### Semi-Supervised Clustering for Short Answer Scoring

#### **Andrea Horbach and Manfred Pinkal**

University of Duisburg-Essen & Saarland University, Germany

andrea.horbach@uni-due.de, pinkal@coli.uni-saarland.de

#### Abstract

This paper investigates the use of semi-supervised clustering for Short Answer Scoring (SAS). In SAS, clustering techniques are an attractive alternative to classification because they provide structured groups of answers in addition to a score. Previous approaches use unsupervised clustering and have teachers label some items after clustering. We propose to re-allocate some of the human annotation effort to before and during the clustering process for (i) feature selection, (ii) for creating pairwise constraints and (iii) for metric learning. Our methods improve clustering performance substantially from 0.504 kappa for unsupervised clustering to 0.566.

Keywords: Short-Answer Scoring, Clustering, Computer-Assisted Language Learning

**Prompt (ASAP dataset):** During the story, the reader gets background information about Mr. Leonard. Explain the effect that background information has on Paul. Support your response with details from the story.

**Answer (2 points):** *Paul sees himself in Mr. Leonard. They both can't read but both are good at track.* 

**Answer (0 points):** *He (the narrator) finds out that Mr. Leonard was once a star athelete at his college but dropped out because of grades.* 

**Prompt (PG dataset):** What did the Declaration of Independence do?

**Answer (correct):** *declare independance from britain* **Answer (incorrect):** *protect the constitution and people* 

Figure 1: Example prompts and answers

#### 1. Introduction

In an educational context, short answer questions are a type of exercise asking for short free-form answers of a few words or sentences in response to a given prompt. They occur, for example, in the form of science questions or reading comprehension exercises and can address both native speakers, such as high school students, and foreign language learners. Automatic Short Answer Scoring (SAS) is the task of automatically assigning a score to such answers, either in numeric form (points) or by a binary true/false label. Figure 1. shows two example prompts with some scored answers.

Automatic scoring of short answer exercises is a challenge: in contrast to multiple choice or simple gap-filling exercises, SAS has to assess the semantic correctness of answers, and it is thus related to fields such as natural language understanding, paraphrase detection or textual entailment. In addition, it has to deal with noisy user input containing spelling and grammar errors.

Most approaches to SAS consider automatic scoring as a classification task, relying on supervised machine learning (ML) techniques which require manually labeledtraining data In contrast Basu et al. (2013),Brooks et al. (2014) and Horbach et al. (2014) have focused on the use of clustering techniques for SAS. The rationale behind this procedure is that answers that are similar to each other – and therefore end up in the same cluster – are also likely to receive the

same label for scoring and can thus be scored in one grading step by a teacher. Ideally, a teacher has to label only a single answer representative for the whole cluster which is then *propagated* to all members of the cluster.

An added value of clustering is that it provides valuable structural information, while ML classifiers just assign a score (Brooks et al., 2014). As an example, automatic clustering of the answers for the question from the PG dataset, "What is one right or freedom from the First Amendment of the U.S. Constitution?" yields different groups of correct and incorrect answers, such as, {freedom of speech, the right of free speech, to have freedom of speech, ... } or {freedom of religion, freedom to practise religion, the freedom of religion,  $\ldots$  }, {to bear arms, the right to bare arms, right to arms, ... }. The first two clusters contain correct answers referring to different facts, the last one contains answers making the same error. Teachers may use the output clusters to identify common misconceptions among students and assign feedback to whole groups of answers. Some amount of human scoring is required for both supervised ML and clustering: annotation of training data in the one case and annotation of representative cluster members as a basis for propagation in the other case. Zesch et al. (2015) compared the performance of clustering with that of ML methods, keeping the number of manually labeled items constant. They carried out their study on the PG dataset and in addition on the ASAP dataset (see below, Section 3.). They reported that clustering proved beneficial only on the short and simple answers (a few words) of

the PG dataset. On the ASAP dataset with more complex, longer answers, clustering falls far behind ML methods in their experiments.

In this paper, we show that *semi-supervised clustering* can substantially improve clustering results. While existing clustering approaches use manually labeled data only for post clustering label propagation, we distribute human effort and use human-labeled data in multiple ways before, during and after clustering:

• Feature selection: We use labeled items for feature selection *before* the actual clustering, as lustering algorithms are known to suffer more from noisy features than supervised learning algorithms that can select the features relevant for a task (Alelyani et al., 2013).

- **Clustering with constraints:** We employ two methods of using labeled instances as *seeds during* the clustering: (i) for guiding the clustering process through relational constraints, that indicate whether two instances cannot or must belong to the same cluster, and (ii) for metric learning, i.e. adapting the distance metric according to those constraints. We reuse the items labelled for feature selection as seeds, so the second step does not require additional annotation effort.
- Label propagation: We use label propagation *after* clustering to assign a label to each cluster based on the teacher-assigned label of just one item of the cluster. Following Horbach et al. (2014), we annotate the the item closest to the centroid and propagate its label to all cluster members, as this procedure selects prototypical instances and is superior to propagating a random label.

To the best of our knowledge, we are the first to use semisupervised clustering for SAS. We show that the multipurpose usage of labeled instances can overcome half of the the gap between clustering and supervised ML methods, also for the complex ASAP dataset. We conclude that clustering with label propagation is an alternative to supervised ML methods, since it has the advantage of providing teachers with structured sets of answers.

After this introduction, Section 2. report about related work. We then present in Section 3. the used data and feature set. We describe our experiments in Section 5. and conclude with Section 6.

#### 2. Related Work

A variety of approaches for automatic SAS have been proposed (see Burrows et al. (2014) for an overview), ranging from rule-based systems, (Sukkarieh and Pulman, 2005), to ML systems using various kinds of automatically extracted features. ML-based approaches can be generally classified in two ways: those that assess an answer based on the similarity with some sort of teacher-specified target answer and those where a target answer is not used or not even available. Approaches of the first type create feature vectors for each answer that express their similarity to the target answer based on semantic similarity or lexical overlap. The resulting classifier is not restricted to answers for just one question, but generalizes to different prompts (Mohler et al., 2011; Meurers et al., 2011). Approaches that do not compare to a target answer build one classifier per prompt using features based on the content of individual answers, such as lemma or character n-grams or dependency triples occurring in an answer. With our work, we follow the feature extraction of the second approach by creating feature vectors for clustering representing the content of each answer and clustering answers per prompt.

Our work is related to studies that address the number of answers needed as training data for SAS. Heilman and Madnani (2015) show that – as in many ML scenarios – the SAS task profits from larger training set sizes. Active learning (AL) is an ML technique that aims at selecting training instances in such a way that the classifier can learn most from them (Settles, 2010); AL methods have been used successfully in a variety of NLP tasks. In the SAS context, Horbach and Palmer (2016) explore active learning methods to select ML training instances and find that uncertainty sampling methods have an advantage over random sampling of training instances.

Within the field of clustering for SAS, the most prominent contribution is the Powergrading (PG) study by Basu et al. (2013) who use k-medoids and LDA clustering for answers to US citizenship exam questions. They learn a similarity metric between answers on a part of the data which contains gold standard information about semantic equivalence between answers. As features for this decision, they use various kinds of similarities between answers including both surface similarity on string and lemma level and wikipediabased LSA similarity. They use a two-layered clustering technique that separates the answer space into clusters and subclusters.

Basu et al. (2013) propose a novel measure to evaluate their clustering approach: they count the number of "actions" a teacher has to take in order to label a complete (sub)-cluster with one label for all cluster members or to label individual answers until all answers in a clustering are correctly graded. This approach is not directly comparable to label propagation. Also, it does not provide a fully realistic measure of the teacher's effort because teachers do not know in advance which individual answers within a cluster are incorrectly labeled and therefore need to inspect all answers in a cluster in order to identify those which they need to re-label. Their evaluation is more comparable to an oracle variant of label propagation where we propagate the majority label of a cluster instead of the one closest to the centroid: when assigning a label to a complete cluster in the style of Basu et al. (2013), a teacher will select the label that fits the majority of the data. We also calculate the results of majority-based propagation as an oracle condition, but retain centroid-based propagation as the relevant evaluation method.

#### 3. Datasets

We run experiments on two datasets:

**ASAP:** We use the 10 individual prompts from the ASAP 2 dataset<sup>1</sup> from the Kaggle automatic scoring competition. Each prompt contains around 1800 items with humanly annotated scores from 0 to 2 or 3 (depending on the dataset) in steps of 1.0. Answers are between one and a few sentences in length. The average number of tokens per prompt varies between 26 and 66.

**PG:** The PG dataset consists of 10 annotated answer sets (out of a total of 20 prompts) from immigration tests that tend to be very short (average number of tokens per prompt between 1.3 and 5) and therefore also much more repetitive. While the ASAP dataset does not contain duplicates, they occur very frequently in PG. Answers are annotated as either correct or incorrect.

<sup>&</sup>lt;sup>1</sup>https://www.kaggle.com/c/asap-sas

#### 4. Method

#### 4.1. Features and Feature Selection

In congruence with previous work, we concentrate mainly on lexical features as they are highly predictive for this task. In the Kaggle competition for the ASAP dataset, the top 5 best-performing systems used mainly lexical features for scoring (Higgins et al., 2014) (the best-performing system (Tandalla, 2012) was indeed one that additionally used hand-crafted regular expressions for each prompt). For the more complex answers of ASAP, which usually consist of complete sentences instead of short phrases, we use lemma and character n-grams, and dependency subtrees as features. For the PG dataset with very short phrasal answers, dependency parsing provided unsatisfying results, so we restricted ourselves to character and word n-gram features.

We use the labeled seeds to perform supervised feature selection, as clustering is particularly sensitive to noisy features (Alelyani et al., 2013).

We use Weka's information gain-based attribute selection and test different numbers of features including the full feature set. For most prompts, we reach optimal clustering results with either 200 or 100 features. We use the optimal size of feature sets per prompt in all experiments for both clustering and supervised ML. We tried other linear feature selection algorithms but found no significant differences in performance. We also explored subset evaluation as an alternative, using Weka's Cfs Subset evaluation and found it to be less suitable than Information Gain.

#### 4.2. Semi-supervised Clustering

Clustering algorithms aim at grouping similar objects together, where similarity is measured by a distance metric. Standard clustering algorithms work completely unsupervised, only based on the distance metric. Semi-supervised clustering makes use of seed data gained through human annotation. Seed data can either be given in the form of labeled items expressing cluster membership, or as relational information stating that two items should or should not belong to the same cluster.

In our SAS scenario, we assume that there is a one-tomany rather than a one-to-one relation between scores and clusters. I.e. one score (out of the maximum of 4 different scores for the ASAP dataset) can contain answers that fall into different groups of semantically similar answers (see the example given in Section 1.). Especially for lowscoring answers there is certainly more than one way to "get it wrong", and thus we cluster into more clusters than there are labels. Answers with different scores should definitely go into different clusters, answers with the same score may or may not belong to the same cluster, dependent on their semantic relatedness. Therefore, we cannot use categorical seed information to estimate the number of clusters and to initialize seed clusters as it is done for instance by Basu et al. (2002), but have to use relational information. Since scoring of individual answers is a much more natural task for teachers than assessing the similarity between different answers, we derive the relational pairwise constraints required for semi-supervised clustering from individually labeled items, the seeds. More specifically, we create a cannot link (CL) constraint stating that two answers should not go into the same cluster for each pair of seeds with different scores. In general, semi-supervised clustering can also use *must link constraints* stating that two items belong two the same cluster. We cannot derive reliable *must link* information from answer scores, so we employ *cannot links* only.

**Implementation Setup** We use the Weka implementation (Hall et al., 2009) of the unsupervised k-means algorithm (KM) (Lloyd, 1982) as our baseline algorithm, as do Zesch et al. (2015): k-means minimizes an objective function that sums over the squared distances of each item to its cluster centroid. We use as distance metric Euclidian distance between feature vectors.

For semi-supervised clustering, we use extensions of kmeans introduced in the *metric pairwise constrained kmeans* (MPCKM) algorithm by Bilenko et al. (2004), who integrate the usage of pairwise constraints and metric learning into the k-means algorithm and provide an extension of the Weka API for that.<sup>2</sup> Constraints are integrated into the clustering in the form of penalties for constraint violations that are added to the objective function. Each constraint is associated with an importance weight.

Metric learning is done in the MPCKM algorithm after each k-means iteration by adjusting the weights of individual features in two ways: first, by moving existing clusters from the previous iteration further away from each other and second, by increasing the distance between items with violated CL constraints.

#### 4.3. Label Propagation

For our experiments, we assume the following scenario: a teacher is given one item per cluster for scoring, and the score is propagated to all members of the cluster. Accordingly, we evaluate our experiments using *label propagation* following both Horbach et al. (2014) and Zesch et al. (2015).

We use **centroid propagation** as a realistic method, where the label for all answers in a cluster is based on just one labeled instance. We select an item for labelling which is prototypical for its cluster by selecting the one closest to the cluster centroid.

We consider **majority propagation** to provide an upper bound of performance that we could reach when labeling a cluster based on the label of one instance: the scoring of a cluster is optimal if the one labeled element belonged to the majority class for that cluster. This evaluation is an oracle condition that indicates the quality and potential of a given clustering, as there is no reliable way to automatically select such an element.

#### 4.4. Treatment of Duplicate Items in Clustering

The PG dataset contains high numbers of duplicate answers; there are 2434 unique answer for a total of 6980 individual answers. Multiple annotation of duplicates does not add any information. Hence, we make sure that we never select duplicates when sampling answers for human annotation. However, the negative impact of performance is higher if we get a very frequent answer wrong compared

<sup>&</sup>lt;sup>2</sup>http://www.cs.utexas.edu/users/ml/risc/

to erring on an answer that is only given by one student. Therefore we do not remove duplicates for cluster on all answers, such that multiple occurrences of an answer have more influence in the clustering process, as they have, e.g., a higher probability to be selected for centroid-based label propagation.

#### 4.5. Baselines

We compare our clustering results to two baselines: *unsupervised k-means clustering* on the full feature set and *supervised ML*. To enable meaningful comparison between the methods, we keep the number of annotated instances n constant across all experimental conditions. Thus we create n clusters in unsupervised k-means clustering as all human annotation effort can be used to label cluster centroids, we create fewer clusters in the semi-supervised case, where some annotations are used for labeling seeds. Accordingly, the ML baseline, implemented by Weka's SMO algorithm (Hall et al., 2009), is trained on n labeled items, as done in Zesch et al. (2015).

In addition to their approach, we do not only calculate the baseline with the complete feature set. Supervised ML algorithms also profit from feature selection and it would be an unfair comparison to optimize features just for clustering. We also performed feature selection for ML and report results for the best configuration per prompt. We randomly sample the data for the classifier 100 times and report average results. For the optimized feature set we also report the best individual run as an upper bound.

#### 5. Experiments

Our experiments address the question how a set of answers can be optimally graded with only a limited amount of available human annotation effort:

**Experiment 1** compares variants of the k-means algorithm that correspond to different degrees of supervision to confirm the contribution of the individual components of the MPCKM algorithm. **Experiment 2** investigates the optimal tradeoff for distributing a given amount of human annotations between labeling seeds before clustering and labeling cluster centroids after clustering. In **Experiment 3** we cross-check that our semi-supervised results cannot be reached with approaches that use unsupervised feature selection. In **Experiment 4** we investigate how human annotation effort can be further minimized by reusing seeds for label propagation.

#### 5.1. Experimental Setup

**Dataset Sizes** In order to evaluate always on the same number of answers per dataset, we use the first 1000 answers to each ASAP prompt and all 698 answers to each PG prompt.

**Evaluation Metric** We report Cohen's quadratically weighted kappa (Cohen, 1968) after label propagation. In our grading scenario, where we want to measure the quality of the resulting grading of a set of answers and compare to supervised classification methods. This type of evaluation is more meaningful than evaluation measures applied in other clustering tasks, such as the widely used bCubed metric (Amigó et al., 2009).

## 5.2. Experiment 1: Different Degrees of Supervision in Clustering

In our first experiment, we measure the influence of different levels of supervision. We go from unsupervised k-means clustering (KMall), over k-means clustering that uses seeds only for feature selection (KMsel) and semisupervised clustering that additionally derives CL constraints from the seeds (KMCL), to the full MPCKM clustering algorithm with feature selection, CL constraints, and metric learning. We aim at investigating the effect of a fixed "small" number n of labelled data on clustering performance, which at the same time should be large enough to induce clusters of reasonable quality. We decided for n =150 (out of a total of 1,000 answers per question) for ASAP, and n = 50 for PG (the comparably low number is due to the high amount of duplicates in the answers). This overall number of annotation steps is split into those answers that are used for both feature selection and constraints (the seeds), and those that are used to label the centroid of each cluster; i.e., the number of annotations for labeling clusters centroids determines the number of clusters created.

In this experiment, the split of the n labelled items between seeds and labelled cluster centroids is 110:40 for ASAP and 40:10 for PG. These proportions of seeds and cluster centroids are selected as the optimal ones, based on the results of Experiment 2 (see below).

Tables 1 and 2 show the results for the different k-means variants. In addition to centroid-based label propagation, we report majority propagation MPCKM<sub>best</sub> for the full MPCKM algorithm as an upper bound for clustering performance.

We can learn the following from the experiment: first, investing labeled items into feature selection pays off ( $KM_{all}$  vs  $KM_{sel}$ ) for the ASAP dataset. Second, we see that adding constraints alone gives us an additional small improvement (KMCL vs  $KM_{sel}$ ), while adding metric learning (MPCKM) adds substantially to the performance. The improvement is consistent for centroid based label propagation and for the majority propagation upper bound MPCKM<sub>best</sub>. Third, we see that the best clustering method comes closer to the ML baseline trained on the full dataset ( $ML_{all}$ . By making optimal use of the manually labelled data, we could thus close more then half of the gap between the performance of clustering and machine learning stated in Zesch et al. (2015).

For the PG dataset, basic clustering already outperforms ML methods, arguably because the very short answers of the PG dataset yield an already small feature set that contains little noise. For the following experiments, we therefore report results on the more challenging ASAP dataset only. Note that our scores for ASAP are not directly comparable to the scores of the top performing systems from the Kaggle competition, as the evaluation setup, especially the number of training and test instances used, is different.

# 5.3. Experiment 2: Finding a Tradeoff between the Numbers of Seeds and the Number of Clusters

In this experiment, we determine the optimal tradeoff between the number of seeds, which are used for feature se-

		Clustering				supervised ML		
			40 cluster, 110 seeds			150 items		
р.	KM <sub>all</sub>	$\mathrm{KM}_{sel}$	KMCL	MPCKM	$MPCKM_{best}$	ML <sub>all</sub>	$ML_{sel}$	$ML_{best}$
1	0.462	0.541	0.547	0.593	0.668	0.651	0.673	0.711
2	0.432	0.47	0.469	0.496	0.574	0.571	0.571	0.62
3	0.343	0.378	0.377	0.379	0.451	0.384	0.384	0.437
4	0.543	0.547	0.549	0.581	0.651	0.639	0.655	0.693
5	0.617	0.622	0.631	0.69	0.756	0.68	0.72	0.782
6	0.682	0.646	0.64	0.74	0.765	0.692	0.745	0.787
7	0.352	0.398	0.402	0.447	0.533	0.565	0.565	0.622
8	0.448	0.44	0.437	0.471	0.556	0.553	0.566	0.61
9	0.546	0.564	0.567	0.61	0.686	0.647	0.66	0.698
10	0.614	0.614	0.614	0.651	0.715	0.629	0.684	0.738
avg	0.5039	0.522	0.5233	0.5658	0.6355	0.6011	0.6223	0.6698

Table 1: Result on the ASAP dataset

	Clustering					supervised ML		
		10 cluster. 40 seeds				50 items		
p.	KM <sub>all</sub>	KM <sub>sel</sub>	KMCL	MPCKM	$MPCKM_{best}$	ML <sub>all</sub>	$\mathrm{ML}_{sel}$	$ML_{best}$
avg	0.7928	0.7244	0.7493	0.7695	0.7864	0.7001	0.7213	0.8848

Table 2: Average results on the PG dataset



Table 3: Tradeoff between the number of seeds and the number of clusters for different overall amounts of human annotation steps.

lection and constraints before clustering, and the number of clusters, where the centroid of each cluster is labeled after clustering. To do so, we evaluate the effect of different splits between labelled seeds and cluster centroids for MPCKM clustering with centroid-based label propagation for different sizes of n. The results obtained for n = 100, 150, 200, 250 are shown in the curves of Table 3; plotted on the x-axis is the percentage of annotation steps used as seeds. The curves cover distributions from 0 seeds (n clusters) to n-10 seeds (10 clusters).

Unsurprisingly, we see that a higher overall number of annotated data yields a better clustering performance. As an interesting result of the experiment, we observe that the curves peak always between 75 and 80% of annotated data used as seeds, i.e., we profit more from adding more seeds then from adding more clusters.

## 5.4. Experiment 3: Comparison with Unsupervised Dimensionality Reduction

In Experiment 1, we used labeled seeds for supervised attribute selection. The clustering literature, however, also proposes unsupervised dimensionality reduction methods (Alelyani et al., 2013). Since this might have a similar effect without using any seeds, we compare our results on supervised feature selection from Experiment 1 to two methods of unsupervised feature selection. Principal Component Analysis (PCA, (Pearson, 1901)) is a dimensionality reduction technique that converts high-dimensional data into a smaller number of independent variables. We performed PCA using the t-SNE toolkit (van der Maaten and Hinton, 2008) for the ASAP dataset, reducing it to 500 features. As a second option, we consider feature selection by frequency, following the rationale that features occurring in only a few items are less helpful: in the frequency-filtered feature set condition, we only use features that occur in at least 20 answers.

First, we compare whether these two feature selection methods are beneficial for unsupervised k-means clustering, i.e., we compare to the unsupervised baseline  $KM_{all}$  with 150 cluster from Experiment 1 that uses all features. To account for the fact that metric learning as used in the MPCKM algorithm might be beneficial even in the absence of constraints, we also evaluate using metric learning without pairwise constraints (MKM). Results are presented in the second and third column of Table 4.

We see that neither of the unsupervised feature selection methods helps for  $KM_{all}$ . We also see that metric learning, which was beneficial in combination with constraints

features	$\mathrm{KM}_{all}$	MKM	MPCKM
all features	0.504		0.566
PCA frequency-filtered	0.323 0.500	0.317 0.489	0.374

Table 4: Unsupervised feature selection for two versions of completely unsupervised clustering: k-means (KM) and k-means with metric learning (MKM) and unsupervised feature selection as a preprocessing step for semi-supervised clustering (MPCKM).

in Experiment 1, does not help here: MKM performance decreases compared to  $KM_{all}$ . PCA shows in general a much worse performance on both the  $KM_{all}$  and MKM conditions.

Next we explore whether a combination of unsupervised feature reduction with *semi-supervised clustering* helps. To do that we run the MPCKM algorithm from Experiment 1 including supervised feature selection, but with each of the two unsupervised feature reduction methods as a preprocessing step. We can see in the last column of Table 4 that we do not beat our previous results using PCA, but reach very similar results with frequency-reduced features. Such unsupervised feature selection methods thus provide the additional benefit of reducing runtime substantially, and we will investigate them in future work.

#### 5.5. Experiment 4: Reusing Seeds for Label Propagation

In this experiment, we examine how seeds selected before clustering can be reused for labelling cluster centroids after clustering. In experiments 1 to 3, we have selected the seeds for feature selection and constraints randomly; and by chance some seeds will overlap with cluster centroids, which have to be labeled for label propagation. Our goal in this experiment is to select seeds in such a way that they will have a higher overlap with the cluster centroids. For random seed selection and our setting with 40 clusters and 110 seeds out of 1000 answers, we can expect to find on average 11% of the cluster centroids among the seeds, i.e., on average 4.4 out of 40 centroids.

We increase this random overlap through an informed iterative selection of seeds. We start with a small set of 20 initial seed items for clustering. We then select one new seed at a time based on the previous clustering, recluster, and repeat this procedure until 110 seeds (as in experiment 1) are reached. We use a sampling strategy inspired by *diversity* sampling in AL, cf. (Brinker, 2003) where the goal is to cover the complete feature space. In order to cover as many clusters as possible by our seeds, we select the cluster with the lowest frequency of labeled items (and the bigger one in case of ties) to choose the new seed for the next iteration. In order to get a good representative for that cluster that will be reusable in label propagation, we choose the item closest to the centroid as the next one to be labelled. To avoid artifacts of randomization, we average all results over 5 random seed sets per prompt.

creases the overlap between seeds and cluster centroids to on average 11; the actual clustering performance does not differ substantially from random sampling. Those saved 12 human annotation steps can of course be used as additional seeds in our assumed setup of 150 available human annotation steps. We thus use an additional annotation setup where we keep adding seeds using diversity sampling until the total number of labeling steps reaches or surpasses a fixed number of labeling steps for the first time. (As the number of actually labeled data does not always increase completely linearly in each sampling step, we adapted this value to 148 instead of 150 in order to make sure that we do not label on average more than 150 items.) In that setup, we get some further performance improvement up to on average 0.577, our overall best result for 150 human annotation steps.<sup>3</sup>

#### 6. Conclusion

In this paper, we have examined semi-supervised clustering methods for short answer scoring in a scenario where a set of items has to be graded with a fixed limited amount of human annotations. We have shown how this limited effort can best be used in the form of seeds for feature selection and constraints and post clustering for centroid-based label propagation. We have found that using MPCKM clustering with pairwise CL constraints and metric learning combined with supervised feature selection brings a large performance boost that (i) cannot be reached using unsupervised methods alone and (ii) comes closer to the performance of supervised machine learning methods. Selecting seeds based on diversity additionally reduces human effort as such seeds can be efficiently used for label propagation without having to label new examples.

As direction for future work, we will also explore the usage of different similarity metrics such as sentence similarity of answers pairs, which are potentially highly useful for clustering but not applicable in an ML-based approach.

#### Acknowledgments

This work has been funded by the Cluster of Excellence "Multimodal Computing and Interaction" of the German Excellence Initiative.

#### 7. Bibliographical References

- Alelyani, S., Tang, J., and Liu, H. (2013). Feature selection for clustering: A review. In *Data Clustering: Algorithms and Applications*, pages 29–60.
- Amigó, E., Gonzalo, J., Artiles, J., and Verdejo, F. (2009). A comparison of extrinsic clustering evaluation metrics based on formal constraints. *Inf. Retr.*, 12(4):461–486, August.
- Basu, S., Banerjee, A., and Mooney, R. J. (2002). Semisupervised clustering by seeding. In *Proceedings of the Nineteenth International Conference on Machine Learning*, ICML '02, pages 27–34, San Francisco, CA, USA. Morgan Kaufmann Publishers Inc.

We find that selecting seeds through diversity sampling in-

 $<sup>^{3}</sup>$ We also investigated a more extreme reusing strategy that reuses any seed contained in a cluster for label propagation (not just the centroid), but found it to be less effective, potentially, because less prototypical items are used for label propagation.

- Basu, S., Jacobs, C., and Vanderwende, L. (2013). Powergrading: A clustering approach to amplify human effort for short answer grading. *Transactions of the Association for Computational Linguistics*, 1:391–402.
- Bilenko, M., Basu, S., and Mooney, R. J. (2004). Integrating constraints and metric learning in semi-supervised clustering. In *Proceedings of the Twenty-first International Conference on Machine Learning*, ICML '04, pages 11–, New York, NY, USA. ACM.
- Brinker, K. (2003). Incorporating diversity in active learning with support vector machines. In *In Proceedings of the 20th International Conference on Machine Learning*, pages 59–66. AAAI Press.
- Brooks, M., Basu, S., Jacobs, C., and Vanderwende, L. (2014). Divide and correct: Using clusters to grade short answers at scale. In *Proceedings of the First ACM Conference on Learning @ Scale Conference*, L@S '14, pages 89–98, New York, NY, USA. ACM.
- Burrows, S., Gurevych, I., and Stein, B. (2014). The eras and trends of automatic short answer grading. *International Journal of Artificial Intelligence in Education*, 25(1):60–117, October.
- Cohen, J. (1968). Weighted kappa: nominal scale agreement with provision for scaled disagreement or partial credit. *Psychol Bull.*, (70):213–220.
- Hall, M., Frank, E., Holmes, G., Pfahringer, B., Reutemann, P., and Witten, I. H. (2009). The WEKA Data Mining Software: An Update. *SIGKDD Explor. Newsl.*, 11(1):10–18, November.
- Heilman, M. and Madnani, N. (2015). The impact of training data on automated short answer scoring performance. *Silver Sponsor*, pages 81–85.
- Higgins, D., Brew, C., Heilman, M., Ziai, R., Chen, L., Cahill, A., Flor, M., Madnani, N., Tetreault, J. R., Blanchard, D., Napolitano, D., Lee, C. M., and Blackmore, J. (2014). Is getting the right answer just about choosing the right words? the role of syntactically-informed features in short answer scoring. *Computation and Language*.
- Horbach, A. and Palmer, A. (2016). Investigating active learning for short-answer scoring. In *Proceedings of BEA 2016*, pages 629–637.
- Horbach, A., Palmer, A., and Wolska, M. (2014). Finding a tradeoff between accuracy and rater's workload in grading clustered short answers. In *Proceedings of the 9th Language Resources and Evaluation Conference* (*LREC*), pages 588–595, Reykjavik, Iceland.
- Lloyd, S. P. (1982). Least squares quantization in pcm. *IEEE Transactions on Information Theory*, 28:129–137.
- Meurers, D., Ziai, R., Ott, N., and Kopp, J. (2011). Evaluating answers to reading comprehension questions in context: Results for german and the role of information structure. In *Proceedings of the TextInfer 2011 Workshop on Textual Entailment*, pages 1–9, Edinburgh, Scottland, UK. Association for Computational Linguistics.
- Mohler, M., Bunescu, R., and Mihalcea, R. (2011). Learning to grade short answer questions using semantic similarity measures and dependency graph alignments. In *Proceedings of the 49th Annual Meeting of the Associ*-

ation for Computational Linguistics: Human Language Technologies - Volume 1, HLT '11, pages 752–762, Stroudsburg, PA, USA. Association for Computational Linguistics.

- Pearson, K. (1901). On lines and planes of closest fit to systems of points in space. *Philosophical Magazine*, 2(6):559–572.
- Settles, B. (2010). Active learning literature survey. University of Wisconsin, Madison, 52(55-66):11.
- Sukkarieh, J. Z. and Pulman, S. G. (2005). Information extraction and machine learning: Auto-marking short free text responses to science questions. In Artificial Intelligence in Education - Supporting Learning through Intelligent and Socially Informed Technology, Proceedings of the 12th International Conference on Artificial Intelligence in Education, AIED 2005, July 18-22, 2005, Amsterdam, The Netherlands, pages 629–637.
- Tandalla, L. (2012). Scoring short answer essays.
- van der Maaten, L. and Hinton, G. (2008). Visualizing high-dimensional data using t-sne.
- Zesch, T., Heilman, M., and Cahill, A. (2015). Reducing annotation efforts in supervised short answer scoring. In *Proceedings of the Building Educational Applications Workshop at NAACL*.