Response to Expert Report of Daniel A. Smith

Nolan McCarty
Susan Dod Brown Professor of Politics and Public Affairs
Chair, Department of Politics
Princeton University

Nolan McCarty is the Susan Dod Brown Professor of Politics and Public Affairs and the chair of the Politics Department at Princeton University. He earned his PhD in political economy at Carnegie Mellon University. He has published widely on topics related to legislative and electoral politics, especially the effects of electoral rules on legislative partisanship and polarization. His work utilizes sophisticated quantitative methods and mathematical models. He is the co-author of a PhD-level textbook on the application of mathematical models in political science. He is the co-editor-in-chief of the Quarterly Journal of Political Science, a journal that specializes in quantitative and analytical political science.

I. Background

On July 14, 2014, I was engaged by the Office of the Attorney General of the State of Ohio to provide my opinions on the analysis conducted by Dr. Daniel A. Smith as reported in his report filed on June 30, 2014. My report is limited to my evaluation of the appropriateness of the methodologies, the quality of its analysis, and the reasonableness of its inferences. I have also reviewed the relevant academic literature in an attempt to place Dr. Smith’s report in proper context.
II. Key Claims of Dr. Smith’s Report

In his submission, Dr. Smith attempts to document that Ohio’s African-American voters utilize early in-person (EIP) voting at rates that exceed that of white voters. Dr. Smith’s primary analysis is based on the use of administrative voter files that allow Dr. Smith to compute EIP voting rates for each day of the early voting period. He uses data from 84 of 88 Ohio counties for 2012 and 5 Ohio counties in 2010. He supplements this analysis with survey evidence from the Current Population Study (CPS) November supplement.

Using these two different data sources and a variety of methodologies, Dr. Smith provides estimates showing that the EIP voting rate of blacks exceeds that of whites. He finds that in 2012, approximately 20% of African-American voters cast an early in-person vote while only about 10% of white voters did so. Dr. Smith also provides evidence that black EIP voting rates were higher than that of whites on the days of the EIP voting period that SB 238 and Directive 2014-06 would eliminate. The daily racial gaps in EIP voting rate of up to 1.5% during the eliminated early voting days, but the largest gaps were the last two days of the early voting period, days that were later restored by the courts.

Dr. Smith does not directly claim that changes to the administration of EIP voting will reduce African-American electoral participation, the plaintiffs use his analysis to suggest that “thousands of Ohioans will be irreparably harmed by having their right to vote unlawfully abridged, and in many cases denied outright” (Plaintiff’s Motion, page x).

---

1 Because the five counties used in 2010 are so unrepresentative of the state in terms of several factors such as racial composition, partisanship, urban density, I do not believe that inferences from the 2010 data about the effects of SB 238 and Directive 2014-06 statewide are valid. So I will focus on the results from 2012.

2 Dr. Smith defines the EIP voting rate as the number of voters from a group who use EIP voting divided by the number of voters from that group who vote using any mode (p. 17, fn 23). This definition is problematic for evaluating the potential effects of changes in the EIP voting system on the overall participation of a group. As I discuss below, EIP voting may negatively impact overall participation rates. Therefore, curtailing EIP voting may reduce Dr. Smith’s EIP voting rate solely through its impact of the denominator.
In response to Dr. Smith’s report I address two broad issues. First, I discuss a number of methodological shortcomings related to his claim that black EIP voting rates are substantially larger than those of whites. Second, I address the second, more important, claim that changes to EIP voting procedures are likely to reduce the turnout of African-American voters.

III. Do Blacks Utilize EIP Voting more often than Whites?

In this section, I review evidence and arguments that Dr. Smith provides for his claim that black voters are more likely to cast early in-person ballots than are white voters. Each subsection discusses the drawbacks on his various approaches.

A. Regression Analysis

The first method for establishing differential EIP voting rates by race is regression analysis which is used to estimate the relationship between the EIP voting rate and the percentage of blacks in the voting age population (VAP) of each census block (hereafter “black VAP”). Dr. Smith estimates a positive relationship between these two variables indicating that there are greater levels of EIP voting in census blocks with a higher percentage of African-Americans. This analysis, however, raises two important concerns. The first is that the relationship is not very strong. For the 2012 election, the correlation between EIP voting rate and black VAP is low at .174.3 This weak relationship implies that black VAP is not a very good predictor of EIP voting. This is apparent in Figure 1 where it is clear that there is huge

---

3 Page 14, footnote 19.
variation in EIP rates for every level of black VAP. Notably, the correlation between EIP voting and black VAP is even lower (.145) when the analysis is restricted to the days that would be eliminated by SB 238 and Directive 2014-06 (prior to the reinstatement of the last two days of the voting period). These weak relationships imply that many factors beyond the racial composition of the districts drives participation in early voting.

The second, and more significant, problem with Dr. Smith’s regression analysis is that it is difficult to make inferences about the black and white EIP voting rates from the estimated relationship between the overall EIP rate and the black VAP. While it may be the case that the EIP voting rates and black VAP correlate because blacks utilize EIP voting more than whites, there are many other logical possibilities. For example, whites who live in racially mixed neighborhoods may be more likely to utilize EIP voting than whites who live in homogeneous white neighborhoods. Also recall that the EIP voting rate is defined by the number of EIP votes divided by the total votes cast. Therefore, the relationship between the EIP rate and the black VAP may be driven by changes in participation by election-day voters. If black voters in more homogeneous blocks voted on election day less often, their EIP rates would rise as the black VAP increased, even though their propensity to use EIP voting were unaffected.

This uncertainty over which inferences one can draw from aggregate data is known as the “ecological inference problem.” Among social scientists, it is well known that one can use regression to obtain valid inferences about individual behavior from aggregate data only if certain restrictive conditions are met. In the current context, these conditions require that a voter’s decision to use EIP voting rather than vote on election day is unaffected by the racial

---

4 Page 16, footnote 22.
composition of the census block.\textsuperscript{5} Such an assumption is very strong. There are many reasons to suspect that decisions about electoral participation might be affected by the local racial context.\textsuperscript{6} The inferences from regression may also be invalid if the participation decisions of voters are affected by factors that correlate with local racial heterogeneity. This is almost certainly true of factors such as age, education, income, and urban density. We would also be concerned about the validity of ecological inferences if voting behavior within a census block was affected factors related to the surrounding census blocks.

The assumptions required for regression to provide valid ecological inferences imply that if we were to aggregate up from the census block to a higher level of aggregation, we should still find a positive association between the EIP voting rate and the black VAP. To check whether this is the case, I have combined census data on turnout, race, and voting age population on Ohio’s counties with the Dr. Smith’s data on EIP usage in 2012 (Table 2). This allows me to compute the EIP voting rate for each county and compare it to the black VAP in each county. This relationship is demonstrated in Figure 1. If the variation in EIP voting rates across census blocks were driven primarily by differential usage across races, we would expect to see that relation aggregate up to the county level. But that is not the pattern than Figure 1 reveals. Counties with higher black VAP tend to utilize EIP voting at lower rates on average. In fact, the negative relationship revealed in Figure 1 is stronger than the positive ones in Figures 1 and 2 of Dr. Smith’s report.\textsuperscript{7}

\textsuperscript{5} See Gelman et al (2001).
\textsuperscript{6} See Barber and Imai (2014).
\textsuperscript{7} When counties are weighted by turnout, the correlation between the EIP rate and black VAP is -.54. Dr. Smith reports turnout weighted correlations of .17 and .15 for Figures 1 and 2, respectively (Smith report, footnotes 19 and 22).
Given these concerns about the robustness of the finding the relationship between EIP rates and black VAP and the difficulties of making proper inferences, Dr. Smith’s regression analysis does not provide very strong evidence of differential rates in EIP usage between black and white voters.

Figure 1

2012 EIP Voting Rates and Black VAP Across Ohio Counties
B. Homogeneous Block Analysis

Recognizing the limitations of his regression analysis, Dr. Smith supplements the analysis by estimating black and white EIP voting rates from homogeneous census blocks, i.e. ones where the black VAP is either 0% or 100%. This analysis, presented in Figures 3 and 9 in his report, shows that EIP voting rates are higher in blocks with 100% black VAP than in ones with 0% black VAP. From this analysis, he concludes that black EIP voting rates are higher than white EIP voting rates. This must logically be the case only for those homogeneous blocks. The analysis does not rule out the possibility that white EIP voting rates may be as high or higher than the black rates in more heterogeneous blocks. Since there are very large numbers of heterogeneous blocks, it is inappropriate to extrapolate the findings from homogeneous blocks to conclude that the black EIP voting rate exceeds the white rate statewide.

C. The Method of Bounds

In order to incorporate data from more heterogeneous census blocks, Dr. Smith uses a technique known as the method of bounds. The method of bounds uses observed data and accounting identities to place upper and lower bounds on some unobserved quantity of interest. The intuition behind this method is straightforward. Suppose we observe a block in which 20% of the votes cast were EIP, but we know that only 10% of the voters were white. A logical consequence is that the black EIP rate must be at least 10% (this would be the case if all whites voted early), but it can be no larger 20% (the case if all early votes were cast by blacks). So we would conclude that 10% is the lower bound of black EIP voting rates and 20% is the upper bound.
There are several problems, however, with this approach. First, the upper and lower bounds may be quite far apart and therefore provide very little information about the discrepancy between white and black EIP voting rates. This problem is most severe for heterogeneous blocks. Returning to the example above, suppose that 50% of the voters were white. Then if we observed an EIP rate of 20%, the lower bound for the black rate would be 0% (all early votes were cast by whites) and the upper bound would be 100% (all early voters were black). As a result of this problem, Dr. Smith limits his analysis to census blacks that are between 0 and 10% black VAP and those that are between 90% and 100% black VAP. So as in the analysis of perfectly homogeneous blocks, a very large number of blocks are discarded. If EIP voting behavior is different in the more heterogeneous blocks, the estimates of the statewide racial discrepancy in EIP voting rates will be mismeasured.

Finally, I have strong suspicions that the method of bounds was employed incorrectly in Dr. Smith’s report. My example above assumes that we know the total number of votes cast by whites and blacks in each block. But of course, these voting rates are also unknown and also have to be estimated via the method of bounds. Dr. Smith’s report does not contain information on how this additional step was accomplished, and his only citation is a work that does not deal with this complication. The failure to correctly apply the method of bounds to estimating turnout rates by race will generally produce bounds that are too close together. In the appendix, I derive the proper set of bounds for the application to estimating the EIP voting rate. Using the correct formulas, I am unable to replicate Figure 4 of Dr. Smith’s report. Instead, I find that for blocks at the .9 homogeneity cutoff, the bounds for the white and the black EIP voting rates overlap.

---

8 Schuessler (1999).
D. Survey Data

In addition to the aggregate census-block data, Dr. Smith reports the rate of EIP voting by race in Ohio computed from the Census Bureau’s Current Population Study (CPS). In election years, the CPS November supplement asks respondents whether they voted and whether they cast ballots early or on election day and whether they voted in-person or by mail. Using these data for the 1656 respondents in Ohio in 2012, Dr. Smith reports that “19.55% of blacks reported voting EIP absentee ballots in Ohio, whereas 8.91% of whites in the state reported they voted EIP absentee ballots.”9 But as Dr. Smith concedes, the CPS does not ask when during the early voting period voters cast their ballots. So it is difficult to infer anything from this information about the impact of the recent legislative and administrative changes to early voting in Ohio.

IV. Will Changes in the Implementation of EIP Voting Differentially Affect Black Turnout?

While Dr. Smith is careful not to directly argue that SB 238 and Directive 2014-06 would reduce black turnout relative to whites, such a claim is implicit in his report and explicit in the plaintiff’s motion. In this section, I argue that the academic literature on early voting provides very little support for that argument even if blacks utilize EIP voting at rates great than whites.

I base my argument on two findings from the literature. First, I argue that academic studies have not supported for idea that EIP voting enhances turnout. In fact, studies usually

---

9 Dr. Smith cites the following url for a claim that black EIP voting rates have exceed whites nationally since 2008. [http://www.census.gov/hhes/www/socdemo/voting/publications/p20/2012/tables.html](http://www.census.gov/hhes/www/socdemo/voting/publications/p20/2012/tables.html). But the data to support that claim is provided in none of the tables linked from that page.
generate the opposite conclusion. Second, I argue that studies examining variations in the implementation of EIP (including Dr. Smith’s own work) fail to find an effect on aggregate turnout or black turnout.

A. Does Early In-Person Voting Enhance Turnout?

Determining whether the adoption or alteration of early in-person voting or any other election law has a casual effect on voter turnout is notoriously difficult. The scientific gold standard requires an experiment in which electoral laws were randomly assigned across jurisdictions so that researcher could measure the changes in turnout associated with each type of electoral law. Obviously, such an experiment is infeasible. Therefore, political scientists have used a variety of data and research designs to isolate the effects of early in-person voting. But despite this methodological triangulation, the literature contains very little evidence of a positive effect of EIP voting on participation.

One approach to estimation of the impact of EIP voting is to use aggregate data on voter participation at the state or county level to compare participation in states that allow early voting with those that do not. In one such study, Gronke et al (2007) use state-level presidential and mid-term election turnout from 1980 to 2004 to estimate the effects of a variety of convenience voting procedures. They estimate that EIP voting reduces turnout by about 2%. The estimate, however, is not very precise and is therefore not statistically distinguishable from zero. Burden et al (forthcoming) find that EIP reduces county-level participation in the 2004 and 2008 presidential elections by 0.7% and 3.0% respectively. The estimate for 2008 is statistically significant. An issue of concern is that these studies the estimates may be driven by cross-state
variation in the use of EIP procedures. This feature would produce spurious correlations and incorrect inferences if states with either high or low turnout rates were more likely to adopt EIP voting. Therefore, other studies attempt to utilize only the information about changes in EIP voting within states. Using this approach, Fitzgerald (2005) also finds a negative, but statistically insignificant, effect of a state adopting EIP voting. Burden et al find that states that adopted EIP voting between 2004 and 2008 witness a statistically significant drop in turnout of greater than 2%. Notably none of these aggregate studies finds a positive relationship between EIP voting and turnout. They differ only in terms of the magnitude and statistical significance of an estimated negative relationship.

A second approach to uncovering the relationship between EIP and turnout is to use individual-level data on decisions to vote early, on election day, or not at all. Burden et al (forthcoming) use data from the Current Population Study (CPS) to estimate whether individuals who live in states that allow EIP voting were more likely to vote in the 2004 and 2008 presidential elections. Because the CPS includes information on a very large set of demographic characteristics, Burden et al are able to account for many of the most important determinants of voting participation such as age, education and income. Their main finding is that individuals in states that allow EIP voting have a lower likelihood of voting by 3 to 4 percentage points. This result is very consistent with the studies based on aggregate data.

In summary, the popular idea that early voting boosts turnout finds very little support in the academic literature. In fact, most studies find the opposite – that EIP reduces aggregate turnout.
C. What is the Impact of Reducing the Duration of the Early Voting Period?

The question in this litigation is not about the complete elimination of EIP voting but simply the reduction in the duration of the early voting period. Like the question of the impact of adopting EIP voting, the academic literature casts doubt on the idea that reducing the window of EIP voting would have a large impact on the size or composition of the electorate.

In an early study, Stein (1994) uses exit polls from the 1994 Texas gubernatorial election to compare early and election-day voters. His primary finding is that there are few if any demographic differences between the two sets of voters. In particular, he finds little evidence of difference in racial composition or educational attainment. The two groups differed by age, and low income voters were a bit more likely to vote early though Stein says “this difference was not substantively large enough to warrant serious attention.” The key differences were that early voters were more partisan, more ideologically committed, and more interested in politics. As decades of research have shown that these are the characteristics of the highest propensity voters, it seems unlikely that those are the voters who would drop out of the electorate if the early voting period were reduced.

Burden et al also address this question utilizing data from the CPS where they examine the decision of voters to vote early, vote on election day or not at all. They find “that early voters comprise a population that, based on demographics, is more likely to vote than the population of voters that cast their ballots on election day.” In other words, their model predicts that the typical early voter is likely to switch to voting on election day if early voting were eliminated.
To more directly address the question of reducing the number of EIP voting days, Burden et al examine the relationship between the duration of EIP voting and presidential turnout in counties for the 2004 and 2008 elections. Consistent with their finding that EIP depresses turnout overall, they find that shortening the EIP window would increase turnout by about a percentage point.

A particularly pertinent study of the impact of reducing the duration of EIP is that of the plaintiffs’ experts (Herron and Smith 2014). In their study, they consider the impact of the reduction in the Florida’s EIP window from two weeks to eight days that occurred between the 2008 and 2012 presidential elections. The eliminated days included the first five days and the Sunday before election day. Using the state’s voter files from each of these elections, they are able to estimate what percentage of voters who cast votes during each day of the 2008 EIP voting period cast a valid vote in 2012 (either early or on election day). Their results presented in Figure 6A are striking.\(^\text{10}\) For the first five eliminated days (the change most analogous to Ohio’s revisions), well over 80% of the 2008 early voters returned to cast valid votes in 2012. These rates exceed the rate at which 2008 early voters from the period in which the windows overlapped who returned in 2012.\(^\text{11}\) These findings suggest that the overwhelming majority of those who cast votes on the eliminated days in 2008 simply adjusted by choosing an alternative date. Because Ohio has maintained a much longer EIC window than Florida, it is reasonable to assume that similarly situated Ohio voters will have an even easier time adjusting.

A second finding reported in Figure 6A also undermines a key claim from the Smith expert report and plaintiff’s motion suggesting that African-Americans will be disproportionately

---

\(^{10}\) Herron and Smith 2014, page 16.

\(^{11}\) Unfortunately, Herron and Smith do not report how many of the 2008 election day voters cast ballots in 2012. This figure would indicate whether early voters are more persistent voters than election day voters. Such a finding would also cast doubt on the existence of large effects of shrinking the early voting window.
likely to be hindered by the reduction of the EIP window. But Figure 6A illustrates that of those 2008 early voters who cast votes during an eliminated day, black voters were more likely to cast a valid ballot in 2012. It appears that many black voters switched to election day. While Herron and Smith finds that EIP voting rates among African-Americans fell by over 4 percentage points after the EIP window was reduced, the black share of the electorate ticked slightly upward between 2008 and 2012 (comparison of Tables 2 and 3, pages 5 and 6). These findings are evidence against any effect of the changes on black turnout.

V. Conclusion

In his expert report, Dr. Smith argues that statistical evidence derived from the Ohio voter file suggest that blacks in Ohio cast a larger percentage of their votes during the early election than do whites. Based on this finding, Dr. Smith concludes that “blacks residing in Ohio will be disproportionately affected by the reductions in EIP absentee voting” (page 32).

As I argue above, the evidence for these claims is not strong. First, the correlation between EIP voting rates and black VAP is not strong at the census block level. At higher levels of aggregation such as the county, the weak positive correlation is replaced by a stronger negative one. Second, the inferences that one may draw from the correlation EIP voting and black VAP are tenuous. Dr. Smith’s attempted corrections using homogenous blocks and the methods of bounds omit information about thousands of Ohio voters and therefore may not provide a reasonable estimate the statewide racial discrepancy in EIP voting rates. Third, there is strong evidence that the method of bounds was misapplied and that the actual results are not consistent with a substantial racial gap in EIP voting rates.
Even if the claim of a differential usage of EIP voting were on a firmer footing, the evidence that the reductions of EIP voting would reduce black voting participation relative to whites is non-existent. The political science literature suggests that EIP voting does not increase voter turnout -- most studies reach the opposite conclusion. More specifically, the evidence shows that reductions in the window of EIP voting does not reduce turnout.
References

http://imai.princeton.edu/research/files/neighbor.pdf


Herron, Michael C. and Daniel A. Smith. 2104 “Race, Party, and the Consequences of Restricting Early Voting in Florida in the 2012 General Election.” Political Research Quarterly Online first:
http://prq.sagepub.com/content/early/2014/02/21/1065912914524831


Appendix: Application of the Method of Bounds

The method of bounds uses observed data and accounting identities to place upper and lower bounds on some unobserved quantity of interest. The canonical application involves estimating turnout rates for different races from aggregate data. To illustrate suppose that we observe only the turnout rate for some census block $T$ (as a percentage of voting age population). Let $X$ be the percentage of the census block’s voting age population that is black (therefore $1 - X$ are non-black). But we do not observe the turnout rate for blacks $B$ and the turnout rate for non-blacks $N$. Without any additional assumptions, we know that the following identity must hold:

$$BX + N(1-X) = T$$

But if we solved for $B$, we would obtain $B = (T - N (1 - X))/X$. However, this expression includes the unknown quantity $N$. But we can place bounds based on all the logically possible values of $N$. For example, if $N = 1$ (all non-blacks turned out), then the minimum possible value of $B$ is the greater of 0 or $(T + X - 1)/X$. Assuming no non-blacks turned out ($N=0$), we can obtain an upper bound of $B$ which is the lesser of 1 or $T/X$.

Dr. Smith’s application deviates from this standard application in a number of important ways. His quality of interest is the EIP rate for blacks and whites. As discussed above, his measure of the EIP rate is the number of EIP votes cast divided by the total number of votes cast by any method. So let $T^E$ now be the aggregate EIP rate for a census block which is observed. Let $B^E$ be the EIP voting rate for blacks and $N^E$ be the rate for non-blacks. But the accounting identity
that links $B^E$ and $N^E$ to $T^E$ is quite different than the one discussed above. Because $B^E$ and $N^E$ are measured as fractions of total turnout for each group, the accounting identity becomes:\textsuperscript{12}

$$B^E \cdot B X + N^E \cdot N (1 - X) = T^E \cdot T$$

Thus, the method of bounds produces bounds on the quantity $B^E$, not $B$. But $B$ is unknown and can only be bounded. But we can use the bounds for $B$ to compute the proper bounds for $B^E$. If we use the lower bound for $B$ from above, we can obtain the following upper bound for $B^E$:

$$\frac{(T^E \cdot T)}{(T - X + 1)}$$

Similarly, we can use the upper bound estimate of $B$ to get the correct lower bound for $B^E$:

$$\frac{(T^E \cdot T - X + 1)}{T}$$

Unfortunately, Dr. Smith does not provide enough information to determine whether he in fact used these formulas. But it is easy to infer that it was highly unlikely that he did. For example, consider the bounds plotted in Figure 4. Unfortunately, the exact numbers for Figure 4 (page 20 of his report) were not provided but by using a ruler, I can estimate that the lower and upper bounds of the black EIP voting rate for 90% black VAP blocks are .157 and .200, respectively. Therefore, if the correct bounds were used, the following must be true (since $X = .9$):

$$\frac{(T^E \cdot T)}{(T - .1)} = .200$$  \hspace{1cm} (eq. 1)

$$\frac{(T^E \cdot T - .1)}{T} = .157$$  \hspace{1cm} (eq. 2)

\textsuperscript{12} The right hand side of the equation is the number of early votes divided by total VAP. The first term on the left computers to the number of black early votes as a proportion of total VAP and the second is the number of non-black early votes as a percentage of VAP.
Dr. Smith does not report T (the turnout rate) for 90% black VAP blocks, but using a ruler I estimate the black dot on the 90% black VAP range reflects $T^E = .192$. Using this figure, one can easily verify that eq. 1 can be true only if $T = 2.5$ and eq. 2 can be true only if $T = 2.85$. Since $T$ is a turnout rate it must be less than 1.0. So these are impossibly large numbers suggesting that the reported bounds are incorrect. If a more realistic value of $T$ were used such as .7, the bounds would be .05 and .22 suggesting that the reported bounds are far tighter than the true bounds. Moreover, the bounds for the black EIP rate and the bounds for the white rate for the 90% blocks would overlap. Therefore, one would not be able to say that the black EIP rate exceeds that of whites with certainty.
I declare under penalty of perjury under the laws of the United States that the forgoing is true and correct to the best of my knowledge.

Dated: July 23, 2014

Nolan McCarty, PhD
Nolan McCarty

Department of Politics
Princeton University
Princeton, NJ 08544
(609) 258-1862
nmccarty@princeton.edu

Academic Affiliations

Susan Dod Brown Professor of Politics and Public Affairs, Princeton University, 2007-present.
Fellow, Center for the Advanced Study in the Behavioral Sciences, 2004-2005.
Associate professor of Political Science (with tenure), Columbia University, 2000-2001.
Assistant professor, School of Business Administration, University of Southern California, 1993-1996.
Instructor, Graduate School of Industrial Administration, Carnegie Mellon University, 1993.

Administrative Positions and University Service

Chair, Department of Politics (2011 - )
Associate Dean, Woodrow Wilson School of Public and International Affairs (2005-2011).
Acting Dean, Woodrow Wilson School of Public and International Affairs (2007-2008).
Executive committee, Julis-Rabinowitz Center for Finance and Public Policy (2011 – present)
Executive committee, Center for the Study of Democratic Politics (2003 – present)
Elected member, Princeton University Committee on Appointments and Advancements (C/3) 2009-2010.

Co-Chair, Woodrow Wilson School Undergraduate Curriculum Reform (2010-2011).

Chair, Resources Committee, Council of the Princeton University Community (2007 - 2008).

Faculty Chair, PhD Program, Woodrow Wilson School, 2002-2004.

Director, Graduate Program in Political Economy, 2001-2004.

Member, Task Force on the Changing Nature of Government Service (chaired by Paul Volcker and Anne-Marie Slaughter)

Berman Prize in the Humanities selection committee

**Honors, Awards, and Grants**

Princeton University President’s Lecture Series, 2010.

Member, American Academy of Arts and Sciences (elected 2010)

Fellow, Center for the Advanced Study in the Behavioral Sciences, 2004-2005.


Patrick J. Fett Award for the best paper on the scientific study of Congress and the Presidency at the 1998 Midwest Political Science Association Meetings.


Phi Beta Kappa (1990)

Council for Humanities and Social Sciences, Columbia University, 1996-97 ($6,000)

National Science Foundation Grant, 1995-96 ($87,500)

Institute for Social and Economic Theory and Research, Columbia University ($10,000)

Russell Sage Foundation “Polarization, Inequality, and Public Policy in the American States,” 2002-2003 ($97,000)

National Science Foundation “The Ideological Mapping of American Legislatures” ($300,000)

Russell Sage Foundation “The Political Economy of the State Pension Crisis” ($111,000)

John and Laura Arnold Foundation “Polarization, Partisanship and Electoral Reform in the American States” ($154,000)

**Education**


Books


Reviews: The New Republic


Named an “Outstanding Academic Title” by Choice in 2007.

Critics Roundtables: 2005 APSA, 2006 MPSA


Monographs


Journal Articles


**Book Chapters and Invited Contributions**

“The Causes and Consequences of Polarization” (with Michael Barber) in Negotiating Agree in Politics eds. Cathie Jo Martin and Jane Mansbridge.


Nolan McCarty 7/22/14

603826583.1


Reviews and Comments


**Opinion Pieces**


“McCain for President?: A Liberal Conservative Oscillation Cements His Maverick Reputation.” *San Diego Union Tribune* August 31, 2008 (with Keith Poole and Howard Rosenthal) [http://www.signonsandiego.com/uniontrib/20080831/news_lz1e31mccarty.html](http://www.signonsandiego.com/uniontrib/20080831/news_lz1e31mccarty.html)

“Obama for President?: Moderate and independent voters still must be convinced” *San Diego Union Tribune* August 24, 2008 (with Keith Poole and Howard Rosenthal) [http://www.signonsandiego.com/uniontrib/20080824/news_lz1e24obama.html](http://www.signonsandiego.com/uniontrib/20080824/news_lz1e24obama.html)


Blog: [http://nolanmccarty.com](http://nolanmccarty.com)
Occasional contributor: [http://themonkeycage.org](http://themonkeycage.org)

**Other Work in Progress**

“Regular Order in Appropriations: Does It Matter?”
“Regulation and Self-Regulation of a Complex Industry.”
“Welfare and Paternalism” (with Stu Jordan).
“Methodological Issues in Bridging Ideal Points” (with Boris Shor and Chris Berry).
“Voting, Income Inequality, and Polarization” (with Jonas Pontusson and Teppei Yamamoto).

Courses Taught

Doctoral Level

Bureaucratic Politics. Princeton University.
Democratic Processes. Columbia University
Political Methodology Sequence. Columbia University
Colloquium on Political Organizations and Interest Groups. Columbia University
Research Controversies in American Politics. Columbia University
Mathematics for Political Science. Columbia University
The Politics of Inequality in the U.S. and Western Europe. Princeton University
Game Theory and Political Theory. Columbia University
Formal Theory I. Princeton University.

Master’s Level

Legislative Politics. Princeton University. (Spring 2003)
Advanced Econometrics and Public Policy. (Spring 2003)
Business, Government, and Society. University of Southern California
Business and Its Nonmarket Environment. University of Southern California

Undergraduate

Democracy. Princeton University.
American Politics. Princeton University.
The Politics of Reform. Columbia University
Decline of the American Party System? Columbia University
Introduction to American Government and Politics. Columbia University
Public Finance. Carnegie Mellon University

Professional Activities

Conference Participation

American Economic Association (2002)
American Political Science Association (various years)
Challenges in Political Economy, Harvard University (2002)
Designing Democratic Institutions, LSE (2008)
Eric M. Mindich Encounter with Authors, Center for Basic Research in the Social Sciences, Harvard University (2005) (for *Polarized America*)
Encounter with the Authors, Center for Basic Research in the Social Sciences, Harvard University (1999) (participant)
Emory University Conference on Institutions and Law-Making (2013)
European Political Science Association (2011-2013)
History and Congress Conference, Berkeley (2010)
History and Congress Conference, Brown University (2011)
History and Congress Conference, University of Georgia (2012)
Impact of Direct Democracy, University of Southern California and University of California at Irvine (2005)
Macro-Politics of Congress, University of Colorado (2001)
Midwest Political Science Association (various years)
Northeastern Political Science Association (2002)
Policy History Conference (2012)
Political Accountability Conference, Princeton University (2002)
Political Institutions and Economic Policy, Princeton University (2013)
Public Choice World Congress Plenary Speaker (2012)
Public Choice Society (various years)
Priorat Workshop on Theoretical Political Science (2013)
Social Science History Association (1998)
Society for Political Methodology Summer Meetings (1997-1999)
Standing Group on Political Economy of the ECPR (2009)
Stanford Institute of Theoretical Economics (1995)
University of George Elections Conference (2008, 2012)

**Invited Workshops**

Academia Sinica (Taiwan) (2013)
California Institute of Technology, Department of Humanities and Social Sciences (1992)
Center for the Advance Study in the Behavioral Sciences (2005)
Columbia University, Department of Political Science (1994, 1996, 2009)
Harvard University, Department of Government (1998)
Harvard University, Center for American Political Studies (2006)
Hoover Institution, Stanford University (2000, 2005)
Instituto Tecnológico Autónomo de México (2002)
London School of Economics and Political Science (2009)
Michigan State University, Department of Political Science (2002)
New York University, Department of Politics (1998, 2001)
New York University, School of Law (2002)
Northwestern University, Department of Political Science (2003)
Northwestern University, Managerial Economics and Decision Sciences (2010)
Nuffield College, Oxford University (2009)
Ohio State University (1993, 2007)
Stanford University Law School (2005)
Universidad Extranada de Bogota (2000)
University of California at Berkeley, Department of Political Science (2000, 2004)
University of California at Berkeley, Goldman School (2007)
University of California at Los Angeles, Department of Political Science (1995, 1999)
University of California at San Diego, Department of Political Science (2000)
University of Chicago, Department of Political Science (2005)
University of Essex, Department of Government (2009)
University of Essex, Political Economy (2009)
University of Georgia (2010)
University of Kentucky, Department of Political Science (2000)
University of Minnesota, Department of Political Science (2006)
University of Oregon, Department of Political Science (1996)
University of Pittsburgh, Department of Political Science (2007)
University of Southern California, Marshall School of Business (1993, 2000)
Washington University, Department of Political Science (1999)
Yale University, Department Political Science (1992, 2002)
Yale University School of Management (1993)

Referee Service


Outside Professional Activities

Founding Editor-in-Chief, Quarterly Journal of Political Science
Council member, Midwest Political Science Association (2009-2012)
Editorial committee, Annual Review of Political Science
Executive committee, Section on Political Economy, American Political Science Association (2004-2007)
Chair, U.S. Subcommittee of APSA Taskforce on Negotiations.
Program co-chair, 2005 Midwest Political Science Association Meetings.
Editorial board, Political Science Research and Methods
Editorial Board, American Journal of Political Science
Editorial Board, Legislative Studies Quarterly
Section Head, Political Economy, American Political Science Association Conference, 2002.
Instructor, Political Game Theory, European Consortium of Political Research Summer School, Ljubljana, Slovenia (2009 and 2010)
Instructor, National Science Foundation Program on Empirical Implications of Theoretical Models, University of Michigan (2006)
Instructor, National Science Foundation Program on Empirical Implications of Theoretical Models, Harvard University (2002)
Instructor, National Science Foundation Program on Empirical Implications of Theoretical Models, Washington University, St. Louis (2004, 2006)
Section Head, Parties and Interest Groups, Midwest Political Science Association, 2003.

Professional Memberships

American Political Science Association
Midwest Political Science Association
European Political Science Association