



UNIVERSITI PUTRA MALAYSIA

***STATISTICAL DATA PREPROCESSING METHODS IN DISTANCE
FUNCTIONS TO ENHANCE K-MEANS CLUSTERING ALGORITHM***

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**STATISTICAL DATA PREPROCESSING METHODS IN DISTANCE
FUNCTIONS TO ENHANCE K-MEANS CLUSTERING ALGORITHM**

By

PAUL INUWA DALATU

**Thesis Submitted to the School of Graduate Studies, Universiti Putra Malaysia,
in Fulfilment of the Requirements for the Degree of Doctor of Philosophy**

January 2018

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DEDICATIONS

*This thesis is dedicated to:
My late elder brother Retired Superintendent of Police;
Rtd Mohammed Inuwa Dalatu
My wife;
Mrs Rebecca Paul, and
My children;
Usaku,
Nachamada,
Chimda, and
Biyama.*



Abstract of thesis presented to the Senate of Universiti Putra Malaysia in fulfilment of the requirement for the degree of Doctor of Philosophy

STATISTICAL DATA PREPROCESSING METHODS IN DISTANCE FUNCTIONS TO ENHANCE K-MEANS CLUSTERING ALGORITHM

By

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January 2018

Chairman : Professor Habshah Midi, PhD

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Clustering is an unsupervised classification method with major aim of partitioning, where objects in the same cluster are similar, and objects belong to different clusters vary significantly, with respect to their attributes. The K-Means algorithm is the commonest and fast technique in partitional cluster algorithms, although with unnormalized datasets it can achieve local optimal.

We introduced two new approaches to normalization techniques to enhance the K-Means algorithms. This is to remedy the problem of using the existing Min-Max (MM) and Decimal Scaling (DS) techniques, which have overflow weakness. The suggested approaches are called new approach to min-max (NAMM) and decimal scaling (NADS).

The Hybrid mean algorithms which are based on spherical clusters is also proposed to remedy the most significant limitation of the K-Means and K-Midranges algorithms. It is attained successfully by combining the mean in K-Means algorithm, minimum and maximum in K-Midranges algorithm and compute their average as mean cluster of Hybrid mean.

The problem of using range function in Heterogeneous Euclidean-Overlap Metric (HEOM) is addressed by replacing the range with interquartile range function called Interquartile Range-Heterogeneous Metric (IQR-HEOM). Dividing the HEOM with range allows outliers to have big effect on the contribution of attributes. Hence, We proposed interquartile range which is more resistance against outliers in data pre-processing. It shows that the IQR-HEOM method is more efficient to rectify the problem caused by using range in HEOM.

The Standardized Euclidean distance which uses standard deviation to down weight maximum points of the i th features on the distance clusters are being criticized in the literature by many researchers that the method is prone to outliers and has 0% breakdown points. Therefore, to remedy the problem, we introduced two statistical estimators called Q_n and S_n estimator, both have 50% breakdown points, with their efficiency as 58% and 82% for S_n and Q_n , respectively. The empirical evidences show that the two suggested methods are more efficient compared to the existing methods.



Abstrak tesis yang dikemukakan kepada Senat Universiti Putra Malaysia sebagai memenuhi keperluan untuk ijazah Doktor Falsafah

KAEDAH DATA BERSTATISTIK PRAPEMROSESAN DALAM FUNGSI JARAK UNTUK MENINGKATKAN ALGORITMA K-MEANS KLUSTER

Oleh

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January 2018

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Pengelompokan adalah kaedah pengelasan tanpa pengawasan dengan tujuan utama pembahagian, dengan objek dalam kluster yang sama adalah serupa, dan objek kepunyaan kluster berbeza, perbezaannya adalah ketara, dengan sifat mereka masing-masing. Algoritma *K-Means* adalah teknik yang paling biasa dan cepat dalam algoritma kluster terpetak, walaupun dengan set data yang tidak diipiawaikan ia boleh mencapai optimum setempat.

Kami memperkenalkan dua pendekatan baru untuk teknik normalisasi untuk meningkatkan algoritma *K-Means*. Ini adalah untuk memperbaiki masalah penggunaan teknik sedia ada ia-itu Min-Max (MM) dan penskalaan perpuluhan (DS), yang mempunyai banyak kelemahan. Pendekatan yang dicadangkan dipanggil pendekatan baru untuk min-max (NAMM) dan pendekatan baru untuk penskalaan perpuluhan (NADS).

Algoritma Hibrid min yang berdasarkan kluster sfera juga di cadangkan untuk menyelesaikan batasan paling signifikan bagi algoritma *K-Means* dan *K-Midranges*. Ia berjaya dicapai dengan menggabungkan min dalam algoritma *K-Means*, minimum dan maksimum dalam algoritma *K-Midranges* dan mengira purata nya sebagai min kluster purata hibrid.

Masalah menggunakan fungsi renj dalam *Heterogen Euclidean-Overlap Metric* (HEOM) di tangani dengan menggantikan renj dengan fungsi renj interkuantil yang

dinamakan *Interquartile Range-Heterogen Metric* (IQR-HEOM). Membahagikan HEOM dengan renj membenarkan titik terpencil mempunyai kesan besar terhadap sumbangan atribut. Oleh yang demikian kami mencadangkan renj interkuantil yang lebih teguh terhadap titik terpencil bagi data prapemprosesan. Hasil kajian menunjukkan bahawa kaedah IQR-HEOM lebih efisien untuk memperbetulkan masalah yang disebabkan oleh penggunaan renj dalam HEOM.

Jarak Euclidan Terpiawai yang menggunakan sisihan piawai untuk menurunkan pemberat titik maximum ciri-ciri i pada kluster jarak telah dikritik oleh banyak penyelidik dalam literatur di mana kaedah ini terdedah kepada titik terpencil dan mempunyai 0% titik musnah. Oleh itu, untuk menyelesaikan masalah ini, kami telah memperkenalkan dua penganggar statistik yang dinamakan penganggar Qn dan Sn , kedua-duanya mempunyai 50% titik musnah, dengan kecekapan mereka sebanyak 58% dan 82% masing-masing bagi Sn dan Qn . Bukti empirik menunjukkan bahawa kaedah yang dicadangkan adalah lebih efisien dibandingkan dengan kaedah yang sedia ada.

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This thesis was submitted to the Senate of Universiti Putra Malaysia and has been accepted as fulfilment of the requirement for the degree of Doctor of Philosophy. The members of the Supervisory Committee were as follows:

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TABLE OF CONTENTS

	Page
ABSTRACT	i
ABSTRAK	iii
ACKNOWLEDGEMENTS	v
APPROVAL	vi
DECLARATION	viii
LIST OF TABLES	xiii
LIST OF FIGURES	xviii
LIST OF ABBREVIATIONS	xix
 CHAPTER	
1 INTRODUCTION	1
1.1 Background of the Study	1
1.2 Significance of the Study	2
1.3 The Problem Statement	3
1.4 Research Objectives	5
1.5 Scope and Limitation of the Study	5
1.6 Methodology	8
1.7 Organization of Thesis	9
 2 LITERATURE REVIEW	11
2.1 Introduction	11
2.2 Some Reviews on the Development of Cluster Analysis	11
2.3 Clustering	18
2.4 Types of Cluster Analysis	19
2.4.1 Partitioning methods	19
2.4.2 Hierarchical methods	20
2.5 Applications of Cluster Analysis	21
2.6 K-Means Clustering Algorithm	21
2.7 Data Preprocessing	22
2.8 Proximity Measures through Distance Functions	23
2.9 Proximity Measures for Numerical Data	24
2.9.1 Euclidean Distance	24
2.9.2 Standardized Euclidean Distance	24
2.9.3 Manhattan Distance	25
2.9.4 Minkowski Distance	25
2.9.5 Mahalanobis Distance	25
2.10 Proximity Measure for Discrete Data	25
2.10.1 Silhouette Coefficients	26
2.10.2 Cohesion values	26

2.11	Proximity Measures for Mixed Data	27
2.11.1	Heterogeneous Euclidean-Overlap Metric (HEOM)	27
2.12	Summary	28
3	NEW APPROACHES TO NORMALIZATION TECHNIQUES IN K-MEANS CLUSTERING ALGORITHM	29
3.1	Introduction	29
3.2	Conventional Methods	30
3.2.1	K-Means Clustering Algorithm	30
3.2.2	Min-Max (MM)	31
3.2.3	Decimal Scaling (DS)	31
3.3	Proposed Methods	31
3.3.1	New Approach to Min-Max (NMM)	32
3.3.2	New Approach to Decimal Scaling (NADS)	33
3.4	Evaluation Techniques for External Validity Measures in Cluster Analysis	33
3.4.1	Purity	34
3.4.2	Fowlkes-Mallow Index	34
3.4.3	Rand Index	34
3.4.4	F-Measure (F-Score)	35
3.4.5	Jaccard Index	35
3.4.6	F-Measure: Harmonic Mean of Precision and Recall	36
3.4.7	Geometric-Means	36
3.4.8	Precision	36
3.4.9	Specificity (TNR = True Negative Rate)	37
3.4.10	Accuracy	37
3.4.11	Sensitivity (TPR = True Positive Rate)	37
3.5	Simulation Study	42
3.6	Real Data Applications	49
3.7	Conclusion	52
4	INTRODUCTION OF HYBRID MEAN ALGORITHMS FROM K-MEANS AND K-MIDRANGES CLUSTERING ALGORITHMS	53
4.1	Introduction	53
4.2	Conventional Methods	54
4.2.1	K-Means Clustering Algorithm	54
4.2.2	K-Midranges Clustering Algorithm	55
4.3	Proposed Methods	55
4.4	Simulation Study	66
4.5	Real Data Applications	76
4.6	Conclusion	82
5	STATISTICAL APPROACH FOR DATA PREPROCESSING IN ENHANCING HETEROGENEOUS DISTANCE FUNCTIONS	84
5.1	Introduction	84
5.2	Conventional Methods	85
5.2.1	Euclidean Distance Function	85

5.2.2	Manhattan Distance Function	85
5.2.3	Heterogeneous Euclidean-Overlap Metric (HEOM)	86
5.3	Proposed Method	86
5.4	Simulation Study	89
5.5	Real Data Applications	98
5.6	Conclusion	100
6	K-MEANS ALGORITHM BASED ON QN AND SN WEIGHTED EUCLIDEAN DISTANCE	102
6.1	Introduction	102
6.2	Conventional Distance Functions	103
6.2.1	Euclidean Distance	103
6.2.2	Standardized Euclidean Distance	103
6.3	Proposed Weighted Euclidean Distance Functions	104
6.3.1	Q_n Weighted Euclidean Distance Function	104
6.3.2	S_n Weighted Euclidean Distance Function	105
6.4	Simulation Study	109
6.5	Real Data Applications	113
6.6	Conclusion	118
7	CONCLUSIONS AND RECOMMENDATIONS	120
7.1	Introduction	120
7.2	Contributions of the Study	120
7.2.1	New Approaches to Normalization Techniques in K-Means Clustering Algorithm	120
7.2.2	Introduction of Hybrid Mean Algorithms from the K-Means and K-Midrange Clustering Algorithms	121
7.2.3	Statistical Approach for Data Preprocessing in Enhancing Heterogeneous Distance Functions	121
7.2.4	K-Means Algorithm based on Q_n and S_n Weighted Euclidean Distance	121
7.3	Conclusions	122
7.4	Recommendations for Future Study	123
	BIBLIOGRAPHY	125
	APPENDICES	134
	BIODATA OF STUDENT	173
	LIST OF PUBLICATIONS	174

LIST OF TABLES

Table	Page
3.1 Av. Ext. Validity Measures, Computing Time and Max. Clusters, ($n = 50$, (x_1, x_2))	43
3.2 Av. Ext. Validity Measures, Computing Time and Max. Clusters, ($n = 50$, (x_1, x_2, x_3, x_4))	44
3.3 Av. Ext. Validity Measures, Computing Time and Max. Clusters, ($n = 100$, (x_1, x_2))	44
3.4 Av. Ext. Validity Measures, Computing Time, and Max. Clusters, ($n = 100$, (x_1, x_2, x_3, x_4))	45
3.5 Av. Ext. Validity Measures, Computing Time, and Max. Clusters, ($n = 160$, (x_1, x_2))	45
3.6 Av. Ext. Validity Measures, Computing Time, and Max. Clusters, ($n = 160$, (x_1, x_2, x_3, x_4))	46
3.7 Average External Validity Measures and Computing Time, $n = 50, 100, 160$	48
3.8 Average External Validity Measures and Computing Time under each Distance Functions, Iris Dataset	50
3.9 Average External Validity Measures and Computing Time under each Distance Functions, Hayes-Roth Dataset	50
3.10 Average External Validity Measures and Computing Time under each Distance Functions, Tae Dataset	51
4.1 Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean, ($n = 50, (x_1, x_2)$)	68

4.2	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean, ($n = 50, (x_1, x_2, x_3, x_4)$)	69
4.3	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean, ($n = 100, (x_1, x_2)$)	70
4.4	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean, ($n = 100, (x_1, x_2, x_3, x_4)$)	71
4.5	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean, ($n = 160, (x_1, x_2)$)	72
4.6	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean, ($n = 160, (x_1, x_2, x_3, x_4)$)	73
4.7	Average External Validity Measures, Computing Time for K-Means, K-Midranges and Hybrid Mean, $n = 50, 100, 160$	75
4.8	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean Algorithms, Iris Dataset	78
4.9	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean Algorithms, Hayes-Roth Dataset	79
4.10	Average External Validity Measures and Computing Time for K-Means, K-Midranges, and Hybrid Mean Algorithms, Tae Dataset	79
4.11	Average External Validity Measures, Computing Time and Maximum cluster for K-Means, K-Midranges and Hybrid Mean, (Statlog (Heart) Dataset	81
5.1	Average Cohesion and Silhouette for various Width Clusters, ($n = 50 (x_1, x_2)$)	91
5.2	Average Cohesion and Silhouette for various Width Clusters, ($n = 50, (x_1, x_2, x_3, x_4)$)	92

5.3	Average Cohesion and Silhouette for various Width Clusters, ($n = 100$, (x_1, x_2))	93
5.4	Average Cohesion and Silhouette for various Width Clusters, ($n = 100$, (x_1, x_2, x_3, x_4))	94
5.5	Average Cohesion and Silhouette for various Width Clusters, ($n = 160$, (x_1, x_2))	95
5.6	Average Cohesion and Silhouette for various Width Clusters, ($n = 160$, (x_1, x_2, x_3, x_4))	96
5.7	Average Cohesion, Silhouette values and Computing Time, ($n = 50, 100, 160$)	97
5.8	Average Silh. coefficients and Coh. values under each Dist. Functions for Iris, Hayes-Roth and Tae Datasets	98
5.9	Average Cohesion and Silhouette for various Width Clusters, Fertility Dataset	99
6.1	Average Ext. Validity Measures, Computing time and Max. Clusters, ($n = 50$, (x_1, x_2))	110
6.2	Average Ext. Validity Measures, Computing time and Max. Clusters, ($n = 50$, (x_1, x_2, x_3, x_4))	111
6.3	Average Ext. Validity Measures, Computing time and Max. Clusters, ($n = 100$, (x_1, x_2))	111
6.4	Average Ext. Validity Measures, Computing time and Max. Clusters, ($n = 100$, (x_1, x_2, x_3, x_4))	112
6.5	Average Ext. Validity Measures, Computing time and Max. Clusters, ($n = 160$, (x_1, x_2))	112

6.6	Average Ext. Validity Measures, Computing time and Max. Clusters, ($n = 160, (x_1, x_2, x_3, x_4)$)	113
6.7	Average External Validity Measures and Computing Time, $n = 50, 100, 160$	114
6.8	Average External Validity Measures, Computing Time and Maximum Cluster under each Distance Functions, Iris Dataset	115
6.9	Average External Validity Measures, Computing Time and Maximum Cluster under each Distance Functions, Hayes-Roth Dataset	116
6.10	Average External Validity Measures, Computing Time and Maximum Cluster under each Distance Functions, Tae Dataset	116
6.11	Average External Validity Measures, Computing Time and Maximum Cluster under each Distance Functions, Fertility Dataset	117
A.1	Iris-setosa	136
A.2	Iris-versicolor	137
A.3	Iris-virginica	138
A.4	Hayes-Roth Dataset	140
A.5	Hayes-Roth Dataset	141
A.6	Hayes-Roth Dataset	142
A.7	Teaching Assistant Evaluation (Tae) Dataset	143
A.8	Teaching Assistant Evaluation (Tae) Dataset	144

A.9 Fertility Dataset	145
A.10 Fertility Dataset Continued...	146
A.11 Table of base 10, base 2 and base e (ln) logarithms	147
B.1 Average External Validity Measures, Computing Time and Max. Clusters ($n = 50$; x_1, x_2)	167
B.2 Average External Validity Measures, Computing Time and Max. Clusters ($n = 50, x_1, x_2, x_3, x_4$)	168
B.3 Average External Validity Measures, Computing Time and Max. Clusters ($n = 100$; x_1, x_2)	169
B.4 Average External Validity Measures, Computing Time and Max. Clusters ($n = 100, x_1, x_2, x_3, x_4$)	170
B.5 Average External Validity Measures, Computing Time and Max. Clusters ($n = 160$; x_1, x_2)	171
B.6 Average External Validity Measures, Computing Time and Max. Clusters ($n = 160, x_1, x_2, x_3, x_4$)	172

LIST OF FIGURES

Figure	Page
1.1 Flow Chart showing Flow of the Methodology	8
2.1 Intra-cluster vs. Inter-cluster Distances in Cluster Analysis	19
4.1 ROC Curve showing comparison of algorithms performance on Iris dataset	76
4.2 ROC Curve showing comparison of algorithms performance on Hayes-Roth dataset	77
4.3 ROC Curve showing comparison of algorithms performance on Tae dataset	77

LIST OF ABBREVIATIONS

DS	Decimal Scaling
HEOM	Heterogeneous Euclidean-Overlap Metric
IQR	Interquartile Range
MDP	Minimum Diameter Partitioning
MEMS	Micro-Electro-Mechanical Systems
MM	Min-Max
NADS	New Approach to Decimal Scaling
NAMM	New Approach to Min-Max
NP	Nondeterministic Polynomial Time
ODM	Outliers Detection Model
rn-diff	range-normalized difference
ROC	Receiver Operating Characteristic curve
TETFund	Tertiary Education Trust Fund
TNR	True Negative Rate
TPR	True Positive Rate
UCI	University of California, Irvine
Z	Z-score

CHAPTER 1

INTRODUCTION

1.1 Background of the Study

Data clustering is a general method for statistical data analysis, which is most commonly used in numerous areas such as image analysis, pattern recognition and bioinformatics (Sundararajan and Karthikeyan, 2014). According to Sarma et al. (2013), clustering can be considered as an essential instrument in numerous applications like biology, marketing, information retrieval, remote sensing, pattern recognition, image processing, and text mining. Clustering groups data instances into subsets in such a way that similar instances are grouped together, while dissimilar instances belong to different groups. The instances are ordered into an efficient illustration that describes the population being sampled. Clustering of points or objects started as early as the human requirement for labeling the significant features of men and objects, classifying them with a type (Rokach and Maimon, 2014).

Unsupervised clustering processes are important tools in exploratory data analysis. As clustering conditions are usually based on some distance measures between individual data vectors, they are extremely sensitive to the scale, or dispersion of the variables (Vesanto, 2001).

The aim of feature selection in clustering is to classify a subset of significant features from the unique illustration space. The recognized important features are useful for data clustering that targets to maximize the between-cluster scatter and minimize within-cluster scatter (Chen, 2015). It is also important to note that the measurement of distance is essential in the cluster analysis process as most clustering methods start with the computation of a matrix of distances (Doherty et al., 2004).

Though clustering is a valuable and challenging problem with unlimited potential in applications, its presentation must be carefully controlled. Else, the method can simply be abused or misused. The number of clusters and distance measures are the two most important rules of clustering analysis, which affect the general quality of the outcomes (Mok et al., 2012). Therefore, pre-processing the datasets is crucial especially in terms of normalization.

The most common clustering method is the K-Means algorithm (Reddy et al., 2012). While it is very simple and strong in clustering large datasets, the technique suffers from a few drawbacks. The user needs to ascertain the number of clusters which is difficult to know in advance for many real world data sets. Nonetheless, the main problems it suffers is that, it is very sensitive for the selection of initial cluster centers.

Equally, it may result not always yielding global optimum outcomes.

Consequently, in order to overcome these aforementioned problems, many researchers had proposed new algorithms and some new distance functions to overcome the weakness in K-Means (Jain, 2010). The best appropriate measures to use in practice stay unidentified. Certainly, there are many inspiring validation matters which have not been completely addressed in the clustering works. For example, the position of normalizing validation measures has not been entirely proven.

Similarly, the relationship between dissimilar validation measures is not clear (Wu et al., 2009). Clustering validation, which calculates the goodness of clustering outcomes, has long been known as one of the vital problems critical to the achievement of clustering applications (Liu et al., 2010).

1.2 Significance of the Study

The major purpose of clustering approaches is to partition a set of objects into dissimilar groups, called clusters. These groups may be consistent in terms of similarity of its members. As the name implies, the representative-based clustering approaches apply some procedures of representation for each cluster. Consequently, each group has a member that signifies it. The word cluster analysis does not identify a specific statistical method or model, as do discriminant analysis, factor analysis, and regression. One does not have to make frequently any assumptions about the fundamental distribution of the data. K-Means clustering is a kind of unsupervised learning, which is used when one has unlabeled data.

The aim of this algorithm is to find groups in the data, with the number of groups represented by variables k . The algorithm processes iteratively to allocate each data points to one of k groups established on the features that are delivered. Data points are clustered founded on feature similarity. Therefore, knowledge about the cluster analysis that can occur in numerous data sets will assist researchers to choose on the actual situations when considering such characteristics like no assumptions should be made and the data sets are unlabeled. It will provide policy makers in different sectors of life with a better comprehension of many approaches, while, giving more rooms to researchers to decide about better data accuracy in meeting the present days challenges.

The K-Means clustering, to be specific while using heuristics such as Lloyd's algorithm (1957 but only published in (Lloyd, 1982)), is reasonably easy to implement and use even on large data sets. Clustering approaches have extensive use and are significance currently. This significance tends to increase as the volume of data grows and the processing power of the computer increases. Clustering applications are used ex-

tensively and successfully in several fields such as artificial intelligence, pattern recognition, ecology, psychiatry and marketing.

1.3 The Problem Statement

The main aim of data preparation is to get total assurance that the quality of the data before it is applied to any learning algorithms. The types of the data preparation according to Ogasawara et al. (2010), includes data cleaning, integration and transformation, and reduction. Therefore, our study is limited on data transformation methods, which are basically focused on min-max and decimal scaling respectively. Normalization means scaling down the value of the magnitudes to some appreciable low values, for instance, among the features, if there is frequently large difference between the maximum and minimum values, for example 1000 and 1.

Consequently, the most popular normalization methods used in the literature for data transformation are the min-max (where the data inputs are transformed into a predefined range 0 or -1 to 1), the z-score (where the values of an attribute A are normalized agreeing to its mean and standard deviation), and the decimal scaling (where the decimal point of the data values of an attribute A are moved according to its maximum absolute value). Furthermore, Liu et al. (2011) and Jain et al. (2005) have identified one of the weaknesses of using both the min-max and decimal scaling in data transformation. They stated that both of the techniques will have overflow problem, this makes the two technique not robust. However, Jain et al. (2005) and Zumel and Mount (2013) suggested that, in order to remedy this problem in decimal scaling approach, we have to apply $\log_{10}\max(x_i)$. While, in min-max approach Milligan (1989) and Liu et al. (2011) suggested to down weighting the technique so that irrelevant variables approach near zero. Therefore, we are motivated by lack of robustness of the two methods to adopt the ideas suggested by (Zumel and Mount (2013), Liu et al. (2011), Jain et al. (2005), and Milligan (1989)) to improve the methods of min-max (Jayalakshmi and Santhakumaran, 2011), and decimal scaling (Han et al., 2011). Therefore, our proposed methods are called new approach to min-max (NAMM) and new approach to decimal scaling (NADS). Hence, to our best knowledge, nothing have yet been done to improve the robustness and down weighting of the normalization by min-max and decimal scaling.

However, for spherical clusters, the most common algorithm popularly known for is K-Means, which minimizes the sum of squared Euclidean distances of the objects to the mean of the cluster (MacQueen, 1967). Furthermore, de Amorim and Makarenkov (2016) added that this problem of spherical shapes may lead to no assurance for K-Means algorithms will reach global optimum. In Rousseeuw and Hubert (2011), they also stated that , this particular method is not robust as it applies group means. However, Shanmugavadivu and Rajeswari (2012) also stated that, the major important limitation of K-Means clustering algorithms is its concept which is based on spherical clusters that are distinguishable in a way that the mean value converges towards the

cluster center. Brusco and Steinley (2014), suggested using closely related to the classic problem of minimum diameter partitioning (MDP), where the diameter of a cluster is the largest distance between any pair of points within cluster. Therefore, we were motivated by the ideas of Brusco and Steinley (2014) and the work of Shanmugavadivu and Rajeswari (2012), where they combined the mean in K-Means and the maximum in K-Midrange and divided it by two to form the modified mean to remedy the problem of spherical shapes, whereby the approach depends on means as cluster centers. Hence, on our part we combined the mean in K-Means with the minimum and maximum in K-Midranges to form hybrid mean. This suggested algorithm will improve the dependence on means from K-Means and added to the potential of K-Midrange in cluster analysis. To our knowledge, nothing yet has been done to address the spherical concept in K-Means algorithm by using hybrid mean as a center for each cluster centers.

However, it is important to mention that the Heterogeneous Euclidean-Overlap Metric (HEOM) needs no normalization as it executes local normalization using range function (ChitraDevi et al., 2012). However, according to Singh and Leavline (2016) the procedure applied in HEOM, by dividing it with range tolerates outliers to have intense effect on the contribution of the attributes. Furthermore, Rousseeuw and Hubert (2011) pointed out the breakdown points for range is 0% (meaning that it can be contaminated by single point). Therefore, Singh and Leavline (2016) recommended using interquartile range which is more robust to range against outliers in data preprocessing. Hence, Rousseeuw and Croux (1993), pointed out that the interquartile range has 25% breakdown point compared to range which has 0%. This problem motivates us to propose IQR-HEOM, by replacing the range function in the existing HEOM (ChitraDevi et al., 2012) with interquartile range function. Therefore, to the best of our knowledge, no research has been done to study the interquartile range as an alternative to range in HEOM for data preprocessing.

Furthermore, Xu and Tian (2015), used another Weighted Euclidean called Standardized Euclidean (see Equation 6.1), they claimed that the larger s_i (denotes the standard deviation of the dataset) the smaller is the effect of the i th feature on the distance. Which they believed that the reason behind the method is the assumption that both normal and anomalous may appear from different cluster in feature space. Hence, the data may contain outliers which do not belong to a bigger cluster, yet the K-Means clustering algorithm functions as long as the number of outliers is small. Recently, Gerstenberger and Vogel (2015) criticized the method, that as far as using standard deviation to down weight maximum points, its prone to outliers and lack robustness.

Therefore, this weakness motivated us to replace the standard deviation which has 0% breakdown point (Rousseeuw and Hubert, 2011) and its lack of robustness. It is also susceptible to outliers and its low efficiency at heavy-tailed distribution (Gerstenberger and Vogel, 2015). We introduced two statistical estimators called Q_n and S_n estimators, both have 50% breakdown points and with their efficiency as; S_n is 58% and Q_n is 82% (Rousseeuw and Croux, 1993). The two proposed methods are called Q_n -Weighted Euclidean distance and S_n -Weighted Euclidean distance, which both will improve (Xu and

Tian, 2015) of lack robustness, low breakdown points and also low efficiency. However, to the best of our knowledge, we are the first researchers in distance-based clustering analysis to apply some statistical estimators to improve the efficiency and accuracy of K-Means clustering algorithm.

1.4 Research Objectives

The main goal of this study is to improve the performance of a K-Means clustering algorithm via statistical approach. In order to achieve the goal, the following objectives are required:

1. To propose new approaches to normalization techniques in cluster analysis.
2. To propose hybrid mean algorithms from K-Means and K-Midranges clustering algorithms.
3. To introduce statistical interquartile range into heterogeneous distance function.
4. To introduce Q_n estimator and S_n estimator into Standardized Euclidean distance function.

1.5 Scope and Limitation of the Study

Cormack (1971) proposed that clusters should be internally cohesive and externally isolated, entailing a certain degree of homogeneity within clusters and heterogeneity between clusters. Generally, clustering does not provide any statistical assumptions to data (Cao et al., 2009). In the past, many researchers tried to operationalize this meaning by minimizing within-group variation (see (Cox, 1957), (Engelman and Hartigan, 1969), (Fisher, 1958), and (Thorndike, 1953)). Subsequently, these prompt efforts at maximizing within-group homogeneity (Sebestyen, 1962). MacQueen (1967) individually established the K-Means method as an approach that tries to find optimal partitions. Therefore, this type of classification is known as unsupervised learning (clustering), it is an exploratory or descriptive in nature, meaning that the investigator does not have pre- specified models or hypotheses but wants to know the general characteristic or arrangement of the high-dimensional data (Jain, 2010). Clustering has been used in a widespread diversity of fields, such as; engineering (machine learning, artificial intelligence, pattern recognition, mechanical engineering, electrical engineering), computer sciences (web mining, spatial database analysis, textual document collection, image segmentation), life and medical sciences (genetics, biology, microbiology, palontology, psychiatry, clinic, pathology), earth sciences (geography, geology, remote sensing), social sciences (sociology, psychology, archeology, education), and economics (marketing, business) (Xu and Wunsch, 2008).

The K-Means clustering algorithm is generally applied in data clustering. The most essential unsupervised learning problem can be considered as data clustering. It deals

with finding a structure or organization in a collection of unlabeled data (Su et al., 2009).

In statistical clustering problems, there are different categories of measures for the similarity or difference between objects. It is well-known that Euclidean distance is the popular used as a measure of difference, and minimization within clusters is equally to minimizing within group mean square error. Hence, the size of the Euclidean distribution between two objects is dependent on the scales of measurement of the characteristics of the objects. No definite or acceptable rule for weighting characteristics has been suggested (Matthews, 1979), though some many statisticians recommend normalizing each characteristics by some measure of its variability, to give the characteristics equal weight. A potential benefit of a variable weighting algorithm is the possibility that such a procedure would assign near zero weights to variables which are irrelevant to the clustering that exists in the remaining data. A variable weighting algorithm could reduce or eliminate this masking effect, which would be a useful contribution to classification technology (Milligan, 1989). Therefore, the measurement of similarity or distance is fundamental in the cluster analysis process as most clustering techniques begin with the calculation of a matrix distances (or dissimilarities) (Doherty et al., 2004).

In order to learn a new object or understand a new phenomenon, people always try to seek the features that can describe it, and further compare it with other known objects or phenomena, based on the similarity or dissimilarity, generalized as proximity, according to some certain standards or rules (Xu and Wunsch, 2005). Normally, there are three types of testing criteria: external indices, internal indices, and relative indices. The three indices are defined on the three major categories of clustering organizations, well-known as partitional clustering, hierarchical clustering, and individual clusters (Cadez et al., 2000).

Therefore, our scope are limited to external and internal indices; although, the internal indices had only one chapter in the current dispensations. However, external indices are based on some pre specified arrangement, which is the likeness of prior information on the data, and used as a rule to validate the clustering solutions. While, internal indices are not dependent on external information (prior knowledge). Differently, they test the clustering organization right from the original data.

However, Jain and Dubes (1988) referred to cluster validity as the formal processes that evaluate the results of cluster analysis in quantitative and objective approach. Although, Jain and Dubes (1988) stated that, clustering validation has long been acknowledged as one of the vibrant problems important to the achievement of clustering applications. However, Wu et al. (2009) pointed out that, in spite of the enormous amount of professional struggle spent on this problem, there is no reliable and definite solution to cluster validation. The best appropriate measures to apply in practice remain unidentified. They added that, certainly, there are many challeng-

ing validation problems which have not been fully addressed in the clustering literature.

For example, the significance of normalizing validation measures has not been fully recognized. There is no universally defined rule for normalizing datasets and thus, the choice of a particular normalization rule is largely left to the discretion of the user (Singh et al., 2015). It is worthwhile to enhance clustering quality by normalizing the dynamic range of input data objects into specific range (de Souto et al., 2008).



1.6 Methodology

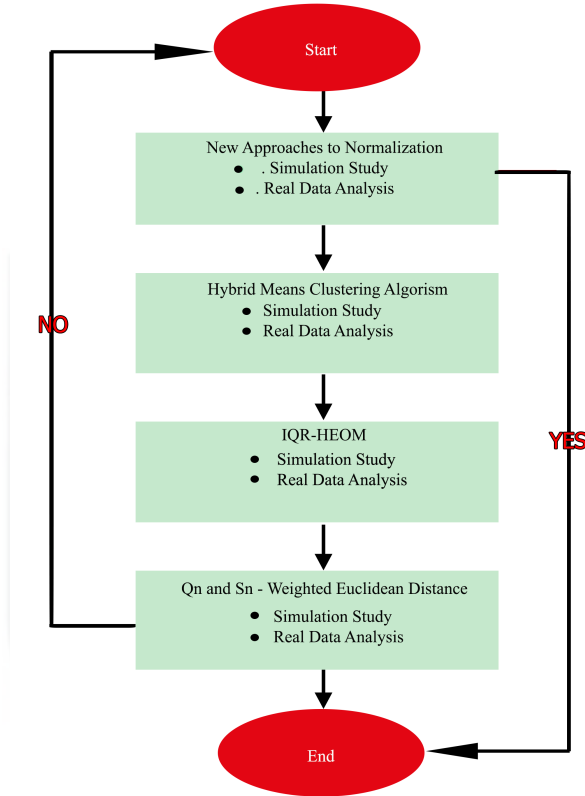


Figure 1.1: Flow Chart showing Flow of the Methodology

Note: Interquartile Range-Heterogeneous Euclidean-Overlap Metric (IQR-HEOM). Figure 1.1, presents flow chart showing flow of the methodology. The methodology comprises of four contributing chapters, starts from Chapter 3 which has two suggested normalization techniques called New Approaches to Min-Max (NAMM) and Decimal Scaling (NADS). Chapter 4 has proposed algorithm called Hybrid Means Algorithms. This proposed algorithm was combined from K-Means and K-Midranges algorithms. Chapter 5, interquartile range was introduced into Heterogeneous Euclidean-Overlap Metric (HEOM) to replace range as local normalization and the proposed method is called Interquartile Range-Heterogeneous Euclidean-Overlap Metric (IQR-HEOM). Chapter 6, two statistical estimators Q_n and S_n was introduced into Standardized Euclidean distance to replace standard deviation as a local normalization, the suggested methods are Q_n and S_n -Weighted Euclidean distance.

1.7 Organization of Thesis

The following is a brief description of the contents of each chapter. This chapter serves as an essential introduction of this study by presenting background of the study, statement of problem / motivation of study, significance of the study, research objectives, definition of terms, scope and limitation of the study. In accordance with the objectives and the scope of the study, the contents of this dissertation are organized as follows.

Chapter 2: Literature Review. This comprises of some reviews on the development of clustering analysis from published materials on clustering and its outcomes, types of clustering analysis, and some applications of clustering analysis in different fields of sectors. We also, provided K-Means clustering algorithm, general proximity measures through distance functions, proximity measures for numerical data, proximity measures for discrete data, and as well as proximity measures for mixed data.

Chapter 3: New Approaches to Normalization Techniques for External Validity Measures in K-Means Clustering Algorithm. The main subject in this chapter is that, we proposed new approaches to normalization techniques using the two most prominent data preprocessing such as; min-max, and decimal scaling. Consequently, we had comparison of the approaches through some outcomes from real datasets and generated data set applying simulated annealing clustering analysis method.

Chapter 4: Introduction of Hybrid Mean Algorithms from K-Means and K-Midranges Clustering Algorithms. We proposed a hybrid mean algorithms by combining the effectiveness of K-Means algorithm and K-Midranges algorithm; then averaging mean from K-Means and minimum, maximum from K-Midranges. However, we evaluated the two conventional algorithms and the suggested algorithm using nine distance functions testing on three benchmark data sets and simulated data set.

Chapter 5: Statistical Approaches for Data Preprocessing in Enhancing Heterogeneous Distance Functions. In this chapter, we are able to use three *UCI* datasets; supported by generated data set. The conventional method used in this section is called "Heterogeneous Euclidean-Overlap Metric (*HEOM*)" and from the ideas of this *HEOM* we suggested *IQR – HEOM* method. We applied internal validity measures such as silhouette coefficients and cohesion values to examine the capability and accuracy of the conventional method against the proposed method through the results obtained.

Chapter 6: K-Means Algorithms based on Weighted Euclidean Distance Here we proposed two approaches such as Q_n weighted Euclidean distance, and S_n weighted Euclidean distance. We used the ideas from Standardized weighted Euclidean distance

(sometimes called Normalized weighted Euclidean distance). We experimented the two suggested methods on three real data sets from benchmark datasets and generated data set. However, the two proposed methods introduced from weighted Euclidean distance have shown better results compared to the existing traditional methods.

Chapter 7: Conclusions and Recommendations for Future Research. This serves as the last chapter, which consists the conclusions from the outcomes of real data sets and from simulated data set. Hence, we recommended and suggested some possibilities for future research.



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