Towards Equalised Odds as Fairness Metric in Academic Performance Prediction

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ABSTRACT
The literature for fairness-aware machine learning knows a plethora of different fairness notions. It is however well-known, that it is impossible to satisfy all of them, as certain notions contradict each other. In this paper, we take a closer look at academic performance prediction (APP) systems and try to distil which fairness notions suit this task most. For this, we scan recent literature proposing guidelines as to which fairness notion to use and apply these guidelines onto APP. Our findings suggest equalised odds as most suitable notion for APP, based on APP’s WYSIWYG worldview as well as potential long-term improvements for the population.

Keywords
Worldviews, Fairness Notion, Equalised Odds, Responsible Academic Performance Prediction

1. INTRODUCTION
Socially responsible and fairness-aware machine learning (FairML) is becoming increasingly more important to our society and aggregated a large body of research regarding how to ensure fairness and non-discrimination by artificially intelligent system [9, 13, 26, 28, 34]. As a consequence, the notion of FairML found its way into the research of educational recommender systems as well wherever a social impact onto the student body is at stake [17, 18, 21]. A major part in this plays academic performance prediction (APP). Hereby, an APP system takes data of a student as input, predicts how the student will perform in the future, and may hence induce an action based on this prediction which may itself affect the student [2]. Such predictions are usually employed as early-warning system to determine students at risk, intervene by supplying necessary help and resources, and increase graduation rates as a consequence [2, 3, 7, 17]. Although other utilisation of APP is possible, e.g. guiding university admissions, we will focus on the use case of targeted interventions. Given the need for socially responsible APP systems [17, 18], the question arises as to which notion of fairness is suitable for APP.

In the following, we review literature regarding selection of fairness notions, derive a reduced guideline to decide between two popular, parity-based fairness notions, demographic parity and equalised odds, and apply our findings onto APP. Our results and main contributions are the relationship of APPs to equalised odds and the WYSIWYG worldview which is backed by literature. Motivated by own work regarding the conceptualisation of responsible APP, we hope to narrow down the research focus for APP fairness notions, provide a base-notion for new and established APP researchers alike, and to contribute to public discourse on this matter.

2. NOTATION
In the following, let \( D = \{(x_i, y_i, z_i)\}_{i=1}^n \subset X \times Y \times Z \), denote the training data of individuals where \( X \subset \mathbb{R}^d \) is the \( d \)-dimensional set of input (feature) vectors characterising each individual, \( Y \) denotes the set of measured true labels over the individuals, and \( Z \) is the set of protected attributes corresponding to each individual. Given a classifier \( h \), we denote the set of its predictions over \( X \) as \( \hat{Y} \). Without loss of generality, we assume \( y \in Y \) to be binary in \( \{0, 1\} \). We say an individual \( (x, y, z) \in D \) receives the favourable outcome if the prediction \( \hat{y} = h(x) = 1 \). Otherwise, we say the individual receives the unfavourable outcome. We say the individual belongs to the demographic group \( z \). Further, let \( X, Y, Z, \hat{Y} \) denote random variables describing the events that, for an individual from the training data, their features, ground truth, protected attributes, and classifier prediction take a specific value, respectively. Thus, \( P(\hat{Y} = 1 | Y = 1) \) denotes the probability that individuals with a positive ground truth are receiving the favourable outcome.

3. PARITY-BASED FAIRNESS NOTIONS
Parity-based fairness notions are defined over the values of a classifier’s confusion matrix [6]. They assume fairness once a set of predictive rates is equal for each demographic group, for instance the positive prediction rate, true positive prediction rate, or false positive prediction rate, as we will see below. For this work, we focus on two such notions which are currently prevalent in literature: demographic parity and equalised odds. We selected these notions as they seem to have higher citation counts as others [31] and are accounted for by related literature as well [6, 18, 28].

Demographic parity assumes that the distribution of the favourable outcome should be equal throughout all demographic groups. It is formally defined in Definition 1:

\[ P(Y = 1 | X) = P(\hat{Y} = 1 | X) \]

for all demographic groups. Equalised odds, on the other hand, states that the predictive rate should be equal for each demographic group, as defined in Definition 2:

\[ \frac{P(\hat{Y} = 1 | Y = 1, X) \cdot P(Y = 1 | X)}{P(Y = 1 | X)} = \frac{P(\hat{Y} = 1 | Y = 0, X) \cdot P(Y = 0 | X)}{P(Y = 0 | X)} \]

for all demographic groups.
We're all equal

demographic parity classifier satisfies equalised odds

We borrow Definitions 3 and 4 of Yeom and Tschantz [32].

equalised odds is defined over true positive rates of a classifier, it is always satisfied if \( \hat{Y} = Y \) which is not guaranteed for demographic parity.

We say that a classifier satisfies demographic parity if the positive prediction rate is equal for all demographic groups, i.e.

\[
P(\hat{Y} = 1 \mid Z = z) = P(\hat{Y} = 1)
\]

While demographic parity is the most popular fairness metric in literature, it also exhibits various shortcomings. For instance, randomizing predictions for one demographic group while having proper predictions for another can already satisfy the notion [10]. It is however independent from any possible bias in the collection of the ground truth values \( Y \) which could have been assembled in a discriminatory way [4] as the notion does not rely on \( Y \) at all.

As an alternative, Hardt et al. [15] proposed the notion of equalised odds as given in Definition 2, which assumes fairness if \( \hat{Y} \perp Y | Z \). As equalised odds is defined over true and false positive rates of a classifier, it is always satisfied if \( \hat{Y} = Y \) which is not guaranteed for demographic parity.

**Definition 2 (Equalised Odds).** We say that a classifier satisfies equalised odds if it has equal true positive rates and false positive rates for all demographic groups, i.e.

\[
P(\hat{Y} = 1 \mid Y = 1, Z = z) = P(\hat{Y} = 1 \mid Y = 1) \tag{2}
\]

\[
P(\hat{Y} = 1 \mid Y = 0, Z = z) = P(\hat{Y} = 1 \mid Y = 0) \tag{3}
\]

4. **WORLDVIEWS**

Recent literature promotes accounting for the worldview that underlies the data [12, 18, 22, 32]. Worldviews were introduced by Friedler et al. [12]. To define them, we must first differentiate between the observable space \( \mathcal{Y} \) and the construct space \( \mathcal{Y}' \). The observable space \( \mathcal{Y} \) represents the room of available observations and measurements. The training data \( \mathcal{D} \) can only be collected from the observable space.

On the other hand, the construct space \( \mathcal{Y}' \) represents the theoretical space of the “true” data that is relevant to the task but not measurable. For instance, assume the task to predict whether a student will graduate within the standard duration of study. We can collect historical information of graduates to model the target variable \( Y \) and select characteristics such as grades within the first semester or number of passed courses per semester as features. These are part of the observable space that is available to us. The related construct space would contain information about how well passed courses were understood, how motivated the students will remain long-term, or how much time they will be able to invest into their studies in later semesters. This information is not accessible to us but can only be observed via assumed proxies. Further more, the construct space is free from discrimination in a sense that it would not contain the grades a student received but rather the grade a student should have received if no discrimination took place.

Worldviews model the expected differences between demographic groups in \( \mathcal{Y}' \) and hence explain the presence of measured differences in \( \mathcal{Y} \) [32]. Two prominent worldviews are **We’re all equal** and **What you see is what you get**, for which we borrow Definitions 3 and 4 of Yeom and Tschantz [32]. Both where originally formulated by Friedler et al. [12] and seem to represent two polar ends in the fairness literature.

**Definition 3 (WAE).** We’re all equal (WAE) represents a worldview which assumes that each demographic group is identical to each other with respect to the target variable in the construct space, i.e. \( \mathcal{Y}' \perp Z \).

**Definition 4 (WYSIWYG).** What you see is what you get (WYSIWYG) is a worldview which assumes that differences in \( \mathcal{Y} \) are explained by differences in \( \mathcal{Y}' \) and hence that the observable space is an accurate reflection of the construct, i.e. \( \mathcal{Y} = \mathcal{Y}' \).

As we consider WAE and WYSIWYG in contexts in which we do observe discrimination in the observable space \( \mathcal{Y} \) and thus assume \( \mathcal{Y} \perp Z \), both world views contradict each other in context of this work.

5. **FAIRNESS SELECTION GUIDELINES**

While literature produced a great number of fairness notions to choose from, we know different fairness notions to be mutually exclusive to one another, making it impossible to satisfy all notions simultaneously [5, 12, 19, 29]. Specifically, the notions from Section 3 above are mutually exclusive in non-trivial cases. Hence, it is valuable to know which fairness metric suits the prediction task most.

Makhlouf et al. [22] collected a decision diagram guiding the fairness notion selection process. This diagram leads to the selection of demographic parity if standards exist which regulate the ratio of admission rates for the favourable outcome or we do not have a reliable ground truth or can assume historical bias or measurement bias in the data. Further, when we have a reliable ground truth or assume no historical or measurement biases in our data, the authors advocate for equalised odds if the emphasis is on the classification recall. Makhlouf et al. further advance the idea that the selection of fairness notion must be based on the explicit choice of an underlying worldview. The worldview itself is however not (explicitly) part of their guiding diagram. If we however focus on the distinction between reliability of \( \mathcal{Y} \) (and existence or absence of biases), we can infer that a reliable \( \mathcal{Y} \) relates to \( \mathcal{Y} \approx \mathcal{Y}' \) and thus WYSIWYG, and an unreliable \( \mathcal{Y} \) relates hence to WAE.

Friedler et al. [12] show in their initial conception of worldviews that individual fairness can be guaranteed under WYSIWYG while it can cause discrimination in a WAE setting. On the flip side, demographic parity is not applicable in a WYSIWYG setting while it can guarantee non-discrimination for WAE. Yeom and Tschantz [32] investigated the theoretical impact the selection of a fairness notion has on the disparity between groups. In their work, they prove that any model that satisfies demographic parity on \( \hat{Y} \) does not amplify existing disparity in \( \mathcal{Y}' \). However, only WAE lends itself to demographic parity, as the classification performance with respect to \( \mathcal{Y}' \) in WYSIWYG will always be suboptimal. A model satisfying equalised odds will not amplify any disparity in WYSIWYG but can amplify disparities if WAE holds.

Unifying the guidelines and insights from above, demographic parity should be employed when WAE holds. That is, we desire an equal distribution of the favourable outcome throughout the groups as we accredit any measurable differences
in our training data to prior discrimination (historical or elsewise). Equalised odds should be favoured if WYSIWYG holds. That is, we expect differences between groups to be explainable by differences in the construct space $Y'$. Some literature also promotes demographic parity when the playing field is even for the groups [8, 18] or the classifier is employed for one group independently [21] while promoting equalised odds otherwise [18, 21].

6. TOWARDS AN APP FAIRNESS NOTION

In this section, we will discuss the worldview that generally seems to tie to APP systems, derive equalised odds as the appropriate fairness notion, then take a closer look at the benefits and drawbacks equalised odds exhibits. We conclude with a brief overview of selected notions which we did not consider in depth.

6.1 The APP Worldview

To evaluate which worldview gives itself to APP systems, we investigate below which input features and target variables promote which worldview to conclude the related fairness notion. For this, we lean on the work of Alyahyan and Düstegör [2], who report the mostly used influential features for APP to be prior academic achievement and student demographics, accounting for 70% of their surveyed articles.

Prior academic achievement is mostly concerned with grade-related features which are aggregated during university [2]: specific course grades, grade point average (GPA), cumulative GPA, exam results, or individual assessment grades; but also pre-university features such as high school background or study admission test results.

Taking grade-related features into account to predict on graduation level, it feels intuitive that we are in a WYSIWYG environment. Not because the grading of students can be assumed to be unbiased (which it cannot, cf. [23, 24]), but because once the grades are set, different impact onto the graduation level prediction can be solely explained by different grade distributions. For instance, assume the task to predict qualification for a subsequent master’s programme. The qualification is decided by achieving a certain GPA at graduation. As the grade-based input features are already set, final GPA is rendered to a consequence and disparities can be explained by differences in cumulative grades.

The same argument can be made for using student demographics as features. Hereby, student demographics refer to protected attributes such as gender, race, religion, or socioeconomic status [2]. In a discriminatory system which grades minority groups worse than privileged groups, the protected attribute effects achieving lower grades, again rendering final GPA as a consequence. Hence, WYSIWYG holds, explaining outcome disparities due to membership in certain demographic groups. Despite this very discriminatory interpretation, WAE is not an applicable worldview in that scenario: If we assume merit to be equally distributed throughout all demographic groups, it generally will not hold that unevenly distributed cumulative GPAs should result in equally distributed final GPAs.

The above observations indicate that APP assumes WYSIWYG. This can further be supported by the following two argumentations. Firstly, due to unequal distribution of resources among demographic groups, educational disparities are to be expected [1]. Secondly, there is a difference between ideal and non-ideal fairness-perspectives [11]. The fairness ideal would imply that grade-level outcomes are equally distributed throughout groups. Our world is however non-ideal and the fairness ideal is the target state we aim to achieve. For this, we measure the deviation of our systems from the fairness ideal in FairML and attempt to minimise it [11].

As WYSIWYG for APP seems to find support in literature, consequentially APP pairs with the fairness notion of equalised odds. This aligns with (and generalises) the statement of Kizilcec and Lee [18] that equalised odds is “most appropriate in applications like student dropout prediction”. Having singled out equalised odds as fairness notion, we will inspect its suitability further and discard demographic parity in the remainder of this paper.

6.2 A Closer Look at Equalised Odds

While we identified equalised odds as a fairness notion which pairs well with APP, there are further concerns in literature regarding the fairness notion of a FairML system which remain to be discussed. Fazelpour and Lipton [11] note that the approach to FairML should consider situated and system wide as well as dynamic impacts of APP intervention while Deho et al. [8] promote to focus on equity and need rather than equality.

Favourable outcome revisited. In classical FairML, we assume $\hat{y} = 1$ to denote a favourable outcome, such as an approved credit loan or being hired at a new job. Intuitively, the favourable outcome in APP for a student is to be predicted as a successful student. However, the real classification task behind APP is rather to predict the need of intervention to help the student achieve a higher performance. The emphasis from a stakeholder’s perspective lies on the need of action. Thus we can reframe the favourable outcome in APP as dependent on $Y$. For at-risk students with $y = 1$ the favourable outcome is indeed $\hat{y} = 1$ so they receive the intervention. For students who will graduate without further intervention and thus $y = 0$ the favourable outcome would be to not get flagged as at-risk, i.e. $\hat{y} = 0$. Thus, for APP, the favourable outcome would be a perfect predictor with $\hat{y} = y$. Such a predictor would always satisfy equalised odds [15]. This differs from classical FairML as the students did not apply for the interventions, contrasting loan or job applications where we assume an approved application to be favoured by the individual.

Long-term impacts. Liu et al. [20] show that both, demographic parity as well as equal true positive rates (only Equation 2 from equalised odds satisfied), are able to cause improvement, stagnation, or even decline in the long-term well-being of disadvantaged groups, depending on the settings. While not considering the stricter notion of equalised odds, their results still suggest that further inspection of respectively underlying distributions of $Y$ needs to be accounted for. Contrasting this with the results of Yeom and Tschantz [32] however, that equalised odds will not amplify discrimination when WYSIWYG holds, gives at least some kind of
(theoretical) reassurance of the selection of equalised odds as fairness notion. Further, due to the intervening nature of APP as well as the favourable outcome being dependent on $Y$, we can illustrate at least a partial improvement over time. As stated above, educational disparities are to be expected due to resources being unequally distributed and our world being non-ideal [1, 11]. Hence, we can assume a proportionally higher rate of $y = 1$ in minority groups. For an APP system satisfying equalised odds, this would result in a higher proportion of minority students receiving the intervention. Assuming the intervention increases graduation rate and/or graduation quality, it should increase the availability of resources for these groups long-term. Thus, the divergence from the fairness-ideal should be reduced. This however only narrows the gap but will be unable to close it, as for instance biases in grading may not be cured in this process.

**From Equality to Equity.** Instead of promoting equal treatment as measure of fairness, Deho et al. [8] propose to focus on equity and needed treatment instead. However, it is unclear from their paper whether they regard equalised odds to be a measure of equity, whereby Jiang and Pardos [16] apply data rebalancing techniques to boost equity for an APP system in terms of true positive and true negative rates, hence they use equalised odds as measure for equity. This makes sense for APP, as the intervening nature inherently attempts to target students at risk. However, Naggita and Aguma [27] show that a system satisfying equalised odds can still promote inequity. This is conditioned over the accessibility of the system towards the demographic groups. Accessibility is hereby defined over the notion of obstacles which obstruct an individual to exhibit their true feature vector towards the prediction system. Such obstructions could be due to biased grading processes which APP alone is unable to solve.

**Limitations.** Corbett-Davies and Goel [6] have shown that equalised odds, as well as all parity based notions, is subject to the problem of infra-marginality as a unified classification threshold is not sensible if the underlying risk distributions are unequal for two demographic groups. In such cases, the error scores will differ and parity cannot be achieved. Furthermore, equalised odds is usually only satisfiable when different classification thresholds for the demographic groups are employed in the first place [14, 18]. In such cases, the use of the protected attribute is needed at classification time, which might not everywhere be legally feasible. However, Yu et al. [33] argue that APP systems such as dropout detection should include protected attributes, albeit the authors only report a limited benefit in terms of fairness and performance.

**Students’ Perceived Fairness.** First work analyses the implications and perceptions of fairness in APP systems [25, 30], however a more thorough investigation regarding equalised odds needs yet to be conducted. While Smith et al. [30] report student’s focus on relational and stake fairness, which equalised odds could cater to. Marcinkowski et al. [25] report focus on distributional and procedural fairness dimensions. Although equalised odds fits procedural fairness, it fails to do so for distributional fairness which would rather be satisfied by demographic parity instead. This could be overcome by a weighted trade-off between both notions as suggested by Kizilcec and Lee [18]. However, it is unclear whether the benefits of equalised odds remain unaffected in this case or whether the student body is willing of such compromise.

### 6.3 Undiscussed Notions

We only described two fairness notions in Section 3, but current literature provides a plethora of further notions [9, 22, 26, 31] While it is not possible for us to talk about all of them, we will highlight selected notions and outline their relevance for APP or why we discarded them in our work.

Next to demographic parity and equalised odds, calibration [29] and predictive parity are also popular notions in literature. However, Yeom and Tschantz [32] showed that neither WAE nor WYSIWYG motivate either notion.

Work that considers worldviews usually promotes individual fairness [10] as suitable for a WYSIWYG setting [12, 18]. Individual fairness is strictly not parity based, but we intended to review parity based notions specifically. However, as both, equalised odds and individual fairness, are promoted for WYSIWYG settings, an investigation of their relationship should be followed up in future work.

Gardner et al. [14] introduced ABROCA scores as measure for fairness, which rely on different ROC curves of the demographic groups. While equalised odds is satisfied at intersections of ROC curves, slicing analysis with ABROCA allows for a more nuanced evaluation of the overall fairness trends for different classification thresholds. Specifically, if one does not require equality for the demographic groups in Equations 2 and 3 but only requires an absolute difference of at most $\epsilon$, ABROCA might allow for easier selection of classification thresholds. Whether guarantees regarding disparity amplification under WYSIWYG stay true is left for future work.

Yeom and Tschantz [32] define the notion of an $\alpha$-hybrid worldview which assumes that discrimination in $Y$ is partially explained in $Y'$ to a ration of $\alpha \in [0,1]$ and thus positions itself between WAE and WYSIWYG. While the authors present the $\alpha$-disparity test as a fairness measure, the value of $\alpha$ needs to be approximated by social research as well as public discourse.

### 7. CONCLUSIONS

In this work we reviewed recent literature in search of finding a suitable fairness notion to employ in responsible APP systems. The consensus of our search favours equalised odds over demographic parity, calibration, or predictive parity. After highlighting APPs relation to WYSIWYG, we further found support of equalised odds in terms of reframing the favourable outcome, inspecting possible long-term impacts and partly relating to equity notions. While equalised odds still shows limitations in its applicability, we emphasise the need of further analysis regarding equalised odds in APP contexts specifically: in terms of equity, relation to individual fairness, and perceived fairness.

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