

## **Introduction**

For this case study, the main objective is to apply a machine learning technique such as Support Vector Machine to classify a non-linearly separable dataset using the Kernel trick. Linear SVM cannot detect the nonlinear structures present in the dataset. Like many other kernel-based learning algorithms, SVMs work by embedding the data into a high dimensional feature space and then searching for linear relations among the embedded data points. Kernel-SVM maps the data from the input space to a feature space using a nonlinear function, the mapping is done using the kernel trick. Once the data is mapped onto the feature space (usually higher dimension than the input space), linear SVM is applied in this new mapped space.

The data consists of normalized handwritten digits, automatically scanned from envelopes by the U.S. Postal Service. The aim of this study is to compare and assess the performance of support vector machines with RBF and polynomial kernel for classifying handwritten digits of 16\*16 grayscale images. Test accuracy and misclassification error rate are used as metrics to evaluate and analyze the experimental results. Precision and recall values for each class is also examined.

## **Data Description and Understanding**

The digits come from the handwritten ZIP codes on envelopes from U.S. postal mail. Each image is a segment from a five digit ZIP code, isolating a single digit. The images are 16×16 eight-bit grayscale maps, with each pixel ranging in intensity from 0 to 255.

The original scanned digits are binary and of different sizes and orientations; the images here have been de-slanted and size normalized, resulting in 16 x 16 grayscale images. The data are in two zipped files, and each line consists of the digit id (0-9) followed by the 256 grayscale values.

There are 7291 training observations and 2007 test observations distributed as follows:

|       | 0    | 1    | 2   | 3   | 4   | 5   | 6   | 7   | 8   | 9   | Total |
|-------|------|------|-----|-----|-----|-----|-----|-----|-----|-----|-------|
| Train | 1194 | 1005 | 731 | 658 | 652 | 556 | 664 | 645 | 542 | 644 | 7291  |
| Test  | 359  | 264  | 198 | 166 | 200 | 160 | 170 | 147 | 166 | 177 | 2007  |

As proportions:

|       | 0    | 1    | 2   | 3    | 4    | 5    | 6    | 7    | 8    | 9    |
|-------|------|------|-----|------|------|------|------|------|------|------|
| Train | 0.16 | 0.14 | 0.1 | 0.09 | 0.09 | 0.08 | 0.09 | 0.09 | 0.07 | 0.09 |

|      |      |      |     |      |      |      |      |      |      |      |
|------|------|------|-----|------|------|------|------|------|------|------|
| Test | 0.18 | 0.13 | 0.1 | 0.08 | 0.10 | 0.08 | 0.08 | 0.07 | 0.08 | 0.09 |
|------|------|------|-----|------|------|------|------|------|------|------|

Data Source: <http://statweb.stanford.edu/~tibs/ElemStatLearn/data.html>

Number of instances: 7291 for training set (zip.train), 2007 for testing data set (zip.test)  
Number of attributes: 256

Output variable (desired target): Y – any of the digits from 0-9  
Input variables: Normalized greyscale values, 256 dimensions

### Data Cleaning and Analysis:

The digits were written by many different people, using a great variety of sizes, writing styles and instruments, with widely varying amounts of care. The handwritten digit data was then linearly transformed to make the image fit in a 16\*16-pixel image. Because of the linear transformation, the resulting image is not binary but has multiple gray levels, since a variable number of pixels in the original image can fall into a given pixel in the target image. The gray levels of each image are scaled and translated to fall within the range -1 to 1. Data distribution and summary for the first 20 attributes is shown in Table 1.

| V1      |          | V2      |          | V3      |         | V4      |         |
|---------|----------|---------|----------|---------|---------|---------|---------|
| Min.    | :0.0     | Min.    | :-1.000  | Min.    | :-1.000 | Min.    | :-1.000 |
| 1st Qu. | :1.0     | 1st Qu. | :-1.000  | 1st Qu. | :-1.000 | 1st Qu. | :-1.000 |
| Median  | :4.0     | Median  | :-1.000  | Median  | :-1.000 | Median  | :-1.000 |
| Mean    | :3.9     | Mean    | :-0.996  | Mean    | :-0.981 | Mean    | :-0.951 |
| 3rd Qu. | :7.0     | 3rd Qu. | :-1.000  | 3rd Qu. | :-1.000 | 3rd Qu. | :-1.000 |
| Max.    | :9.0     | Max.    | : 0.638  | Max.    | : 1.000 | Max.    | : 1.000 |
| V5      |          | V6      |          | V7      |         | V8      |         |
| Min.    | :-1.000  | Min.    | :-1.000  | Min.    | :-1.000 | Min.    | :-1.000 |
| 1st Qu. | :-1.000  | 1st Qu. | :-1.000  | 1st Qu. | :-1.000 | 1st Qu. | :-1.000 |
| Median  | :-1.000  | Median  | :-1.000  | Median  | :-1.000 | Median  | :-0.719 |
| Mean    | :-0.888  | Mean    | :-0.773  | Mean    | :-0.610 | Mean    | :-0.369 |
| 3rd Qu. | :-1.000  | 3rd Qu. | :-0.962  | 3rd Qu. | :-0.391 | 3rd Qu. | : 0.255 |
| Max.    | : 1.000  | Max.    | : 1.000  | Max.    | : 1.000 | Max.    | : 1.000 |
| V9      |          | V10     |          | V11     |         | V12     |         |
| Min.    | :-1.0000 | Min.    | :-1.0000 | Min.    | :-1.000 | Min.    | :-1.000 |
| 1st Qu. | :-0.9990 | 1st Qu. | :-0.9500 | 1st Qu. | :-1.000 | 1st Qu. | :-1.000 |
| Median  | : 0.0610 | Median  | : 0.0020 | Median  | :-0.561 | Median  | :-0.995 |
| Mean    | :-0.0458 | Mean    | :-0.0526 | Mean    | :-0.285 | Mean    | :-0.504 |
| 3rd Qu. | : 0.6960 | 3rd Qu. | : 0.6745 | 3rd Qu. | : 0.438 | 3rd Qu. | :-0.012 |
| Max.    | : 1.0000 | Max.    | : 1.0000 | Max.    | : 1.000 | Max.    | : 1.000 |
| V13     |          | V14     |          | V15     |         | V16     |         |
| Min.    | :-1.000  | Min.    | :-1.000  | Min.    | :-1.000 | Min.    | :-1.000 |
| 1st Qu. | :-1.000  | 1st Qu. | :-1.000  | 1st Qu. | :-1.000 | 1st Qu. | :-1.000 |
| Median  | :-1.000  | Median  | :-1.000  | Median  | :-1.000 | Median  | :-1.000 |
| Mean    | :-0.686  | Mean    | :-0.815  | Mean    | :-0.906 | Mean    | :-0.966 |
| 3rd Qu. | :-0.685  | 3rd Qu. | :-1.000  | 3rd Qu. | :-1.000 | 3rd Qu. | :-1.000 |
| Max.    | : 1.000  | Max.    | : 1.000  | Max.    | : 1.000 | Max.    | : 1.000 |
| V17     |          | V18     |          | V19     |         | V20     |         |
| Min.    | :-1.000  | Min.    | :-1.000  | Min.    | :-1.000 | Min.    | :-1.000 |
| 1st Qu. | :-1.000  | 1st Qu. | :-1.000  | 1st Qu. | :-1.000 | 1st Qu. | :-1.000 |
| Median  | :-1.000  | Median  | :-1.000  | Median  | :-1.000 | Median  | :-1.000 |
| Mean    | :-0.993  | Mean    | :-0.990  | Mean    | :-0.951 | Mean    | :-0.865 |
| 3rd Qu. | :-1.000  | 3rd Qu. | :-1.000  | 3rd Qu. | :-1.000 | 3rd Qu. | :-1.000 |
| Max.    | : 0.752  | Max.    | : 0.776  | Max.    | : 1.000 | Max.    | : 1.000 |

Table 1: Summary statistics for the train data

Brunda Chouthoy  
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After initial exploration, it could be determined that the handwritten digit data is well organized and has NO missing data in the train and test data sets. (shown in Table 2).

```
> #Check if there are missing values in the Training data
> table(is.na(train_data))

FALSE
1873787
> sapply(train_data, function(train_data) sum(is.na(train_data)))
```

| V1   | V2   | V3   | V4   | V5   | V6   | V7   | V8   | V9   | V10  | V11  | V12  | V13  | V14  | V15  | V16  | V17  | V18  | V19  | V20  | V21  | V22  |
|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V23  | V24  | V25  | V26  | V27  | V28  | V29  | V30  | V31  | V32  | V33  | V34  | V35  | V36  | V37  | V38  | V39  | V40  | V41  | V42  | V43  | V44  |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V45  | V46  | V47  | V48  | V49  | V50  | V51  | V52  | V53  | V54  | V55  | V56  | V57  | V58  | V59  | V60  | V61  | V62  | V63  | V64  | V65  | V66  |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V67  | V68  | V69  | V70  | V71  | V72  | V73  | V74  | V75  | V76  | V77  | V78  | V79  | V80  | V81  | V82  | V83  | V84  | V85  | V86  | V87  | V88  |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V89  | V90  | V91  | V92  | V93  | V94  | V95  | V96  | V97  | V98  | V99  | V100 | V101 | V102 | V103 | V104 | V105 | V106 | V107 | V108 | V109 | V110 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V111 | V112 | V113 | V114 | V115 | V116 | V117 | V118 | V119 | V120 | V121 | V122 | V123 | V124 | V125 | V126 | V127 | V128 | V129 | V130 | V131 | V132 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V133 | V134 | V135 | V136 | V137 | V138 | V139 | V140 | V141 | V142 | V143 | V144 | V145 | V146 | V147 | V148 | V149 | V150 | V151 | V152 | V153 | V154 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V155 | V156 | V157 | V158 | V159 | V160 | V161 | V162 | V163 | V164 | V165 | V166 | V167 | V168 | V169 | V170 | V171 | V172 | V173 | V174 | V175 | V176 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V177 | V178 | V179 | V180 | V181 | V182 | V183 | V184 | V185 | V186 | V187 | V188 | V189 | V190 | V191 | V192 | V193 | V194 | V195 | V196 | V197 | V198 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V199 | V200 | V201 | V202 | V203 | V204 | V205 | V206 | V207 | V208 | V209 | V210 | V211 | V212 | V213 | V214 | V215 | V216 | V217 | V218 | V219 | V220 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V221 | V222 | V223 | V224 | V225 | V226 | V227 | V228 | V229 | V230 | V231 | V232 | V233 | V234 | V235 | V236 | V237 | V238 | V239 | V240 | V241 | V242 |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |
| V243 | V244 | V245 | V246 | V247 | V248 | V249 | V250 | V251 | V252 | V253 | V254 | V255 | V256 | V257 |      |      |      |      |      |      |      |
| 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    | 0    |      |      |      |      |      |      |      |

Table 2: Missing data

## Data Transformation:

- The class label/target variable was transformed from numeric to factor datatype (categorical) for both training and the testing datasets.
- Column names were assigned for all the attributes.

The snapshot after the transformation of the variables is shown in Table 3.

```
> #For Train Data --> Transform Label as Factor(categorical) and change column names to D.1 to D.256
> train_data[, 1] <- as.factor(train_data[, 1]) # As Category
> colnames(train_data) <- c("Y", paste("D.", 1:256, sep = ""))
> class(train_data[, 1])
[1] "factor"
> levels(train_data[, 1])
[1] "0" "1" "2" "3" "4" "5" "6" "7" "8" "9"
> ##Check datatypes of each variable after label transformation
> sapply(train_data[, ], class)
```

| Y         | D.1       | D.2       | D.3       | D.4       | D.5       | D.6       | D.7       | D.8       | D.9       | D.10      | D.11      |
|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| "factor"  | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.12      | D.13      | D.14      | D.15      | D.16      | D.17      | D.18      | D.19      | D.20      | D.21      | D.22      | D.23      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.24      | D.25      | D.26      | D.27      | D.28      | D.29      | D.30      | D.31      | D.32      | D.33      | D.34      | D.35      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.36      | D.37      | D.38      | D.39      | D.40      | D.41      | D.42      | D.43      | D.44      | D.45      | D.46      | D.47      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.48      | D.49      | D.50      | D.51      | D.52      | D.53      | D.54      | D.55      | D.56      | D.57      | D.58      | D.59      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.60      | D.61      | D.62      | D.63      | D.64      | D.65      | D.66      | D.67      | D.68      | D.69      | D.70      | D.71      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.72      | D.73      | D.74      | D.75      | D.76      | D.77      | D.78      | D.79      | D.80      | D.81      | D.82      | D.83      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |
| D.84      | D.85      | D.86      | D.87      | D.88      | D.89      | D.90      | D.91      | D.92      | D.93      | D.94      | D.95      |
| "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" | "numeric" |

Table 3: Datatype transformation for the target variable

**Displaying digits of the training dataset:** For exploratory analysis, I started by visualizing all the training data labels by rendering some sort of an average of each character. An average of each digit was computed and displayed in Figure 1.

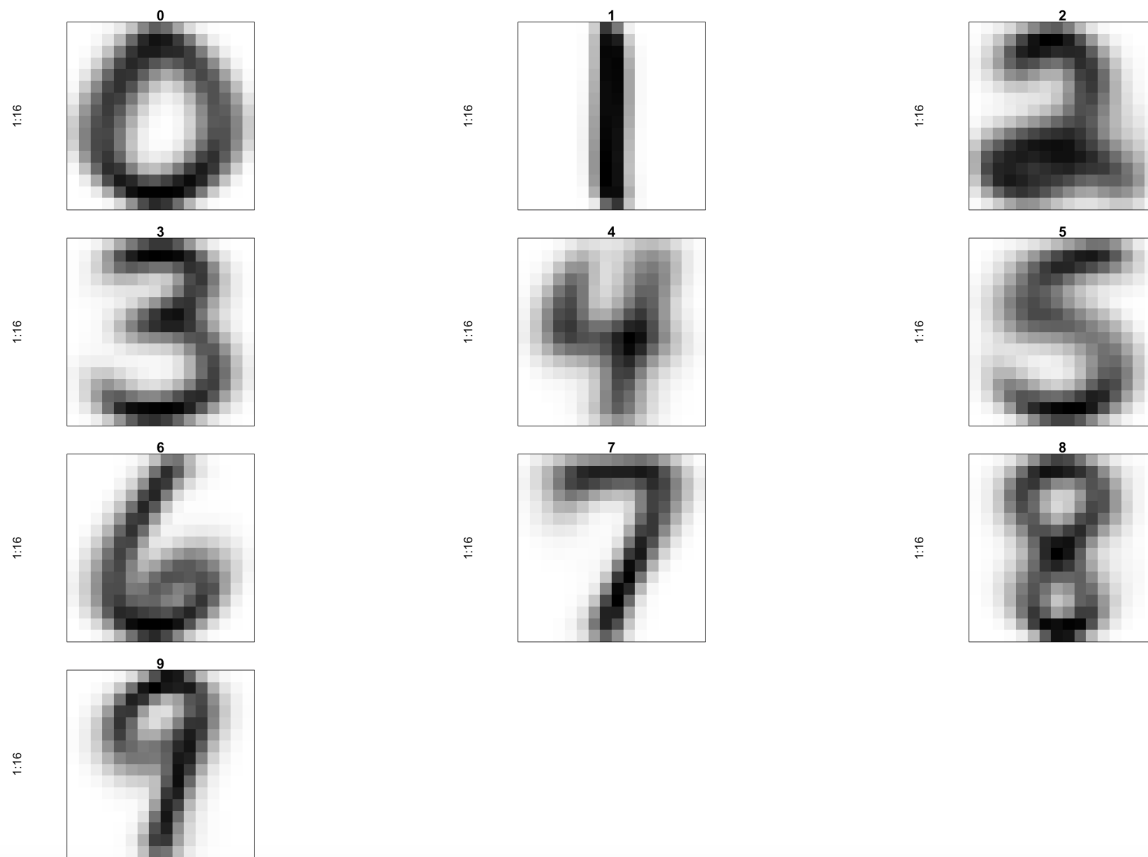


Figure 1: Display of each digit

A PDF file is also generated with digits of all the rows in the training data set to get an idea of what kind of anonymous instances should be expected for further analysis and classification – File Attached with this submission.

### **Analysis of the target variable:**

Bar plots are used to check the total number of digits across all categories for the training and the test data set.

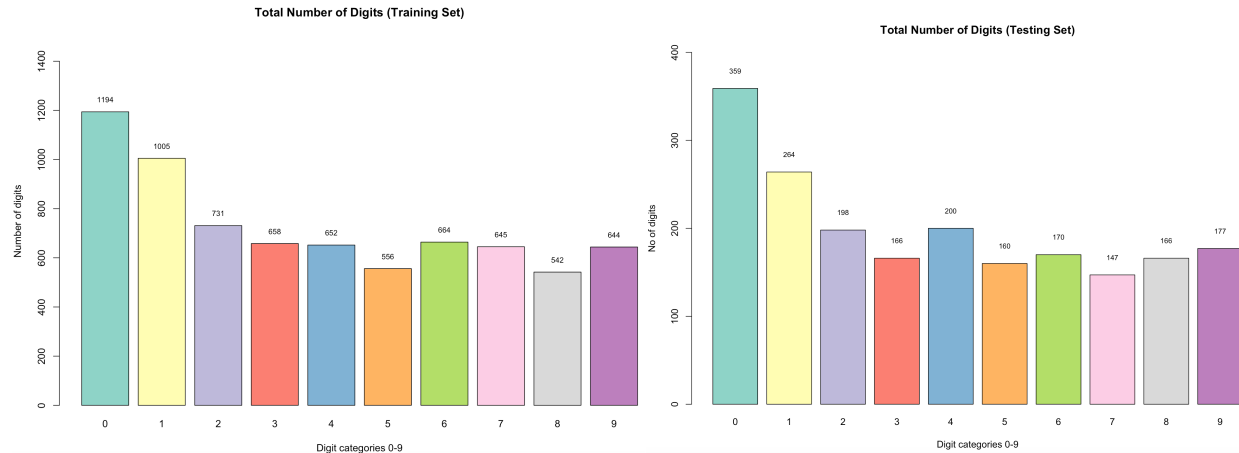


Figure 2: Bar plots to depict the total number of digits in each category

## **Experimental Results:**

Two models are applied for recognizing and classifying handwritten digit dataset –

- i. **Support Vector Machine with RBF kernel**
- ii. **Support Vector Machine with polynomial kernel function**

Technical discussion:

- Linear SVM cannot detect the nonlinear structures present in the dataset.
- Kernel-SVM maps the data from the input space to a feature space using a nonlinear function, the mapping is done using the kernel trick. Once the data is mapped onto the feature space (usually higher dimension than the input space), linear SVM is applied in this new mapped space.
- Performance of the SVM algorithm with different kernel functions depends on the choice of parameters. The optimal selection of these parameters is a nontrivial issue.
- After training SVM, the best value  $C$  and  $g$  can be used to classify children with handwriting problems.
- To use the RBF kernel with SVM, we need to find parameter  $C$  (cost) and  $g$  (gamma).
- To use the polynomial kernel function with SVM, we need to determine the degree of the polynomial and co-efficient  $0$ .
- The penalty factor  $C$  – the cost for constraints violation, is used to improve generalized capability when  $C$  is increasing while gamma and degree are the adjustable parameters of study in the experiment and they are used to adjust experienced error value.
- The tuning of parameters is important to understand the influence of these parameters, because the accuracy of an SVM model is largely dependent on the selection them. For example, if  $C$  is too large, we have a high penalty for non-

separable points and we may store many support vectors and over fit the data. However, if the C parameter is too small, it might result in under fitting the data.

### Results: **Support Vector Machine with RBF kernel**

- The tune.svm() function in R is used to do a grid search over the supplied parameter ranges (C cost, gamma), using the train data set. The range of gamma parameter is between 0.000001 and 0.1. For cost parameter, the range is from 0.1 until 10.
- The parameters gamma and cost were tuned with several different values manually and with the tune function in R. The best values for the handwritten digits' dataset – gamma: 0.01 and cost:5
- Summary of the model is shown in Figure 3. Number of support vectors: 1767

```
> pc <- proc.time()
> model.svm <- svm(Y ~ ., kernel = "radial", method = "class", data = train_data, gamma = 0.001, cost = 10)
> proc.time() - pc
  user  system elapsed
14.059   0.228  14.336
> summary(model.svm)
```

```
Call:
svm(formula = Y ~ ., data = train_data, kernel = "radial", method = "class", gamma = 0.001, cost = 10)
```

```
Parameters:
  SVM-Type:  C-classification
  SVM-Kernel: radial
    cost:   10
   gamma:  0.001
```

```
Number of Support Vectors: 1767
```

```
( 148 235 227 147 193 46 156 201 236 178 )
```

```
Number of Classes: 10
```

```
Levels:
 0 1 2 3 4 5 6 7 8 9
```

Figure 3: Summary of SVM with RBF kernel

### Confusion matrix and test Accuracy for RBF kernel:

```
> predict.svm <- predict(model.svm, newdata = test_data, type = "class")
> table(`Actual Class` = test_data$Y, `Predicted Class` = predict.svm)
```

|              | Predicted Class |     |     |     |     |     |     |     |     |     |  |
|--------------|-----------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|--|
| Actual Class | 0               | 1   | 2   | 3   | 4   | 5   | 6   | 7   | 8   | 9   |  |
| 0            | 352             | 0   | 2   | 0   | 3   | 0   | 0   | 0   | 2   | 0   |  |
| 1            | 0               | 257 | 0   | 0   | 4   | 0   | 3   | 0   | 0   | 0   |  |
| 2            | 0               | 0   | 183 | 5   | 4   | 2   | 0   | 1   | 3   | 0   |  |
| 3            | 1               | 0   | 3   | 150 | 0   | 8   | 0   | 1   | 3   | 0   |  |
| 4            | 0               | 1   | 4   | 0   | 186 | 2   | 2   | 1   | 0   | 4   |  |
| 5            | 4               | 0   | 0   | 5   | 2   | 146 | 0   | 0   | 2   | 1   |  |
| 6            | 0               | 0   | 3   | 0   | 3   | 1   | 163 | 0   | 0   | 0   |  |
| 7            | 0               | 0   | 1   | 0   | 6   | 1   | 0   | 137 | 0   | 2   |  |
| 8            | 4               | 0   | 0   | 2   | 0   | 4   | 0   | 0   | 153 | 3   |  |
| 9            | 0               | 0   | 0   | 0   | 5   | 1   | 0   | 1   | 0   | 170 |  |

```
>
> error.rate.svm <- sum(test_data$Y != predict.svm)/nrow(test_data)
> print(paste0("Accuracy (Precision): ", 1 - error.rate.svm))
[1] "Accuracy (Precision): 0.9451918285999"
```

Test Accuracy of the model: **94.57**  
 Total number of misclassified digits (Error numbers): **110**  
 Misclassification error rate on the test data set: **0.054 or 5.43%**

### Recall and Precision values for each class using the polynomial kernel:

```
> #Precision for each class - RBF kernel
> precision<-(precision <- diag(mat.radial) / rowSums(mat.radial))
> print(paste0("Precision: ", precision))
[1] "Precision: 0.98050139275766" "Precision: 0.973484848484849" "Precision: 0.924242424242424"
[4] "Precision: 0.903614457831325" "Precision: 0.93" "Precision: 0.9125"
[7] "Precision: 0.958823529411765" "Precision: 0.931972789115646" "Precision: 0.921686746987952"
[10] "Precision: 0.96045197740113"
>
> #Recall for each class
> recall <- (diag(mat.radial) / colSums(mat.radial))
> print(paste0("Recall: ", recall))
[1] "Recall: 0.975069252077562" "Recall: 0.996124031007752" "Recall: 0.933673469387755" "Recall: 0.925925925925926"
[5] "Recall: 0.873239436619718" "Recall: 0.884848484848485" "Recall: 0.970238095238095" "Recall: 0.971631205673759"
[9] "Recall: 0.938650306748466" "Recall: 0.944444444444444"
> |
```

Some examples of the misclassified cases on test data:

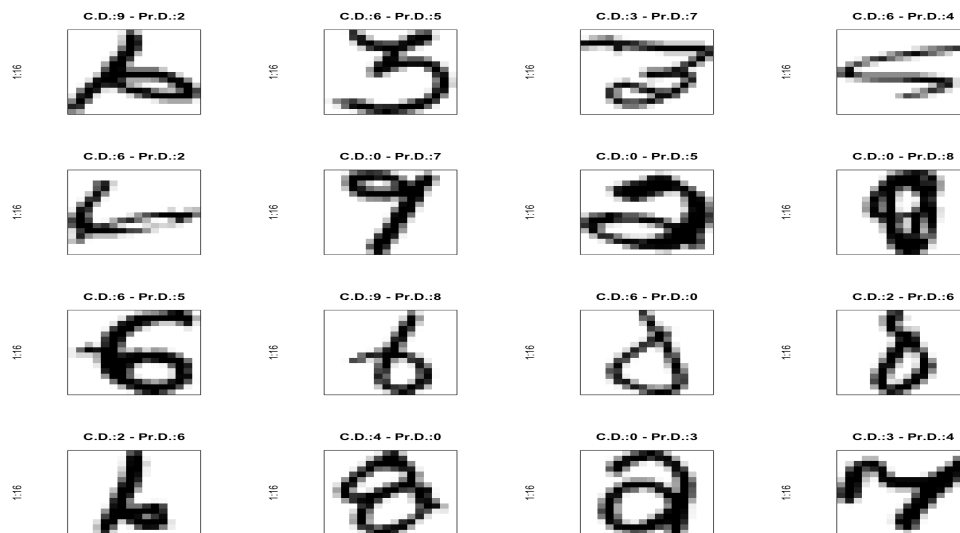


Figure 4: Misclassified digits on the test data

### Support Vector Machine with Polynomial kernel

- The tune.svm() function in R is used to do a grid search over the supplied parameter ranges for the degree and coef0 parameters using the training data set. The range of degree parameter is between 1 and 4. For coef0 parameter, the range is from -1 until 4.
- The parameters degree and coef0 for the polynomial kernel were tuned with several different values manually and with the tune function in R. The best values for the handwritten digits' dataset – degree: 3 and coef0: 1
- Summary of the model is shown in Figure 5. Number of support vectors: 1891

```
> pc <- proc.time()
> model.svm.polynomial <- svm(Y ~ ., method = "class", data = train_data, kernel = 'polynomial', degree = 3,coef0 = 1)
> proc.time() - pc
  user system elapsed
16.053   0.406  16.584
> summary(model.svm.polynomial)

Call:
svm(formula = Y ~ ., data = train_data, method = "class", kernel = "polynomial", degree = 3, coef0 = 1)

Parameters:
  SVM-Type:  C-classification
 SVM-Kernel: polynomial
    cost:    1
  degree:    3
  gamma:    0.00390625
  coef.0:    1

Number of Support Vectors: 1891

( 166 240 251 152 210 51 159 219 253 190 )

Number of Classes: 10

Levels:
0 1 2 3 4 5 6 7 8 9
```

Figure 5: Summary of the model with Polynomial kernel



### Confusion matrix and test Accuracy for the polynomial kernel:

```
> ##Confusion Matrix for SVM - polynomial kernel
> predict.svm.poly <- predict(model.svm.polynomial, newdata = test_data, type = "class")
> matrix<-table(`Actual Class` = test_data$Y, `Predicted Class` = predict.svm.poly)
> matrix
```

| Actual Class \ Predicted Class | 0   | 1   | 2   | 3   | 4   | 5   | 6   | 7   | 8   | 9   |
|--------------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| 0                              | 352 | 0   | 2   | 0   | 2   | 1   | 1   | 0   | 1   | 0   |
| 1                              | 0   | 257 | 0   | 0   | 4   | 0   | 3   | 0   | 0   | 0   |
| 2                              | 0   | 0   | 185 | 3   | 2   | 1   | 0   | 1   | 6   | 0   |
| 3                              | 1   | 0   | 2   | 151 | 0   | 10  | 0   | 1   | 1   | 0   |
| 4                              | 0   | 1   | 3   | 0   | 190 | 1   | 1   | 1   | 0   | 3   |
| 5                              | 2   | 0   | 0   | 3   | 1   | 149 | 0   | 0   | 3   | 2   |
| 6                              | 0   | 1   | 2   | 0   | 1   | 1   | 164 | 0   | 1   | 0   |
| 7                              | 0   | 0   | 1   | 0   | 10  | 1   | 0   | 134 | 0   | 1   |
| 8                              | 4   | 0   | 0   | 2   | 0   | 2   | 1   | 0   | 155 | 2   |
| 9                              | 0   | 0   | 0   | 0   | 5   | 1   | 0   | 0   | 1   | 170 |

```
> error.rate.svm <- sum(test_data$Y != predict.svm.poly)/nrow(test_data)
> print(paste0("Accuracy (Precision): ", 1 - error.rate.svm))
[1] "Accuracy (Precision): 0.950174389636273"
```

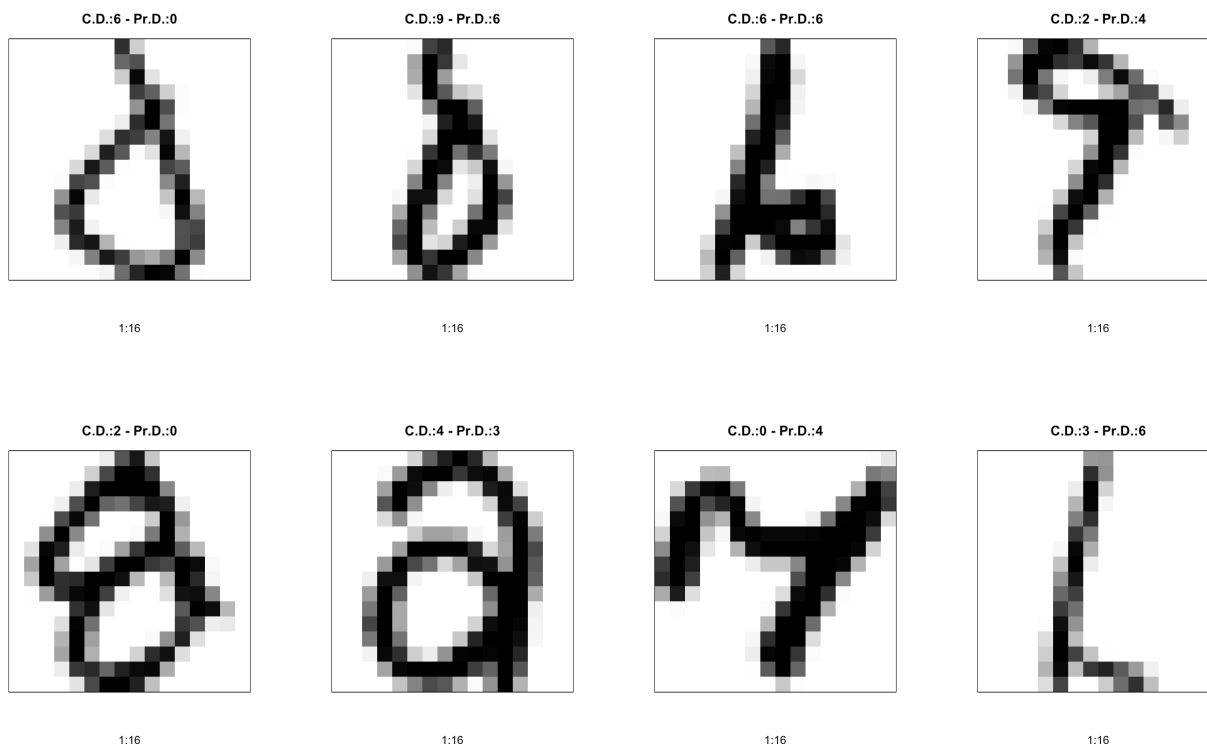
Test Accuracy of the model: **0.95017 or 95.017%**  
 Total number of misclassified digits (Error numbers): **100**  
 Misclassification error rate on the test data set: **0.049 or 4.9%**

### Recall and Precision values for each class using the polynomial kernel:

```
> #Precision for each class
> precision<-(precision <- diag(matrix) / rowSums(matrix))
> print(paste0("Precision: ", precision))
[1] "Precision: 0.98050139275766" "Precision: 0.973484848484849" "Precision: 0.934343434343434"
[4] "Precision: 0.909638554216867" "Precision: 0.95" "Precision: 0.93125"
[7] "Precision: 0.964705882352941" "Precision: 0.91156462585034" "Precision: 0.933734939759036"
[10] "Precision: 0.96045197740113"
>
> #Recall for each class
> recall <- (diag(matrix) / colSums(matrix))
> print(paste0("Recall: ", recall))
[1] "Recall: 0.98050139275766" "Recall: 0.992277992277992" "Recall: 0.948717948717949" "Recall: 0.949685534591195"
[5] "Recall: 0.883720930232558" "Recall: 0.892215568862275" "Recall: 0.964705882352941" "Recall: 0.978102189781022"
[9] "Recall: 0.922619047619048" "Recall: 0.955056179775281"
>
```

Some examples of the misclassified cases on test data:

Brunda Chouthoy  
CSC 529: Case Study-2  
Handwritten Digit recognition using SVM-kernels



### Experimental Analysis:

Table 12 shows the results and comparison consolidated from both the models.

| Testing Data                  | Accuracy         | Number of misclassified digits | Misclassification Error rate |
|-------------------------------|------------------|--------------------------------|------------------------------|
| 1. SVM with RBF kernel        | 0.9457 or 94.57% | 110                            | 0.054 or 5.43%               |
| 2. SVM with Polynomial kernel | 0.9501 or 95.01% | 100                            | 0.049 or 4.9%                |

Table 4: Performance comparison

Table 5 and Table 6 depict the precision and recall values for both the models:

| SVM with RBF kernel | Precision | Recall |
|---------------------|-----------|--------|
| Class 0:            | 0.9805    | 0.975  |
| Class 1:            | 0.9734    | 0.9961 |
| Class 2:            | 0.9242    | 0.9336 |
| Class 3:            | 0.9036    | 0.9259 |

|          |        |        |
|----------|--------|--------|
| Class 4: | 0.93   | 0.8732 |
| Class 5: | 0.9125 | 0.8848 |
| Class 6: | 0.9588 | 0.9702 |
| Class 7: | 0.9319 | 0.9716 |
| Class 8: | 0.9216 | 0.9386 |
| Class 9: | 0.9604 | 0.9444 |

Table 5: Precision and Recall values for the SVM model using RBF kernel

| SVM with polynomial kernel | Precision | Recall |
|----------------------------|-----------|--------|
| Class 0:                   | 0.9805    | 0.9805 |
| Class 1:                   | 0.9734    | 0.9922 |
| Class 2:                   | 0.9343    | 0.9487 |
| Class 3:                   | 0.9096    | 0.9496 |
| Class 4:                   | 0.95      | 0.8837 |
| Class 5:                   | 0.9312    | 0.8922 |
| Class 6:                   | 0.9647    | 0.9647 |
| Class 7:                   | 0.9115    | 0.9781 |
| Class 8:                   | 0.9337    | 0.9226 |
| Class 9:                   | 0.9604    | 0.955  |

Table 6: Precision and recall values for the SVM model using polynomial kernel

- As per the results from the table, the accuracy of the models range from 94.57%-95.01% for the testing dataset. Precision and Recall for each class along with misclassification error rate (rejection of genuine category) and accuracy as evaluation metrics for the model are used to compare the two SVM models.
- The total number of misclassified digits or error digits were 110 for the model with RBF kernel and 100 for the model with polynomial kernel which is a significant improvement. The misclassification error rate for the polynomial kernel is 0.049 or 4.9% which is better than the one with RBF kernel.
- For the model with RBF kernel, the recall or the True positive rate was highest for class 1 meaning 99.61% of the test data that belonged to Class 1 was predicted correctly and TPR for Class 4 was the lowest meaning only 87% of the cases were correctly predicted.
- Similarly, for the model with polynomial kernel, the recall or the True positive rate (TPR) was highest for class 1 meaning 99.22% of the test data that belonged to Class 1 was predicted correctly and TPR for Class 4 was the lowest meaning only 88.4% of the cases were correctly predicted.
- Furthermore, Precision values for Class 0 was the highest and for Class 3 was the lowest for both the model variations. Precision is the probability that a (randomly selected) retrieved digit is relevant.

- From the above analysis, it can be established that the performance of SVM with polynomial kernel is better than the one with RBF kernel for recognizing handwritten digit data by USPS.

### **Conclusion:**

- In this project, R code was developed to recognize handwritten digits with kernel SVM technique. Results obtained prove that the classification using kernel SVM was achieved.
- Kernel-SVM maps the data from the input space to a feature space using a nonlinear function, the mapping is done using the kernel trick. Once the data is mapped onto the feature space (usually higher dimension than the input space), linear SVM is applied in this new mapped space.
- The data consists of normalized handwritten digits, automatically scanned from envelopes by the U.S. Postal Service. The ZIP CODE data by the USPS was already split into training and test data sets. Number of instances: 7291 for training set and 2007 instances for testing data set.
- The data consists of images that are 16×16 eight-bit grayscale maps, with each pixel ranging in intensity from 0 to 255. There is a total of 256 dimensions/predictor variables and a class variable consisting one of the digits 0-9.
- The aim of this study is to compare and assess the performance of support vector machines with RBF and polynomial kernel for classifying handwritten digits of 16\*16 grayscale images.
- After initial analysis, it could be determined that that the bank telemarketing data is well organized and has NO missing data and many different variables were examined as a part of the exploratory analysis of data using visualizations.
- The class label/target variable was transformed from numeric to factor datatype (categorical) for both training and the testing datasets.
- The optimal selection of the parameters for both the models is a nontrivial issue and that was done using the tune.svm function in R.
- Experimental results were then analyzed considering different performance metrics, the accuracy of the models range from 94.57%-95.01% for the testing dataset. Precision and Recall for each class along with misclassification rate and accuracy for the model are used to compare the two SVM models.
- The experimentation gave a better insight to using machine learning algorithms and kernel trick in digit recognition domain.
- It can be testified that the performance of SVM with polynomial kernel is better than the one with RBF kernel for recognizing handwritten digit data by USPS.