

# Investigating Generative Factors of Score Matrices

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**Abstract.** An implicit assumption in psychometrics and educational statistics is that the generative model for student scores on test questions is governed by the topics of those questions and each student's aptitude in those topics. That is, a function to generate the matrix of scores for  $m$  students on  $n$  questions should rely on each student's ability in a set of  $t$  topics, and the relevance of each question to those topics. In this paper, we use educational data mining techniques to analyze score matrices from university-level computer science courses, and demonstrate that no such structure can be extracted from this data.

**Keywords.** Cognitive Science, Clustering, Dimensionality reduction, Educational Data Mining

## 1. Introduction

Over the past century, psychometrics has utilized mathematical techniques to extract meaning from collections of educational data. One of the most common data types in psychometrics is the score matrix, storing the scores for a collection of students on each question from a test. Commonly, educational researchers will apply algorithms developed in the early 20th century to discover the structure or generative model of these matrices. While advanced for their time, and sufficient for some problem types, the great advances made in machine learning may have surpassed these techniques, and may even invalidate some of the assumptions made by early psychometric techniques.

This paper presents an investigation into the generative model of score matrices recorded in computer science (CS) courses in our department. Here we apply machine learning techniques to this canonical psychometric problem and show that on some naturally-arising datasets, the assumptions made for the past century may not be valid.

Specifically, this paper investigates the assumption that a generative model for a score matrix should take into account the topics being covered on the test. From our investigations on course data, the factors that are considered most important by machine learning algorithms consistently have no relationship with human-identified topics.

## 2. Psychometrics

At its root, the quantitative branch of education that is most applicable to machine learning and educational data mining is *psychometrics*. Psychometrics focuses on measuring

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**Table 1.** Descriptions of datasets. MC indicates multiple choice questions, FR indicates free-response questions subjectively graded, PC indicates partial-credit.

Data set	Course	$m$	$n$	Question Types	Scores
008	Intro Computing	269	80	MC	Binary
010	CS 1	190	68	MC	Binary
141	Algorithms	19	15	FR	PC
153	O. S.	66	34	MC,FR	Binary,PC
164	Networks	23	72	MC,FR	Binary,PC
Academic	Online	267	40	FR	Binary
Trivia	Online	467	40	FR	Binary

latent quantities of knowledge and ability in the human mind [1]. These are difficult values to quantify, as there is no direct way to measure them and no implicit units or dimensionality to such a measurement.

One of the most important developments in psychometrics was the development of common factor analysis (CFA), which became the primary area of research in psychometrics for half a century [2]. The dominant theory at the time was that intelligence was univariate ( $g$ -theory). However, some data simply did not match the proposed model. Utilizing then-new techniques for calculating correlations between measured values, Charles Spearman developed common factor analysis, which is still used today to understand large quantities of data by discovering the latent factors giving rise to that data. CFA assumes that a linear model of  $f$  factors can describe the underlying behavior of the system, in this case the ability of students to answer items correctly:  $S_{i,j} = \mu_j + \sum_{k=1}^f W_{i,k} H_{k,j} + \epsilon$ , where  $S_{i,j}$  is the score for student  $i$  on item  $j$ ,  $\mu_i$  is a hidden variable related to the difficulty of the item,  $W$  is a matrix giving the ability of each student with respect to each factor,  $H$  is a matrix relating each factor to each item, and  $\epsilon$  is the noise in score measurement. Generally, the factors in CFA are assumed to be the topics of the various questions.

This paper is an attempt to verify the CFA assumption that the underlying factors in the generative model for a score matrix are the topics of the questions being tested.

### 3. Datasets

Each of the datasets evaluated in this paper has two components. Most important is the score matrix  $S$ , an  $m \times n$  matrix of the scores for  $m$  students on  $n$  questions. We also have a collection of human-generated sets identifying which of the questions (columns of  $S$ ) can be viewed as testing the same topic. We currently have two sources for datasets: real course data recorded at the per-question level, and an online quiz system. These datasets are summarized in Table 1.

We are primarily concerned with datasets from real courses. Over the past several terms we have recorded detailed score information for a number of courses across our curriculum, ranging from large non-major service courses to upper division electives.

For each of these courses, we have asked the instructor of the course, along with any other regular teachers of the course, to provide us with a set of question groups they would consider grouped by topic. To do this they are provided the text of the questions, but not the scores. They were allowed to place each question in as many groups as they choose. This could be none if they felt the question is not connected to any other questions in the course, or more than one group if a question relates to more than one topic.

The analysis in this paper relies on the presence of this topic information provided by instructors. However, as it is unknown whether the score matrices for actual courses really contain topic information, we felt it prudent to develop datasets with known dependence on topic. To this end we built two additional datasets, one derived from trivia questions from the popular game Trivial Pursuit [3], and one derived from questions from study guides for SAT Subject Tests [4]. Both quizzes are forty questions drawn from four topics, with ten questions in each topic.

The trivia quiz draws questions from Sports and Leisure, Science and Nature, Arts and Entertainment, and Literature. These topics were chosen from the six categories in Trivial Pursuit because they were felt to be the most independent from one another. The questions were drawn from the 20th Anniversary edition of Trivial Pursuit, which focuses primarily on the 1980s and 1990s. As our target audience for the quiz was college students, we felt this was more likely to result in correct answers than questions from other editions. Additionally, we chose only questions that had short one or two word answers, as the online quiz system we developed is a free response system and we wanted to minimize issues stemming from poor spelling.

The academic quiz draws questions from published study guides for the SAT Subject Tests. The SAT Subject Tests are taken by students in their final year of high school, and are used to demonstrate the depth of knowledge that a student has attained in particular areas. There are over twenty test subjects available. Again we chose subjects that we felt were maximally independent: Math, French, Biology, and World History.

Our assumption was that the trivia quiz could function as a baseline for topic extraction on data with little or no actual correlation within each topic. Answering any of these questions correctly is a matter of isolated fact retrieval, and not a test of any deeper knowledge or skill. As such, even though there is an obvious “correct” answer when grouping these questions, we did not expect to be able to extract that answer with any of our candidate algorithms.

The academic quiz represents the opposite end of the spectrum: the questions that were included come from subjects that are generally studied for at least one academic year in high school, and possibly several more in college. The questions require a fair depth of knowledge, and are more topically connected than the trivia questions. Our expectation was that any algorithm that can succeed in topic clustering will have at least partial success on this dataset.

The quizzes were administered online over the course of about a week. The trivia quiz was completed by 467 different visitors, the academic quiz was completed by 267. Correct answers were immediately reported to the test taker, incorrect answers were reported only as “probably” incorrect. The full text input for any incorrect answers was recorded, allowing for post-testing processing and correction for unexpected formatting or spelling.

#### 4. Unsupervised Clustering

Although we performed several experiments on this data, due to space constraints we only present results for unsupervised clustering. Interested readers are invited to seek additional details on this work in [5]. We have named the underlying problem here *topic clustering*: given  $S$  and the human-generated groups, is there an unsupervised machine learning algorithm that can generate clusters of the questions in  $S$  similar to the human-

generated answer? As discussed in [5], a solution to the topic clustering problem that works on course datasets like the ones discussed here can be used in a wide range of assessment scenarios.

#### 4.1. Experiment

To evaluate the output of our candidate algorithms in topic clustering, we focus on question pairings. Each algorithm produces a set of groups of questions that are being claimed to belong to the same topic. Each dataset has a similar set of groups that are correct or acceptable answers. For the course datasets these were produced by the course instructors, for the quiz datasets these are the topics from which the questions were drawn.

To measure the similarity of the correct answer and the algorithm's results, we create the list of all pairs of questions that were placed in the same group by the algorithm<sup>1</sup>, and the list of all pairs of questions that were grouped together by a human. Given these lists we can evaluate *precision* and *recall* for each algorithm. Precision is the percentage of the pairs reported by the algorithm that are present in the correct answer. Recall is the percentage of pairs in the correct answer that were also reported by the algorithm. Thus precision measures how accurate the answer is, and recall measures how complete the answer is. These are independent: grouping only two questions, and grouping those correctly, produces perfect precision but very low recall. Grouping all questions together into one group provides low precision (equal to random chance), but perfect recall.

Further, all but one of the algorithms can produce a numeric certainty on each question's group membership. By varying the cutoff threshold on that certainty, we can adjust the size of the groups reported by each algorithm. If an algorithm's underlying model is accurate, then at least the most-certain questions should be correctly grouped. By evaluating precision and recall across the range of the certainty, we can generate precision-recall curves for each algorithm, demonstrating the accuracy of the algorithm across the certainty range.

#### 4.2. Algorithms Surveyed

The algorithms considered in this study fall into three main groups: clustering algorithms, dimensionality reduction algorithms, and algorithms from educational statistics. Here we list the algorithms, how they are used to produce the certainty groups underlying the precision-recall curves, and describe those that readers may be unfamiliar with.

##### 4.2.1. Clustering

We are evaluating *k*-means [6], spectral clustering [7] single-linkage [8], complete-linkage [9], and average-linkage [10] algorithms. All of these can give an ordering on which questions are most certainly grouped by sorting the questions by the distance to their cluster center.

Another set of algorithms that we are investigating is the use of single linkage, average linkage, or complete linkage agglomerative clustering on the *correlation matrix* of the questions, rather than working with the raw data itself. In this form, the pair of questions or question clusters to be merged at each step is given by the maximal entry in

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<sup>1</sup>Stochastic algorithms were run to convergence and restarted a minimum of 500 times per dataset.

the correlation matrix. The three agglomeration techniques differ in how they merge the rows and columns for the chosen clusters for the next step. Due to space considerations, these are detailed in [5].

#### 4.2.2. Dimensionality Reduction

Dimensionality reduction algorithms can also be used to find the underlying structure of the data. For dimensionality reduction, we evaluated Singular Value Decomposition (SVD) [11], Independent Component Analysis (ICA) [12], and a non-negative matrix factorization (NNMF) [13].

We also evaluated slight alterations of SVD and ICA. In the base versions of these algorithms group membership is determined by the maximum absolute value in the output vector corresponding to each question. In the modified versions we use  $k$ -means clustering on the reduced matrices, setting  $k$  to  $t$  (the number of factors) and assigning group membership for each question according to the resulting clustering.

#### 4.2.3. Educational Statistics

We are also investigating two methods from educational statistics in this study: Common Factor Analysis [2], which we are using as the major point of comparison for educational statistics, and Q-Matrix [14]. Both of these have been specifically suggested by researchers in education for this problem. Q-Matrix is another method of capturing the underlying factors and abilities that give rise to a matrix of student scores. In the most simple case, Q-Matrix is applied to a binary  $m \times n$  score matrix.

Q-Matrix operates on this matrix along with the assumed number of underlying abilities or factors,  $t$ . Each question is assumed to have a binary relationship with each of the  $t$  factors. Each student is similarly assumed to have a binary ability in those factors. Thus Q-Matrix is decomposing the input matrix into a binary  $m \times t$  matrix of student abilities in each of those factors, as well as a binary  $t \times n$  matrix of question relevance. A student is assumed to answer a question correctly if and only if the factors relevant to that question are a subset of their own abilities.

Most or all Q-Matrix solvers utilize gradient descent on the reconstruction error of the matrix in order to find the optimal model to fit the data. Given an initial random configuration, the algorithm finds the single best entry to toggle in the student matrix or the question matrix in order to best reproduce the input matrix. As a discrete optimization problem with a search space growing as  $O(2^{t(m+n)})$ , this is computationally intensive.

### 4.3. Results

First we need to confirm our assumptions about the ability for topic information to be extracted from the baseline data. We would like to confirm that the algorithms we are surveying do *not* extract clusters related by topic on the trivia data. This is confirmed in Figure 1a: even the four best algorithms applied to this dataset fail to significantly outperform random chance. Similarly, we would like to see that the questions in the academic dataset do cluster by topic. This is partially confirmed, as seen in Figure 1b. However, even the highest-performing algorithms appear to only be performing at around 50% precision. Further investigation demonstrates that the Math and French portions of the academic dataset can be correctly clustered by almost all of our surveyed algorithms,

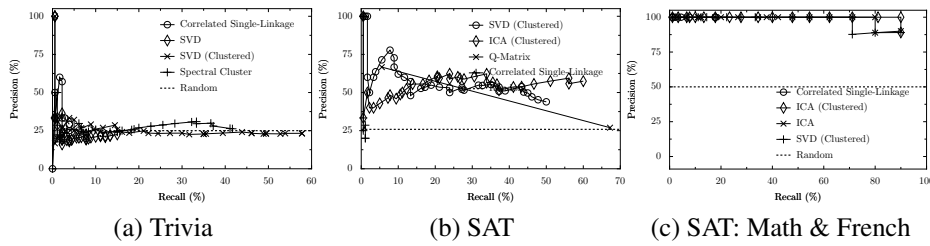


Figure 1. Precision-recall curves for best four algorithms on baseline datasets

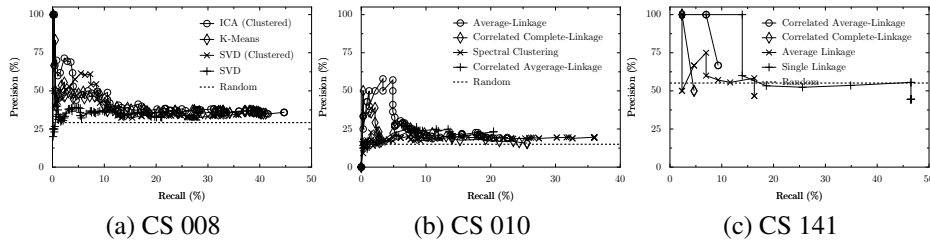


Figure 2. Precision-recall curves for best four algorithms on three course datasets, four factors

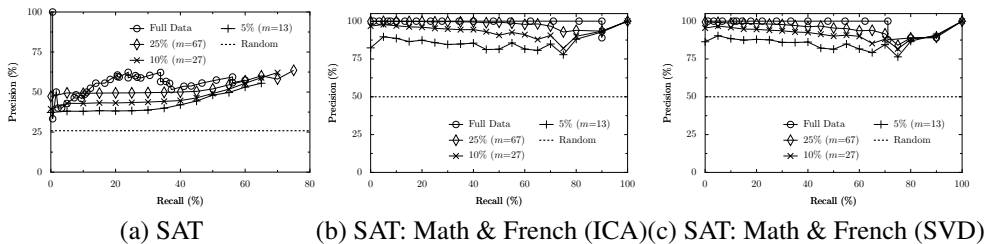


Figure 3. Precision-recall curves on for best algorithm(s) on baseline data, varying population sizes

as shown in Figure 1c. The Biology and World History questions behave like the trivia data. Since SAT-level questions on Biology and World History are generally retrieval of isolated facts, more than testing of deeply learned skills, this is less surprising in retrospect.

On data where topic is clearly a factor (the Math and French) we have shown that almost any machine learning technique will acceptably separate the data. For data where topic is not expected to be a factor (the trivia data), all of the algorithms surveyed perform only as well as random chance. One important question is, “Where on this spectrum do course data fall?” Figure 2 is an example of this on three of our CS course datasets with  $t = 4$ : although there is possibly some dependence on topic, in general even the *best* algorithms are performing no better than chance. Evaluating across the range of  $t$  and on all five course datasets shows graph after graph of similar behavior. Given this evidence, topic has little to do with scores on the course datasets.

An important difference between the course data and the baseline data is the size of the datasets: the baseline data has significantly larger student populations than the course data. It is possible that topic clusters can be more accurately extracted if student

**Table 2.** Average Precision within given Recall Ranges on Course Datasets, 8 factors

Algorithm	0 to 20	20 to 40	40 to 60	60 to 80	80 to 100	AVG
NNMF	<b>33.9</b>	<b>41.2</b>				<b>33.9</b>
Complete-Link (corr)	33.8	17.5				33.1
Random	30.2	30.2	30.2	30.2	<b>30.2</b>	30.2
Complete-Link	28.8	36.1	<b>37.4</b>			29.8
ICA (cluster)	28.0	38.0				29.5
SVD (cluster)	27.0	37.7				28.9
ICA	28.4					28.4
Average-Link (corr)	28.3					28.3
Spectral	28.1	23.4		26.0	27.2	27.6
k-means	26.4	30.0				27.3
Average-Link	26.8					26.8
CFA	27.6	20.8				25.9
Single-Link	24.4	26.4	22.6	23.1	22.0	24.4
Single-Link (corr)	24.3					24.3
SVD	23.4					23.4
Q-Matrix	19.1	21.4		<b>31.8</b>		22.4

populations were larger. Since it is not possible to increase the student population in a real course, instead we test the converse of this hypothesis: “Can we still extract topic information from reduced student populations on the academic dataset?” This is shown in Figure 3. For student populations as small as about 20 students, topic information can be extracted well from the Math and French data. This strongly suggests that it is not the size of the input that causes the poor performance in Figure 2.

Summarizing all of the algorithms on all the course datasets, and setting  $t = 8$  (the largest workable value for some of the smaller datasets), we get Table 2. All of the precision values falling within the given range for recall across all course datasets are averaged together and provided here. A blank entry indicates no evaluation of the output of that algorithm had a recall in that range. By setting  $t$  as large as possible, we minimize issues of forcing multiple topics into the same group, at the expense of lower recall values. Here we see that nothing significantly outperforms random chance, with the possible exception of the Non-Negative Matrix Factorization. On the course data, it does not appear that topic is a prime factor in the generative model for student scores.

## 5. Conclusions

Neither experiment presented here successfully shows the dependence of scores on topic information for course data. This contradicts some of the fundamental assumptions in psychometrics. We have provided strong evidence that on common types of data (namely, scores collected in university courses), the generative model for those scores is, in fact, *not* based on the topics for those questions. In our informal evaluation of the extracted groupings we have found anecdotal evidence of the importance of time (which questions were asked on the same day), trick questions (which intro CS questions the authors have difficulty answering), and many groups whose relation is completely unclear. This means that for individual questions in such a course, it appears to be more important that the student is having a good day, or is good at trick questions, or is generally good in the course, rather than whether they know a lot about the topic of a particular question.

The implications of this can be interpreted in a variety of ways, and the verification or validation of those implications is far beyond the scope of this paper. Our anecdotal take-away belief from this experiment is that if in-course assessment is intended to measure accurately a student's knowledge in each topic covered in a course, it appears that many courses are performing insufficient assessment. This could be insufficient due to small number of questions in each topic, or insufficient attention paid to construction of assessment instruments.

We feel that topic clustering is an important general problem in the field of educational data mining. A significant percentage of EDM papers are involved in something like topic clustering, often on ITS data or scores augmented with metadata like timing. The converse view of topic clustering is to cluster students based on similar proficiencies in the reduced  $m \times t$  matrix implied by CFA or similar models. Student clustering is perfectly suited to provide summary aggregation in post-analysis reports. For these reasons and the assessment reasons presented in [5], we feel topic clustering is a critical topic for EDM, and one that has significant implications on educational statistics and pedagogy.

The datasets used in these experiments are publicly available on the lead author's website. We encourage other researchers to explore their own techniques for extracting information from such course matrices.

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