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Officer bias, over-patrolling, and ethnic disparities in stop and search

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Abstract

Black and Asian people in the United Kingdom are more likely to be stopped and searched by police than White people. Following a panel of 36,000 searches by 1,100 police officers at a major English police force, we provide officer-specific measures of over-searching relative to two baselines: the ethnic composition of crime suspects officers interact with and the ethnic composition of the areas they patrol. We show that the vast majority of officers over-search ethnic minorities against both baselines. But we also find that the over-searching by individual officers cannot account for all of over-representation of ethnic minorities in stop and search: Over-patrolling of minority areas is also a key factor. Decomposing the overall search bias we find the the over-representation of Asian people in stop and search is primarily accounted for by over-patrolling while the over-representation of Black people is a combination of officer and patrol effects, with the larger contribution coming from officers' biases.

Introduction

Ethnic minorities are over-represented in police searches compared to White people. In England, Black and Asian people make up 11% of the population, yet they account for 30% of all English police searches, called stop and search¹.

Search decisions come with considerable consequences: searches can create feedback loops where an individual is repeatedly searched because they were searched in the past^{2,3} which increases their likelihood of being arrested, thereby creating further feedback loops in the criminal justice system^{4,5}. High levels of searches further result in diminished citizen engagement with police, diminished political engagement, reduced perceptions of police legitimacy and trust in police^{6,7,8,9,10,11}. In addition, invasive search encounters

can result in psychological harm to searched individuals, leading to increased symptoms of stress, anxiety and trauma^{12,13,14}.

It is therefore crucial to understand the reasons for the over-searching of ethnic minorities. Here we explore ethnic bias in search decisions at the officer level by focusing on individual officers' levels of bias and factors shaping these biases. Our approach is two-fold. First, we investigate officers' search biases against an ethnic group relative to two officer-specific baselines: the ethnic composition of crime suspects and of the areas they patrol. Second, we then examine the contributions of officers' search biases and of biases in deployment decisions to the over-representation of ethnic minorities in stop and search.

We demonstrate that the majority of officers over-search Asian and Black people, whichever baseline we compare their searches against. Our results show that officers perform more searches of ethnic minorities than can be explained by the ethnic composition of the areas officers patrol or of the crime suspects officers interact with. However, over-searching by individual officers cannot account for all of the over-representation of ethnic minorities in stop and search. Over-patrolling is part of it: The median officer in our sample patrols areas which are 1.16 times more Asian and 1.37 times more Black than the West Midlands police force area. In other words, police officers are deployed to more ethnically diverse areas. Such deployment decisions contribute to the over-searching of ethnic minorities^{15,16}. We find that these biases in deployment decisions multiply with individual officers' biases. Both together account for the overall bias against ethnic minorities in stop and search.

Our approach and results connect to a rich literature on stop and search, and on ethnic bias in policing more generally. Stop and search in the United Kingdom is a widely used policing power characterised by police forces as a crucial tool to prevent and investigate crime^{17,18,19}. If achieving these aims justifies persistent ethnic disparities has been powerfully challenged in the landmark Scarman and MacPherson reports which rejected police explanations for disproportionate use of stop and search and instead described it as a prime example of institutional racism^{20,21,22,23}. Furthermore, the empirical evidence suggests that stop and search has, at best, only minor effects on crime. Most studies, especially those conducted in the United Kingdom, do not find any evidence of crime reductions in response to stop and search^{14,24,25,26,27,28}.

Police frequently attribute the over-representation of ethnic minorities in stop and search to their over-representation in crime, implying that ethnic minorities perpetrate more crime than White people^{17,18,19,29,30,31,32}. This argument can result in a self-fulfilling prophecy because the process of observing and recording crime already depends on the wider social context of policing. In this context, deployment decisions^{15,33,34,35,36}, arrest probabilities^{5,37} and the accurate recording of crime^{38,39} are not independent of ethnic

group. As a consequence, crime data are not an objective benchmark of true criminal behaviour. In our work we do not take this into account for a simple reason: We are interested whether police officers' actions match the benchmarks they assemble themselves. Thus we compare officers' stop and search decisions to their own encounters with crime suspects.

In light of police's potential to criminalise minorities, the role of ethnic bias in police decision-making deserves further inquiry. Police officers operate within the tension between their roles as individual decision-makers and agents of the institution of the police, influenced by the organizational protocols and structures^{17,40,41}. At the individual level, there is ample evidence of biased attitudes held by police officers as well as of racially or ethnically motivated behaviour^{42,43,44,45,46,47,48,49,50,51}. Ethnic bias at the institutional level is equally important. The Stephen Lawrence Inquiry in 1999 with its emphasis on institutional racism has sparked a varied discussion on the role of police forces in creating ethnic disparities in the United Kingdom^{52,53,54}. Two factors have been highlighted in particular: First, structures within the police force perpetuate and broadcast biased beliefs through various hierarchies^{17,23,52,54}. Second, deployment decisions by the police force—that is, decisions about which areas to prioritise and deploy officers to—are under scrutiny, given that these decisions can create disparities at the population-level, independently of how individual officers behave^{22,23}. Deployments are also often targeted at specific behaviours such as drug use in specific neighbourhoods, often deprived and ethnically diverse. These types of targets raise concerns about the criminalisation of minority communities^{16,22}.

Officer teams are intermediaries between officers and the police force, often with their own norms and cultures^{40,53}. A recent study noted remarkable differences between different teams within the same English police force: Teams tasked with proactive policing not only performed the highest number of searches within the force but were also over-searching Black people at higher rates than other teams⁵⁵. In our analysis we explore the relevance of officer teams by accounting for differences between teams and by including the ethnic composition of officers' teams into our model.

The tension between individual and institutional behaviour also applies to other policing activities such as drug enforcement^{5,16}, arrests⁵⁶ and use of force⁵⁷. The literature on use of force in particular is currently debating an important consequence of this tension: What is the appropriate level of analysis of use of force data? We will briefly outline this debate since the analysis of stop and search data is characterised by the same tension and because our results can directly speak to an ongoing discussion within the use of force literature. In the United States, Black people are subject to higher rates of police use of force, particularly lethal use of force, than White people relative to their shares in the population^{57,58}. Some studies have argued that the general population in an area is

not the appropriate comparison: Instead one should compare rates of use of force to how often Black and White people come into contact with police^{59,60,61}. After conditioning on the rate with which police encounter Black individuals, Fryer⁶¹ finds a reversal of ethnic disparities: Police are apparently less likely to employ lethal force on Black people than White people.

An issue with this approach is pooling: Fryer⁶¹'s analyses are at the police department level, pooling all officers together. However, if officers are not homogeneous and differ in how often they encounter Black people or differ in how biased they are against Black people, then pooling their data can lead to erroneous conclusions. This phenomenon, called Simpson's paradox, is explicitly considered by Ross, Winterhalder and McElreath⁶²: In response to Fryer, they develop a generative model where all officers are biased against Black people but differ in how often they encounter them. Already a small group of officers which encounters Black people at high rates is sufficient to confound the pooled analysis and point toward anti-White biases (when in fact all officers exhibit anti-Black bias by construction). In other words, pooled analyses of use of force data can fail to detect ethnic bias with heterogeneous police officers^{62,63,64}.

The pooling problem directly applies to pooled analyses of police searches. If officers differ in how often they encounter criminals of different ethnicities, then a police department level analysis of searches conditioned on crime can be confounded and fail to identify the direction of the disparity. Generally, analyses of searches tend to find over-representation of ethnic minorities even after conditioning on crime. For example, Gelman, Fagan and Kiss⁶⁵ find over-representation of Black and Hispanic people in pedestrians stops-and-frisks in New York City after adjusting for race-specific representations in crime, a pattern substantiated in other analyses^{35,66}. In addition to pedestrian searches, traffic stops (where similar ethnic biases persist⁶⁷) are often compared to benchmarks of criminal behaviour^{68,69,70,71,72}. All of these analyses are performed at the police department level meaning that they could be potentially confounded.

Internal bench-marking is an officer-specific approach which matches each police officer to similarly-situated officers⁷³. The officer's behaviour is possibly problematic if it deviates substantially from their peers'. A drawback of this method is that it can only reveal individual officers' biases relative to their peers. For example, only 15 out of 2,756 officers of the New York Police Department are flagged as potentially biased⁷³, far too few to explain the overall level of over-representation of ethnic minorities in stop and search.

In our study, we explore stop and search behaviour at the level of the individual officer, following a panel of officers over time. We compare an officer's searches of an ethnic group to the officer's direct experiences of the crime involvement of this group. By not pooling our data we thereby circumvent the issue of Simpson's paradox.

Our analysis is focused on so-called suspicion searches. In the United Kingdom, police

officers routinely stop and question members of the public. During these unrecorded conversations, officers can ask individuals to account for themselves. If at any point the officers form a ‘reasonable suspicion’ that the person is in possession of illegal items such as weapons, drugs or burglary tools or in possession of stolen items, officers can initiate a search of the person’s clothing and belongings⁷⁴.

At this point, the encounter must be recorded in the form of a stop and search record detailing information about the searched person and the officer’s justification for the search. At the end of the search encounter, the searched person has to be supplied with a reference number to the record. A search may be initiated only under powers requiring ‘reasonable grounds for suspicion’ as detailed or with prior authorisation. In our analysis we restrict our attention to suspicion searches, which account for 99.4% of all searches, because only these searches are initiated at the discretion of the searching officer.

Our data consists of records of searches between 01/04/2014 and 30/09/2018 provided by West Midlands Police in England as well as all recorded crimes in the same period. In our analysis we use self-defined ethnicity, which is someone’s response to the question “What is your ethnic group?”. We focus our analysis on Asian, Black and White people because sample sizes are too small for the remaining Mixed, Chinese or Other groups.

In our analysis we rely on two officer-specific baselines: the crime suspects an officer encounters and the residents in the officer’s patrolling area. We obtain the crime suspect information by linking officers to the reported crime cases they responded to and then counting the person(s) suspected by police of having committed the offense. For the patrolling information, we calculate how often an officer visits a given geographical census unit using additional patrolling data and obtain an officer-specific patrol intensity share for the area. We use the smallest geographical unit provided by the 2011 ONS census, 2011 Output Areas⁷⁵. We then multiply the number of residents in each census unit with the intensity share and sum them to obtain patrolling intensity-weighted counts of the residents in an officer’s patrolling area.

Together our data form a panel of search counts, crime suspect counts and patrol counts for each officer over 9 half-year (6 month) intervals. We summarise this data in Table 1. Using a Bayesian Softmax regression model (sometimes also called Multinomial logit model) we then infer search shares p , crime suspect shares ζ and patrol population shares ρ for each officer i in time period t . They represent the share of each ethnic group e in the officer’s searches, crime suspect encounters and patrol counts, respectively.

These shares form the basis for our two measures of over-searching:

1. D^S , officer over-searching relative to crime suspects. For each officer we obtain D_{ite}^S by dividing the officer’s search share p of ethnic group e in time period t by the officer’s suspect share ζ of e in t . If D^S is larger than 1 then the officer over-searches an ethnicity relative to how often they encounter the ethnic group as crime suspects.

If D^S is smaller than 1 then the officer under-searches an ethnic group relative to suspects and if D^S is exactly 1 then the officer searches that ethnicity at the same rate as they appear in the officer’s crime suspects.

2. D^P , officer over-searching relative to patrol. For each officer we obtain D_{ite}^P by dividing the officer’s search share p of ethnic group e in time period t by the officer’s patrol share ρ of e in t . D^P has the same interpretation as D^S : If D^P is larger (smaller) than 1 then the officer over-searches (under-searches) that ethnic group relative to the ethnic composition of the area they patrol.

For example, for the median officer Asian people make up 23% of their searches, 15% of the crime suspects they interact with and 23% of the areas the officer patrols. Officer over-searching of Asian people relative to crime for this officer is $D^S = 0.23/0.15 \approx 1.53$ which means that the officer over-searches Asian people relative to crime suspects by a factor of 1.53. Officer over-searching relative to patrol for this officer is $D^P = 0.23/0.23 = 1$, meaning that this officer searches Asian people about as much as they encounter Asian people on patrol.

Such over-searching or bias is not equivalent to discrimination. Conclusively attributing empirical patterns of disparities to ethnic or racial discrimination is challenging^{64,76,77}. We believe it is nonetheless important to uncover, document and dissect ethnic disparities because differential rates of contact with police entail far-reaching consequences for the criminalisation of ethnic minority groups and, not least, the legitimacy of the institution of police. In our study we make two important contributions to the literature on ethnic bias in policing: First, we provide officer-specific measures of search bias relative to the crimes suspects an officer encounters and relative to the population in the area the officer patrols. Second, we find that officers’ search biases are smaller than search bias on the police-force level, suggesting that deployment decisions contribute to the overall search bias against ethnic minorities in stop and search.

Results

We perform Bayesian inference. Before seeing the data, we have prior information about likely values of the parameters which are updated with the likelihood of the data to obtain the posterior distribution. A sample, sometimes also called draw, from the posterior is a plausible parameter value consistent with the prior information and observed data. We provide 90% uncertainty intervals for the parameters, sometimes also called credible intervals⁷⁸. 90% of our posterior distribution over the parameter lies within the 90% uncertainty interval.

We present our results in three parts: (i) estimation of search shares, (ii) measures of

over-searching D^S and D^P and (iii) the discrepancy between officer-level and force-level search bias.

Inference of search shares

We infer p_{ite} , the share of each ethnic group e in officer i 's searches in time period t , as a function of the officer's suspect shares and patrol shares in time period t , and their gender, age, experience, ethnic group and the share of White officers in their team. The model is described more formally in the Data & Methods section.

Figure 1 shows the posteriors of p_{ite} for each ethnic group over all officers and time periods based on the full model. Due to the aggregation over officer-specific posteriors they represent the (posterior) behaviour of the entire workforce of searching officers and show that searches by the median police officer are 23% Asian, 15% Black and 60% White (with the remainder due to rounding).

As explained above, we infer the search shares as a function of officer and team characteristics and the officer's suspect and patrol shares. To do this, we infer each officer's propensity to search Asian and Black people, called θ_{Asian} and θ_{Black} , and then transform these propensities into search shares. In Figure 2, we show the posteriors of these coefficients. We find no credible evidence that officer age and ethnicity are associated with search shares. Officer gender and experience play a minor role where female or experienced officers search fewer ethnic minorities. Relative to the other associations, they are scarcely meaningful.

Instead, we find associations of search shares with officer-level suspect and patrol shares. The association with Asian suspect shares is positive, meaning that officers with a higher share of Asian crime suspects also have a higher Asian search share. Interestingly, the association with Black suspect shares is negative, meaning that officers who encounter more Black crime suspects have lower Black search shares. The association with patrol shares is more intuitive: the ethnic composition of searches reflects that of the areas officers patrol. In principle, this admits two competing hypotheses: Either, officers are searching at random or they explicitly adjust for the population in their patrol areas. As we demonstrate in the next section however, officers over-search ethnic minorities relative to their patrolling areas which suggests that officers do not search at random.

Last, we comment on our team-level results. In predominantly White teams, Asian and Black people make up a lower share of searches than in more ethnically diverse teams. While it would be preferable to differentiate between Black and Asian officers, we have to treat them as a single group in the analysis as there is insufficient variance in the separate shares of Black and Asian officers in a team, due to the lower numbers of non-White officers in our sample. Our Bayesian model includes team-specific intercepts to account for differences in search shares between teams. The results show that the ethnic

composition of searches varies considerably between teams as evidenced by the intercepts' standard deviations. Specifically, they are 0.35 (90% UI [0.27, 0.46]) for Asian searches and 0.43 (90% UI [0.34, 0.57]) for Black searches. Presumably, these differences are due to team specialisation, as officers' routines are determined by their responsibilities.

Measures of officer over-searching

Next, we discuss officer over-searching relative to crime suspects (D^S) and relative to patrol (D^P). We first show draws from the posterior distributions of D^S and D^P in Figure 3. Again, the distributions represent the aggregate over officer-specific posteriors and, as such, the behaviour of the entire workforce of searching officers in our sample. The median officer over-searches Asian people by a factor of 1.56 (90% UI [0.80, 6.92]), Black people by a factor of 1.41 (90% UI [0.41, 12.37]) and under-searches White people by a factor of 0.84 (90% UI [0.51, 1.23]) relative to suspects. The uncertainty intervals for Asian and Black searching are wide on the aggregate because they also are wide on the officer-level. The interpretation is that we are uncertain about the precise level of officers' search bias against ethnic minorities relative to suspects, but officers are more likely to over- than under-search Asian and Black people. In contrast, the results for White disparities are clear: More than half of officers under-search White people relative to suspects.

We can be more confident about the actual levels of over-searching relative to patrol. The right-hand side of Figure 3 shows that the median officer over-searches Asian people by a factor of 1.03 (90% UI [0.58, 2.24]), Black people by a factor of 1.78 (90% UI [1.06, 4.40]) and under-searches White people by a factor of 0.88 (90% UI [0.64, 1.25]) relative to patrol.

The summaries of D^S and D^P presented so far are coarse: They only allow us to make statements about the aggregate of all officers. To refine the resolution, we compute the posterior probability that an individual officer over-searches a particular ethnic group, both relative to suspects and patrol from the posteriors of the officer-specific disparities. We do this by calculating for each officer how many of the posterior draws of the officer-specific over-searching distributions D^S and D^P generated by our model are above 1. For example, if this probability is 1, then the officer always over-searches. Similarly, if this probability is 0.5, the officer's search shares perfectly match the suspect or patrol baselines.

Figure 4 shows histograms of these probabilities for all officers. The left-hand side is in line with what we have already seen on the aggregate in Figure 3: Most officers over-search Asian and Black people while virtually all officers under-search White people relative to suspects. However, the right-hand side of Figure 4 reveals a pattern that would be left obscured by only studying the aggregate. Particularly, we observe a split

between officers: Some officers under-search Asian people, while others consistently over-search them relative to patrol. Since these officer groups are of roughly the same size, the aggregate incorrectly suggests that officers do not over-search Asian people. In contrast, the officer-level results for Black and White people match the aggregate: Virtually all officers over-search Black people relative to patrol. In fact, 86% of the officers have a posterior probability of over-searching Black people that exceeds 0.95. Similarly, the vast majority of officers under-search White people relative to patrol. There is no change and no discernible dependence in D^S and D^P over time, a point we explore in more detail in the appendix.

Officer- compared to force-level bias

Last, we discuss the implications of our officer-level results on the overall over-representation of ethnic minorities in stop and search. The median officer patrols more ethnically diverse areas than are representative for the police force’s area of operation. For the remainder of the analysis, we only consider over- and under-searching relative to the patrolling baseline. This is because while police forces have direct control over patrolling decisions, the same cannot be said for the ethnic composition of suspects they encounter. Thus, analysing patrolling decisions allows us to decompose over-searching into officer- and force-level decision making.

Our analysis so far treats the officer patrolling areas as given. However, patrolling areas are not allocated at random. Rather, police departments’ deployment decisions are the consequence of prioritising certain areas. Similarly to how we constructed an officer-specific measure of over-searching relative to patrol, we can construct a force-level measure of over-searching relative to population share. This allows us to multiplicatively decompose force-level over-searching into three factors: officer over-searching, over-patrolling and the aggregation discrepancy between officer- and force-level.

$$\begin{aligned} \text{Force over-searching} &= \text{Officer over-searching} \times \text{Over-patrolling} \times \text{Aggregation discrepancy} \\ \frac{\text{Force search share}}{\text{Population share}} &= \frac{\text{Officer search share}}{\text{Officer patrol share}} \times \frac{\text{Officer patrol share}}{\text{Population share}} \times \frac{\text{Force search share}}{\text{Officer search share}} \end{aligned}$$

Officer over-searching is just D^P —our measure of officer over-searching by an officer relative to patrol. Over-patrolling is the disparity between the individual officer’s patrol share and the population share in the police force area. Last, the aggregation discrepancy is the disparity between the force-level search share and the officer’s individual search share. In some sense, the aggregation discrepancy is simply a mathematical artefact to

allow for the decomposition. It represents how different this officer’s search share is from the overall force-level search share. As we will see below its distribution represents the variation of officer search shares in relation to the force-level aggregated search share.

For example, we can decompose the over-searching of Asian people based on the medians of these three terms. Relative to population, Asian people are over-searched at the force-level by a factor of $0.2506/0.1982 \approx 1.26$, which is their share in all searches by the police force divided by their population share. Median officer over-searching is $0.2335/0.2304 \approx 1.01$ which means that the median police officer does not over-search Asian people relative to patrol. Median over-patrolling is $0.2304/0.1982 \approx 1.16$ meaning that the median officer over-patrols Asian communities by a factor of 1.16. The aggregation discrepancy is $0.2506/0.2335 \approx 1.07$ meaning that the median officer search share is slightly higher than the force-level average Asian search share.

Of course, any summary based on medians alone would be unsatisfactory. We therefore study the distributions over these three terms as induced by the officer-specific posteriors. On a practical level, this entails calculating them for every draw from each officer-specific posterior, the result of which is shown in Figure 5. Note that the distributions of officer over-searching shown in Figure 5 are the same as in Figure 3. At this point, it is important to recall that aggregated officer over-searching of Asian people obscures that some officers over- and some officers under-search Asian people relative to patrol which “cancels out” on the aggregate, resulting in a median of 1.01. This is only a concern for Asian over-searching since only there did the officer-level patterns differ from the aggregate. Taken together, the over-representation of Asian people in stop and search is accounted for by a combination of over-patrolling and some officer over-searching, though on aggregate officers do not over-search Asian people.

Black over-searching decomposes differently: Relative to the population Black people are over-searched at the force-level by a factor of 2.79 which is primarily accounted for by officer over-searching. Still, over-patrolling also contributes to the overall over-searching of Black people. Last, we find that White people are under-searched at the force level. This is primarily accounted for by officers under-searching White people but also by under-patrolling of White areas. As we already saw in Figure 1, there is some variation between officers in their shares of White searches which is reflected in the aggregation discrepancy as officers’ search shares vary relative to the force-level average.

Discussion

Ethnic minorities are over-represented in stop and search compared to both their representation in the population and in crime. Our analysis exploits a panel of officers’ searches from a major police force in England. We investigate the role of individual officers and

police structures in the over-searching of ethnic minorities in stop and search.

For each officer, we first infer officer-specific search shares—the share of an ethnic group in an officer’s searches. The ethnic composition of officers’ searches is not meaningfully explained by officer characteristics. For example, an officer’s ethnicity is not associated with the officer’s searches, which matches some of the mixed literature on the effect of officer ethnicity on policing outcomes^{79,80,81,82} and differs from some of it^{83,84}. Instead, the ethnic compositions of officers’ crime suspect encounters (suspect share) and of the officers’ patrolling areas (patrol share) are associated with the ethnic composition of searches.

In exploring team compositions, we uncover a nuanced role of officer ethnicity. We find that teams’ ethnic compositions are associated with officers’ search behaviour: Teams that are more homogeneously White have lower minority search shares. Officers preferring to interact (or being tasked with interacting) with members of their own ethnicity alone cannot explain this association because more diverse teams search more Black people, yet most of this diversity is due to Asian officers and not Black officers, of whom there are very few. Instead, stereotype threat could explain why homogeneously White teams are associated with fewer searches of ethnic minorities as predominantly White teams might feel stereotyped as racist and avoid searches of minorities⁸⁵.

In a second step, we infer an officer’s bias of over-searching an ethnic group relative to crime suspects or to patrol. Almost all officers over-search Black people both relative to how they encounter them as crime suspects and relative to the areas officers patrol. Similarly, almost all officers under-search White people relative to crime suspects or to patrol. For Asian people, we find that almost all officers search Asian people more than they encounter them as crime suspects. Relative to their patrol areas however, the picture shifts and officers are split into two groups, one that over-searches and another that under-searches Asian people which cancels out on the aggregate. One possible explanation for the split might be the pooling of diverse ethnic identities of people with Indian, Bangladeshi or Pakistani backgrounds into a singular ‘Asian’ group. Search rates are not equal for these different groups and individuals with Indian backgrounds are searched at lower rates¹. The split of officer over-searching relative to patrol might then be an artefact of this pooling of ethnic identities.

Such disproportionate contact with police relates back to use of force. Ross, Winterhalder and McElreath⁶² demonstrate that pooled analyses of use of force conditioned on the rates with which police encounter civilians can be confounded if officers differ in how often they encounter minorities. We find that officers indeed differ in how often they come into contact with ethnic minorities (for example, by searching them) and this cannot be explained by differential crime rates. Furthermore, even if officers were to use force on ethnic groups equally conditional on coming into contact with them, the fact that they have more contact with ethnic minorities means that these groups are subjected to higher

levels of police use of force (Eckhouse, unpublished manuscript). Of course, this not only applies to use of force but also other policing activities such as misdemeanour enforcement or arrests and emphasises the importance of documenting these disparities.

Regarding our findings of over-searching minorities relative to patrol, it is important to note that the patrol share is based on residential data from the 2011 ONS Census. The population available on the street, the ‘available population’, can be markedly different from the residential population⁸⁶. In particular, the ethnic make up of the available population can be different from the residential population and potentially account for the bias against ethnic minorities^{87,88}. On the other hand, the available population explanation can be another self-fulfilling prophecy similar to the crime explanation^{89,90}: If officers are deployed to areas with ethnically diverse available populations then the available population will predictably ‘explain away’ the bias compared to the residential population. That does not make the deployment decision bias-free. Other studies suggest that other area features such as its affluence also influence officers’ readiness to initiate searches¹⁶. Search decisions have to be based on sufficient groups that a specific person is suspicious, not general availability of an ethnic group or general features of the area^{22,23}.

Deployment decisions are relevant to our analysis. Minority communities are over-patrolled: The median officer patrols an area which is 1.16 times more Asian and 1.37 times more Black than all of West Midlands. The overall over-representation of ethnic minorities in stop and search decomposes into officer bias and over-patrolling. With officers over-searching minorities and command deploying officers to more diverse areas, the effects of officer biases are exacerbated by these deployment decisions. This results in more over-searching of minorities than can be attributed to officer biases alone.

The over-policing of minority communities documented in our study is supported by a wide range of other studies finding the same phenomenon^{15, 35, 36, 91, 92, 93, 94, 95}. Addressing the common question if these deployment biases can be explained by crime patterns is difficult. By their presence in an area, police are more likely to observe and record crime there. The observation of crime then is not independent from patrolling and searching patterns (and the ethnic biases therein). Other data collected independently of police presence such as calls for service or crimes reported by the public could plausibly provide a better benchmark of criminal activity. Yet, with the data available to us we cannot make any statement as to the mechanism that causes minority areas to be over-patrolled or the role of crime in that. Here, we only note that over-patrolling accounts for a considerable part of the overall over-searching of ethnic minorities.

There are clear limitations to our analysis, especially related to the generality of our findings. The policing context in the United Kingdom is particular, due to public and political scrutiny of police forces and the specific nature of the relationship between minority communities and the police. More officer-level analyses are needed and we hope

that more police forces make officer-level data available to researchers. Furthermore, we hope that future work can clarify the process of deployment decisions.

For policy-makers, police forces and advocates looking to address the over-representation of ethnic minorities in stop and search, our results are both concerning and promising. Concerning, because our results show that 1. officer bias is a key factor in the over-representation of ethnic minorities in stop and search and 2. this officer bias is exacerbated by where police officers are deployed to. Promising, because our results could indicate a multiplier effect of institutional change where a reduction in anti-Asian and anti-Black bias in the police force applies both the searching officers on the street and to the officers making deployment decisions. Clearly, police forces should carefully examine their deployment policies as an amplifier in the over-representation of ethnic minorities in stop and search. Additionally though, we find that teams' ethnic compositions impact the composition of officers' searches. Addressing the norms and environment of officer teams could then change officers' behaviour rather than just reduce its effect⁵⁵. Our work shows that police forces need to reconcile the joint role of officer behaviour and department-level decisions in ethnic disparities in stop and search.

Methods

Data

Our data covers the period between 01/04/2014 and 30/09/2018 which we split into nine periods of 6 months each, beginning from 01/04/2014. We chose this time resolution because periods shorter than 6 months result in sparse officer-level information. Officers which performed searches in fewer than 50% of the half-year periods, i.e., in fewer than five half-year periods out of the nine in our study period were excluded to avoid data sparsity issues. The final file covers 1,194 officers observed in 29 teams, 203,176 reported crimes and 36,028 searches.

In our model, we use the following variables: counts of officers' searches; counts of officers' crime suspect encounters; counts of residents in officers' patrolling areas, all broken down by ethnic group; officer gender (dummy encoded); officer age; officer experience and two dummy variables indicating whether officer i is Asian or Black. We standardise officer age and officer experience to have mean 0 and standard deviation 1. We summarise these variables in Table 1.

Officers transfer between teams during our study period. We account for this in our model with the team-specific intercept α_j . All officers are assigned to the team j they were part of for the majority of the time in each 6-month period.

Multinomial model

We begin this section by an informal discussion of the model, which is then followed by a more technical presentation.

Every officer in our sample performs a number of Asian, Black and White searches in a given timeframe. We are then interested in characterising the composition of the searches by an officer: Which percentage of the officer’s searches were searches of Asian people? To do this, we employ a multinomial model where the search shares are a non-linear combination of officer characteristics such as age and team characteristics such as team composition. We then repeat this procedure to characterise the ethnic composition of the officer’s patrolling area and interactions with crime suspects. Based on these three officer- and timeframe-specific shares (searches, patrol and crime) we then build our two measure of disparities of relative to crime suspects and patrol.

More formally, our data are counts of searches of ethnic group e by officer i in time period t . For each officer we thus have a vector $Y_{it} \in \mathbb{N}_0^E$ where $E = 3$ are the three ethnic groups we consider: Asian, Black and White, which we abbreviate to A, B, W for ease of notation.

We are then interested in the proportions of each ethnic group in the total number of searches by officer i in t as a function of covariates. Formally, we model the allocation of total number of searches by i in t , $\sum_{e \in \{A, B, W\}} Y_{ite}$ (shortened to $\sum_e Y_{ite}$ for ease of notation), into $E = 3$ ethnic groups as follows:

$$Y_{it} \sim \text{Multinomial} \left(\sum_e Y_{ite}, p \right), \quad p = \text{Softmax}(\theta_{it}). \quad (1)$$

In words, Equation (1) states that each observation vector Y_{it} is modeled by the the vector $\theta_{it} \in \mathbb{R}^E$ where θ_{it} gives an officer’s propensity to search ethnic group e as a function of some covariates. To obtain valid proportions, we use the $\text{Softmax}(\cdot)$ function which normalises a vector of real numbers into a vector of proportions that sum to 1. This means that $p = \text{Softmax}(\theta_{it})$ gives the proportion of each ethnic group e in $\sum_e Y_{ite}$, the quantity of interest.

However, θ_{it} is not yet identifiable because the same values of $p = \text{Softmax}(\theta_{it})$ can be induced by different θ_{it} . This is easily resolved by setting $\theta_{it \text{ White}} = 0$. In doing so, $\theta_{it \text{ Asian}}$ and $\theta_{it \text{ Black}}$ then represent an officer’s propensity to search Asian or Black individuals compared to searching White people and θ_{it} is uniquely identified.

We model θ_{it} as a function of the demographic covariates listed in Table 1. The coefficients of these covariates represent their relative contribution to an officer’s propensity to search Asian or Black people over White people. In modelling θ_{it} we are particularly interested in the contribution of an ethnic group’s proportion in the officer’s crime suspect

population and the contribution of an ethnic group’s proportion in the officer’s residential population in the patrolling area.

We observe a vector of counts of crime suspects and a vector of counts of residents encountered on patrol. We then infer the proportions of each group in those vectors. To this end, we introduce four additional terms: S_{it} , ζ_{it} , P_{it} and ρ_{it} . Similarly to Y_{it} , $S_{it} \in \mathbb{N}_0^E$ is a vector holding counts of crime suspect encounters by officer i in t for $E = 3$ ethnic groups. Because we do not use any covariates to model the allocation of S_{it} , we can directly model the proportions rather than using the $\text{Softmax}(\cdot)$ transformation from before. ζ_{it} is the vector directly giving the suspect shares, that is the proportions of each ethnic group e in S_{it} . The remaining two terms follow the same logic: P_{it} gives counts of residents encountered on patrol by officer i in time period t . ρ_{it} directly models the patrol shares—the proportions of each ethnic group in P_{it} . More formally,

$$S_{it} \sim \text{Multinomial} \left(\sum_e S_{ite}, \zeta_{it} \right),$$

$$P_{it} \sim \text{Multinomial} \left(\sum_e P_{ite}, \rho_{it} \right).$$

Taken together, this corresponds to the following model:

$$\begin{aligned} \theta_{it \text{ Asian}} &= \alpha_{j[it]A} + \beta_A x'_{itA} + \gamma_A \zeta_{itA} + \delta_A \rho_{itA} + \omega_A w_{j[it]} \\ \theta_{it \text{ Black}} &= \alpha_{j[it]B} + \beta_B x'_{itA} + \gamma_B \zeta_{itB} + \delta_B \rho_{itB} + \omega_B w_{j[it]} \\ \theta_{it \text{ White}} &= 0, \end{aligned}$$

where $\alpha_{j[it]e}$ is an ethnicity-specific group-level intercept corresponding to the team officer i was part of in time period t . x'_{ite} is a vector holding i ’s covariate information at t specific to ethnic group e . $w_{j[it]}$ gives the share of White officers in the team officer i was in in time period t .

Modeling suspect and patrol shares as the allocation of suspect and patrolling counts allows us to account for measurement error. For example, if an officer encounters only few crime suspects, then the uncertainty in the suspect shares will be large because the estimates are based on few data points. The uncertainty in the shares will then be propagated forward to the inference on γ and δ such that noisier, less certain shares receive less weight than shares inferred from sufficient amounts of data.

We specify prior distributions on model parameters as follows: The group-level intercepts $\alpha_j \sim N(\mu_\alpha, \sigma_\alpha)$ where $\mu_\alpha \sim N(0, 1)$ and $\sigma_\alpha \sim N^+(0, 1)$ (half-normal) and all regression coefficients $\beta, \gamma, \delta, w \sim N(0, 2)$. For ζ we use weakly informative Dirichlet priors parametrised with the respective share of each ethnic group in all arrests in England

in the year 2016/17. (The Home Office does not publish crime by ethnicity.) This yields the prior $\zeta \sim \text{Dirichlet}(0.43, 0.61, 5.00)$ corresponding to country-wide shares of (0.07, 0.10, 0.82). Similarly, for ρ we use the share of each ethnic group in England in the 2011 ONS census: $\rho \sim \text{Dirichlet}(0.39, 0.21, 5.00)$ which corresponds to shares of (0.07, 0.04, 0.89)^{96,97}.

We fit the full model with **Stan** in R version 3.6.3 using **rstan** version 2.19.3^{98,99}. Hamiltonian Monte Carlo sampling was performed on four chains with each 1,000 warm-up draws and 1,000 sampling draws, resulting in 4,000 draws from the posterior distribution in total.

The fit of the model to the observed data is checked in Extended Data Figure 3.

Data availability

This research is based on data resources provided by West Midlands Police. Data were originally collected as part of routine police record keeping. The data are not available publicly and were provided to the authors under an Information Sharing Agreement with West Midlands Police. Under the terms of this agreement, the authors are not at liberty to share the data. Other researchers can contact West Midlands Police to obtain a data sharing agreement.

Code availability

All code used to produce the results is available online on Github at https://github.com/laravomfell/ethnic_bias_stop_and_search. Since the original data from West Midlands Police may not be shared publicly, we generate synthetic data to demonstrate our code. The repository includes a folder `/data` which contains the synthetic data as well as the file `code/generate_synthetic_data.R` used to generate the data. The distributions of the variables in the synthetic data match the distributions in our data.

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Author contributions

L.V. analysed data, designed and executed the research. L.V. and N.S. wrote the paper.

Competing interests

The authors declare no competing interests.

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Figures

Figure 1: Posterior densities of search shares p_{ite} over all 1,194 officers and 9 time periods from the full model, resulting in 10,103 observations. Search shares are the proportion of each ethnic group in the officer's searches. The black dot represents the medians of the distributions aggregated over e and t and represent search shares for the median officer. Black lines show 50% and 90% uncertainty intervals which represent the spread of behaviour by 50% and 90% of the police officer workforce. There are multiple modes in the posteriors which simply means that there are different clusters of officers with similar search shares. (For a version disaggregated by time see Extended Data Figure 1.)

Figure 2: Posterior densities of the coefficients used to infer search shares p . A positive effect on θ_{Asian} means a larger Asian search share. Similarly, a positive effect on θ_{Black} implies a larger Black search share. Black dots show the median of the posteriors while black lines show 50% and 90% uncertainty intervals which contain 50% and 90% of the posterior distribution. For visual clarity we show the associations of officer gender, age, experience and ethnicity on a zoomed in scale of $[-0.25, 0.25]$ compared to the others. The figure is based on 10,103 observations. A table of the medians and 90% uncertainty intervals is available as supplementary information.

Figure 3: Posterior densities of D_{ite}^S and D_{ite}^P aggregated over all officers and time periods. The distributions represent the behaviour of the entire workforce of searching officers. The black dots represent the median officers and the black lines represent 50% and 90% uncertainty intervals. Note that the x-axes of both panels are on the log-scale. For visual clarity, we only show values between $[0.3, 13]$. 3% of all posterior probability is excluded by this choice. The figure is based on 10,103 observations. (For a version disaggregated by time see Extended Data Figure 2.)

Figure 4: Histograms of the posterior probabilities of D_{ite}^S and D_{ite}^P above 1 for each officer where the posterior probability gives how many of the 4,000 posterior draws from an officer-specific distribution are above 1. If the posterior probability above 1 for an officer is 1, the officer always over-searches an ethnic group. If the posterior probability above 1 for an officer is 0.5 then the officer's search shares perfectly match the suspect or patrol baselines. The figure is based on 10,103 observations.

Figure 5: Decomposition of over-searching into officer over-searching, over-patrolling and aggregation discrepancy. Grey areas show posterior densities of terms calculated based on officers' entire posterior distributions. Black dots represent the median of these densities and black lines represent 50% and 90% uncertainty intervals. The figure is based on 10,103 observations.

Tables

Table 1: Means, standard deviations (SD), minima and maxima of the variables in the [final data file](#).

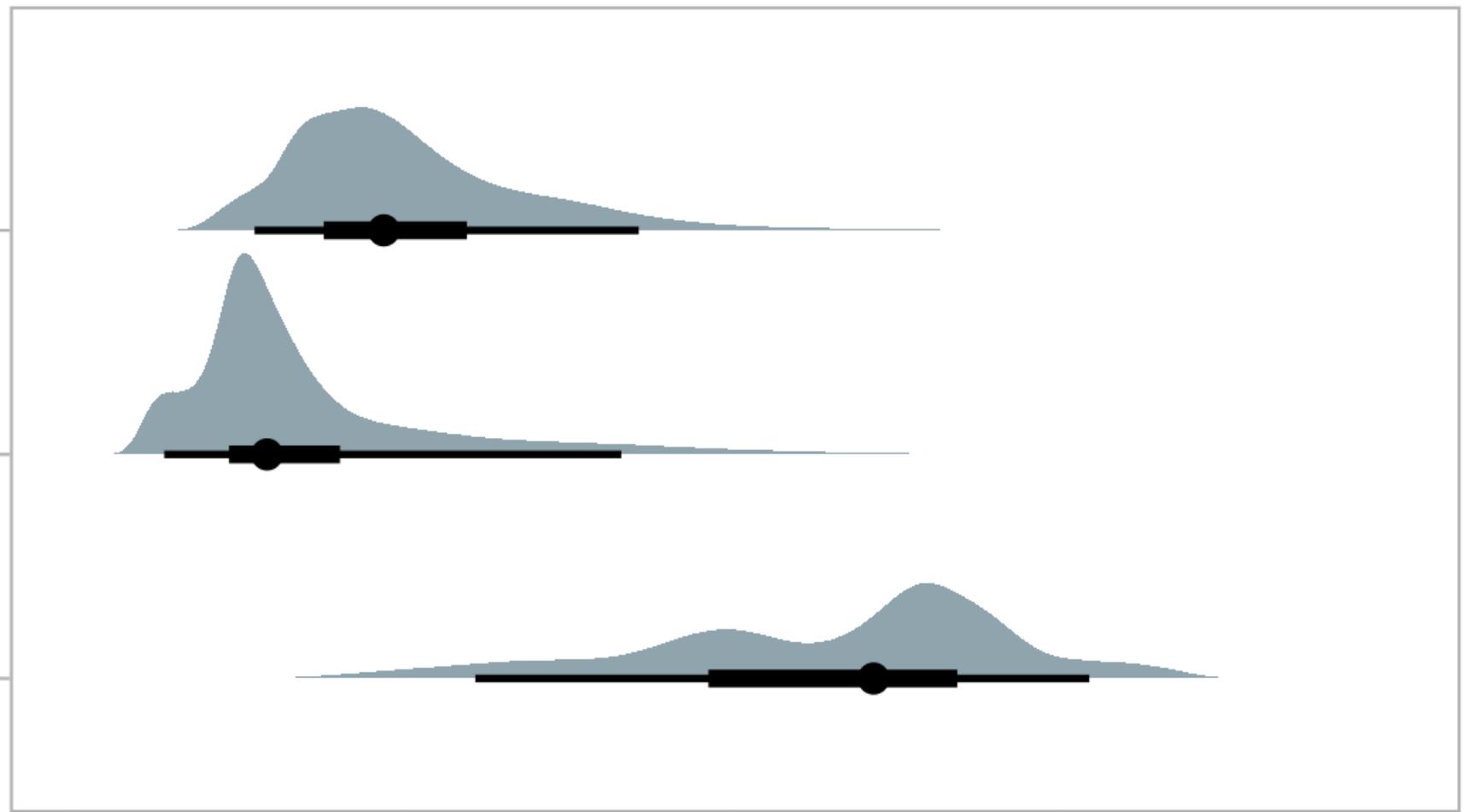
Variable	Mean	SD	Min	Max
<hr/> Time-varying variables per half-year <hr/>				
Search counts				
Asian	2.41	4.55	0.00	76.00
Black	1.72	4.13	0.00	94.00
White	5.39	9.18	0.00	125.00
Suspect counts				
Asian	10.61	12.30	0.00	80.00
Black	8.29	8.87	0.00	97.00
White	43.41	40.71	0.00	212.00
Patrolling counts				
Asian	85.56	46.95	0.00	349.00
Black	32.30	19.45	1.00	145.00
White	200.84	49.62	37.00	343.00
Officer age in years	37.78	7.34	19.08	62.00
Standardized officer age	0.00	1.00	-2.55	3.30
Officer experience	10.81	5.25	0.17	30.42
Standardized officer experience	0.00	1.00	-2.02	3.73
<hr/> Fixed variables <hr/>				
Female officer	0.12	0.32	0.00	1.00
Asian officer	0.06	0.25	0.00	1.00
Black officer	0.01	0.10	0.00	1.00
Number of observed half-years per officer	8.46	1.14	5.00 ^a	9.00
Share of White officers in team	0.93	0.06	0.81	1.00
<hr/>				
Total number of observations (officers \times half-years)	N =	10,103		
Number of officers	N =	1,194		
Number of teams	N =	29		

^a We exclude officers with fewer than 5 half-years' worth of observations (see Data section)

e = Asian

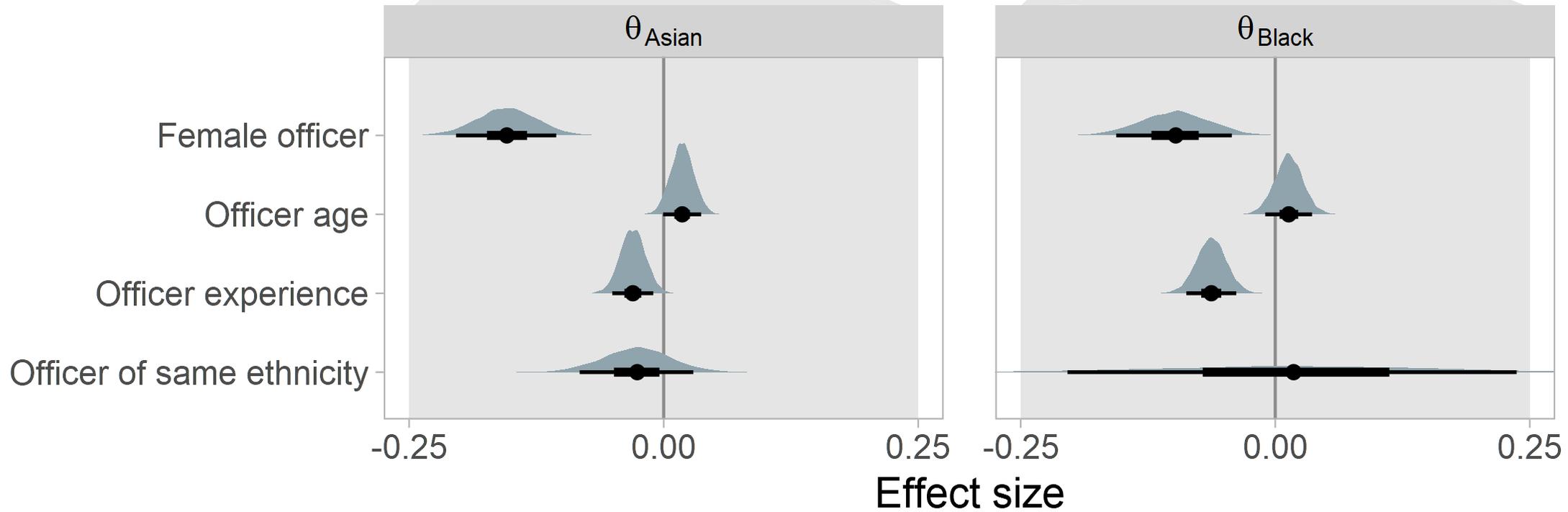
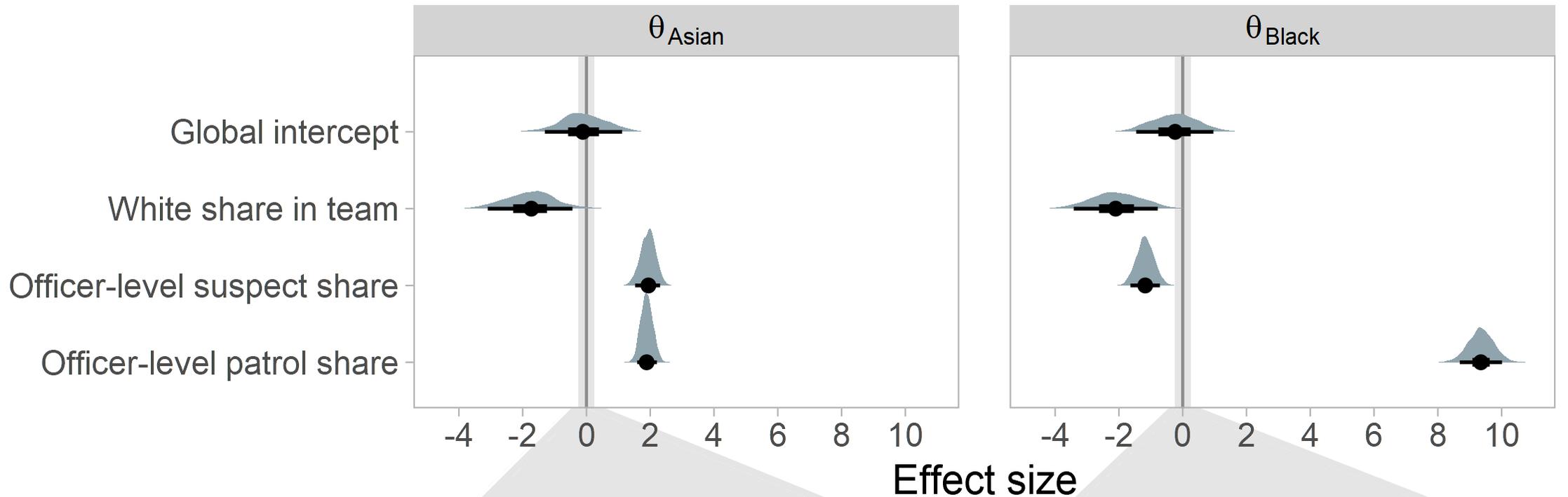
e = Black

e = White



0.00 0.25 0.50 0.75 1.00

Search share p_{ite}



D_{ite}^S (relative to suspects)

D_{ite}^P (relative to patrol)

e = Asian

e = Black

e = White

0.3 0.5 1.0 2.0 5.0 10.0

0.3 0.5 1.0 2.0 5.0 10.0

Officer over-searching

