Keywords: School Dropout, Face-to-Face, Data Mining, Systematic Mapping.

Abstract: Dropout is a critical problem that affects institutions worldwide. Data mining is an analytical solution that has been used to deal with it. Typically, data mining follows a structured process containing the following general steps: data collection, pre-processing, pattern extraction, post-processing (validation). Until know, it is not known how data mining has been used to address the dropout problem in face-to-face education considering all steps of the process. For that, a Systematic Literature Mapping was conducted to identify and analyze the primary studies available in the literature to address some research questions. The aim was to provide an overview of the aspects related to data mining steps in the presented context, without going into details about specific techniques, but about the solutions themselves (for example, imbalanced techniques, instead of SMOTE). 118 papers were selected considering a period of 10 years (01/01/2010 to 31/12/2020).

1 INTRODUCTION

Dropout is a critical problem that affects institutions worldwide. Many works have been done to understand the factors that lead students to quit their studies. There is no consensus on the definition of dropout (Manhães et al., 2014; Márquez-Vera et al., 2016), but in this paper it is considered as the students who interrupt the course for any reason (course transfer, registration locking, etc.) and do not finish their studies with their cohorts.

According to (Delen, 2011) there are two approaches that can be used to deal with the dropout problem: survey-based and data-driven (analytic). In the survey-based, theoretical models, such as the one developed by Tinto (Tinto, 1993), are developed. In the data-driven, institutional data are analyzed by analytical methods. Data mining is one of those analytical solutions, as seen in (Gustian and Hundayani, 2017; Pertwii et al., 2017; Pereira and Zambrano, 2017). As stated by (Plotnikova et al., 2020), data mining projects generally follow a structured process or methodology, such as KDD, CRISP-DM or SEMMA. We are considering here the following main steps that normally appear in these processes: data collection, pre-processing, pattern extraction, post-processing (validation). From now on, data mining will be understood as a process containing these main steps.

Although there are many studies that use data mining to analyze the dropout problem, it is not known how data mining has been used to address the dropout problem in face-to-face education considering all steps of the process. Therefore, a Systematic Literature Mapping (SLM) (Kitchenham and Charters, 2007) was done to identify and analyze the primary studies available in the literature to address some research questions. The aim was to provide an overview of the aspects related to data mining steps in the presented context, without going into details about specific techniques, but about the solutions themselves (for example, imbalanced techniques, instead of SMOTE).

It is important to mention that some secondary studies were found, although only one similar to our research. In (Agrusti et al., 2019) the authors also present a systematic review on dropout through data mining. However, they covered only one aspect of the data mining process, the pattern extraction (specifically techniques, algorithms and tools). Our goal is to cover all steps of the process. In other words, the authors did not capture all the aspects that interest us.
This work is structured as follows: Section 2 describes the SLM protocol. Section 3 presents the results, as well as the analyzes and discussions for each research question. An overview of the studies is also presented. Finally, Section 4 concludes the paper and discusses some gaps that can be explored.

2 PROTOCOL

A Systematic Literature Mapping (SLM) (Kitchenham and Charters, 2007) is a process in which a set of studies, available in the literature, is analyzed based on a research question. The aim is to provide an overview of the state of the art through the presentation and discussion of the results considering the analyzes carried out in studies identified as relevant. For that, a protocol is elaborated, which contains the following steps: (a) formulation of one or more research questions (Section 2.1); (b) identification of the primary studies to be considered (for that purpose, the studies must be extracted and analyzed) (Section 2.2); (c) data extraction and synthesis (Section 2.3); (d) summary and discussion of the results (Section 3).

2.1 Research Questions

The aim of this SLM was to retrieve and analyze primary studies that use data mining in the dropout context to understand how the process occurs, from data collection to the validation of the extracted patterns. This study only addressed the face-to-face dropout problem, since all institutions have data on the trajectories of their students in their academic systems, which can be analyzed and explored. Therefore, the questions below were formulated.

RQ1. What levels of education are explored? This question aims to identify the levels of education (university, high school, etc.) data mining has been applied. It is important to know if there are researches focused on the different levels of education, since the problem exists in all of them and the data mining process can be used in these different contexts in order to better understand the problem.

RQ2. Considering the samples (datasets) used, how big are they and how are they generated? This question aims to identify the samples sizes and the cut that is made in the data to obtain the sample (by year, by course, etc.). It is important to know the samples sizes as this impacts on the extracted model in relation to generalization and overfitting (Tan et al., 2018). In addition, if the analyzes are being made to understand the students of a certain course, a specific area (engineering, for example), etc., and in what period (annual, half-yearly, etc.).

RQ3. What aspects (features, attributes) have been used to model the dropout problem? This question aims to identify the features that have been used to induce the models. From this analysis it is possible to know if there is any aspect not yet explored (academic, demographic, etc.) or even to direct future explorations towards what, in general, is used.

RQ4. What kind of pre-processing has been applied to the samples? As stated by (Romero et al., 2014), pre-processing is one of the most important steps. It affects all other subsequent steps. Therefore, it is important to identify the techniques that have been applied to prepare the samples for model induction.

RQ5. What algorithm families have been used? As many algorithms can be used to induce a model, it is important to identify those that have been explored and whether they are all predictive or whether there are solutions using descriptive tasks. However, as many algorithms can appear, we intent to group them by similarity, as done, for example, in Weka1, named here as family.

RQ6. What measures have been used to validate the extracted patterns? After model induction, it is necessary to validate the extracted patterns. It is important to identify the measures that have been used in the post-processing step, since some measures, as accuracy, are too general to validate the results.

2.2 Identification of the Primary Studies

To identify the primary studies relevant to data extraction, it is necessary to define the search string, the databases for retrieving the papers, the inclusion and exclusion criteria to select or not a paper as relevant and the steps to make the selection.

Search String. The search string was formulated with the aim of contemplating the issues of “dropout” and “data mining”: “{(desertion} OR {attrition} OR {withdrawal} OR {withdraw} OR {evasion} OR {dropout} OR {dropouts} OR {drop-out} OR {drop-outs} OR {drop out} OR {drop outs}) AND {(student} OR {students} OR {school} OR {academic} OR {education}) AND {(data mining} OR {machine learning}) AND NOT {(distance} OR {online} OR {on-line})}”. The first part addresses the dropout problem, the second the school context, the third data mining and the last the application of a filter to exclude distance education, since we focus on face-to-face learning. To formulate this string we evaluated

1https://www.cs.waikato.ac.nz/ml/weka/.
the words frequently used in several works, as well as their synonyms, and then verified the works retrieved with such string, in the databases used, to calibrate it. **Source Selection.** The search string was applied only to electronic databases, making the necessary adjustments to the syntax of each one. The following electronic databases were considered: Scopus\(^2\), Compendex\(^3\), ISI Web of Science\(^4\), IEEE Xplore\(^5\), ACM Digital Library\(^6\) and ScienceDirect\(^7\). The string was applied to titles, abstracts and keywords. The period considered in the search was from 01/01/2010 to 31/12/2020 (10 years).\(^8\) We could observe an increase (Figure 2) in the number of publications since 2018. 75.42% (89

Inclusion and Exclusion Criteria. The purpose of defining these criteria is to identify the primary studies that provide direct evidence in relation to the research questions. Therefore, the studies to be selected for data extraction are those that do not match any exclusion criteria. The following inclusion criterion was considered: (i) the paper addresses the topic of data mining in the face-to-face school dropout context. The following exclusion criteria were considered: (i) the paper is out of scope: does not address school dropout, face-to-face learning or data mining; (ii) the paper does not contain an abstract; (iii) the paper only contains an abstract; (iv) the paper is a copy or a version of another paper already considered; (v) the paper is not a primary study (such as editorial, position paper, keynote, opinion, tutorial, poster, panel, book, technical report, etc.); (vi) the paper is a secondary study (review, survey, etc.); (vii) we were unable to access the full paper; (viii) the paper addresses the use of tools and/or softwares and not the data mining process itself; (ix) the paper is not written in English.

Selection Steps. To assist the process we used the StArt\(^9\) tool, since it automatically detects duplicate papers, manages the entire process, maintaining a history on the number of included and excluded papers by selection step and electronic database. Figure 1 shows the steps that were used to select the papers, which are described in the figure itself. The values initially obtained in the searches, as the values obtained in each step, are also presented in the figure.

A total of 118 articles were selected. For the sake of space, the set of selected papers is available at https://bit.ly/dropout2021.

2.3 Data Extraction and Synthesis

Data extraction is concerned with collecting information from selected articles in order to answer research questions. Data extraction was performed through the reading of the selected papers. However, it is also important to extract and organize more general data about the papers. The extraction forms were also built with the StArt tool. The tool allows, after the extraction, to export all information to an electronic spreadsheet in order to perform the data synthesis.

2.4 Threats to Validity

One of the advantages of making a SLM is to present an overview of the state of the art through a methodological and not arbitrary process. However, even in this case, it is possible that relevant papers end up not being included. In this work we can mention two threats. The first is concerned to the number of synonyms related to the word dropout. As mentioned before, there is no consensus on the definition of dropout and, therefore, many other words can be used to express dropout depending on the context. However, we consider that we used several of them. The second is concerned to the word data mining. As we want to focus in all steps of the process, we considered the word machine learning as a synonym for it, as they are general terms that cover aspects such as techniques (such as classification), algorithms (such as C4.5), etc. Therefore, we chose to use only general terms and not specific ones (as neural network, Bayesian), as done in (Agrusti et al., 2019).

3 RESULTS AND ANALYSIS

Before presenting the results regarding the research questions, more general data about the papers are presented.

3.1 Overview of the Studies

This section presents some general aspects about the 118 selected papers.

**Publication Year.** As mentioned before, the period considered was from 01/01/2010 to 31/12/2020 (10 years). We could observe an increase (Figure 2) in the number of publications since 2018. 75.42% (89

\(^3\)www.engineeringvillage.com.
\(^4\)http://apps.webofknowledge.com/.
\(^6\)http://dl.acm.org.
\(^7\)http://www.sciedirect.com.
\(^8\)The SLM was completed in October, and, at the beginning of the year, the search string was executed again in the respective databases and the papers of 2020 that had not been identified until then were added and analyzed as described below.
\(^9\)http://lapes.dc.ufscar.br/tools/start_tool.
Step 1: identification and organization of articles returned from digital libraries.

Step 2: automatic removal of duplicate articles using the START tool.

Step 3: review of titles and abstracts to apply the inclusion and exclusion criteria. Articles that met the exclusion criteria have been removed. Articles that met the inclusion criteria were selected for the next step. If in doubt, the article was included and evaluated in the next step.

Step 4: review of complete articles. Articles that met the exclusion criteria have been removed. Articles that met the inclusion criteria were maintained.

Figure 1: Selection steps.

Figure 2: Number of publications per year.

Paper Type. Most papers were found in conferences (55.08%, 65), followed by journals (44.07%, 52) and book chapters (0.85%, 1).

Paper Country. An interesting fact that could be observed is that dropout is a worldwide problem. Researchers everywhere are struggling to understand the problem. The following countries were identified, which are listed by the number of papers (from highest to lowest values): USA (12.71%, 15), Brazil (11.86%, 14), Colombia and Indonesia (8.47%, 10 each), India (7.63%, 9), Thailand (5.95%, 7), Bangladesh (5.08%, 6), Ecuador (4.24%, 5), Hungary and Spain (2.54%, 3 each), Taiwan, China, Italy, Mexico, Peru, Malaysia, Croatia, Australia, Germany and Philippines (1.69%, 2 each), Costa Rica, Portugal, Czech Republic, Pakistan, Chile, Saudi Arabia, Botswana, Latvia, Yemen, South Africa, Canada, Bulgaria, Korea, United Arab Emirates, Oman and Fiji (0.85%, 1 each). The country of the first author was considered.

Research Method. The papers were classified on three categories11: “Comparative Analysis”, “Case Study” and “Solution Proposal”. The Comparative Analysis (56.78%, 67) includes papers that performed comparative analyzes between techniques and/or algorithms based on one or more datasets. The Case Study (50%, 59) includes papers that presented an analysis on a specific dataset using one or more techniques and/or algorithms. The Solution Proposal (7.63%, 9) includes papers that proposed a new solution to the dropout problem through data mining. It could be noticed that the tendency of the papers was to perform an exploratory analysis on a specific dataset considering different algorithms, bringing together the Comparative Analysis and Case Study categories.

3.2 RQ1: What Levels of Education Are Explored?

The purpose of this question was to identify the levels of education (university, high school, etc.) data mining has been applied.

3.2.1 Results

It could be noticed that studies related to universities were the majority with approximately 86.44% (102).

11Sometimes a publication is counted more than once (for example, it is classified in more than one category). Thus, from now on, the sum of some percentages can be greater than 100%.
16.10% (19) were related with high school (countries: USA, Mexico, Korea, India, Croatia, Hungary and Brazil) (studies ID: 9, 10, 17, 18, 20, 26, 32, 41, 68, 72, 79, 94, 98, 102, 107, 111, 113, 115 and 116). Considering the two countries with the highest number of studies, USA and Brazil, 66.67% (10) from the USA studies are related with higher level and from Brazil 85.71% (12).

3.2.2 Analysis and Discussion

Although dropout can occur at different levels of education, the level that stood out was the higher level. The reasons for the preference for this level of education are not reported, although studies mention that dropout at higher level is a concern in several countries, including theoretical models of study in this context, as addressed in (Perchinunno et al., 2019). One of the reasons for the choice may be the fact that the researchers use the databases of the institutions where they are located. Another, as reported by (Chen et al., 2018), is that at this level of education more than 60% of the dropouts occur in the first two years. However, other levels are also important, as reported by (Chung and Lee, 2019). Therefore, more efforts could be made to better understand the dropout problem at different levels.

3.3 RQ2. Considering the Samples (Datasets) Used, How Big Are They and How Are They Generated?

The purpose of this question was to identify the samples sizes and the cut that is made in the data to obtain the sample (by year, by course, etc.).

3.3.1 Results

The size of the samples varied widely between works. For a better understanding, the values were grouped in ranges, as shown in Figure 3. It was noticed that almost 50% (47.46%, 56) of the works used small samples when compared to the educational context; in this case, the sizes were less than or equal to 5,000. Considering this range (Figure 4) 60.70% (34) use sizes less than 1,000 (28.81% (34) in relation to the total (118)).

In relation to the strategies used to obtain the samples, it could be noticed that they followed a certain pattern: period of time (annual or half-yearly), number of subjects and number of courses. Figure 5 presents the obtained patterns. It can be seen that the

\[ \text{Frequency} = \frac{\text{Number of Studies}}{\text{Total Studies}} \]

\[ \text{Ranges} = [1, 5, 10, 20, 50, 100, 250, 500, 1000, 2000, 5000, >5000] \]

\[ \text{Frequency} = [60.71\%, 12.50\%, 8.93\%, 7.63\%, 5.36\%, 4.71\%, 3.93\%, 2.00\%] \]

Figure 3: Samples size grouped by ranges.

Figure 4: Range [1-5,000] (Figure 3) broken in ranges of 1,000.

samples include data from periods longer than two years, as well as data from more than two courses. For a better understanding of the results, since the information was obtained during the reading of the papers, a synthesis was generated to relate "period" x "aspects related to the courses". As seen in Figure 6, 56.78% (67) of the studies have used samples covering two or more courses considering a period of more than two years.

3.3.2 Analysis and Discussion

As mentioned before, it is important to know the samples sizes as this impacts on the extracted model in relation to generalization and overfitting (Tan et al., 2018). It was noticed that almost 50% (47.46%, 56) of the works used small samples when compared to the educational context (being 28.81% (34) less than 1,000). Therefore, in some contexts, it may be difficult to conclude about the results regarding the dropout problem, i.e., the inferences may not be generalizable. This aspect was not considered during the data mining process, regardless of the algorithms
3.4 RQ3. What Aspects (Features, Attributes) Have Been Used to Model the Dropout Problem?

The purpose of this question was to identify the features that have been used to induce the models.

3.4.1 Results

Papers, in general, use different features; however, the reason for including them is not essentially justified. 191 distinct features were accounted (including the label “Not specified”). Thus, to better understand the set of distinct features found, the strategy of dividing them into groups of variables was used, namely: demographic, social, psychological, financial and academic. The works of (Chai and Gibson, 2015), (Dharmawan et al., 2018), (Pérez et al., 2018a), (Pérez et al., 2018b), (Sorensen, 2018), (Guarin et al., 2015) and (Delen, 2010) carry out similar strategies.

Figure 7 shows the distribution of the 191 features across the groups. The two groups that stand out are those related to academic and demographic variables, which together represent more than 77.49% (148) of the total. Table 1 shows the most representative features in each group, the frequency and percentage of occurrence. For the academic and demographic groups, the features with a frequency greater than or equal to 10 are presented; for the other groups (psychological, social and financial) greater than or equal to 5. Note that a feature can appear in one or more studies; thus column “Freq.” (frequency) presents two pieces of information, X/Y, where X indicates the number of occurrence of the listed features and Y the number of occurrence of the features in the group. “%” indicates the percentage regarding the listed features (X/Y). Finally, Table 2 presents for each of the groups the papers IDs that contain, at least, one feature of the group. Observe that most papers use fea-
3.4.2 Analysis and Discussion

As seen above, the two groups that stand out are those related to academic and demographic features. The use of these groups is justified due to the fact that the institutions store these data in the student’s history; however, the other groups represent additional data that are usually collected through other mechanisms, such as physical or digital forms. However, there is a tendency to use variables from different groups in order to verify their influence in the process. In addition, it is clear that despite the papers use a considerable number of variables, there is no consensus on their choice, indicating a gap to be explored regarding their selection.

Another aspect observed is that few papers discuss and/or present the best predictive features, as in the following works: (Adil et al., 2018) number of family members, relationship with teachers, interest in studies; (Delen, 2010) academic performance (grades/concepts), financial aid (scholarship); (Castro et al., 2018) cite, in addition to age, variables selected through the psychological test called BADyG, among them, visual memory, speed of reasoning and ability to complete sentences; (Chai and Gibson, 2015) aver-
age grade in the course, study time, amount of credits taken. Thus, even if the groups of academic and demographic variables stand out, the predictive features are not always within these groups. This lack of analysis of the best predictive features may be related, for example, to data characteristics, types of samples, research objective, etc. The fact is that there was no consensus on the most predictive, i.e., it was not possible to identify the main predictive features and/or if there is any relationship between them.

3.5 RQ4. What Kind of Pre-processing Has Been Applied to the Samples?

The purpose of this question was to identify the techniques that have been applied to prepare the samples for model induction.

3.5.1 Results

Even though pre-processing is one of the most important steps, 42.37% (50) of the papers do not specify the type of pre-processing performed, although most of them (57.63%, 68) mention that this step was used. In these papers, the following pre-processing were done: missing values (20.34%, 24), data balance (19.49%, 23), attribute selection (16.10%, 19), descriptive statistic (15.25%, 18), attribute reduction and discretization (5.93%, 7 each), data normalization and outlier (2.54%, 3 each), attribute creation (0.85%, 1). Table 3 presents for each of the pre-processing techniques the papers IDs that contain, at least, one solution regarding it. See (Tan et al., 2018) for details on data pre-processing.

3.5.2 Analysis and Discussion

Although pre-processing affects all other subsequent steps, the reason for the lack of information on this step (42.37%) may be due to the characteristics of the algorithms used, as explained in (Alexandropoulos et al., 2019). The authors relate the algorithms to the pre-processing techniques and indicate that some algorithms already have implicit pre-processing steps. It could be noticed that the step was considered so trivial that its details were not presented or briefly presented; however, the results may be compromised, especially in the context of dropout, since the problem is inherently imbalanced (only 19.49% of the papers comment on this aspect).

3.6 RQ5. What Algorithm Families Have Been Used?

The purpose of this question was to identify the algorithm families that have been explored and whether they are all predictive or whether there are solutions using descriptive tasks.

3.6.1 Results

68 distinct algorithms were accounted. Grouping them by task we have: classification (95.59%, 65), clustering, association and sequential pattern (1.47%, 1 each). The task that stood out was classification. Grouping them by similarity, as previously mentioned, named here as family, we have the frequencies shown in Figure 8. Table 4 shows the most representative algorithm in each family, the frequency and percentage of occurrence. Note that an algorithm can appear in one or more studies; thus column “Freq.” (frequency) presents two pieces of information, X/Y, where X indicates the number of occurrence of the listed algorithm and Y the number of occurrence of the algorithms in the family. “%” indicates the percentage regarding the listed algorithm (\(\frac{X}{Y}\)). Finally, Table 5 presents for each of the families the papers IDs that contain, at least, one algorithm of the group. The families that stood out were decision tree (69.49%, 82), ensemble (51.69%, 61) and regression (32.20%, 38) (as seen in Table 5).

![Figure 8: Frequency of algorithm families.](image)

3.6.2 Analysis and Discussion

Although different algorithms were used, there was no mention of the reasons for the choice. It was observed that the choice was made arbitrarily, seeking to diversify the exploration in order to measure the results (see Section 3.1 about “Comparative Analy-
Table 3: Studies by pre-processing techniques.

<table>
<thead>
<tr>
<th>Technique</th>
<th>Study ID</th>
<th>Freq.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Missing Values</td>
<td>2, 5, 10, 16, 18, 21, 22, 23, 24, 29, 30, 32, 37, 38, 41, 45, 54, 58, 67, 68, 99, 100, 103, 108</td>
<td>24</td>
<td>20.34%</td>
</tr>
<tr>
<td>Data Balance</td>
<td>9, 18, 23, 28, 30, 31, 33, 38, 41, 47, 49, 50, 60, 61, 62, 63, 64, 79, 81, 85, 99, 107, 111</td>
<td>23</td>
<td>19.49%</td>
</tr>
<tr>
<td>Attribute Selection</td>
<td>1, 2, 18, 21, 28, 30, 35, 41, 49, 53, 59, 63, 77, 80, 84, 88, 89, 93, 99, 105, 110, 112</td>
<td>19</td>
<td>16.10%</td>
</tr>
<tr>
<td>Descriptive Statistic</td>
<td>2, 5, 7, 10, 11, 18, 19, 23, 24, 29, 37, 41, 42, 45, 46, 48, 50, 56</td>
<td>18</td>
<td>15.25%</td>
</tr>
<tr>
<td>Attribute Reduction</td>
<td>2, 4, 30, 33, 58, 69, 103</td>
<td>7</td>
<td>5.93%</td>
</tr>
<tr>
<td>Discretization</td>
<td>10, 24, 29, 30, 32, 40, 109</td>
<td>7</td>
<td>5.93%</td>
</tr>
<tr>
<td>Data Normalization</td>
<td>1, 2, 113</td>
<td>3</td>
<td>2.54%</td>
</tr>
<tr>
<td>Outlier</td>
<td>1, 58, 93</td>
<td>3</td>
<td>2.54%</td>
</tr>
<tr>
<td>Attribute Creation</td>
<td>1</td>
<td>1</td>
<td>0.85%</td>
</tr>
<tr>
<td>Not specified</td>
<td>3, 6, 12, 13, 14, 15, 17, 20, 25, 26, 27, 34, 36, 39, 43, 44, 51, 52, 55, 57, 65, 66, 70, 71, 73, 74, 75, 76, 78, 82, 83, 86, 87, 90, 91, 92, 94, 95, 96, 97, 98, 101, 102, 104, 106, 114, 115, 116, 117, 118</td>
<td>50</td>
<td>42.37%</td>
</tr>
</tbody>
</table>

Table 4: Most representative algorithm of each family.

<table>
<thead>
<tr>
<th>Family</th>
<th>Algorithm</th>
<th>Freq.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decision Tree</td>
<td>J48/C4.5</td>
<td>41/118</td>
<td>34.75%</td>
</tr>
<tr>
<td>Ensemble</td>
<td>Random Forest</td>
<td>40/86</td>
<td>46.51%</td>
</tr>
<tr>
<td>Regression</td>
<td>Logistic Regression</td>
<td>36/42</td>
<td>85.71%</td>
</tr>
<tr>
<td>Bayesian</td>
<td>Naive Bayes</td>
<td>31/37</td>
<td>83.78%</td>
</tr>
<tr>
<td>Neural Network/Deep Neural Network</td>
<td>MLP</td>
<td>22/36</td>
<td>61.11%</td>
</tr>
<tr>
<td>Support Vector Machine</td>
<td>SVM</td>
<td>29/30</td>
<td>96.67%</td>
</tr>
<tr>
<td>Rule-Based</td>
<td>OneR</td>
<td>9/28</td>
<td>32.14%</td>
</tr>
<tr>
<td>Instance-Based</td>
<td>KNN</td>
<td>20/22</td>
<td>90.91%</td>
</tr>
<tr>
<td>Clustering</td>
<td>K-means</td>
<td>7/7</td>
<td>100%</td>
</tr>
<tr>
<td>Association</td>
<td>Apriori</td>
<td>5/5</td>
<td>100%</td>
</tr>
<tr>
<td>Discriminant Analysis</td>
<td>Linear Discriminant Analysis (LDA)</td>
<td>3/3</td>
<td>100%</td>
</tr>
<tr>
<td>Sequential Pattern</td>
<td>PrefixSpan</td>
<td>1/1</td>
<td>100%</td>
</tr>
<tr>
<td>Nature-Inspired</td>
<td>Bacterial Foraging Optimiza</td>
<td>1/1</td>
<td>100%</td>
</tr>
</tbody>
</table>

3.7 RQ6. What Measures Have Been Used to Validate the Extracted Patterns?

The purpose of this question was to identify the measures that have been used in the post-processing step to validate the extracted patterns.

3.7.1 Results

The measures identified in the papers were accuracy (81.36%, 96), precision (37.29%, 44), recall
Table 5: Studies by algorithm families.

<table>
<thead>
<tr>
<th>Algorithm Family</th>
<th>Study ID</th>
<th>Freq.</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decision Tree</td>
<td>1, 2, 4, 5, 6, 7, 8, 9, 10, 13, 14, 16, 17, 19, 21, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 48, 49, 52, 56, 57, 58, 59, 60, 62, 63, 64, 66, 68, 69, 74, 76, 77, 78, 79, 81, 83, 84, 86, 87, 88, 89, 90, 91, 92, 97, 99, 100, 101, 103, 105, 106, 108, 109, 110, 111, 112, 117, 118</td>
<td>82</td>
<td>69.49%</td>
</tr>
<tr>
<td>Ensemble</td>
<td>2, 3, 5, 6, 8, 11, 12, 13, 16, 17, 22, 23, 24, 29, 32, 37, 43, 46, 49, 51, 54, 55, 57, 58, 59, 61, 62, 65, 66, 67, 68, 69, 71, 72, 73, 75, 80, 82, 83, 84, 85, 87, 88, 89, 90, 91, 93, 94, 95, 96, 98, 99, 101, 102, 105, 108, 109, 112, 113, 114, 116</td>
<td>61</td>
<td>51.69%</td>
</tr>
<tr>
<td>Regression</td>
<td>2, 3, 6, 8, 12, 13, 15, 16, 17, 18, 19, 22, 29, 37, 44, 46, 47, 49, 51, 53, 54, 56, 64, 68, 69, 70, 83, 89, 90, 93, 94, 96, 101, 106, 107, 110, 112, 117</td>
<td>38</td>
<td>32.20%</td>
</tr>
<tr>
<td>Bayesian</td>
<td>2, 4, 6, 8, 12, 13, 15, 16, 21, 22, 23, 24, 26, 31, 32, 33, 34, 37, 43, 57, 58, 72, 77, 83, 84, 87, 89, 90, 91, 95, 97, 99, 100, 105, 115, 118</td>
<td>36</td>
<td>30.51%</td>
</tr>
<tr>
<td>Neural Network/Deep Neural Network</td>
<td>2, 3, 11, 24, 29, 32, 33, 34, 37, 43, 44, 46, 50, 52, 53, 55, 56, 59, 60, 68, 69, 78, 81, 83, 84, 87, 89, 90, 101, 106, 110, 111, 112</td>
<td>33</td>
<td>27.97%</td>
</tr>
<tr>
<td>Support Vector Machine</td>
<td>1, 3, 12, 15, 17, 18, 22, 26, 32, 34, 37, 46, 56, 58, 59, 62, 65, 67, 68, 69, 87, 89, 90, 91, 93, 94, 95, 105, 110, 112</td>
<td>30</td>
<td>25.42%</td>
</tr>
<tr>
<td>Instance-Based</td>
<td>1, 2, 6, 12, 16, 26, 32, 33, 56, 58, 59, 62, 68, 87, 89, 95, 96, 99, 101, 106, 113</td>
<td>21</td>
<td>17.80%</td>
</tr>
<tr>
<td>Rule-Based</td>
<td>23, 26, 30, 32, 38, 41, 43, 63, 77, 79, 84, 103, 115</td>
<td>13</td>
<td>11.01%</td>
</tr>
<tr>
<td>Clustering</td>
<td>14, 27, 29, 35, 45, 47, 104</td>
<td>7</td>
<td>5.93%</td>
</tr>
<tr>
<td>Association</td>
<td>12, 35, 45, 52, 104</td>
<td>5</td>
<td>4.24%</td>
</tr>
<tr>
<td>Discriminant Analysis</td>
<td>57, 67, 106</td>
<td>3</td>
<td>2.54%</td>
</tr>
<tr>
<td>Nature-Inspired</td>
<td>62</td>
<td>1</td>
<td>0.85%</td>
</tr>
<tr>
<td>Sequential Pattern</td>
<td>20</td>
<td>1</td>
<td>0.85%</td>
</tr>
</tbody>
</table>

(33.90%, 40)\(^{13}\), f-measure (27.97%, 33), area under curve (AUC) (25.42%, 30, including ROC curve), true positive (20.34%, 24), true negative (16.10%, 19) false positive and sensitivity (10.17%, 12 each), false negative (8.47%, 10), specificity (7.63%, 9), kappa (5.93%, 7), absolute average error and geometric mean (4.24%, 5 each), confidence and gini (3.39%, 4 each), root mean square error (2.54%, 3), relative absolute error (1.69%, 2) and support, un-weighted average recall (UAR), permutation decrease importance (0.85%, 1 each).

3.7.2 Analysis and Discussion

As the classification task was the one that stood out, measures referring to the confusion matrix were frequently used. Accuracy was the most prevalent measure. However, as mentioned in (Fernández et al., 2018, p.47-49), accuracy is not an adequate measure to be applied when unbalanced data are used, which usually occurs when working in the dropout domain. Thus, the results do not necessarily express clearly the validity of the obtained model, as it can correctly predict the examples of the majority class (dropout) and incorrectly those of the minority class (non-dropout). However, it is important to mention that 74 (77.08%) of the 96 studies that used accuracy also applied other assessment measures. Finally, it was observed that, as in the algorithm families, the reason for the choice was not mentioned.

\(^{13}\)Recall and sensitivity are the same measures. However, we preferred to use both to keep the way it was cited.
4 CONCLUDING REMARKS

This work presented a SLM to identify and analyze the primary studies available in the literature to address some research questions on the use of data mining for the face-to-face school dropout problem. The period considered was from 01/01/2010 to 12/31/2020 (10 years). In general, it was observed that: (i) the academic community has shown interest in the subject, approaching it more strongly since 2018 and, in particular, involving the level of higher education; (ii) the subject has been addressed in several countries, as it is a global problem; (iii) the use of data mining is more focused on exploratory analysis (“comparative analysis” and “case study”) on specific datasets (samples); (iv) the samples are generally small and cover two or more courses considering a period of more than two years; (v) many features are considered in the selection of the samples, with emphasis on the group of academic and demographic variables; (vi) most studies adhere to the classification task, with families of decision tree, ensemble and regression algorithms being used frequently; (vii) several pre-processing techniques and validation measures (post-processing) were used.

Considering the SLM it is noted that some gaps can be explored in order to use data mining, in the presented context, in a broader way. As mentioned before, as samples are, in general, small it may be difficult to conclude about the results regarding the dropout problem, i.e., the inferences may not be generalizable. Thus, larger samples could be considered, since the amount of data that make up an educational system is generally high. This also makes it possible to apply other families of algorithms, such as those of deep neural networks. However, in this case, it would be of interest to use XAI to make the results interpretable, since in some contexts only prediction is not enough. Another solution would be the application of other inherently interpretable families (white box), such as that of associative classifiers.

Still regarding the samples, it would be interesting if the researchers made their datasets (samples) available, in order to allow the reproducibility of the experiments. In this case, it would be possible to build a “global” dataset, making it feasible to obtain an overview of evasion in several countries. A more general analysis of the algorithms in relation to the dropout problem would also be possible, as well as the adaptation and/or proposal of specific solutions to the problem. In addition, it is clear that despite the papers use a considerable number of variables, there is no consensus on their choice. It is necessary to carry out studies that try to identify which features are most relevant or whether one group of variables has more weight than another in the presented context.

Regarding pre-processing, the step was considered so trivial that its details were not presented or briefly presented. However, the dropout problem is inherently imbalanced. Thus, it is interesting that studies evaluating this issue of imbalance be carried out. Associated with this, in relation to post-processing, it is necessary that more appropriate validation measures be used, and not just general ones such as accuracy.

Finally, it is important to mention that if interested readers want some additional information on any of the presented aspects, they can consult the details in the electronic spreadsheet available at https://bit.ly/msl_evasao2020. The spreadsheet contains a tab regarding each question/aspect discussed here. For example, if the reader wants to know the techniques used to balance the samples in the pre-processing step, he/she only needs to consult the tab related to the topic. The aim of this SLM was to provide an overview of the aspects related to data mining, without going into details about the specific techniques, but about the solution itself (for example, imbalanced techniques, instead of SMOTE).

REFERENCES


