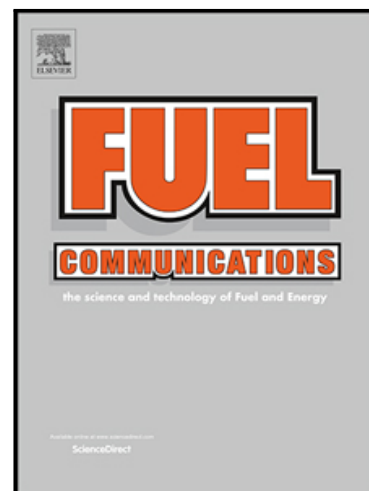


Modeling Coking Coal Indexes by SHAP-XGBoost: Explainable Artificial Intelligence Method

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Highlights

- Understanding relationships between coal properties and coking quality indexes is substantial
- Coal heterogeneity made these interdependency quite complicated
- SHAP as an explainable artificial intelligence system can illustrate multivariable relationships
- SHAP visualized and converted these correlation to human basis level
- SHAP- XGBoost could accurately predict coking coal indexes

Journal Pre-proof

Modeling Coking Coal Indexes by SHAP-XGBoost: Explainable Artificial Intelligence Method

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Abstract

Coking coal is still on the list of critical raw materials in many countries since it is the main element integrated into the blast furnace. While the energy consumption and steelmaking efficiency in the furnace depends on the coke quality, understanding and modeling coking indexes based on their coal parent properties would be a substantial approach for the steelmaking industry. As an innovative approach, this short communication has been considered explainable artificial intelligence (XAI) for modeling coal coking indexes (Free Swelling index “FSI” and maximum fluidity “Log (MF)”). XAIs can convert black-box models into human basis systems and develop a significant learning performance and estimation accuracy. SHapley Additive exPlanations (SHAP), as one of the most recently developed XAI models in combination with eXtreme gradient boosting (XGBoost), were used to model coal samples from Illinois, USA. For the first time, FSI and Log (MF) treat as ordinal variables for modeling. Modeling outcomes relieved that SHAP-XGBoost could accurately show interdependency between features, demonstrate the magnitude of their multi relationships, rank them based on their importance, and predict the coking index quite accurately compared with conventional machine learning methods (random forest and support vector regression). These significant results would be opened a new window by applying XAI tools for controlling and modeling complex systems in the energy and fuel sectors.

Keywords: Free Swelling index; Gieseler plastometer; Coal; Explainable artificial intelligence; Machine Learning; Modeling

Highlights

- Coal heterogeneity made its interdependency quite complicated
- SHAP is an algorithm to build an explainable artificial intelligence model.
- SHAP visualized and converted correlation to human basis level.

1. Introduction

Although the steelmaking industry is one of the largest industrial sources of CO₂ emission (~27% of global CO₂ emissions), coking coal is extensively still used in the steel and ironmaking

industry as an un-substitutable ingredient [1]–[3]. Approximately 0.7 tons of coking coal has to be used for each one-ton steel production. Since steel demand has expressively grown during the last few decades, coking coal has been on many countries' critical raw material list [4]. The coal impurities can be mainly called as “Ash” markedly affect its coking ability [5], and decrease the coke productivity in the blast furnace [6]. It was predicted that by increasing each 1% of coal impurities, the coke productivity decreased by 2–3 wt% [7], [8]. Free swelling index (FSI) (ASTM D720) [9] and maximum fluidity “Log (MF)” (gieseler plastometer) (ASTM D2639) [10] are the most known standard coking indexes, which have been widely used for coal coking quality assessments. The FSI as a qualitative factor classified coal samples into three categories: 0-2 (non-coking), <2-4 (medium), and <4-9 (the coking quality increases by rising the FSI). Gieseler plastometer could measure coal plasticity and determine its coke ability based on MF. Hadavandi & Chelgani (2019) indicated that there is a moderate positive correlation between log (MF) and FSI test results (by increasing FSI, log (MF) somehow is also increased) [11]. However, it was documented that various problems such as different particle size distribution of coal samples, frequent calibrating systems, heating rate, weathered samples, and different oxidation variability would limit the reproducibility and representability sociated with these coking index determinations [12]. These limitations would be prioritizing the modeling of coking indexes.

It was well understood that coal rank parameters (moisture, volatile matter, carbon ...) could affect their representative coking capability and significantly change it [13]. These effects could be complicated while the heterogeneous structure of coal makes several complex inter-correlations within its components [14], [15]. Coal rank parameters can mainly be determined by proximate (ASTM D3172) [16] and ultimate (ASTM D3176) [17] analyses. Since coking coal producers have to present both coal rank parameters and thermoplastic properties of their products, some investigations have been conducted to explore the possible models for assessing relationships between coal rank properties and their representative coking indexes. These models would be a key principle for the steelmaking industries to provide their desired coal blending, generating a high coke quality as a reductant agent and permeable support.

Therefore, some statistical modeling approaches have been conducted to tackle difficulties associated with coking index determination. Since FSI and log (MF) are qualitative factors, it was documented that common multivariable regression models cannot accurately model them. Thus, random forest [18], support vector regression [11], feed-forward artificial neural network [19], [20], neuro-fuzzy inference systems [21], etc., as artificial intelligence (AI) methods (black box models) have been used for modeling them [22]. However, on the one hand, these black box AI and machine learning (ML) methods generally do not provide any insight into the magnitude of relationships among input data [23]. On the other hand, the coking index values of these models have been treated as nominal labels, whereas a closer study of the coal data revealed the fact that the output class is ordinal, and by utilizing the conventional AI and ML methods, some important information would be lost that could potentially improve the model predictability. Therefore, it would be essential to consider a tool highlighting the individual and multivariable correlations of model features for these complicated indexes.

Explainable Artificial Intelligence (XAI) is a recently developed machine learning that could address these shortcomings [24]. XAI models visualize relationships and their magnitude [25] and convert them into interpretable systems [26]. As the most recent XAI development, SHapley Additive exPlanations (SHAP) [27] can provide insight into how black box AI and ML systems make estimations. As an inventive strategy based on the game theory, SHAP assists data scientists with the model development procedure by explaining the decision-making process of the black box models [28]. SHAP can compute the contribution of each feature to the model's output using Shapley values [29], highlight their magnitude, and rank features based on their importance [30].

As an innovative approach, this study will use SHAP to explore interdependencies between various coal properties and their representative coking indexes through their modeling using eXtreme gradient boosting (XGBoost). XGBoost is one of the most recently developed ML models with several advantages over conventional AI and ML models. XGBoost is particularly flexible, can parallel process various learning scenarios, supports regularization, and handles missing data. For the first time, this work is going to examine the SHAP-XGBoost system for modeling coking indexes. As a

comparative study, conventional ML models such as Random forest (RF) and support vector regression (SVR) were considered to evaluate the suggested system capability. The outcomes of this work would be potentially suggested the application of SHAP-XGBoost as a powerful AI-based model for online and offline modeling of complex problems within coal and energy processing systems (such as modeling of Hardgrove grindability index (HGI), Gross Calorific value (GCV), vitrinite maximum reflectance ($R_{\max}$), etc.). The detailed list of abbreviations and acronyms used in the paper are shown in Table 1.

Table 1. List of abbreviations and acronyms used in the paper.

Abbreviation	Definition	Abbreviation	Definition
AI	Artificial Intelligence	ML	Machine Learning
DT	Decision Tree	RF	Random Forest
EML	Ensemble Machine Learning	SHAP	SHapley Additive exPlanations
FSI	Free Swelling Index	SVR	Support Vector Regression
GBDT	Gradient Boosted Decision Tree	XAI	Explainable Artificial Intelligence
Log (MF)	Maximum Fluidity	XGBoost	Extreme Gradient Boosting

2. Materials and Methods

2-1. Dataset

Generally, a large database requires constructing a comprehensive soft computing model dealing with a complex problem, which may cause a severe challenge through the computation (challenges like; Lack of knowledge Professionals, Lack of proper understanding of Massive Data, Integrating Data from a Spread of Sources, Confusion while Big Data Tool selection, etc.) [31]. However, the most recent development in ML systems provided this opportunity to use datasets (instead of databases) to generate predictive models [32]. In this investigation for developing an accurate XAI model, a high-dimensional dataset was selected, covering a wide variation of coal and coking properties. A dataset with more than 100 records from Illinois was considered (Table 2) to construct an XAI for FSI and MF prediction. The modeling sequence was based on the diagram illustrated in Fig. 1. All the coal characteristics were determined based on ASTM procedures (ASTM D3172: proximate; ASTM D3176: ultimate; ASTM D720: FSI; ASTM D2639: Gieseler plastometer).

Regarding ASTM D3172 and ASTM D3176 for coal proximate and ultimate analyses (respectively), the amount of fixed carbon and oxygen, which may incorporate the bias of other analyzed parts, did not consider as model input features (fixed carbon% = $100 - (\text{moisture} + \text{volatile matter} + \text{ash})$, and oxygen% = $100 - (\text{carbon} + \text{hydrogen} + \text{nitrogen} + \text{total sulfur})$).

Table 2. The statistical description of coal samples and their representative coking indexes.

Features	Symbol	Min	Max	Mean	STD
Moisture (%)	Moist	0.50	18.20	9.35	4.43
Volatile Matter (%)	VM	27.40	48.20	40.03	3.60
Ash (%)	Ash	7.10	23.43	11.90	2.60
Carbon (%)	C	58.35	77.72	70.20	3.04
Hydrogen (%)	H	4.07	5.88	4.99	0.29
Nitrogen (%)	N	0.94	1.84	1.30	0.19
Organic Sulfur (%)	Organic S	0.37	2.82	1.59	0.59
Pyritic Sulfur (%)	Pyritic S	0.29	6.63	2.12	1.01
Sulfate Sulfur (%)	Sulfate S	0.01	0.40	0.05	0.06
Free Swelling Index	FSI	1.00	9.00	4.87	1.56
Maximum Fluidity	Log MF	0.00	4.45	1.87	1.19

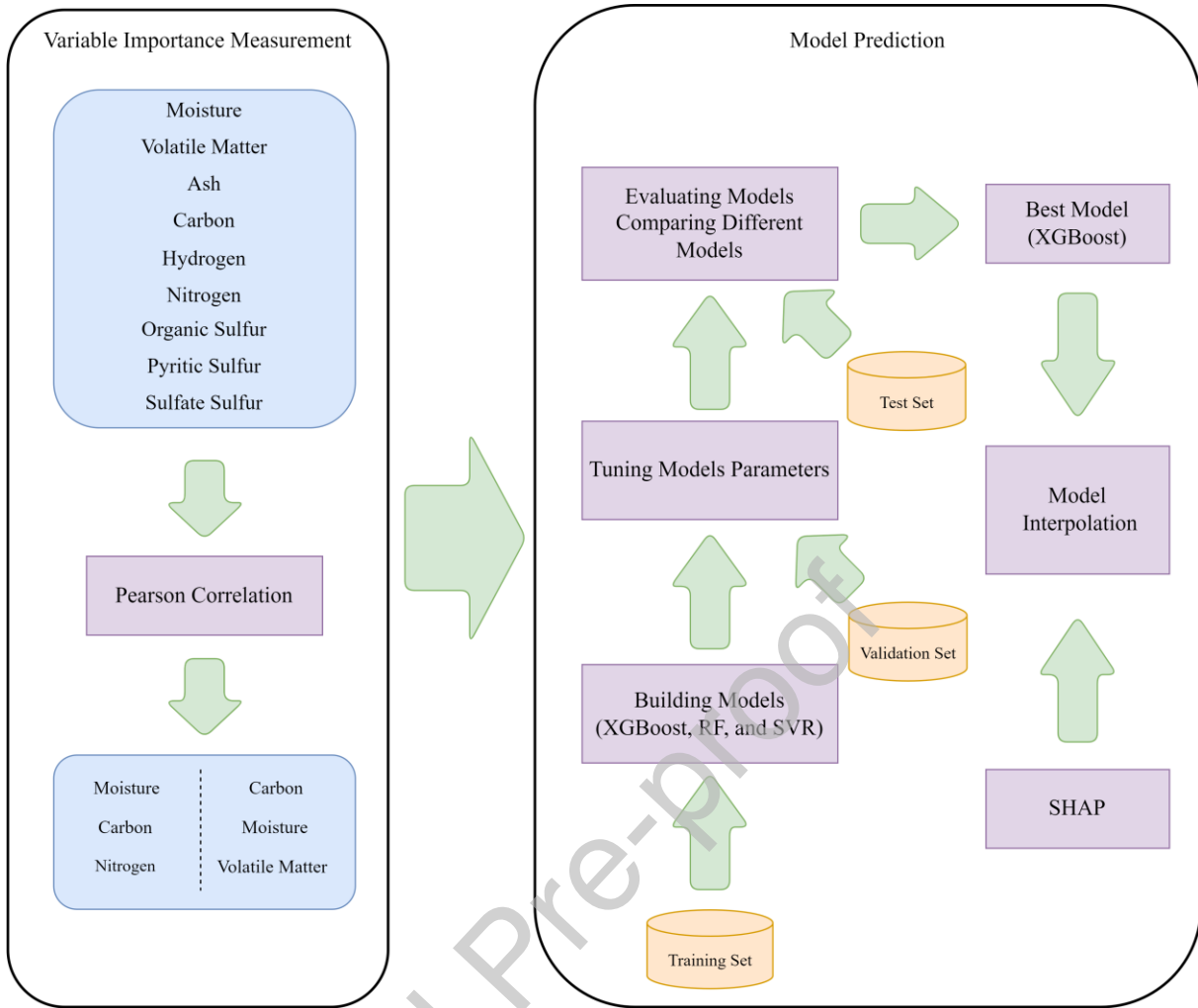


Fig. 1. Modeling sequence for coking coal indexes.

2-2. Methodology

2-2-1. SHapley Additive exPlanations (SHAP)

The SHapley Additive exPlanations (SHAP) technique facilitates the interpretation of model results by providing a uniform approach [33]. The SHAP value quantifies the effect of each component on model outputs, both for individual observations and the whole dataset. SHAP has an additive characteristic to ensure that the aggregate of all relevant measurements and baseline values adds up to the final output [34]. Linear addition of the input features produces the model's output derived from game theory [35]. The "Shapley value" describes how much of a contribution each characteristic makes [36]. Even the most complicated models may be understood using SHAP's

methodology for understanding model predictions [37]. Even though numerous ML-based studies in solid materials have achieved great accuracy in predicting their targets, little attention is paid to the ML models' interpretability. Considerable study quantifies the relevance of features in tree-based models using the decision path, heuristic techniques, or model-agnostic approaches [38]. However, these approaches are frequently impractical and biased for Ensemble Machine Learning (EML) models, particularly those with a strong bias. In order to ensure the interpretability of a machine learning model, the output is stated as the linear sum of the model's input features multiplied by the appropriate SHAP values (Eq. 1).

$$f(x) = \varphi_0 + \sum_{i=1}^N \varphi_i X'_i \quad (1)$$

where f denotes the mapping function represented by the machine learning model; N represents the number of input features; φ_0 is the average of all predictions; φ_i is the SHAP value for the i -th feature; and X'_i denotes the coalition vector for the i th component, which can be calculated from the original input X_i using a mapping function expressed as $X_i = h_x(X'_i)$ [39]. Based on hypotheses such as efficiency, dummy, additive, and symmetry, the contribution of each feature (X denotes the assistance of the i th feature) could be determined by Eq. (2).

$$\phi_i = \sum_{S \subseteq N \setminus \{x_i\}} \frac{|S|! (|N| - |S| - 1)!}{|N|!} [V(S \cup \{x_i\}) - V(S)] \quad (2)$$

where S is the subset of N , which does not contain the feature i , and N denotes the entire set of features. The model $V(S \cup \{x_i\})$ is trained using $S \cup \{x_i\}$, but the other model $V(S)$ is trained using S . Both models' predictions are then compared using current input from subset S [40], [41].

2-2-2. Extreme Gradient Boosting (XGBoost)

Extreme Gradient Boosting (XGBoost) is a technique developed by Chen and Guestrin in 2016. For classification and regression tasks [42], XGBoost provides a parallel tree boosting extension to gradient boosted decision trees [43], [44]. Indeed, it is an enhanced version of the well-established Gradient Boosted Decision Tree (GBDT) algorithm that overcomes its computing restrictions [45].

Nonetheless, it is distinct from the GBDT approach in a way. GBDT employs the first-order Taylor expansion, whereas the XGBoost's loss function uses the second-order Taylor expansion [46], [47]. For XGBoost, a sequential Decision Tree (DT) is formed using a technique known as a sequential ensemble approach [48], also known as sequential decision tree construction. Every sample in the dataset is given a weight, determining how likely it is to be picked for further examination by a decision tree. Initially, the weight for each data point is the same, but it varies due to the statistical analysis [49]. Processing large datasets (datasets from different areas: health [50], [51], social security [52], earth science [53], ...) with significant characteristics and categorizations is also an everyday use for XGBoost. Additionally, this method provides practical and proficient solutions for novel optimization issues [54], particularly when efficiency and accuracy trade-offs are taken into account [55]. XGBoost's objective function is composed of the convex loss function and a regularization term, as given in Eq. (3).

$$Obj(\theta) = L(\theta) + \Omega(\theta) \quad (3)$$

where $L(\cdot)$ is the loss function and $\Omega(\theta) = \gamma T + \frac{1}{2} \lambda \|w\|^2$ is a regularization function, controlling the model's complexity [56]. In the regularization function, T represents the number of leaf nodes, and w is the weight of each leaf. γ and λ are regularization parameters that control the penalty associated with T and w [57].

2-2-3. Random Forest

Random Forest (RF) is a nonparametric supervised machine learning approach [58]. RF is a mix of Bootstrap aggregation (Bagging) and random variable selection at each node, which is developed by Breiman [59]. RF is an advanced bagging method created based on the Decision Tree (DT) theory [60], [61]. The concept behind RF is to employ bootstrap resampling to extract numerous samples from the original data and then create a DT for each bootstrap sample [62], [63]. Each DT is created randomly in an RF, and the DTs are utterly independent of one another [64]. Thus, there are many

different predictors in an RF, and they are all grown separately. In order to arrive at a final prediction, individual tree projections are combined through the use of averages [65]. Given an input feature vector $x = [x_1, x_2, \dots, x_n]^T$, the expected output of the RF model $\hat{t}(x)$ could be computed according to Eq. (4).

$$\hat{t}(x) = \frac{1}{B} \sum_{b=1}^B \hat{t}_b(x) \quad (4)$$

where B represents the total number of trees and $\hat{t}_b(x)$ denotes the estimate given by the b th tree [66]. To conclude, RF models are one of the most powerful supervised machine learning methods available today, as they enable the elimination of irrelevant input features based on their relative relevance [67].

2-2-4. Support Vector Regression

Support Vector Regression (SVR) is a nonparametric statistical technique developed in 1996 by Drucker and colleagues [42]. Regression using SVR, has been utilized effectively on various engineering challenges [68]. SVR, a revolutionary artificial intelligence system, uses a promising nonlinear kernel-based regression approach to minimize the structural risk principle in a high-dimensional feature space implemented in the SVR model. Using convex optimization methods, SVR transforms nonlinear regression problems into linear regression models [69]. The computational complexity of this approach is not reliant on the dimensions of the input space, which is one of its primary advantages [70]. Furthermore, it has a high level of accuracy in predicting outcomes and broad applicability [59]. The SVR uses Eq. (5) to solve the regression problem.

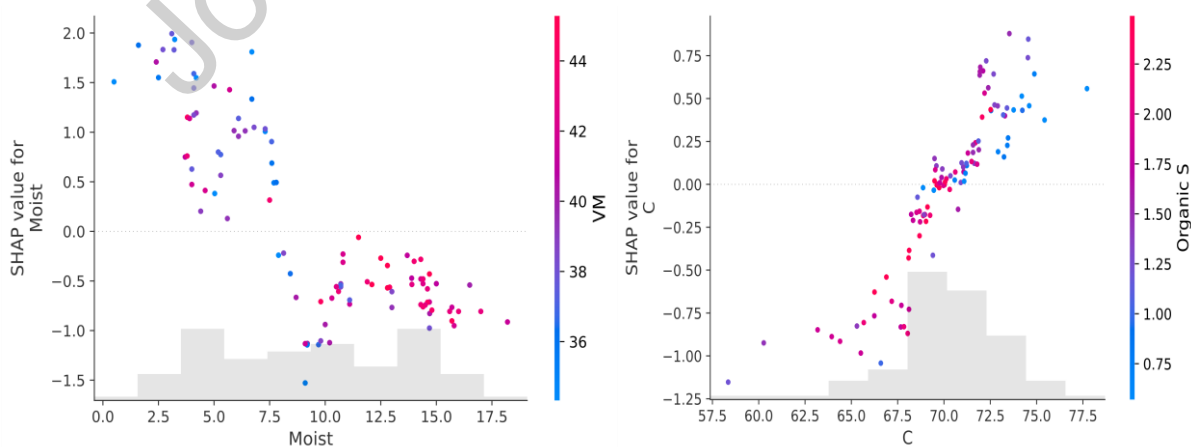
$$f(x) = \langle w \varphi(x) \rangle + b \quad (5)$$

where w denotes the weight of the matrix, $\varphi(x)$ represents the multidimensional space comprising the input vector x , and b is the bias [71].

3. Results and discussions

3-1. SHAP assessment

In this study, the SHAP was applied to the model built by XGBoost. SHAP analyses among proximate-ultimate analyses parameters (coal component) indicate the complexity of relationships between coal parameters (Fig. 2). Exploring multivariate relationships between these parameters and their representative coking indexes (FSI and log (MF)) showed that moisture and carbon contents have the highest effect on the coke capability of coal samples (Fig. 3). Moisture shows a significant negative and carbon a substantial positive correlation with the coking indexes (Fig. 3). Moisture is a coal rank factor since coal's rank decreases as it increases. The negative effect of coal moisture in the blast furnace and coking rate was reported in other investigations [72], [73]. In general, through airless heating of coal samples (coke-making procedure), their moisture content is released, leaving a solid residue called coke; thus, high moisture content could reduce the coking rate [14]. Since coke can be considered a macro-porous carbon material, the carbon content level absolutely plays one the most important role in its structure. In general, coke strength and reactivity tremendously should depend on its isotropic carbon content. Therefore, the weighty positive correlation between coking indexes and carbon content would be obvious. These relationships are even observed in other renewable fuels [74]–[78]. There is a significant agreement between SHAP and Pearson correlation assessments (Fig. 4).



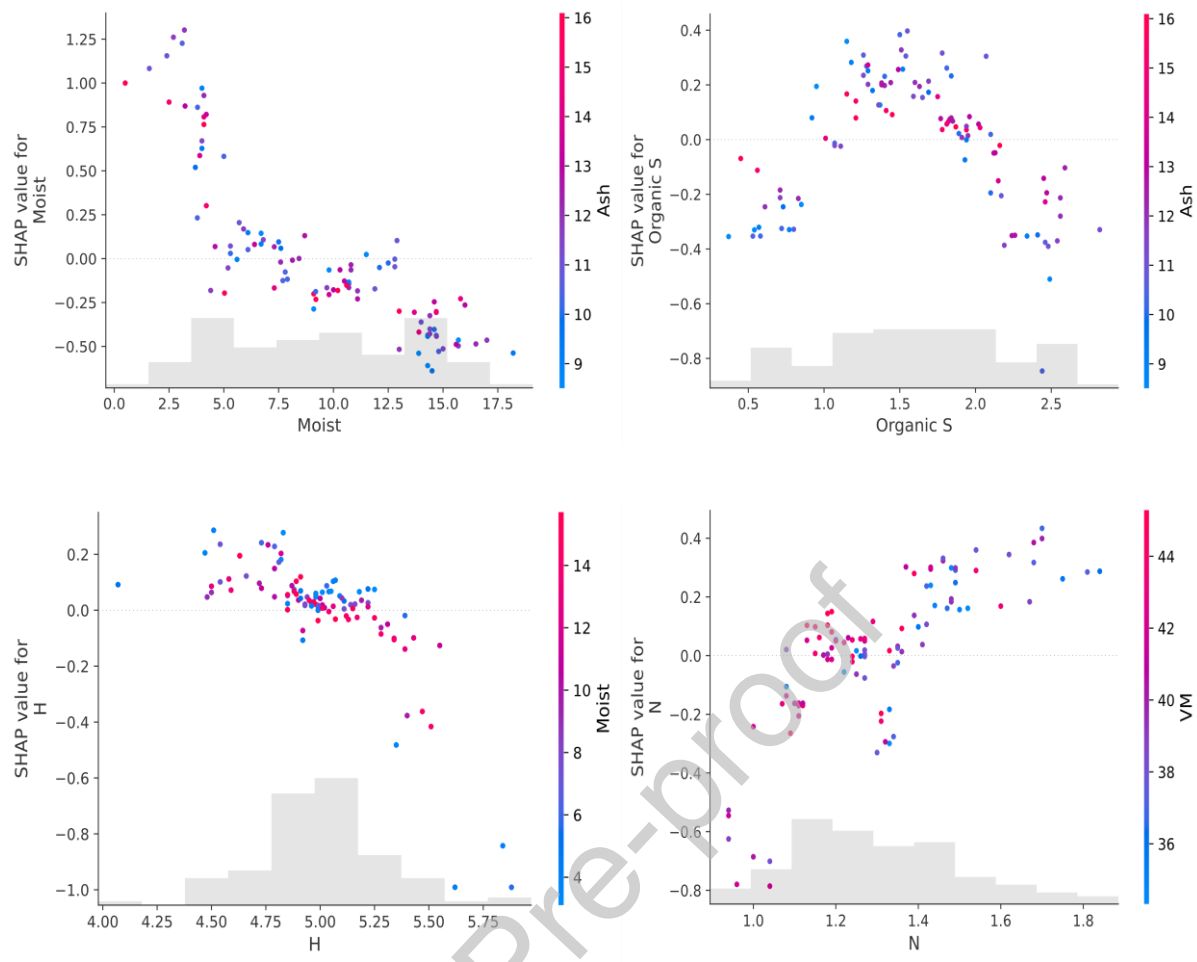


Fig. 2. SHAP feature dependence scatter plots for the XGBoost model to show the complexity of relationships between coal parameters.

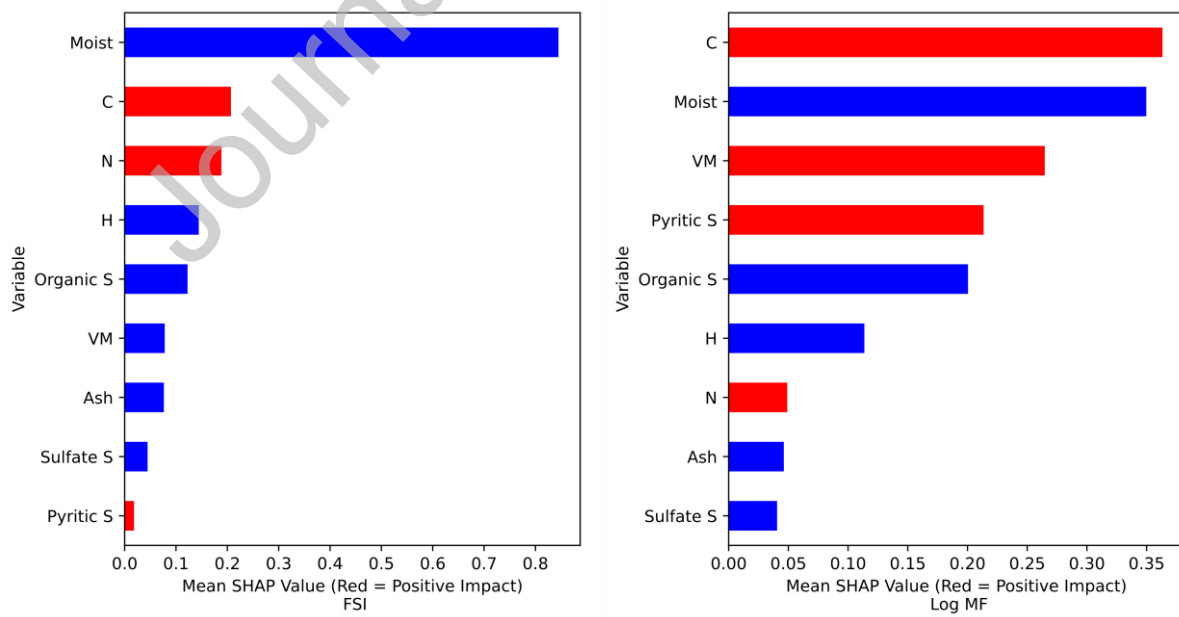


Fig. 3. SHAP feature importance of coal features on the coking indexes for the XGBoost model. Red and blue bars indicate the positive and negative impact of the features on the output.

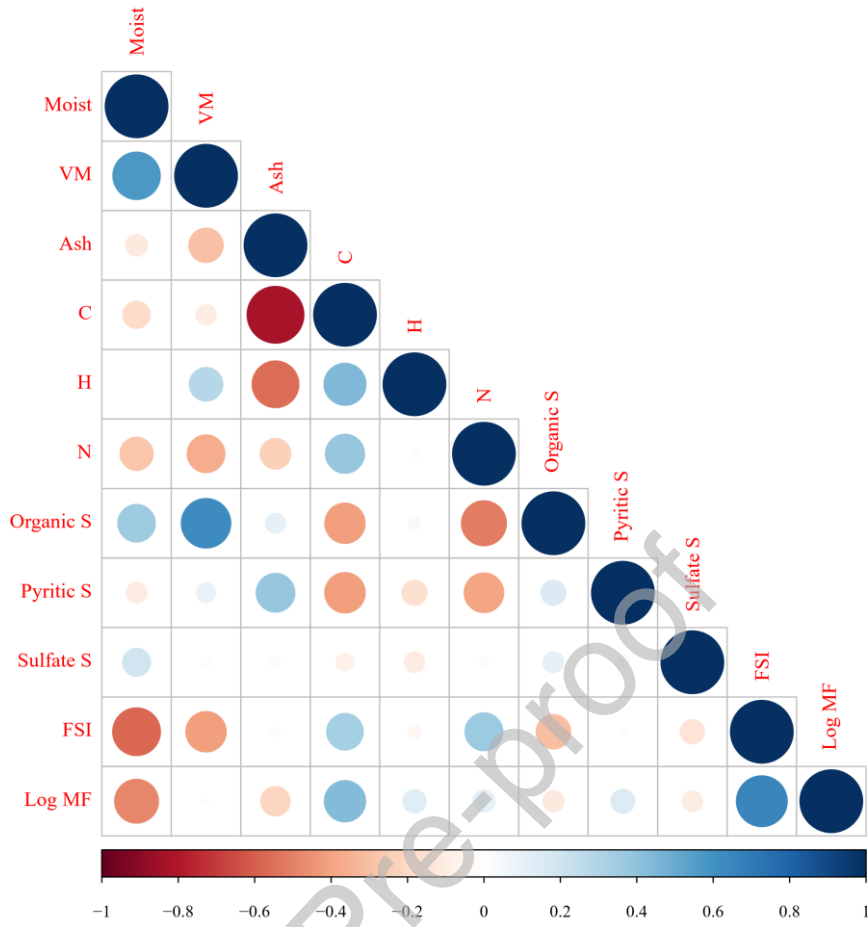


Fig. 4. Linear relationships (Pearson correlation) between coal characteristics and their representative coking indexes.

3-2. Prediction

XGBoost was considered for the prediction of coking index features. From the entire provided dataset, 80% of records were randomly used as the training set, 10% as the validation set, and the remaining 10% as the test set. The XGBoost hyperparameters were selected by try and error approach based on the Grid Search algorithm (Table 3). The XGBoost outcomes (Table 4) indicated that the coking indexes could be accurately estimated by using coal properties. The same records were considered for comparison determinations to develop RF and SVR as conventional ML models. Outcomes (Table 4) highlighted that the XGBoost algorithm could predict the coking indexes quite accurately compared to these two common AI models (Fig. 5). Moreover, to determine whether XGBoost's superiority was statistically significant, a two-tailed Welch's t -test with a significance level $\alpha = 0.05$ was conducted between XGBoost and other methods. Welch's t -test, a nonparametric

univariate statistical test, is useful when two samples have unequal variances [79]. As seen in Table 4, in all comparisons, the null hypothesis is rejected based on the tests with a 95% confidence level (p -value < 0.05), giving statistically significant results.

Table 3. The XGBoost parameter settings for predicting coking indexes.

Parameter	Value (Log MF)	Value (FSI)
Base learner	Gradient boosted tree	Gradient boosted tree
Tree construction algorithm	Exact greedy	Exact greedy
Learning objective	Regression with squared loss	Regression with squared loss
Learning rate (η)	0.3128	0.4407
Lagrange multiplier (γ)	0	0
Number of gradients boosted trees	77	13
Maximum depth of trees	3	3
The minimum sum of instance weight (hessian) needed in a child	0	0
L2 regularization term on weights	1	1
The initial prediction score of all instances (global bias)	0.5	0.5
Subsample ratio of the training instances	0.9999	0.9999
Maximum delta step, we allow each leaf output to be	0 (There is no constraint)	0 (There is no constraint)

Table 4. Assessing the results of different AI models for the testing stage.

Method	R-square (FSI)			R- square (Log MF)		
	Validation	Test	<i>p</i> -value	Validation	Test	<i>p</i> -value
XGBoost	0.9133	0.8347	-	0.9227	0.8813	-
Random Forest	0.8226	0.5707	4.33E-15	0.8875	0.8465	3.27E-08
Support Vector Regression	0.7602	0.7159	4.20E-155	0.6036	0.5328	5.54E-164

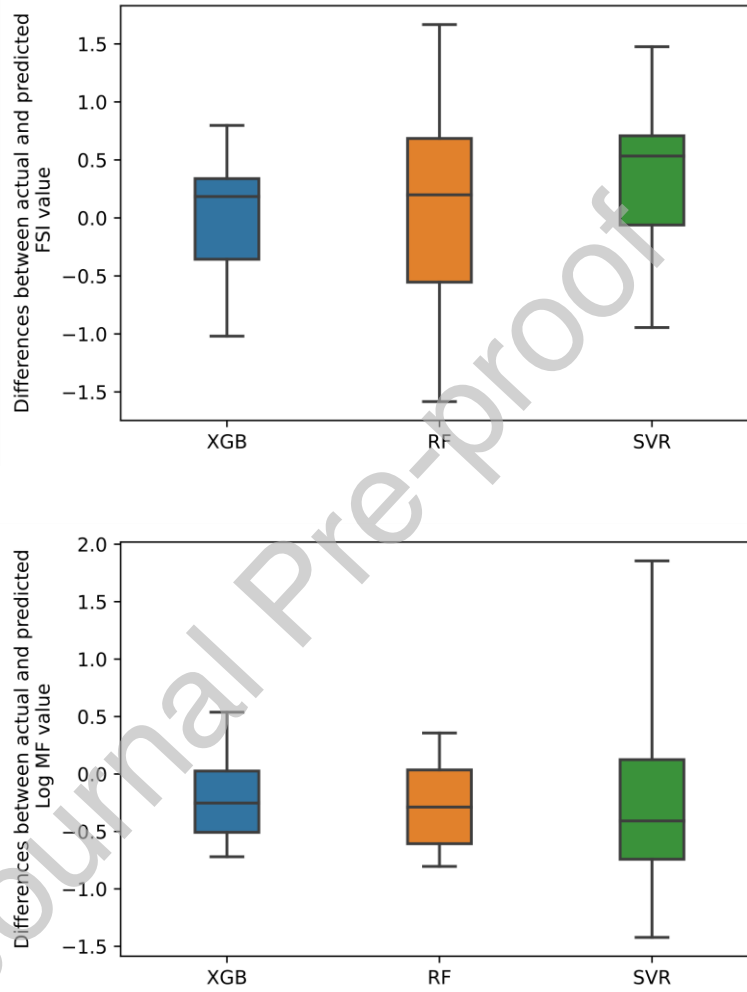


Fig. 5. Differences between actual and predicted coking indexes by various AI models in the testing stage.

It is worth considering that both RF and XGBoost are ensemble models which provide accurate results (SVR is a kernel-based regression). However, XGBoost is a boosting technique requiring less feature engineering, and RF is a bagging model, making XGBoost more adaptable than others [80]. During using XGBoost, the user can customize the objective function. Most SVR modeling shows a significant performance when a high dimensional space is available due to the kernel trick. In terms of

training computational cost, XGBoost is cheaper than RF by implementing parallel processing [81], while SVR is one of the most computationally expensive algorithms to train. Although XGBoost is computationally efficient in training, it can be computationally costly in tuning due to its many hyperparameters. It is worth noting that one of the strengths of all three methods is that they make no assumptions about the distribution of the input features [82]. Regarding the bias and variance, RF and XGBoost mainly showed a low bias and variance; however, SVR indicated low bias and high variance [83]. As a substantial XAI system, the high accuracy of the constructed SHAP-XGBoost model indicated that this combination could successfully be applied for developing, modeling, and maintaining complex relationships within the coking and steelmaking industries.

4. Conclusion

Outcomes of this investigation highlighted that by using SHAP as an algorithm to build an explainable artificial intelligence model, complex multivariable correlations within coal properties and their representative coking indexes could be distinguished, and their multivariable correlation magnitude can be converted to the human basis level. SHAP indicated that with the dataset (coal sample's ash content is lower than 25%), moisture and carbon content has the highest importance for predicting coking indexes. There is a positive correlation between carbon content and coking quality, while moisture showed a significant negative correlation. XGBoost, a most recent developed boosting technique, could accurately predict coking indexes by R^2 over 0.9 in the validation and over 0.8 in the testing stages. Comparing the results of conventional machine learning methods (random forest and support vector regression) and SHAP-XGBoost models relieved that this model could provide a higher accuracy (R^2 0.9 vs. 0.8 in the validation, 0.8 vs. 0.6 in the testing step). The success of SHAP-XGBoost in modeling coking indexes could be considered a new window for better understanding complex relationships and predicting complicated factors within energy and fuel processing areas.

5. Declarations

5-1. Availability of data and materials

The data used to support the findings of this study are available from the corresponding author upon request.

5-2. Competing interest

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

5-3. Funding

This research received no specific grant from any funding agency in the public, commercial, or not-for-profit sectors.

5-4. Author's contributions

Arman Homafar, Hamid Nasiri, and Saeed Chehreh Chelgani: Conceptualization, Methodology, Software, Validation, Formal analysis, Investigation, Writing - original draft, Writing - review & editing.

Declaration of interests

☒ The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

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