

# Comparative Study of Machine Learning models in Drought Prediction

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## Abstract

*Agriculture is an important part of the US economy. According to the US government agriculture contributed \$1.5 trillion to the economy in 2020 which is a 5% share. However global warming and changes in climate leads to significant drought in various parts of the country which adversely affects agriculture. Unlike other natural disasters, Drought develops slowly and has long term consequences. Hence by leveraging machine learning we can help farmers in taking preventive measures and minimize their loss. Our aim is to provide a comparative study on the performance of different machine learning models in predicting five levels of drought ranging from moderate to extreme using meteorological data.*

accuracy, recall, precision, and ROC curve. The purpose of this study is two folds first is to understand whether a linear model such as logistic regression is preferable for drought classification and understand the performance of each model and which one of them is best suited for our problem.

## Introduction

Drought estimation and its impact have always been a prime challenge in the agriculture sector. Hence we will be using meteorological data which includes wind, temperature, air pressure, and precipitation information from the year 2000 to 2016 to predict drought severity. Weather conditions and precipitation levels at different heights from the sea level will play important indicators in predicting droughts. We aim to use supervised learning models such as Logistic Regression, Decision Tree, K-Nearest Neighbor, and Logistic Regression for the study and compare their results using performance metrics such as F1 score,

## Data

Our source of data is US Drought monitor which provides meteorological statistics and data related to drought. There are a total of 10 million records in our dataset and using this data we will be classifying different levels of drought from class 0 (low severity) to class 5 (high severity).

Following are the attributes in the dataset:

- **WS10M-MIN**: Wind Speed (Minimum) at 10 Meters (m/s)
- **QV2M**: Humidity at 2 Meters (g/kg)
- **T2M-RANGE**: Temperature Range at 2 Meters (m/s)
- **WS10M**: Wind Speed at 10 Meters per second (m/s)
- **T2M**: Temperature at 2 Meters (C°)
- **WS50M-MIN**: Wind Speed (Minimum) at 50 Meters (m/s)
- **T2M-MAX**: Temperature (Maximum) at 2 Meters (C°)
- **WS50M**: Wind Speed at 50 Meters per second (m/s)
- **TS**: Skin Temperature of Earth (C°)
- **WS50M-RANGE**: Range of Wind Speed at 50 Meters (m/s)
- **WS50-MAX**: Wind Speed (Maximum) at 50 Meters (m/s)
- **WS10-MAX**: Wind Speed (Maximum) at 10 Meters (m/s)
- **WS10-RANGE**: Range of Wind Speed at 10 Meters (m/s)
- **PS**: Pressure at Surface (kPa)
- **T2MDEW**: Dew/Frost Point at 2 Meters (C°)
- **T2M-MIN**: Temperature (Minimum) at 2 Meters (C°)
- **T2MWET**: Wet Bulb Temperature at 2 Meters (C°)
- **PRECTOT**: Precipitation (mm day-1)

Fig. Attribute Names

## Univariate Data Analysis

Univariate analysis is used to analyze the skewness in every feature of the dataset. The below image shows distribution of each attribute. It is observed that WS10M-MIN, WS50M-MIN, PRECTOT and WS10M-RANGE are left skewed and T2M-MAX, PS and T2M are right skewed and the rest of the features are distributed evenly.

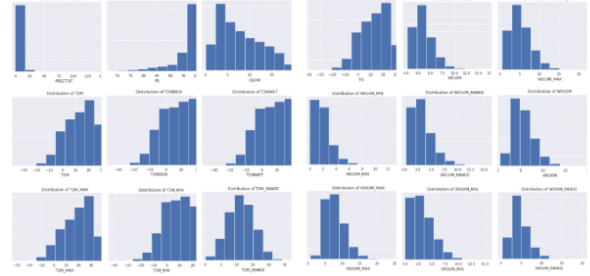


Fig. Distribution of Features in the Dataset

## Exploratory Data Analysis

### Imbalance in Data

The distribution score of the labeled data is analyzed to determine if there is a bias in the dataset. The image below explains the imbalance in the dataset wherein score 0 has very high number of records and score 5 having less number of records.

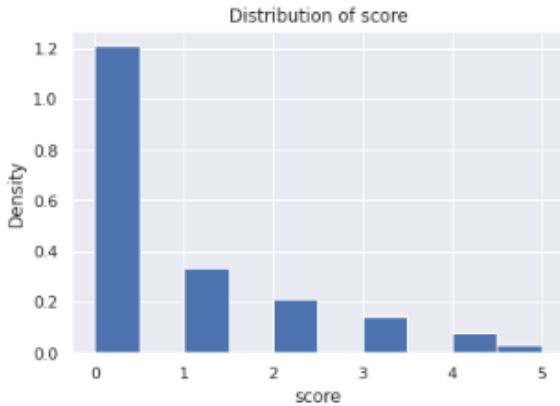


Fig. Distribution of Score

### Bivariate Analysis

Scatter plot is used to understand the correlation among the features. It is observed from the below image that out of independent variables with positive correlation, WS10M - WS50M has one-to-one relation. In contrast to that QV2M - T2M and T2M - T2MDEW have non linear relationship but strong correlation.

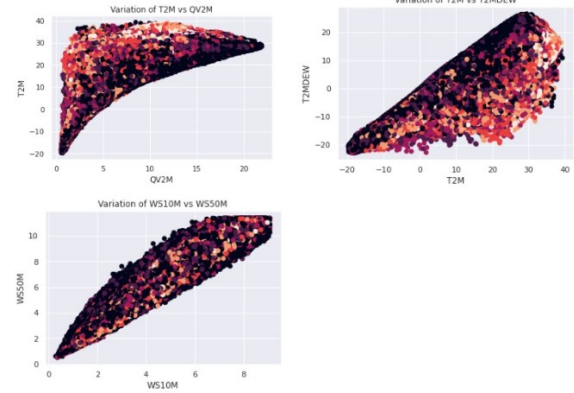


Fig. Bivariate Analysis

## Correlation Matrix

The heatmap is used to represent the correlation between features. The figure from below shows that the features T2M, T2MWET, T2MDEW, T2M-MIN, QV2M, T2M-MAX and TS has positive correlation. Also, WS10M-MAX, WS10M and WS10M-MIN has positive correlation. Lastly, WS50M, WS50M-MIN and WS50M-MAX show positive correlation.

	PRECOTOT	PS	QV2M	T2M	T2MWET	T2MDEW	T2M-MIN	T2M-MAX	TS	WS10M	WS10M-MAX	WS10M-MIN	WS10M-RANGE	WS50M	WS50M-MAX	WS50M-MIN	WS50M-RANGE
PRECOTOT	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
PS	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
QV2M	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
T2M	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
T2MWET	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
T2MDEW	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
T2M-MIN	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
T2M-MAX	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
TS	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
WS10M	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
WS10M-MAX	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000
WS10M-MIN	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000	0.00000
WS10M-RANGE	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000	0.00000
WS50M	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000	0.00000
WS50M-MAX	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000	0.00000
WS50M-MIN	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000	0.00000
WS50M-RANGE	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	1.00000

Fig. Correlation Matrix

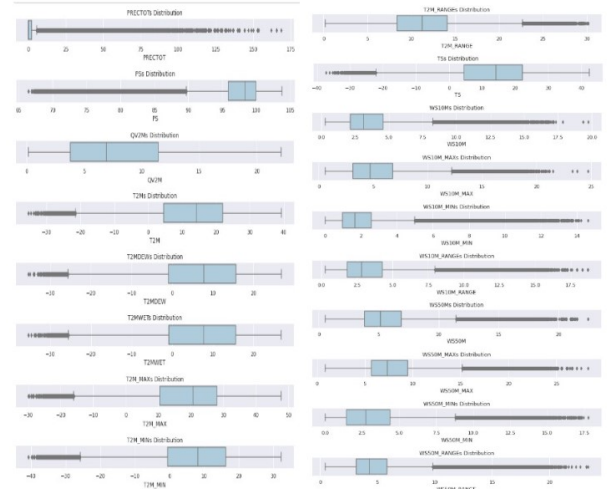


Fig. Box plot for outlier analysis

## Train and Test data

The dataset is divided into training and testing datasets. Standard scalar function is used to fit the training dataset and then remove the fundamental and scale the features unit variance.

## Standardization

The dataset is standardized to bring the mean value to zero and scale the features to unit variance. This step is done as a preprocessing for Principal Component Analysis.

## Feature Selection

For feature selection, the Recursive Feature Elimination method with a Random Forest estimator has been applied. This is due to the fact that random forest tree-based techniques are inherently ordered by the extent to which they maintain node purity. The raw dataset initially contains 23 features, of which the best 15 are chosen for further modeling using the RFE function. These 23 features are fed into the RF model. Using all of the features in the training dataset as a starting point, RFE attempts to find a subset of features by successfully eliminating features one

## Data Preprocessing

In the initial step of data preprocessing we removed the unlabeled data and reduced the count of records to 2.7 million. Secondly, we observed that there are no null values. Lastly, we split the categorical date feature into numerical values to day, month and year.

## Outlier treatment

We have utilized box plot for outlier representation as it helps in finding the spread of values. The below plots show PRECOTOT, PS, WS10M, WS10M-RANGE, WS50MRANGE, WS50M-MIN features and we observed that there are no outliers in QV2M feature.

at a time until the desired number of features is left. This is accomplished by first fitting the base model's machine learning algorithm, ranking the features according to relevance, eliminating the least important features, and then re-fitting the model. Up until a certain amount of features are still present, this process is repeated. PRECTOT, T2MWET, WS10M\_MAX, WS10M\_MIN, WS50M\_MIN, and month, are the features dropped.

## Class Imbalance

To deal with the imbalance between class labels, down-sampling and oversampling are performed. Down-sampling is done using the Near Miss(NM) method and Neighborhood Cleaning Rule(NCR) method. Over-sampling is done using the Synthetic Minority Over-sampling Technique(SMOTE) method. The results of these resampling techniques can be seen in the below figures.

### SMOTE

SMOTE selects examples in the feature space that are close to one another, draws a line between the examples, and then creates a new sample at a point along the line. For example, a random representative from the minority class is initially picked. Next, k nearest neighbors for that example are located. A synthetic example is made at a randomly chosen position in feature space between two instances and their randomly chosen neighbor.

```
Before OverSampling, the shape of train_X: (1855753, 15)
Before OverSampling, the shape of train_y: (1855753,)

After OverSampling, the shape of train_X: (6724008, 15)
After OverSampling, the shape of train_y: (6724008,)

Counts of label '0' - Before OverSampling:1120668, After OverSampling: 1120668
Counts of label '1' - Before OverSampling:311912, After OverSampling: 1120668
Counts of label '2' - Before OverSampling:196190, After OverSampling: 1120668
Counts of label '3' - Before OverSampling:130330, After OverSampling: 1120668
Counts of label '4' - Before OverSampling:69645, After OverSampling: 1120668
Counts of label '5' - Before OverSampling:27008, After OverSampling: 1120668
```

*Fig. Results for SMOTE Oversampling*

### Near Miss

By comparing the distance between instances from the majority class and those from the minority class, the Near Miss undersampling technique chooses examples. In order to have the same

number of samples as the minority class, the approach will undersample the majority class.

```
Before UnderSampling, the shape of train_X: (1855753, 15)
Before UnderSampling, the shape of train_y: (1855753,)

After UnderSampling, the shape of train_X: (162048, 15)
After UnderSampling, the shape of train_y: (162048,)

Counts of label '0' - Before UnderSampling:1120668, After UnderSampling: 27008
Counts of label '1' - Before UnderSampling:311912, After UnderSampling: 27008
Counts of label '2' - Before UnderSampling:196190, After UnderSampling: 27008
Counts of label '3' - Before UnderSampling:130330, After UnderSampling: 27008
Counts of label '4' - Before UnderSampling:69645, After UnderSampling: 27008
Counts of label '5' - Before UnderSampling:27008, After UnderSampling: 27008
```

*Fig. Results for Near Miss Downsampling*

### Neighborhood Cleaning Rule

The Neighborhood Cleaning Rule is an undersampling technique that eliminates redundant samples as well as examples that are noisy or unclear. The samples that are incorrectly classified by a KNN classifier are eliminated in one step. Less examples that are redundant are eliminated, and greater emphasis is made on purifying the examples that are saved.

```
Before UnderSampling, the shape of train_X: (1855753, 15)
Before UnderSampling, the shape of train_y: (1855753,)

After UnderSampling, the shape of train_X: (1463261, 15)
After UnderSampling, the shape of train_y: (1463261,)

Counts of label '0' - Before UnderSampling:1120668, After UnderSampling: 1042366
Counts of label '1' - Before UnderSampling:311912, After UnderSampling: 185167
Counts of label '2' - Before UnderSampling:196190, After UnderSampling: 104966
Counts of label '3' - Before UnderSampling:130330, After UnderSampling: 68121
Counts of label '4' - Before UnderSampling:69645, After UnderSampling: 35633
Counts of label '5' - Before UnderSampling:27008, After UnderSampling: 27008
```

*Fig. Results for NCR Downsampling*

## Dimensionality Reduction

Upon observation of the above correlation matrix we observed that that is high correlation between certain features Eg. there is a 95% correlation between T2MDEW & QV2M and that can impact model performance and computing resources. Hence we implemented dimensionality reduction to reduce the number of features by keeping the as much variations as the original dataset. We implemented two dimensionality algorithms namely Principal Component analysis and Linear Discriminant Analysis.

### Principal Component Analysis

Principal Component Analysis (PCA) is a linear dimensionality reduction algorithm which uses variance to reduce transform the data into low dimension. We

implemented PCA on both downsampled data using near miss and upsampled data using SMOTE. We picked the features with more than 90% variance.

Variance Ratio: [0.40189903 0.22383584 0.10948876 0.06433913 0.06352685]

*Fig. PCA on SMOTE Upsampled Data.*

Variance Ratio: [0.40189903 0.22383584 0.10948876 0.06433913 0.06352685]

*Fig. PCA on Near Miss Downsampled Data*

## Linear Discriminant Analysis

Linear Discriminant Analysis (LDA) uses classes to separate training instances. Difference between LDA and PCA is that LDA uses linear combination of features which optimizes the class separability whereas PCA uses variance to find set of uncorrelated components. We implemented LDA for both downsampled data with near miss and upsampled data using SMOTE. Using LDA we reduced the number of features to 5 out of 15 features.

Features shape of Train Data (1855753, 15)  
Dimensionality reduced features shape using LDA on Upsampled data (6724008, 5)  
Dimensionality reduced features shape using LDA on testing data (618585, 5)

*Fig. LDA on SMOTE Upsampled Data*

Features shape of Train Data (1855753, 15)  
Dimensionality reduced features shape using LDA on near miss downsampled data (162048, 5)  
Dimensionality reduced features shape using LDA on near miss downsampled testing data (618585, 5)

*Fig. LDA on Near Miss Downsampled Data*

## Methods

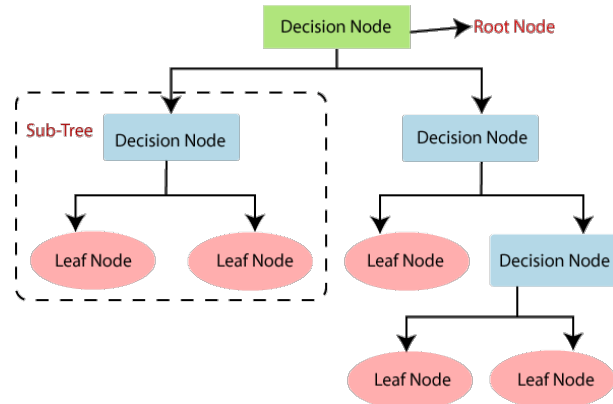
### Logistic Regression

We have used logistic regression with multinomial distribution, since this is a multi class classification problem, as the linear model. The datasets used are combinations of resampling techniques to deal with class imbalance like Near Miss(NM) and Neighborhood Cleaning Rule(NCR) for downsampling and Synthetic Minority Oversampling Technique(SMOTE) for over sampling, and dimensionality reduction techniques like Principal Component Analysis(PCA), Linear Discriminant Analysis(LDA), total of 9 resampled datasets and the dataset without resampling and dimensionality reduction. We have performed grid search cross validation on multinomial logistic regression estimator with solvers like newton-cg, lbfgs, sag,

saga, and l2 penalty, and searched for the hyperparameter value  $c$ , the Inverse of regularization strength, in logarithmic space. We have used repeatedStratified  $k$  folds with 3 repeats and 5 folds on the train set to keep the cross validation results stable such that each split has the same proportion of each class label. From gridsearchCV, best parameters are found for a given variation of dataset and it is tested with train and test sets. We used  $f1\_weighted$  score for comparing different models on a dataset.

### Decision Tree Algorithm

The first method which we implemented is Decision Tree classifier where in we compared classification of each level of drought from class 0 to class 5 with the rest. Understanding the working of decision tree algorithm it breaks the dataset into small subsets while simultaneously expanding the tree nodes. This process continues until we can a pure leaf node without any impurities. The error rate is measured in a term called 'Entropy' wherein we try to reduce the entropy to minimum by increasing the information gain.



*Fig. Decision Tree Structure*

### K Nearest Neighbour Algorithm

K Nearest Neighbour is a supervised machine learning algorithm. It can be used for both classification and regression predictive problems. But it is widely used for classification problems. The algorithm uses a feature similarity method which is used to classify

the data points which lie close or match the points in the training set. KNN is easy to interpret and it is also a widely used classification problem. As we know that a classification problem has a definite set of outcomes, KNN attempts to classify the points which lie near and close to each other. We are using Minkowski distance, it can be measured in a space where distances are represented by a vector having a particular length.

## Random Forest Algorithm

Before we start discussing the results, Random Forest is a supervised learning algorithm which is mainly used for Classification and Regression tasks. The prime idea behind this algorithm is to generate multiple decision trees on the samples, and finally take the majority voting to give the best result.

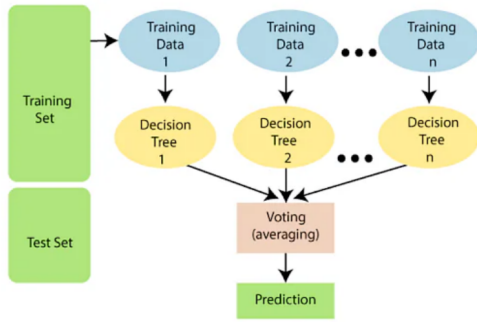


Fig. Working of Random Forest Algorithm

## Comparisons

### Method 1: Logistic Regression

For the feasibility of learning, we need to have in-sample error, approximately close to out-sample error i.e., generalizing good on test data, and in-sample error should be small i.e., having more performance on the train set. F1 score is used for comparison. In terms of having more performance on the train set, it can be observed that logistic regression on NCR, logistic regression on NCR downsampled and PCA dimensions and logistic regression without resampling are better from the below F1 score analysis figure.

In terms of generalizing good on test data, which implies the model has learned, logistic regression without resampling worked better compared to other logistic regression models. To understand the performance of the models on each class label, roc curves are plotted on the test set predictions.

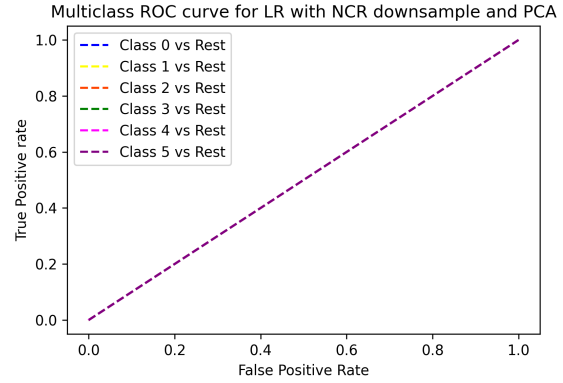


Fig. Multiclass ROC curve for Logistic Regression with NCR Downsampled and PCA Data

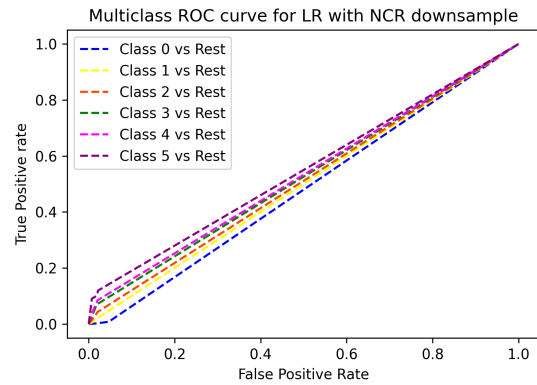


Fig. Multiclass ROC curve for Logistic Regression with NCR Downsampled Data

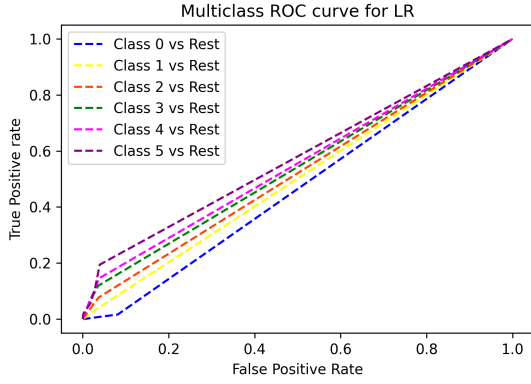


Fig. Multiclass ROC curve for Logistic Regression without Resampling

F1 Macro	NM	NM, LDA	NM, PCA	NCR	NCR, LDA	NCR, PCA	SMOTE	SMOTE, LDA	SMOTE, PCA	NO RESAMPLING
Training	0.284	0.282	0.249	0.6	0.313	0.593	0.242	0.244	0.212	0.475
Testing	0.365	0.365	0.304	0.465	0.466	0.456	0.465	0.459	0.399	0.476
Learning	yes	yes	yes	no	yes	yes	yes	yes	yes	yes

Fig. F1 Score analysis for Logistic Regression

Although the above-mentioned models have better f1 scores, from the below table we can see that these models have poor recall values for minority class labels, meaning they are biased towards the majority class. Logistic regression with SMOTE over-sampling gives better recall of non majority classes.

Recall	NM	NM, LDA	NM, PCA	SMO TE	SMO TE, LDA	SMO TE, PCA	NCR	NCR, LDA	NCR, PCA	NO RESAMPLING
CLASS 0	0.42	0.42	0.33	0.66	0.63	0.53	0.99	1.00	0.99	0.98
CLASS1	0.09	0.09	0.07	0.08	0.08	0.04	0.00	0.00	0.00	0.01
CLASS 2	0.07	0.07	0.04	0.07	0.08	0.05	0.00	0.00	0.00	0.02
CLASS3	0.07	0.08	0.07	0.24	0.24	0.27	0.03	0.00	0.04	0.06
CLASS4	0.13	0.13	0.15	0.12	0.12	0.11	0.00	0.00	0.00	0.00
CLASS5	0.56	0.55	0.57	0.55	0.55	0.52	0.09	0.00	0.10	0.01
WEIGHTED AVERAGE	0.30	0.29	0.24	0.45	0.43	0.36	0.60	0.60	0.60	0.60

Fig. Recall Analysis for Each class on Logistic Regression

## Method 2: Decision Tree Algorithm

We performed decision tree on combinations of SMOTE upsampled and Near miss downsampled data along with LDA and PCA. Hence we performed six combinations with these datasets and two combinations with unsampled dataset wherein we implemented

it with and without hyperparameter tuning. We have used the F1 score as the metric to analyze the learning steps. We have used mainly three samples of data for modelling i) SMOTE Unsampled ii) Near Miss Downsampled and iii) Unsampled, with the combinations with PCA and LDA.

## Decision Tree Algorithm with Near Miss Downsampled Data

For Classification using only near-miss downsampled data, it is observed that the model is not learning as the training F1 score is 0.94 and the testing F1 score is just 0.26. Similar results are identified when using a combination of Downsampled data with PCA and LDA. Hence it can be concluded that the decision tree classifier has poor performance with downsampled Data. Upon analyzing the ROC curve it is observed that class 5 (high severity drought level) has higher false positive rate compared to other classes and class 0 (low severity drought level) has most true positive rate. However downsampled data has the best ROC curve compared to upsampled and original dataset.

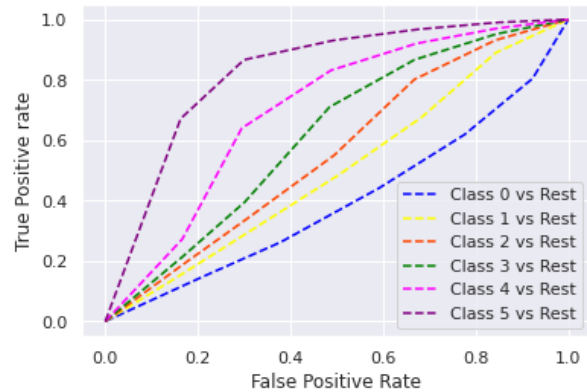


Fig. Multiclass ROC curve for Decision Tree with Near Miss Downsampled Data



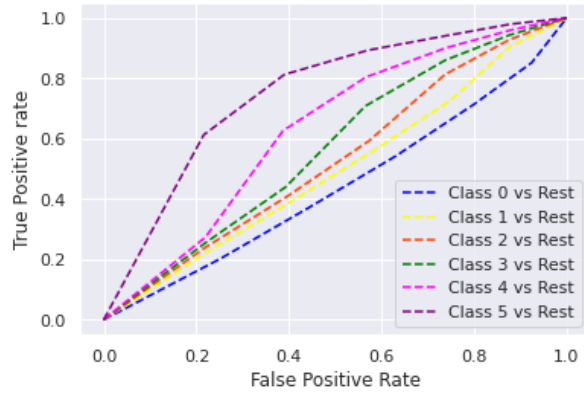


Fig. Multiclass ROC curve for Decision Tree with Near Miss Downsampled Data and PCA

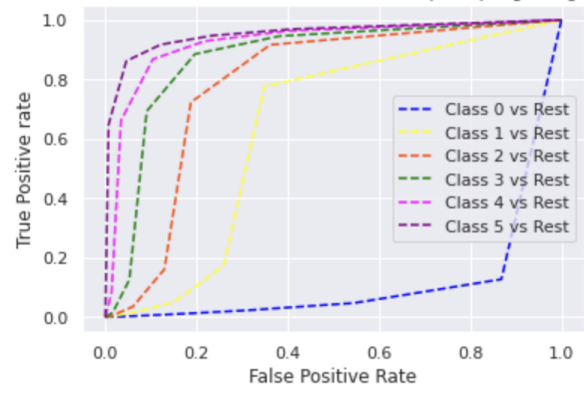


Fig. Multiclass ROC curve for Decision Tree with SMOTE Upsampled Data

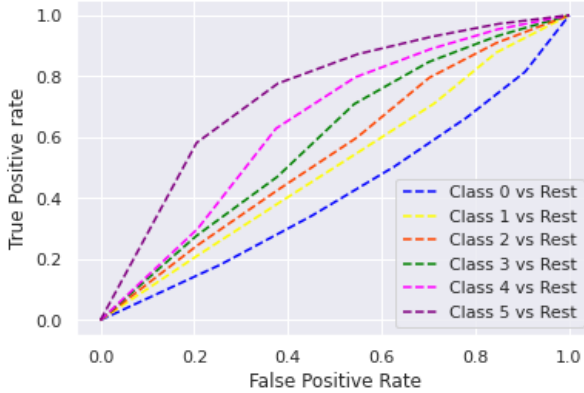


Fig. Multiclass ROC curve for Decision Tree with Near Miss Downsampled Data and LDA

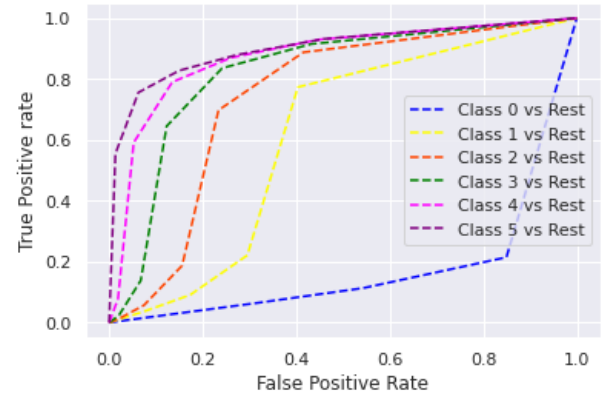


Fig. Multiclass ROC curve for Decision Tree with SMOTE Upsampled Data and PCA

## Decision Tree Algorithm with SMOTE Upsampled Data

While using upsampled Data along with a combination of LDA and PCA gives better results with a training F1 score of above 0.9 and a testing F1 score of 0.7. Upon analyzing the multiclass ROC curve it is observed that class 5 has even higher positive rate compared to near miss downsampled data.

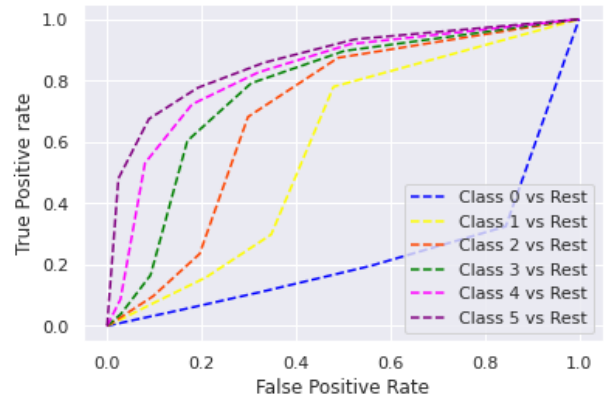


Fig. Multiclass ROC curve for Decision Tree with SMOTE Upsampled Data and LDA



## Decision Tree Algorithm with Unsampled Data and HyperParameter Tuning

To optimize the above result we performed hyperparameter tuning on upsampled Data and retrieved the top 5 parameters. Max\_depth of 80 gave the best results. Using these parameters with unsampled Data improved the F1 score for testing to more than 0.75 compared to the training F1 score of 0.9. Upon analyzing the multiclass ROC curve it is observed that class 5 has even higher false positive rate compared to near miss downsampled data and similar to upsampled data.

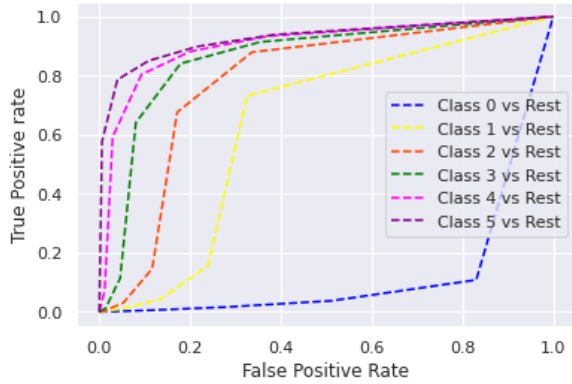


Fig. Multiclass ROC curve for Decision Tree with Unsampled Data

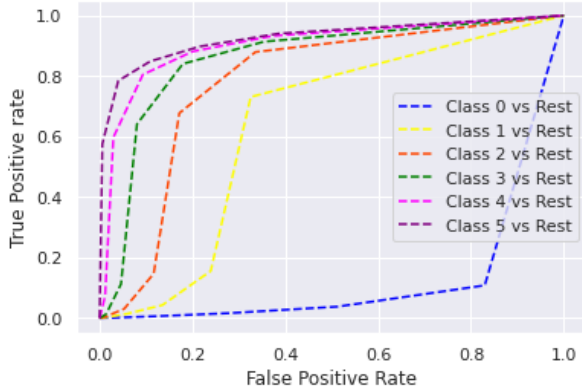


Fig. Multiclass ROC curve for Decision Tree with Unsampled Data and right Hyperparameters

F1 scores	Downsampled Data	Downsampled and LDA	Downsampled and PCA	Upsampled Data	Upsampled and LDA	Upsampled and PCA	Unsampled Data	Unsampled With hyperparameter Tuning
Training	0.94	0.94	0.94	0.99	0.99	0.99	0.96	0.96
Testing	0.26	0.24	0.21	0.75	0.61	0.68	0.75	0.76
Is Learning	No	No	No	Yes	Yes	Yes	Yes	Yes

Fig. Learning Analysis of Decision Tree

## Method 3: K-Nearest Neighbor

We have performed K nearest neighbor classification by using a combination of downsampled, upsampled, and unsampled data along with hyperparameter tuning and dimensionality reduction. The Minkowski distance between these two points will be calculated using below formula,

$$\sqrt[p]{(x_1 - y_1)^p + (x_2 - y_2)^p + \dots + (x_N - y_N)^p}$$

Formula for Minkowski Distance

We have used the F1 score as the metric to analyze the learning steps. We have used mainly three samples of data for modeling i) SMOTE Unsampled ii) Near Miss Downsampled and iii) Unsampled, with the combinations with PCA and LDA.

## KNN Algorithm with Near Miss Downsampled Data

Using near miss downsampled data we have taken F1 score as the metric. The F1 score for training is 0.93 while the testing score is only 0.26. From this we can tell that the model is not learning. The results are similar for the near miss downsampled LDA and PCA data. Therefore, it can be concluded that KNN algorithm showed poor performance using near miss downsampled data. After generating and analyzing the ROC curve it is observed that class 5 (high severity drought level) has a higher false positive rate compared to other classes and class 0 (low severity drought level) has the most true positive rate.

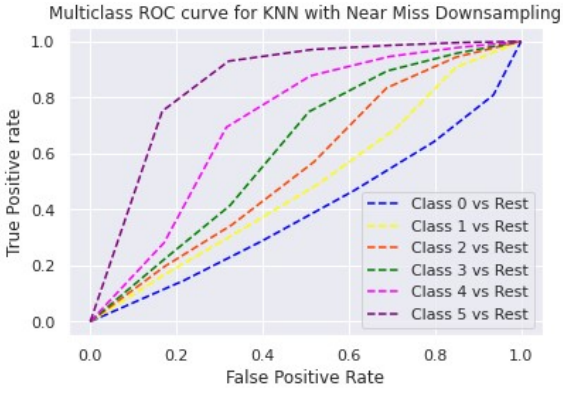


Fig. Multiclass ROC curve for KNN with Near Miss Downsampled Data

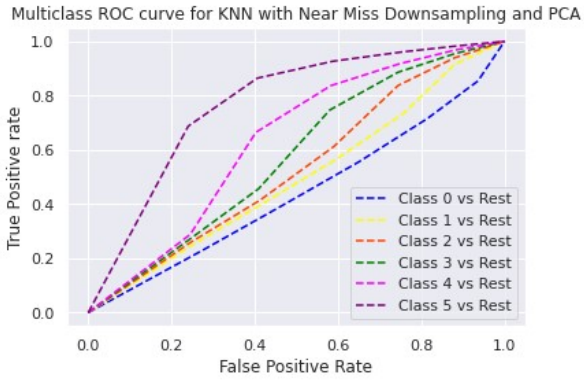


Fig. Multiclass ROC curve for KNN with Near Miss Downsampled Data and PCA

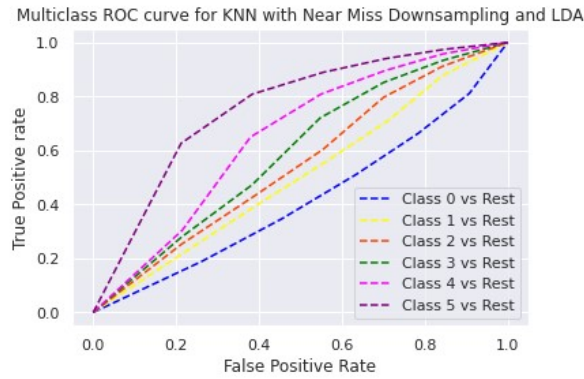


Fig. Multiclass ROC curve for KNN with Near Miss Downsampled Data and LDA

## KNN Algorithm with SMOTE Upsampled Data

Using upsampled data with the combination of LDA and PCA, it is observed that we are getting better results for training and testing data. The F1 score of training data is 0.99 while the F1 score of testing data is 0.79. Upon generating and analyzing ROC curves it can be seen that class 5 has a higher false positive rate among all the other classes. Therefore it can be concluded that the KNN algorithm is performing better using upsampled data. The images below show the classification results for the upsampled data.

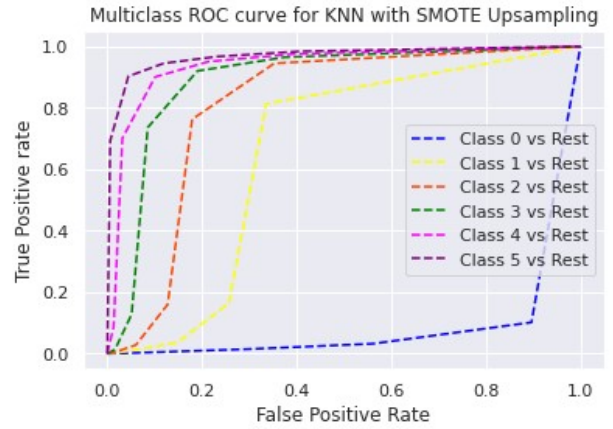


Fig. Multiclass ROC curve for KNN with SMOTE Upsampled Data

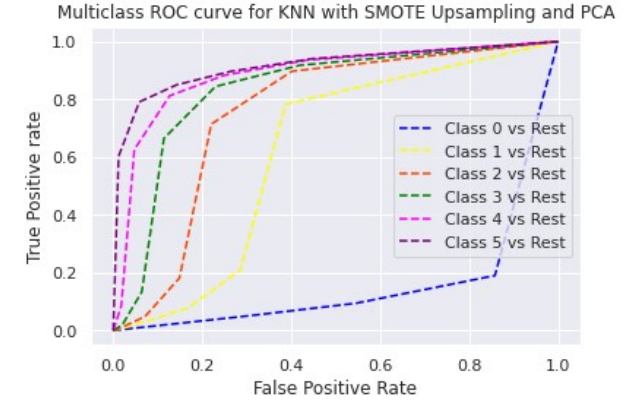


Fig. Multiclass ROC curve for KNN with SMOTE Upsampled Data and PCA

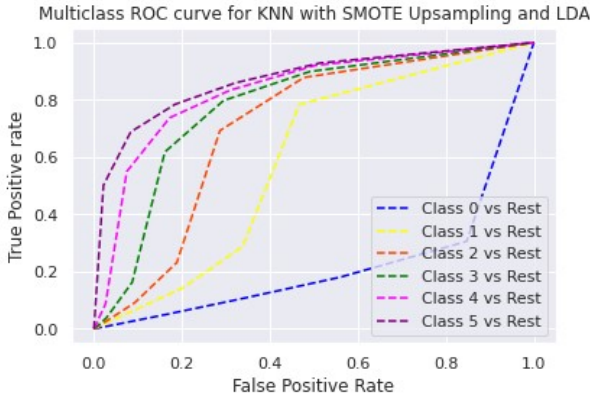


Fig. Multiclass ROC curve for KNN with SMOTE Upsampled Data and LDA

## KNN Algorithm with HyperParameter Tuning

For hyperparameter tuning of K- Nearest Neighbor, the value of K is considered from 1 - 10, 3 as the cross validation batch size and the scoring metrics were set to accuracy. Accuracy of KNN Algorithm without resampling after hyperparameter tuning came out to be 0.798.

Multiclass ROC curve for KNN without resampling - After Hyperparameter Tuning

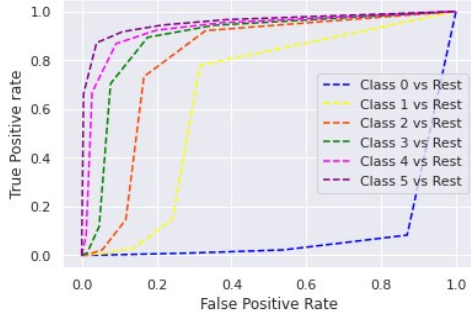


Fig. Multiclass ROC curve for KNN without resampling - After Hyperparameter Tuning

F1 scores KNN	Near Miss Downsampled Data	Near Miss Downsampled and LDA	Near Miss Downsampled and PCA	SMOTE Upsampled Data	SMOTE Upsampled and LDA	SMOTE Upsampled and PCA	Without resampled Data	Without resampled after hyperparameter Tuning
Training	0.93	0.93	0.93	0.99	0.99	0.99	0.84	0.96
Testing	0.26	0.24	0.21	0.79	0.63	0.71	0.75	0.79
Is Learning	No	No	No	Yes	Yes	Yes	Yes	Yes

Fig. Learning Analysis of KNN

## Method 4: Random Forest Algorithm

After trying the Decision Tree model we decided to try Random Forest as one of the models because it's like an updated version of decision tree since it gives results by producing various decision trees. It also gives faster training speeds, after experiencing delay training data in KNN, Random Forest gave better time performance. And finally because it was more aligned with our task since the algorithm is more suitable for a large dataset. We have used the F1 score as the metric to analyze the learning steps. We have used mainly three samples of data for modelling i) SMOTE Unsampld ii) Near Miss Downsampled and iii) Unsampld, with the combinations with PCA and LDA.

### Random Forest Algorithm with SMOTE Upsampled Data

Coming to executing the Random Forest with SMOTE upsampled data, with the combinations of PCA and LDA, the results show significant improvement. The training and testing F1 score for SMOTE upsampled data is 0.99 and 0.80 respectively, 0.74 and 0.65 F1 scores when combined with PCA and LDA train data respectively. Following figures depict the ROC curves for Random Forest Algorithm with SMOTE upsampled data and respective combinations.

Multiclass ROC curve for Random Forest Algorithm with SMOTE upsampled data

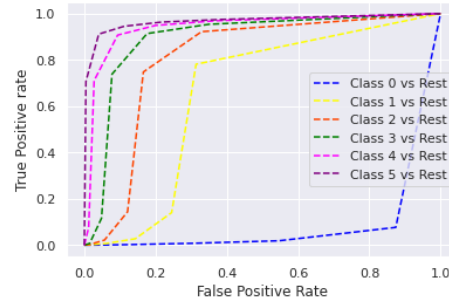
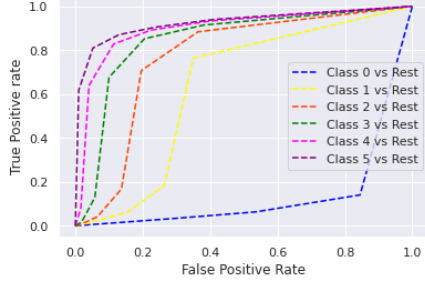


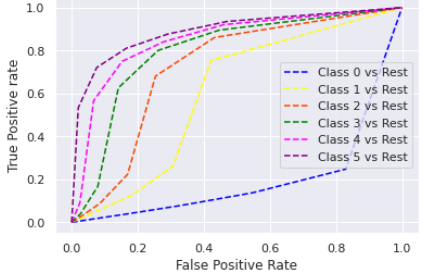
Fig. Multiclass ROC curve for Random Forest Algorithm with SMOTE Upsampled Data

Multiclass ROC curve for Random Forest Algorithm with PCA and SMOTE upsampled data



*Fig. Multiclass ROC curve for Random Forest Algorithm with PCA and SMOTE Upsampled Data*

Multiclass ROC curve for Random Forest Algorithm with LDA and SMOTE upsampled data

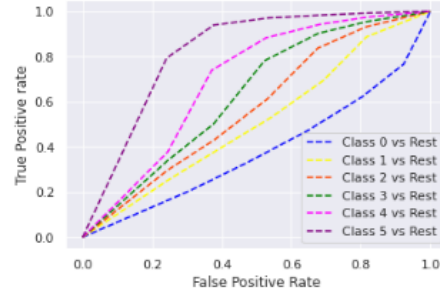


*Fig. Multiclass ROC curve for Random Forest Algorithm with LDA and SMOTE Upsampled Data*

## Random Forest Algorithm with Near Miss Downsampled Data

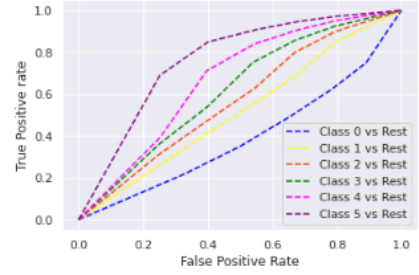
After running the Random Forest classification on the near miss downsampled data specifically, it is evident that the F1 score for testing and training data is 0.94 and 0.29 respectively. We can claim from the results that the model is not able to learn with this sample. And when near miss downsampled data is combined with PCA and LDA, the results are shown similar to above score (0.23 and 0.29 F1-scores for PCA and LDA respectively). Hence, we can conclude that Random Forest with near miss downsampled data shows inefficient results. Below figures shows the ROC curves for Random Forest with respective samples.

Multiclass ROC curve for Random Forest Algorithm with Near Miss Downsample Data



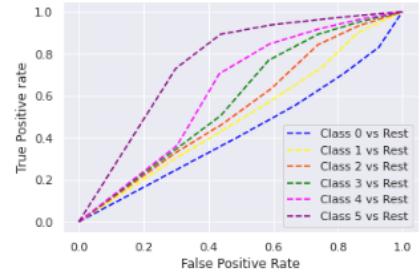
*Fig. Multiclass ROC curve for Random Forest Algorithm with Near Miss Downsampled Data*

Multiclass ROC curve for Random Forest Algorithm with LDA and Near Miss Downsample Data



*Fig. Multiclass ROC curve for Random Forest Algorithm with PCA and Near Miss Downsampled Data*

Multiclass ROC curve for Random Forest Algorithm with PCA and Near Miss Downsample Data



*Fig. Multiclass ROC curve for Random Forest Algorithm with LDA and Near Miss Downsampled Data*

## Random Forest Algorithm with Unsampled Data

For running Random Forest without resampled data, the F1 score we got for train and test sets are 0.97 and 0.77 respectively. With hyperparameter tuning on the unsampled data with max\_depth of 80 and 50 n\_estimators, the F1

score was slightly bumped up to 0.79 for train data. The following figures show the ROC curve for Random Forest with respective samples of data.

Multiclass ROC curve for Random Forest Algorithm without Resampling

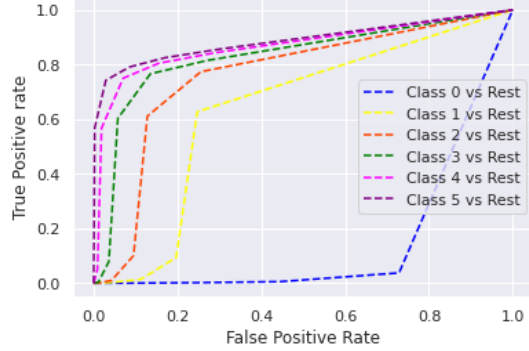


Fig. Multiclass ROC curve for Random Forest Algorithm without Resampling

Multiclass ROC curve for Random Forest Algorithm without Resampling

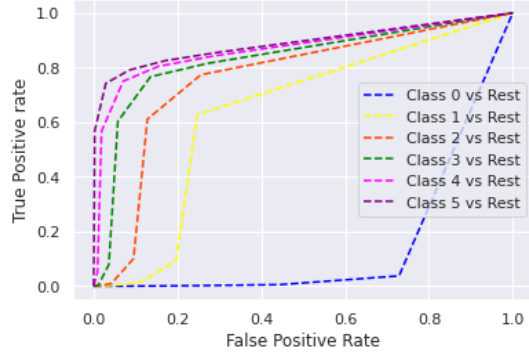


Fig. Multiclass ROC curve for Random Forest Algorithm without Resampling - Right Hyperparameter Modification

F1 scores Random Forest	Downsampled Data	Downsampled and LDA	Downsampled and PCA	Upsampled Data	Upsampled and LDA	Upsampled and PCA	Unsampled Data	Unsampled With hyperparameter Tuning
Training	0.94	0.94	0.94	0.99	0.99	0.99	0.97	0.97
Testing	0.29	0.23	0.29	0.80	0.65	0.75	0.77	0.79
Is Learning	No	No	No	Yes	Yes	Yes	Yes	Yes

Fig. Learning Analysis of Random Forest Algorithm

we can conclude that linear models are suitable for our problem as they are not learning. Comparing the rest of the three models, Random Forest gave the best results with SMOTE upsampled data with a testing F1 score of more than 0.80. Additionally, Decision Tree and K-nearest Neighbor gave very similar results wherein they perform better with SMOTE upsampled data compared to downsampled and unsampled data.

## Conclusions

By analyzing the results of models we observed that logistic regression is the worst performing model as its both training and testing F1 scores are low hence