

## Using Video to Automatically Detect Learner Affect in Computer-enabled Classrooms

NIGEL BOSCH, University of Notre Dame

SIDNEY K. D'MELLO, University of Notre Dame

JACLYN OCUMPAUGH, Teachers College, Columbia University

RYAN S. BAKER, Teachers College, Columbia University

VALERIE SHUTE, Florida State University

Affect detection is a key component in intelligent educational interfaces that respond to students' affective states. We use computer vision and machine learning techniques to detect students' affect from facial expressions (primary channel) and gross body movements (secondary channel) during interactions with an educational physics game. We collected data in the real-world environment of a school computer lab with up to thirty students simultaneously playing the game, while moving around, gesturing, and talking to each other. The results were cross-validated at the student level to ensure generalization to new students. Classification accuracies, quantified as area under the receiver operating characteristic curve (AUC), were above chance (AUC of 0.5) for all the affective states observed, namely boredom (AUC = .610), confusion (AUC = .649), delight (AUC = .867), engagement (AUC = .679), frustration (AUC = .631), and for off-task behavior (AUC = .816). Furthermore, the detectors showed temporal generalizability in that there was less than a 2% decrease in accuracy when tested on data collected from different times of the day and from different days. There was also some evidence of generalizability across ethnicity (as perceived by human coders) and gender, although with a higher degree of variability attributable to differences in affect base rates across subpopulations. In summary, our results demonstrate the feasibility of generalizable video-based detectors of naturalistic affect in a real-world setting, suggesting that the time is ripe for affect-sensitive interventions in educational games and other intelligent interfaces.

Categories and Subject Descriptors: **H.1.2 [Models and Principles]:** User/Machine Systems

General Terms: Affective Computing, Computer Vision, User Modeling

Additional Key Words and Phrases: Affect detection, generalization, naturalistic facial expressions, classroom data, in the wild

### ACM Reference Format:

Nigel Bosch, Sidney K. D'Mello, Jaclyn Ocumpaugh, Ryan S. Baker, and Valerie Shute, 2016. Using video to automatically detect learner affect in computer-enabled classrooms. *ACM Trans. Interactive Intelligent Syst.* X, X, Article XX (Month 2016), X pages.

---

This research was supported by the National Science Foundation (NSF) (DRL 1235958) and the Bill & Melinda Gates Foundation. Any opinions, findings and conclusions, or recommendations expressed in this paper are those of the authors and do not necessarily reflect the views of the NSF or the Bill & Melinda Gates Foundation.

Author's addresses: N. Bosch, Department of Computer Science, University of Notre Dame; S. D'Mello, Departments of Computer Science and Psychology, University of Notre Dame; J. Ocumpaugh, Department of Human Development, Teachers College, Columbia University; R. Baker, Department of Human Development, Teachers College, Columbia University; V. Shute, Department of Educational Psychology and Learning Systems, Florida State University.

Permission to make digital or hardcopies of part or all of this work for personal or classroom use is granted without fee provided that copies are not made or distributed for profit or commercial advantage and that copies show this notice on the first page or initial screen of a display along with the full citation. Copyrights for components of this work owned by others than ACM must be honored. Abstracting with credits permitted. To copy otherwise, to republish, to post on servers, to redistribute to lists, or to use any component of this work in other works requires prior specific permission and/or a fee. Permissions may be requested from Publications Dept., ACM, Inc., 2 Penn Plaza, Suite 701, New York, NY 10121-0701 USA, fax +1 (212) 869-0481, or [permissions@acm.org](mailto:permissions@acm.org).

© 2010 ACM 1539-9087/2010/03-ART39 \$15.00

DOI: <http://dx.doi.org/10.1145/0000000.0000000>

## 1. INTRODUCTION

Learning is not a mere cognitive endeavor but an affectively charged experience [Calvo and D’Mello 2011; D’Mello 2013]. Affective states like confusion, frustration, boredom, anxiety, curiosity, engagement, and happiness occur continually throughout the learning experience. The affective states are not merely incidental. They indirectly influence learning by modulating cognition in multiple ways [Clare and Huntsinger 2007]. An effective learning agent, be it human or computer, should foster affective states that are beneficial to learning, such as engaged concentration, interest, and curiosity. It should also minimize the occurrence of states that can interfere with learning, such as boredom and despair.

A human teacher or tutor can observe students’ affect (cf. [Lepper et al. 1993]) and can use that information to determine how to adjust the pace or content of learning materials. Can our intelligent learning environments do the same? Some initial progress toward affect-sensitive (or affect-aware) learning technologies has occurred in laboratory settings (see [D’Mello et al. 2014] for a recent review). But it is time to consider affect-sensitivity in contexts where everyday learning occurs – in classrooms, in a school computer lab, in homes, or in the library. This is the long-term goal of this work. One initial challenge that we consider here is the task of detecting affective states in noisy contexts.

Affect can be detected from multiple data streams. For example, interaction data (e.g., speed of actions performed in an interface, number of help requests) [Baker et al. 2012], facial expressions [Bosch et al. 2014; Kapoor and Picard 2005], posture [Mota and Picard 2003], and other data sources have been used to detect students’ affective states (see [Calvo and D’Mello 2010; Zeng et al. 2009; Calvo et al. 2015] for reviews). Facial features are attractive for affect detection because there is a well-studied link between facial features and affective states [Ekman et al. 1980; Reisenzein et al. 2013], face-based affect detectors are likely to generalize across different learning technologies (unlike interaction-based detectors), and they do not require expensive hardware as webcams are ubiquitous on laptops and mobile devices. Therefore, we focus on video to detect affective states from facial features (primary channel) and body movements (secondary channel).

First, face-based affect detection has been extensively researched (see [Calvo and D’Mello 2010; Zeng et al. 2009] for reviews), but most of the work has occurred outside of learning contexts and mainly in laboratory settings (see exceptions discussed below). Laboratory environments have the advantage of relatively consistent lighting, which facilitate computer vision methods, and are free from distractions from other people, cell phones, etc. Further, motion, unusual head pose, and face-occluding gestures are much more difficult to control in the wild compared to the lab, thereby introducing additional challenges.

Second, much of the previous work on face-based affect detection has focused on the so-called “basic emotions” [Ekman 1992] of anger, fear, sadness, happiness, disgust, and surprise (see reviews in [D’Mello and Calvo 2013; Calvo and D’Mello 2010]). However, a recent meta-analysis of 24 studies indicated that these basic emotions are quite infrequent during short (30-90 mins) learning sessions with technology [D’Mello 2013]. Instead, affective states such as engagement, boredom, confusion, frustration, happiness, curiosity, and anxiety were much more frequent. It is unclear if these “learning-centered” affective states can be detected as accurately as the basic emotions, where the links between emotion and expression have been investigated for decades [Ekman et al. 1980; Reisenzein et al. 2013]. Similar links

between facial expressions and learning-centered affective states are largely missing (see [McDaniel et al. 2007] for some initial work in this direction), and it is an entirely open question if such links even exist.

Third, there is more variability in the real-world, so generalization is a key issue that must be addressed. In particular, affect detectors may not generalize across time (time of day or from one day to the next) due to variations in lighting, level of activity, or affect itself (e.g., affect and behavior might be different early in the morning compared to late in the day). Groups of students may also exhibit distinct facial features due to demographic differences. For example, males and females typically have recognizably different facial structures, which could influence expression detection. Computer-vision techniques might also have different levels of fidelity when modeling facial landmarks (e.g., eyes [Li et al. 2007]) from individuals from different ethnicities (especially in visible light; for example, when using a webcam [Kong et al. 2005]). In general, overfitting is a concern whenever training and testing data share some systematic bias. Here, we focus on generalization across time (days and class periods) and across demographics (gender and perceived ethnicity).

We take on these three challenges in the development of an automated face-based detector of affective states that occur during learning with technology in the noisy context of a computer-enabled classroom.

## 2. RELATED WORK AND OVERVIEW OF CURRENT STUDY

There is a rich history on affect detection from facial features [Calvo and D’Mello 2010; Zeng et al. 2009]. To keep the scope of this review manageable, we focus on papers describing facial expression detection in the wild and papers on detecting learning-centered affective states from naturalistic as opposed to acted (posed) facial expressions. Although we also consider gross body movements extracted from video, the emphasis of this work and consequently the literature review is on facial features. Finally, we review available research on generalization of detectors across time and demographic factors.

### 2.1 Face-based Affect Detection in the Lab

In one early study, Kapoor and Picard [2005] used face- and posture- based features to detect student interest in the lab. Facial features, such as automatically-detected head nods, shakes, and smiles, were combined with posture features from a pressure-sensitive chair and features from the learning environment. They classified interest/disinterest with an 87% accuracy (chance being 52%). Further, Kapoor et al. [2007] used facial features, a pressure-sensing chair, a pressure-sensitive mouse, a skin conductance sensor, and interaction log data to predict when a user would self-report frustration with 79% accuracy (chance being 58%). This early work shows the potential of detecting learning-centered affective states like interest and frustration, albeit in the lab.

Hoque et al. [2012] used facial features to distinguish between frustrated and delighted smiles with an accuracy of 92%. They also found key differences between acted and naturalistic facial expressions. In acted data, only 10% of frustrated expressions included a smile, whereas smiles were present in 90% of the naturalistic expressions of frustration, which corroborates an earlier finding [McDaniel et al. 2007]. These results illustrate that there can be large differences between naturalistic and acted data, which is significant because natural instead of acted expressions are more likely to occur in real-world contexts.

More recently, Whitehill et al. [2014] used Gabor features (appearance-based features capturing edges and textures of various parts of the face) to detect behavioral engagement as students used cognitive skills training software. They were able to detect engagement as judged by human annotators at rates substantially greater than chance. Specifically, they reported an average AUC (area under the receiver operating characteristic curve) of .729 compared to a chance-level AUC of .5.

Gabor features have also been used for detection of Action Units (AUs), which refer to activation of specific facial muscles (e.g., lowered brow) [Ekman and Friesen 1978]. As noted in [Senechal et al. 2014], detecting action units can be a useful intermediate dimensionality reduction step toward detecting affective states as features derived from AUs range in the tens to hundreds compared to the much larger numbers of Gabor features or other lower-level features (e.g., local binary pattern features). There has also been considerable progress in automatic detection of AUs from video [Valstar et al. 2012; Girard et al. 2015]. For example, the Computer Expression Recognition Toolbox (CERT) [Littlewort et al. 2011] can automatically detect AUs as well as head pose and head position information. CERT uses Gabor features as inputs to SVMs that provide likelihood estimates of the presence of 20 different AUs on a frame-by-frame basis. CERT has been tested with databases of both posed and spontaneous facial expressions, achieving accuracies of 90.1% and 79.9% respectively for discriminating between presence vs. absence of AUs [Littlewort et al. 2011].

Grafsgaard et al. [2013] achieved modest results ( $R^2 = .24$ ) in using CERT to predict self-reported (on a Likert scale) frustration during a learning session. They did not perform frustration detection at a fine-grained level (i.e. specific affective episodes), instead detecting the presence of frustration across the entire learning session. They also verified that there was moderate agreement (Cohen's kappa of .68 or higher) between CERT AU estimates and human-coded AUs after correcting for individual differences in facial features (e.g., eyebrows appear raised even in a neutral expression for some students but not others).

In another study, Bosch and D'Mello [2014] demonstrated the effectiveness of CERT features for affect detection when novices learned the basis of computer programming from a computerized learning environment. They were able to detect confusion and frustration at levels above chance (22.1% and 23.2% better than chance, respectively), but accuracy was much lower for other states (11.2% above chance for engagement; 3.8% above chance for boredom).

In summary, these studies show that it is possible to automatically detect learning-centered affective states from video. However, they were conducted with the high degree of control afforded by the laboratory, so applicability to real-world contexts is unknown. There has been some recent work on affect detection in more real world contexts, as reviewed below.

## 2.2 Face-based Affect Detection in the Wild

The Affectiva-MIT Facial Expression Dataset (AM-FED) [McDuff et al. 2013] contains videos of participants recorded in their personal environments. Participants watched Super Bowl commercials which were likely to elicit smiles, which could be detected quite accurately (AUC = .90). The authors were also able to detect whether viewers liked the commercials (AUC = .82) and wanted to view them again (AUC = .79) [McDuff et al. 2014]. They also found that appearance-based features yielded

higher accuracy than geometric features. This is likely due to the fact that precisely locating the shape of facial landmarks was more difficult than simply extracting textures from regions of the face in the noisy AM-FED data set. We also used appearance-based features for AU detection, which is presumably more appropriate for a noisy real-world context.

In a somewhat similar vein, Hernandez et al. [2012] used computer vision techniques to detect smiles collected from cameras in various buildings on a college campus. They found expected patterns, such as more smiles on weekends and holidays, suggesting that visible affect might be influenced by temporal and seasonal factors, thereby highlighting the importance of temporal generalizability for affect detectors.

The Emotion Recognition in the Wild Challenge [Dhall et al. 2013] is an effort to create a common benchmark to test audio and visual affect detection techniques. The challenge used the *Acted Facial Expressions in the Wild* (AFEW) database, which was compiled using movie clips. These professionally acted clips raise some concerns due to well-known differences between acted and naturalistic expressions, as discussed above. Nevertheless, recent advancements in computer vision techniques (such as deep neural networks [Kahou et al. 2013]) were successful for the AFEW data set and may prove useful in the present context as well.

In perhaps the study most closely related to our work, Arroyo et al. [2009] tracked self-reported affect of high school math students and college students taking a math for elementary teachers class. They simultaneously recorded facial features, posture, skin conductance, mouse movements, and contextual information from log-files. Their best models explained 52% of the variance ( $R^2$ ) for confidence, 46% for frustration, 69% for excitement, and 29% for interest in predicting self-reported affect on Likert scales. Although this research suggests that it is possible to perform automated affect detection in a classroom, this conclusion should be interpreted with a modicum of caution. This is because the models were not validated with a separate testing set (i.e. no cross validation was performed), and the data sets were small (20-36 instances depending on model) due to missing data. These issues raise concerns of overfitting to the training data.

### 2.3 Temporal and Demographic Generalization of Affect Detectors

Most of the work on temporal generalization has focused on physiological signals (e.g., skin conductance and heart rate) with the general finding of degraded affect detection accuracy when training on data from one day and testing on another [AlZoubi et al. 2011; Picard et al. 2001]. In a classic study, Picard et al. [2001] found that physiological data were more tightly clustered by affective state within a day than across days. Generalization issues were due in part to physical differences from day to day, such as a change in resting heart rate and skin conductance – factors related to mood, physical exercise, and so on. Efforts have been made to improve generalization of physiology-based detectors across time [AlZoubi et al. 2011; AlZoubi et al. 2015], but it is not clear whether such measures will also be necessary for face-based affect detectors.

Ocuppaugh et al. [Ocuppaugh et al. 2014] created affect detectors using log file data from three different demographics: urban, suburban, and rural students. They found that detectors built using data from all three groups worked well (average AUC = .65) but detectors trained on one group and applied to another did not

(average AUC = .52). Thus they demonstrated that their log-based affect detectors did not generalize well across demographics.

There has been some recent work on generalization of face-based detectors across demographics. Grafsgaard et al. [2015] examined differences between middle school and college students with respect to facial expressions. They found AUs that were predictive of self-efficacy in both student groups, but also found that AU12 (lip corner puller, i.e. smile) and AU5 (upper lid raiser) were predictive of self-efficacy in middle school students but not college students. This work demonstrated that there were differences in facial expressions between age groups, and raises the question of what differences might exist between other groups of students.

Whitehill et al. [2014] also investigated generalization across ethnicities in a separate sample. Their training set consisted of 26 black students from a Historically Black College/University, while the generalization test set was eight Caucasian-Americans and Asian-Americans. Training on black students and testing on Caucasian and Asian students resulted in an AUC of .691, which was lower than training and testing on the same ethnicity (i.e. black; AUC = .729). Thus, they demonstrated above-chance but slightly reduced detection accuracy across ethnicity. However, their testing set was small, they only considered engagement, and they tested only one direction of generalization (Caucasian + Asian  $\rightarrow$  Black).

## 2.4 Interim Discussion and Current Study

The literature review revealed studies that focus on face-based detection of naturalistic affective states. Many of these studies consider learning-centered affect. However, these studies have been conducted within controlled lab contexts, so it is unclear if the results will generalize to the wild. This is because conditions in lab-based studies are typically tightly controlled in an effort to reduce outside influences. Of course, such control is not attainable or even desirable in the real-world. Researchers have also begun to take some steps toward affect detection in the wild. However, these studies mainly focus on detecting facial expressions rather than affective states [Hernandez et al. 2012; McDuff et al. 2013], are still in need of cross-validation [Arroyo et al. 2009], or study acted instead of naturalistic affect [Dhall et al. 2013]. Aside from physiology, temporal generalization of face-based affect detectors is currently an open question. Similarly, generalization of face-based affect detectors across demographics is not well explored.

The present study considers, for the first time, the face-based detection of learning-centered affective states in the wild with an eye for temporal and demographic generalizability.<sup>1</sup>

## 3. METHOD

### 3.1 Data Collection

Training data consisting of affect labels (for supervised learning) and face videos were recorded while students interacted with an educational physics game called Physics Playground (formerly Newton's Playground; [Shute et al. 2013]) in their school's computer lab.

<sup>1</sup> This paper expands on previously published work [Bosch, D'Mello, Baker, Ocumpaugh and Shute 2015; Bosch, D'Mello, Baker, Ocumpaugh, Shute, et al. 2015], with additional analyzes on generalization across time and new analyses of demographic generalization.

**Participants.** The sample consisted of 137 8<sup>th</sup> and 9<sup>th</sup> grade students (57 male, 80 female) who were enrolled in a public school in a medium-sized city in the Southeastern U.S. They were tested in groups of about 20 students per class period for a total of four periods on different days (55 minutes per period). Students in the 8<sup>th</sup> and 9<sup>th</sup> grades (predominately 13-15 years old) were selected because of the alignment between Physics Playground content and State Standards (relating to Newtonian physics) at those grade levels.

**Interface.** Physics Playground is a two-dimensional game that requires the player to apply principles of Newtonian physics in an attempt to guide a green ball to a red balloon (key goal) in many challenging configurations. The player can nudge the ball to the left and right (if the surface is flat) but the primary way to move the ball is by drawing/creating simple machines (which are called “agents of force and motion” in the game) on the screen that “come to life” once the object is drawn (example in Fig. 1). Thus, the problems in Physics Playground require the player to draw/create four different types of agents (which are simple machine-like objects): inclined plane/ramps, pendulums, levers, and springboards. All solutions are drawn with colored lines using the mouse. Everything in the game obeys the basic laws of physics relating to gravity and Newton’s three laws of motion.

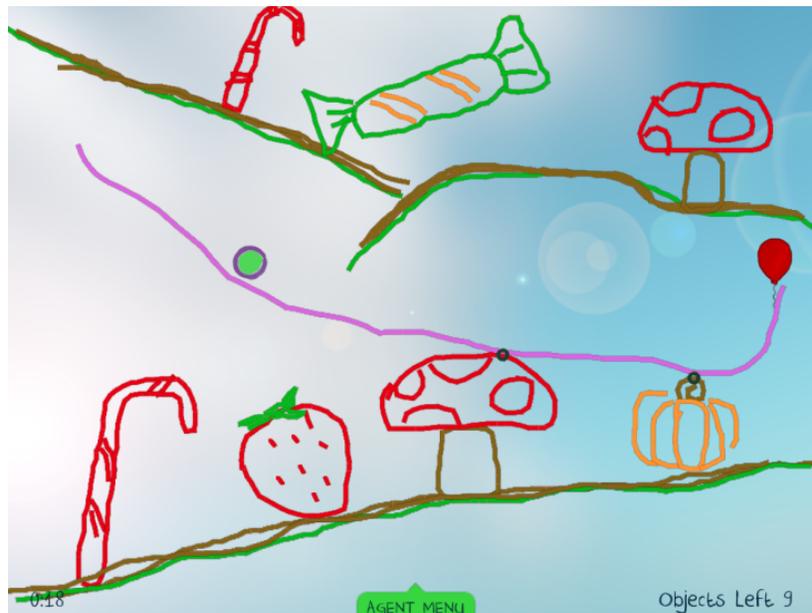


Fig. 1. Ramp solution for a simple Physics Playground problem.

**Procedure.** The study took place in one of the school’s computer-enabled classrooms, which was equipped with about 30 desktop computers for schoolwork. Each computer was equipped with a monitor, mouse, keyboard, webcam, and headphones. Inexpensive webcams (\$30) were affixed at the top of the monitor on each computer. At the beginning of each session, the data collection software allowed students to position their faces in the center of the camera’s field of view by adjusting the camera angle up or down. This process was guided by on-screen instructions and verbal instructions given by the experimenters, who were also available to answer any additional questions and to troubleshoot any problems.

We administered a qualitative physics pretest during the first day and a posttest at the end of the fourth day (both online). In this study we consider data from the second and third days (roughly 2 hours total) when students were only playing the game for the full 55 minutes and not being tested. Students' affective states and on-task vs. off-task behaviors were observed during their interactions with Physics Playground using the Baker Rodrigo Ocumpaugh Monitoring Protocol (BROMP) field observation system as detailed below [Ocumpaugh, Baker and Rodrigo 2015]. These observations served as the labels used in training the automated detectors.

The affective states of interest were boredom, confusion, delight, engaged concentration, and frustration. These states were selected based on previous research showing their frequency during learning [D'Mello 2013] and from qualitative observations of students during the first day of data collection (these data were not used in the models presented here). In addition to affect, the students' behaviors were coded as *on task* when they were looking at their own computers, *on-task conversation* when conversing with other students about the game or asking relevant questions, and *off task* in other situations (e.g., task-unrelated conversation, watching other students without conversation, using a cellphone).

**BROMP.** In BROMP trained observers perform live affect and behavior annotations by observing students as they interact with educational software. Students are observed one at a time using a round-robin technique involving observing one student until visible affect is detected or 20 seconds have elapsed, then moving on to the next student in a predetermined order. The frequency of observations per student varied between class periods depending on the number of students in the class (12-30). Observers use side glances to make a holistic judgment of a student's affect and on-task/off-task behavior based on facial expressions, speech, body posture, gestures, and the student's interaction with the computer program (e.g., whether the student is progressing or struggling). Observers record students in a pre-determined order to maintain a representative sampling of students' affect, rather than focusing on the most interesting (but not most prevalent) events. The BROMP observers were trained and tested on the protocol and achieved sufficient agreement (Cohen's kappa  $\geq .6$ ) with a certified BROMP observer before coding the data. The same observers coded each day.

The coding process was implemented using the HART application for Android devices [Ocumpaugh, Baker, Rodrigo, et al. 2015], which enforces the protocol while facilitating data collection. Observations recorded in HART were synchronized with the videos recorded on the individual computers using Internet time servers.

We should note that there are many possible affect annotation schemes, each with their strengths and weaknesses, as reviewed in [Porayska-Pomsta et al. 2013]. BROMP was selected because it has been shown to achieve adequate reliability for annotating the affective states of a large number of students (among over 150 coders in over a dozen studies with a variety of learning environments have been certified [Ocumpaugh, Baker and Rodrigo 2015]). Further, BROMP captures affective states occurring in the "heat of the moment" while minimizing interruptions from asking students to self-report affect.

### 3.2 Instances of Affect Observed

Situations arose where students could not be easily observed (e.g., bathroom breaks, occlusions caused by hand to face gestures) or where the observer was not confident about an observation. Affect could not be observed in 8.1% of cases while on-task/off-

task behavior could not be observed in 2.8% of cases. We obtained 1,767 successful observations of affective states and 1,899 observations of on-task/off-task behavior during the two days of data used in this study. The most common affective state was engaged concentration (engagement for short – 77.6%), followed by frustration (13.5%), boredom (4.3%), delight (2.3%), and confusion (2.3%). On-task behavior occurred 74.2% of the time, on-task conversation occurred 20.9% of the time, and off-task behavior occurred 4.9% of the time.

### 3.3 Model Building

**Feature Engineering.** We used FACET (no longer publicly available), a commercialized version of the CERT computer vision software (Fig. 2), for facial feature extraction. FACET provides likelihood estimates of the presence of 19 AUs (1, 2, 4, 5, 6, 7, 9, 10, 12, 14, 15, 17, 18, 20, 23, 24, 25, 26, and 28 [Ekman and Friesen 1978]) as well as head pose (orientation), face size, gender, and eyewear. It also provides measures of unilateral (one side of the face only) AUs for three action units, as well as “Fear Brow” and “Distress Brow,” which indicate the presence of combinations of AU1 (Inner Brow Raiser), AU2 (Outer Brow Raiser), and AU4 (Brow Lowerer). Data from FACET were temporally aligned with affect observations in small windows of time. Features were created by aggregating FACET estimates in a window of time leading up to each BROMP observation using maximum, median, and standard deviation. We tested five different window sizes (3, 6, 9, 12, and 20 seconds). For example, we computed three features pertaining to AU4 (brow lower) by taking the maximum, median, and standard deviation of the frame-level AU4 likelihoods within the six seconds leading up to an affect observation. In all there were 78 facial features (3 aggregation functions  $\times$  [19 AUs + 3 head pose orientation axes + 2 face position coordinates + gender + eyewear]).

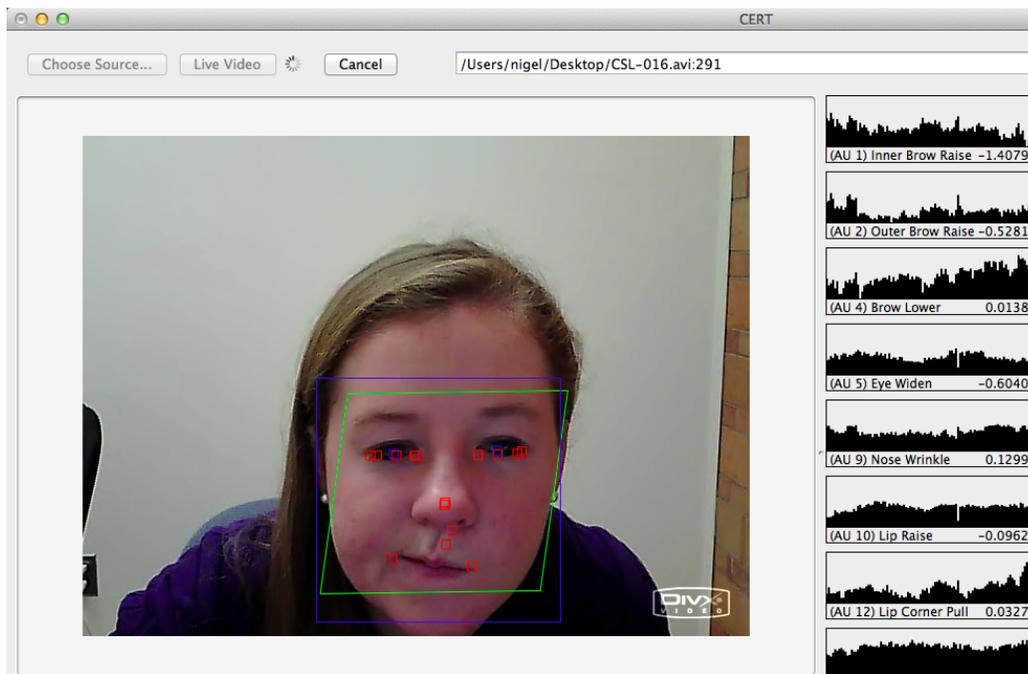


Fig. 2. CERT interface demonstrating AU estimations from a face video. AUs were used as features. Video was not from the current study due to privacy concerns.

About a third (34%) of the instances were discarded because FACET was not able to register the face and thus could not estimate the presence of AUs. We removed instances with less than 1 second (12.5 frames) of valid AU data. Poor lighting, extreme head pose or position, occlusions from hand-to-face gestures, and rapid movements were all causes of face registration errors. These issues were common due to the engaging nature of the game and the active behaviors of the young students.

We also computed gross body movement present in the videos using a motion estimation algorithm [Westlund et al. 2015]. Body movement was calculated by measuring the proportion of pixels in each video frame that differed by a threshold from a continuously updated estimate of the background image generated from the four previous frames (illustration in Fig. 3). We computed three body movement features using the maximum, median, and standard deviation of the gross body movement within the window of time leading up to an observation, similar to the method used to compute FACET features.

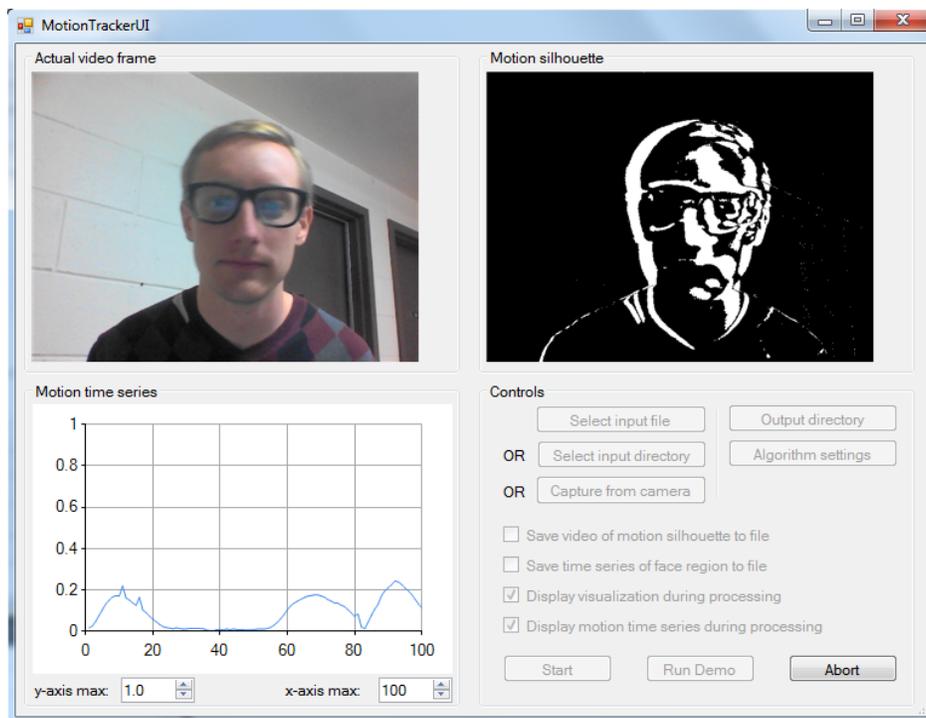


Fig. 3. Silhouette visualization of motion (used as a feature) detected in a video. Video was not from the current study due to privacy concerns.

We used tolerance analysis to eliminate features with high multicollinearity (variance inflation factor  $> 5$ ) [Allison 1999]. This was followed by RELIEF-F [Kononenko 1994] feature selection on the *training* data to rank features. We retained a proportion of the highest ranked features for use in the models (proportions of .1, .2, .3, .4, .5, and .75 were tested). Feature selection was performed using nested cross-validation on training data only. In particular, we ran 10 iterations of feature selection on the training data, using data from a randomly chosen 67% of students within the training set in each iteration.

**Supervised Learning.** We built separate detectors for each affective state in order to afford parameter optimization per state (e.g., window size, features used). This was done with a one-versus-other approach, where each affective state was discriminated from all others. For example, engagement was discriminated from frustration, boredom, delight, and confusion instances combined (collectively referred to as “other”). Behaviors were grouped into off task and on task (including on-task conversation).

There were large class imbalances in the distributions (e.g., .04 vs. .96 base rates in the boredom vs. other classification). We used two different sampling techniques (on training data only) to compensate for class imbalance. These included downsampling (removal of random instances from the majority class) and synthetic oversampling (with SMOTE [Chawla et al. 2011]). SMOTE creates synthetic training data by interpolating feature values between an instance and randomly chosen nearest neighbors. The distributions were not changed in the testing data.

Aside from the basic procedure discussed above, other details were specific to each classification task (baseline, temporal generalization, demographic generalization) as discussed in the subsequent sections.

#### 4. BASELINE CLASSIFICATION OF AFFECT

We built supervised classification models to discriminate between five affective states and off task vs. on task behavior. We used 14 different classifiers, including Bayesian classifiers, logistic regression, classification via clustering (with k-means), C4.5 trees, etc., using standard implementations from the Waikato Environment for Knowledge Analysis (WEKA) machine learning tool [Holmes et al. 1994].

##### 4.1 Cross-Validation for Baseline Classification

The detectors were cross-validated at the student level. Data from 67% of randomly-chosen students were used to train each classifier, while data from the remaining students were used to test accuracy. This method emphasizes generalization to new students since training and testing data are student-independent. Cross-validation was repeated 150 times for each model and the results were averaged across iterations.

##### 4.2 Results

The best results for affect and off-task detection are presented in Table I.

Table I. Details and results for baseline classification with all data.

Classification	AUC	Accuracy	Classifier	No. Instances	No. Features	Window Size (secs)
Boredom	.610	64%	Classification Via Clustering (k-means)	1305	20	12
Confusion	.649	74%	Bayes Net	1305	15	12
Delight	.867	83%	Updateable Naïve Bayes	1003	24	3
Engagement	.679	64%	Bayes Net	1228	51	9
Frustration	.631	62%	Bayes Net	1132	51	6
Off Task	.816	81%	Logistic Regression	1381	15	12

*Note.* *No. Instances* refers to the total number of positive and negative examples that were used to train the detector. This number varied because the window size differed between detectors. Shorter windows contain fewer video frames and are thus less likely to contain at least one second of valid data. Windows with less than one second of valid data were not used.

Accuracy (percentage correctly classified; i.e. recognition rate) varied widely. However, recognition rate is unsuitable when class distributions are skewed as in these data. For example, delight occurred 2.3% of the time, which means a one-versus-other detector that simply guesses “Other” for every instance would have a 97.7% recognition rate. Metrics such as Cohen’s Kappa are also unstable when class distributions are highly skewed [Jeni et al. 2013]. AUC is the recommended metric for skewed data and is used here as the primary measure of classification accuracy. AUCs, shown in Table I, were above chance (AUC = .5) for each affective state and for off-task behavior. Parameters of the classifiers represented in the best results were not varied, thus no classifier parameters were reported.

Of particular note is the fact that classification was successful despite large class imbalances. The confusion matrices shown in Table II reflect the fact that classifiers detected even the infrequent affective states. In particular, boredom, confusion, delight, and off-task behavior have base rates of less than 5%.

Table II. Confusion matrices for individual affect classifications in the baseline results.

Actual	Classified		Base Rate
	<b>Boredom</b>	<b>All Other</b>	
<b>Boredom</b>	.581 (hit)	.419 (miss)	.041
<b>All Other</b>	.361 (false alarm)	.639 (correct rejection)	.959
	<b>Confusion</b>	<b>All Other</b>	
<b>Confusion</b>	.415 (hit)	.585 (miss)	.027
<b>All Other</b>	.251 (false alarm)	.749 (correct rejection)	.973
	<b>Delight</b>	<b>All Other</b>	
<b>Delight</b>	.693 (hit)	.307 (miss)	.029
<b>All Other</b>	.166 (false alarm)	.834 (correct rejection)	.971
	<b>Engagement</b>	<b>All Other</b>	
<b>Engagement</b>	.655 (hit)	.345 (miss)	.747
<b>All Other</b>	.391 (false alarm)	.609 (correct rejection)	.253
	<b>Frustration</b>	<b>All Other</b>	
<b>Frustration</b>	.588 (hit)	.412 (miss)	.143
<b>All Other</b>	.374 (false alarm)	.626 (correct rejection)	.857
	<b>Off Task</b>	<b>All Other</b>	
<b>Off Task</b>	.645 (hit)	.355 (miss)	.046
<b>All Other</b>	.180 (false alarm)	.820 (correct rejection)	.954

*Note.* Base rates in these confusion matrices do not perfectly match the original base rates because instances were removed due to face detection failures (e.g., delight is 2.9% in the test set rather than 2.9% in the original observations).

Fig. 4 illustrates the overall effect of using SMOTE compared to using no balancing technique. We note that the mean hit (true positive) rate improves noticeably for detectors built with SMOTE, though with a slightly lower correct rejection rate. This is because the one-versus-other detectors trained without SMOTE are biased toward recognizing the majority class (i.e. “other” for all detectors except engagement). On the other hand, detectors built with SMOTE have equal numbers of both classes in the training data, so they are better trained to recognize the affective state of interest.



Fig. 4. Comparison of mean hit rates and correct rejection rates for the best baseline detectors built with and without using SMOTE, illustrating the increase in hit rate from using SMOTE.

We also investigated the relationship between window size and classification accuracy (see Fig. 5). Window size did not have much of an effect for boredom, engagement, and frustration (dotted lines), but it was relevant for confusion, delight, and off task behavior (solid lines). The accuracy decrease for larger windows sizes for delight vs. confusion may be due to the fact that delight expressions may last just a few seconds while confusion typically lasts longer [D’Mello and Graesser 2011]. The results also confirm that varying the window size for different affective states was an important consideration in many cases.<sup>2</sup>

<sup>2</sup> We also built models with a 20 second window. However, classification accuracy for those models was no better than the results reported here so they were not further analyzed.

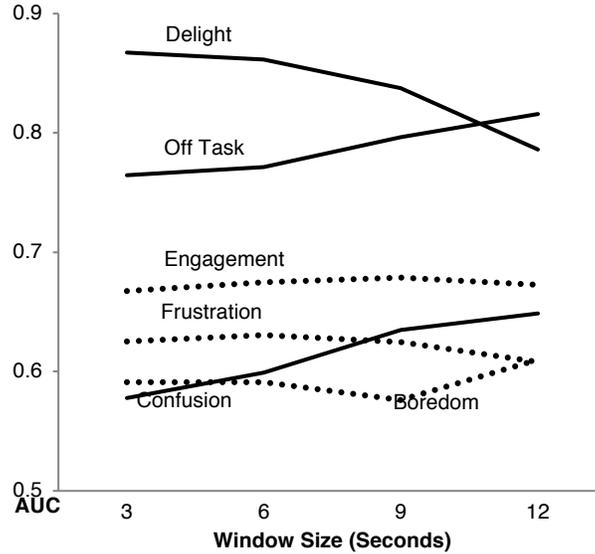


Fig. 5. Detection results across window sizes in the baseline results.

### 4.3 Feature Analysis

We report the ten most frequently selected features in each baseline model (Table III). Cohen’s  $d$ , computed as (mean within class – mean “other” class) / pooled standard deviation) provides an estimate of the effect size of that feature’s discriminability. We discuss features with at least small ( $d = .2$ ) effect sizes [Cohen 1988].

**Boredom.** Boredom was manifested by increases in body motion and AU17 (chin raise) and changes in apparent face size (i.e. distance from the screen) and yaw (side-to-side head motion). This suggests that students were likely moving away from the screen and looking side-to-side at other students’ computers when bored.

**Confusion.** Confusion was characterized by variation in yaw and several AUs. AU1 (inner brow raise), AU2 (outer brow raise), AU14 (dimple), AU17 (chin raise), and AU18 (lip pucker) all varied more during expressions of confusion. Raised eyebrows in particular may indicate students’ surprise at an unexpected event associated with confusion.

**Delight.** Effect sizes were large ( $d \geq .8$ ) for each of the 10 highest-ranked delight features. Magnitude and variation in motion predicted delight, as did pitch changes (head motion nodding up and down). Variation in AU6 (cheek raise), AU10 (upper lip raise), AU12 (lip corner pull), AU15 (lip corner depress), AU17 (chin raise), AU18 (lip pucker), and AU23 (lip tighten) were also associated with delight. These features might reflect students’ excited movement and smiles as they experienced delight.

**Engagement.** The largest effect size was  $d = .159$  (AU18, lip pucker). Students were engaged during most of the session (77.6%), so it is not a surprise that their facial expressions were fairly neutral for the majority of the time.

**Frustration.** Frustration was manifested by changes in motion, more presence of AU25 (lips part), and increased variation in AU1 (inner brow raise) and AU10 (upper lip raise). AU10 and AU25 together indicate bared teeth, perhaps related to a frustrated smile [McDaniel et al. 2007; Hoque et al. 2012].

**Off-task behavior.** Motion and variations in yaw and pitch were largely different ( $d \geq .8$ ) from on-task behavior. Variation in face size was also predictive of off-task

behavior, as were AU1 (inner brow raise), AU14 (dimple), AU20 (lip stretch), and AU28 (lip suck). The features might suggest that students were looking away from their own screens and moving their mouths (perhaps talking).

Table III. Cohen's  $d$  effect sizes for the inter-class difference of the 10 most frequently selected features' values in each baseline model.

Model	Cohen's $d$	Model	Cohen's $d$
<b>Boredom</b>		<b>Engagement</b>	
SD of yaw	0.402	Median AU18 (lip pucker)	0.159
Median motion	0.319	Median pitch	0.091
SD of face size	0.276	Median AU2 (outer brow raise)	-0.072
SD of motion	0.273	Median roll	0.061
Median AU17 (chin raise)	0.253	Median AU25 (lips part)	-0.052
SD of AU20 (lip stretch)	0.199	Median AU1 (inner brow raise)	-0.044
SD of estimated gender	0.170	Median yaw	0.036
Median AU1 (inner brow raise)	0.098	Median AU15 (lip corner depress)	-0.005
SD of AU14 (dimple)	0.056	Median AU9 (nose wrinkle)	-0.012
Median AU2 (outer brow raise)	0.045	Median AU10 (upper lip raise)	-0.016
<b>Confusion</b>		<b>Frustration</b>	
SD of yaw	0.402	SD of AU10 (upper lip raise)	0.417
SD of AU18 (lip pucker)	0.363	SD of motion	0.346
SD of AU1 (inner brow raise)	0.323	SD of AU1 (inner brow raise)	0.279
SD of AU17 (chin raise)	0.299	Median AU25 (lips part)	0.250
SD of AU2 (outer brow raise)	0.258	Median AU14 (dimple)	-0.158
SD of AU14 (dimple)	0.222	Median AU15 (lip corner depress)	0.080
Median AU1 (inner brow raise)	0.190	Median AU10 (upper lip raise)	-0.071
SD of face size	0.180	Median AU17 (chin raise)	0.050
Median AU2 (outer brow raise)	0.165	Median AU1 (inner brow raise)	0.049
SD of pitch	0.137	Median AU2 (outer brow raise)	0.012
<b>Delight</b>		<b>Off-task</b>	
SD of AU6 (cheek raise)	2.125	Median motion	1.241
Median motion	1.855	SD of yaw	1.112
SD of AU18 (lip pucker)	1.474	SD of pitch	0.830
SD of motion	1.364	SD of AU20 (lip stretch)	0.640
SD of pitch	1.355	SD of AU28 (lip suck)	0.616
SD of AU12 (lip corner pull)	1.336	SD of AU14 (dimple)	0.567
SD of AU23 (lip tighten)	1.065	SD of AU1 (inner brow raise)	0.471
SD of AU15 (lip corner depress)	1.044	SD of face size	0.433
SD of AU17 (chin raise)	0.981	Median yaw	0.195
SD of AU10 (upper lip raise)	0.929	Median AU1 (inner brow raise)	-0.027

## 5. TEMPORAL GENERALIZATION

We have demonstrated the feasibility of video-based affect detection in a noisy classroom environment with an emphasis on generalization to new students. In this section, we study temporal generalization in terms of different days and different class periods within a day. The procedure was similar to the baseline procedure discussed above with the following exceptions. First, we only used classifiers that were effective in the baseline results. These included Bayes Net, Updateable Naive Bayes, Logistic Regression, AdaBoost, Classification via Clustering, and LogitBoost. Second, we adopted a different cross-validation approach as detailed below.

### 5.1 Cross-day Generalization

We tested generalization across *days* with a nested cross-validation approach. First, data from one day were chosen as training data. Then, 67% of students were randomly selected from that day and their data were used to train a detector. This detector was tested using data from the remaining 33% of students on the opposite day (cross-day generalization: e.g., train on Day 1, test Day 2) or within the same day (within-day generalization: e.g., train on Day 1, test on Day 1). Student-level independence was also ensured as testing data always contained a different set of students from training data as illustrated in Fig. 6. The cross-validation process was repeated 150 times for each detector (train-test: Day 1-Day 1; Day 1-Day 2; Day 2-Day 1; Day 2-Day 2) and the results were averaged across iterations. The within-day results were averaged across both within-day detectors (e.g., train on Day 1, test on Day 1; train on Day 2, test on Day 2). Likewise, the cross-day results were obtained by averaging both cross-day detectors (train Day 1, test Day 2; train Day 2, test Day 1).

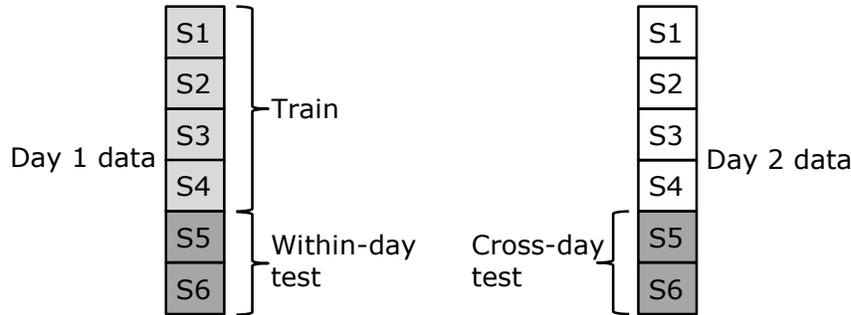


Fig. 6. Example of within-day and cross-day testing with student-level independence.

We compared cross-day classification accuracy to the baseline and within-day accuracies (Fig. 7). The key result was that cross-day affect detection accuracies (average AUC = .627) were similar (within 2%) to within-day accuracies (average AUC = .640). The largest drop occurred for confusion, but it was still small (AUC = .665 to .639; 2.61% of the range of AUC). Similarly, off-task behavior detection was not negatively impacted by cross-day testing compared to within-day testing.

Compared to the baseline, within-day affect detectors had nearly identical accuracy, while cross-day detectors had 1.51% lower accuracy. The decreased accuracy of cross-day detectors compared to the baseline may be attributable to the fact that the baseline detectors had the advantage of twice as much training data. The decreased accuracy of cross-day detectors compared to the within-day detectors

is likely due to differences in the data between days, which within-day detectors may overfit to.

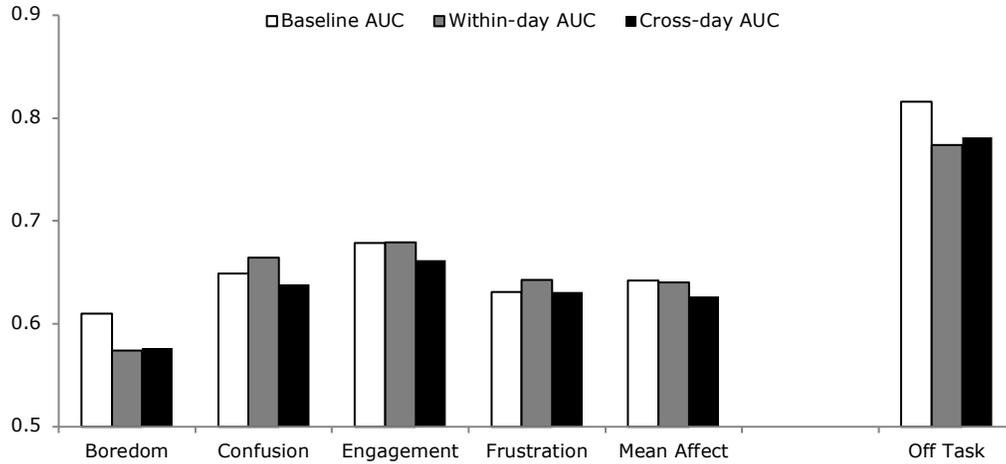


Fig. 7. Cross-day affect and off-task detection accuracy compared to baseline and within-day accuracies.

## 5.2 Class Period Generalization

We tested generalization across *class periods*, potentially reflecting difference in time of day/light levels, with a leave-several-out approach. Five out of the seven class periods (67%) were randomly chosen as training data while data from the remaining two periods served as testing data. This process was repeated for 150 iterations. Student-level independence was guaranteed as each student was in one and the same class period every day. Testing across class periods also implicitly tests generalization across time of day, since class periods took place at unique times.

The results are shown in Fig. 8. Cross-period affective state detection accuracy was on average 1.89% lower than baseline accuracy. Confusion and boredom were most negatively affected while delight, engagement, and frustration were more stable. There was also a small drop in the accuracy of the cross-period off-task behavior detector compared to the baseline detector. Overall, accuracy across class periods was still well above chance-level, suggesting that our affect detection approach generalized across different times of the day.

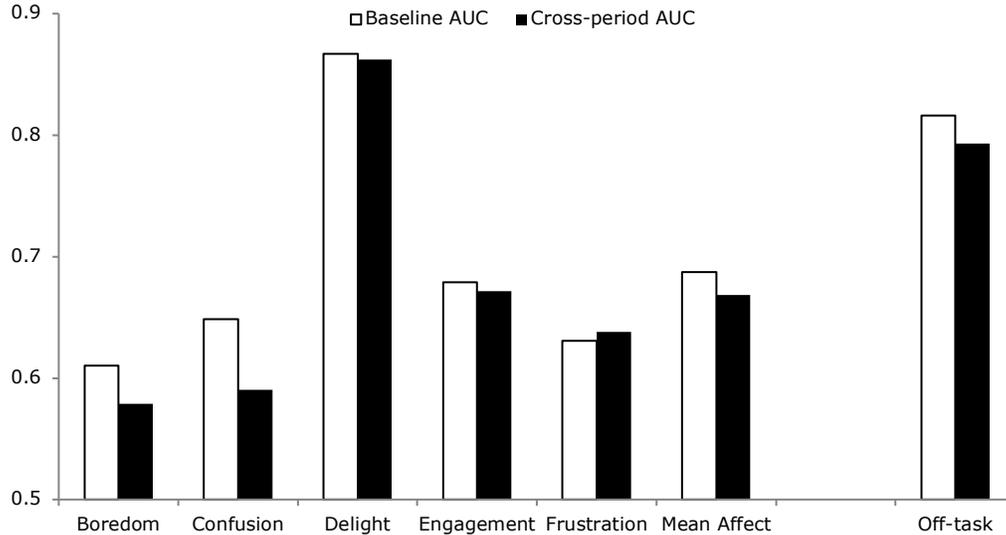


Fig. 8. Comparison of baseline accuracy to accuracy while generalizing across class periods (time of day).

## 6. DEMOGRAPHIC GENERALIZATION

In the previous section, we presented methods for testing detector generalization across time. In this section we consider generalization across two key demographic factors: perceived ethnicity (as coded by researchers) and gender.

### 6.1 Perceived Ethnicity Generalization

We did not collect self-reports of ethnicity. Hence, two researchers annotated student ethnicity (called perceived ethnicity) from the videos. Disagreements were adjudicated with assistance from a third researcher. Fifty-seven percent of the students were coded as *Caucasians*. Although the difference between other ethnic groups and races is also important to affect detection, no other specific group was sufficiently frequent in the data set to afford reliable data analysis. Therefore, we combined all students with other perceived ethnicities into a *non-Caucasian* group in order to create roughly balanced data sets.

We performed within- and cross- perceived ethnicity validation experiments. Within perceived ethnicity testing was performed by training the detectors with data from 67% of students in one group and testing it on the remaining 33% of students within that *same* group (e.g., train on Caucasian students, test on Caucasian students). For between perceived ethnicity testing, it would have been possible to use 100% of the data from each group (i.e. train on all Caucasian, test on all non-Caucasian) without violating the student-level independence constraint because no student was annotated as both Caucasian and non-Caucasian. However, that would not have allowed a fair comparison to within-perceived-ethnicity testing since the sizes of the data sets would be different. Hence, cross-perceived ethnicity testing was performed by training a detector with data from 67% of students in one group and testing it on 33% of students from the *other* group (e.g., train on 67% Caucasian students, test on 33% non-Caucasian students). Cross-validation was repeated for

150 iterations and we used the same classifiers as in the temporal generalization experiments.

Since 57% of the students were coded as Caucasians, we randomly downsampled the Caucasian training data so as to equate the number of instances with the non-Caucasian data. We also recreated the baseline detectors (Section 4) using the downsampled datasets to achieve a fair comparison.

Classification accuracies were averaged across pairs (train on Caucasian  $\rightarrow$  test on non-Caucasian and vice versa). Within-perceived ethnicity affect detectors were on average 1.9% more accurate than baseline detectors (see Fig. 9), which was expected as there was less variability when training and testing on the same perceived ethnicity. Off-task behavior detection accuracy was not notably different between groups.

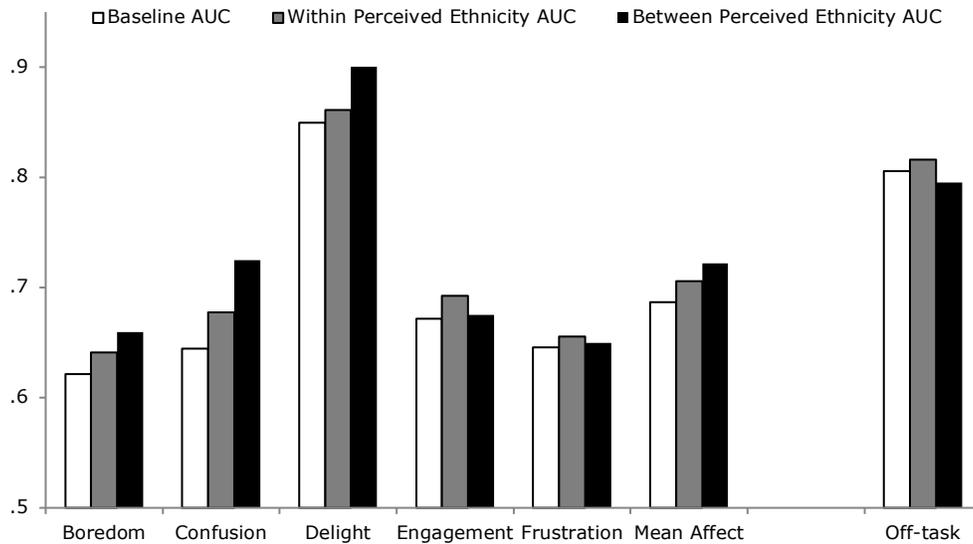


Fig. 9. Comparison of baseline results to generalization across perceived ethnicity.

The more interesting comparison pertains to between- vs. within- perceived ethnicity tests. Overall accuracy for cross-perceived ethnicity detectors was consistently above chance (average AUC = .722), demonstrating the feasibility of generalization. We observed decreases in cross-perceived ethnicity detector accuracy for engagement and frustration, but this was not surprising as these detectors are exposed to different visual characteristics when tested on a new perceived ethnicity. However, there were some unexpected increases in accuracy, most notably in the confusion and delight detectors but also in boredom (details in Appendix, Table VIII). In particular, the confusion detector exhibited a surprising 9.3% improvement (AUC of .673 to .766) in the Caucasian train  $\rightarrow$  non-Caucasian test analysis compared to the Caucasian train  $\rightarrow$  Caucasian test analysis. Similarly, the delight detector showed an 8.7% improvement (AUC of .840 to .927) in non-Caucasian  $\rightarrow$  Caucasian testing compared to non-Caucasian  $\rightarrow$  non-Caucasian testing.

We examined base rates of affect within each perceived ethnicity to determine if they may explain these unexpected results (see Table IV). We note a general pattern where training on the group with a higher base rate and testing on the group with

the smaller base rate yields a higher accuracy. For example, the Caucasian and non-Caucasian training sets had a 2.8% and 1.5% base rates of confusion, respectively. Training for confusion on Caucasian (higher base rate) and testing on non-Caucasian (lower base rate) resulted in a higher AUC of .766 compared to training and testing on Caucasian (AUC of .673). Similarly, the base rate of delight was higher in the non-Caucasian data set (3.3%) compared to the Caucasian data set (.016). Accordingly, training for delight on non-Caucasian (higher base rate) and testing on Caucasian (lower base rate) resulted in a higher (AUC of .927) accuracy than training and testing on non-Caucasian (AUC of .840).

Therefore, it appeared that base rate differences rather than appearance features best explain the results. Importantly, despite this base rate issue, the results provide strong evidence for generalization across perceived ethnicities.

Table IV. Proportions of affective states and off-task behavior within each perceived ethnicity.

Affective State	Perceived Caucasian	Perceived Non-Caucasian	Difference
<b>Boredom</b>	.038	.049	29%
<b>Confusion</b>	<b>.028</b>	<b>.015</b>	<b>84%</b>
<b>Delight</b>	<b>.016</b>	<b>.033</b>	<b>102%</b>
<b>Engagement</b>	.792	.755	5%
<b>Frustration</b>	.126	.147	17%
<b>Off Task</b>	.046	.054	18%

*Note.* Difference refers to the size of the larger proportion relative to the smaller one. (i.e.  $100 \times [\text{larger} / \text{smaller} - 1]$ ).

## 6.2 Cross-Gender Generalization

Cross-gender generalization testing was similar to cross-perceived ethnicity testing. However, gender was reported by students so there was no need for post-hoc annotation. The sample comprised 58% females, so the female data were randomly downsampled so as to obtain an equal distribution of males and females. Baseline results were also recreated based on the downsampled data set.

Fig. 10 illustrates the main results with additional details reported in the Appendix (Table IX). Most importantly, overall cross-gender affect detection accuracy was consistently above chance (average AUC = .730), demonstrating the feasibility of cross-gender generalization. Moreover, cross-gender affect accuracy was similar to overall within-gender accuracy (AUC = .724). Cross-gender affect accuracy also appeared to be as good as or better than the baseline with both genders pooled (average AUC = .712). The baseline proportions shown in Table V also illustrate the same issue discussed in the perceived ethnicity generalization results wherein training on a larger group and testing on a smaller group resulted in higher accuracy attributable to differences in base rates rather than gender per se.

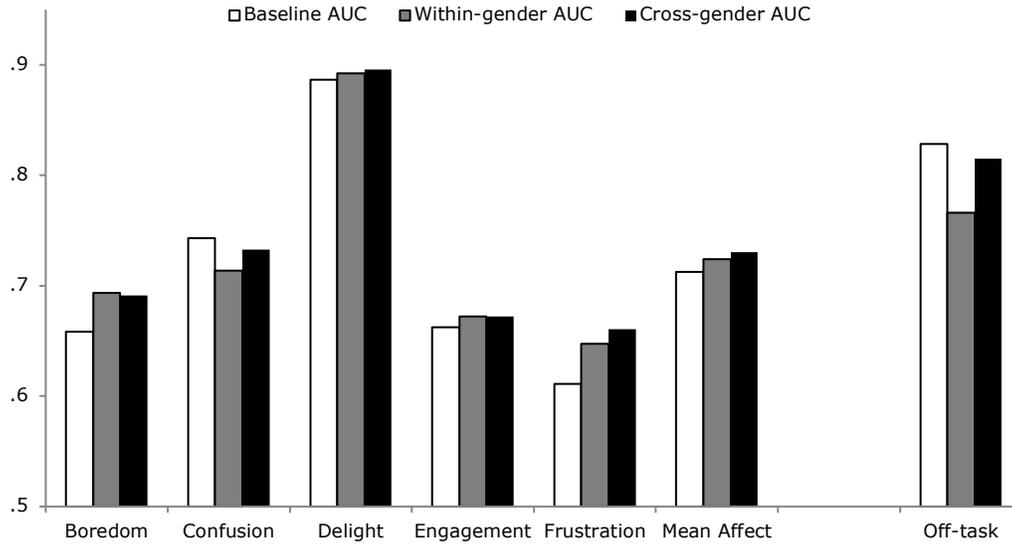


Fig. 10. Comparison of detector accuracies for within-gender versus cross-gender classification.

Table V. Proportions of affective states and off-task behavior within each gender.

Affective State	Female	Male	Difference
<b>Boredom</b>	.053	.028	86%
<b>Confusion</b>	.030	.011	165%
<b>Delight</b>	.019	.030	58%
<b>Engagement</b>	.724	.857	18%
<b>Frustration</b>	.175	.074	137%
<b>Off Task</b>	.063	.028	125%

Note. Difference refers to the size of the larger proportion relative to the smaller one (i.e.  $100 \times [\text{larger} / \text{smaller} - 1]$ ).

## 7. GENERAL DISCUSSION

Affect detection is a crucial component for interfaces that aspire to dynamically respond to affect. The inexpensive, ubiquitous nature of webcams makes facial expressions an attractive modality for affect detection. We were interested in the feasibility of utilizing face-based affect detection methods in noisy computer-enabled classrooms. In this environment, students were subject to distractions, uncontrolled lighting, and other factors which complicated affect detection. Additionally, we were interested in the detectors' ability to generalize across time and student demographics – both underexplored aspects of affect detection. In this section, we discuss our main findings with respect to detection accuracy and generalization, as well as the implications of these findings, their limitations, and future directions.

## 7.1 Main Findings

Our first contribution was to develop face-based detectors of learning-centered affective states in a noisy school environment. We demonstrated the feasibility of automatic detection of boredom, confusion, delight, engagement, frustration, and off-task behavior as students used an educational game. There were many sources of noise. With respect to class distractions, students fidgeted, talked with one another, asked questions, left the classroom, and occasionally even used their cellphones (against classroom policy). On some occasions multiple students crowded around the same screen to view something that another student had done. Additionally, lighting conditions were inconsistent across students, in part due to placement of computers. We were able to create detectors without excluding any of these difficult but realistic situations, except where faces could not be automatically detected in the video. In fact, despite using modern computer vision techniques, we were unable to register the face in 34% of the instances. This goes to illustrate the challenge of detecting affect in the wild.

We also experimented with various classification methods and parameters. Creating one universal detector for all affective states is attractive for the sake of simplicity. However, we found that ideal methods and parameters varied as a function of affective state. For example, the confusion and off-task detectors were more accurate with larger window sizes, while the delight detector worked better on smaller windows. Frequently selected features also differed between models. The optimal classifiers and feature selection parameters also varied across affective states. This suggests that accuracy can be improved by tailoring the parameters used to distill data sets to specific affective states.

Imbalanced (or skewed) affective state distributions are another challenge for the detectors. This was a major concern with the present data, as three of the affective states were observed at rates less than 5%, while the most frequent occurred at a rate nearing 80%. To overcome this, we synthetically oversampled the training data to create detectors that predicted the less common states well. This is particularly important for applications of the detectors in affect-sensitive educational interfaces (see below). Detectors must be able to recognize relatively infrequent affective states that are important to learning (e.g., confusion) [D'Mello 2013], because infrequent does not mean inconsequential. Indeed, one or two episodes of intense frustration can disrupt an entire learning experience.

Generalization is another important but often overlooked aspect of real-world affect detection. After showing that our baseline models generalized to new students, we studied generalization across time and demographics. Temporal generalizability is a key feature of affect detectors that are intended for real-world use as they will inevitably encounter data that is temporally distant from training data. We expected detector accuracy to be diminished by training on one day and testing on another due to confounds such as changes in lighting, mood, and other factors (e.g., novelty effects). However, we found that average cross-day classification accuracy was reduced by less than 2% compared to combined-days baseline detectors and within-day detectors. We had similar expectations for generalization across class periods, where additional factors such as time of day might diminish affect detection accuracy. However, cross-period detection was also successful with less than 2% average reduction in accuracy compared to baseline. Therefore, we have some evidence that our affect detectors demonstrated adequate temporal generalization.

We also investigated, for the first time, generalization of face-based affect detection across demographic variables – specifically perceived ethnicity (Caucasian or non-Caucasian) and gender. We expected that detectors trained and tested on the same perceived ethnicity or gender would yield improved performance over the combined ethnicity and gender detectors, respectively. We found this to be the case, as there were average improvements of 1.9% and 1.1% (compared to baseline AUC) for perceived-ethnicity- and gender- specific detectors, respectively. We anticipated a reduction in accuracy when within-group detectors were applied to the complementary group (e.g., train on Caucasian, test → non-Caucasian) because detectors are likely calibrated to the specific training group. In fact, we found that accuracy actually improved slightly in some cases (average improvement of 1.6% for cross-perceived-ethnicity and 0.7% for cross-gender). Follow-up analyses indicated that the differences in class base rates were likely responsible for this unexpected effect. Specifically, accuracy was higher when the training data had more instances of the target class label than the testing set. Despite these somewhat unexpected findings, the core research question of whether the detectors could generalize across demographic factors of perceived ethnicity and gender was answered in the affirmative.

## 7.2 Implications

The primary implication of our findings is that our affect detectors can be effective in a noisy computer-enabled classroom context. Previous affect-detection work in computer-enabled classrooms has been limited, so these results establish some expectations of moderate accuracy for future work. Additionally, previous work had not explicitly tested generalization of face-based affect detectors across time and demographics, which our results showed was indeed possible.

A limitation of face-based detectors is that they can only be used when the face can be automatically detected in the video. This is not always the case outside of the lab, where there is little control over movement, occlusions, poor lighting, and other complicating factors. In fact, the face could only be detected in about 65% of the instances in this study. To address this, we [Bosch, Chen, Baker, Shute and D’Mello 2015] developed additional detectors based on features extracted from the ongoing interaction context (and stored in log files), such as the difficulty of the current game level attempted, the student’s actions, the feedback received, response times, and so on. The interaction-based detectors (mean AUC of .569) were less accurate than the face-based detectors (mean AUC of .668), but could be applied in almost all of the cases. Logistic regression models were trained to adjudicate between the outputs of the video- and interaction- based detectors. The resultant multimodal model was almost as accurate as the face-based detector (mean AUC of .637 for multimodal versus .668 for face-based), but was highly applicable (98% for multimodal vs. 65% for face-based). These results are notable because they suggest the feasibility of multimodal affect detection in noisy real-world environments.

The next step is to use the detectors in an affect-sensitive version of Physics Playground with intelligent strategies that respond to student affect. Confusion and frustration offer opportunities to intervene in the form of hints or revisiting introductory material related to the current game level. If the student was recently frustrated and unable to solve a level, the game might suggest an easier level. Conversely, a more difficult level might be appropriate if the student has become bored because challenge is too low.

Much work remains to be done in determining what interventions should be used in this context and how frequently they should be applied. Special considerations must also be given to the probability of spurious detection (false alarms) when designing these strategies, since incorrect interventions could cause confusion or annoyance. Although the results presented here are modest and there is clearly considerable room for improvement, it should be noted that affect detection is inherently an imperfect science due to numerous challenges discussed in previous reviews [Calvo and D’Mello 2010; D’Mello and Kory 2015; Zeng et al. 2009]. Detection accuracy is unlikely to ever be perfect, hence, the challenge is to develop interventions that take into account ambiguity in affect detection (via probabilistic approaches). Furthermore, interventions must be fail-soft so that learning is not negatively impacted if delivered incorrectly. For example, subtle strategies, such as re-ordering levels to display an easier level after a frustrating experience, may be preferred over more explicit ones – e.g., directly commenting that the student is frustrated.

### 7.3 Limitations and Future Work

Like most research, this study has a number of limitations as discussed below.

First, the number of positive training instances was limited for some affective states, due (in part) to the difficulty of collecting data in the wild. This limitation was partially overcome by using SMOTE to create synthetic training data, but oversampling is not a perfect substitute for the diversity of genuine data.

Second, the distribution of affective states depends on the interface used. The interface in this study was game-based, which may have increased engagement and decreased other affective states compared to some other types of interfaces, though perhaps not intelligent tutoring systems (cf. [D’Mello 2013]). Initial work in this direction was done by [D’Mello 2013] in his meta-analysis of affect incidence across 24 studies involving learning with technology. However, this work can be expanded to include a larger set of educational interfaces in order to ascertain if different affective profiles emerge as a function of the nature of the interaction (e.g., one profile for reading text, another for interacting with an intelligent tutoring system, a third for an educational game).

Third, the affect annotation protocol we used requires observers to be in the classroom, which could influence students’ displays of affect akin to a Hawthorne effect [Cook 1962]. A different distribution would be possible if students self-reported their affective states [D’Mello in press]. This issue needs to be studied by comparing different affect annotation methods similar to [Graesser et al. 2006] and to consider a combination of annotation methods as discussed in [D’Mello et al. 2008].

Fourth, lighting conditions and students themselves varied somewhat between days. However, additional sources of variation, such as from different learning environments and multiple schools, might make classification even more difficult and produce new insights on generalization to new contexts. Additionally, the amount of time represented in this study (two different days) was sufficient for an initial analysis of cross-day generalization, but not for larger temporal differences, such as cross-seasonal generalization (i.e. train detectors in fall → test in spring). Longitudinal data collection across multiple school years and across different grade levels will be needed to resolve questions of generalization across longer periods of time and across age groups. This will also provide more accurate estimates of how

usable models are under varying lighting conditions and other sources of noise in different classrooms.

Finally, true cross-ethnicity testing would require measuring ethnicity from student self-reports or from administrative data, rather than the post hoc perceived ethnicity labels used in this study. The number of students per perceived ethnicity did not afford fine-grained testing across perceived ethnicities either, which could have yielded additional insight into differences between, for example, Asian and Latino students. Additionally, generalization across culture and age were not tested in this study, but may be possible challenges for face-based affect detection (see Grafsgaard et al. [2015] for recent work comparing facial expressions across age) and should be more thoroughly explored with expanded and diverse data collection.

#### 7.4 Concluding Remarks

Our long term vision is for next-generation learning environments to improve the process and products of learning by considering affect in addition to cognition. We hope that the present research that detects students' affect in a noisy real-world environment and with evidence of multiple levels of generalizability takes us towards this goal. The next critical step is to use the detectors to trigger affect-sensitive interventions in order to provide a more enjoyable, efficient, and effective learning experience for all students.

#### ACKNOWLEDGMENTS

This research was supported by the National Science Foundation (NSF) (DRL 1235958 and IIS 1523091) and the Bill & Melinda Gates Foundation. Any opinions, findings and conclusions, or recommendations expressed in this paper are those of the authors and do not necessarily reflect the views of the NSF or the Bill & Melinda Gates Foundation.

#### REFERENCES

- Paul D. Allison. 1999. *Multiple regression: A primer*, Pine Forge Press.
- Omar AlZoubi, Davide Fossati, Sidney D'Mello, and Rafael A. Calvo. 2015. Affect detection from non-stationary physiological data using ensemble classifiers. *Evolving Systems* 6, 2 (2015), 79–92.
- Omar AlZoubi, M.S. Hussain, Sidney D'Mello, and Rafael A. Calvo. 2011. Affective modeling from multichannel physiology: analysis of day differences. In *Proceedings of the 4th International Conference on Affective Computing and Intelligent Interaction (ACII 2011)*. Berlin Heidelberg: Springer-Verlag.
- Ivon Arroyo, David G. Cooper, Winslow Burleson, Beverly Park Woolf, Kasia Muldner, and Robert Christopherson. 2009. Emotion sensors go to school. In V. Dimitrova, R. Mizoguchi, B. Du Boulay, & Art Graesser, eds. *Proceedings of the 14th International Conference on Artificial Intelligence in Education*. IOS Press, 17–24.
- Ryan Baker et al. 2012. Towards sensor-free affect detection in cognitive tutor algebra. In *Proceedings of the 5th International Conference on Educational Data Mining*. 126–133.
- Nigel Bosch, Sidney D'Mello, Ryan Baker, Jaclyn Ocumpaugh, Valerie J. Shute, et al. 2015. Automatic detection of learning-centered affective states in the wild. In *Proceedings of the 2015 International Conference on Intelligent User Interfaces (IUI 2015)*. New York, NY: ACM, 379–388.
- Nigel Bosch, Huili Chen, Ryan Baker, Valerie Shute, and Sidney D'Mello. 2015. Accuracy vs. availability heuristic in multimodal affect detection in the wild.

- In *Proceedings of the 17th International Conference on Multimodal Interaction (ICMI 2015)*. New York, NY: ACM, 267–274.
- Nigel Bosch, Yuxuan Chen, and Sidney D’Mello. 2014. It’s written on your face: Detecting affective states from facial expressions while learning computer programming. In Stefan Trausan-Matu, Kristy Elizabeth Boyer, Martha Crosby, & Kitty Panourgia, eds. *Proceedings of the 12th International Conference on Intelligent Tutoring Systems (ITS 2014)*. Lecture Notes in Computer Science. Switzerland: Springer International Publishing, 39–44.
- Nigel Bosch, Sidney D’Mello, Ryan Baker, Jaclyn Ocumpaugh, and Valerie J. Shute. 2015. Temporal generalizability of face-based affect detection in noisy classroom environments. In Cristina Conati, Neil T. Heffernan, Antonija Mitrovic, & M. Felisa Verdejo, eds. *Proceedings of the 17th International Conference on Artificial Intelligence in Education (AIED 2015)*. Berlin Heidelberg: Springer-Verlag, 44–53.
- Rafael A. Calvo and Sidney D’Mello. 2010. Affect detection: An interdisciplinary review of models, methods, and their applications. *IEEE Transactions on Affective Computing* 1, 1 (January 2010), 18–37.
- Rafael A. Calvo, Sidney D’Mello, Jonathan Gratch, and Arvid Kappas. 2015. *The Oxford handbook of affective computing*, New York, NY: Oxford University Press.
- Rafael A. Calvo and Sidney K. D’Mello. 2011. *New perspectives on affect and learning technologies.*, New York, NY: Springer.
- Nitesh V. Chawla, Kevin W. Bowyer, Lawrence O. Hall, and W. Philip Kegelmeyer. 2011. SMOTE: synthetic minority over-sampling technique. *Journal of Artificial Intelligence Research* 16 (June 2011), 321–357.
- Gerald L. Clore and Jeffrey R. Huntsinger. 2007. How emotions inform judgment and regulate thought. *Trends in Cognitive Sciences* 11, 9 (September 2007), 393–399.
- Jacob Cohen. 1988. *Statistical power analysis for the behavioral sciences (2nd ed.)*, Hillsdale, NJ: Erlbaum.
- Desmond L. Cook. 1962. The Hawthorne effect in educational research. *Phi Delta Kappan* (1962), 116–122.
- Abhinav Dhall, Roland Goecke, Jyoti Joshi, Michael Wagner, and Tom Gedeon. 2013. Emotion recognition in the wild challenge 2013. In *Proceedings of the 15th ACM on International Conference on Multimodal Interaction (ICMI 2013)*. New York, NY, USA: ACM, 509–516.
- Sidney D’Mello. 2013. A selective meta-analysis on the relative incidence of discrete affective states during learning with technology. *Journal of Educational Psychology* 105, 4 (2013), 1082–1099.
- Sidney D’Mello, Nathan Blanchard, Ryan Baker, Jaclyn Ocumpaugh, and Keith Brawner. 2014. I feel your pain: A selective review of affect-sensitive instructional strategies. In Robert Sottolare, Art Graesser, Xiangen Hu, & Benjamin Goldberg, eds. *Design Recommendations for Intelligent Tutoring Systems - Volume 2: Instructional Management*. 35–48.
- Sidney D’Mello and Rafael A. Calvo. 2013. Beyond the basic emotions: What should affective computing compute? In *CHI ’13 Extended Abstracts on Human Factors in Computing Systems*. New York, NY: ACM, 2287–2294.
- Sidney D’Mello and Art Graesser. 2011. The half-life of cognitive-affective states during complex learning. *Cognition & Emotion* 25, 7 (2011), 1299–1308.

- Sidney K. D'Mello. in press. On the influence of an iterative affect annotation approach on inter-observer and self-observer reliability. *IEEE Transactions on Affective Computing* (in press).
- Sidney K. D'Mello, Scotty D. Craig, Amy Witherspoon, Bethany McDaniel, and Arthur Graesser. 2008. Automatic detection of learner's affect from conversational cues. *User Modeling and User-Adapted Interaction* 18, 1–2 (2008), 45–80.
- Sidney D'Mello and Jacqueline Kory. 2015. A review and meta-analysis of multimodal affect detection systems. *ACM Computing Surveys* 47, 3 (February 2015), 43:1–43:36.
- Paul Ekman. 1992. An argument for basic emotions. *Cognition and Emotion* 6, 3–4 (May 1992), 169–200.
- Paul Ekman, Wallace V. Friesen, and Sonia Ancoli. 1980. Facial signs of emotional experience. *Journal of Personality and Social Psychology* 39, 6 (1980), 1125–1134.
- Paul Ekman and Wallace V. Friesen. 1978. *Facial action coding system: A technique for the measurement of facial movement*, Palo Alto, CA: Consulting Psychologists Press.
- Jeffrey M. Girard, Jeffrey F. Cohn, Laszlo A. Jeni, Michael A. Sayette, and Fernando De la Torre. 2015. Spontaneous facial expression in unscripted social interactions can be measured automatically. *Behavior Research Methods* 47, 4 (December 2015), 1136–1147.
- Art Graesser, Bethany McDaniel, Patrick Chipman, Amy Witherspoon, Sidney D'Mello, and Barry Gholson. 2006. Detection of emotions during learning with AutoTutor. In Ron Sun & Naomi Miyake, eds. *Proceedings of the 28th Annual Meetings of the Cognitive Science Society*. Austin, TX: Cognitive Science Society, 285–290.
- Joseph F. Grafsgaard, Seung Y. Lee, Bradford W. Mott, Kristy Elizabeth Boyer, and James C. Lester. 2015. Modeling self-efficacy across age groups with automatically tracked facial expression. In *Proceedings of the 17th International Conference on Artificial Intelligence in Education (AIED 2015)*. Berlin Heidelberg: Springer-Verlag, 582–585.
- Joseph F. Grafsgaard, Joseph B. Wiggins, Kristy Elizabeth Boyer, Eric N. Wiebe, and James C. Lester. 2013. Automatically recognizing facial indicators of frustration: A learning-centric analysis. In *Proceedings of the 5th International Conference on Affective Computing and Intelligent Interaction*. 159–165.
- Javier Hernandez, Mohammed (Ehsan) Hoque, Will Drevo, and Rosalind W. Picard. 2012. Mood meter: Counting smiles in the wild. In *Proceedings of the 2012 ACM Conference on Ubiquitous Computing*. UbiComp '12. New York, NY, USA: ACM, 301–310.
- Geoffrey Holmes, Andrew Donkin, and Ian H. Witten. 1994. WEKA: a machine learning workbench. In *Proceedings of the Second Australian and New Zealand Conference on Intelligent Information Systems*. 357–361.
- Mohammed (Ehsan) Hoque, Daniel McDuff, and Rosalind W. Picard. 2012. Exploring temporal patterns in classifying frustrated and delighted smiles. *IEEE Transactions on Affective Computing* 3, 3 (2012), 323–334.
- László A. Jeni, Jeffrey F. Cohn, and Fernando De la Torre. 2013. Facing imbalanced data—Recommendations for the use of performance metrics. In *Proceedings of*

- the 5th International Conference on Affective Computing and Intelligent Interaction*. 245–251.
- Samira Ebrahimi Kahou et al. 2013. Combining modality specific deep neural networks for emotion recognition in video. In *Proceedings of the 15th International Conference on Multimodal Interaction*. New York, NY: ACM, 543–550.
- Ashish Kapoor, Winslow Burleson, and Rosalind W. Picard. 2007. Automatic prediction of frustration. *International Journal of Human-Computer Studies* 65, 8 (2007), 724–736.
- Ashish Kapoor and Rosalind W. Picard. 2005. Multimodal affect recognition in learning environments. In *Proceedings of the 13th Annual ACM International Conference on Multimedia*. New York, NY, USA: ACM, 677–682.
- Seong G. Kong, Jingu Heo, Besma R. Abidi, Joonki Paik, and Mongi A. Abidi. 2005. Recent advances in visual and infrared face recognition—a review. *Computer Vision and Image Understanding* 97, 1 (January 2005), 103–135.
- Igor Kononenko. 1994. Estimating attributes: Analysis and extensions of RELIEF. In Francesco Bergadano & Luc De Raedt, eds. *European Conference on Machine Learning (ECML 94)*. Lecture Notes in Computer Science. Berlin Heidelberg: Springer, 171–182.
- Mark R. Lepper, Maria Woolverton, Donna L. Mumme, and J. Gurtner. 1993. Motivational techniques of expert human tutors: Lessons for the design of computer-based tutors. *Computers as Cognitive Tools* 1993 (1993), 75–105.
- Stan Z. Li, RuFeng Chu, ShengCai Liao, and Lun Zhang. 2007. Illumination invariant face recognition using near-infrared images. *IEEE Transactions on Pattern Analysis and Machine Intelligence* 29, 4 (April 2007), 627–639.
- Gwen Littlewort et al. 2011. The computer expression recognition toolbox (CERT). In *2011 IEEE International Conference on Automatic Face Gesture Recognition and Workshops (FG 2011)*. 298–305.
- Bethany T. McDaniel, Sidney K. D’Mello, Brandon G. King, Patrick Chipman, Kristy Tapp, and Art Graesser. 2007. Facial features for affective state detection in learning environments. In *Proceedings of the 29th Annual Cognitive Science Society*. 467–472.
- Daniel McDuff, Rana El Kaliouby, Thibaud Senechal, David Demirdjian, and Rosalind Picard. 2014. Automatic measurement of ad preferences from facial responses gathered over the Internet. *Image and Vision Computing* 32, 10 (October 2014), 630–640.
- Daniel McDuff, R. El Kaliouby, T. Senechal, M. Amr, J.F. Cohn, and R. Picard. 2013. Affectiva-MIT facial expression dataset (AM-FED): Naturalistic and spontaneous facial expressions collected in-the-wild. In *2013 IEEE Conference on Computer Vision and Pattern Recognition Workshops (CVPRW)*. 881–888.
- Selene Mota and Rosalind W. Picard. 2003. Automated posture analysis for detecting learner’s interest level. In *2003 IEEE Conference on Computer Vision and Pattern Recognition Workshops (CVPRW)*. 49–56.
- Jaclyn Ocumpaugh, Ryan Baker, Ma. Mercedes Rodrigo, et al. 2015. HART: The Human Affect Recording Tool. In *Proceedings of the ACM Special Interest Group on the Design of Communication (SIGDOC)*. New York, NY: ACM.
- Jaclyn Ocumpaugh, Ryan Baker, Sujith Gowda, Neil Heffernan, and Cristina Heffernan. 2014. Population validity for educational data mining models: A

- case study in affect detection. *British Journal of Educational Technology* 45, 3 (May 2014), 487–501.
- Jaclyn Ocumpaugh, Ryan Baker, and Ma. Mercedes T. Rodrigo. 2015. Baker Rodrigo Ocumpaugh Monitoring Protocol (BROMP) 2.0 Technical and Training Manual. In *Technical Report*. New York, NY: Teachers College, Columbia University. Manila, Philippines: Ateneo Laboratory for the Learning Sciences.
- Rosalind W. Picard, Elias Vyzas, and Jennifer Healey. 2001. Toward machine emotional intelligence: analysis of affective physiological state. *IEEE Transactions on Pattern Analysis and Machine Intelligence* 23, 10 (2001), 1175–1191.
- Kaśka Porayska-Pomsta, Manolis Mavrikis, Sidney D’Mello, Cristina Conati, and Ryan Baker. 2013. Knowledge elicitation methods for affect modelling in education. *International Journal of Artificial Intelligence in Education* 22, 3 (January 2013), 107–140.
- Rainer Reisenzein, Markus Studtmann, and Gernot Horstmann. 2013. Coherence between emotion and facial expression: Evidence from laboratory experiments. *Emotion Review* 5, 1 (January 2013), 16–23.
- Thibaud Senechal, Kevin Bailly, and Lionel Prevost. 2014. Impact of action unit detection in automatic emotion recognition. *Pattern Analysis and Applications* 17, 1 (February 2014), 51–67.
- Valerie J. Shute, Matthew Ventura, and Yoon Jeon Kim. 2013. Assessment and learning of qualitative physics in Newton’s Playground. *The Journal of Educational Research* 106, 6 (2013), 423–430.
- Michel F. Valstar, Marc Mehu, Bihan Jiang, Maja Pantic, and Klaus Scherer. 2012. Meta-analysis of the first facial expression recognition challenge. *IEEE Transactions on Systems, Man, and Cybernetics, Part B: Cybernetics* 42, 4 (2012), 966–979.
- Jacqueline Kory Westlund, Sidney K. D’Mello, and Andrew M. Olney. 2015. Motion Tracker: Camera-based monitoring of bodily movements using motion silhouettes. *PLoS ONE* 10, 6 (June 2015).
- J. Whitehill, Z. Serpell, Yi-Ching Lin, A. Foster, and J.R. Movellan. 2014. The faces of engagement: Automatic recognition of student engagement from facial expressions. *IEEE Transactions on Affective Computing* 5, 1 (January 2014), 86–98.
- Zhihong Zeng, Maja Pantic, Glenn I. Roisman, and Thomas S. Huang. 2009. A survey of affect recognition methods: Audio, visual, and spontaneous expressions. *IEEE Transactions on Pattern Analysis and Machine Intelligence* 31, 1 (2009), 39–58.

## 8. APPENDIX

### Details of results

Table VI. Results of cross-day compared to within-day detection.

Classification	Baseline AUC	Within-day AUC	Cross-day AUC	Change (Cross-day - Within-day)	Change (Cross-day - Baseline)
Boredom	.610	.574	.577	0.23%	-3.34%
Confusion	.649	.665	.639	-2.61%	-1.02%
Engagement	.679	.679	.662	-1.72%	-1.70%
Frustration	.631	.643	.631	-1.21%	0.02%
<b>Mean Affect</b>	<b>.642</b>	<b>.640</b>	<b>.627</b>	<b>-1.33%</b>	<b>-1.51%</b>
Off Task	.816	.774	.781	0.72%	-3.48%

Note. Cross-day change is percentage of change in AUC, which is bounded on  $[0, 1]$ .

Table VII. Cross-period detection accuracy vs. combined (baseline results) accuracy.

Classification	Baseline AUC	Cross-period AUC	Change (Cross-period - Baseline)
<b>Boredom</b>	.610	.579	-3.10%
<b>Confusion</b>	.649	.590	-5.83%
<b>Delight</b>	.867	.862	-0.48%
<b>Engagement</b>	.679	.672	-0.74%
<b>Frustration</b>	.631	.638	0.72%
<b>Mean Affect</b>	<b>.687</b>	<b>.668</b>	<b>-1.89%</b>
<b>Off-task</b>	.816	.793	-2.27%

Note. Cross-period change is percentage of change in AUC, which is bounded on  $[0, 1]$ .

Table VIII. Results (AUC) of within- and cross- perceived ethnicity testing.

Classification	Recreated Baseline	Caucasian	Caucasian	Non-Caucasian	Non-Caucasian
		→ Caucasian	→ Non-Caucasian	→ Non-Caucasian	→ Caucasian
<b>Boredom</b>	.621	.638	.651	.645	.668
<b>Confusion</b>	.644	.673	.766	.682	.684
<b>Delight</b>	.850	.883	.874	.840	.927
<b>Engagement</b>	.672	.663	.697	.721	.653
<b>Frustration</b>	.645	.620	.673	.692	.626
<b>Mean Affect</b>	<b>.687</b>	<b>.695</b>	<b>.732</b>	<b>.716</b>	<b>.711</b>
<b>Off-task</b>	.806	.846	.756	.786	.834

Table IX. Results (AUC) of within- and cross- gender testing.

<b>Classification</b>	<b>Recreated Baseline</b>	<b>Female → Female</b>	<b>Female → Male</b>	<b>Male → Male</b>	<b>Male → Female</b>
<b>Boredom</b>	.659	.679	.692	.708	.690
<b>Confusion</b>	.743	.768	.775	.659	.691
<b>Delight</b>	.886	.905	.872	.880	.920
<b>Engagement</b>	.662	.666	.688	.679	.656
<b>Frustration</b>	.611	.612	.700	.683	.621
<b>Mean Affect</b>	<b>.712</b>	<b>.726</b>	<b>.745</b>	<b>.722</b>	<b>.716</b>
<b>Off-task</b>	.828	.806	.832	.725	.799