

## Research Report

ETS RR-14-12

# Statistical Methods for Assessments in Simulations and Serious Games

---

Jianbin Fu

Diego Zapata

Elia Mavronikolas

December 2014

Discover this journal online at  
**Wiley Online Library**  
wileyonlinelibrary.com

# ETS Research Report Series

---

## EIGNOR EXECUTIVE EDITOR

James Carlson  
*Principal Psychometrician*

## ASSOCIATE EDITORS

Beata Beigman Klebanov  
*Research Scientist*

Heather Buzick  
*Research Scientist*

Brent Bridgeman  
*Distinguished Presidential Appointee*

Keelan Evanini  
*Managing Research Scientist*

Marna Golub-Smith  
*Principal Psychometrician*

Shelby Haberman  
*Distinguished Presidential Appointee*

Donald Powers  
*Managing Principal Research Scientist*

Gautam Puhan  
*Senior Psychometrician*

John Sabatini  
*Managing Principal Research Scientist*

Matthias von Davier  
*Senior Research Director*

Rebecca Zwick  
*Distinguished Presidential Appointee*

## PRODUCTION EDITORS

Kim Fryer  
*Manager, Editing Services*

Ayleen Stellhorn  
*Editor*

---

Since its 1947 founding, ETS has conducted and disseminated scientific research to support its products and services, and to advance the measurement and education fields. In keeping with these goals, ETS is committed to making its research freely available to the professional community and to the general public. Published accounts of ETS research, including papers in the ETS Research Report series, undergo a formal peer-review process by ETS staff to ensure that they meet established scientific and professional standards. All such ETS-conducted peer reviews are in addition to any reviews that outside organizations may provide as part of their own publication processes. Peer review notwithstanding, the positions expressed in the ETS Research Report series and other published accounts of ETS research are those of the authors and not necessarily those of the Officers and Trustees of Educational Testing Service.

The Daniel Eignor Editorship is named in honor of Dr. Daniel R. Eignor, who from 2001 until 2011 served the Research and Development division as Editor for the ETS Research Report series. The Eignor Editorship has been created to recognize the pivotal leadership role that Dr. Eignor played in the research publication process at ETS.

## RESEARCH REPORT

# Statistical Methods for Assessments in Simulations and Serious Games

Jianbin Fu, Diego Zapata, & Elia Mavronikolas

Educational Testing Service, Princeton, NJ

Simulation or game-based assessments produce outcome data and process data. In this article, some statistical models that can potentially be used to analyze data from simulation or game-based assessments are introduced. Specifically, cognitive diagnostic models that can be used to estimate latent skills from outcome data so as to scale these assessments are presented under the framework of Bayesian networks; 5 prospective data mining methods that can be employed to discover problem-solving strategies from process data are described. Some studies in the literature that apply some of these methods to analyze simulation or game-based assessments are presented as application examples. Recommendations are provided for selecting appropriate scaling and data mining methods for these assessments; future directions of research are proposed.

**Keywords** Simulation-based assessment; game-based assessment; cognitive diagnostic model; data mining; review

doi:10.1002/ets2.12011

In recent years, the importance of incorporating computer technology in assessments for the digital age, to create new types of technology-enhanced assessments, has been increasingly recognized. This is reflected in the U.S. Department of Education's National Education Technology Plan (2010, p. xvii), which outlines the importance of conducting "research and development that explores how embedded assessment technologies, such as simulations, collaboration environments, virtual worlds, games, and cognitive tutors, can be used to engage and motivate learners while assessing complex skills." DiCerbo and Behrens (2012) defined four levels of integration between technology and assessment, ordered from low to high assimilation: (a) computerized linear or adaptive versions of paper-pencil tests, (b) simulation-based performance assessments, (c) game-based stealth assessments, and (d) accumulation of information from multiple assessments across the first three levels. Simulation and game-based assessments are considered as the new generation of assessments. Mislevy et al. (2013) provided general discussion of psychometric issues in game-based assessments in the framework of the evidence-centered assessment design. In the current article, we discuss the specific statistical and psychometric models that can be potentially used to analyze test data from simulation or game-based assessments, and we provide samples of applications in literature

A simulation is a computational model imitating a real or hypothesized situation where users can manipulate or modify parameters to learn educational objectives (National Research Council, 2011). A serious game is defined as a mental contest combining entertainment and educational objectives (e.g., learning and/or skill acquisition) in which players engage in computer-simulated context in accordance with specific rules, which results in a quantifiable outcome (Shute, 2011; Zyda, 2005). Some key elements of a serious game are (a) artificial phenomena containing challenges and problems to be solved, (b) explicit play rules and goals, (c) explicit or implicit feedback on players' performance, (d) change of game states by players' actions, and (e) dual purposes of entertainment and education. Serious games and computer simulations are similar, given that most games incorporate simulations as part of their basic architecture; however, there are some differences between them, as simulations do not necessarily have the elements of (b) through (e) above (National Research Council, 2011).

Compared to traditional assessments (i.e., paper-and-pencil tests and their computerized versions), simulation or game-based assessments are considered to be more suitable for creating performance-based tasks to measure high-order skills, as well as multiple skills at different levels of granularity simultaneously. This is because simulation and gaming technology provides the affordances to create a situated environment for assessment (Eseryel, Ge, Ifenthaler, & Law, 2011;

*Corresponding author:* J. Fu, E-mail: JFu@ets.org

National Research Council, 2011). Some high-order skills such as complex problem solving, collaboration, communication, and information literacy have been identified as critical for people to be successful in the 21st century (Eseryel, Ifenthaler, & Ge, 2011; Shute, Ventura, & Zapata-Rivera, 2012; Silva, 2008). Because multiple skills at different levels of granularity can be measured simultaneously and an examinee's every action in solving an item or task can be recorded relatively easily, simulation or game-based assessments can be designed to provide individualized, dynamic, real-time, and detailed feedback to examinees (Shute et al., 2012).

Traditional assessments versus simulation and game-based assessments also differ in terms of the type and amount of data they produce. This has implications in terms of how data from them is modeled and how that data can be used to support score reporting and interpretation. Traditional assessments usually only produce outcome data, that is, a student's final result on an item or task. However, simulation or game-based assessments not only produce outcome data but also can be specifically designed to generate large amount of process data, that is, the complete process that a student follows when working on a particular item or task.

Outcome data can be aggregated across items and tasks to infer students' statuses on target skills; this is referred to as the *scaling issue*. Scaling can be done using a direct linear or nonlinear combination of item and task scores. For example, classical test theory (CTT) focuses on the psychometric properties of the sum of item and task raw scores. Another example is epistemic network analysis (Rupp, Gushta, Mislevy, & Shaffer, 2010; Shaffer et al., 2009), which is an application of social network analysis (Wasserman & Faust, 1994) to scale students' performance in so-called epistemic games, such as *Digital Zoo* and *Urban Science*. Alternatively, a probabilistic model, for example, an item response theory (IRT) model, can be used to infer students' latent skills targeted by an assessment. Currently, IRT models are widely used in practice (e.g., in state K-12 testing and the National Assessment of Educational Progress). Unlike traditional tests, which are often assumed to measure one general ability, the outcome data from simulation or game-based assessments are usually multidimensional, targeting multiple finer grained skills, and thus requiring more complicated scaling models.

Process data along with outcome data can be used to reveal students' problem-solving strategies and identify good and poor strategies. Various data mining methods can serve this purpose. The results can be used to provide timely informative feedback to examinees.

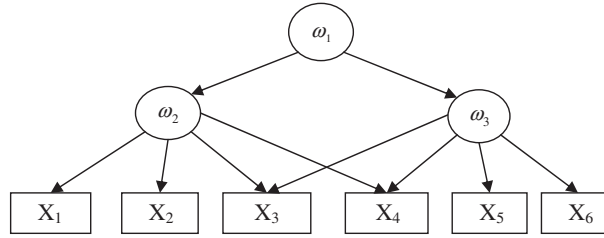
The National Research Council (2011) argued that the greatest technical challenge to simulation or game-based assessments might be how to draw inferences from the large amount of data generated from these assessments. In the subsequent sections, we describe some probabilistic scaling models for estimating latent skills from outcome data, as well as data mining methods for analyzing process data and making inferences about students' problem-solving strategies. We also discuss future research for analyzing test data from simulation and game-based assessments. Note that the statistical models discussed here can be applied to any other types of assessment that produce outcome and/or process data with features similar to that generated from simulation or game-based measures. In addition, although our focus is on test data resulting from cognitive skills, these methods may also be applied to test data of noncognitive skills.

### Scaling Methods for Students' Latent Skills With Outcome Data

In this section, a general probabilistic scaling model is first presented under Bayesian networks (Heckerman, 1998; Murphy, 1998; Pearl, 1988). Then, specific models are described under the three types of relationships between items/tasks and skills upon which the models are based. For each model, we focus on the main features (e.g., model components and purposes) of the model, rather than the estimation procedures. Applications of Bayesian networks in simulation or game-based assessments are discussed and suggestions for selecting appropriate scaling methods are provided.

#### Probabilistic Scaling Models

The general scaling problem for educational assessments can be set up using Bayesian networks. Therefore, before presenting the general probabilistic scaling model, we first introduce Bayesian networks. A Bayesian network consists of a graphical network and a probability distribution and is built on a finite directed acyclic graph (DAG). A DAG is a directed graph because, if two nodes in the graph have a path, the path is directed with an arrow. For example, node  $Z_1$  has an



**Figure 1** The DAG example of a scaling model. Latent skills  $\omega_2$  and  $\omega_3$  depend on latent skill  $\omega_1$ , item/task scores  $X_1$  and  $X_2$  depend on latent skill  $\omega_2$ , item/task scores  $X_5$  and  $X_6$  depend on latent skill  $\omega_3$ , and item/task scores  $X_3$  and  $X_4$  depend on both latent skills  $\omega_2$  and  $\omega_3$ .

arrow to node  $Z_2$ , indicating  $Z_2$  is conditional on  $Z_1$ , and  $Z_1$  is referred to as the parent of  $Z_2$ . This relationship can also be interpreted as the direct *causal* effect from  $Z_1$  to  $Z_2$ . A DAG is acyclic because no node has a cyclic path from the node to itself. A node in a DAG represents a random variable. The joint probability of all random variables in a Bayesian network can be factored as follows:

$$P(Z_1, \dots, Z_S) = \prod_{s=1}^S P(Z_s | Pa(Z_s)), \quad (1)$$

where  $Z_s$  is the  $s$ th random variable that can be observed or unobserved (latent), and continuous or discrete, and  $Pa(Z_s)$  indicates all the immediate parents of  $Z_s$ .  $P(Z_s | Pa(Z_s))$  is called a *conditional probability distribution* (CPD), which can take any form and can be estimated from data. The inference made in a Bayesian network is the posterior probability of each parent variable, which could have one or more children, conditional on all relevant observed variables. These variables include the observed parents and children of the target variable, as well as all the observed parents of the children. Sometimes the inference of interest is the posterior joint probability of some or all parent variables, conditional on relevant observed variables.

In Bayesian networks applied to the general scaling problem for educational assessments, there are two sets of variables; one set contains the latent skill variables ( $\omega_k$ ) that are assessment targets, and the other set contains item/task scores ( $X_i$ ). The latent skill variables can be continuous (denoted by  $\theta_k$ ) or ordinal (denoted by  $\alpha_k$ ), while the item/task scores are usually ordinal variables (e.g., 0, 1, 2). Figure 1 shows the DAG of a typical Bayesian network used to scale assessments. The CPDs of interest are  $P(\omega_k | Pa(\omega_k))$  and  $P(X_i | Pa(X_i))$ .  $P(\omega_k | Pa(\omega_k))$  defines the set of latent skills measured by the assessment, as well as their relationships. For example, the cognitive skills of creativity include fluency, flexibility, originality, and elaboration (Shute et al., 2012), such that in the Bayesian network there is an arrow from creativity to each of the four subskills.  $P(X_i | Pa(X_i))$  describes the relationships between latent skill variables and item/task responses: because item/task scores depend on students' skills, in a Bayesian network there are arrows from the relevant latent skill variables to each item/task score.

The modeling of the probabilistic relationships between item/task scores and multiple latent skills, that is  $P(X_i | Pa(X_i))$ , referred to as *item response function*, is the focus of one area of educational measurement research known as *cognitive diagnostic models*. For reviews and monographs on cognitive diagnostic models see, for example, DiBello, Roussos, and Stout (2007), Fu and Li (2007); Reckase (2009), Rupp and Templin (2008), Rupp, Templin, and Henson (2010), and von Davier, DiBello, and Yamamoto (2008). The interaction between an item score and latent skills describes how the latent skills contribute aggregately to solve the problem; there are different types of such relationships (e.g., compensatory, conjunctive, and disjunctive). The different item-skill relationships are modeled by different item response functions. We describe below some significant cognitive diagnostic models within each of the compensatory, conjunctive, and disjunctive relationship types. For more detailed descriptions, see the references listed earlier in this section.

### Compensatory Relationship

The compensatory relationship specifies that any skill can be compensated completely by the other skills in solving a problem; that is, if a skill decreases any amount, the loss can be made up by other skills so that the conditional probability of an item score would not change. The multidimensional IRT models belong to this category. For example, the item

response function of the well-known multidimensional generalized partial credit model (MGPCM; Fu, 2009; Haberman, 2013; von Davier, 2008) is given as follows:

$$P_{im} = P(X_i = m | \theta, \mathbf{a}_i, \mathbf{b}_i) = \frac{\exp\left(\sum_{k \in K_{im}} a_{ik} \theta_k m - b_{im}\right)}{\sum_{h=0}^{M_i-1} \exp\left(\sum_{k \in K_{ih}} a_{ik} \theta_k h - b_{ih}\right)}, \quad (2)$$

where  $\theta$  is the skill vector with elements  $\theta_k$  representing skill  $k = 1$  to  $K$ ;  $X_i$  is a random score on item  $i$  and can take integer value  $m = 0$  to  $M_i - 1$ ;  $\mathbf{a}_i$  is the discrimination parameter vector with elements  $a_{ik}$  indicating the discrimination power of item  $i$  on skill  $k$ ;  $\mathbf{b}_i$  is the parameter vector related to item category difficulties with elements  $b_{im}$  representing the parameter related to item category difficulty for score  $m$  of item  $i$ , and  $b_{i0} \equiv 0$ ; and  $K_{im}$  is the set of skill indexes relevant to score  $m$  of item  $i$ . MGPCM's item response function is an adjacent category logit function with  $\mathbf{a}_i$  and  $\mathbf{b}_i$  as item parameters. The skill compensation is reflected in the summation term,  $\sum_{k \in K_{im}} a_{ik} \theta_k m$ , in Equation 2. MGPCM is a very general IRT

model and can be reduced to many simple models by fixing one or more parameters. For example, using  $K = 1$ , MGPCM becomes the unidimensional generalized partial credit model (GPCM; Muraki, 1992), and the further constraint of  $a_{ik} = 1$  leads to the partial credit model (Masters & Wright, 1997). The simplified 2-parameter and 1-parameter logistic models (Hambleton, Swaminathan, & Rogers, 1991) are the special cases of these two models, respectively, for dichotomous items (i.e.,  $m = 0, 1$ ).

Another notable multidimensional IRT model is the multidimensional random coefficients multinomial logit model (MRCMLM; Adams, Wilson, & Wang, 1997), whose response function is given by:

$$P(X_i = m | \theta, \xi) = \frac{\exp\left(\sum_{k=1}^K \gamma_{imk} \theta_k - \sum_{p=1}^P \beta_{imp} \xi_p\right)}{\sum_{h=0}^{M_i-1} \exp\left(\sum_{k=1}^K \gamma_{ihk} \theta_k - \sum_{p=1}^P \beta_{ihp} \xi_p\right)}, \quad (3)$$

where  $\sum_{k=1}^K \gamma_{i0k} \theta_k - \sum_{p=1}^P \beta_{i0p} \xi_p \equiv 0$ ;  $\gamma_{imk}$  is the predefined score weight representing the relative importance of skill  $k$  to attain score  $m$  of item  $i$ ;  $\xi_p$  is the  $p$ th basic item difficulty parameter,  $p = 1$  to  $P$ , and  $\xi$  is the difficulty parameter vector; and  $\beta_{imp}$  is a predefined design parameter representing the level of the  $p$ th basic item difficulty parameter involved in score  $m$  of item  $i$ . The specifications of score parameters  $\gamma_{imk}$  and design parameters  $\beta_{imp}$  are based on cognitive theory, and thus a variety of IRT models can be formed (e.g., Adams et al., 1997; Wang, Wilson, & Adams, 1996; Wilson & Adams, 1995). The family of linear logistic test models (LLTM; Fischer, 1973, 1997; Fischer & Ponocny, 1994, 1995) is a special case of MRCMLM.

### Conjunctive Relationship

Within the conjunctive relationship, to achieve a score  $m (> 0)$  requires successful executions of all the relevant skills on the score category. In terms of probability, this means that an item response probability can be written as the function of a joint probability of successfully executing all the required skills:

$$P(X_i = m | \omega) = P(\{y_{imk} = 1, k \in K_{im}\} | \omega), \quad (4)$$

where  $\omega$  is the skill vector, and a skill variable can be continuous or ordinal;  $y_{imk}$  denotes the status of applying skill  $k$  to item  $i$ 's score category  $m$ , with 1 indicating success and 0 indicating failure; and  $\{y_{imk} = 1, k \in K_{im}\}$  represents the event that all the  $y_{imk}$ s related to the score category  $m$  of item  $i$  equals 1. Conjunctive models are different regarding how to specify the joint probability of the successful executions of all relevant skills.



The dichotomous fusion model (Hartz, 2002; Roussos, Templin, & Henson, 2007; also referred to as reparameterized unified model, see Kim, 2011) specifies the joint probability for dichotomous items and skills with binary values (0 = mastery vs. 1 = nonmastery), except for a residual ability:

$$P(X_i = 1|\mathbf{a}, \theta) = \pi_i^* \prod_{k \in K_i} r_{ik}^{*(1-\alpha_k)} P_{c_i}(\theta), \quad (5)$$

where  $\mathbf{a}$  is the binary skill vector with  $K$  elements of  $\alpha_k$  which are of primary interest;  $K_i$  is the set of skill indices relevant to dichotomous item  $i$ ;  $\pi_i^*$  is the probability of successfully applying all relevant binary skills on item  $i$ , given mastery of all these skills, which is interpreted as item  $i$  difficulty;  $r_{ik}^*$  ( $0 \leq r_{ik}^* \leq 1$ ) is the ratio of: (a) the probability of correctly executing skill  $k$  to item  $i$ , given mastery of skill  $k$ , and (b) the probability of correctly executing skill  $k$  to item  $i$ , given nonmastery of skill  $k$ , which is interpreted as the item  $i$ 's discrimination parameter with respect to skill  $k$ , where  $r_{ik}^* = 1$  implies mastery of skill  $k$  is not required by item  $i$ , and  $r_{ik}^* = 0$  implies the skill is strictly necessary;  $\theta$  is the continuous residual ability used to account for the aggregate effect of skills other than those binary skills; and  $P_{c_i}(\theta) = P_{c_i}(X_i = 1|\theta) = \frac{1}{1+\exp(-\theta-c_i)}$ , is the 1-parameter logistic model (also referred to as the Rasch model) with the item easiness parameter  $c_i$  ( $0 \leq c_i \leq 3$ ) to account for the effect of the residual ability in answering item  $i$  correctly. Fu and Bolt (2004) extended the fusion model to accommodate polytomous items using the cumulative score probability function.

The fusion model is quite complicated and, in applications, the residual part,  $P_{c_i}(\theta)$ , is often removed from the item response function, leading to the reduced fusion model. The noisy inputs, deterministic “and” gate (NIDA) model (Junker & Sijtsma, 2001) that simplifies the reduced fusion model by assuming the probability of executing a skill, for a master or for a nonmaster, is the same across items:

$$P(X_i = 1|\boldsymbol{\alpha}) = \prod_{k \in K_i} \pi_k^{\alpha_k} r_k^{(1-\alpha_k)}, \quad (6)$$

where  $\pi_k$  is the probability of successfully applying skill  $k$  for a master of this skill, and  $r_k$  is the probability of successfully applying skill  $k$  for a nonmaster of this skill, and  $r_k < \pi_k$ . Note that  $r_k$  and  $\pi_k$  are the same across items so that they do not have a subscript for items. The above models simplify the conditional joint probability in Equation 4 by factoring it into the product of independent execution of each related skill conditioned on the skill, that is,

$$P(\{y_{imk} = 1, k \in K_{im}\}|\boldsymbol{\omega}) = \prod_{k \in K_{im}} P(y_{imk} = 1|\omega_k). \quad (7)$$

The deterministic inputs, noisy “and” gate (DINA) model (Haertel, 1989; Junker & Sijtsma, 2001; Mislevy, Almond, Yan, & Steinberg, 1999; Tatsuoaka, 2002) takes another approach to simplify Equation 4 by assuming that the conditional joint probability takes only two values: one for a master of all skills required by item  $i$ , and another for a nonmaster of at least one required skill:

$$P(X_i = 1|\boldsymbol{\alpha}) \begin{cases} 1 - p_i & \prod_{k \in K_i} \alpha_k = 1 \\ \eta_i & \prod_{k \in K_i} \alpha_k = 0 \end{cases}, \quad (8)$$

where  $p_i$  denotes the probability of an error on item  $i$  for a master of all skills required by item  $i$ , and  $\eta_i$  is the probability of solving item  $i$  by guessing for a nonmaster of at least one required skill.

In Equation 7, skills can be represented by continuous variables instead of binary or ordinal variables. The conjunctive Rasch model (CRM; Maris, 1995) treats skills as continuous variables, and the probability of executing each skill is modeled by the 1-parameter logistic model:

$$P(X_i = 1|\boldsymbol{\theta}) = \prod_{k \in K_i} \frac{\exp(\theta_k - b_{ik})}{1 + \exp(\theta_k - b_{ik})}, \quad (9)$$

where  $b_{ik}$  is the difficulty parameter of skill  $k$  on dichotomous item  $i$ .

## Disjunctive Relationship

In the case of the disjunctive relationship, to attain an item score it is sufficient to successfully execute any one of the skills related to the item score. In terms of the joint probability of attribute executions, the disjunctive relationship can be written as:

$$P(X_i = m|\omega) = P(\forall y_{imk} = 1, k \in K_{im}|\omega) = 1 - P(\{y_{imk} = 0, k \in K_{im}\}|\omega), \quad (10)$$

where  $\forall y_{imk} = 1$  denotes that any one of  $y_{imk}$ s equals 1. By assuming conditional independence of skill execution, Equation 10 can be further factored into:

$$P(X_i = m|\omega) = 1 - \prod_{k \in K_{im}} P(y_{imk} = 0|\omega). \quad (11)$$

Due to the fact that in the disjunctive relationship any one skill is sufficient to solve a problem, the disjunctive relationship is a special case of the compensatory relationship in the sense that one skill can totally replace another skill to solve a problem.

The disjunctive multiple classification latent class model (MCLCM-DJ; Maris, 1999) is a disjunctive model with binary skills for dichotomous items:

$$P(X_i = 1|\alpha) = 1 - \prod_{k \in K_i} [1 - \pi_{ik}^{\alpha_k} r_{ik}^{(1-\alpha_k)}], \quad (12)$$

where  $\pi_{ik}$  is the probability of successfully applying skill  $k$  to item  $i$  for a master of this skill, and  $r_{ik}$  is the probability of successfully applying skill  $k$  to item  $i$  for a nonmaster of this skill. The disjunctive hierarchical class model (HICLAS-DJ; De Boeck & Rosenberg, 1988) simplifies the MCLCM-DJ by fixing all  $\pi_{ik}$  to 1 and all  $r_{ik}$  to 0. That is, a master of any related skill to an item will certainly answer this item correctly, and only a nonmaster of all related skills will definitely answer this item incorrectly.

## Bayesian Networks Versus Cognitive Diagnostic Models

Though often distinguished from one another, we propose that Bayesian networks can be treated as a general probabilistic scaling method for latent skills. However, one caveat is that, in Bayesian networks, all skill estimates are based on their posterior probabilities, while, for the probabilistic scaling methods, skill estimates can be based on their posterior probabilities or likelihood functions. The development of probabilistic scaling methods in educational measurement, in most cases, is independent of the work of Bayesian networks. The explicit applications of Bayesian networks to scaling educational assessments have been limited to Bayesian networks with ordinal skill variables and simple item response functions; more discussion of this topic follows in a subsequent section of this article. In the field of educational measurement, quite a few computer programs have been developed to implement the scaling models for latent skills, for example, the *MIRT* package (Haberman, 2013) and *mdltm* (von Davier & Xu, 2009). It will be interesting to determine whether existing programs of Bayesian networks can be used to estimate more complicated scaling models for educational assessments, such as the cognitive diagnostic models presented earlier in this article.

Most cognitive diagnostic models in educational measurement, such as those models mentioned previously, do not include a hierarchical structure in  $P(\omega_k|Pa(\omega_k))$  so as to enable simplification of the models and reduced complication of the parameter estimation. The hierarchical structure could represent a cognitive structure or long-term learning effects, that is, the effects of prior skills (e.g., skills estimated from previous test administrations) on the skills being estimated during the current administration. In addition, most models do not take into account short-term learning effects regarding the impact of previous items or feedback on responses to the current item (i.e., the parent set of an item score does not contain any other item score).<sup>1</sup> However, these components can easily be added to a Bayesian network by drawing arrows between latent skills and between item scores.

## Applications of Bayesian Networks

For scaling models with many latent skills, that include many parameters, even when based on strong empirical cognitive theory, the estimation is challenging in terms of efficiency, accuracy, and stability. Partly for this reason, the use of multi-dimensional cognitive diagnostic models is rarely seen in operational settings. For simulation or game-based assessments,



Bayesian networks where skills are treated as ordinal variables have been used to scale latent skills in, for example, *Quest Atlantis: Taiga Park* (Shute, Masduki, & Donmez, 2010), *The Elder Scrolls IV: Oblivion* (Shute, 2011), *Crayon Physics Deluxe* (Shute et al., 2012), *World of Goo* (Shute & Kim, 2011), and a damage-control simulation for firefighting on a naval ship (Koenig, Lee, Iseli, & Wainess, 2010). In these applications, procedures have been taken to parameterize the conditional probabilities (i.e.,  $P(\omega_k|Pa(\omega_k))$  and  $P(X_i|Pa(X_i))$ ) in a parsimonious way so as to keep the conditional probability tables small (Almond, DiBello, Moulder, & Zapata-Rivera, 2007). The common procedures define a limited number of skill levels (e.g., two or three levels) and/or combine multiple skills to one variable consistent with substantive knowledge and theory using, for example, Equation 8. Almond et al. (2001) proposed several linear functions to transform multiple skills under compensatory, conjunctive, disjunctive, and inhibitor relationships to one ability value and then used the graded response model (Samejima, 1997) as the item response function to fit data.

In order to use a probabilistic scaling model for simulation or game-based assessments to provide instant feedback or latent skill estimates, the model item parameters or conditional probability tables should be determined beforehand. The parameter values may come from the estimates based on a prior test dataset with an adequate sample size. However, sufficient sample test data may be difficult to obtain for serious games and simulations that do not have a lot of players. Moreover, if the assessments are high stakes, considerations should be taken to ensure test security, as is done with traditional high-stakes tests. Another way to establish item parameters is by using expert judgments. All the studies using Bayesian networks mentioned previously set up the conditional probability tables by means of expert judgments. However, the accuracy of item parameters based on expert judgments should be further verified by other means. Iseli, Koenig, Lee, and Wainess (2010) and Koenig et al. (2010) compared the test scores from a dynamic Bayesian network and a Bayesian network, respectively, with both conditional probability tables based on expert judgments, and scores from human raters in a damage control simulation for fire and flooding situations on a naval ship; some discrepancies were found between the two sets of scores. The results of both studies suggested the need to further improve the (dynamic) Bayesian networks. Alternatively, conditional probability tables can be created based on both test data and expert judgments. Further, item parameters or conditional probability tables can be produced dynamically; existing item parameters or conditional probability tables can be refined based on new test data and/or expert judgments.

Once the model item parameters or conditional probability tables are available, a student's skill level is estimated based on the posterior distribution of the skill conditional on the student's available observed item and task scores. The skill estimate could be the expectation of the posterior distribution (i.e., expected a posteriori) or the skill with the maximum density in the posterior distribution (i.e., maximum a posteriori). If the skill is ordinal, the posterior probability for each skill level can be reported. A student's skills can be estimated and reported after a test is completed, or the student's latent skills estimates can be updated dynamically as each or some new item scores are available.

## Selecting Appropriate Scaling Methods

Scaling methods vary in complexity, ranging from the simple sum of item scores to multidimensional probabilistic models with many model parameters. When selecting a scaling method for an assessment, the following questions need to be asked:

1. Is the scaling method supported by the cognitive theory underlying the assessment?
2. Is the scaling method so complicated that it causes estimation difficulties and barriers for practical uses?
3. Is a simple method adequate in terms of estimation accuracy and the intended use of the test scores?

First, in order for any scaling method to work well, an assessment must be properly developed based on a high-quality test blueprint so that the test can provide valid evidence to make appropriate inferences about the latent skills that are intended to be measured. Second, it is important to consider the implications of a complicated scaling method; a complicated cognitive model may require a scaling model with equivalent complexity. However, compared to a simple model, it is more difficult to obtain stable and accurate parameter estimates when using a complicated scaling model, and usually larger samples and longer computation time are needed. In addition, a complicated model may have model identification issues that are difficult to discover and identify (see Almond et al., 2007, for an example). Therefore, when we choose the complexity of a scaling model, we should consider the following factors: (a) alignment with the cognitive model underlying the test, (b) data-model fit, (c) the intended use(s) of test scores, and (d) computational burden. If a simple model provides a better statistical fit to the data than a complicated model, we should examine the cognitive model, make any

necessary modifications, and use the simple model. Sometimes a simple model is chosen mainly based on practical considerations (e.g., small sample requirement, light computation, and easy interpretation), provided that the simple model is still aligned with the cognitive model and the intended uses of test scores, and the score estimates are comparable to those obtained from a complicated model. As mentioned previously, in all the current experiments using Bayesian networks to scale simulation or game-based assessments, the simplified conditional probability tables for ordinal skills were used to make the scaling processes manageable.

Alternatively, if the direct scaling method is psychometrically sound and appropriate for the intended use(s) of test scores, we may use a direct linear or nonlinear combination of observed outcome scores (e.g., total raw scores) to scale students' test performance without using iterative estimation procedures. Since a direct scaling method does not have model parameters to estimate, the method can be used immediately to scale students' performance. However, adequate test samples are still needed to examine the psychometric properties of the scores generated from the method (e.g., reliability and validity).

### Data Mining Methods for Process Data

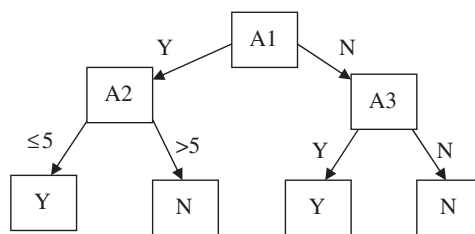
Beyond outcome data, games and simulations provide a rich source of process data—data that tell us how a student goes about solving a problem as he or she interacts with the game or simulation. Process data may contain rich information regarding students' problem-solving strategies. In games and simulations, one type of process data is the log-files or other records that contain all actions that students make during simulations or game playing. By proper coding of the process data, meaningful variables can be generated as inputs to various data mining methods and multivariate analysis models to uncover the relationships between students' actions and performance outcomes. These analyses are useful for providing students with timely and individualized feedback, as well as hypothesis verification, evidence of test validity, and rationales for simulation or game redesign. In the following sections, we describe some examples of the applications of five data mining methods to the process data from simulations and serious games. These methods are all well-established with extensive research and applications in various fields; in this article, we provide only general introductions. The methods described below are by no means exhaustive of all the methods that can be used to analyze process data obtained from simulations and serious games. At the end of this section, we compare the five data mining methods and provide suggestions for selecting appropriate methods for a given dataset.

### Data Mining Methods

The probabilistic scaling models are confirmatory data analysis methods because the models are set up based on the relationships between skills and items/tasks that are defined beforehand, while data mining methods are identified as exploratory data analysis, as they are used to discover problem-solving strategies from process data. Uncovering problem-solving strategies is actually classifying students' action sequences. Therefore, the five data mining methods described below are all related to classification.

#### Decision Tree

A decision tree is built using a training dataset that may contain both continuous and categorical variables; a categorical variable must be included as the classifying variable. The objective of a decision tree is to provide an accurate description or model to classify cases into the categories of the classifying variable, by means of the other variables in the training set. The classification accuracy of the decision tree is obtained by applying a test sample dataset (different from the training dataset) to the decision tree, which is then used to classify future cases whose classifications are unknown. Therefore, decision tree analysis is suitable for analyzing process data from simulation and game-based assessments to classify examinees' behavior patterns so as to determine their problem-solving strategies. Figure 2 shows an example of a decision tree. This method is popular in various areas because results are easily interpreted and comprehended, and prediction accuracy is comparable or superior to other methods. Additionally, decision trees can be constructed more quickly than other classification models, such as Bayesian classification and neural networks. Below, we first describe briefly the process of constructing a decision tree, and then we present two examples of applying the decision tree method to process data in order to detect learning strategies in a simulation-based learning and assessment system.



**Figure 2** An example of a decision tree. Cases are classified from the root to the leaf node. For example, if a case has variables  $A1 = \text{"Yes"}$  and  $A2 \leq 5$ , the class of this case (e.g., if a task is completed successfully) is "Yes."

Deriving a typical decision tree from the training dataset consists of two phases, a construction phase and a pruning phase. In the construction phase, the training dataset is recursively partitioned until all or most of the cases in a partition have the same classification. Beginning with the root, which contains the entire dataset, the cases in each node may be partitioned into two or more subpartitions (child nodes) according to established splitting rules. Various criteria have been proposed for split selection when developing decision trees, such as Pearson's chi-squared statistic, Gini and towing criterion, likelihood test, mean posterior improvement criterion, and other statistical tests (Loh & Shih, 1997). If a node cannot be further divided based on a splitting rule, then it is identified as a leaf node and labeled as the dominant class. If each nonleaf node can only have two children, the decision tree is called a binary tree. When nonleaf nodes can have more than two children, the decision tree is called a multiway-split tree. A decision tree resulting from the construction phase may be perfect in terms of accurately classifying the known cases. However, the statistical irregularities and idiosyncrasies of the training dataset will result in this decision tree being less than ideal in terms of prediction accuracy for other datasets. Thus, a pruning phase is need, in which nodes are iteratively reduced to prevent overfitting and to obtain a decision tree with greater accuracy for future cases. A number of pruning strategies are proposed in the literature, including minimum description length principle, cost-complexity pruning, and pessimistic pruning. Lim, Loh, and Shih (1997) provide an in-depth comparison of 32 classification and regression tree algorithms, in terms of accuracy, complexity, and training time.

Montalvo, Baker, Sao Pedro, Nakama, and Gobert (2010) used the decision tree method to classify students' planning behavior within the context of scientific inquiry. The learning environment was the *Science Assistments Phase Change Microworld*, a computer simulation-based learning and assessment system. This system contains scientific tasks, each of which requires students to conduct experiments to find out the relationship between an independent variable (e.g., container size) and an outcome variable (e.g., the melting point or boiling point of a substance). Students' inquiry processes for each task include four different inquiry stages: observe, hypothesize, experiment, and analyze data. The system's log-files record every widget action taken by students when engaging in the system tasks (e.g., button clicks, checkbox choices, etc.). In the study conducted by Montalvo et al., the sequence of actions was separated into *clips*; a clip included all the actions in both the hypothesis and the experiment stages in a single run of the four-stage inquiry process. Each clip was a text display of a sequence of actions and was coded by one or two raters as *Used Table to Plan*, if the clip indicated that the student used the trial run data table to plan subsequent trials, or *Used Hypothesis Viewer to Plan*, if the clip indicated that the student viewed the hypotheses list to plan subsequent trials. The clip codes served as the classifying variables. The variables used to split cases were also extracted from each clip and included 12 categories (e.g., all actions, total trial runs, incomplete trial runs, etc.). Two categories included only one variable (the number of the actions), while the other 10 categories included, besides the number of the actions, the five summary statistics of the time taken for one action within a category (minimum, maximum, standard deviation, mean, and mode of time taken for one action). The cumulative values of these variables across the current and previous clips were also used to build the decision tree and made up the cumulative dataset. All the values of the split variables were recorded and automatically generated by the system. A total of 570 clips were used to generate data. There were two classifying variables (*Used Table to Plan* and *Used Hypothesis Viewer to Plan*) and two sets of split variables (cumulative and noncumulative); thus, four decision trees were constructed, two for each classifying variable. The results showed that the decision trees for planning using the data table performed better than those for planning using the hypothesis list. Additionally, the decision tree for planning using the data table, based on the cumulative data, reached a sufficiently high level of accuracy so that it could be used robustly to provide feedback to a student who did not use the data table effectively for planning. The decision tree for planning using

the hypothesis list, based on the noncumulative data, had a lower level of accuracy and might be considered adequate for fail-soft interventions that are not harmful if misapplied.

Sao Pedro, Baker, and Gobert (2012) used the same learning system as the one in the study described above to build decision trees for two scientific behaviors in the experiment phase: designing controlled experiments and testing stated hypotheses. A clip was defined the same as in Montalvo et al.'s (2010) study and included all the actions in both the hypothesis and the experiment stages. Each clip was tagged by one or two coders as designing controlled experiments, testing stated hypotheses, both, or neither. There were 78 split variables including cumulative counts and summary timing values generated by the learning system, similar to the cumulative data in Montalvo et al.'s study. The main purpose of this study was to compare two methods of selecting split variables before building decision trees. The first method was to remove redundant split variables having correlations at or above .6 with other split variables, and the other method was to select those split variables that were considered theoretically important to the constructs being classified. The motivation for the second method was that using the first method could result in split variables, considered theoretically important to the constructs, being removed while other variables without theoretical justification would be retained. The second method led to a smaller set of split variables with increasing construct validity and interpretability. The performance of the decision trees, constructed from the two sets of split variables for each classifying variable, based on data from all clips combined, as well as partial data up to and including each clip in each run (e.g., all clips before and including Clip 1 Run 2), was compared. The purpose of building the decision trees based on partial data was to determine how much student interaction data was necessary to make accurate predictions. The study showed that the decision trees based on the variable set with higher construct validity achieved not only better overall accuracy, but also achieved better prediction with less data for both designing controlled experiments and testing stated hypotheses.

### Cluster Analysis

Cluster analysis (Tan, Steinbach, & Kumar, 2006) is an exploratory data analysis method for grouping similar objects into categories. Each object can be viewed in an  $n$ -dimensional space such that the distances between objects can be calculated, where  $n$  is the number of features (variables) on which the grouping is based. For example, cities can be grouped based on census information such as population density, income, age, and so forth to identify cities with similar demographic features. At the same time, census variables can be clustered to find variables with similar distributions across cities. There are different types of distance measures (e.g., Euclidean distance, squared Euclidean distance, and Manhattan distance) to compute the distances between objects. There are also different linkage rules (e.g., single linkage, complete linkage, and unweighted pair-group average) which, along with distance measures, are used to calculate the distances between clusters. Different types of cluster analyses can be distinguished according to their purposes and algorithms (e.g., tree clustering, two-way joining, k-means clustering, and expectation and maximization clustering). However, all types of cluster analysis have a common goal, namely, to minimize the ratio of within-cluster distances over across-cluster distances (<http://www.statsoft.com/textbook/cluster-analysis/>).

Kerr, Chung, and Iseli (2011) applied cluster analysis to identify students' strategies when solving fraction addition problems in *Save Patch*, a serious game designed to teach the addition of fractions. In *Save Patch*, the game character, named Patch, needs to bounce over obstacles to reach his home; students are required to apply concepts underlying rational addition to complete tasks. The game has six stages, and each stage has up to five levels, resulting in a total of 16 levels. Cluster analyses were conducted at each level. The sample comprised 155 students in grades 6 through 8. The log-files recorded each action that students took to solve the tasks. The input data for each level of the cluster analysis included variables representing all sequence actions that at least five students had taken at that level. Across all of the 16 levels, the cluster analyses successfully identified solution strategies and error patterns involving game strategy or mathematical misconceptions. These clusters were highly interpretable and accounted for 73.6% of attempts made by students to solve the tasks. The identified solution strategies included standard solutions that the game designers had in mind, as well as alternate solutions used by students. Given the wide coverage and clear interpretability of the action patterns identified by the cluster analyses in their study, Kerr et al. concluded that cluster analysis can be a valid tool for analyzing process data generated from solving complex problems in serious games or simulations to detect meaningful learning and problem-solving strategies. In turn, the results may be used to diagnose students' errors and to provide prompt remediation and tailored instruction through games or simulations.

## Neural Network

Neural network analysis (Mitchell, 1997) is used to classify cases based on input feature vectors containing observed variables. This method has been inspired in part by the neurocognitive model of the human brain, which includes very complex webs of interconnected neurons. In neural networks, the input variables represent a set of interconnected nodes that produce a single real-valued output. The function to produce the single output is commonly called the activation function. The activation function can take many forms, the most common being the logistic function, which has the same form as the 2-parameter logistic IRT model:

$$\delta = \frac{1}{1 - \exp \left[ -a \left( \sum_{i=1}^I w_i x_i - b \right) \right]}, \quad (13)$$

where  $\delta$  is the output value ranging from 0 to 1;  $x_i$  is the input variable  $i$ ;  $w_i$  is the weight for  $x_i$ ;  $I$  is the total number of input variables;  $b$  is the threshold; and  $a$  is the growth rate. In this function,  $a$ ,  $w_i$ , and  $b$  are the parameters to be estimated. The output value can serve as the final value for an output node or the input value for a hidden node (i.e., the node between input nodes and output nodes) in a multilayer network. Each output node represents a binary classification (0 or 1). Therefore, if the cases are to be classified into  $M$  classifications, there are  $M - 1$  output nodes, and each output node has its own set of parameters in the logistic function. The training dataset includes the observed class membership for each case; the neural network analysis uses an iterative algorithm to find the parameters in the logistic functions, which minimizes the total mean-squared error. This kind of neural network belongs to supervised learning.

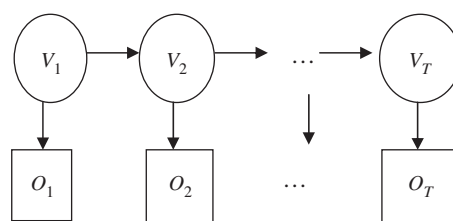
For unsupervised neural networks, the class memberships for input data are unknown, and cases are grouped into classifications based on the similarity of their input variables. For example, self-organizing map (SOM; Kohonen, 2001) is a type of unsupervised neural network that maps the input variables into a one- or two-dimensional space in a topologically ordered fashion. The mapping process includes four iterative steps: initialization, competition, cooperation, and adaptation. SOMs can be viewed as a nonlinear generalization of principal component analysis. In applications of both supervised and unsupervised neural networks on educational assessments, the input nodes could represent examinees' actions in tackling items/tasks, and the output nodes could represent examinees' problem-solving strategies, so that examinees' problem-solving strategies can be classified based on their problem-solving behaviors.

Soller and Stevens (2007) applied SOM to discover students' problem-solving strategies in the interactive multimedia exercises (IMMEX) collaborative, a web-based multimedia scientific learning environment. The tasks in their study involved identifying a chemical that was spilled out of a container. To complete each task, students needed to use scientific inquiry skills to construct the problem, find relevant information, plan a search strategy, select the appropriate physical and chemical tests, and reach a conclusion. The input variables were 22 possible actions (binary variables) in a task, which were recorded in the log-files and related to background information, physical, and chemical tests, precipitation reactions (e.g., Run\_Blue\_Litmus\_Test, Study\_Periodic\_Table, Reaction\_with\_Silver\_Nitrate). The training data contained 5,284 samples; each sample included a student's actions on a task. A student might have multiple samples because they responded to multiple tasks. The resulting SOM derived from the training samples had 36 output nodes. These output nodes had different frequencies for the 22 actions and represented 36 different problem-solving strategies, with different rates of successfully solving the problem. For example, the strategies with a balance of looking for background information and conducting tests were most effective with the highest success rates, while the strategies with conducting too many tests were associated with low success rates. The established SOM could then be used to identify the learning strategy of a new input sample.

## Hidden Markov Model

The hidden Markov model (Rabiner, 1989) is used to model stochastic state-space changes over time. In applications to educational assessments, state may represent learning stage or problem-solving strategy, so that the hidden Markov model can be used to model the change of an examinee's learning stages or problem-solving strategies over time. The hidden Markov model is structured such that in time slice  $t$  ( $t = 1, \dots, T$ ), there is one discrete latent state variable  $V_t$ , which depends on the discrete latent state variable from the previous time slice  $V_{t-1}$ , and one discrete observed variable  $O_t$ , which depends on  $V_t$  (see Figure 3). The model is defined by three sets of probabilities: (a) the prior





**Figure 3** The hidden Markov model. Rectangle boxes represent observed variables, and ovals represent latent variables.

probability vector of latent states that is given as prior; (b) the transition probability matrix between latent states, that is,  $\pi_{k,l} = P(V_t = k | V_{t-1} = l)$ , where  $k, l = 1, \dots, M$ , where  $M$  is the number of latent states; and (c) the output probability matrix,  $P(o|k)$ , where  $o$  is an observed value and  $k$  is a latent state. The optimal number of latent states ( $M$ ) can be estimated from the input data. Note that the hidden Markov model assumes the first-order Markov process, that is, the current latent state variable ( $V_t$ ) only depends on the latent state variable at the immediately previous time slice ( $V_{t-1}$ ) so that the earlier time slices are ignored, and the transition probabilities  $\pi_{k,l}$  do not change across time slices.

Jeong, Biswas, Johnson, and Howard (2010) applied the hidden Markov model to study learning strategies in an asynchronous learning environment in fighting cyber terrorism. In the learning system, a five-step learning cycle reflecting adaptive and progressive feedback, as well as scaffolds for planning, reflection, and synthesis in inquiry activities, was explicitly implemented. The five phases in the inquiry cycle were: challenge (C), initial thoughts (T), resources (R), self-assessment (A), and wrap-up (W). Also included was the overview (O) phase, where students entered and exited the cycle. The learning system, then, explicitly included six phases. High-performing learners were assumed to follow the order of the phases in a learning cycle; however, students had the control over their learning phases in the system. For example, students may skip one phase and jump to the next phase or go back to the previous phase. The input data used for the hidden Markov models contained variables representing the sequences of all the phase transitions made by students. For example, the values in each variable could be *AW-L*, representing a linear transition from the assessment phase to the wrap-up phase, or *WA-B*, representing a backtracking from the wrap-up phase to the assessment phase. The input data were automatically generated by the system using the log-files. The hidden Markov models were constructed separately for high-performing and low-performing students, and the classifications of high- and low-performing students were based on the students' performance on the summative assessments after they used the learning system. The study conducted by Jeong et al. showed that the high-performing students moved through the cycle more linearly and spent less time backtracking than the low-performing students. However, the authors' interpretations of the latent states appeared somewhat subjective, and the results did not strongly and explicitly support their conclusions. The difficulty of interpreting latent states is actually a common issue for applications of the hidden Markov models in educational areas (Shih, Koedinger, & Scheines, 2010). In Jeong et al.'s study, because students' learning activities in the system were clearly labeled in terms of learning stages, it makes more sense to use the Markov models rather than the latent Markov models to address the research question. A Markov model is similar to a latent Markov model; however, in a Markov model there is no latent state, and the transitions of observed states between two time points are instead modeled. If the Markov models are used for the study, the input data will include the sequences of learning stages that students followed. Bachmann, Gobert, and Beck (2010) applied the Markov models to the learning and assessment system, *Science Assistments Phase Change Microworld*, mentioned previously, to study students' transition patterns among the four inquiry stages implemented in the system: observe, hypothesize, experiment, and analyze data.

In Soller and Stevens (2007) study described previously, after they identified the 36 problem-solving strategies, they used the hidden Markov model to study strategy transitions for students who took more than one task. The reason for using the hidden Markov model rather than the Markov model was that the 36 strategies were too numerous to study strategy transitions (resulting in 1,296 transition possibilities). Consequently, the number of strategies had to be reduced to make the results stable and interpretable. The training data were the strategies used by 1,790 students over multiple tasks. The resulting hidden Markov model had five latent states with a transition probability matrix, which was used to predict students' strategy transitions across tasks. However, an explanation for each latent state was not provided; as previously mentioned, it is not easy to interpret latent states obtained from hidden Markov models in educational research.



## Process Mining

Process mining (van der Aalst, 2011) has emerged from the field of business process management and is used to extract process-related knowledge from event logs recorded by an information system. Process mining is suitable for chaotic log-files where the process structures are not easily uncovered by other techniques. Process mining techniques can be classified by their purposes as confirming a prior process model, extending a prior process model, or exploring a process model without a prior model.

Howard, Johnson, and Neitzel (2010) used the process mining method to study students' patterns of learning phase transition in the same learning system that was used by Jeong et al. (2010), as well as students' behaviors in answering items in the assessment phase. All students' patterns of behaviors were summarized in a Petri net plot to aid analyses. A Petri net plot is a directed bipartite graph for process analysis, in which the bars represent transitions (i.e., events), circles denote places (i.e., conditions), and directed arrows describe which places are pre- and/or post-conditions for which transitions. This method enumerates all students' behavior patterns; therefore, any descriptive statistics related to the research questions can be calculated. For example, Howard et al. found that 70% of the 5,617 students included in their study went through the learning cycle sequentially, and the most significant linear process deviation was skipping the *initial thoughts* phase. DiCerbo, Liu, Rutstein, Choi, and Behrens (2011) described the digraph to present data visually, which is similar to the Petri net plot, using the process data from the *Packet Tracer Skills Based Assessments*.

## Selecting Appropriate Data Mining Methods

The five data mining methods described above are related to classifying samples. With the exception of the hidden Markov model, these data mining methods do not make any assumptions about data distributions.

The decision tree and supervised neural network find the best way to classify students into designated classes (i.e., students' class memberships are known in input data) based on input variables (i.e., feature vectors); however, they use different classification methods. The decision tree searches for the best split variable at each step, which classifies students into the most homogenous groups in terms of their known class memberships, while the supervised neural network classifies students based on the weighted sum of input variables. Alternatively, for cluster analysis and unsupervised neural network, the students' memberships are unknown in the input data, and the two methods identify class membership of students based on the similarity of input variables. Although these two methods are similar, some differences are observed. For example, SOM, an unsupervised neural network discussed previously, is similar to nonlinear *k*-means clustering variants with constrained topologies. The hidden Markov model is used for time series data to model the transition probabilities among latent classes from one time point to the next time point. The input variables are all discrete variables with each representing students' observed classes at one time point in a sequence. The hidden Markov model reduces the number of observed classes by extracting a few latent classes. Process mining is helpful for extracting meaningful information from sequence data by enumerating data sequence patterns and presenting them graphically.

The selection of a data mining method depends on the training data and the research questions. To detect problem-solving strategies in simulation or game-based assessments, if we know students' strategies (e.g., determined by raters through checking students' action sequences), we could use the decision tree or supervised neural network. If we do not know students' strategies and have to identify these from their action patterns, we could use cluster analysis or an unsupervised neural network. If we want to see exactly all action patterns in the input data and how many students take each of them, process mining techniques can be used. The hidden Markov model is useful if the strategies include specific stages, each stage contains a number of actions, and we are interested in the transition patterns among stages.

In summary, if used properly, these and other potential data mining methods are effective for getting the type of rich assessment evidence we want from complex assessment tasks. Therefore, these methods are critical for analyzing process data produced by simulation and game-based assessments to allow us to uncover more meaningful things about student cognition and problem solving.

## Directions for Future Research

Simulation or game-based assessments have many attractive features that make them a potential direction of future assessments. These features include being suitable for measuring high-order skills as well as multiple skills simultaneously,

providing examinees with timely and meaningful individualized feedback at desired levels of granularity, and enhancing the enjoyment of a test-taking experience. However, the current development of simulation-based, especially game-based, assessments is still in the preliminary stages (National Research Council, 2011). More research is needed to study psychometric properties of simulation or game-based assessments, as well as methods to extract useful information from process data resulting from these assessments. For that purpose, more simulation or game-based assessments need to be developed first to provide grounds for such research.

We conclude this article by pointing out some future directions in this area.

1. Compare different scaling methods and find the most appropriate ones that meet psychometric and theoretical requirements and are also feasible to use in simulations or serious games. All scaling methods are easily implemented in a simulation or serious game by either writing new program code or embedding existing programs.
2. Compare different statistical and data mining methods and find the most appropriate means to reveal useful information from process data to inform students' problem-solving strategies and/or simulation or game redesign. This issue is also related to the scaling issue. Researchers in this area are starting to consider these two concerns simultaneously to determine the most appropriate scaling methods and data mining methods for uncovering problem-solving strategies in conjunction for analyzing data from simulation or game-based assessments.
3. Study the reliability, validity, and fairness issues of simulation or game-based assessments, as these are the basic psychometric requirements for all types of assessments. Rupp, Gushta, et al. (2010) and Rupp, Templin, et al. (2010) outlined various reliability and validity requirements for game-based assessments. Also, Zapata-Rivera and Bauer (2011) described several threats to the validity of assessment data derived from game-like scenarios.

We believe that these research areas are critical to address the fundamental psychometric issues of simulation and game-based assessments and to allow us to derive valid and reliable claims from the rich information that the new generation assessments generate.

### Acknowledgments

Thanks are due to Joanna Gorin, Rebecca Zwick, Carolyn Wentzel, and Andreas Oranje for their helpful suggestions and edits on early versions of this article. Malcolm Bauer and Frank Rijmen also provided constructive comments. We are grateful to Kim Fryer for her editorial assistance.

### Notes

- 1 Some cognitive diagnostic models can take into account a hierarchical skill structure, the long-term or short-term learning effects. Examples include the following:
  - the loglinear Rasch model (Kelderman, 1984) for which the probability of an item response depends on a latent ability and other item scores;
  - the generalized linear latent and mixed model framework (Rabe-Hesketh, Skrondal, & Pickles, 2004), which combines features of generalized linear mixed models and structural equation models, and causal models with discrete latent variables (Hagenaars, 1998), which combine loglinear modeling and graphical modeling, can incorporate flexible latent skill structures that include hierarchical structures, interactions among item scores and/or multilevel data structures (e.g., students are nested in classes which in turn are nested in schools);
  - the high level IRT model (Fu & Feng, 2013), similar to a high level factor analysis, can estimate a hierarchical skill structure (e.g., a general skill and several subskills).

### References

- Adams, R. J., Wilson, M., & Wang, W. C. (1997). The multidimensional random coefficients multinomial logit model. *Applied Psychological Measurement*, 21(1), 1–23.
- Almond, R., DiBello, L., Jenkins, F., Mislevy, R., Senturk, D., Steinberg, L., & Yan, D. (2001). Models for conditional probability tables in educational assessment. In T. Jaakkola & T. Richardson (Eds.), *Artificial intelligence and statistics 2001* (pp. 137–143). Waltham, MA: Morgan Kaufmann/Elsevier.

- Almond, R. G., DiBello, L. V., Moulder, B., & Zapata-Rivera, J. D. (2007). Modeling diagnostic assessments with Bayesian networks. *Journal of Educational Measurement*, 44, 341–359.
- Bachmann, M., Gobert, J., & Beck, J. (2010). Tracking students' inquiry paths through student transition analysis. *Proceedings of the 3rd international conference on educational data mining*, 269–270. Retrieved from <http://files.eric.ed.gov/fulltext/ED538834.pdf#page=281>
- De Boeck, P., & Rosenberg, S. (1988). Hierarchical classes: Model and data analysis. *Psychometrika*, 53(3), 361–381.
- DiBello, L. V., Roussos, L., & Stout, W. F. (2007). Review of cognitively diagnostic assessment and a summary of psychometric models. In C. R. Rao & S. Sinharay (Eds.), *Handbook of statistics 26* (pp. 979–1030). Amsterdam, The Netherlands: Elsevier.
- DiCerbo, K. E., & Behrens, J. T. (2012, April). *From technology-enhanced assessment to assessment-enhanced technology*. Paper presented at the annual meeting of the National Council on Measurement in Education, Vancouver, Canada.
- DiCerbo, K. E., Liu, J., Rutstein, D. W., Choi, Y., & Behrens, J. T. (2011, April). *Visual analysis of sequential log data from complex performance assessments*. Paper presented at the annual meeting of the American Educational Research Association, New Orleans, LA.
- Eseryel, D., Ge, X., Ifenthaler, D., & Law, V. (2011). Dynamic modeling as a cognitive regulation scaffold for developing complex problem-solving skills in an educational massively multiplayer online game environment. *Journal of Educational Computing Research*, 45, 265–286.
- Eseryel, D., Ifenthaler, D., & Ge, X. (2011). Alternative assessment strategies for game-based learning environments. In D. Ifenthaler, P. Kinshuk, D. G. Isaias, D. G. Sampson, & J. M. Spector (Eds.), *Multiple perspectives on problem solving and learning in the digital age* (pp. 159–178). New York, NY: Springer.
- Fischer, G. H. (1973). The linear logistic test model as an instrument in educational research. *Acta Psychologica*, 37(6), 359–374.
- Fischer, G. H. (1997). Unidimensional linear logistic Rasch models. In W. J. van der Linden & R. K. Hambleton (Eds.), *Handbook of modern item response theory* (pp. 225–244). New York, NY: Springer-Verlag.
- Fischer, G. H., & Ponocny, I. (1994). An extension of the partial credit model with an application to the measurement of change. *Psychometrika*, 59(2), 177–192.
- Fischer, G. H., & Ponocny, I. (1995). Extended rating scale and partial credit models for assessing change. In G. H. Fischer & I. W. Molenaar (Eds.), *Rasch models: Foundations, recent developments, and applications* (pp. 181–202). New York, NY: Springer-Verlag.
- Fu, J. (2009, April). *Marginal likelihood estimation with EM algorithm for general IRT models and its implementation in R*. Paper presented at the annual meeting of the National Council on Measurement in Education, San Diego, CA.
- Fu, J., & Bolt, D. M. (2004, April). *A polytomous extension of the fusion model and its Bayesian parameter estimation*. Paper presented at the annual meeting of the National Council on Measurement in Education, San Diego, CA.
- Fu, J., & Feng, Y. (2013, April). *A comparison of score aggregation methods for unidimensional tests on different dimensions*. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, CA.
- Fu, J., & Li, Y. (2007, April). *Cognitively diagnostic psychometric models: An integrative review*. Paper presented at the annual meeting of the National Council on Measurement in Education, Chicago, IL.
- Haberman, S. J. (2013). *A general program for item-response analysis that employs the stabilized Newton-Raphson algorithm* (Research Report No. RR-13-32). Princeton, NJ: Educational Testing Service.
- Haertel, E. H. (1989). Using restricted latent class models to map the skill structure of achievement items. *Journal of Educational Measurement*, 26(4), 301–321.
- Hagenaars, J. A. (1998). Categorical causal modeling. *Sociological Methods & Research*, 26(4), 436–487.
- Hambleton, R. K., Swaminathan, H., & Rogers, H. J. (1991). *Fundamentals of item response theory*. Thousand Oaks, CA: Sage.
- Hartz, S. M. (2002). *A Bayesian framework for the unified model for assessing cognitive abilities: Blending theory with practicality* (Unpublished doctoral dissertation). University of Illinois at Urbana-Champaign.
- Heckerman, D. (1998). A tutorial on learning with Bayesian networks. In M. I. Jordan (Ed.), *Learning in graphical models* (pp. 301–354). New York, NY: Kluwer Academic.
- Howard, L., Johnson, J., & Neitzel, C. (2010). Examining learner control in a structured inquiry cycle using process mining. *Proceedings of the 3rd International Conference on Educational Data Mining*, 71–80. Retrieved from [http://educationaldatamining.org/EDM2010/uploads/proc/edm2010\\_submission\\_28.pdf](http://educationaldatamining.org/EDM2010/uploads/proc/edm2010_submission_28.pdf)
- Iseli, M. R., Koenig, A. D., Lee, J. J., & Wainess, R. (2010). *Automatic assessment of complex task performance in games and simulations* (CRESST Report No. 775). Los Angeles, CA: The National Center for Research on Evaluation, Standards, and Student Testing (CRESST), Center for Studies in Education, UCLA.
- Jeong, H., Biswas, G., Johnson, J., & Howard, L. (2010). Analysis of productive learning behaviors in a structured inquiry cycle using hidden Markov models. *Proceedings of the 3rd international conference on educational data mining*, 81–90. Retrieved from [http://educationaldatamining.org/EDM2010/uploads/proc/edm2010\\_submission\\_59.pdf](http://educationaldatamining.org/EDM2010/uploads/proc/edm2010_submission_59.pdf)
- Junker, B. W., & Sijsma, K. (2001). Cognitive assessment models with few assumptions, and connections with nonparametric item response theory. *Applied Psychological Measurement*, 25(3), 258–273.

- Kelderman, H. (1984). Loglinear Rasch model tests. *Psychometrika*, 49(2), 223–245.
- Kerr, D., Chung, G. K., & Iseli, M. R. (2011). *The feasibility of using cluster analysis to examine log data from educational video games* (CRESST Report No. 790). Los Angeles, CA: The National Center for Research on Evaluation, Standards, and Student Testing (CRESST), Center for Studies in Education, UCLA.
- Kim, Y.-H. (2011). Diagnosing EAP writing ability using the reduced reparameterized unified model. *Language Testing*, 28, 509–541.
- Koenig, A. D., Lee, J. J., Iseli, M., & Wainess, R. (2010). *A conceptual framework for assessing performance in games and simulations* (CRESST Report No. 771). Los Angeles, CA: The National Center for Research on Evaluation, Standards, and Student Testing (CRESST), Center for Studies in Education, UCLA.
- Kohonen, T. (2001). *Self-organizing maps* (3rd ed.). New York, NY: Springer.
- Lim, T.-S., Loh, W.-Y., & Shih, Y.-S. (1997). An empirical comparison of decision trees and other classification methods (Technical Report No. 979). Madison, WI: Department of Statistics, University of Wisconsin, Madison.
- Loh, W. Y., & Shih, Y. S. (1997). Split selection methods for classification trees. *Statistica Sinica*, 7, 815–840.
- Maris, E. (1995). Psychometric latent response models. *Psychometrika*, 60(4), 523–547.
- Maris, E. (1999). Estimating multiple classification latent class models. *Psychometrika*, 64(2), 187–212.
- Masters, G. N., & Wright, B. D. (1997). The partial credit model. In W. J. van der Linden & R. K. Hambleton (Eds.), *Handbook of modern item response theory* (pp. 101–122). New York, NY: Springer-Verlag.
- Mislevy, R. J., Almond, R. G., Yan, D., & Steinberg, L. S. (1999). Bayes nets in educational assessment: Where do the numbers come from?. In K. B. Laskey & H. Prade (Eds.), *Proceedings of the fifteenth conference on uncertainty in artificial intelligence* (pp. 437–446). San Francisco, CA: Morgan Kaufmann.
- Mislevy, R. J., Oranje, A., Bauer, M., von Davier, A., Corrigan, S., DiCerbo, K., & John, M. (2013, April). *Psychometrics and game-based assessment*. Paper presented at the annual meeting of the National Council on Measurement in Education, San Francisco, CA.
- Mitchell, T. M. (1997). *Machine learning*. Boston, MA: WCB/McGraw-Hill.
- Montalvo, O., Baker, R. S. J. d., Sao Pedro, M. A., Nakama, A., & Gobert, J. D. (2010). Identifying students' inquiry planning using machine learning. *Proceedings of the 3rd international conference on educational data mining*, 141–150. Retrieved from [http://educationaldatamining.org/EDM2010/uploads/proc/edm2010\\_submission\\_53.pdf](http://educationaldatamining.org/EDM2010/uploads/proc/edm2010_submission_53.pdf)
- Muraki, E. (1992). A generalized partial credit model: Application of an EM algorithm. *Applied Psychological Measurement*, 16, 159–176.
- Murphy, K. (1998). *A brief introduction to graphical models and Bayesian networks*. Retrieved from <http://www.cs.ubc.ca/~murphyk/Bayes/bnintro.html>
- National Research Council. (2011). *Learning science through computer games and simulations*. Washington, DC: The National Academies Press.
- Pearl, J. (1988). *Probabilistic reasoning in intelligent systems: Networks of plausible inference*. San Mateo, CA: Morgan Kaufmann.
- Rabe-Hesketh, S., Skrondal, A., & Pickles, A. (2004). Generalized multilevel structural equation modeling. *Psychometrika*, 69(2), 167–190.
- Rabiner, L. (1989). A tutorial on hidden Markov models and selected applications in speech recognition. *Proceedings of IEEE*, 77(2), 257–285.
- Reckase, M. D. (2009). *Multidimensional item response theory*. New York, NY: Springer.
- Roussos, L. A., Templin, J. L., & Henson, R. A. (2007). Skills diagnosis using IRT-based latent class models. *Journal of Educational Measurement*, 44, 293–311.
- Rupp, A. A., Gushta, M., Mislevy, R. J., & Shaffer, D. W. (2010). Evidence-centered design of epistemic games: Measurement principles for complex learning environments. *Journal of Technology, Learning, and Assessment*, 8(4). Retrieved from <http://ejournals.bc.edu/ojs/index.php/jtla/article/view/1623/1467>
- Rupp, A. A., & Templin, J. L. (2008). Unique characteristics of diagnostic classification models: A comprehensive review of the current state-of-the-art. *Measurement*, 6(4), 219–262.
- Rupp, A. A., Templin, J., & Henson, R. A. (2010). *Diagnostic measurement: Theory, methods, and applications*. New York, NY: Guilford Press.
- Samejima, F. (1997). Graded response model. In W. J. van der Linden & R. K. Hambleton (Eds.), *Handbook of modern item response theory* (pp. 85–100). New York, NY: Springer-Verlag.
- Sao Pedro, M. A., Baker, R. S. J. d., & Gobert, J. D. (2012). Improving construct validity yields better models of systematic inquiry, even with less information. In J. Masthoff, B. Mobasher, M. C. Desmarais, & R. Nkambou (Eds.), *User modeling, adaptation, and personalization: Proceedings of the 20th UMAP conference* (pp. 249–260). Berlin/Heidelberg, Germany: Springer-Verlag.
- Shaffer, D. W., Hatfield, D., Svarovsky, G. N., Nash, P., Nulty, A., Bagley, E., ... Mislevy, R. J. (2009). Epistemic network analysis: A prototype for 21st century assessment of learning. *International Journal of Learning Media*, 1(2), 33–53.



- Shih, B., Koedinger, K. R., & Scheines, R. (2010). Unsupervised discovery of student learning tactics. *Proceedings of the 3rd international conference on educational data mining*, 201–210. Retrieved from [http://educationaldatamining.org/EDM2010/uploads/proc/edm2010\\_submission\\_55.pdf](http://educationaldatamining.org/EDM2010/uploads/proc/edm2010_submission_55.pdf)
- Shute, V. J. (2011). Stealth assessment in computer-based games to support learning. In S. Tobias & J. D. Fletcher (Eds.), *Computer games and instruction* (pp. 503–524). Charlotte, NC: IAP Information Age.
- Shute, V. J., & Kim, Y. J. (2011). Does playing the World of Goo facilitate learning?. In D. Y. Dai (Ed.), *Design research on learning and thinking in educational settings: Enhancing intellectual growth and functioning* (pp. 359–387). New York, NY: Routledge Books.
- Shute, V. J., Masduki, I., & Donmez, O. (2010). Conceptual framework for modeling, assessing and supporting competencies within game environments. *Technology, Instruction, Cognition & Learning*, 8, 137–161.
- Shute, V., Ventura, M., & Zapata-Rivera, D. (2012, April). *Stealth assessment in digital games*. Paper presented at the annual meeting of the National Council on Measurement in Education, Vancouver, Canada.
- Silva, E. (2008). Measuring skills for the 21st century. Washington, DC: Education Sector. Retrieved from <http://www.educationsector.org/publications/measuring-skills-21st-century>
- Soller, A., & Stevens, R. (2007). *Applications of stochastic analyses for collaborative learning and cognitive assessment* (IDA Document D-3421). Arlington, VA: Institute for Defense Analysis.
- Tan, P.-N., Steinbach, M., & Kumar, V. (2006). *Introduction to data mining*. Boston, MA: Addison-Wesley. Retrieved from <http://www-users.cs.umn.edu/~kumar/dmbook/index.php>
- Tatsuoka, C. (2002). Data analytic methods for latent partially ordered classification models. *Applied Statistics*, 51(3), 337–350.
- U.S. Department of Education. (2010). *Transforming American education: Learning powered by technology. National Education Technology Plan 2010*. Washington, DC: Author. Retrieved from <http://www.ed.gov/sites/default/files/netp2010.pdf>
- van der Aalst, W. M. P. (2011). *Process mining: Discovery, conformance and enhancement of business processes*. Berlin, Germany: Springer-Verlag.
- von Davier, M. (2008). A general diagnostic model applied to language testing data. *British Journal of Mathematical and Statistical Psychology*, 61, 287–307.
- von Davier, M., DiBello, L. V., & Yamamoto, K. (2008). Reporting test outcomes using models for cognitive diagnosis. In J. Hartig, E. Klieme & D. Leutner (Eds.), *Assessment of competencies in educational contexts* (pp. 151–176). Cambridge, MA: Hogrefe & Huber.
- von Davier, M. & Xu, X. (2009). Estimating latent structure models (including diagnostic classification models) with mdlm – a software for multidimensional discrete latent traits models [Computer software]. Princeton, NJ: Educational Testing Service.
- Wang, W.-C., Wilson, M., & Adams, R. J. (1996). *Implications and applications of the multidimensional random coefficients multinomial logit model*. Unpublished manuscript.
- Wasserman, S., & Faust, K. (1994). *Social network analysis: Methods and applications*. Cambridge, England: Cambridge University Press.
- Wilson, M., & Adams, R. J. (1995). Rasch models for item bundles. *Psychometrika*, 60(2), 181–198.
- Zapata-Rivera, D., & Bauer, M. (2011). Exploring the role of games in educational assessment. In M. C. Mayrath, J. Clarke-Midura, & D. Robinson (Eds.), *Technology-based assessments for 21st century skills* (pp. 149–171). Charlotte, NC: Information Age.
- Zyda, M. (2005). From visual simulation to virtual reality to games. *Computer*, 38(9), 25–32.

**Action Editor:** Rebecca Zwick

**Reviewers:** Andreas Oranje and Joanna Gorin

ETS, the ETS logo, and LISTENING. LEARNING. LEADING. are registered trademarks of Educational Testing Service (ETS). All other trademarks are property of their respective owners.

Find other ETS-published reports by searching the ETS ReSEARCHER database at <http://search.ets.org/researcher/>