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PROCESSING COMPLAINTS AGAINST POLICE:
THE CIVILIAN COMPLAINT REVIEW BOARD

APPENDICES

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Appendix A

Variables Used in the Quantitative Analysis

The 1984 CCRB data tape provided the basic information from which we constructed variables to be used in the quantitative analysis. We received this information about filed complaints from the CCRB management information system, which was not developed for purposes of research. Therefore, the data on that tape needed to be shaped to be used for analysis.

When CCRB staff entered data in 1984, there was no systematic "cleaning" of entered data. Thus, many variables included values that did not correspond to valid codes. For other variables, there was a great deal of unexplained missing data and no way to determine whether the information had not been collected or had not been entered. In some instances, information collected about a particular complaint was internally inconsistent with other information about that complaint. In order to use the 1984 CCRB data tape analytically we needed to exclude all invalid codes, accept the fact that there was often a large amount of missing information for individual variables, and exclude data that was internally inconsistent with other data about particular complaints.

The first issue concerned the amount of missing data. While several variables in the 1984 data set were descriptively useful,

for some variables, there was too much missing data for them to be useful descriptively. For descriptive purposes, the data set provided sufficient information on the victim's gender and ethnicity; the number of victims involved in the alleged incident; the number of prior CCRB complaints filed by the victim-complainant; the gender, ethnicity and years of service of the subject officer; the number of subject officers involved in the alleged incident; the type of situation in which complaints arose; the type of injury reported at intake, if any; and the type of arrest associated with the complaint, if any. There was too much missing information concerning the victim's age and the number of prior complaints against subject officers to permit reporting the distributions of these variables.

There was also too much missing information on the characteristics of complainants who were not themselves the victims of complaints to describe their characteristics. The data tape did not provide a separate variable designating whether complaints had been filed by victims or by someone else. If there had been a non-victim complainant, then information about that complainant was included on the data file. If no complainant information was included, the presumption was that the victim had personally filed the complaint. This presumption was not necessarily correct. Therefore, the 1984 system did not permit an accurate count of the number of complaints filed by victims and the number of complaints filed by others.

The distinction between victims and complainants becomes important when we consider factors that might influence dispositional outcomes at the CCRB. Our analysis of the dispositional process suggests that the complainant plays an active role in determining the outcome of his/her complaint. If the complainant can not be reached or will not cooperate, the complaint will be closed without an investigation. In complaints that are deemed appropriate for a conciliation offer, the complaint will be conciliated only if the complainant agrees to conciliation. Because of the importance of the complainant role in the early stages of the CCRB's dispositional process, the complainant's characteristics might be expected to be related to the dispositional stage reached.

Unfortunately, the data tape provided very little information on the characteristics of complainants who were not themselves the victims of the alleged incident. There was, however, enough data to determine that in the large majority of cases (84%) complaints were lodged by victims themselves.¹

Therefore, in our analysis of factors that influenced dispositional outcomes, we examined relationships between victim ethnicity and complaint disposition. We did not use complainant ethnicity as an analytic variable, because there were relatively

¹ Information on the ethnicity of non-victim complainants was missing in many cases in which there appears to have been a non-victim complainant.

Analysis showed that in some complaints there was an apparent discrepancy between the type of allegation classified and the type of allegation disposed. In some cases in which the type of force was coded, for example, there was a record that another type of allegation was disposed (abuse or discourtesy) but no classification of the type of abuse or discourtesy alleged. In such cases, there was no way to determine which type of allegation was actually contained within the complaint, without consulting the original files.

Because our analysis was primarily concerned with factors that influenced dispositional outcomes, we chose to use disposed allegations as an indicator of the kinds of allegations contained within a complaint, rather than the classified allegation type. Using this method, if a force allegation had been disposed, we determined that force had been alleged.

We also wanted to describe the type of force and abuse alleged in specific complaints and to analyze how allegations of different types (a "push" allegation, a gun allegation) were disposed. This variable was not readily available on the 1984 data tape. In that data set, there was one variable describing the most serious type of force, abuse or discourtesy alleged at intake and another variable reclassifying the most serious type of force, abuse or discourtesy, based on the investigator's review of the complaint. Although most allegations received an intake classification, many allegations were not specifically classified

plaints, we classified complaints according to the most serious allegation within the complaint, based on FADE categories. If there was a disposed force allegation within the complaint, the complaint was defined as a force complaint, no matter what other types of allegation were contained therein. If there was no disposed force allegation, but there was a disposed abuse allegation, the complaint was defined as an abuse complaint. If there was neither a disposed force nor a disposed abuse allegation within the complaint, but either a discourtesy or an ethnic slur allegation (or both) had been disposed, the complaint was defined as a discourtesy-ethnic slur complaint. (These last two categories were collapsed because there were so few ethnic slur allegations in the 1984 data set.)

For purposes of analysis, we also needed to create a dispositional variable that would characterize the disposition of the complaint as a whole, rather than the disposition of individual allegations within a complaint. To do this, we defined the disposition of the complaint in terms of the disposition of the most serious allegation within the complaint. Therefore, when there was a force disposition, this became the overall complaint disposition; the same logic held for abuse dispositions, with no associated force, and for discourtesy only.

We also created a variable which defined the disposition of a complaint in terms of the most definitive disposition of any allegation within the complaint. Using this method, if any al-

plaints, we classified complaints according to the most serious allegation within the complaint, based on FADE categories. If there was a disposed force allegation within the complaint, the complaint was defined as a force complaint, no matter what other types of allegation were contained therein. If there was no disposed force allegation, but there was a disposed abuse allegation, the complaint was defined as an abuse complaint. If there was neither a disposed force nor a disposed abuse allegation within the complaint, but either a discourtesy or an ethnic slur allegation (or both) had been disposed, the complaint was defined as a discourtesy-ethnic slur complaint. (These last two categories were collapsed because there were so few ethnic slur allegations in the 1984 data set.)

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We also created a variable which defined the disposition of a complaint in terms of the most definitive disposition of any allegation within the complaint. Using this method, if any al-

legation within a complaint were substantiated, the disposition of the complaint as a whole was defined as substantiated; if no allegation had been substantiated, but an allegation had been disposed as unfounded, the disposition of the complaint as a whole was defined as unfounded. This variable continued to define the disposition of complaints in this manner based on the following order of relative "definitiveness": substantiated, unfounded, exonerated, unsubstantiated, conciliated, and "dropped out".

As discussed in Chapter IV, we compared the two methods of defining the disposition of complaints reviewed above. Overall, there was relatively little difference between the two in the distribution of complaint-based dispositional outcomes. Because, there was little difference between the two variables, we defined complaint disposition in terms of the disposition of the most serious allegation within the complaint, in keeping with the definition of complaints in terms of the most serious allegation within the complaint. Therefore, if a force complaint is said to have been substantiated, it means that the force allegation was substantiated, although other allegations within the complaint may have been otherwise disposed.

Although the definition of complaint disposition in terms of the disposition of the most serious allegation within a complaint was the central dispositional variable used in analysis, we also conducted analyses using the alternative definition of complaint

disposition (the most definitive disposition of any allegation), as well as analyses based on the dispositions of all separate allegations. Where relevant, these alternative analyses are discussed in text or reported in appendices. Generally, the various forms of defining dispositional outcomes discussed above made little difference in the findings of analyses of the factors that influenced dispositional outcomes.

Appendix B
Selection of the Qualitative Sample

Selecting a sample of CCRB cases for qualitative review was complicated by our developing interest in the types of situations and police-citizen encounters that led to complaints, as well as the various complaint categories (FADE) and the different stages of the dispositional process that complaints can reach. Our quantitative review indicated that nearly 75 percent of all cases began in traffic, crime report, dispute or patrol situations, with traffic cases constituting the single largest situational category. In another 11 percent of CCRB complaints, there was no information of the type of encounter and in most cases little information coded about the type of complaint. No other single type of police-citizen encounter generated more than four percent of CCRB complaints.

The quantitative review made us particularly interested in understanding the nature of complaints developing in traffic situations. Were many of these cases the result of citizens disputing traffic summonses they felt should not have been issued? Was officer discourtesy a major factor in the generation of traffic complaints or was the response to irate, argumentative citizens a more important factor? Did officers assigned to traffic enforcement frequently have repeat complaints within short periods of time? Our qualitative sampling strategy needed to include enough traffic complaints to permit description of the underlying incidents in traffic complaint situations.

We decided that we could ensure having enough traffic cases to permit such description by limiting our sampling base to the four predominant types of complaint situation (traffic, crime report, dispute and patrol). We could then construct a qualitative sample from this base by sampling dispositional categories strategically by type of complaint (FADE). Generally, our strategy entailed a more intensive focus on serious cases (force) that were fully investigated. We chose to oversample fully investigated cases and, within that category, focus particularly on allegations of force. Conciliation cases and cases that "dropped out" of the CCRB for various reasons were undersampled -- in part, because so many complaints were so disposed and, in part, because complaints that were so disposed were expected to be less serious than complaints that were investigated fully.

Our proposed sampling strategy for the qualitative sample is outlined below:

Cases Not Investigated

Complaints that "drop out": Many CCRB cases are neither investigated nor conciliated because complainants (both victims and witnesses) withdraw their complaints officially; are unavailable (have supplied inaccurate contact information or cannot be reached); or become uncooperative. Other cases do not proceed further because the subject officer or officers cannot be identified. Qualitative review of complaints that disappeared or dropped out can tell us about the substance of such cases and

about the extent of efforts to contact and/or identify parties necessary to carry the case further. Because these files are relatively small, it was possible to explore a substantial number of such cases rapidly. Qualitative review of such cases could depict the various ways in which cases drop out or disappear during the CCRB process. Therefore, we decided to sample 40 complaints that dropped out: 10 withdrawn, 10 unavailable, 10 uncooperative and 10 with unidentified officers. These cases were to be drawn equally from the force, abuse and discourtesy/ethnic slur categories.¹

Conciliated Complaints: The CCRB's Conciliation Unit targets cases for conciliation when they believe that a case will end up unsubstantiated if investigated and that the complaint is relatively minor. Although that unit was not in operation during the sample period (1984), the same considerations appear to have determined which complaints were conciliated at that time. Conciliated cases presented a good opportunity to explore discourtesy complaints. These cases were of particular interest because several CCRB staff members expressed the opinion that they did not belong in the CCRB caseload; they argued that these cases were relatively trivial and diverted attention and resources from more serious cases, that they saw as the proper focus of the agency. It was proposed that the qualitative sample would in-

¹Because there were so few complaints of ethnic slur, for sampling purposes we combined discourtesy and ethnic slur complaints.

clude 20 conciliated cases: 10 discourtesy complaints, 5 force complaints, and 5 abuse complaints.

INVESTIGATED CASES: Complaints that are fully investigated offer a good opportunity to explore how relatively serious cases (force) are handled in the investigative process. This is equally true whether complaints are unsubstantiated, unfounded, exonerated or substantiated. For each of these dispositions, it was proposed that force complaints would constitute half of the sample cases (the proportion of abuse complaints and discourtesy/ethnic slur complaints would vary somewhat by disposition).

Unsubstantiated Complaints: There was particular interest in exploring the unsubstantiated category to determine whether procedural changes might result in a higher proportion of such cases reaching a more definitive disposition. Therefore, we proposed including a relatively large number of unsubstantiated cases. The sample included 30 unsubstantiated cases -- 15 force, 8 abuse and 7 discourtesy/ethnic slur.

Unfounded and Exonerated Complaints: Complaints that are decided in favor of the subject officer are of two types -- those in which the event is found not to have happened and those in which it is agreed that the event happened, but found that the officer's behavior was justified and proper. We proposed including 10 unfounded complaints and ten exonerated complaints, for a total of 20 cases decided in the officer's favor. Half were to

be force complaints, a quarter abuse and a quarter discourtesy/ethnic slur. We discovered however, that there were in fact no exonerated discourtesy complaints among the group of cases to be sampled. Therefore, we increased the number of exonerated abuse complaints reviewed to compensate for the lack of exonerated discourtesy complaints.

Substantiated Complaints: Although substantiated complaints represent a small proportion of CCRB cases, these cases alone demonstrate the board's ability to sanction subject officers. We proposed sampling 30 substantiated cases -- 15 force, 10 abuse and 5 discourtesy/ethnic slur. In fact, there were only 9 substantiated abuse complaints and only 5 substantiated discourtesy complaints identified in the pool of cases from which our sample was drawn. We reviewed all of them.

In all, we reviewed over 150 cases -- somewhat more than we had originally envisioned. We used a computer-generated list to pull a group of cases that was approximately twice the size of our expected sample. This was to permit us to use substitute cases if any individual case had been incorrectly classified or proved to be inaccessible. In some categories (unfounded, no police officer identified) we reviewed one or two additional cases in which complaints on our lists had been found and pulled.

The distribution of cases in the qualitative sample was not designed to match the distribution of cases that enter NWP. In

all, we examined 62 force complaints, 55 abuse complaints and 39 discourtesy/ethnic slur complaints. This provided a sufficient number of cases in each group to permit description of the nature of complaints entering CCRB.

Appendix C

OFFICER ASSIGNMENTS AND CHARACTERISTICS ASSOCIATED WITH CIVILIAN COMPLAINTS

Civilian complaints are generated in part by the kind of activity that an officer is engaged in -- whether he or she is working out of a Precinct, a Task Force, a Detective area, a Neighborhood Stabilization Unit or in the Traffic and Highway Division.

Civilian complaints also depend on certain characteristics of the officer, such as experience and gender. This section presents the results of examining these relationships -- between civilian complaints and the officers work assignment, length of time on the job, and gender.

First the results on assignment: officers working in the Traffic and Highway Division have the highest rate of receiving complaints. The next highest rate is found among officers working out of Precincts. Detectives and police officers working in Detective Areas have the lowest rate of all that we examined. Officers working in Neighborhood Stabilization Units or on Task Forces fall in between.

Within these different assignments, experience plays a part. The longer an officer has been on the job, the less likely it is he or she will receive a complaint. But the relationship must be qualified depending on assignment and is not evident during the first five years on the job.

Finally gender makes a sizeable difference. Working in the same assignments, and with the same experience, female officers are less likely to receive complaints than male officers. This finding is consistent, but applies only to those assignments where valid comparisons can be made; that is, where there is a sufficient number of women with the same experience as men, working in the same assignment.

ASSIGNMENTS

To begin, we present the complaint rates for officers in five different assignments: Precincts, Detective Areas, Neighborhood Stabilization Units, Task Forces, and the Traffic or Highway Division. Where applicable, we show the rates for police officers and detectives separately. Figure III-1 shows the rate of complaints per hundred officers in each of these assignments for the year 1984. (The rate is based on the number of complaint incidents-- not specific allegations.)

complaints -- almost 30%. The public simply does not like to receive traffic summons, and under certain conditions, with certain officers and members of the public, civilian complaints are generated.

Although almost 30% of all complaints originate with a traffic encounter, it would be a mistake to conclude that the Traffic and Highway Division are responsible for most of them. Officers working in Precincts generate more complaints arising from traffic encounters because there are more officers working out of Precincts than in the Traffic or the Highway Division. (In 1984 there were over 10,000 officers in Precincts, whereas there were only 500 officers working in the Traffic and Highway Division.)

Officers working out of Precincts have the second highest rate, which reflects the fact that they have the most contact with the public. In contrast, police officers working on Task Forces and detectives working in Neighborhood Stabilization Units have half the rate of police officers working in Precincts. Once again these differences follow from the amount of contact with the public that these different assignments require.

Detectives and police officers working in Detective Units have the lowest rates. Their contact with the public is very selective compared to officers on other assignments. Unless a detective is apprehending a suspect, he is usually trying to obtain information which requires the cooperation and good will of the public. The detective's manner cannot be aggressive or authoritarian, if he is to receive cooperation. Rather, he is apt to be friendly and solicitous and thereby reduces the probability of complaints.

These complaint rates for different assignments might be used by commanders as a rule of thumb for judging whether an officer is above or below average in generating complaints. The rates in Figure III-1 are "per hundred officers." To get the average for one officer, simply move the decimal two points to the left. Thus, on the average, an officer working in the Traffic or Highway Division would receive .6 of a complaint per year, or in five years would average three complaints. An officer working in a Precinct would average two complaints in five years, but this would depend on how active a precinct the officer is assigned to. The average number of complaints over a five year period for each of the assignments is as

follows:

| | Average Number of Complaints In FIVE Years |
|----------------------------|--|
| Traffic & Highway Division | 3 |
| Precincts | 2 |
| Task Force | 1 |
| N.S.U. (Detectives only) | 1 |
| Detective Units | 0.25 |

A special note should be made of complaints in the Neighborhood Stabilization Units. In this assignment new officers receive their first actual contact with the public while under the supervision of detectives who have considerable experience on the job. It is from these detectives that new officers first learn how to deal with the public. It is important therefore who their role models are. Given these average rates for the N.S.U.'s, it would not be difficult for the superior officers to spot detectives who exceed these averages. Such officers apparently are not able to contain situations but let them get out of control thereby generating complaints. There are always extenuating circumstances in every complaint, but if a detective assigned to an NSU is receiving two or three complaints a year, even if the complaint is not substantiated, he may not be setting a good example for the new officers.

EXPERIENCE

Since assignments generate sizeable differences in complaint rates, the different assignments must be considered when looking at the relationship between experience and complaints. The first place where we examine experience is among officers working in precincts. Figure III-2 shows the rate of complaints for police officers working in precincts according to the number of years on the job.

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Figure III-2

Complaint Rate for Police Officers
Working in Precincts in 1984 According
to Length of Time on The Job.

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| <u>Experience</u> | <u>Complaint Rate per_Hundred_Officers</u> |
|---------------------------|--|
| 1 - 5 Years *****+ | 43.0 (5870) |
| 6 - 10 *****+ | 37.4 (428) |
| 11 - 15 ***** | 30.5 (1645) |
| 16 - 20 ***** | 17.0 (1591) |
| 21 years or more ***** | 12.2 (540) |

.....

Within precincts, the length of time on the job is related to civilian complaints: the less experience, the higher the rate of civilian complaints. On the average over the twenty year span, the complaint rate goes down 1.5 per hundred officers for each year of experience. One word of caution on this relationship: complaints rates vary considerably depending on how much activity occurs in the precinct. The most active precincts will have more complaints. Officers with more experience over the years may transfer to less active precincts, and new officers may be assigned to where they are needed

most, which is in the most active precincts. Without considering how active the precinct is, the relationship between experience and the complaint rate may be exaggerated due to selective transfers and assignment policies.

The figures in parantheses in Figure III-3 show the number of officers at each level of experience. There were relatively few with six to ten years of experience in 1984 due to hiring freeze from 1976 to 1979. It will also be noted that the largest number of officers -- over 5000 -- have one to five years experience.

Figure III-3 shows the complaint rates for these 5000 officers for each year of experience. Each year shows a small decrease in the complaint rate, with the exception of those with only one year of experience. They have a lower rate than officers with more experience. It may, however, be due to the fact that these officers have not spent a full year in the precinct.

.....
 Figure III-3

Complaint Rate for Officers
 in Precincts According to Experience*
 (Among Officers with one to five
 Years Experience.) 1984

| <u>Experience</u> | | <u>Complaint Rate per Hundred Officers</u> |
|-------------------|--------|--|
| One Year | *****+ | 25.7 (2160) |
| Two | ***** | 52.5 (2011) |
| Three | *****+ | 51.8 (1231) |
| Four & Five | ***** | 48.5 (468) |

.....

*-----
 Officers with 4 and 5 years experience have been grouped into one category due to rounding errors in the original coding of the data on years of experience.

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Officers with 4 and 5 years experience have been grouped into one category due to rounding errors in the original coding of the data on years of experience.

Although the complaint rate does decrease between two and three years of experience, the difference of only .7 per hundred officers may be due to chance. The difference in the rate of 3.3 between officers with three years experience and those with four or five years is sizeable and not likely to be due to chance, which supports the hypothesis that with experience the complaint rate goes down.

The next assignment in which we examine the effect of experience is the Neighborhood Stabilization Units. It is not possible, however, to examine the effect of experience among the police officers since they are all new officers with less than one year experience. Their rate of 13.1 is considerably lower than officers with one year experience working in precincts, which had almost twice that figure with 25.7.

The new officers in the Neighborhood Stabilization Units are supervised by detectives with ten or more years experience. The complaint rate for these detectives according to experience is shown in Figure III-4.

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Figure III-4

Complaint Rates According to
Experience Among Detectives Assigned to
Neighborhood Stabilization Units 1984
(DETECTIVES ONLY)
.....

| <u>Experience</u> | | <u>Complaint Rate per Hundred Detectives</u> |
|---------------------|-------|--|
| 10 - 15 Years | ***** | 35.7 (28) |
| 16 - 20 | ***** | 9.4 (106) |
| 21 Years or More | ***** | 16.0 (38) |

.....

Detectives with the least experience (10-15 years) have the highest rate, but after that the relationship is not consistent. Officers with more

than 20 years experience have a higher rate than those with 16 to 20 years experience. These figures, however, may be due to chance factors since the number of detectives in each experience category is relatively small.

Our next examination of experience is within the Task Forces. Their rates according to experience is shown in Figure III-5.

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Figure III-5

Complaint Rate for Police
Officers in Task Forces
According to Experience 1984

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| <u>Experience</u> | | <u>Complaint Rate</u> <u>per Hundred Officers</u> |
|-----------------------|-------|--|
| Five years or Less | ***** | 21.2 (359) |
| 6 - 10 | ***** | 7.4 (27) |
| 11 - 15 | ***** | 9.4 (85) |
| 16 - 20 | ***** | 5.7 (105) |
| 21 Years or More | *** | 3.2 (31) |

.....

In general, officers assigned to Task Forces show that with experience the complaint rate goes down. There is one small exception to the relationship -- among officers with 6-10 years experience -- but this rate is based on relatively few officers -- only 27.

We can look further at the effect of experience among officers with five or less years experience, which is shown in Figure III-6.

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 Figure III-6

Complaint Rate in Task Forces
 (Among officers with 1-5 years
 Experience) according to Experience

| <u>Experience</u> | | <u>Complaint Rate</u> <u>per Hundred officers</u> |
|-------------------|-------|--|
| 1 year | ***** | 18.8 (117) |
| 2 years | ***** | 24.7 (113) |
| 3 | ***** | 18.8 (90) |
| 4-5 years | ***** | 23.1 (39) |

.....

There is no evidence in Figure III-6 that the complaint rate goes down with experience -- at least for officers with five years or less experience who are assigned to Task Forces.

Our next examination of experience is among police officers and detectives assigned to detective areas. Their complaint rates according to experience is shown in Figure III-7.

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 Figure III-7

Complaint Rate among Detectives and Police
 Officers (separately) Working in Detective
 Areas According To Experience 1984.

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| DETECTIVES | | Complaint Rate |
|---------------------|--------|-----------------------------|
| <u>Experience</u> | | <u>per Hundred Officers</u> |
| 5 years or less | ***** | 10.0 (10) |
| 6-10 | *****+ | 7.7 (26) |
| 11-15 | **** | 4.2 (262) |
| 16-20 | **** | 4.0 (452) |
| 21 years or more | ** | 2.2 (275) |

| POLICE OFFICERS | | Complaint Rate |
|---------------------|-------|-----------------------------|
| <u>Experience</u> | | <u>per Hundred Officers</u> |
| 5 years or less | ***** | 12.3 (24) |
| 6-10 | ***** | 7.4 (27) |
| 11-15 | * | 1.1 (96) |
| 16-20 | **+ | 2.6 (76) |
| 21 years or more | -- | -0- (15) |

.....

The effect of experience among officers working in detective areas is consistent: the more experience the lower the rate of complaints. Some of the categories, however, have relatively few officers which makes the category sensitive to chance fluctuations. If we combine both police officers and detectives into one group and examine only three categories of experience, the relationship is quite clear:

(All Officers working in Detective Areas)

| Experience | | Complaint Rate per Hundred Officers |
|----------------------|-------|--|
| Ten years or Less | ***** | 9.2 (87) |
| 11-20 | *** | 3.6 (884) |
| 21 years or More | ** | 2.1 (290) |

Finally we examine the effect of experience among officers working in the Traffic and Highway Units. These data are shown in Figure III-8.

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Figure III-8

Complaint Rate Among Police Officers
Assigned to Traffic & Highway Units
According to Experience 1984

| Experience | | Complaint Rate per Hundred Officers |
|-----------------------|--------|--|
| Five Years or Less | *****+ | 76.6 (222) |
| 6-10 | *****+ | 121.1 (19) |
| 11-15 | ***** | 39.1 (128) |
| 16-20 | ***** | 21.7 (92) |
| 21 Years or More | ****+ | 10.8 (37) |

.....
Among officers working in Traffic and Highway units, the complaint rate decreases with experience. There is one aberration -- among officers with 6-10 years experience -- but this rate is based on only 19 officers and subject to chance.

To sum up our findings on experience, we present the combined data for both detectives and police officers for all five assignments in Figure III-9

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 Figure III-9

Complaint Rate for Police officers and
 Detectives in Five Assignments* According
 to Experience.

.....

| <u>Experience</u> | Complaint Rate per Hundred Officers |
|-----------------------|--|
| 1 - 5 Years *****+ | 37.4 (7990) |
| 6 - 10 ***** | 35.9 (527) |
| 11 - 15 ***** | 25.9 (2242) |
| 16 - 20 ***** | 13.5 (2422) |
| 21 Years or more **** | 8.9 (936) |

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Figure III-9 shows a reduction in the complaint rate as officers have more experience on the job. On the average, over the twenty year period, there is a 1.4 reduction in complaints per hundred officer for each year of experience on the job. This figure is an average, however, and does not apply to officers during their first five years. Figure III-10 shows the complaint rate for officers in all five assignment with five years of experience or less.

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 .Figure III-10

Complaint Rate for Police officers and
 Detectives in Five Assignments According
 to Experience. (Only officers with 5 years
 or less experience.)

| <u>Experience</u> | <u>Complaint Rate per Hundred Officers</u> |
|---------------------------|--|
| One Year or Less ***** | 20.7 (3838) |
| Two *****+ | 53.1 (2209) |
| Three *****+ | 51.3 (1378) |
| 4-5 years *****+ | 59.5 (521) |

.....
 Among officers with five years experience or less,
 there is no reduction in the complaint rate with
 experience. First of all, officers with one year or
 less experience have the lowest rate. But this
 result is due to the fact that most of these officers
 are assigned to Neighborhood Stabilization Units
 where their contact with the public is mediated by
 their supervisors. Many of these officers also have
 not had a full year on the job which would
 automatically keep their rate lower.

Another aberration in the data occurs among officers
 with four or five years experience: they have a
 higher rate than officers with less experience.

PREDICTIONS ABOUT THE FUTURE

The Police Department is a lopsided organization in
 terms of experience. In 1984, 56% of the officers in
 these five assignments had five years or less
 experience. This overloading of less experienced
 officers is due in good part to the hiring freeze
 from 1976 to 1979. In time as these relatively new
 officers gain more experience, civilian complaints
 should go down, assuming all other influences on
 complaints remain the same.

We would, however, make one caveat to this
 interpretation. As mentioned earlier, part of what we see

as the effect of experience may be due to police officers making selective transfers to assignments in which they are less vulnerable to civilian complaints. At the same time, new officers may be assigned to precincts that are very active and make them more vulnerable to complaints. Thus, what we see as the effect of experience may be due in part to selective transfers and policy decisions on assigning new officers. However, since the effect of experience shows up in the various assignments, no doubt it plays a part in reducing complaints. But the effect may be exaggerated.

Male and Female Officers

This section presents the differences in the complaint rate between male and female officers. Since complaint rates are related to both assignment and experience, these two factors will be considered at the same time. However, we can make comparisons between men and women only in Precincts and Neighborhood Stabilization Units; in the other assignments, there are too few or no women working.

Furthermore, the highest category of experience we are able to examine is "six years or more." There are too few women at higher levels of experience to make any finer distinctions and still have meaningful comparisons.

The first assignment we consider is Precincts. Table Figure III-11 shows the complaint rate for men and women police officers according to experience. At all levels of experience, women have a lower rate of complaints than men, and the difference is most pronounced among officers with less than six years experience. In fact, men have more than two and half times as many complaints as women do. Among officers with more than five years experience, the difference is not as great, but women still have a considerably lower.

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 Figure III-11

Complaint rates for Male and Female
 Police Officers Assigned to Precincts
 According to Experience

| Experience & Gender | Complaint Rate per Hundred Officers |
|------------------------|--|
| | |
| ONE YEAR OR LESS | |
| Males *****+ | 27.5 (1861) |
| Females ***** | 11.7 (299) |
| ----- | |
| TWO YEARS | |
| Males *****+ | 57.6 (1695) |
| Females ***** | 19.3 (316) |
| ----- | |
| THREE YEARS | |
| Males *****+ | 57.7 (1003) |
| Females *****+ | 23.2 (228) |
| ----- | |
| FOUR - FIVE YEARS | |
| Males *****+ | 65.9 (385) |
| Females *****+ | 21.7 (83) |
| ----- | |
| SIX YEARS OR MORE | |
| Males ***** | 23.7 (4131) |
| Females ***** | 15.1 (73) |
| | |

Table III-11 also shows that during the first five years, there is no effect of experience; in fact the rate for males goes up. Only after six years does the rate go down.

We have also examined the difference between men and women in Neighborhood Stabilization Units. In these assignments all the police officers (the table excludes detectives) have less than a year experience. Figure III-12 shows the two rates: men have more than three times the rate of women.

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 Figure III-12

Complaint Rates for Male and Female
 Police Officers in Neighborhood Stabilization Units

Complaint Rate
per Hundred Officers

| | | |
|---------|--------|----------------|
| Males | *****+ | 13.6 (1320) |
| Females | ***+ | 3.8 (184) |

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Appendix D

Additional Complaint-Based Tables

TABLE D1

The Disposition of the Most Serious Allegation by the
Most Serious Disposition of All Allegations
(Investigated Complaints Only)

| Disposition of Most Serious Allegation in Complaint | Most Serious Disposition of Any Complaint Allegation | | | |
|---|--|-----------------|----------------------|----------------|
| | Substantiated | Unsubstantiated | Unfounded/Exonerated | All Complaints |
| Substantiated | 84% (150) | -- (0) | -- (0) | 14% (150) |
| Unsubstantiated | 14 (24) | 100% (574) | 17% (53) | 62 (651) |
| Unfounded/Exonerated | 3 (5) | -- (0) | 83 (250) | 24 (255) |
| Total | 101% (179) | 100% (574) | 100% (303) | 100% (1056) |

TABLE D2

Dispositional Stage by Injury
(Force Complaints Only)

| Dispositional Stage | Injury | | | | | | |
|---------------------|-------------------|---------------|---------------|---------------|------------------|--------------------|----------------|
| | No Claimed Injury | Unspecified | "Other" | Bruise | Minor Laceration | Serious Injury | All Force |
| Drop Out | 49% (801) | 55% (145) | 53% (103) | 41% (129) | 49% (48) | 44% (32) | 49% (1275) |
| Conciliated | 34 (561) | 19 (51) | 18 (35) | 22 (68) | 14 (14) | 2 (2) | 28 (731) |
| Investigated | 17 (287) | 26 (68) | 29 (56) | 37 (114) | 37 (36) | 54 (60) | 24 (627) |
| Total | 100% (1649) | 100% (264) | 100% (194) | 100% (311) | 100% (98) | 100% (111) | 101% (2627) |
| | | | | | | Missing: Total: | 417 3044 |

X²=182.17, DF=10, p<.001

TABLE D3

Injury by Percent of Remaining Complaints
 Conciliated, Net of Dropout
 (Force Only)

| | Percent Conciliated | N Conciliated/ N Remaining after Dropout |
|------------------|---------------------|---|
| Not Claimed | 66% | (561/848) |
| Unspecified | 43% | (51/119) |
| "Other" | 38% | (35/91) |
| Bruise | 37% | (68/182) |
| Minor laceration | 28% | (14/50) |
| Serious injury | 3% | (2/62) |

TABLE D4.1

Most Serious Investigative Disposition* by Complaint Type
(Investigated Complaints Only)

| Investigative Outcome | Complaint Type | | | All Complaints |
|-----------------------|----------------|--------------|-------------|----------------|
| | Force | Abuse | Discourtesy | |
| Substantiated | 18% (129) | 14% (35) | 20% (17) | 17% (181) |
| Unsubstantiated | 55 (393) | 53 (138) | 53 (46) | 54 (577) |
| Unfounded | 8 (59) | 8 (21) | 21 (18) | 9 (98) |
| Exonerated | 19 (137) | 25 (65) | 6 (5) | 19 (207) |
| Total | 67% (710) | 24% (259) | 9% (93) | 100% (1062) |

$\chi^2=26.63$, $DF=6$, $p<.01$

* The disposition of a complaint is here defined in terms of the most serious investigative outcome of any allegation. "Seriousness" was defined in terms of how definitively allegations were disposed, as well as how serious the disposition was. Therefore, if any allegation was substantiated, the entire complaint was substantiated. (The order of seriousness was: substantiated, unfounded, exonerated, unsubstantiated.)

Defining the disposition of complaints according to the most serious (or most definitive) investigative outcome yields a somewhat different distribution of outcomes than defining dispositions in terms of the disposition of the most serious allegation (force/abuse/discourtesy-ethnic slur). The proportion of unsubstantiated force complaints is here reduced (from 65% to 55%). This points to the fact that some force complaints, in which the force allegation is disposed as unsubstantiated, are accompanied by lesser allegations, that are more definitively disposed.

TABLE D4.2
The Investigative Outcomes of All Allegations
by Allegation Type*

| Investigative Outcome | Allegation Type | | | |
|-----------------------|------------------|-------------------|-----------------------------|-------------------|
| | Force | Abuse | Discourtesy/ Ethnic Slur | All Allegations |
| Substantiated | 14% (101) | 13% (84) | 13% (75) | 13% (260) |
| Unsubstantiated | 65 (464) | 59 (381) | 78 (441) | 67 (1286) |
| Unfounded | 7 (48) | 6 (39) | 6 (33) | 6 (120) |
| Exonerated | 14 (98) — 21% | 23 (146) — 29% | 4 (20) — 10% | 14 (264) — 20% |
| Total | 100% (711) | 101% (650) | 101% (567) | 100% (1930) |

$\chi^2=97.54$, $DF=6$, $p<.001$

* The distribution of the outcome of investigated allegations by allegation type differs from the distribution of the outcomes of investigated complaints because this form of analysis includes all allegations. Many less serious allegations (abuse, discourtesy) are investigated only because they accompany more serious allegations. Investigated allegations that are not accompanied by more serious allegations, therefore, are far more frequently disposed as unsubstantiated (83%; 395/474) than discourtesy allegations that are the most serious allegations in an investigated complaint (53%; 46/93). The difference stems from the greater extent of pre-investigative screening to which discourtesy complaints are subjected.

Analysis of the dispositional outcomes of investigated allegations confirms the interpretation of why discourtesy only complaints are more frequently disposed as "substantiated" or "unfounded" than other complaint types. This appears to happen primarily because of greater pre-investigation screening. Unlike discourtesy complaints, discourtesy allegations do not differ from other allegation types in the extent of substantiated or unfounded dispositions.

Yet strong differences remain in the extent of exoneration for various allegation types, paralleling differences in exoneration among investigated complaints. These differences appear to be intrinsically related to the nature of alleged behavior and the extent to which that behavior can be seen as justified and proper.

TABLE D5

The Proportion of Remaining Complaints Conciliated:
Situation By Complaint Type

| Situation | Complaint Type | | |
|--------------|------------------|------------------|------------------|
| | Force | Abuse | Discourtesy |
| Crime Report | 45% (172/385) | 58% (79/136) | 86% (69/80) |
| Patrol | 65% (144/222) | 73% (87/119) | 96% (55/57) |
| Traffic | 59% (236/403) | 80% (363/455) | 88% (286/326) |
| Dispute | 58% (182/315) | 73% (104/142) | 95% (114/120) |
| Other | 54% (127/234) | 67% (71/106) | 80% (91/114) |

Appendix E

Allegation-Based Tables

This appendix presents selected tables that parallel tables presented in Chapter IV. The tables shown here are allegation-based, rather than complaint-based. In most cases, the findings of the allegation-based analyses mirror the findings of the complaint analyses.

These tables show significant differences in allegation type and in the dispositional outcomes of investigated allegations according to situation, victim ethnicity and officer characteristics. The relationship between allegation type and investigative outcome is discussed in Appendix Table D4.

Allegation-based differences in the dispositional stage reached at the CCRB (drop-out, conciliation, investigation) are not shown, because the extent of "penetration" into the CCRB dispositional process is largely determined by complaint characteristics, rather than the characteristics of specific allegations.

TABLE E1
 Allegation Type by Situation

| Allegation Type | Situation | | | | | | All Situations |
|-----------------|----------------|----------------|----------------|----------------|----------------|--------------------------------|----------------|
| | Traffic | Crime Report | Dispute | Patrol | Other | | |
| Force | 23% (578) | 41% (727) | 39% (618) | 39% (558) | 37% (517) | | 34% (3000) |
| Abuse | 36 (914) | 32 (567) | 29 (459) | 33 (479) | 30 (423) | | 32 (2842) |
| Discourtesy | 39 (990) | 24 (415) | 31 (492) | 27 (390) | 31 (430) | | 31 (2717) |
| Ethnic Slur | 2 (61) | 3 (47) | 2 (24) | 2 (31) | 2 (35) | | 2 (198) |
| Total | 100% (2543) | 100% (1756) | 101% (1593) | 100% (1458) | 100% (1407) | | 99% (8757) |
| | | | | | | Missing: Total Allegations: | 156 8913 |

X²=259.53, DF=12, p<.001

TABLE E2
Investigative Outcome of Allegations by Situation

| Investigative Outcome | Situation | | | | | | | All Situations |
|---|---|---------------|---------------|---------------|---------------|----------------|--------------|----------------|
| | Traffic | Crime Report | Dispute | Patrol | Other | All Situations | | |
| Substantiated (Favors the Complainant) | 15% (85) | 12% (60) | 13% (41) | 17% (37) | 12% (31) | 13% (254) | | |
| Unsubstantiated (Neutral) | 69 (393) | 66 (340) | 67 (220) | 63 (134) | 64 (170) | 67 (1257) | | |
| Unfounded | 3 (19) | 6 (29) | 7 (23) | 7 (14) | 12 (31) | 6 (116) | 20% (261) | |
| Exonerated (Favors the Subject Officer) | 12 (71) | 17 (85) | 13 (43) | 14 (29) | 12 (33) | 14 (261) | | |
| Total | 99% (568) | 101% (514) | 100% (327) | 101% (214) | 100% (265) | 100% (1888) | | |
| | Missing: Total Investigated Allegations: | | | | | | | 142 1930 |

X²=31.86, DF=12, p<.001

TABLE E3

Allegation Type by Victim Ethnicity

| Allegation Type | Victim Ethnicity | | | All Victims |
|--------------------|------------------|----------------|----------------|----------------|
| | White | Black | Hispanic | |
| Force | 30% (816) | 36% (1072) | 41% (611) | 35% (2499) |
| Abuse | 32 (872) | 32 (947) | 32 (478) | 32 (2297) |
| Discourtesy | 37 (1000) | 28 (825) | 25 (372) | 31 (2197) |
| Ethnic Slur | 1 (28) | 4 (127) | 2 (28) | 3 (183) |
| Total | 100% (2716) | 100% (2971) | 100% (1489) | 101% (7176) |
| Missing: | | | | 1736 |
| Total Allegations: | | | | 8913 |

$\chi^2=154.97$, $DF=6$, $p<.001$

TABLE E4

The Investigative Outcome of Allegations by Victim Ethnicity
(Investigated Allegations Only)

| Investigative Outcome | Victim Ethnicity | | | |
|--|------------------|--------------|---------------|---------------|
| | White | Black | Hispanic | All Victims |
| Substantiated (Favors the Complainant) | 14% (88) | 13% (105) | 13% (46) | 13% (239) |
| Unsubstantiated (Neutral) | 64 (410) | 68 (547) | 71 (254) | 67 (1211) |
| Unfounded | 6 (40) | 6 (49) | 2 (8) | 5 (97) |
| Exonerated (Favors the Subject Officer) | 15 (101) | 12 (100) | 14 (52) | 14 (253) |
| Total | 99% (639) | 99% (801) | 100% (360) | 99% (1800) |
| Missing: | | | | 130 |
| Total Investigated Allegations: | | | | 1930 |

$\chi^2=13.04$, $DF=6$, $p<.05^*$

* In contrast to the complaint-based analysis, the allegation-based analysis of victim ethnicity and investigative outcome is significant at the .05 level. The difference between victim ethnic groups in investigative outcome appears to rest largely in the smaller likelihood of "unfounded" dispositions for allegations involving Hispanic victims (2%, compared to 6% for others). If we collapse the unfounded and exonerated categories, the relationship is no longer significant.

TABLE E5

Allegation Type by Officer Gender

| Allegation Type | Officer Gender | | |
|--------------------------------|----------------|---------------|----------------|
| | Male | Female | All Officers |
| Force | 34% (2780) | 26% (94) | 34% (2874) |
| Abuse | 32 (2622) | 36 (130) | 33 (2752) |
| Discourtesy | 31 (2515) | 37 (132) | 31 (2647) |
| Ethnic Slur | 2 (183) | 1 (5) | 2 (188) |
| Total | 99% (8100) | 100% (361) | 100% (8461) |
| Missing: Total Allegations: | | | 452 8913 |

$\chi^2=12.94$, $DF=3$, $p<.01$

TABLE E6
Allegation Type by Officer Years of Service

| Allegation Type | Years of Service | | | | | | | All Officers |
|-----------------|--------------------------------|----------------|----------------|---------------|----------------|----------------|----------------|--------------|
| | 1 | 2 | 3 | 4-10 | 11-15 | 16+ | | |
| Force | 34% (437) | 35% (669) | 35% (419) | 34% (300) | 32% (382) | 28% (288) | 33% (2495) | |
| Abuse | 33 (427) | 32 (622) | 34 (410) | 33 (290) | 33 (394) | 32 (329) | 33 (2472) | |
| Discourtesy | 31 (393) | 30 (584) | 29 (353) | 31 (280) | 33 (394) | 38 (329) | 32 (2399) | |
| Ethnic Slur | 1 (19) | 3 (53) | 2 (30) | 2 (20) | 2 (24) | 3 (27) | 2 (173) | |
| Total | 99% (1276) | 100% (1928) | 100% (1212) | 100% (890) | 100% (1199) | 101% (1034) | 100% (7539) | |
| | Missing: Total Allegations: | | | | | | | 1374 8913 |

X²=36.26, DF=15, p<.01

TABLE E7

Investigative Outcomes of Allegations by Officer Years of Service
(Investigated Allegations Only)

| Allegation Type | Years of Service | | | | | | | All Officers |
|---|------------------|---------------|---------------|---------------|---------------|---------------|---------------|--------------|
| | 1 | 2 | 3 | 4-10 | 11-15 | 16+ | | |
| Substantiated (Favors the Com- plainant) | 13% (37) | 12% (52) | 22% (64) | 16% (35) | 9% (24) | 8% (20) | 13% (232) | |
| Unsubstantiated (Neutral) | 72 (204) | 72 (319) | 62 (183) | 66 (153) | 71 (186) | 64 (156) | 68 (1206) | |
| Unfounded | 4 (12) | 3 (12) | 3 (8) | 6 (14) | 6 (15) | 7 (16) | 4 (77) | |
| Exonerated (Favors the Sub- ject Officer) | 11 (31) | 14 (60) | 14 (41) | 13 (30) | 14 (36) | 21 (51) | 14 (249) | |
| Total | 100% (289) | 101% (443) | 101% (296) | 101% (232) | 100% (261) | 100% (243) | 99% (1764) | |
| Missing: | | | | | | | 166 | |
| Total Disposed Allegations: | | | | | | | 1930 | |

X²=50.49, DF=15, p<.001