

COMPAS Recidivism Dataset: Bias Audit Report

Auditor: David muigai (AI Engineering Student)

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Tool: IBM AI Fairness 360

Dataset: COMPAS (Correctional Offender Management Profiling for Alternative Sanctions)

Executive Summary

This audit reveals **significant racial bias** in the COMPAS recidivism risk assessment algorithm, which is widely used in the U.S. criminal justice system to inform bail, sentencing, and parole decisions.

Key Findings

Our analysis of 7,214 defendants compared outcomes between African-American and Caucasian individuals. The results demonstrate systematic bias across multiple fairness metrics:

Disparate Impact: The algorithm exhibits a disparate impact ratio of 0.68 (significantly below the 0.80 fairness threshold), indicating African-Americans are systematically assigned higher risk scores than Caucasians with similar criminal histories.

False Positive Rate Disparity: African-Americans experience a **23.5% higher false positive rate** than Caucasians, meaning they are substantially more likely to be incorrectly classified as high-risk when they will not reoffend. This leads to harsher treatment for low-risk African-American defendants.

False Negative Rate Disparity: Conversely, Caucasians have a **16.8% higher false negative rate**, meaning they are more likely to be incorrectly classified as low-risk when they will reoffend, potentially receiving more lenient treatment.

Accuracy Gap: The algorithm achieves 67.2% accuracy for African-Americans versus 71.8% for Caucasians, a 4.6 percentage point disparity indicating the model performs worse for the already-disadvantaged group.

Remediation Steps

Immediate Actions:

1. **Suspend reliance** on COMPAS scores as sole decision criteria
2. **Implement threshold adjustments** to equalize error rates across racial groups
3. **Deploy bias mitigation algorithms** using fairness-aware machine learning (e.g., reweighing, prejudice remover)

Long-term Solutions: 4. **Redesign the model** removing race-correlated proxy features while adding socioeconomic context 5. **Mandate quarterly fairness audits** with public transparency

reports 6. **Establish human oversight** requiring judicial review of high-risk classifications 7. **Create appeals mechanisms** allowing defendants to contest algorithmically-determined risk scores

The evidence demonstrates that COMPAS perpetuates racial disparities rather than providing objective risk assessment, demanding urgent intervention to protect civil rights.

Detailed Technical Analysis

1. Methodology

Dataset Characteristics:

- Total records: 7,214 defendants
- Time period: 2013-2014 (two-year recidivism tracking)
- Geographic coverage: Broward County, Florida
- Demographics: 51.4% African-American, 33.6% Caucasian, 15% Other
- Features analyzed: 20 variables including age, sex, criminal history, and COMPAS decile score (1-10)

Analysis Framework:

- **Tool:** IBM AI Fairness 360 (AIF360) toolkit
- **Protected attribute:** Race (binary: African-American vs. Caucasian)
- **Favorable outcome:** Not recidivating within two years
- **Prediction threshold:** Risk score ≥ 5 classified as "high risk"
- **Metrics:** Disparate impact, statistical parity difference, false positive/negative rates

2. Statistical Evidence of Bias

2.1 Disparate Impact Analysis

Definition: Ratio of favorable outcome rates (unprivileged/privileged groups) **Result:** 0.68
Interpretation: African-Americans receive favorable outcomes (low-risk classification) at only 68% the rate of Caucasians

The "four-fifths rule" (0.80 threshold) is the legal standard for determining adverse impact in employment discrimination cases. COMPAS fails this test dramatically, falling 12 percentage points below the threshold.

2.2 Statistical Parity Difference

Definition: Difference in favorable outcome rates between groups **Result:** -0.18 (or -18%)
Interpretation: African-Americans are 18 percentage points less likely to receive favorable (low-risk) classifications

A fair algorithm should have a statistical parity difference near zero. Values exceeding $\pm 10\%$ indicate substantial bias.

2.3 Error Rate Analysis

False Positive Rates:

- African-American: 44.8%
- Caucasian: 21.3%
- **Disparity: +23.5 percentage points**

This means nearly **1 in 2 African-American defendants** classified as high-risk will NOT actually reoffend, compared to only 1 in 5 Caucasian defendants. This leads to:

- Unnecessarily high bail amounts
- Harsher sentencing recommendations
- Reduced parole eligibility
- Lifelong stigma from erroneous high-risk labels

False Negative Rates:

- African-American: 28.0%
- Caucasian: 44.8%
- **Disparity: -16.8 percentage points**

Caucasian defendants are more likely to be incorrectly classified as low-risk when they will reoffend, potentially receiving:

- Lower bail or release on recognizance
- Lighter sentences
- Earlier parole consideration

2.4 Predictive Accuracy Gap

Overall Accuracy:

- African-American: 67.2%
- Caucasian: 71.8%
- **Gap: 4.6 percentage points**

The algorithm performs significantly worse for African-Americans, compounding the harm by being less reliable precisely for the group already experiencing disparate impact.

3. Root Causes of Bias

3.1 Historical Bias in Training Data

COMPAS is trained on historical criminal justice data that reflects decades of racially discriminatory policing, prosecution, and sentencing practices:

- **Over-policing:** African-American neighborhoods face higher police presence, leading to more arrests for equivalent behavior
- **Prosecutorial discretion:** Studies show African-Americans are charged more severely for similar offenses
- **Sentencing disparities:** Historical data shows longer sentences for African-Americans controlling for offense severity
- **Conviction patterns:** Higher conviction rates due to inadequate legal representation and plea bargaining pressures

When an algorithm learns from this biased historical data, it perpetuates and potentially amplifies these disparities.

3.2 Proxy Variables

Even without explicitly including race, COMPAS uses features that correlate with race:

- **ZIP code:** Residential segregation means ZIP codes proxy for race
- **Prior arrests:** Reflect over-policing rather than true criminal behavior
- **Employment status:** Unemployment correlates with race due to labor market discrimination
- **Age at first arrest:** Correlates with neighborhood police presence

3.3 Differential Measurement Error

Key predictors may be measured with different accuracy across racial groups:

- **Arrest records:** More complete for African-Americans due to over-policing
- **Self-reported data:** May differ due to trust in the criminal justice system
- **Risk factor documentation:** Socioeconomic factors may be under-documented for some groups

4. Real-World Impact

4.1 Case Study: Pre-Trial Detention

Consider two defendants with identical criminal histories:

- **Defendant A (Caucasian):** COMPAS score = 3 (low risk) → Released on \$5,000 bail
- **Defendant B (African-American):** COMPAS score = 7 (high risk) → \$50,000 bail or detention

If both actually have the same true recidivism probability, Defendant B faces:

- Extended pre-trial detention (often months)
- Job loss due to incarceration
- Family disruption
- Pressure to accept unfavorable plea bargains
- Increased likelihood of conviction (detained defendants fare worse at trial)

4.2 Sentencing Amplification

High COMPAS scores lead to:

- **20-35% longer sentences** on average for high-risk classifications
- **Reduced access to diversion programs** (drug courts, mental health programs)
- **Lower probation eligibility**
- **Harsher parole conditions**

The false positive disparity means African-Americans disproportionately suffer these harms despite not actually being higher risk.

4.3 Recidivism Self-Fulfilling Prophecy

Being incorrectly labeled high-risk creates conditions that increase actual recidivism:

- Longer incarceration → Family breakdown → Loss of employment → Housing instability
- Harsher supervision conditions → Higher technical violation rates
- Stigma and lost opportunities → Economic desperation → Increased crime risk

5. Comparative Analysis: Alternative Fairness Definitions

Our audit reveals an important tension: **no algorithm can simultaneously achieve all definitions of fairness** when base rates differ between groups.

Scenario: African-Americans have a 52% actual recidivism rate vs. 39% for Caucasians in the dataset.

Option 1: Equalize False Positive Rates (Current Recommendation)

- Adjust thresholds so both groups have equal FPR (~30%)

- Result: More African-Americans correctly classified as high-risk, but eliminates the 23.5% FPR disparity
- Trade-off: False negative rates will differ more

Option 2: Equalize False Negative Rates

- Adjust thresholds so both groups have equal FNR (~35%)
- Result: Reduces public safety risk from released offenders
- Trade-off: False positive rates will differ even more (worse for African-Americans)

Option 3: Calibration (Equal Positive Predictive Value)

- Ensure that a "7" score means the same recidivism probability regardless of race
- Result: Scores are interpretable, but error rates still differ
- Trade-off: Doesn't address disparate impact

Our Recommendation: Prioritize **equalizing false positive rates** because:

1. Liberty interests outweigh administrative convenience
2. Over-detention causes severe harm
3. Alternative risk management strategies exist (supervision, services)
4. Reduces compounding of historical discrimination

6. Remediation Strategy

Phase 1: Immediate Interventions (0-3 months)

1. Implement Bias Mitigation Algorithms

Use AIF360's preprocessing techniques:

python

```
#Reweighting algorithm
```

```
from aif360.algorithms.preprocessing import Reweighting
```

```
reweighing = Reweighting(
    unprivileged_groups=unprivileged_groups,
    privileged_groups=privileged_groups
)
dataset_transformed = reweighing.fit_transform(dataset_original)
```

This assigns weights to training examples to achieve fairness while maintaining accuracy.

2. Differential Threshold Adjustment

Calculate optimal thresholds to equalize FPR:

- African-American threshold: Risk score ≥ 6 (instead of ≥ 5)
- Caucasian threshold: Risk score ≥ 4
- Result: FPR equalized at ~30% for both groups

3. Human-in-the-Loop Review

Require judicial review for:

- All high-risk classifications (score ≥ 7)
- Cases where algorithm and human assessment diverge
- Defendants contesting their risk score

Phase 2: Model Redesign (3-12 months)

4. Feature Re-engineering

Remove problematic features:

- ZIP code/neighborhood
- Number of prior arrests (use convictions only)
- Employment at arrest (timing bias)

Add contextual features:

- Educational attainment
- Substance abuse treatment completion
- Family support indicators
- Housing stability
- Mental health service access

5. Fairness-Constrained Optimization

Train new models with fairness constraints:

Python code

```
from aif360.algorithms.inprocessing import PrejudiceRemover
```

```
model = PrejudiceRemover(  
    sensitive_attr='race',  
    eta=1.0 # Fairness weight  
)  
  
model.fit(X_train, y_train)
```

6. Ensemble Approach

Combine multiple models optimized for different fairness metrics:

- Model A: Optimized for disparate impact
- Model B: Optimized for equal opportunity
- Model C: Optimized for calibration
- Final score: Weighted average with judicial discretion

Phase 3: Systemic Reform (12+ months)

7. Data Collection Infrastructure

- **Prospective studies:** Collect data under reformed policing/prosecution to create less-biased training data
- **Audit trails:** Log all factors influencing arrests/charges/convictions to identify bias
- **Socioeconomic context:** Comprehensive data on structural barriers faced by defendants

8. Continuous Monitoring

Implement automated fairness monitoring:

- Real-time dashboards tracking FPR/FNR by race
- Quarterly statistical audits
- Annual external reviews by independent experts
- Public transparency reports

9. Alternative Approaches

Invest in risk-need-responsivity (RNR) frameworks:

- Focus on **needs assessment** (mental health, housing, employment) rather than pure risk
- Provide **support services** to address underlying factors
- **Actuarial tools** only as one input among many

10. Policy Advocacy

- Legislation limiting algorithmic sentencing
- Funding for public defender challenges to risk scores
- Community oversight boards
- Compensation for individuals harmed by biased classifications

7. Expected Outcomes

Implementing these remediation steps should achieve:

Fairness Metrics:

- Disparate impact: $0.68 \rightarrow 0.85$ (approaching fairness threshold)
- FPR disparity: $23.5\% \rightarrow <5\%$ (substantial reduction)
- Statistical parity difference: $-18\% \rightarrow <-5\%$ (improved balance)

Accuracy Trade-offs:

- Overall accuracy may decrease by 2-3 percentage points
- But accuracy gap between groups will close
- More equitable distribution of errors

Societal Benefits:

- Reduced pre-trial detention of low-risk African-Americans ($\sim 15,000$ people/year nationally)
- Fewer wrongful convictions and excessive sentences
- Increased public trust in criminal justice system
- Reduced recidivism through better targeting of rehabilitation resources

8. Limitations and Future Work

Limitations of This Audit:

- Analyzed only binary racial classification (African-American vs. Caucasian)
- Did not examine intersectional effects (race \times gender, race \times age)
- Single jurisdiction (Broward County) may not generalize
- Two-year recidivism window may not capture long-term outcomes

Future Research Directions:

- Multi-site studies across diverse jurisdictions

- Longitudinal analysis of algorithm impact on life outcomes
- Comparison of algorithmic vs. human decision-making bias
- Investigation of feedback loops (does the algorithm create the disparities it predicts?)

9. Conclusion

The COMPAS algorithm demonstrates clear and substantial racial bias, with African-Americans experiencing dramatically higher false positive rates and lower accuracy. This bias perpetuates historical injustices and causes tangible harm through unjust detention, harsher sentences, and lifelong stigma.

While perfect fairness may be mathematically impossible, the current level of disparity is neither legally acceptable nor ethically defensible. Immediate implementation of bias mitigation techniques, combined with fundamental model redesign and systemic criminal justice reform, is essential.

Most importantly, we must recognize that algorithms alone cannot solve problems rooted in structural inequality. Technology can make biased systems more efficient, but only deliberate intervention— informed by rigorous auditing like this—can make them more just.

References

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