• Project Flowchart: (Phase 1 + Phase 2 + Phase 3 + Phase 4)

1. Project Understanding:

• <u>Understanding Face Expression Recognition via Measurable Features:</u>

Facial Expression Recognition (FER) is a fundamental task in computer vision and affective computing, aiming to classify human emotions based on facial features. While deep learning has recently dominated this field, earlier approaches relied on extracting specific measurable features, such as distances and proportions between key facial landmarks, to train machine learning models. This project follows the latter approach, using a structured dataset derived from facial measurements.

Problem Statement:

The goal of this project is to analyse a dataset consisting of 210 instances from the Cohn-Kanade database, where each instance is represented by 25 facial measurements. These measurements capture key structural aspects of facial expressions, including eyebrow position, eye dimensions, mouth shape, and relationships between these components. The dataset is labelled with one of seven possible facial expressions: **Neutral, Disgust, Sadness, Fear, Surprise, Anger, and Joy**.

• What I Want to Accomplish:

- 1. **Feature Selection:** Identify which facial measurements are the most critical for FER.
- 2. **Evaluation Strategy:** Define the best approach for training, testing, and validation.
- 3. **Classification:** Compare multiple machine learning classifiers to determine the most effective for FER.
- 4. **Clustering:** Analyse the dataset without labels and evaluate how well clustering methods can group expressions naturally.

2. Data Understanding:

• Exploring the Facial Expression Dataset:

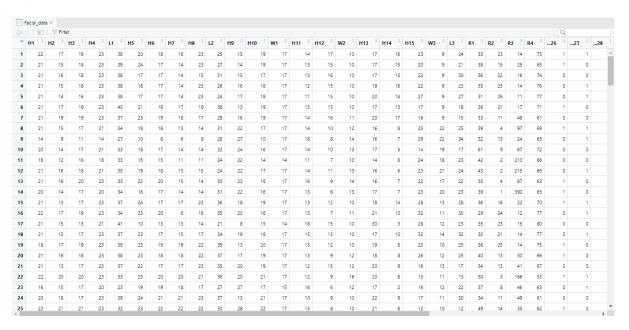
The dataset consists of 210 instances from the Cohn-Kanade database, each with 25 facial measurement features and a class label representing one of seven facial expressions.

The features represent different facial components:

- Eyebrows (H1–H8, L1, L2)
- Eyes (H9–H12, W1, W2)
- Mouth (H13–H15, W3, L3)
- Relationships between facial components (R1–R4)

• What I Did:

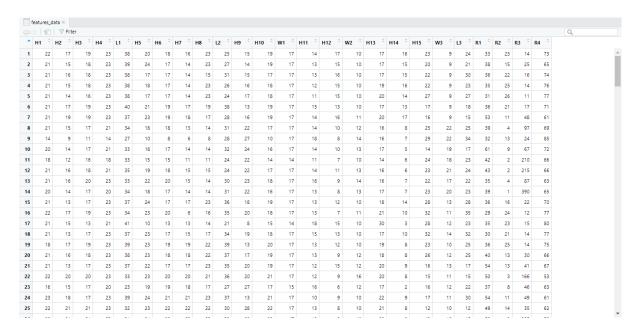
• Imported the dataset.



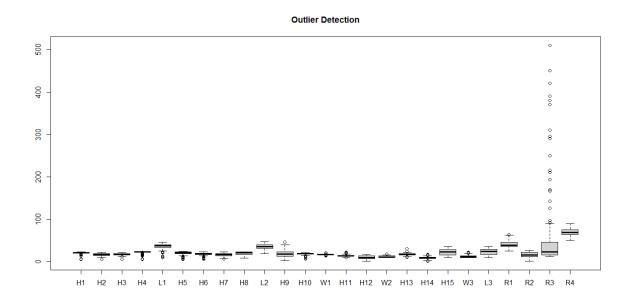
 Checked class distribution using a bar plot to visualize how expressions are distributed.



Extracted the features data.

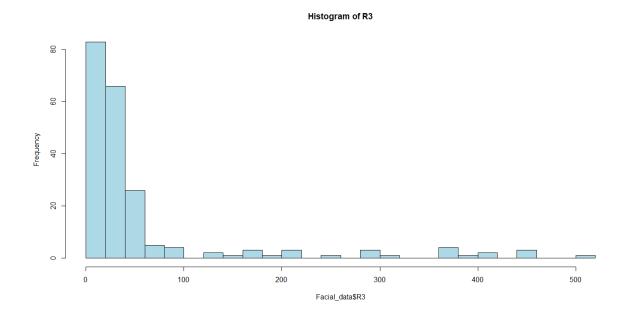


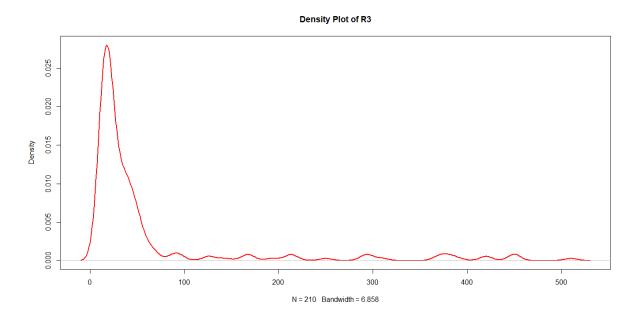
- Checked for **missing values** and found out that there were none.
- Used **boxplots** to identify potential outliers.



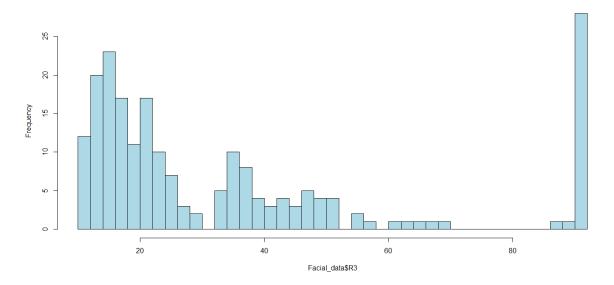
- Focused on feature R3, detecting extreme values.
- Used **IQR-based capping** to replace extreme values beyond Q3 + 1.5 * IQR with the upper limit.

• Plotted **histograms and density plots** before and after capping to visualize changes.

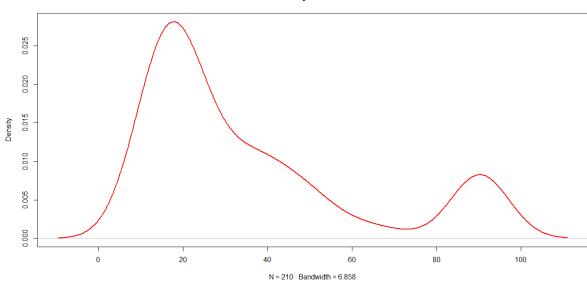




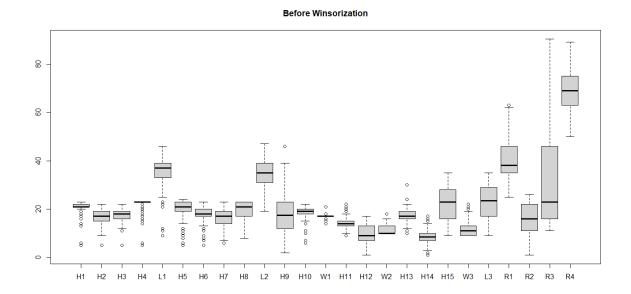
Histogram of R3



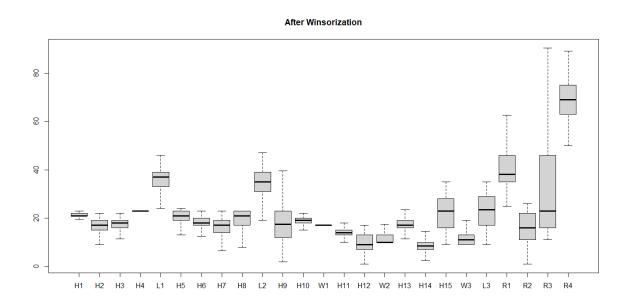
Density Plot of R3



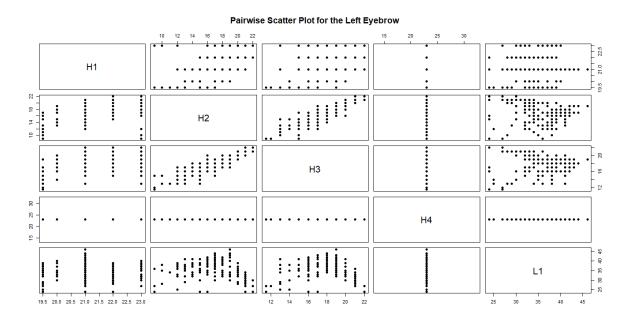
Used boxplots to identify further potential outliers.

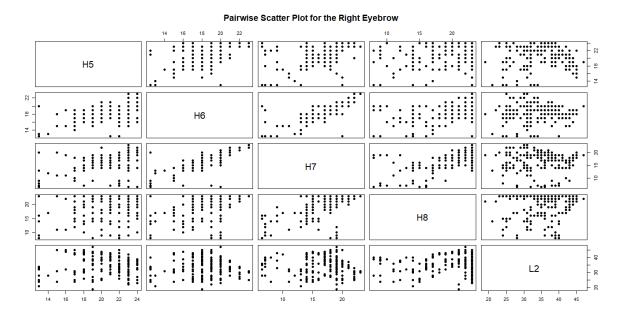


- Applied Winsorization to cap outliers.
- Created boxplots to visualize after Winsorization.

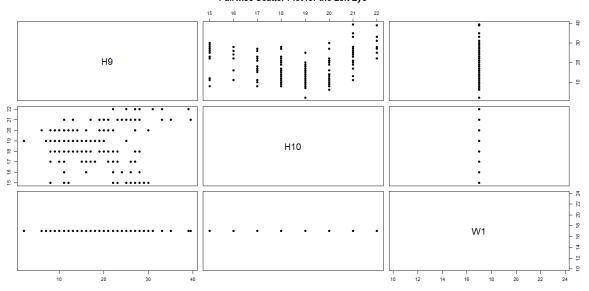


• Created **pairwise scatter plots** for feature groups (eyebrows, eyes, mouth, relationships) to observe correlations.

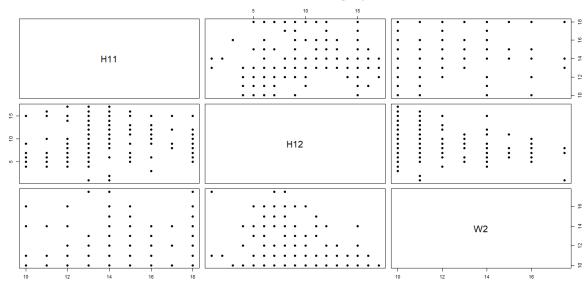




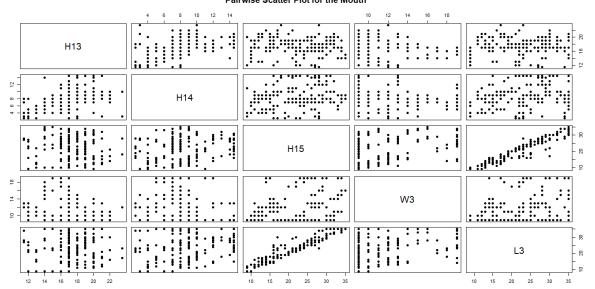
Pairwise Scatter Plot for the Left Eye



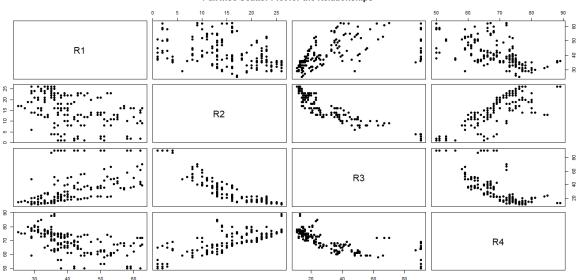
Pairwise Scatter Plot for the Right Eye



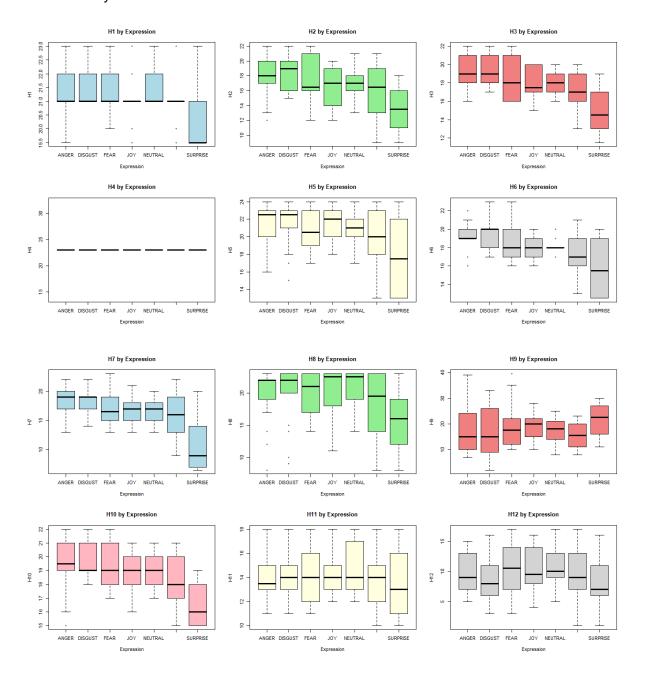
Pairwise Scatter Plot for the Mouth

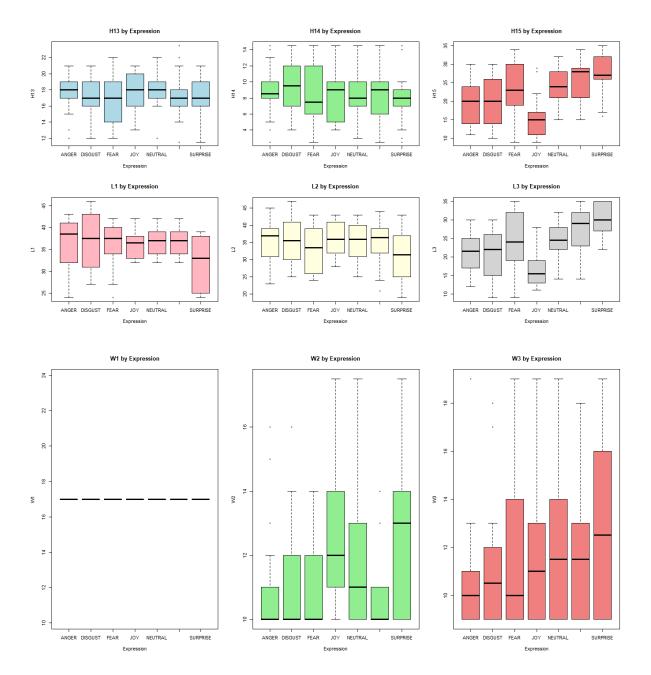


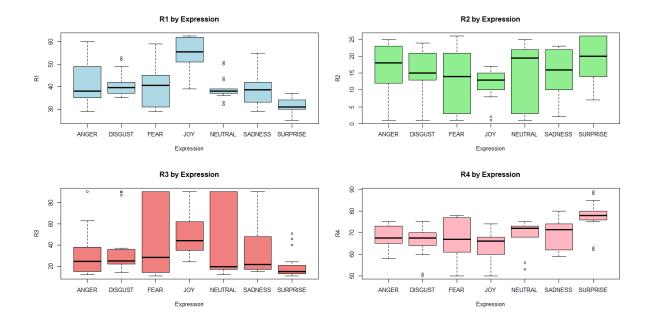
Pairwise Scatter Plot for the Relationships



 Plotted boxplots of each feature grouped by Expression to analyse how facial features vary across emotions.







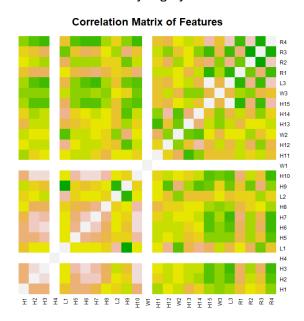
3. Data Preparation:

• Dataset Preprocessing Overview:

After understanding the dataset, the next step is to refine and prepare the data for machine learning. This involves feature selection, scaling, and dimensionality reduction to improve model performance.

• What I Did:

• Computed the **correlation matrix** to identify highly correlated features.



Selected features with correlation > 0.9 to reduce redundancy.

```
> # Features to remove based on correlation analysis
> features_to_remove <- colnames(features_data[, 1:25])[unique(high_corr_pairs[, 2])]
> print("Features to remove based on correlation analysis:")
[1] "Features to remove based on correlation analysis:"
> print(features_to_remove)
[1] "H9" "L3" "R3"
```

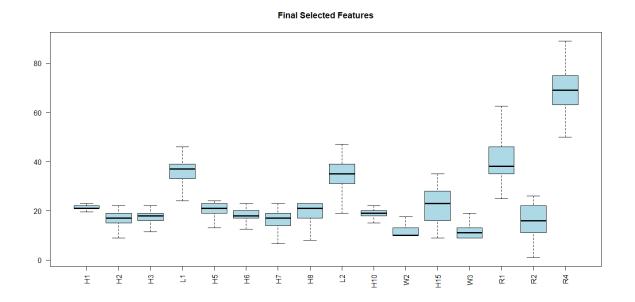
- Performed ANOVA to determine which features significantly vary across different expressions.
- Selected features with a p-value < 0.05.

```
> print("Significant features based on ANOVA:")
[1] "Significant features based on ANOVA:"
> print(significant_features)
  [1] "H1" "H2" "H3" "L1" "H5" "H6" "H7" "H8" "L2" "H10" "W2" "H15" "W3" "L3" "R1"
[16] "R2" "R3" "R4"
```

 Combined the results from Correlation and ANOVA to retain only meaningful features.

```
> print("Final selected features after combining correlation and ANOVA results:")
[1] "Final selected features after combining correlation and ANOVA results:"
> print(final_features)
  [1] "H1" "H2" "H3" "L1" "H5" "H6" "H7" "H8" "L2" "H10" "W2" "H15" "W3" "R1" "R2"
[16] "R4"
```

Plotted boxplots of the final selected features.



• Stratified train-test split (80%-20%) to maintain expression class distribution.

Verified that both train and test sets have a balanced class distribution.

```
> table(train_data$Expression)
                                JOY
   ANGER DISGUST
                      FEAR
                                     NEUTRAL
                                               SADNESS SURPRISE
               24
                        24
                                 24
                                          24
                                                    24
      24
> table(test_data$Expression)
   ANGER DISGUST
                      FEAR
                                JOY
                                     NEUTRAL
                                               SADNESS SURPRISE
       6
                6
                         6
                                  6
                                            6
                                                     6
```

Applied (PCA) to reduce dimensionality while retaining 80% variance.

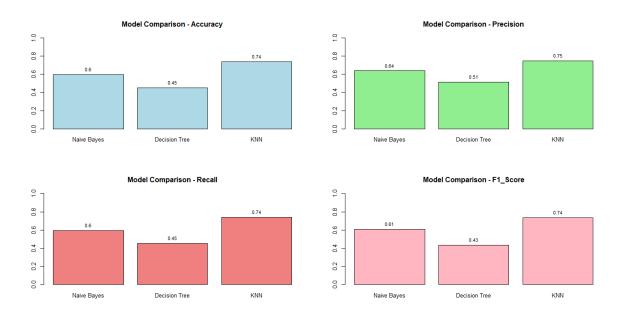
```
> summary(pca_model)
Importance of components:
                          PC1
                                 PC2
                                        PC3
                                                 PC4
                                                         PC<sub>5</sub>
                                                                 PC6
                                                                        PC7
                       1.9391 1.5759 1.1773 1.00852 0.98752 0.76905 0.7574 0.59445 0.55140
Standard deviation
Proportion of Variance 0.3133 0.2069 0.1155 0.08476 0.08127 0.04929 0.0478 0.02945 0.02534
Cumulative Proportion 0.3133 0.5203 0.6358 0.72055 0.80181 0.85110 0.8989 0.92835 0.95368
                          PC10
                                  PC11
                                           PC12
                       0.48312 0.41559 0.38690
Standard deviation
Proportion of Variance 0.01945 0.01439 0.01247
Cumulative Proportion 0.97313 0.98753 1.00000
```

Transformed train and test sets using selected principal components.

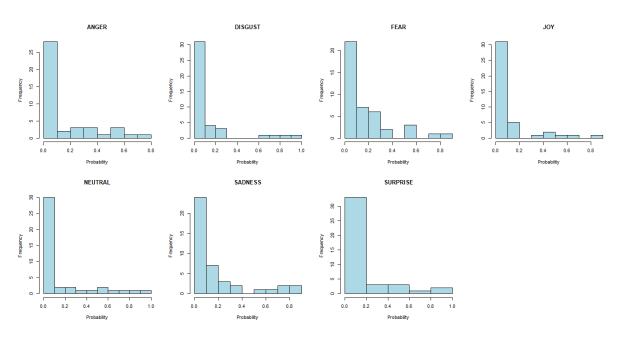
4. Model Training & Evaluation:

- What I Did:
- I used repeated **10-fold cross-validation (5 times)** to get a more reliable accuracy estimate since my dataset is small.
- Evaluated three models: Naïve Bayes, Decision Tree, and K-Nearest Neighbours (KNN).
- Naive Bayes (NB): Tuned Laplace smoothing (fL), enabled/disabled kernel-based density estimation, and adjusted smoothing bandwidth.
- Decision Tree (DT): Optimized complexity parameter (cp), tree depth, minimum split size, and bucket size.
- K-Nearest Neighbours (KNN): Tuned k-value (kmax), distance metric (Manhattan vs. Euclidean), and kernel function for optimal performance.
- Used confusion matrices to compute accuracy, precision, recall, and F1-score.

• Compared model performance using bar plots.



 Visualized the probability distributions for each class in the Naïve Bayes model using histograms.

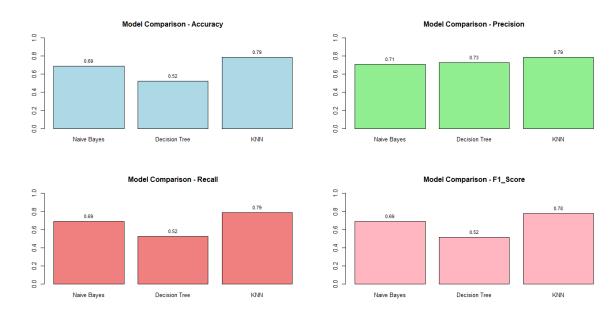


Plotted and visualized the decision tree.

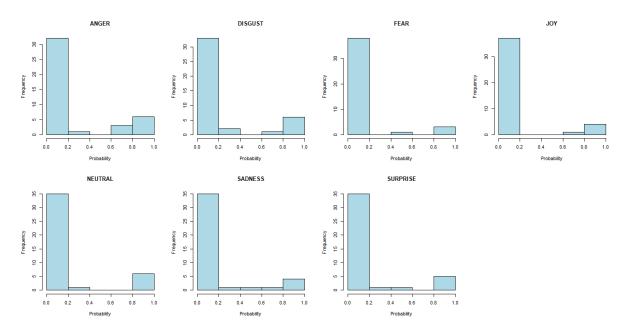
Decision Tree Visualization

 Evaluated Naïve Bayes, Decision Tree, and K-Nearest Neighbours (KNN) before applying PCA.

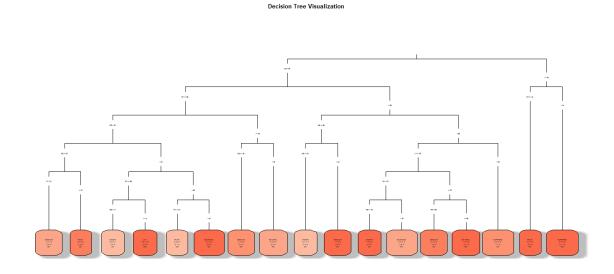
• Compared model performance before PCA.



• Plotted the probability distributions before PCA for each class in the Naïve Bayes model using histograms.



• Plotted and visualized the decision tree before PCA.



What I Learned:

PCA appears to degrade model performance.

Model	Before PCA	After PCA	Change
Naïve Bayes	69%	59.5%	▼ -9.5%
Decision Tree	52.4%	45.2%	▼ -7.2%
KNN	78.6%	73.8%	▼ -4.8%

- Naïve Bayes experiences the most significant decline in accuracy, dropping by 9.5%.
 This suggests that the original features contained crucial information that was lost during dimensionality reduction.
- Decision Tree also suffer from PCA, with a 7.2% decrease in accuracy. This indicates
 that the raw features provided better decision splits than the transformed principal
 components.
- **KNN** remains the most resilient model, exhibiting only **a 4.8% drop** in accuracy. This suggests that PCA had a smaller impact on its classification ability.
- Based on the confusion matrix, Naïve Bayes (NB) after PCA performed best for DISGUST, SADNESS, and SURPRISE, but struggled with ANGER, FEAR, JOY, and NEUTRAL.

Confusion Matrix for Naive Bayes: > print(nb_cm\$table) Reference Prediction ANGER DISGUST FEAR JOY NEUTRAL SADNESS SURPRISE 3 1 0 3 1 1 0 DISGUST 0 4 0 0 0
FEAR 0 0 3 0 1
JOY 1 0 0 3 0
NEUTRAL 0 1 3 0 3
SADNESS 2 0 0 0 0
SURPRISE 0 0 0 0 1 0 0 0 1 1 0 0 0 4 0 0 5

 Based on the confusion matrix, Decision Tree (DT) after PCA performed best for DISGUST, NEUTRAL, and SURPRISE, but had the most difficulty with ANGER, FEAR, JOY, and SADNESS.

Confusion Matrix for Decision Tree:

> print(dt_cm\$table)
Reference

Prediction ANGER DISGUST FEAR JOY NEUTRAL SADNESS SURPRISE
ANGER 1 1 0 1 0 0 0 0
DISGUST 2 4 1 1 2 2 0 0
FEAR 0 0 1 1 0 2 1
JOY 0 0 0 2 0 0 0 0
NEUTRAL 2 1 0 1 4 0 0
SADNESS 1 0 0 0 0 0 5

 Based on the confusion matrix, K-Nearest Neighbours (KNN) after PCA performed best for DISGUST, JOY, NEUTRAL, SADNESS, and SURPRISE, but struggled with ANGER, FEAR.

Confusion Matrix for KNN: > print(knn_cm\$table) Reference Prediction ANGER DISGUST FEAR JOY NEUTRAL SADNESS SURPRISE 3 0 0 0 0 1 ANGER 0 1 DISGUST FEAR 0 3 0 0 0 5 JOY 2 0 NEUTRAL SADNESS SURPRISE

 Based on the confusion matrix, Naïve Bayes (NB) before PCA performed best for ANGER, DISGUST, JOY, NEUTRAL, SADNESS, and SURPRISE, but struggled with FEAR.

Confusion Matrix for Naive Bayes: > print(nb_cm_before\$table) Reference Prediction ANGER DISGUST FEAR JOY NEUTRAL SADNESS SURPRISE 0 2 ANGER DISGUST 2 0 FEAR JOY 0 4 1 0 NEUTRAL SADNESS 2 0 SURPRISE

 Based on the confusion matrix, Decision Tree (DT) before PCA performed best for FEAR, JOY, and SADNESS, but struggled the most with ANGER, DISGUST, NEUTRAL, and SURPRISE.

Confusion Matrix for Decision Tree: > print(dt_cm_before\$table) Reference Prediction ANGER DISGUST FEAR JOY NEUTRAL SADNESS SURPRISE 0 0 0 0 0 ANGER DISGUST FEAR 5 1 0 5 JOY 0 0 NEUTRAL SADNESS 0 0 0 0 SURPRISE

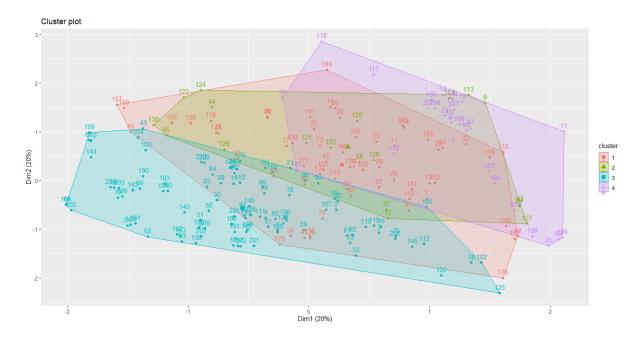
 Based on the confusion matrix, K-Nearest Neighbours (KNN) before PCA performed best for ANGER, DISGUST, JOY, NEUTRAL, SADNESS, and SURPRISE, but had difficulties with FEAR.

• **K-Nearest Neighbours (KNN)** appears to be the most effective model, as it achieved the highest performance and classified expressions with the greatest accuracy.

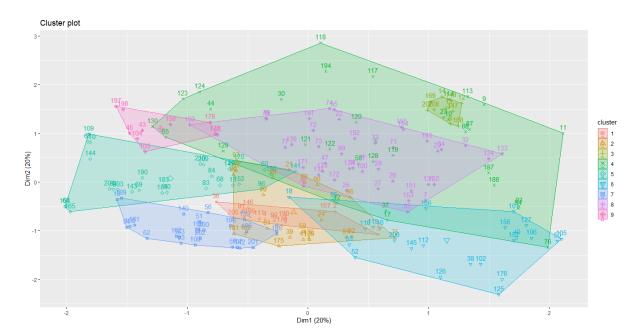
5. Clustering:

- What I Did:
- Used only feature columns for **unsupervised clustering**.
- Reduced dimensionality by applying PCA and keeping the top components explaining
 ~80% of the variance.
- Applied and evaluated three clustering algorithms.
- **K-Means:** Tuned **k**.
- Gaussian Mixture Model (GMM): Applied GMM on PCA-transformed data.
- DBSCAN: Tuned eps and minPts values.

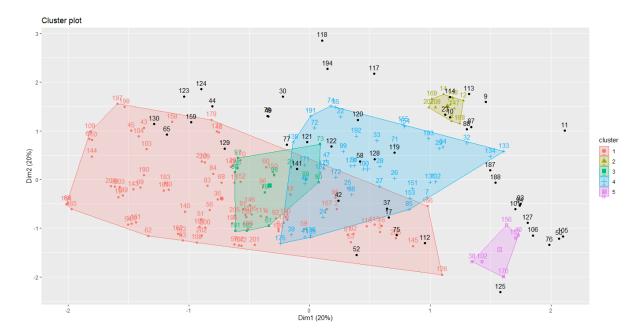
• Visualized clusters for K-Means.



• Visualized clusters for GMM.



Visualized clusters for DBSCAN.



Evaluated K-Means clusters using Silhouette Score.

Evaluated GMM clusters using Silhouette Score.

Evaluated DBSCAN clusters using Silhouette Score.

What I Learned:

• **K-Means** imposed 4 clusters, but there are 7 true expressions. Average silhouette ~0.31 suggests moderate separation.

- **GMM** chose 9 clusters on its own, more than actual expressions. Two clusters had very high silhouette (> 0.6), indicating strong internal cohesion. One had a negative average silhouette, a warning sign.
- **DBSCAN** detected some very cohesive, small groups (silhouette ~0.7). 46 instances were labelled as noise, nearly 22% of the data.
- Based on the confusion matrix, K-Means is able to clearly isolate Surprise (Cluster 2), but struggles to separate similar expressions (especially the "negative" ones like Sadness, Fear, Disgust). Too few clusters for 7 expressions.

 Based on the confusion matrix, GMM creates clusters, some of which do isolate specific expressions (especially Surprise and Joy). Others are highly mixed, possibly detecting variation within expressions.

 Based on the confusion matrix, **DBSCAN** is catching expressions like Surprise, but struggles with the rest. Noise label (Cluster 0) is rich in actual emotion, which might reflect very strong expressions.

 Clustering algorithms struggle to distinguish facial expressions due to overlapping feature patterns and subtle differences between emotions, leading to mixed cluster compositions. This suggests unsupervised methods alone are insufficient for clearly separating all seven expressions.