

Online Appendix For: The Labor Market Impacts of Reducing Felony Convictions

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A Additional Figures and Tables

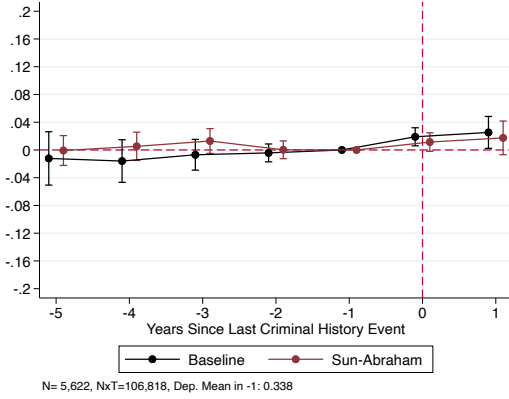
Figure A.1: Example of How Reductions Show up on Record Search

SEL	CHARGE	COUNT	STATUTE	PLEA	DISPOSITION	CHARGING DOCUMENT	LICENSE ALERTS
<input type="checkbox"/>	1	1	PC 666(A):MI-Petty Theft 3 Or More Conviction:Spec Offenses	Guilty on 05/02/1995	Reduced to Misd on 08/12/2016	Complaint filed on 05/02/1995	
<input type="checkbox"/>	1	1	HS 11377(A):MI-Possess Controlled Substance	Guilty on 06/22/2000	Reduced to Misd on 04/07/2017	Information filed on 09/09/1999	
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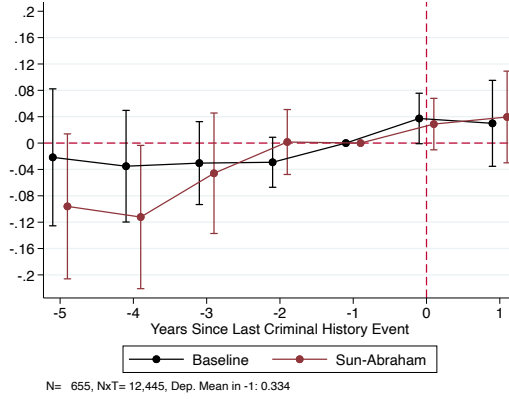
Notes: Screenshots from the San Joaquin County criminal record search portal for several different cases that received reductions. Several contacts at the courthouse in the PD office verified this is the same screen that individuals running background checks for background check companies would encounter.

Figure A.2: Any Wage Employment, Robustness

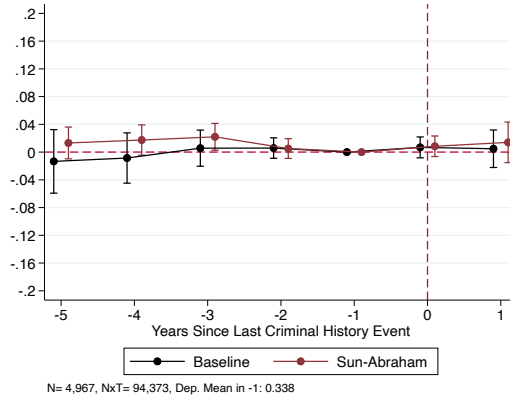
(a) Pooled



(b) Likely Self-Petitioners



(c) Proactive Reductions



Notes: Figure shows event-study coefficients for having any wage employment around Proposition 47 felony reductions in San Joaquin County, CA. We report our baseline estimates alongside event-study coefficients using the estimator proposed by Sun-Abraham (2020). The error bars report ninety percent confidence intervals.

Table A.1: Survey of Hiring Professionals on Criminal Background Check Procedures

	Yes	No	Unsure/ Missing
<i>Full Sample, N=808</i>			
Perform criminal background check?	0.69	0.23	0.08
Knowledgeable about background check procedure?	0.59	0.39	0.02
<i>Background Check & Knowledgeable Sample, N=383</i>			
Distinguish between felony and misdemeanor?			
More likely to hire if misdemeanor than felony	0.72		
Did not distinguish	0.24		
Other/No Response	0.04		

Notes: Survey of 808 individuals with hiring experience in the United States in the past 5 years asked about firms’ criminal background check practices for **entry-level** positions. Question wording for felony/misdemeanor question was “In making a hiring decision for this entry-level position, did you generally distinguish between misdemeanor convictions and felony convictions?” with three choices “Yes, more likely to hire if misdemeanor instead of felony” or “No, did not distinguish”, or “Other, explain”. See Appendix C for further details on the survey sample and design.

Table A.2: Survey of Hiring Professionals on Willingness to Hire Misd. vs. Felony Convictions

	Drug Conviction			Theft Conviction		
	Misd	Felony	Misd-Felony	Misd	Felony	Misd-Felony
<i>Prob Would Hire if Crime Was...</i>						
1-3 Years Ago	0.42	0.29	0.13** (0.05)	0.28	0.14	0.14*** (0.04)
4-7 Years Ago	0.75	0.64	0.12** (0.05)	0.61	0.51	0.10* (0.05)
8-10 Years Ago	0.91	0.83	0.08** (0.04)	0.82	0.76	0.06 (0.05)
N	121	134		125	128	

Notes: Survey of 1003 hiring professionals with experience in the United States in the past 5 years. Each respondent was randomly assigned to being asked about preferences for hiring someone with one of 8 potential criminal histories: (drug x theft) + (misd x felony) + (conviction x non-conviction). This table focuses on the 505 randomly asked about convictions. The question text was “You intend to hire a candidate for an open entry-level position at the most recent firm at which you had hiring experience. Through the hiring process, you decide that this candidate is well qualified for the position. You are ready to extend an offer to the candidate. However, you learn that the candidate was charged with [crime type] [X years ago] and was convicted. How likely are you to recommend that the company hire the candidate?” Choices were: Definitely will, probability will, probability will not, definitely will not. The respondent was asked this question for X from 1 through 10 on the same page. This table combines “Definitely will” and “probably will,” and shows the average probability the respondent reported would hire in bins of years. See Appendix C for further details on the survey sample and design.

Table A.3: Summary Statistics for Proposition 47 Reductions Full Sample

	(1)	(2)	(3)	(4)
	All Crimes	All	Has HS Likely Self- Petitioner	PD Initiated Petitioner
Male	0.735	0.751	0.766	0.749
Reduction<7 Years from Conviction <i>2 Years Prior to Reduction:</i>	0.087	0.075	0.177	0.061
Age	47.63	47.55	45.09	47.88
Any Wages	0.331	0.332	0.296	0.337
Wages>\$15k	0.179	0.181	0.139	0.187
Avg. Wages	7,674	7,697	6,003	7,920
Any 1099 NEC	0.033	0.032	0.020	0.034
Filed Taxes	0.303	0.310	0.301	0.311
Any SE Income	0.031	0.030	0.029	0.030
Total Obs	6,729	5,622	655	4,967

Notes: This table reports summary statistics for the broader sample in San Joaquin County, CA. Our main estimation sample consists of the 5,622 individuals who Had HS crimes. This table mimics Table ?? but adds Column (1) for a comparison to the broader sample with any crime. Summary statistics refer to the year prior to the Proposition 47 reduction.

Table A.4: Impact of Proposition 47 Reductions on Employment Outcomes

(a) Likely Self-Initiated Petitioner

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	Any Wages>\$0	...>\$7,500	...>\$15,000	Wages	Any Gig	Any Other 1099	Files 1040	Files SE
Treated	0.0344	0.0331	0.0185	-295.1	-0.00375	0.00792	0.00708	0.0194
	(0.0364)	(0.0320)	(0.0293)	(1148.5)	(0.00629)	(0.0106)	(0.0352)	(0.0134)
Dep. Mean (-1)	0.334	0.217	0.160	6815.554	0.005	0.021	0.299	0.031
N	655	655	655	655	655	655	655	655
NxT	12,445	12,445	12,445	12,445	12,445	12,445	12,445	12,445
Age Controls	X	X	X	X	X	X	X	X
Indiv. FE	X	X	X	X	X	X	X	X
Year FE	X	X	X	X	X	X	X	X

Standard errors clustered on individual in parentheses

^a p<0.1, * p<0.05, ** p<0.01, *** p<0.001

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Notes: This table reports coefficients on a “treated” reduction indicator following Equation ??, for only those identified as likely self-petitioners, for a variety of outcomes.

(b) PD Initiated Petitioner

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	Any Wages>\$0	...>\$7,500	...>\$15,000	Wages	Any Gig	Any Other 1099	Files 1040	Files SE
Treated	0.00270 (0.0145)	-0.00395 (0.0128)	0.00234 (0.0119)	795.7 (535.7)	0.00380* (0.00167)	0.00117 (0.00653)	-0.0133 (0.0142)	0.00270 (0.00586)
Dep. Mean (-1)	0.338	0.243	0.195	8460.821	0.002	0.038	0.304	0.029
N	4,967	4,967	4,967	4,967	4,967	4,967	4,967	4,967
NxT	94,373	94,373	94,373	94,373	94,373	94,373	94,373	94,373
Age Controls	X	X	X	X	X	X	X	X
Indiv. FE	X	X	X	X	X	X	X	X
Year FE	X	X	X	X	X	X	X	X

Standard errors clustered on individual in parentheses

^a p<0.1, * p<0.05, ** p<0.01, *** p<0.001

Notes: This table reports coefficients on a “treated” reduction indicator following Equation ??, for only those that received proactive reductions, for a variety of outcomes.

(c) PD Initiated Petitioner-By Years Since Conviction

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	Any Wages>\$0	...>\$7,500	...>\$15,000	Wages	Any Gig	Any Other 1099	Files 1040	Files SE
Treated	0.054*	0.050*	0.052**	617.516	-0.000	0.008	0.002	0.012
	(0.026)	(0.022)	(0.020)	(939.489)	(0.003)	(0.012)	(0.025)	(0.010)
Treated × Years Since Crime	-0.004**	-0.005***	-0.005***	-40.145	0.000	-0.001	-0.002	-0.000
	(0.001)	(0.001)	(0.001)	(48.801)	(0.000)	(0.001)	(0.001)	(0.001)
Dep. Mean (-1)	0.335	0.243	0.196	8470.711	0.002	0.039	0.303	0.028
N	4,336	4,336	4,336	4,336	4,336	4,336	4,336	4,336
NxT	82,384	82,384	82,384	82,384	82,384	82,384	82,384	82,384
Age Controls	X	X	X	X	X	X	X	X
Indiv. FE	X	X	X	X	X	X	X	X
Year FE	X	X	X	X	X	X	X	X

Standard errors clustered on individual in parentheses

^a p<0.1, * p<0.05, ** p<0.01, *** p<0.001

∞ **Notes:** This table presents differential impacts for individuals who received proactive Proposition 47 reductions based on years since original conviction for a variety of outcomes.

Table A.5: Notification RCT Balance Table

	(1)	(2)	(3)	(4)	(5)	(6)
	Treated		Control		Difference (p-value)	
	1 Felony	All Others	1 Felony	All Others	1 Felony	All Others
Male	0.669	0.742	0.688	0.762	-0.018 (0.665)	-0.019 (0.066)
<i>Outcomes in 2018:</i>						
Age	49.70	49.07	49.46	49.08	0.233 (0.820)	-0.005 (0.984)
Any Wages	0.364	0.332	0.382	0.330	-0.018 (0.683)	0.002 (0.896)
Wages>\$15k	0.223	0.197	0.231	0.185	-0.008 (0.832)	0.012 (0.228)
Any SE Income	0.056	0.021	0.022	0.028	0.034 (0.051)	-0.007 (0.074)
Wages	10,322.01	8,710.60	9,810.20	8,592.98	511.81 (0.769)	117.62 (0.798)
Total Obs	269	3,486	225	3,175		

Notes: This table reports balance tests for treatment and control groups in our notification RCT. Randomization in this experiment was stratified on having one felony as recorded by the PD's office.

Table A.6: Notification RCT, Additional Employment Outcomes

(a) 2019 Outcomes

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Any Wages>\$0	...>\$7,500	...>\$15,000	Any Gig	Any Other 1099	Files 1040	Files SE
Notified	0.0110 (0.0116)	0.00248 (0.0105)	0.00669 (0.00966)	0.00130 (0.00179)	0.000384 (0.00357)	0.00186 (0.0123)	-0.00855* (0.00377)
Notified × 1 Felony	-0.0460 (0.0453)	0.000128 (0.0428)	0.0284 (0.0406)	-0.00203 (0.00605)	-0.00846 (0.0140)	-0.0475 (0.0468)	0.0176 (0.0180)
1 Felony	0.0623 ^a (0.0337)	0.0632* (0.0315)	0.0513 ^a (0.0293)	-0.000280 (0.00460)	0.00525 (0.0110)	0.0256 (0.0344)	0.00721 (0.0127)
Constant	0.333*** (0.00837)	0.239*** (0.00757)	0.189*** (0.00695)	0.00472*** (0.00122)	0.0214*** (0.00257)	0.503*** (0.00888)	0.0283*** (0.00295)
N	7155	7155	7155	7155	7155	7155	7155

(b) 2020 Outcomes

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Any Wages>\$0	...>\$7,500	...>\$15,000	Any Gig	Any Other 1099	Files 1040	Files SE
Notified	-0.00433 (0.0114)	0.00834 (0.0104)	0.00884 (0.00965)	-0.00144 (0.00233)	0.00247 (0.00331)	-0.00255 (0.0117)	-0.00202 (0.00382)
Notified × 1 Felony	-0.0121 (0.0450)	-0.00137 (0.0418)	-0.0132 (0.0392)	-0.00300 (0.00501)	-0.00311 (0.0149)	-0.0176 (0.0450)	0.00137 (0.0150)
1 Felony	0.0514 (0.0333)	0.0475 (0.0307)	0.0440 (0.0290)	-0.00532 (0.00477)	0.00934 (0.0110)	0.0168 (0.0334)	0.000840 (0.0111)
Constant	0.322*** (0.00829)	0.228*** (0.00745)	0.187*** (0.00692)	0.00976*** (0.00175)	0.0173*** (0.00232)	0.357*** (0.00850)	0.0258*** (0.00282)
N	7155	7155	7155	7155	7155	7155	7155

(c) 2021 Outcomes

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Any Wages>\$0	...>\$7,500	...>\$15,000	Any Gig	Any Other 1099	Files 1040	Files SE
Notified	-0.00433 (0.0114)	0.00834 (0.0104)	0.00884 (0.00965)	-0.00144 (0.00233)	0.00247 (0.00331)	-0.00255 (0.0117)	-0.00202 (0.00382)
Notified × 1 Felony	-0.0121 (0.0450)	-0.00137 (0.0418)	-0.0132 (0.0392)	-0.00300 (0.00501)	-0.00311 (0.0149)	-0.0176 (0.0450)	0.00137 (0.0150)
1 Felony	0.0514 (0.0333)	0.0475 (0.0307)	0.0440 (0.0290)	-0.00532 (0.00477)	0.00934 (0.0110)	0.0168 (0.0334)	0.000840 (0.0111)
Constant	0.322*** (0.00829)	0.228*** (0.00745)	0.187*** (0.00692)	0.00976*** (0.00175)	0.0173*** (0.00232)	0.357*** (0.00850)	0.0258*** (0.00282)
N	7155	7155	7155	7155	7155	7155	7155

Notes: This table reports additional employment outcomes for treatment and control groups in our notification RCT. We separately report outcomes in 2019, 2020, and 2021.

B Details of San Joaquin County Reductions

B.1 Further details on how petitions were filed

The Public Defender’s office and the DA’s offices started work almost immediately after the law went into effect in November 2014 to begin the process of filing petitions. They started by prioritizing those on supervision (in jail or on parole/probation) as those individuals could seek resentencing to reduce their time of supervision and possibly be released (we do not focus on this sample). To streamline this process and prioritize those currently under criminal justice supervision, the criminal justice agencies requested comprehensive lists from the California Department of Corrections and Rehabilitation and from the California Department of Probation of anyone with qualifying charges currently under state supervision. The Deputy Public Defender (DPD) also checked custody lists published by the Sheriff’s office of people recently arrested and the “graduation lists” of collaborative courts like drug court, which divert individuals with drug charges to a rehab program.

After completing these they began filing petitions for all other eligible individuals. For the public defender initiated reductions, initially the DPD would file a petition only for the charge she encountered on the crime list she was working on, but the DPD soon realized that many people had multiple eligible charges for different crimes. She then began looking up an individual’s entire criminal history each time she checked a charge for eligibility. Before filing, she checked each person on the list to determine whether or not 1) their criminal charge was convicted, 2) the charge was a felony, and 3) they did not have any other disqualifying convictions such as sexual offenses, for example. The office started with the list of individuals who had Health and Safety (HS), basically drug, crimes as this list was the largest. They worked through in an alphabetical style fashion as described in the text.

Our main dataset is all Proposition 47 petitions that were filed between December 2014 to December 2018 and successfully reduced by September 2019. Excluding individuals who were currently serving sentences or under supervision (parole/probation) at the time of the filing, we have data on 8,155 successful petitions in San Joaquin. Our main analysis sample focuses on individuals convicted of a drug crime (also called “Health and Safety” or HS) which is the largest category of eligible offenses. 6,626 (81.3%) of these successful petitions involved a defendant who had at least one HS charge and the OPD relied on an alphabetical ordering to file petitions of people on this list. We do not focus on other offenses because alphabetical ordering, which is necessary to distinguish between self-petitions and public defender initiated petitions, were not preserved in these cases. This is because OPDSJ staff started on the HS list, and as they went down the list they also looked up all other eligible crimes for the individual and petitioned for those at the same time. Thus, by the time they started on the other lists, the alphabetical ordering was less intact given the priority for people who appeared on the HS list.

These underlying data were provided by the Office of the Public Defender of San Joaquin (OPDSJ) in the form of several Excel files and Word documents. The first set of files are lists containing the court case number, full names, dates of birth of the defendant, offense code/section, complaint number, citation date, pleading date, and the location of the physical file for every court case corresponding to a Proposition 47 eligible charge. The second set of files are lists of every petition the OPDSJ filed for a Proposition 47 reduction. These lists

contain the full name and date of birth of the defendant, court case number, date of petition filing, outcome of the petition, date of outcome, and the custody status of the defendant. We refer to these files as the “petition master lists.” As described above, these master lists are divided by each eligible charge, with 85% of individuals on the “health and safety” (HS) list. The third set of files is a list of defendants who received a Proposition 47 petition through the OPDSJ who had only one felony in San Joaquin County. We refer to this list as the “one felony list,” which we use to stratify in our notification RCT.

In Figure B.1 below, we show how a Proposition 47 reduction appears on a record search in San Joaquin.

Figure B.1: Example of How Reductions Show up on Record Search

SEL	CHARGE	COUNT	STATUTE	PLEA	DISPOSITION	CHARGING DOCUMENT	LICENSE ALERTS
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<input type="checkbox"/>	4	4	PC 1320(B):FE-Failure To Appear On Felony Charge	Not Guilty on 11/03/2006	Dismissal/1385 PC Lack of Prosecution on 11/30/2006	Complaint filed on 09/22/2006	

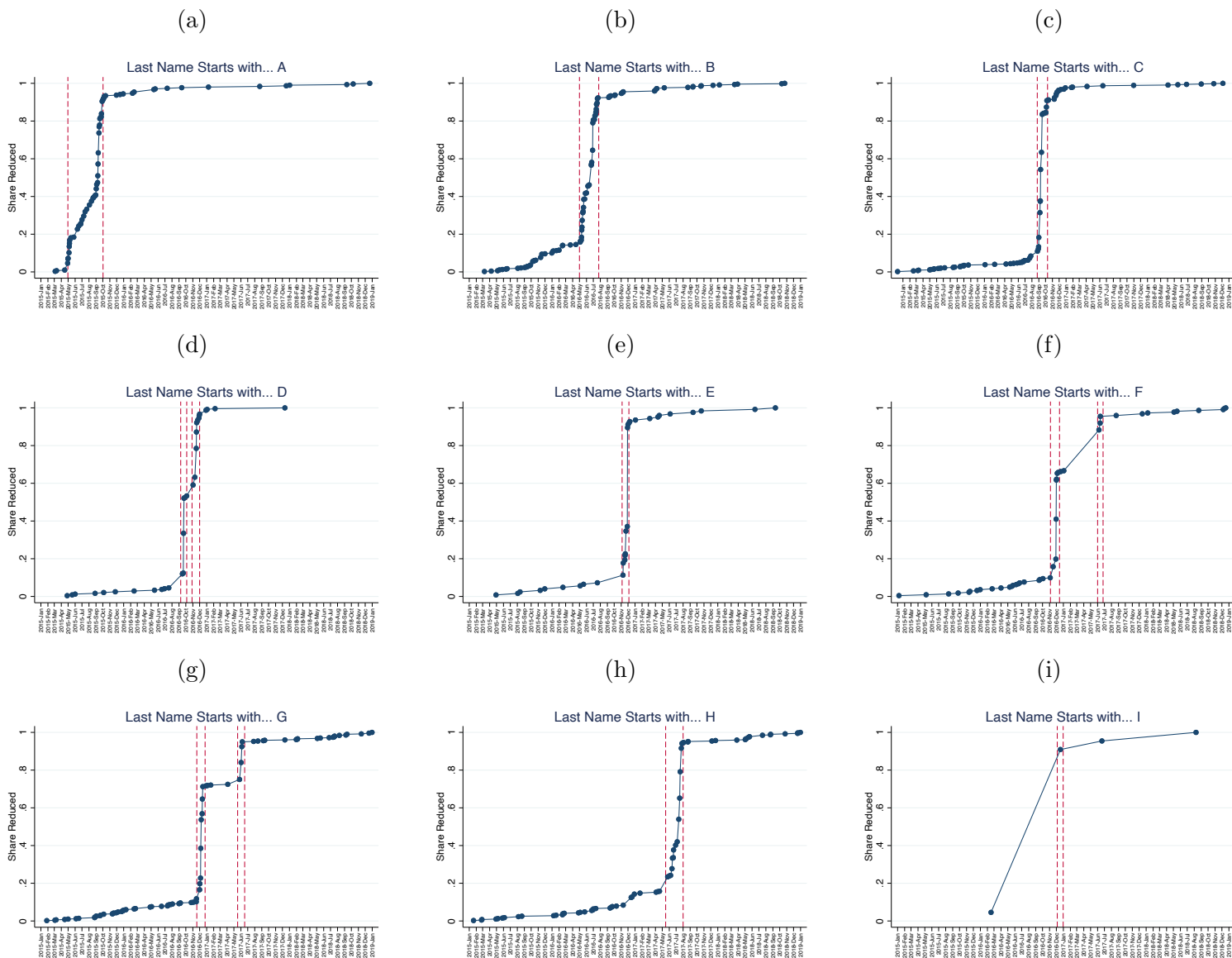
Notes: Screenshots from the San Joaquin County criminal record search portal for several different cases that received reductions. Several contacts at the courthouse in the PD office verified this is the same screen that individuals running background checks for background check companies would encounter.

B.2 Identifying Likely Petitioners in San Joaquin

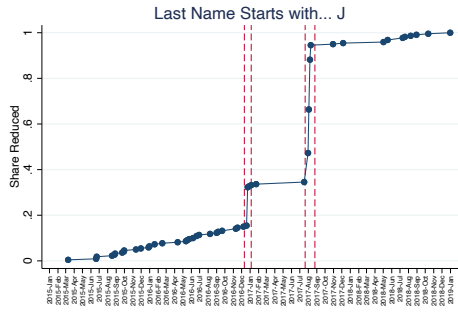
Most petitions were completed in an order corresponding to the first letter of the defendant’s last name (e.g., everyone whose last name begins with a ”U” was handled in a few distinct chunks). Occasionally, individual petitions were completed outside of these surges. We had five research assistants identify each letter’s intensive petition filing window. We provided a CDF and a PDF of each letter’s time series, and had the research assistants mark the start date where they saw a surge in petitions being filed for that letter and the end date where the number being filed for that letter begins to wane. When there was disagreement, we

take the median dates chosen. The figures below plot the results of this exercise. We cannot be certain what drives the timing variation outside of the dashed lines. But we suspect the period prior to the first dashed line likely includes individuals who self-requested a petition from the office. Therefore we classify any petitions happening before the surge start date as “likely self-initiated petitions” and any petitions filed after the surge start date as “public defender (PD) initiated petitions”.

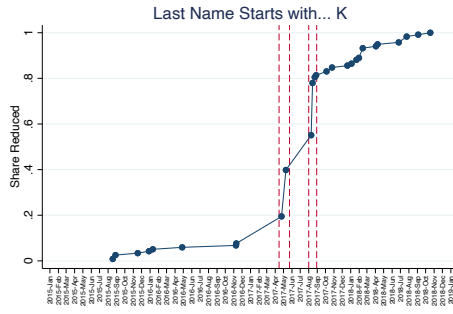
Figure B.2: Share of Petitions Filed by Date (CDFs) for each First Letter of Last Name



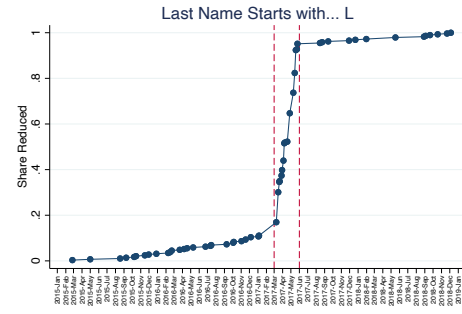
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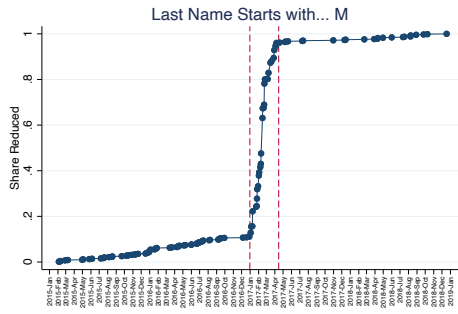
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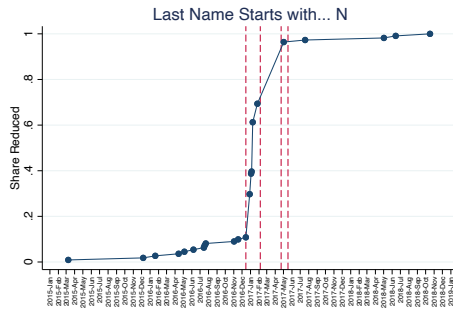
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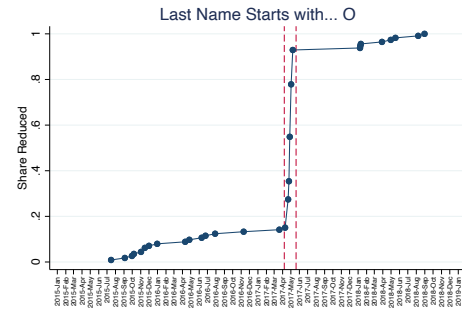
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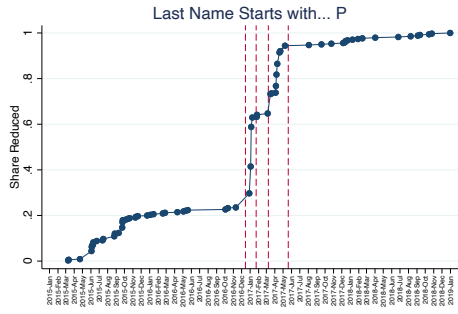
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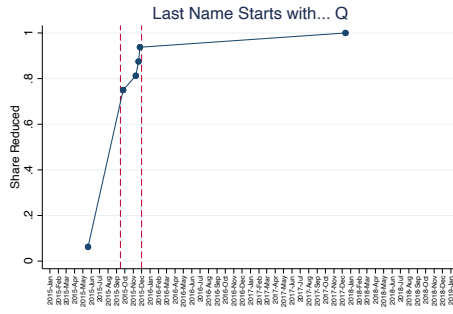
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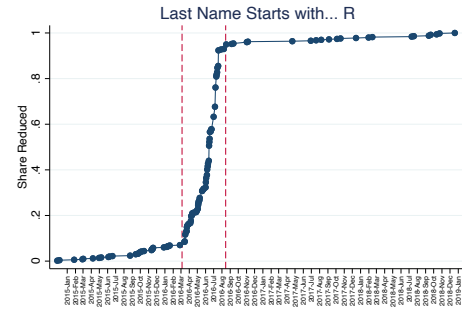
(p)

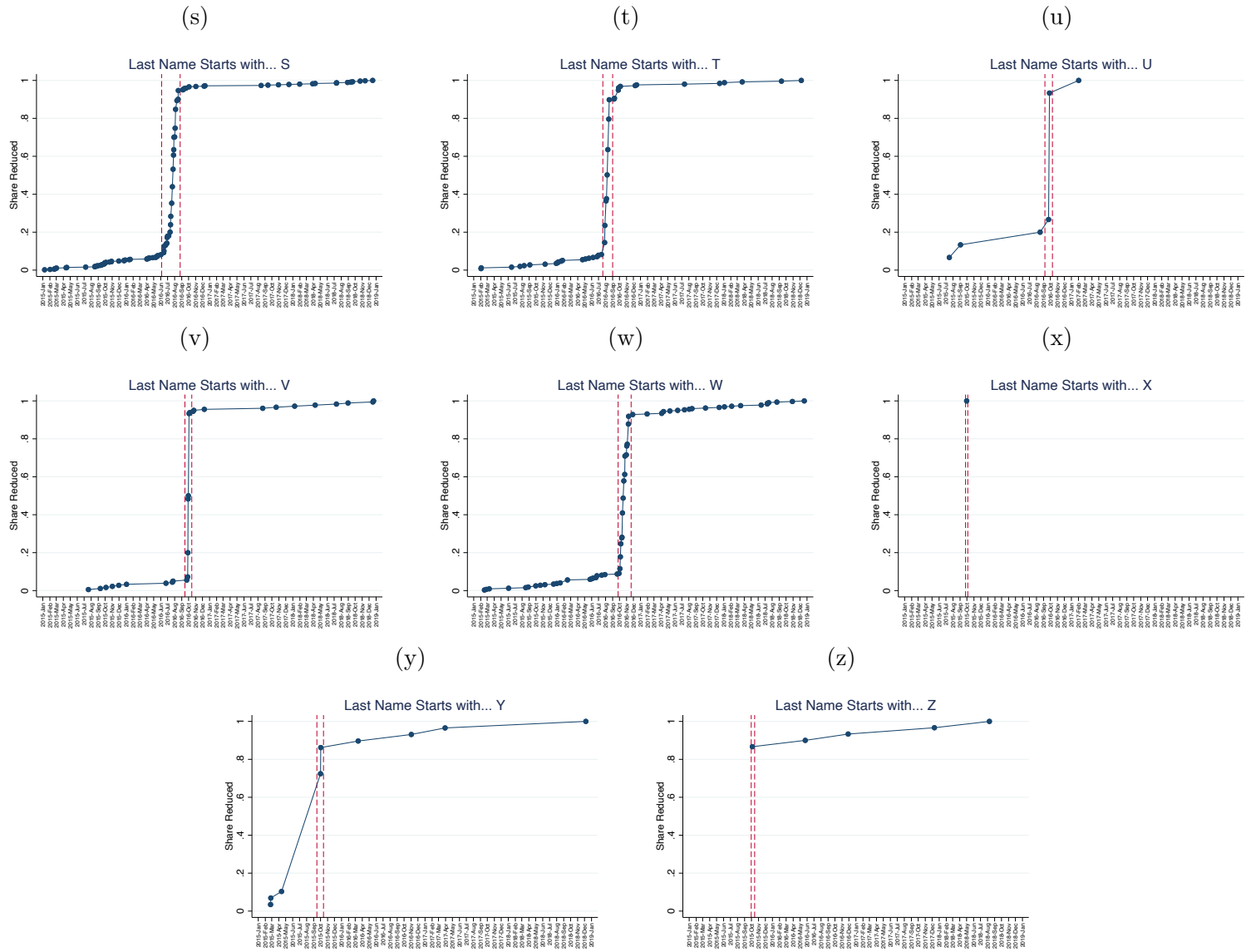


(q)



(r)





Notes: Figures represent CDFs of share of petitions filed by a certain date. Dashed lines are “surge” dates as identified by RAs.

C Details on Surveys

C.1 Survey 1

The first survey was conducted in May 2021 through Prolific and designed using Qualtrics. Prolific was selected because it allows for the pre-screening of respondents based off of their responses to prepared questions. Prolific has also compared favorably to other platforms for soliciting survey respondents (?). We selected people who responded “Yes” to the question: “Do you have any experience in making hiring decisions (i.e. have you been responsible for hiring job candidates)?” And later also added the criteria that the respondents should be located in the USA, after a pilot of the study accidentally included respondents in the UK. We additionally asked (though could not screen participants out based on responses, per Prolific guidelines): “In the past 5 years, have you had experience working in the United States in human resources and/or dealing with hiring processes for a firm with more than 1 employee?”

The survey starts with questions about recent hiring experience and a series of opening questions about the type of office the respondent worked in: the location, size, and industry of the firm. Then the survey asks the same set of questions twice about the most recent position in which the respondent had experience in making hiring decisions: first, for the position “closest to ‘entry-level’, meaning a job which required the least amount of experience and/or education in that firm,” then, later for the position, “closest to ‘mid-level’, meaning a job which required several years of experience.” The respondent’s were compensated 2\$ for their responses.

C.1.1 Sample Size, Compensation, and Technical Details

A small pilot was launched in May 2021 which helped us refine questions (results are not used in analysis). On May 25, 2021 we launched with 500 respondents. And on June 2, 2021 we requested an additional 500 respondents. In the full sample of 1000 responses, there are 808 valid responses (had recent hiring experience in the U.S. with a firm with more than 1 employee, of which 77% say their firm conducted a criminal background check. In total, there are 550 respondents who were aware of the background check process.

C.2 Survey 2

A second survey was designed and launched in late September to early October of 2021. The scope of this survey was broadly the same as the first, but the second survey was not a direct follow-up. The purpose of the second survey was to once again survey people with hiring experience in the United States and see how they would assess the risk of someone with a criminal record re-offending over time by asking them whether they would hire someone with a criminal record after X number of years.

There are two levels of randomization in the survey. The first is the nature of the crime that is posed in the hypothetical scenario asked to the hiring agent. There are four types of crimes: Felony Theft, Felony Drug Possession, Misdemeanor Theft, and Misdemeanor Drug Possession. There are also two possible dispositions: charged and convicted or charged and

not convicted. In total, this creates eight options for the randomization, which are selected randomly by Qualtrics. When a respondent is sorted into one of these eight categories, they will only respond to questions responding to that crime/disposition pair.

There is another level of randomization which is that each respondent receives one year since charge that they are asked about before all of the other years. For example, someone might be first asked if they would hire someone with a felony drug possession conviction 6 years ago. Someone else might be asked about conviction 4 years ago. The year value is randomized between 1 and 10.

The respondents also respond to the same question about whether they would hire someone with a charge from X years ago for all 10 years: only the first question is randomized. We ask the question in this format because we want to avoid biasing responses as respondents go through all the years. It also provides us a means through which we can make an assessment of the quality of the response: if the response in the first question does not match the response for the year in the second question, this might be a sign that the response is a low quality response.

The third question relevant to our main results is a question about whether the firm at which the respondent last had hiring experience has any policies about hiring individuals with given crime type and conviction after one through ten years. Unlike the other question, we only ask for the respondent to answer the question for all ten years, and do not present one randomized year.

Respondents were once again compensated 2\$ for their participation. It should be noted that the same survey was retained in Prolific so that the same individual could not be surveyed twice through the various versions of the second survey. The same person could be surveyed between the first and the second survey however.

C.2.1 Sample Size, Compensation, and Technical Details

In total, 2500 people were surveyed for the second survey.

Initially 20 people were part of the pilot of the survey. That number was then raised to 50 people. The first finalized version of the survey was then launched with 500 respondents without any randomization of the type of crime.

For the final version of the survey that included randomization of the type of crime, 1961 people were surveyed. 440 responses were discarded because two typos were found in the survey. Technically, the responses only applied to one eighth of the results, but for the sake of keeping the sample sizes and timings balanced, we discard all responses before 12:04 PM, which was when the typos were corrected.

C.2.2 Initial Pilot and First Version

The initial pilot was launched on September 29th, 2021 which helped us adjust questions (these results are not used in the analysis). We then launched with 500 participants on September 30, 2021.

C.2.3 Second Version

The second version of the survey was launched on October 6th, 2021. Following the first survey, a second version of the survey was designed that randomized the crime type and severity of the charge presented in hypothetical scenario. The following adjustments were also made:

- Size bins were changed in the question about firm size
- The industry options were modified in the question about the industry of the firm
- The wording of responses were changed in question 45.

Roughly 460 respondents were surveyed with a survey instrument that had a typo. Then the full sample of 1521 respondents were surveyed. Of these 1521 respondents, 1003 end up being valid responses that are not excluded as a result of any of our criteria. This resulted in roughly 250 respondents in each randomization bin for crime severity, though there is naturally some variation in the exact number for each category.

D Details of San Joaquin Notification Experiment

In the experiment, 4683 individuals were (randomly) selected to be notified by the Public Defender’s office about their reduction. The Public Defender’s office was able to obtain contact information for 3990 of these individuals using Transunion’s TLO service. The most common reason for not being matched to contact information (at a sufficient confidence level) was not having an SSN in the system. TLO was able to provide mailing addresses for all matched individuals. Of those, 22707 individuals also had at least one email address, and 3680 had at least one phone number. For each type of contact information, TLO provided up to 3 records per person.

The Public Defender’s office set up a “hotline” number specifically for these notifications. This was a voicemail box that was checked every business day by a member of the Public Defenders’ Office staff and any notifications like voicemails and texts included this number to get notification or ask questions, and an intern would call back the person to notify them or a Public Defender’s staff member would answer questions.

Some details follow. An even more complete description is available from the authors upon request.

Phone Calls: Calls were attempted in a randomized order. TLO provides up to 3 phone numbers. Interns attempted each of the 3 phone numbers, and tried up to 3 times for each until reaching the person or exhausting attempts (attempts were spaced at least a day apart). Calls were mainly made between 9am-5pm pacific time Monday through Friday. Notification was only given if the person answering explicitly confirmed they were the beneficiary (with very limited exception). If a voicemail was encountered, the interns left a voicemail only if the voicemail message matched the beneficiary name, in which case the interns left a message stating that the Public Defender had a notification for them and providing them with with a phone number that directed them to a Proposition 47 hotline manned by a PDO employee.

For each call, interns collect data on the date, time of day, outcome of call, and any relevant notes. If a beneficiary was reached who spoke Spanish, the case was transferred to a Spanish-speaking intern who called the individual back. Interns called from a script which detailed what to say. Pilot calls were conducted June 13-July 8, 2019. From December 12, 2019, main set of calls was attempted.

Texts: We sent the following text: “This is the San Joaquin County Public Defender’s Office. We have good news to share with you. Please call DPD Christine Kroger at (209) 468-425”. That number is the hotline number described above. The answering machine on the hotline says that the caller has reached Christine Kroger’s phone. We used the website TextMagic to send texts to each of the three numbers we have on file for beneficiaries. TextMagic allowed us to use a local (209) number to send the texts, which is likely more reputable. We sent the messages around noon on weekdays. TextMagic also allows us to send responses to people who respond to the initial text. We would reiterate the message, but we could not send personal information like the name of who we were trying to contact.

We texted in a randomized order, the same randomized order as the phone calls. Initially everyone on the contact list was texted, though the interns realized that people who had already received phone calls were calling in upset that they were being contacted again; subsequently, they began only sending texts to those who had not already been successfully notified via a phone call. Texts were sent in batches to reduce the load on the hotline. Texts were sent between December 17, 2019 and May 15, 2020.

Letters: We sent personalized letters to each of the 3 mailing addresses we have for our beneficiaries on January 17, 2020. We sent 10,529 letters to 3990 people. Some individuals have less than 3 addresses on file.

We excluded a small number of addresses that are clearly invalid (like “Homeless, Stockton CA”). The envelope indicated it was from the Public Defenders’ office, the letter itself had letterhead and DPD Christine Kroger’s signature. The letter included the hotline phone number and a special prop-47 email used exclusively for this project. We used mail forwarding from the postal service, which forwards mail to an updated address if an individual registered their change of address with the post office.

Each letter had a postcard with prepaid postage asking whether they were the correct individual (with first and last name), and whether or not they received the postcard at their address, from a friend or family member, or some other way. Most people who returned the postcard were the correct person. If someone received the letter but did not return the postcard, we have no way of knowing if they received notification, so the number of people notified by letter is a lower bound.

Figure [D.1](#) shows an image of the envelope and a hypothetical version of a letter.

E-mails: We sent 6305 emails to 2707 people. We began sending emails on January 15, 2020 and finished on Jan 29, 2020. We used the website SalesHandy, which provides read receipts and easy personalization. The content of the email was substantively identical to the letter. We sent the emails during waking hours Monday through Friday pacific time. We used a pre-send verification service from SalesHandy that checked whether or not the email would bounce prior to sending. The service categorizes emails into valid, risky, invalid and

we excluded all invalid emails. Emails were sent once a minute to avoid being put in the spam folder. The name of the email address was “Public Defender of San Joaquin County” and the subject was “Good News from the San Joaquin County Public Defender’s Office”. Figure D.2 has a sample version of the email.

Table D.1 shows that we successfully notified 25.2% of the entire sample (29.5% of the sample for which we had contact information).

Table D.1: Notification Success and Types of Notification for Treatment Group

Notification Type	N	%
<i>Success:</i>		
Successful	1180	25.20
Not Successful	2810	60.00
No Contact Info	693	14.80
Total	4683	100
<i>Amongst Successful, How Contacted:</i>		
Call Only	495	41.95
E-mail only	169	14.32
Letter only	236	20.00
Call and letter	135	11.44
Call and e-mail	88	7.46
Email and letter	24	2.03
All Three	33	2.80
Total	1180	100

Notes: No contact info/other issue: 627 people had no contact information in TLO; another 66 had other issues such as we discovered that they were mistakenly put into the group of people eligible for treatment (e.g. had not had a reduction by the time of randomization); had been put into a drug referral program which isn’t the same as a Prop 47 reduction; or we realized that what we thought were 2 people were actually 1 person.

Figure D.1: Sample of Letter and Envelope

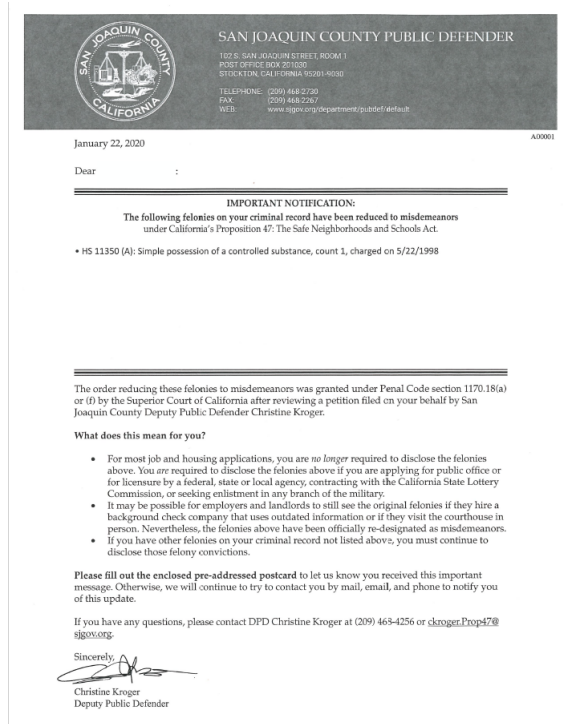
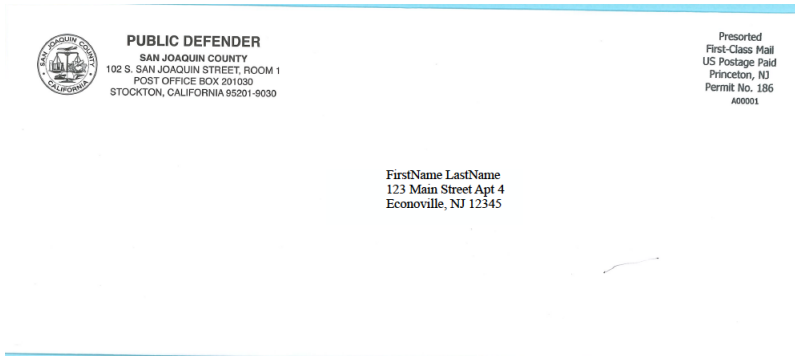


Figure D.2: Sample of Email

Good News from the San Joaquin County Public Defender's Office ▶

Public Defender of San Joaquin County ckroger.Prop47@sjgov.org xj@sjo365.onmicrosoft.com
to me ▾



January 21, 2020

Dear Mr./Ms. Agan:

IMPORTANT NOTIFICATION:

We have good news. The following felonies on your criminal record have been reduced to misdemeanors under California's Proposition 47: The Safe Neighborhoods and Schools Act.

- HS 11377 (A): Simple possession of methamphetamine, count 1, charged on 5/23/1994
- PC 666: Petty theft with a prior, count 1, charged on 8/27/2003
- PC 666: Petty theft with a prior, count 1, charged on 5/10/2004
- PC 666: Petty theft with a prior, count 1, charged on 12/8/2005
- PC 666: Petty theft with a prior, count 1, charged on 11/21/2006

The order reducing these felonies to misdemeanors was granted under Penal Code section 1170.18(a) or (f) by the Superior Court of California after reviewing a petition filed on your behalf by San Joaquin County Deputy Public Defender Christine Kroger.

What does this mean for you?

- For most job and housing applications, you are *no longer* required to disclose the original felonies. You *are* required to disclose the original felonies if you are applying for public office or for licensure by a federal, state or local agency, contracting with the California State Lottery Commission, or seeking enlistment in any branch of the military.
- It may be possible for employers and landlords to still see the original felonies if they hire a background check company that uses outdated information or if they visit the courthouse in person. Nevertheless, these felonies have been officially re-designated as misdemeanors.
- If you have other felonies on your criminal record not listed above, you must continue to disclose those felony convictions.

If you have any questions, please contact DPD Christine Kroger at (209) 468-4256 or ckroger.Prop47@sjgov.org.

Sincerely,

A handwritten signature in black ink, appearing to read "Christine Kroger".

Christine Kroger
Deputy Public Defender

E Match Algorithm to IRS Data

This appendix outlines our approach to matching the names and birth dates from Proposition 47 reductions in San Joaquin County, CA to the IRS database and reports match performance. We rely on a variety of different sources in an iterative process as follows.

E.1 Step 1

We first search for possible match in the Social Security Database shared with IRS. The database provides date of birth and the first four letters of the last name (a field known as the “Name Control”), for every individual issued a Social Security Number or Individual Taxpayer Identification Number. The database includes a history of up to nine Name Controls ever-associated with an individual (for example, women a woman changes her last name after marriage, this would generate a new entry). We require an exact match on birthdate and first four letters of the last name in the database.

E.2 Step 2

Our procedure so far often results in multiple “hits.” To whittle down possible duplicate matches and assess match quality, we match to the database of individual tax returns and the database of information returns (W2s, 1099s, etc), each of which contain full names and ZIP code each time a form is filed. We track match hits to each data source with indicator variables.

Based on these match indicators, we create a priority ranking of matches. The highest quality matches (rank 1) have an exact match on first and last name, birthdate, and address (zipcode or state, when available as a match variable). If there is no address information available, or when the address information does not match, we prioritize matches of individuals that have ever appeared in Northern California, i.e. San Francisco, Sacramento, Palo Alto, San Mateo, Oakland, Berkeley, Richmond, San Rafael, San Jose, Stockton, Santa Rosa, Eureka, Sacramento, Marysville and Redding (zipcodes beginning with 94, 95, or 960). We next prioritize matches in California. We consider matches on first, last name, and birthdate, but no geographic match, to be the second highest quality matches. The remaining matches will be lower quality: we may have a Name Control, birthdate and geography match, but not an exact match on first and last name; or an exact name and DOB match, but not a geographic match. If there are duplicates, we prioritize the highest quality match. When duplicates remain, we throw out all matches.

E.3 Match performance

Below we document match performance for the entire universe of possibly eligible crimes in San Joaquin County based on the criteria described above.

We started with the original list of everyone potentially eligible for a reduction under Proposition 47 in San Joaquin county; note this is larger than the set of people who had actually received a reduction by September 2019. This list included 26,076 individuals,

though 427 were missing dates of birth and were dropped. Starting N (after dropping 427 with missing DOB)= 25,649

Highest Match Rank	No. Unique Matches	% of Matches	Cum.
1 - DOB, Full name, Northern CA	18,612	85.95	85.95
2 - DOB, Full name	1,249	5.77	91.72
3 - DOB, Name control, Northern CA	1,444	6.67	98.39
4 - DOB, Name control-only	349	1.61	100.00
Total	21,654		

Overall match performance: $21,654/25,649 = 84.42\%$

Of the 25,649 individuals, 10,360 of them had received a successful reduction by September 2019. We next compare characteristics of matched and non-matched individuals amongst those who received a reduction.

	(1)	(2)	(3)
	Matched	Unmatched	Difference (p-value)
Age in 2014	45.23	45.98	-0.753* (0.012)
One Felony	0.086	0.144	-0.0574*** 0.000
Has HS	0.819	0.830	-0.0104 0.309
Has 666	0.324	0.238	0.0861*** 0.000
Year of first petition	2016.2	2016.3	-0.0537* 0.033
Year of reduction	2016.8	2016.9	-0.0770* 0.010
Latest conviction year, eligible offenses	2004.7	2001.5	3.270*** 0.000
Supervised at time of first petition	0.219	0.193	0.0259* 0.016
Incarcerated at time of first petition	0.023	0.015	0.00832* 0.015
Obs	8,738	1,622	
Unique matches	8,702		

There are a small number of individuals (36) who are linked to the same SSN. For analysis, we assign the individual the earliest of their reduction dates and minimum of ONE FELONY status.

Our main analysis sample drops the 2,319 for individuals who were incarcerated or on parole/probation at the time of the reduction—these petitions were filed early and in a less exogenous fashion. With 8,041 reductions for non-supervised individuals, of which 6,729 could be matched to the IRS data. Table A.3 gives information about these 6,729 and in particular the 5,622 with HS crimes that are the focus of our analysis.

We have a slightly different estimation sample for the experiment. Randomization occurred earlier, before all reductions had been completed and before we had completed data collection and cleaning. As a result, we separately match the data using the data vintage as of the time of randomization. This full sample starts with 8,969 who had received reductions as of the first vintage of our data. We then drop 527 missing date of birth for a starting sample size of 8,442. 7,155 match to the IRS data. A comparison between matched and unmatched for this estimation sample is provided below.

	(1)	(2)	(3)
	Matched	Unmatched	Difference (p-value)
Randomized Into Treatment	0.525	0.505	0.020
			0.192
Age in 2014	45.89	45.11	-0.786
			0.015*
One Felony	0.069	0.124	-0.055
			0.000***
Obs	7,155	1,287	
Unique matches	7,128		