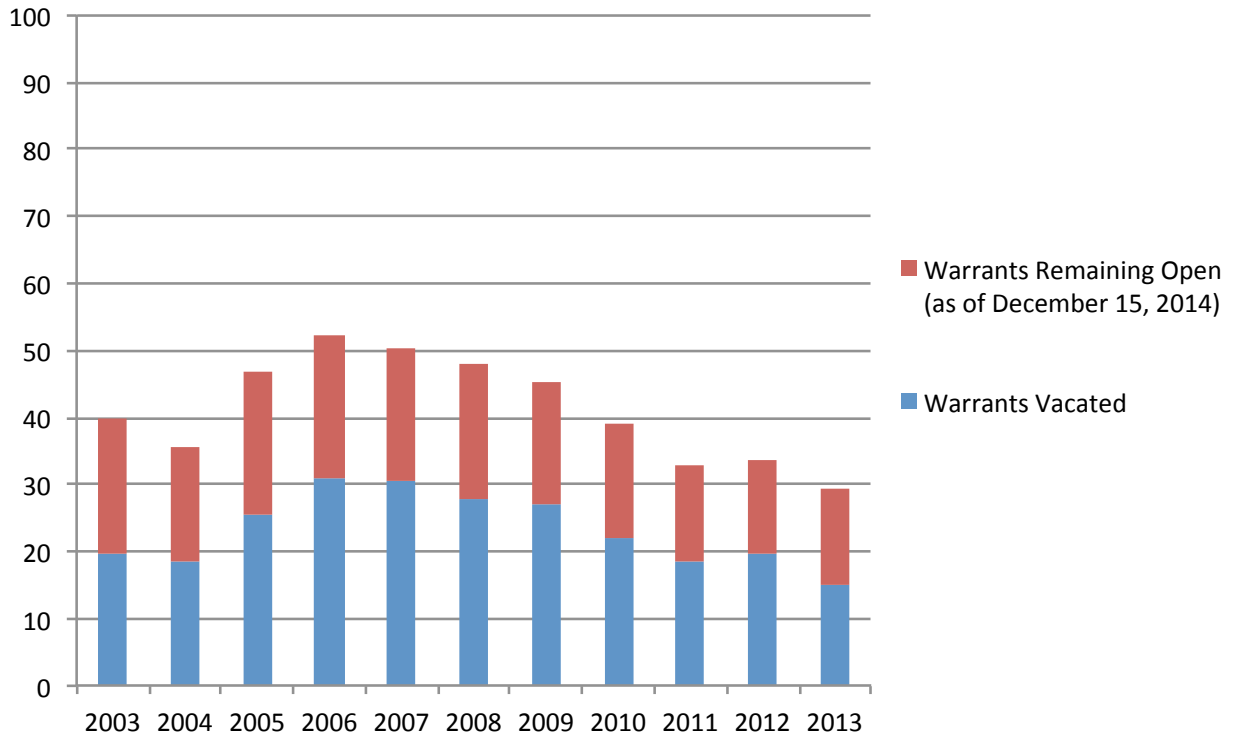
Data Source: Office of Court Administration.

Staten Island saw the largest fluctuations in warrant issuance over the study time period. In 2003, 43.3 percent of all summonses resulted in a warrant issued; this dipped to 15.9 percent of all summonses in 2008 and then increased to 38.6 percent in 2013. The percent of vacated warrants declined from 28.8 percent in 2003 to 18.0 percent in 2013. On average, 14.7 percent of issued warrants remained open each year.

In 2003, 6,953 warrants were issued. Of these warrants, 4,617 were subsequently vacated, while 2,336 remained open as of December 15, 2014. In 2013, 5,120 warrants were issued. Of these warrants, 2,384 have been vacated and 2,736 remained open.

Figure 56:

Percent of Warrants Open and Vacated for Midtown Community Court



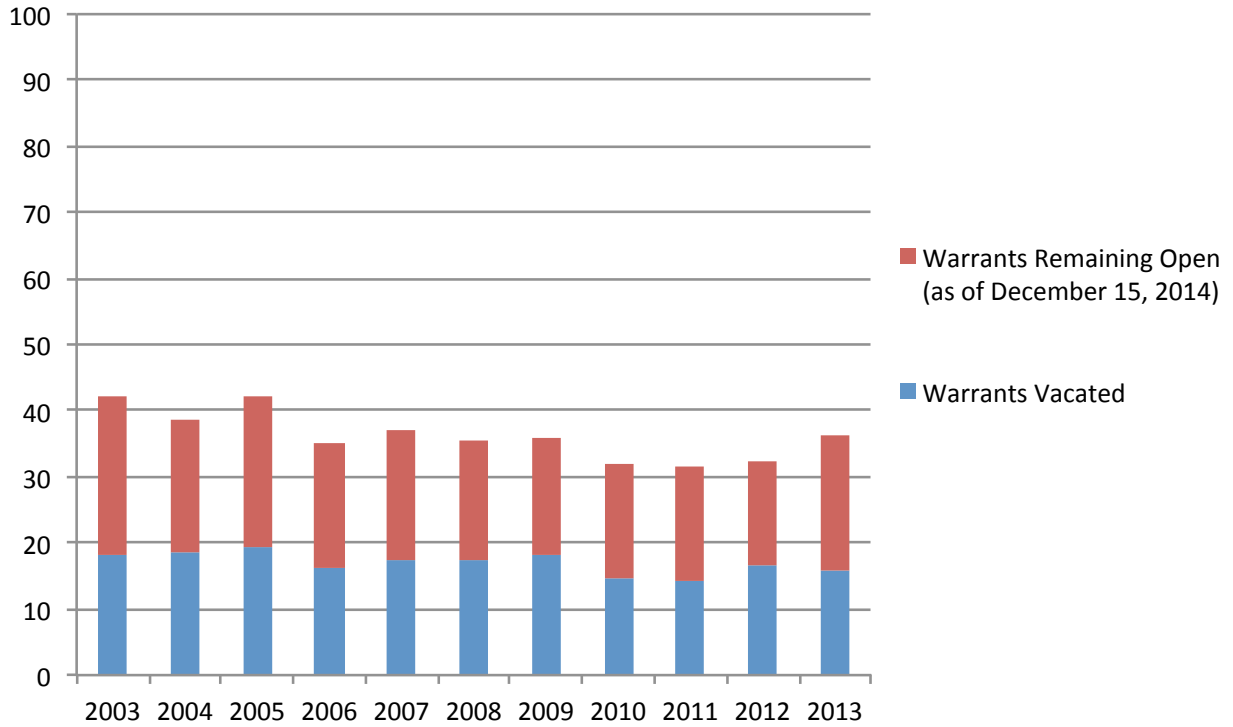
Data Source: Office of Court Administration.

For summonses processed by Midtown Community Court, there was a notable decline over the study period in the percent of summonses for which warrants were issued, starting at 39.7 percent in 2003, peaking to 52.1 percent in 2006 and declining to 29.4 percent in 2013. On average, 17.9 percent of issued warrants remained open per year, while an average of 23.2 percent were vacated.

In 2003, 5,865 warrants were issued. Of these warrants, 2,924 were subsequently vacated, while 2,941 remained open as of December 15, 2014. In 2013, 7,975 warrants were issued. Of these warrants, 4,051 have been vacated and 3,924 remained open.

Figure 57:

Percent of Warrants Open and Vacated for Red Hook Community Justice Center



Data Source: Office of Court Administration.

For summonses processed by Red Hook Community Justice Center, in 2003, 42.1 percent of warrants were issued in 2003; this decreased to 36.1 percent in 2013. Between 14.4 and 19.4 percent of these warrants were vacated. On average, 19.2 percent of issued warrants remained open per year.

In 2003, 5,827 warrants were issued. Of these warrants, 2,497 were subsequently vacated, while 3,330 remained open as of December 15, 2014. In 2013, 4,458 warrants were issued. Of these warrants, 1,949 have been vacated and 2,509 remained open.

## Sentences by Percent

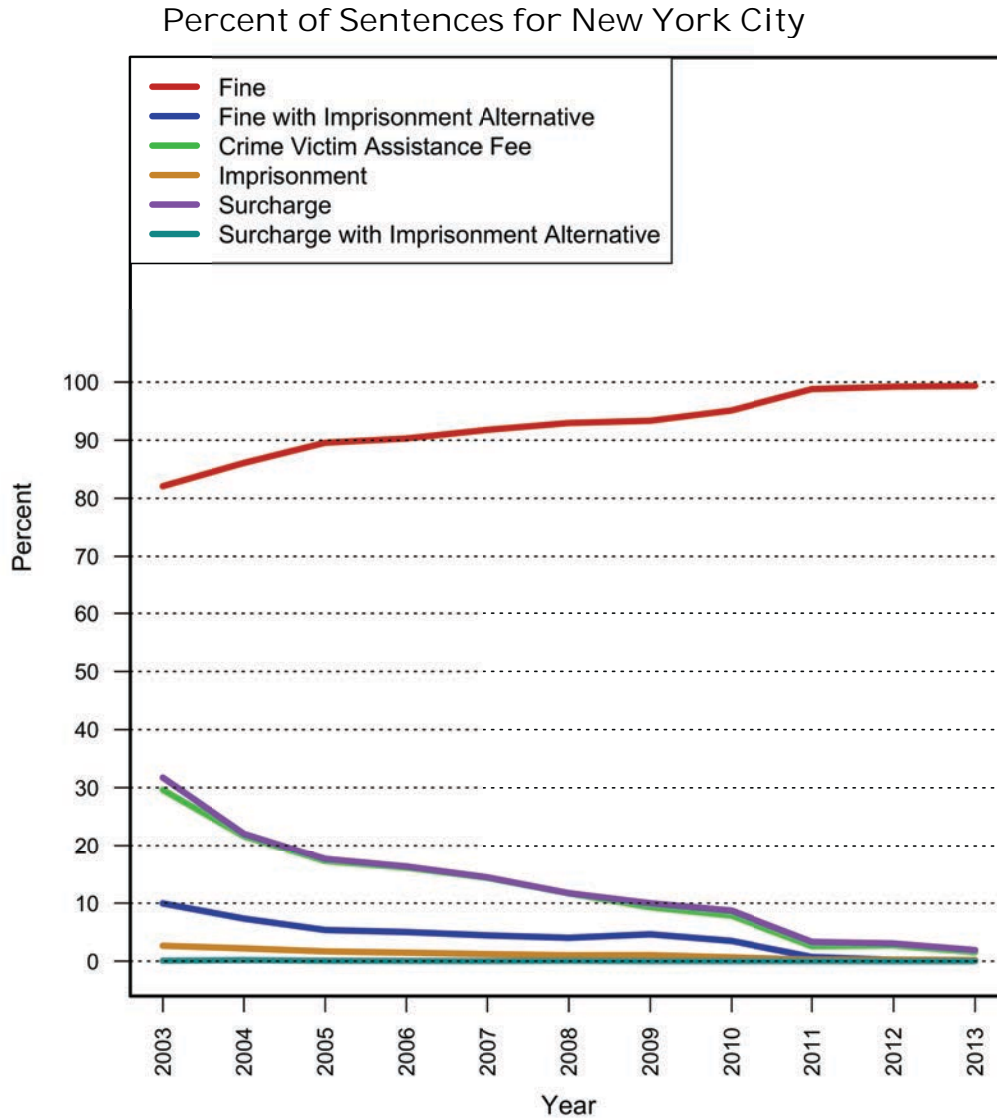
The following set of figures examines the sentences received for summonses disposed as guilty. Multiple sentences are possible for each guilty disposition and can include monetary and imprisonment charges such as a fine, a fine with an imprisonment alternative, a crime victim assistance fee, imprisonment, surcharge, and surcharge with imprisonment alternative.<sup>21</sup> Summonses disposed as guilty for certain violations (such as for Vehicle and Traffic Law [VTL] violations) will automatically be assessed a surcharge and a crime victim assistance fee. Other sentences include unconditional discharge, conditional discharge, and community service. Community courts also use educational groups as a sentence.

Below, we present the sentences in two separate graphs: those that incur monetary and imprisonment charges as well as other types of charges. We present the data as percentages of guilty dispositions. We only present the sentences for New York City as a whole and for the two community courts because of their use of educational groups. We do not present borough-level differences or go into detail with regard to actual monetary and imprisonment charges imposed as we hope to unpack the sentences in detail in another report.

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<sup>21</sup> Restitution is also a possible monetary sentence but we do not include it here because it is a rare sentence.

Figure 58a:



Data Source: Office of Court Administration.

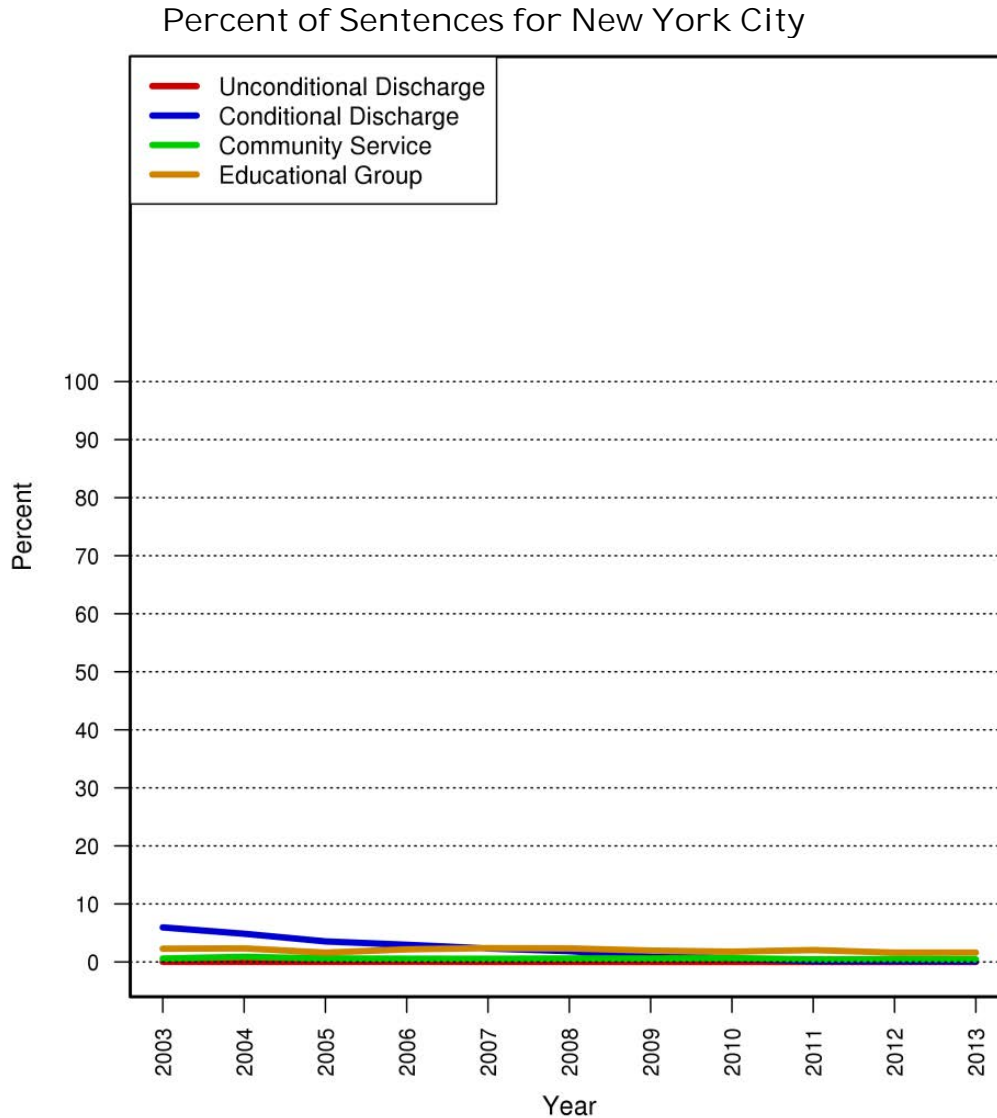
For New York City as a whole, the most frequent sentence for a summons disposed as guilty was a fine, and this trend increased over the study time period. In 2003, 82.0 percent of sentences resulted in a fine; by 2013, it was 99.4 percent. Along with the increase in fines, the use of other forms of sentences decreased. In 2003, 31.7 percent of guilty dispositions received a sentence of surcharge; 29.6 percent received a sentence of a crime victim assistance fee; 10.0 percent of guilty dispositions received a sentence of fine with an imprisonment alternative; and 2.7 percent received a sentence of imprisonment. By 2013, only 1.9 percent of guilty dispositions received a sentence of surcharge; 1.6 percent received a sentence of a crime victim assistance fee; 0.2 percent received a sentence of fine with an imprisonment alternative; and 0.2 percent were sentenced to imprisonment.

Put another way, in 2003, 84,814 summonses received a sentence of fine, 32,785 received a sentence of surcharge, 30,600 received a sentence of a crime victim assistance fee, 10,276 received a sentence of fine with an imprisonment alternative, and 2,747 received a sentence of imprisonment. In 2013, 111,559 received a sentence of fine, 2,144 received a sentence of surcharge, 1,736 received a sentence of a crime victim assistance fee, 193 received a sentence of fine with an imprisonment alternative, and 192 were sentenced to imprisonment.

Notably, in 2003, monetary charges imposed were in the amount of \$7,266,212, which fell to \$5,310,064 in 2013.

Trends in sentences by borough were similar. The vast majority of summonses disposed as guilty resulted in a sentence of fine, with this percentage increasing over the study time period. In the Bronx, the percent of guilty dispositions that received a sentence of fine grew from 76.7 percent in 2003 to 99.3 percent in 2013; in Brooklyn, this percent grew from 76.8 percent in 2003 to 99.6 percent in 2013; in Manhattan, this percent grew from 85.6 percent in 2003 to 99.7 percent in 2013; in Queens, this percent grew from 95.1 percent in 2003 to 99.9 percent in 2013; and in Staten Island, this percent grew most substantially, from 46.5 percent in 2003 to 93.1 percent in 2013.

Figure 58b:



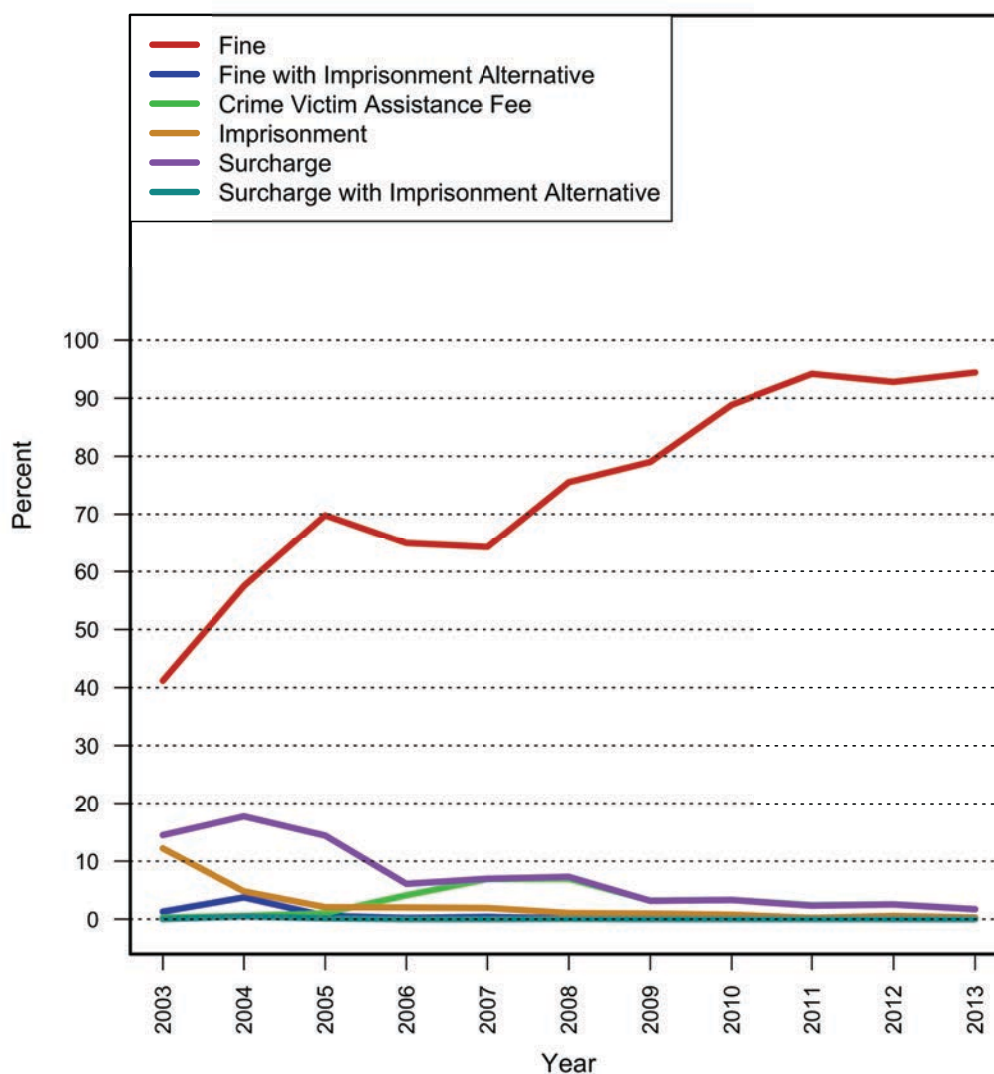
Data Source: Office of Court Administration.

Figure 58b shows that other types of sentences (i.e., not incurring monetary or imprisonment charges)—including conditional discharge, unconditional discharge, community service, and educational groups for New York City—as a whole declined in frequency over the study time period. In 2003, 6.0 percent of summonses received a sentence of conditional discharge, 2.3 percent received a sentence of educational group, 0.6 percent received a sentence of community service, and 0.0 percent of sentences resulted in a sentence of unconditional discharge. By 2013, 0.1 percent received a sentence of conditional discharge, 1.6 percent received a sentence of educational group, 0.4 percent received a sentence of community service, and 0.0 percent of sentences resulted in an unconditional discharge.



Figure 59a:

Percent of Sentences for Midtown Community Court

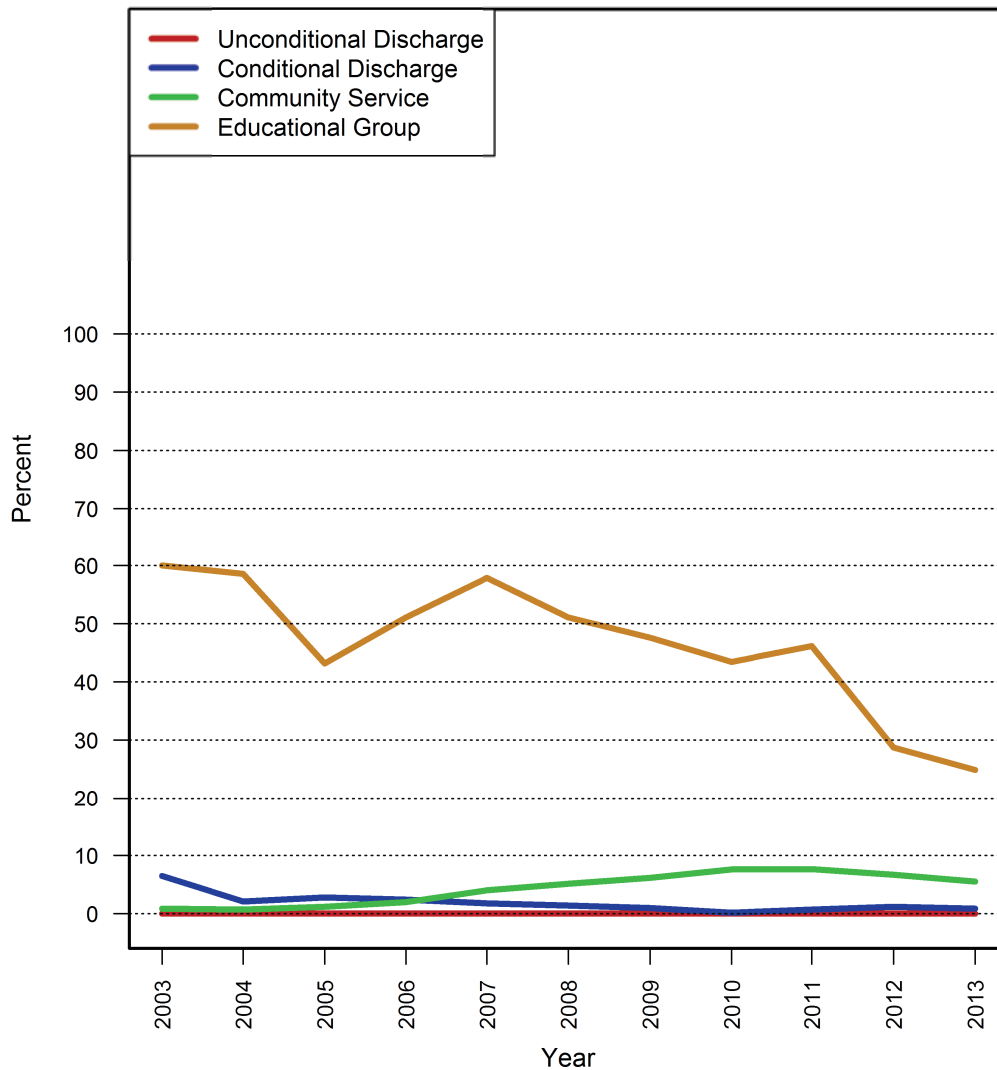


Data Source: Office of Court Administration.

Figure 59a shows trends in sentences with monetary and imprisonment charges for Midtown Community Court. Notably, the use of fines increased substantially over the study time period, growing from 287 (or 41.2 percent of sentences) in 2003 to 4,464 (or 94.4 percent) in 2013. Surcharge was the next most frequent sentence, declining from 101 (or 14.5 percent) in 2003 to 81 (or 1.7 percent) in 2013. Imprisonment also declined over the study period, decreasing from 85 (or 12.2 percent) in 2003 to 14 (or 0.3 percent) in 2013. The remaining sentence types were low—under 10.0 percent—throughout the study time period.

Figure 59b:

Percent of Sentences for Midtown Community Court

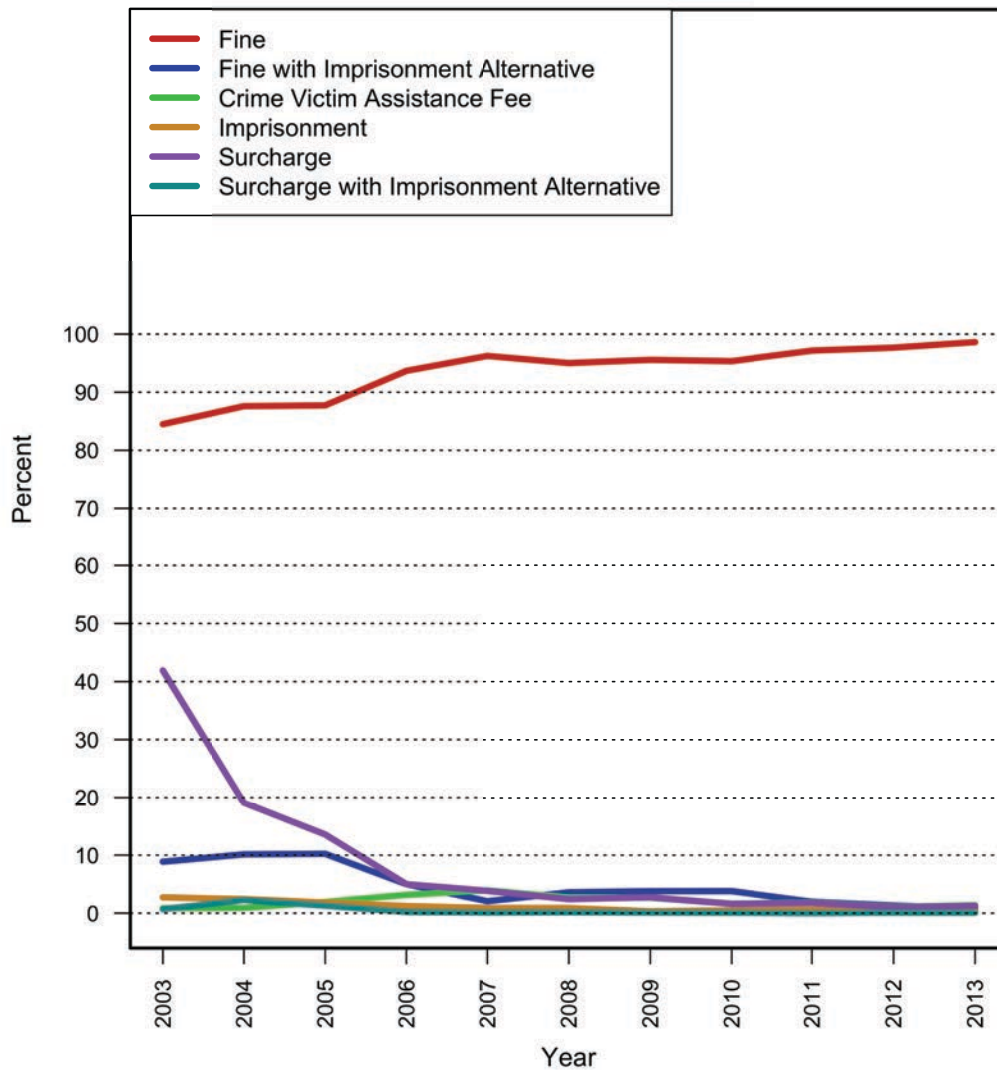


Data Source: Office of Court Administration.

For Midtown Community Court, the other sentences (i.e., not incurring monetary or imprisonment charges) were quite distinct compared to the city as whole. The use of educational groups was the next most frequent sentence type, declining from 3,257 (or 60.0 percent of sentences) in 2003 to 2,847 (or 24.9 percent) in 2013. Conditional discharge also declined, from 45 (or 6.5 percent) in 2003 to 40 (or 0.9 percent) in 2013. The sentence of community service increased during the study time period, growing from 47 (or 0.9 percent) in 2003 to 632 (or 5.5 percent) in 2013.

Figure 60a:

Percent of Sentences for Red Hook Community Justice Center

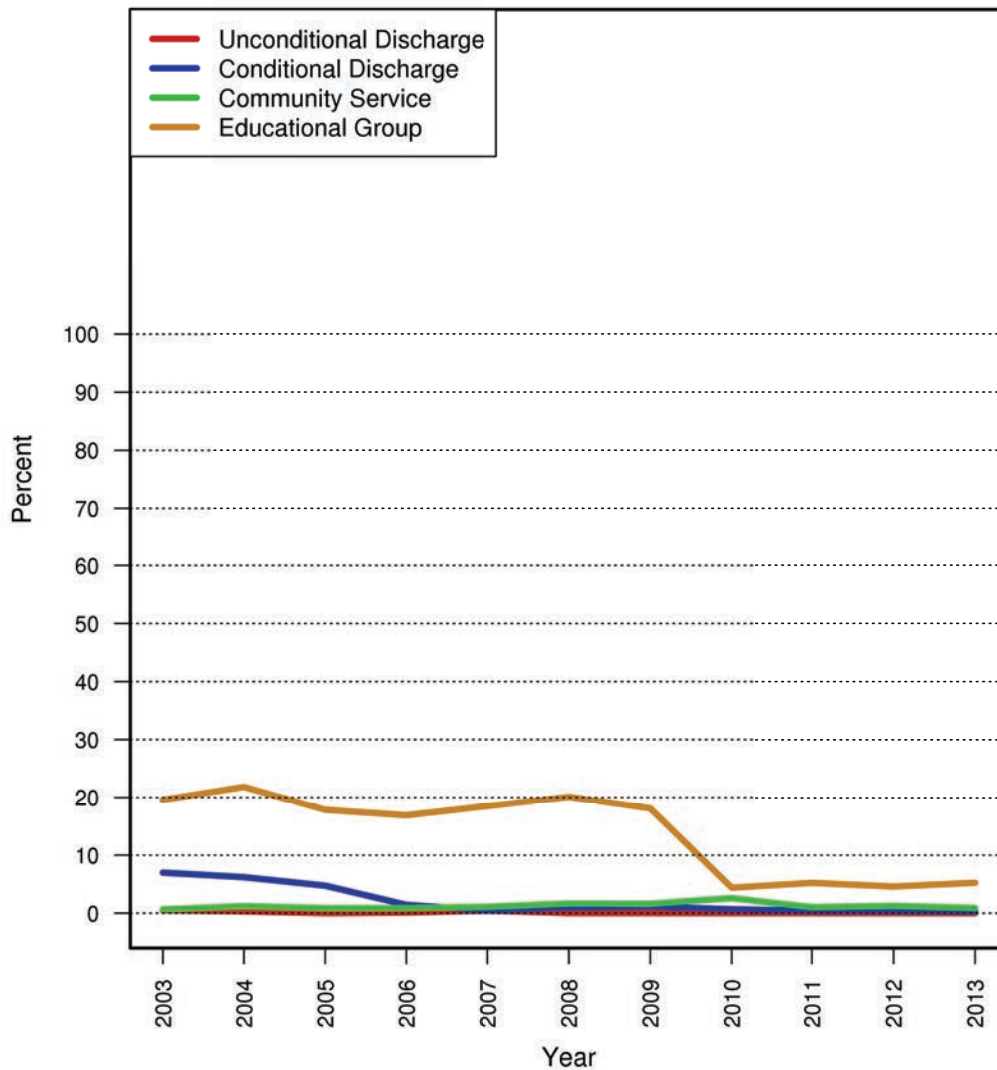


Data Source: Office of Court Administration.

Figure 60a shows trends in sentences with monetary and imprisonment charges for Red Hook Community Justice Center. Notably, the use of fines was high and increased over the study time period, growing from 496 (or 84.5 percent of sentences) in 2003 to 1,718 (or 98.6 percent) in 2013. Surcharge was the next most frequent sentence, declining sharply from 246 (or 41.9 percent) in 2003 to 22 (or 1.3 percent) in 2013. Fine with imprisonment alternative also declined over the study period, decreasing from 52 (or 8.9 percent) in 2003 to 15 (or 0.9 percent) in 2013. The remaining sentence types remained low—under 10.0 percent—throughout the study time period.

Figure 60b:

Percent of Sentences for Red Hook Community Justice Center



Data Source: Office of Court Administration.

For Red Hook Community Justice Center, other sentences (i.e., not incurring monetary or imprisonment charges) were similar to Midtown Community Court in that the use of educational groups declined substantially from 1,391 (or 19.6 percent of sentences) in 2003 to 244 (or 5.2 percent) in 2013. Conditional discharge also declined, from 41 (or 7.0 percent) in 2003 to 5 (or 0.3 percent) in 2013. The sentence of community service increased slightly in percent but not number during the study time period, from 46 (or 0.7 percent) in 2003 to 41 (or 0.9 percent) in 2013.

## CONCLUSION

This report has focused on the phenomenon of summonses issued for “non-fingerprintable” misdemeanors and other low-level violations of the law in New York City. Summonses, which in other jurisdictions may be referred to as citations or tickets, represent an aspect of low-level enforcement that to date has been under-examined both in policy discussions and in the scholarly literature. Yet as we have shown here, summonses comprise the most frequent form of contact the public has with law enforcement.

In our concluding thoughts, we focus in on five “take home” messages about the world of summonses in New York City:

1. The residents of New York City have experienced an overall decline in both the numbers and rates of issuance of summonses from 2003 to 2013. This decline has been driven primarily by lower issuance rates among young New Yorkers—those ages 16–20 years old—and mainly lower numbers of summonses issued for the charge of disorderly conduct.
2. A substantial proportion of summonses—roughly two in five—resulted in a dismissal or an adjournment in contemplation of dismissal. An additional one in four summonses did not require a court appearance because of defectiveness or legal insufficiency. Only one out of five summonses resulted in a guilty disposition.
3. For just over a third of summonses, 36 percent, the recipient fails to appear in court resulting in the issuance of a warrant. The majority of these warrants, however, were subsequently vacated and as of December 15, 2014, 14 percent of all summonses issued between 2003 and 2013 had an open warrant remaining.
4. The top five charges for which summonses were issued are public consumption of alcohol, disorderly conduct, public urination, park offenses, and riding a bicycle on sidewalk. Public consumption of alcohol and public urination resulted in higher guilty pleas. Notably, summonses for these charges can be plead by mail, which means the individual pleads guilty and pays a fine by mail. Summonses issued for riding a bicycle on sidewalk were most often determined to be legally insufficient or dismissed.
5. There is substantial borough-level variation throughout the summons process in patterns of issuance, charges, and dispositions.

The analyses presented here provide rich information regarding the issuance and dispositions of summonses in New York City. It is important to note, however that these analyses have limitations. First, we were unable to compare New York City summons numbers and rates to those of other cities and non-urban areas of New York State. Second, we were also unable to disaggregate these data by race/ethnicity because this information has not been consistently captured on the forms completed at the time

summonses are issued. Lastly, we were unable to examine data previous to this most recent decade. Undoubtedly, were the data available, these longer-term trends would be informative. In spite of these limitations, we believe that this report offers an important first step in understanding patterns in the issuance and court processing of summonses. Further, we hope that the analyses presented here will provide a baseline to track changes in trends given recent reforms.

Our findings point to the need for policy discussions about not only the efficacy and efficiency of summonses as a response to low-level offenses but also the extent of the potential legal exposure for recipients of summonses. The processing of each summons demands substantial resources from a system that is already overburdened and under-resourced. At the individual level, the cost of receiving a summons can include time spent attending a court hearing; the payment of multiple fines, fees, and surcharges; and the issuance of a warrant if the summons recipient misses the court hearing or does not pay the required fines. Considered together, these systemic and individual costs underscore the need to reexamine the role of government in responding to very low-level violations of the law. Summonses are only one option in our response to these violations, and other potentially more effective responses should be explored.

This report is the second issued under the auspices of the Misdemeanor Justice Project at John Jay College of Criminal Justice. We hope that this report on summonses, and our first report on misdemeanor arrests, will contribute empirical depth to conversations already taking place on the role that arrests and summonses for low level offenses play in law enforcement and order maintenance in New York City. We also recognize that these issues are very much at the center of national discussions about the role of the police, particularly in communities of color. We are grateful that our work has already generated interest among researchers and policy experts in other cities across the country. We are optimistic that our analyses will be replicated elsewhere, adding new dimensions to our understanding of these phenomena in New York.

Over the coming months, with additional funding from the Laura and John Arnold Foundation, we will extend our research portfolio to include in-depth examinations of pretrial detention for misdemeanor arrests, the role of citizen-generated calls for service in those arrests, the decision to grant desk appearance tickets, and the dynamics of offender mobility across New York City. As the next step in the evolution of the Misdemeanor Justice Project, we plan to convene a national conference at John Jay College in Fall 2015 to provide a platform for scholars, practitioners, and policy makers to engage in discussions about the connection between law enforcement responses to low level offenses and the larger goals of promoting community safety, enhancing the legitimacy of the justice system, and ensuring equal treatment under the law.

We look forward to working with our colleagues as these issues are further examined and discussed.

## APPENDIX A: MOST FREQUENT CHARGE CODES, 2003–2013

Violation Code	Number of Summonses Issued	Percent of Summonses
Alcoholic Beverage Control (ABC)	102,506	1.8
Administrative Code (AC)	2,781,593	49.6
Arts and Cultural Affairs (ACA)	11,282	0.2
Environmental (ECL)	14,013	0.2
General Business (GB)	18,150	0.3
Health Code (HC)	332,854	5.9
Long Island Railroad (LIR)	6,766	0.1
Metropolitan Transit Authority (MTA)	1,791	.03
Multiple Dwelling (MD)	2,161	.03
Penal Law (PL)	1,349,419	24.0
Parks and Recreation (PRR)	386,933	6.9
Tax (TAX)	46,134	0.8
Transportation Law (TL)	60,875	1.1
Transit (TR)	62,424	1.1
Vehicle and Traffic Law (VTL)	386,090	6.9
Total	5,562,991	98.9

APPENDIX B: AGENCIES AUTHORIZED TO ISSUE  
SUMMONSES IN NEW YORK STATE

Amtrak Police Department
American Society for the Prevention of Cruelty to Animals (ASPCA) – Police
Board of Education
Board of Elections
Big Six Towers Public Safety
Co-op City Public Safety
Columbia Presbyterian Medical Center
City University of New York (CUNY) Public Safety
Department of Agriculture and Markets
Department of Buildings
Department of Environment Conservation
Division of Fire Prevention
Department of Labor
Department of Social Services
Delano Village Public Safety
Franklin Plaza Apartments Security
Hunt's Point Industrial Park Public Safety
Human Resources Administration
Lefrak City Security
MTA Police Department
NYC Department of Environment Protection
NYC Department of Business Services
NYC Department of Health
NYC Department of Transportation
NYC Health and Hospitals Corporation
NYC Sheriff's Office
NYC Taxi and Limousine Commission
New York Fire Department (NYFD)
New York Police Department (NYPD)
NYS Court Officers
NYS Parks Police
NYS Office of Mental Health
OTB Security
Port Authority Police Department
Parkchester North Public Safety
Parkchester South Public Safety
Roosevelt Island Public Safety
NYC Department of Sanitation
Starrett City Public Safety
Sea Gate Association
NYS Tax Enforcement
Triboro Bridge & Tunnel Authority
U.S. Park Police
Waterfront Commission