Copyright is owned by the Author of the thesis. Permission is given for a copy to be downloaded by an individual for the purpose of research and private study only. The thesis may not be reproduced elsewhere without the permission of the Author.

A Comparison of Classification Techniques for Monitoring and Mapping Land Cover and Land Use Changes in the Subtropical Region of Thai Nguyen, Vietnam

A thesis presented in partial fulfilment of the requirements for the degree of

Master of

Environmental Management

at Massey University, Palmerston North

New Zealand.

Tuyen Ha Van

2017

Abstract

Deriving land cover/land-use information from earth observation satellite data is one of the most common applications for environmental monitoring, evaluation and management. Many parametric and non-parametric classification algorithms have been developed and applied to such applications. This study looks at the classification accuracies of three algorithms for different spatial and spectral resolution data. The performance of Random Forest (RF) was compared to Maximum Likelihood (MLC) and Artificial Neural Network (ANN) algorithms for the separation of subtropical land cover/land-use categories using Sentinel-2 and Landsat 8 data. The overall, producers' and users' accuracies were derived from the confusion matrix, while local land use statistics were also collected to evaluate the accuracy of classified images. The accuracy assessment showed the RF algorithm regularly outperformed the MLC and ANN in both types of imagery data (>90%). This approach also exhibited potential in dealing with the challenge of separating similar man-made features such as urban/built-up and mining extraction classes. The ANN algorithm had the lowest accuracy among the three classification algorithms, while Landsat 8 imagery was most suitable for the classification of subtropical mixed and complex landscapes.

As the RF algorithm demonstrated a robustness and potential for mapping subtropical land cover/land-use, this study chose it to monitor and map temporal land cover/land-use changes in Thai Nguyen, Vietnam between 2000 and 2016. The results of this temporal monitoring revealed that there were substantial changes in land cover/land use over the course of 16 years. Agricultural and forest land decreased, while urban and mining extraction land expanded significantly, and water increased slightly. Changes in land cover/land-use are strongly associated with geographic locations. The conversion of agriculture and forest into urban/built-up and mining extraction land was detected largely in the Thai Nguyen central city and southern

regions. In addition, further GIS analysis revealed that approximately 69.6% (100.2km²) of

new built-up areas had occurred within 2km of primary roads, and nearly 96% (137.6km²) of

new built-up expansion was detected within a 5-km buffer of the main roads. This study also

demonstrates the potential of multi-temporal Landsat data and the combination of remote sensing, GIS

and R programming to provide a timely, accurate and economical means to map and analyse temporal

changes for long-term local land use development planning.

Keywords: Random forest; Land cover mapping; Remote Sensing; Vietnam

iii

Acknowledgements

I would first like to express my gratitude and sincere thanks to my supervisors, **Mike Tuohy** and **Matthew Irwin** at Institute of Agriculture and Environment, Massey University for their guidance, valuable advice, encouragement, and endless patience through the entire process of this thesis research. They always allowed me to work on my own idea, but steered me on the right direction whenever I needed assistance.

My special thanks also go to all lecturers for their enthusiastic lectures and encouragement during my first year at Massey University, and to my classmates for cheering me up and giving constructive advice. Special thanks also devote to all Vietnamese friends and scholars at Massey University for their continuous encouragement and support.

I would also like to thank my friends back home in Vietnam who involved in fieldtrip survey for this thesis research, particularly Mr. **Tuan**, Mr. **Hung** and Mr. **Hoang**. This research would not be complete without their enthusiasm and assistance.

I would also love to take this opportunity to thank New Zealand government for sponsoring my home data collection, and for the scholarship to pursue the Master's degree in Environmental Management at Massey University. Special thanks also dedicate to **Jamie**, **Dave**, **Logan** and all staff at International Student Support Office, Massey University for making sure that all scholars like me could obtain the best academic achievements and enjoyable life experience while in New Zealand.

Finally, I must express my very profound gratitude to my family for providing me with continuous support and love throughout my years of study.

Table of Contents

Abstract	ii
Acknowledgements	iv
Table of Contents	V
List of Tables	ix
List of Figures	X
List of Abbreviations	xii
1 Introduction	1
1.1 Background	1
1.2 Land cover/ land-use in Thai Nguyen, Vietnam	3
1.3 Research problem	7
1.3.1 Research goals	8
1.3.2 Research concerns	8
1.4 The organization and structure of the research thesis	9
2 LITERATURE REVIEW	10
2.1 Remote sensing and GIS	10
2.1.1 Remote sensing	10
2.1.2 Geographic Information System	13
2.2 Image Processing	14
2.2.1 Pre-processing	14
2.2.2 Classification algorithms	16
2.3 Temporal land cover and land-use monitoring and mapping	23

2.4 Cl	hange detection and Accuracy assessment	25
2.4.1	Change detection	25
2.4.2	Accuracy assessment	26
3 STUD	DY AREA and MATERIALS	28
3.1 St	tudy Area	28
3.2 Bi	iophysical and Scio-economic Characteristics	30
3.2.1	Topology and Hydrology	30
3.2.2	Geology, Soil and Mineralogy	31
3.2.3	Flora and Fauna	31
3.2.4	Population and Economic Development	32
3.3 Da	ata Collection	32
3.3.1	Satellite Data and Thematic Maps	33
3.3.2	Training and Reference Data	35
3.3.3	Software	37
4 METH	HODS	37
4.1 In	nage Pre-processing	37
4.1.1	Radiometric Correction	38
4.1.2	Enhancement and Transformations	38
4.1.3	Mosaic from Multiple Images	40
4.2 Cl	lassification Scheme	41
4.3 Co	omparison of Land Cover Classifiers	48

	4.3.1	Classification Algorithms	48
	4.3.2	Sentinel-2 and Landsat 8 Accuracy Assessment	52
	4.4 Lai	nd Cover Monitoring and Mapping for Thai Nguyen	54
	4.4.1	Landsat 7 and 8 Classification Accuracy Assessment	55
	4.4.2	Change Detection	56
5	RESUI	LTS AND DISCUSSION	56
	5.1 Co	mparison of Classifiers	57
	5.1.1	Land Cover Maps Derived from Sentinel-2	57
	5.1.2	Land Cover Maps Derived from Landsat 8	63
	5.2 Ter	mporal Land Cover Change Monitoring	69
	5.2.1	Land cover/land use change	69
	5.2.2	Classification accuracy assessment	71
	5.2.3	Land cover change patterns	73
6	CONC	LUSIONS AND RECOMMENDATIONS	76
	6.1 Co	nclusions	76
	6.1.1	Comparison of land cover classification techniques	76
	6.1.2	Temporal land cover monitoring and mapping	77
	6.2 Rec	commendations	78
	6.2.1	Comparison of land cover classification techniques	78
	6.2.2	Land cover monitoring and mapping	78
R.	eferences		79

Appendices83
Appendix 1: TNMT land use statistics85
Appendix 2: Accuracy statistics for 20-m Sentinel-2 data using the three classification
algorithms80
Appendix 3: Accuracy statistics for 10-m Sentinel-2 data using the three classification
algorithms8'
Appendix 4: Accuracy statistics for Landsat 8 data using the three classification algorithms 88
Appendix 5: Accuracy statistics for Landsat 7 data using the RF classification algorithms89

List of Tables

Table 3.1 Data layers used in this study
Table 3.2 Training data statistics for Sentinel-2 and Landsat 8 data (pixels)
Table 4.1 Description of various land cover classes in Thai Nguyen, Vietnam43
Table 5.1 Summary of accuracy statistics for three classifiers using Sentinel-2 data (%)59
Table 5.2 Summary of area statistics for the three classifiers using Sentinel-2 data61
Table 5.3 Summary of accuracy statistics for the three classifiers using Landsat 8 data (%).65
Table 5.4 Summary of area statistics for the MLC, ANN and RF algorithms using Landsat 8
data
Table 5.5 Summary of classification statistics for 2000 and 2016
Table 5.6 Summary of Landsat ETM+ and Landsat OLI classification accuracies (%)72
Table 5.7 Matrix of land cover/land-use and changes (area in km ²) between 2000 and 2016 75

List of Figures

Figure 1.1 Spatial distribution of industrial zone development by 2020, Thai Nguyen6
Figure 2.1 Sentinel-2 spectral and spatial resolution
Figure 2.2 Spectral reflectance of green vegetation, Landsat 8 data
Figure 2.3 An example of land cover classification using spectral class
Figure 2.4 Right-skewed distribution of reflectance for mining class, Sentinel-2 band 317
Figure 2.5 Land cover studies publications using the ANN approach between 1990 and 2005
22
Figure 3.1 A map of the study area
Figure 3.2: Elevation and water network for Thai Nguyen derived from DEM30
Figure 3.3 Clouds in the Landsat 8 image
Figure 4.1 A false colour composite of the study area (Sentinel-2 bands 3, 4 and 8)40
Figure 4.2 Natural colour Sentinel-2 imagery without colour balancing (A), and colour
balancing (B)41
Figure 4.3 Normalized differenced vegetation index of the study area (Sentinel-2 bands 8 and
4)42
Figure 4.4 Rural houses (left) and urban built-up infrastructure (right)44
Figure 4.5 Examples of agriculture; harvested rice field (left) and corn fields (right)45
Figure 4.6 Mixed forests (left) and forest plantation (right)
Figure 4.7 Tea plantations (left) and tea intercropping (right), Dai Tu district, Thai Nguyen 46
Figure 4.8 A part of Cong River (left) and Coc lake (right)
Figure 4.9 Coal mining activities in Dai Tu district (left) and iron exploitation (right) in Dong
Hy district, Thai Nguyen province
Figure 4.10 An example of decision tree
Figure 4.11: The operational procedure of feed-forward neural network

Figure 4.12 Reference data for assessing the Sentinel-2 and Landsat 8 classification53
Figure 4.13 Reference data for assess the accuracy of Landsat 7 (collected based on Google
Earth and ESRI Imagery 2000)55
Figure 5.1 Land cover/land-use maps derived from Sentinel-2 data using MLC, ANN and RF
algorithms
Figure 5.2 The similarity in mining extraction and urban feature surface of the study area 60
Figure 5.3 The comparison of area statistics reported between classification algorithms for
Sentinel-2 data for the study area
Figure 5.4 The effect of tree sizes on the RF model accuracy using Sentinel-2 data63
Figure 5.5 Land cover/land-use maps derived from Landsat 8 data using MLC, ANN and RF
algorithms64
Figure 5.6 The comparison of area statistics between algorithm-based and TNTM statistics 66
Figure 5.7 The comparison of area statistics reported between classification algorithms using
Landsat 867
Figure 5.8 The effect of tree sizes on the model accuracy using Landsat 8
Figure 5.9 The variable importance identified by the RF model for Landsat 8 bands69
Figure 5.10 Land cover classification products derived from Landsat data for 2000 and 2016
70
Figure 5.11 Area statistics by land cover for 2000 and 2016 and the areas of change71
Figure 5.12 Variations in the percentage of each land cover between local statistics and the RF
classification derived from the Landsat 8
Figure 5.13 Major changes in two land cover/ land-use categories using Landsat data between
2000 and 201674

List of Abbreviations

ROI: Region of Interest

DN: Digital Number

ETM+: Enhanced Thematic Mapper Plus

OLI/ TIR: Operational Land Imager/ Thermal Infrared

GIS: Geographic Information System

RS: Remote Sensing

MLC: Maximum Likelihood Classifier

ANN: Artificial Neural Network

RF: Random Forest

CART: Classification and Regression Tree

PCA: Principal Component Analysis

TOA: Top of Atmosphere

ENVI: Environment for Visualizing Images

NDVI: Normalized Differenced Vegetation Index

UTM: Universal Transverse Mercator

WGS84: World Geodetic System 84

NASA: National Aeronautics and Space Administration

USWGS: United States Geological Survey

VNIR: Visible/Near-infrared

SWIR: Shortwave Infrared

RGB: Red, Green and Blue

PCC: Post Classification Comparison

TNMT: Thai Nguyen Department of Natural Resource and Environment