Data Mining on the Prediction of Student’s Performance at the High School National Examination

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Abstract: The High School National Exam (ENEM) is the major Brazilian exam to measure the knowledge of high school students. Since it is also used as a criterion to enter public and private universities, there is an interest in identifying the indicators that have the most influence in obtaining good performance. This work presents a prediction model for the participant’s performance, which allows us to identify the features that best explain their exam results. For this work, we used open data provided by the Ministry of Education and the Logistic Regression technique. The predictive model allows us to infer the student’s performance with an accuracy of 74%. Also, since we are using a statistical model of easy interpretation and implementation, instead of a complex Machine Learning technique, school managers could use the results without a deep understanding of the used mining technique.

1 INTRODUCTION

The National High School National Exam (ENEM), created in 1998 in Brazil, is a test carried out annually by the National Institute of Educational Studies and Research Anísio Teixeira (INEP), linked to the Ministry of Education (MEC). The test is carried out by students who are finishing high school, those who will finish high school soon, and those who finished high school in previous years, trying to evaluate their performance at the end of high school and enabling access to undergraduate courses.

The federal government, within the National Open Data Policy and through the Ministry of Education, provides the information made available by the candidate at the time of registration, as well as the candidate’s grade on the exam. The microdata available is an important source of information to know the profile of the students who took the exam.

Since the grade score obtained from ENEM is employed as an entry criterion in public and private universities, there is a great interest in identifying the characteristics of students who achieve high performance. With that, it is possible to determine which participants will have a lower probability of high performance, which allows for the creation of public policies directed towards those students.

Therefore, this work aims is to build a model capable of identifying those features and, hence, predict which participants will have a high performance on the test, based solely on the information provided during registration. To build the model we used the Logistic Regression technique, and we explored ENEM’s open data made available by the INEP. This way, we are able to identify the student’s features that highly influenced their performance on the exam. Our method’s results achieved a higher accuracy than most methods proposed in the literature, and it is the first work to address multiple years of data from the ENEM exam as far as we know. Furthermore, the advantage of using a statistical model instead of a Machine Learning technique is the easy interpretation and reproduction of the result obtained by the constructed model. Also, the model can be used in new exam applications without needing to retrain the model. As the output of the technique provides the weights for each variable in the model, school managers can use the model’s output to build a calculator that shows the probability of high performance in ENEM, as well as compare the difference between the weights of each variable.

The remainder of this paper is organized as fol-
Section 2 addresses some important concepts and related works. The used methodology is presented in Section 3, and the predictive model with the achieved results is described in Section 4. The last section presents our final remarks and future work.

2 BACKGROUND AND RELATED WORK

The educational, social, and economical situation of the students, and how they interact with each other, are investigated to understand how the public policies can influence these issues (Ferreira and Gignoux, 2008). The student’s socioeconomic characteristics affect their academic performance, thus forming a vicious cycle of inequalities in education since those who can invest in education came from a family that could also afford a good education. Society recognizes that there is a wage reward to those who invest more in their education, which makes so the parents need to invest more and more monetarily in a better academic formation for their children (Kornrich and Furstenberg, 2013). However, it does not matter how relevant the economic situation of the student’s family is, other factors must be considered, for example, gender, race, and geographical region, which, due to historical inequalities, may influence the student’s performance on the exam (Ferreira and Gignoux, 2008).

The creation of automatic models that can help predict the student’s performance is important to identify in advance profiles prone to underperform on the exam, allowing the school to intervene, like seeking out public policies that minimize inequality (Macfadyen and Dawson, 2010). To create such models it’s necessary to reach out to techniques such as statistical methods and data mining algorithms. In the following sections, we address some concepts that were important in the development of this work, as well as some related work in the literature.

2.1 Relative Risk

The Relative Risk (RR) is a descriptive measure that provides information about the impact of a specific variable in the event of interest, which in this work is the performance on the ENEM exam, comparing the risk of different categories of a variable and allowing to find a possible causal relationship (Jaeschke et al., 1995). In the scope of this work, for example, it is measured how bigger is the risk of a male student achieving higher performance on the exam when in comparison to a female student. The calculation of the RR is given by the ratio between two incidences, where we take the individuals belonging to the event of interest and then we divide the percentage of those individuals who share the same category in a given variable by the percentage of the ones who share a different category in the same variable. Thus, considering the previous example, to obtain the RR of the gender variable, we would need to divide the percentage of the female students who achieved high performance by the percentage of male students who got the same performance.

2.2 Logistic Regression

The Logistic Regression is a multivariate technique appropriated for different situations since, from explanatory features (continuous or discreet), it is possible to study the effect of such features in the presence (1) or absence (0) of a feature (Hosmer and Lemeshow, 2000). Thus, through the Logistic Regression, we can calculate the probability of an event occurring, as shown in Equation 1.

\[
\pi = \frac{e^{(\beta_0 + \sum_j \beta_j X_j)}}{1 + e^{(\beta_0 + \sum_j \beta_j X_j)}}.
\]

In this equation, \(\pi\) is the probability of the event occurring and \(\beta_j\) are the coefficients associated with each variable \(X_j\).

The regression coefficients and their standard error are computed with the maximum likelihood estimation method, which maximizes the probability of obtaining the observed group of data through the estimated model. The Logistic Regression model has a pre-condition of needing low correlation between the predictor features because the model is sensible to collinearity (Hair et al., 2006).

2.3 EDM and Related Work

The research area, called Educational Data Mining (EDM), focuses on developing methods that seek to extract insights using data collected in educational environments. Its main objective is to understand the student, how they learn, and then develop methods to help their academic trajectory. Prediction is one of EDM’s branches, and the challenge it addresses is the creation of methods for identifying relationships between features and an event of interest, as, for example, school evasion, so the students susceptible to such event receive the appropriate help before it happens. Many works in the literature address prediction using educational data, but we will highlight four of them: two that are similar to our work, addressing the prediction of the student’s performance on the ENEM exam, and two that address the prediction of student’s
performance in courses, that have different objectives from ours, but employ a similar methodology.

The work proposed in (Jha et al., 2019) makes a predictive performance analysis of online course students. The authors compare the performance of Machine Learning algorithms using different sets of features. The techniques explored were: Distributed Random Forest (DRF), Gradient Boosting Machine (GBM), Deep Learning (DL), and Generalized Linear Model (GLM). Their proposed methodology uses 50 features, with 8 of those referring to demographic information, which made this type of information less likely to stand out from the rest. The authors note that these demographic features, such as the student’s genre, age, and region, were not very relevant in their context compared to other information such as the student’s interactions in the virtual environments or the student’s assessment scores. When evaluating the usage of the demographic features, they pointed out that the Area Under the Curve (AUC) when using all 50 features was about 0.01 greater than when discarding the 8 demographic features.

Our work, similar to what was done in (Jha et al., 2019), analyzes the usage of demographic information to predict the student’s performance, but we focus solely on this type of information instead of using extra information like the grade on a specific test. The student’s performance on a single test would be extremely valuable for our model, but it would make it less useful since it would only be applicable after the exam, as the grades are being published. We believe that our model’s greatest value is to be used before the exam, where schools can take action to try and help the students. By analyzing the model proposed by (Jha et al., 2019), the model is only applicable after the student already spent a considerable amount of time in the course, so it cannot help the student early on. Moreover, the authors do not clarify which features are present in the final model, so it is not clear which factors have a greater impact on the student’s performance. Since in our work we focus on the understanding of which social-economic features influence more the student’s performance, we have chosen a technique that can easily measure these probabilities, this way, any school that wishes to compute the probability of a particular student achieving high performance in the exam, it can do so with relative ease.

The EDM application proposed in (González-Marcos et al., 2019) analyzes the academic performance of students in the fourth year of Bachelor in Mechanical Engineering and students in the first year of the master’s degree in Industrial Engineering. In their work, they gathered data related to communication, time, resources, information, documentation, behavioral assessment, as well as the grades in the first half of the course and used it as predictive features for their model. The authors discuss the existence of a possibility of using the model to identify “weaker” students, those with a higher risk of not finishing the course, so that action may be taken to address the situation before the student withdraws or underperforms.

The work proposed by (Stearns et al., 2017) analyzes data from the ENEM exam applied in 2014 to predict the student’s final grade on the math exam. The authors used two regression techniques based on Decision Trees, testing the algorithms AdaBoost and Gradient Boosting. In their experiments, the Gradient Boosting algorithm had the best performance with an $R^2$ of 35%, then 35% of the final grade variability could be explained by the model proposed. Although their model did not achieve high predictive capabilities, through their results, they were able to show that social-economic features help to explain the student’s performance on the math exam, but they do not discuss which features specifically they used.

In their work, (de Castro Rodrigues et al., 2019) explore the data from the 2017 ENEM exam. They analyzed how the familiar income relates to other features on their dataset, leading to the selection of 48 features chosen by how strongly they related to familiar income. Their final selection consists of six features: Schooling of the father or male guardian; Schooling of the mother or female guardian; Has a computer in their residence; Occupation of the father or male guardian; Occupation of the mother or female guardian; Took the exam seeking a scholarship.

Their model then predicted if the student would get a final grade of at least 550, since, according to the authors, it would be a grade good enough so the student could get into a public university. They employed the Learn K-Nearest Neighbor KNN, Support Vector Machine (SVM), Artificial Neural Network (ANN), and Naive Bayes approach. On their tests, the ANN approach achieved the best discriminatory results, with an accuracy of 99%. Furthermore, to look for unknown patterns and rules in the dataset, they applied a rule-based Data Mining method, and one of the rules they found was that, in a certain region, students that did not repeat a year in high school had a final grade greater than 450. However, the authors do not make it clear why they started with a selection based on the student’s familiar income, and they also do not explore the difference in importance between the features of the final model. When comparing the AUC achieved by each of their approaches, it is interesting that the KNN algorithm got the best result, with 97.5%, followed by the Naive Bayes approach, which got 87.5%, and the ANN approach, achieving only
80.4%, and finally the SVM approach with 79.1%.

In their work, (Gomes et al., 2020) explore the
data from the 2011 ENEM exam and select 53 features for their model, encompassing information about the student, special needs they require, the student’s school, and the student’s family socioeconomic situation. They use these features to build two Regression Tree models, using all features for one and pruning the second. The pruning algorithm selected only 7 features for the model, those being: School the student attended (e.g., public, private); Student’s family monthly income; Took the exam seeking a scholarship; The state where the student resides; Took the exam to obtain a Secondary Education certificate; The student’s gender; Finished high school or not.

Their model tried to predict the student’s average in the natural science tests. The authors chose to standardize the ground truth to a mean of 500 and a standard deviation of 100, thus predicting values in the interval (400, 600). When comparing their model performance, the authors pointed out that the pruned model has a 7.87% higher relative error, at 75.35%, than the non-pruned version, at 67.48%. However, the pruned model has more interpretability value since it has only 15 leaves while the non-pruned version has 2342 leaves. Given the results achieved with the non-pruned model, which used most of the features available, the authors concluded that the microdata available is not able to explain the students’ performance and argue that more psychological questions could significantly improve predictive analysis of the data.

In this work, we will differ from (Stearns et al., 2017; de Castro Rodrigues et al., 2019; Gomes et al., 2020) by not only exploring different samples, balanced and unbalanced, for the training and testing processes but also by using samples from different years to assess the predictive capabilities of our model, which guarantees that the results obtained can also be applied in other years of the ENEM exam. Furthermore, we will also differ from their work by thoroughly exploring the model’s features, since by choosing the Logistic Regression technique to model the data, we can easily present, clearly and concisely, how the features that made into the model relate to the student’s performance. Thus, we also make it possible that school managers interested in applying the model to their students before the exam can easily use and understand the model without needing to learn and understand complex models and techniques.

3 METHODOLOGY

For the creation of the model, we started from the method proposed by (Selau and Ribeiro, 2009), which makes use of a system for the creation of prediction models which is constituted by the following steps: Defining the target Audience, Selection of the Sample, Preliminary Analysis, Model Creation, Model Selection and Implantation. In this work, we replaced the last two steps with an evaluation step, as is represented in the Figure 1.

First, we defined the model’s target audience as the students whose performance we are interested in predicting. In the second step, we defined our sample size and our train and test sets. After, we started the preliminary analysis, variable pre-selection, and category clustering. In the next step, we followed a selection process to create the final model. Finally, in the evaluation step, we applied evaluation metrics to measure the model’s predictions. In the following section, we will address in detail each of these steps followed for the model’s creation.

4 MODELLING

In this work, we used data collected on the INEP’s website from the exams applied in the years 2017 and 2018. In the initial stage, we used data from 2018 for both the creation and testing processes of our model. Then, to assess whether the model could be applied using data from the exam in other years, we conducted more tests but using data of the participants from the 2017 exam.

For the creation of the model, collection, and mining of the data, we used the R language, version 3.5.1. It is important to note that even though we described the criteria used to select the sample of the 2018 exam data, which was used in the model construction, the same criteria were applied for the selection of the second test sample from the 2017 exam. Next, we will present, in details, each step taken for the creation of the prediction model.

4.1 Defining the Target Audience

The model’s target audience was selected based on the following requirements: (i) the student finished all of the objective tests and the essay; (ii) the student is a Regular Education Student, that is, the student is not part of programs like Special Education or Young and Adult Education; (iii) the student didn’t mark the option to do the exam for “training” purposes; (iv) the student was completing high school in the same year.
of the exam. Following these restrictions, we arrived at a population of 1,181,386 students for the creation process of our model. Then, we used the Boxplot graph for a visual analysis over the distribution of the final grade to identify potential outliers. Using this method, we identified that grades below 288 and grades above 760 are considered outliers. Thus, we ended up removing 5,324 (around 0.5%) observations from our population.

We defined our answer variable as “the student achieved a high performance on the exam”. Thus, we separated our sample into two groups: the high performing students and the average performing students. We selected the third quartile (top 25% of the highest grades) as the threshold for defining what is considered a “high performance” in the exam. Thus if a student got a final score of at least 584, we considered it a high-performing student. It is important to note that we considered the “final score” to be the average score between the four objective tests (Human Sciences and their Technologies, Languages, Codes and their Technologies, Nature Sciences and their Technologies, and Mathematics and their Technologies) and the essay.

4.2 Selecting the Sample

When calculating the sample size, we stipulated the criterion where at least 20 observations were selected from each category of tested features (Hair et al., 2006). We took balanced samples, randomly selecting 100,542 students, half with an average performance and half with a high performance, which is enough sample size to ensure a representative sample of the population. The sample balancing was applied to avoid influencing the evaluation metrics of the models since, because of the way our variable answer was defined, our population consists of 25% observations of high-performing students, thus if we only predicted the students as having an average performance, then our model would still achieve an accuracy of 75%. And lastly, we randomly separated 80% of our sample for development and 20% for test.

The features tested in the model are derived from the student’s information filled in during registration or built from those raw features, like, for example, per capita income. Following this process, we started with 90 features, including personal information about the student, the school’s data, the student’s requests for specialized or specific assistance, the place where the test was applied, and the socioeconomic questionnaire.

Due to the high number of features available, we started the selection using RR, which measures the risk associated with each category of the predictor features against the answer variable. When this percentage is too different, it means that the variable will be important for the model. Instead, if the percentage is similar, it tells us that the variable will not have a discriminatory effect. After computing the RR, we grouped the categories according to their RR, classifying them into 7 categories (Jaeschke et al., 1995), which are: Terrible, for coefficients between (0, 0.5]; Very Bad, when between (0.5, 0.67]; Bad, when between (0.67, 0.9]; Neutral, when between (0.9, 1.1]; Good, when between (1.1, 1.5]; Very Good, when between (1.5, 2]; Excellent when between (2, ∞).

Of the 90 initial features, we took out 51 because their RR did not indicate a good predictive capability, 50 of those being related to requests for specialized or specific resources, such as, for example, a braille test.

The RR was also used as a mean to cluster the categories since some features contained very few observations in each category, which could make the predictions not very robust (Lewis, 1992). We clustered the categories of 30 features according to their RR magnitude, including the Residence Federation Unit, and the remaining features had already only 2 categories. With this, 39 features proceeded to the next step of the creation of our model.

4.3 Creating the Model

First, we used the Stepwise selection method for a new evaluation of the features. This method applies the Logistic Regression and selects a set of variables for the model automatically. Using this method, we removed 7 features from our model: (i) State where the student was born; (ii) Nationality; (iii) Hires a housekeeper; (iv) Amount of bedrooms in the house; (v) Amount of owned dishwashers; (vi) Owns a vacuum cleaner; (vii) Amount of owned color TVs. After this process, we reevaluated the model and noticed that some variables coefficients were not significant anymore, so we applied the RR again to regroup the categories. Then, we applied the Stepwise method again to verify the new groups created, where only a single variable, which referred to the student owning a cellphone, was removed.

We used Logistic Regression as our modeling technique after selecting the features. Since it allows us to easily interpret the relationship between the student’s features and their performance, we chose it over other Machine Learning techniques. This way, in addition to deriving how the student’s features relate to their performance, any school manager can use, interpret and understand those results without the need
for a deep understanding of the used data mining techniques.

Since one of the assumptions of the Logistic Regression is the non-multicollinearity, we used Cramer’s $V^2$ test as an additional test to guarantee that there is no correlation between the features. We used correlations greater than 0.25 as the threshold, which is considered a high correlation (Akoglu, 2018). After applying the test, we excluded 22 features from the model, which are presented in Table 1.

Therefore, the final model is constituted of 9 features, and all their coefficients have statistical relevance ($p-value < 0.01$). We present in Table 2 the features used on the final model, along with how they relate to achieving high performance on the ENEM exam. The coefficient’s magnitude indicates if individuals of the observed category have a higher or lower probability of achieving high performance in the exam than the reference category (ref). For example, we can see in Table 2 that studying in a public school implies a lower probability, with a coefficient of $-2.1$, of achieving high performance on the exam when compared to studying in a private school, which has a reference category. However, students who own a clothes dryer are more likely, with a coefficient of $0.1$, to achieve a high performance than students who do not own a dryer, which has the reference category.

By analyzing the features and their coefficients in Table 2, we infer that features such as owning a dryer joined the model because they reflect the student’s family income. We deduce that the same applies to the amount of refrigerators the student owns, since students that declared not owning or owning a single refrigerator have a lower probability, with a coefficient of $-0.2$, of achieving a high performance than students which declared owning more than one refrigerator, which represents the reference category. The variable representing the Federation Unit where the student resides was defined by creating groups of states, where students that do not reside within the states of SP, RJ, MG, ES, DF, or SC were less likely to achieve a high performance than students that reside in those states. Of the 6 states mentioned, 5 of those were amongst the 8 largest Brazilian GDPs in 2019, except for ES, which was at the 14$^{th}$ position.

In Figures 2 and 3, we present the concentrations of the students, which achieved high performance on the features of the final model in each category. The figures consolidate the obtained results from the model, showing that the difference between the categories’ coefficients reflect the difference in the performance of the students present in these categories. The most influential variable (the coefficient with the highest absolute value) was the school type, where those who studied at public schools will have a lower probability of achieving high performance on the exam when compared to those who studied in private or federal schools. We corroborate these results in Figure 2, which shows that only 13.99% of state school and 24.53% of municipal school students achieved a high performance, while 61.68% of private school students got similar results. Also, although women represented the majority (58.1%) of candidates, only 22.8% of the candidates achieved high performance on the exam while 27.9% of men achieved similar results (Figure 3).
4.4 Model Evaluation

After creating the model, we measured its predictive ability to evaluate how it performs in the development and test samples. Moreover, to assess both the model’s robustness and whether it can be applied in other instances of the problem, we applied the model on the data collected from the ENEM exam of 2017. We used two samples from 2017, one which was balanced, with 100,875 students, and another which was unbalanced, with 101,203 students, using the same criteria of the sample made for the year of 2018, as described in Subsection 4.1.

For evaluation metrics, we used the Kolmogorov-Smirnov (KS) test for two independent features, and also other measures like accuracy and Receiver Operating Characteristics (ROC) curve (Siddiqi, 2012). The results of our experiments are presented in Table 3. We achieved a KS higher than 40% and an accuracy higher than 70% in all of our tested samples, which are satisfactory results according to specialists (Selau and Ribeiro, 2009). The Area Under the Curve (AUC), calculated based on the ROC curve, presented a measure higher than 0.7 in all samples, which is also considered acceptable (Sicsu, 2010). These results allow us to infer that the model has good predictive capabilities, being able to predict which students will achieve high performance on the exam. Moreover, our results showed evidence that the model can be applied to data from different years of the exam without losing performance.
Table 3: Performance of the model in different samples.

<table>
<thead>
<tr>
<th>Sample</th>
<th>KS</th>
<th>Accuracy</th>
<th>ROC</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018 Analysis</td>
<td>46.6%</td>
<td>73.1%</td>
<td>80.0%</td>
</tr>
<tr>
<td>2018 Test</td>
<td>43.5%</td>
<td>71.4%</td>
<td>77.9%</td>
</tr>
<tr>
<td>Balanced 2017 Test</td>
<td>48.2%</td>
<td>73.8%</td>
<td>79.9%</td>
</tr>
<tr>
<td>Unbalanced 2017 Test</td>
<td>46.3%</td>
<td>76.6%</td>
<td>80.0%</td>
</tr>
</tbody>
</table>

5 CONCLUSIONS

This paper presents an application of EDM to predict students’ performance on the ENEM exam. Through the evaluated data, the proposed model showed promising results in predicting the student’s performance on the exam. The final model allows us to infer which features enhance students’ probability of being in the high-performing group in the ENEM exam results. With this, we are able to observe that students who, e.g., are a white male, studied in a private school, did not study in a rural area, amongst a few other features, are more likely to achieve a better score on the exam.

This way, educational managers can use the proposed model to identify students who are more likely to not achieve a desirable performance on the test with minimal effort, just applying the logistic regression formula with the weights assigned by the model. The model can alert teachers about the students’ possible difficulties before the exam is taken. Moreover, it also allows a deeper understanding of which portion of the population belongs to this group, thus encouraging new public policies to minimize the inequalities.

During data analysis, we can see that many features are quite correlated to each other. For future work, we intend to analyze how they relate by exploring different mining techniques, such as Decision Trees. Thus, we will evaluate those relations creating new features and measuring their impact on the model. Since our main goal is to assist educational managers in identifying students who will not achieve high performance in the exam, we also intend to create an easy-to-use calculator with the model’s results, explaining how anyone could compute the model.

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