

# UNIVERSITI PUTRA MALAYSIA

## IMPROVED CLUSTERING USING ROBUST AND CLASSICAL PRINCIPAL COMPONENT

AHMED KADOM HASSN

FS 2017 47



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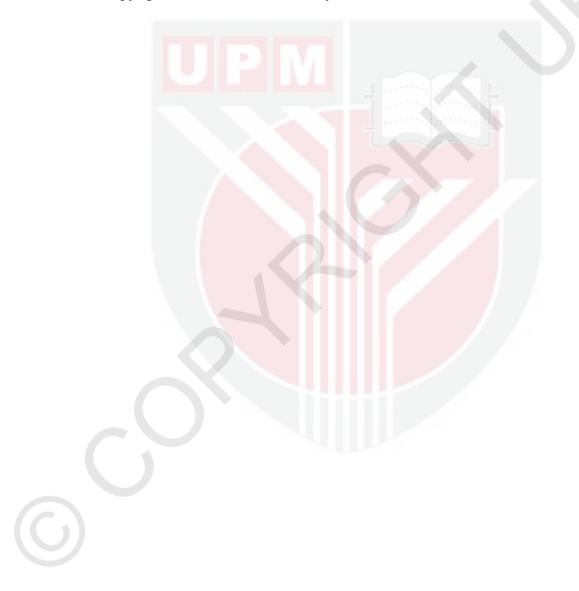
Thesis Submitted to the School of Graduate Studies, Universiti Putra Malaysia, in Fulfillment of the Requirements for the Degree of Master of Science

June 2017

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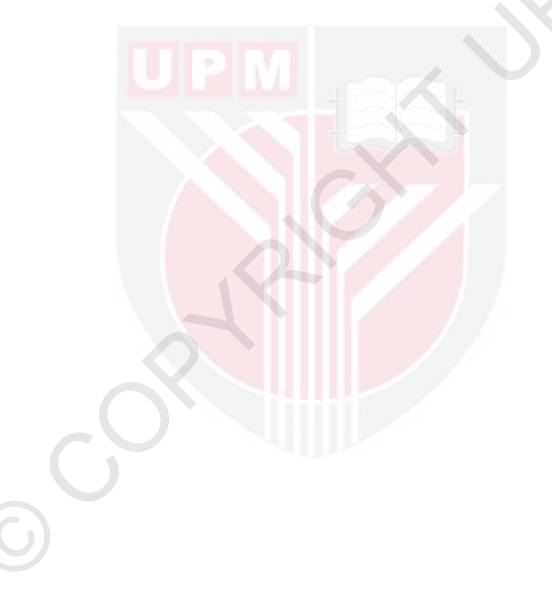
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### DEDICATION

- TO my respectful father and lovely mother who taught me the meaning of courage and always had confidence in me.
- To my wife for all his contribution, patience, and understanding throughout my master studies. He supported me a lot and made it all possible for me.
- To my kids, who accompanied me through the different parts of my study. Their love has always been my greatest inspiration.



Abstract of thesis presented to the Senate of Universiti Putra Malaysia in fulfillment of the requirement for the Degree of Master of Science

### IMPROVED CLUSTERING USING ROBUST AND CLASSICAL PRINCIPAL COMPONENT

By

### AHMED KADOM HASSN

June 2017

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k-means algorithm is a popular data clustering algorithm. k-means clustering aims to partition n observations into k clusters in which each observation belongs to the cluster with the nearest mean, serving as a prototype of the cluster. Finding the appropriate number of clusters for a given data set is generally a trial-and-error process which made more difficult by the subjective nature of deciding what constitutes 'correct' clustering. When dimension of data is large it is often difficult to apply k-means clustering algorithm since it needs lots of computational times.

To remedy this problem, we propose to integrate Principal Component analysis (PCA) which is useful for dimensionality reduction of a dataset with the k-means clustering algorithm. We call our propose method as k-means by principal components (pc1). In this study, the kernels that are created by using the k-means method are replaced with kernels which are created by using PCA method where the PCA method reduces the dimensionality of a data. The results of the study show that the k-means by PCA is faster and more efficient than the classical k-means algorithm.

The classical k-means algorithm and the k-means by PCA algorithm are very sensitive to the presence of outlier. Hence the k-means by robust PCA is developed to rectify the problem of outliers in the dataset.

The findings indicate that in the absence of outliers, the performances of both methods; the k-means by PCA and the k-means by robust PCA are equally good. Nonetheless, the k-means by robust PCA is not much affected by outliers compared to the k-means by classical PCA.

Abstrak tesis yang dikemukakan kepada Senat Universiti Putra Malaysia sebagai memenuhi keperluan untuk Ijazah Sarjana Sains

### PENAMBAHBAIKAN PENGELOMPOKAN DENGAN MENGGUNAKAN ANALISIS KOMPONEN UTAMA TEGUH DAN KLASIK

Oleh

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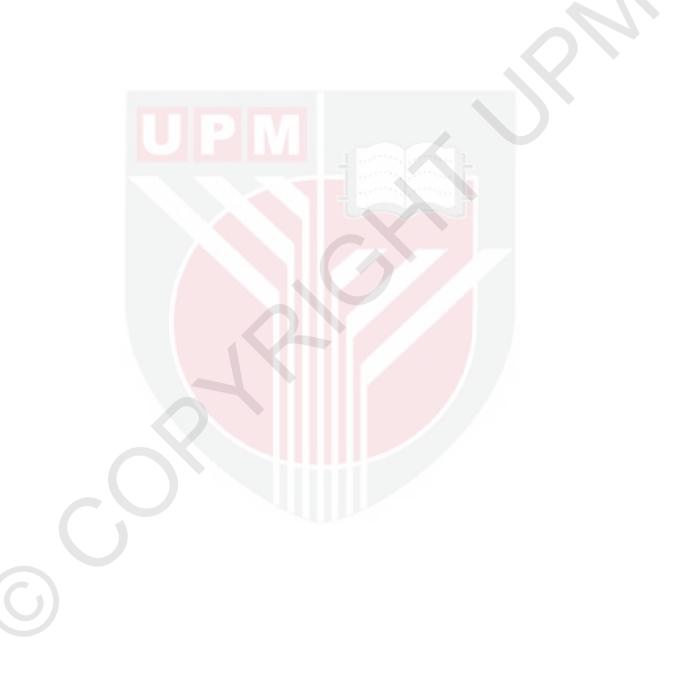
Algoritma *k-means* ialah algoritma data kluster yang popular. Matlamat pengelompokan *k-means* adalah untuk membahagi cerapan n ke dalam kluster *k* dengan setiap cerapan adalah kepunyaan kluster dengan min yang terdekat, ianya berfungsi sebagai prototaip kluster. Mencari bilangan kluster yang sesuai untuk sesuatu set data adalah secara amnya suatu proses percubaan yang menjadi lebih sukar disebabkan sifat subjektif dalam menentukan apa yang merupakan pengelompokan yang 'betul'. Apabila dimensi data besar biasanya sukar untuk menggunakan algoritma pengelompokan k-means, kerana ianya memerlukan banyak masa pengkomputeran.

Untuk membetulkan masalah ini, kami mencadangkan untuk mengintegrasikan analisis komponen utama (PCA), di mana ianya berguna untuk pengurangan dimensi set data dengan algoritma pengelompokan *k-means*. Kami namakan kaedah yang dicadangkan sebagai *k-means* dari komponen utama (pc1). Dalam kajian ini, kernel-kernel yang dicipta dengan menggunakan kaedah *k-means* telah digantikan dengan kernel-kernel yang dicipta menggunakan kaedah PCA di mana kaedah PCA telah mengurangkan dimensi pada data tersebut. Keputusan dari kajian ini menunjukkan bahawa *k-means* dengan PCA adalah lebih cepat dan cekap daripada algoritma *k-means* klasik.

Algoritma *k-means* klasik dan *k-means* dengan algoritma PCA adalah lebih sensitif dengan kehadiran titik terpencil. Oleh itu, *k-means* dengan PCA teguh telah dicadangkan untuk membetulkan masalah titik terpencil di dalam set data.



Keputusan menunjukkan bahawa pencapaian kedua-dua kaedah dengan kehadiran titik terpencil; *k-means* dengan PCA dan *k-means* dengan PCA teguh adalah sama bagus. Walaubagaimanapun, *k-means* dengan PCA teguh tidak banyak terjejas dengan titik terpencil berbanding dengan *k-means* dengan PCA klasik.



#### ACKNOWLEDGEMENTS

First of all, I wish to thank God who always supported me in all difficulties of my study life.

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My master studies wouldn't be possible without the scholarship granted to me by my country. Much gratitude is also due to the entire faculty of science members who created an environment in which master and PhD students can flourish. I am lucky to have the chance to be graduated from this faculty.

I certify that a Thesis Examination Committee has met on 2 June 2017 to conduct the final examination of Ahmed Kadom Hassn on his thesis entitled "Improved Clustering Using Robust and Classical Principal Component" in accordance with the Universities and University Colleges Act 1971 and the Constitution of the Universiti Putra Malaysia [P.U.(A) 106] 15 March 1998. The Committee recommends that the student be awarded the Master of Science.

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## LIST OF ABBREVIATIONS

CPCA	Classical Principle component analysis
Е	Matrix error
FA	Factor analysis
MCD	Minimum covariance determinant
$n_k$	The number of points in $C_k$
PCA	Principle component analysis
ROBPCA	Robust Principal component analysis
SVD	singular value decomposition
<i>v</i> <sub>k</sub>	Eigenvectors satisfying
w	The loadings or weight matrix
$\hat{\Sigma}_0$	The covariance matrix

### **CHAPTER 1**

### **INTRODUCTION**

### 1.1 Introduction and Background of the study

Searching for "natural" groups of objects is an important exploratory technique for understanding complex data. The origins of clustering can be traced back to taxonomy where it is necessary that different people assign similar objects to the same group. Clustering or grouping were traditionally done by taxonomists who picked important grouping variables based on their rich knowledge of species. Nowadays, the principal function of clustering is to name, display, summarize and to elicit an explanation for the resulting partitions of the dataset (Hartigan, 1975).

Clustering defines as programmed grouping of similar circumstances created several dissimilarity amount in Statistics and Computer Science. Clustering is sometimes referred to as "numerical taxonomy".

For example, a DNA microarray is a type of dataset to which clustering algorithms are applied. A microarray is a rectangular array of N rows, one for each case (e.g. a patient or a tumor) and p columns, one for each feature (e.g. genes, SNP's).

The dependable, precise plus robust arrangement of growths is vital for prosperous analysis of cancer. However, in medical a clinical presentation of microarrayestablished is to identify and diagnose cancer, the explanation of new growth sessions would be centered on the partitions produced by grouping. The clusters can formerly be applied to build forecasters for fresh tumor models (Dudoit et al., 2002).

Current applications of clustering algorithms often include a large number of features and visualizing such datasets is difficult. Typically, simply a moderately few numbers of feature is important to determine the class memberships of the cases.

If thousands of potential clustering features must be considered, the traditional taxonomists' approach of hand picking important features becomes difficult and impractical. Instead, we need a method that automatically chooses the important clustering variables. Furthermore, large datasets may contain outliers, which are defined as cases that do not belong to any of the given clusters. In this situation, one may wish to use a wise algorithm that identifies the important features and outliers together with the clusters.

Principal component analysis is known as a general statistical technique which gives much insight and attempts to describe the covariance organization of data by values of a minor number of constituents. Therefore, these constituents are linear arrangements of the unique variables, and frequently agree for an explanation and a enhanced thoughtful of the dissimilar causes of variant. For the reason that PCA is disturbed with the data reduction, yet, it is commonly applied for the investigation of high-dimensional data which are normally come across in chemometrics, computer vision, engineering, genetics, and other fields. PCA is formerly and regularly the first approach of the data analysis, go alone with discriminant analysis, cluster analysis, or other multivariate techniques. However, as a result, it is essential to discover individuals main constituents that comprise maximum of the information. In the conventional technique, the leading constituent relates to the trend in which the projected observations recorded have the major sum of variance. The second constituent is then orthogonal to which the first and over again take full advantage of the variance of the data points projected on it. Persistently, in this method its yield entirely the principal constituents, whereby, relate to the eigenvectors of the experimental covariance matrix. Regrettably, both the conventional variance, which is being made best use of it and the conventional covariance matrix, which is being disintegrated are very delicate to abnormal interpretations. Accordingly, the first constituents are frequently involved in the direction of distant points, and it may not make use of the much difference of regular observations. Hence, reduction of data centered on classical PCA (CPCA) turn into undependable if outliers are existing in the data (Mia Hubert et al., 2005)

Almost the entire of the PCA algorithms stated previously are created on the expectations that data have not being damaged by outliers. The procedure is that, actual data regularly comprise various outliers and commonly they are not simply to be disjointed from the real data set (Chen, 2002).

The major aim of robust PCA approaches is to attain principal constituents that are completely may not be affected considerably by outliers. The first set of techniques group is attained by swapping the conventional covariance matrix by a robust covariance estimator. (Campbell, 1980; Maronna et al., 1976) suggested to apply affine equi-variant M-estimators of scatter for this aim, nevertheless, these may not fight many outliers. Furthermore, recently (Croux et al., 2000) applied positive-breakdown estimators such as the minimum covariance determinant (MCD) technique (Edelsbrunner et al., 1990) and S-estimators (Davies, 1987; Mia Hubert et al., 2005; Leroy et al., 1987).



### **1.2** Statement of the problem

Data exploration techniques are very important for studying enormous quantity of high dimensional data. Principal component analysis (PCA) is a generally applied statistical method in non-parametric dimension reduction. The k-means cluster analysis is usually applied in data clustering for non-parametric learning responsibilities. On the other perspective, clustering examinations (Duda et al., 2012;

Friedman et al., 2001; Jain et al., 1988) and tries to give permission by which data pass quickly to achieve accessibility by first demand understanding and also by separating data points into disconnect groups so that similar data points be in the right place to same cluster, while data points which are not the same be in the right place to different clusters. The utmost common and capable clustering techniques is the k-means method (Hartigan et al., 1979; Lloyd, 1957; MacQueen, 1967) which uses models as centers to signify clusters by improving the squared cost function (detail explanation on k-means and associated ISODATA techniques, can be seen in (Jain & Dubes, 1988), and (Wallace, 1989)). On the other perspective, high dimensional data are frequently changed into lower dimensional data through the principal component analysis (PCA) where logical arrangements can be identified more obviously(Jolliffe, 2002b). This kind of unsupervised dimension reduction is applied in actual extensive fields such as meteorology, image processing, genomic analysis, and information retrieval. Therefore, it may also be general that PCA is applied to project data to lessen the dimensional subspace and k-means is formerly applied in the subspace (Zha et al., 2001). Considering other circumstances, data are inserted in a low-dimensional space like the Eigen space of the graph Laplacian, and k-means at that point used (A. Y. Ng et al., 2001). The major sources of PCA-based dimension reduction is that PCA choices up the magnitudes with the maximum variances. Mathematically, this is an alternative to seeking the paramount low rank estimation of the data through the singular value decomposition (SVD) (Eckart et al., 1936). Though, this distortion of anomaly reduction property only is insufficient to describe the helpfulness of PCA(Ding et al., 2004b).

In consideration of the classical approach to principal component analysis, the first constituent relates to the trend in which the projected interpretations have the biggest variance. The second constituent is therefore the orthogonal to the first constituent and yield better when using the variance of the data arguments projected on it. Persistently, in another perspective, in this manner it gives almost all the principal constituents, whereby its relates to the eigenvectors of the experimental covariance matrix. Regrettably, both the conventional variance is being used as the best and the conventional covariance matrix is being disintegrated and are very complex to abnormal explanations. Accordingly, the first constituents are regularly fascinated in the direction of faraway distant points, and would not point the discrepancy of the consistent observations. As a result, reduction of data established on classical PCA (CPCA) turn out to be undependable if outliers are existing in the data(Mia Hubert et al., 2005).

### **1.3** Objectives of the study

The principal components are essentially the continuous explanation of the cluster affiliation pointers in the k-means cluster analysis method. The PCA measurement is repeatedly reduce the executed data clustering agreeing to the k-means cost function. This however, affords an essential validation of PCA-based reduction of data. The outcomes also make available operational methods to explain the k-means cluster analysis issues. k-means approach applies k models, the centers of clusters, which exactly describe the data. (Ding & He, 2004b).

Usually, when considering the first components it generally and frequently fascinated in the direction of faraway distant points, and which possibly would not give the precise difference in variation of the systematic observations. Consequently, reduction of data is centered on classical PCA (CPCA) which develops as undependable if outliers are existing in the data (Mia Hubert et al., 2005).

The research problem can be outlined as follows:

- Clustering based on k-means method is very popular. However, as soon as the measurement of the data is big it may often difficult to apply k-mean cluster, because it needs lots of computational times. Therefore, computationally k-mean is very expensive for large dimension of data.
- Both PCA & k-mean clustering algorithm are affected by outliers. In this situation the use of robust PCA is recommended for clustering the data.

Based on statements of problem, the present study tries to arrive the following objectives:-

- i) To develop k-mean clustering algorithm based on PCA data reduction technique.
- ii) To formulate k-mean clustering algorithm based on Robust PCA in the presence of outliers.

### 1.4 Thesis Outline

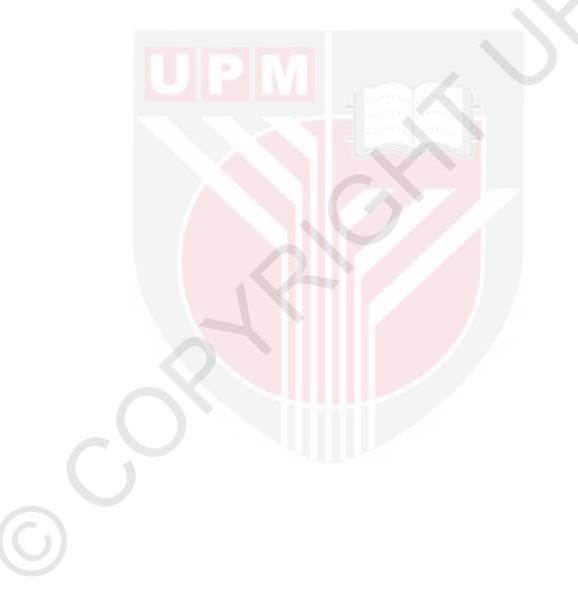
In line with the objectives and scope of this research, the subjects of the thesis are arranged in five sections. After the introduction, the various sections are ordered such that research goals are clearly presented in the outlined sequence.

**Chapter Two.** This segment presents a concise survey of the literature which basically considering the cluster analysis on k-means to identify group data into homogeneous gatherings based on similarities through a set of attributes. The clustering analysis and principal component analysis (PCA) are highlighted in this chapter.

**Chapter Three**. In this chapter, the k-means clustering algorithm and the PCA are discussed. The k-mean clustering based on PCA is proposed to increase the efficiency of the clustering algorithm and at the same time reduces computational times. Monte carlo simulation study and numerical example are presented.

**Chapter Four**. This chapter described the proposed k-means clustering algorithm based on robust PCA to reduce the effect of outliers on determining the number of clusters. To evaluate the performance of the proposed method, monte carlo simulation study and real data applications are carried out.

**Chapter Five.** Finally, the chapter offers complete summarized and detailed discussion of some results, contributions, and recommendations for further research.



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