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Master's Thesis

**A simple but powerful heuristic method
for accelerating *k*-means clustering of
large-scale data in life science**

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Abstract

K-means clustering has been widely used to gain insight into biological systems from large-scale life science data. To process the growing volume of biological data (e.g., epigenomics data from the ENCODE project) due to the recent progress in efficient next-generation sequencing data collection, it is crucial to accelerate computational performance. To quantify the similarities among biological data sets, Pearson correlation distance and standardized Euclidean distance are used most frequently; however, optimization methods have been largely unexplored. These two distance measurements are equivalent in the sense that they yield the same k-means clustering result for identical sets of k initial centroids. Thus, an efficient algorithm used for one is applicable to the other. Several optimization methods are available for the Euclidean distance and can be used for processing the standardized Euclidean distance; however, they are not customized for this context. We instead approached the problem by studying the properties of the Pearson correlation distance, and we invented a simple but powerful heuristic method for markedly pruning unnecessary computation while retaining the final solution. Tests using real biological datasets with 50-60K vectors of dimensions 5–2001 (~400 MB in size) demonstrated marked reduction in computation time for $k = 2-500$ in comparison with other state-of-the-art pruning methods such as Elkan's and Hamerly's algorithms. The BoostKCP software is available at <http://mlab.cb.k.u-tokyo.ac.jp/~ichikawa/boostKCP/>.

Keywords

Bioinformatics, Clustering, Mining methods and algorithms, Optimization

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1 Introduction

Clustering, an unsupervised learning algorithm to group data into similar categories, has been widely used to gain insights into biological systems from large-scale biological data, such as gene expression data monitored by microarrays [1-4], histone modifications [5-13], and nucleosome positioning [14-24]. A variety of clustering algorithms, such as hierarchical clustering, k-means clustering, self-organizing map (SOM), and principal components analysis (PCA), have been used (for review, see [25]). Of these, k-means clustering is the most widely used to process large-scale data sets, in part because the computational complexity of hierarchical clustering is quadratic or higher in the number of data points, while k-means clustering algorithms have lower computational complexity [26]. Accelerating k-means clustering algorithms is still necessary to process the growing volume of biological data due to the recent progress in data collection by next-generation sequencing.

The basic concept of k-means clustering is simple.

1. It first selects k cluster centroids in some manner. The behavior of the algorithm is highly sensitive to the initial selection of k initial centroids, and many efficient initialization methods have been proposed to calculate better k centroids [26-33]. In this study, we use the initialization method proposed by Bradley and Fayyad [31], since it consistently performs better than the other methods in terms of several criteria according to the recent report by Celebi [26].
2. Subsequently, k -means clustering repeats the process of assigning individual points to their nearest centroids and updating each of k centroids as the mean of points assigned to the centroid until no further changes occur on the k centroids [34].

Quantifying the same data points is essential. Various measures are available, such as Euclidean distance, Manhattan distance, Pearson correlation distance, and Spellman rank correlation. Of these, Euclidean distance and Pearson correlation distance have been widely used for large-scale biological data processing [3, 4, 24, 35, 36]. Euclidean distance is sensitive to scaling, while correlation is unaffected by scaling. Precisely, given two data of high dimension such that their patterns are quite similar but their scales are different, Euclidean distance is not suitable for measuring the similarity. To avoid this problem, standardized Euclidean distance, which is not sensitive to scaling, is frequently used [3, 36-40].

Of note, standardized Euclidean and Pearson correlation distances are equivalent in the sense that both yield the same k -means clustering result for identical sets of k initial centroids because the standardized Euclidean distance is proportional to the square root of the Pearson correlation distance [3, 40], and the two distances always produce consistent orderings. Thus, optimization methods designed to calculate one distance are applicable to the other.

Despite the importance of the Pearson correlation and standardized Euclidean distances for machine learning, optimization methods customized for these distances are largely unexplored. In general, several efficient k -means clustering algorithms have been proposed for processing Euclidean distances by utilizing the triangle inequality [41-43] or by analyzing the correlation coefficient between the centroids [44]. Thus, we can use optimization methods for the Euclidean distance to yield a k -means clustering result based on the standardized Euclidean distance that is in agreement with that based on the Pearson correlation distance [3].

We instead examined the properties of the Pearson correlation distance and devised a simple and novel method for avoiding unnecessary computation in order to boost k -means clustering using the Pearson correlation distance. We demonstrate that our method outperforms pruning method applications using the Euclidean distance [41-43] compared with those that use the standardized Euclidean distance. Our method has been best optimized for k -means clustering using the standardized Euclidean and Pearson correlation distances.

2 Methods

We first introduce the definition of Pearson's correlation coefficient.

Definition. To measure the distance between two d dimensional vectors $\mathbf{x} = (x[1], \dots, x[d])$, $\mathbf{y} = (y[1], \dots, y[d])$, we define Pearson's correlation coefficient:

$$\rho(\mathbf{x}, \mathbf{y}) = \frac{1}{d} \sum_{i=1}^d \left(\frac{x[i] - \bar{x}}{\sigma_x} \right) \left(\frac{y[i] - \bar{y}}{\sigma_y} \right),$$

where \bar{x} denotes the average of $x[1], \dots, x[d]$, and σ_x is the standard deviation, defined as $\sqrt{\sum_{i=1}^d (x[i] - \bar{x})^2 / d}$. Let $\|\mathbf{x}\|$ denote the length, defined as $\sqrt{\sum_{i=1}^d x[i]^2}$. ■

Note that Pearson's correlation coefficient ranges from -1 to 1 , i.e., $-1 \leq \rho(\mathbf{x}, \mathbf{y}) \leq 1$. The Pearson's correlation coefficient $\rho(\mathbf{x}, \mathbf{y})$ itself does not serve as a distance because when \mathbf{x} and \mathbf{y} are more similar to each other, $\rho(\mathbf{x}, \mathbf{y})$ becomes larger and approaches 1 rather than 0.

Definition. [45] The Pearson correlation distance $\text{dis}(\mathbf{x}, \mathbf{y})$ is defined as $1 - \rho(\mathbf{x}, \mathbf{y})$. ■

The Pearson correlation distance approaches 0 when \mathbf{x} and \mathbf{y} are similar. In contrast, when \mathbf{x} and \mathbf{y} are more dissimilar, the Pearson's correlation coefficient decreases to -1 , and the Pearson correlation distance between \mathbf{x} and \mathbf{y} increases approaching 2. The range of the distance is $0 \leq \text{dis}(\mathbf{x}, \mathbf{y}) \leq 2$. The Pearson correlation distance violates the triangular inequality.

Example. When $\mathbf{x}_1 = (9, 3, 1)$, $\mathbf{x}_2 = (3, 1, 9)$, and $\mathbf{x}_3 = (1, 3, 9)$, we have $\text{dis}(\mathbf{x}_1, \mathbf{x}_2) = 1.5$, $\text{dis}(\mathbf{x}_2, \mathbf{x}_3) = 0.115$, and $\text{dis}(\mathbf{x}_1, \mathbf{x}_3) = 1.846$, which do not meet the triangular inequality:

$$\text{dis}(\mathbf{x}_1, \mathbf{x}_2) + \text{dis}(\mathbf{x}_2, \mathbf{x}_3) \geq \text{dis}(\mathbf{x}_1, \mathbf{x}_3) \quad \blacksquare$$

We illustrate here two examples that clarify how the Pearson correlation distance differs from the Euclidean distance.

Example. When $\mathbf{x}_1 = (1, 3, 9)$, $\mathbf{x}_2 = (0.9, 0.3, 0.1)$, and $\mathbf{x}_3 = (0.1, 0.3, 0.9)$, \mathbf{x}_1 and \mathbf{x}_3 have similar patterns, but their scales are different, while \mathbf{x}_2 and \mathbf{x}_3 have dissimilar patterns, yet their Euclidean distance is smaller than the distance between \mathbf{x}_1 and \mathbf{x}_3 . Indeed, we have:

$$\text{dis}(\mathbf{x}_1, \mathbf{x}_3) = 0 < 1.84615 = \text{dis}(\mathbf{x}_2, \mathbf{x}_3),$$

while

$$\|\mathbf{x}_1 - \mathbf{x}_3\| = 8.58545 > 1.13137 = \|\mathbf{x}_2 - \mathbf{x}_3\|. \quad \blacksquare$$

The next example illustrates the discrepancy between the Pearson correlation distance and the “normalized” Euclidean distance.

Example. When $\mathbf{x}_1 = (0.1, 0.3, 10)$, $\mathbf{x}_2 = (0.1, 1, 10)$, and $\mathbf{x}_3 = (0.1, 0.1, 1)$, Pearson correlation distances meet

$$\text{dis}(\mathbf{x}_1, \mathbf{x}_3) = 0.00016 < 0.00338 = \text{dis}(\mathbf{x}_2, \mathbf{x}_3),$$

implying that \mathbf{x}_3 is more similar to (correlated with) \mathbf{x}_1 . In contrast, the normalized Euclidean distance yields the opposite ordering:

$$\left\| \frac{\mathbf{x}_1}{\|\mathbf{x}_1\|} - \frac{\mathbf{x}_3}{\|\mathbf{x}_3\|} \right\| = 0.11304 > 0.08920 = \left\| \frac{\mathbf{x}_2}{\|\mathbf{x}_2\|} - \frac{\mathbf{x}_3}{\|\mathbf{x}_3\|} \right\| \blacksquare$$

We next define the standardized Euclidean distance.

Definition. Let $\text{dis}_{SE}(\mathbf{x}, \mathbf{y})$ denote

$$\sqrt{\sum_{i=1}^d \left(\frac{\mathbf{x}[i] - \bar{x}}{\sigma_x} - \frac{\mathbf{y}[i] - \bar{y}}{\sigma_y} \right)^2},$$

the standardized Euclidean distance between two d dimensional vectors \mathbf{x} and \mathbf{y} . ■

The square root of the Pearson correlation is proportional to the standardized Euclidean distance.

Proposition. [3, 40]

$$\sqrt{2d} \sqrt{\text{dis}(\mathbf{x}, \mathbf{y})} = \text{dis}_{SE}(\mathbf{x}, \mathbf{y})$$

The Pearson correlation distance and the standardized Euclidean distance produce consistent orderings; namely, for any $\mathbf{x}_1, \mathbf{y}_1, \mathbf{x}_2, \mathbf{y}_2$,

$$\text{dis}(\mathbf{x}_1, \mathbf{y}_1) \leq \text{dis}(\mathbf{x}_2, \mathbf{y}_2)$$

if and only if

$$\text{dis}_{SE}(\mathbf{x}_1, \mathbf{y}_1) \leq \text{dis}_{SE}(\mathbf{x}_2, \mathbf{y}_2).$$

■

We note here that the Pearson correlation distance and its square root are largely different. For example, $\sqrt{\text{dis}(\mathbf{x}, \mathbf{y})} = 0.4$ when $\text{dis}(\mathbf{x}, \mathbf{y}) = 0.16$, and $\sqrt{\text{dis}(\mathbf{x}, \mathbf{y})} = 1.3$ when $\text{dis}(\mathbf{x}, \mathbf{y}) = 1.69$. In general, two proximal (distal, respectively) points of the Pearson correlation distance < 1 (> 1) become more distant (closer) according to the square root of the Pearson correlation distance.

Next, we outline Lloyd’s algorithm, which implements k -means clustering. Given n points in d dimensional space, a k -means (k -medians) algorithm starts with selecting k initial centroids, $\{\mathbf{c}_p \mid p = 1, \dots, k\}$, in some way. It then repeats the following two steps until no further changes occur in any of the k centroids:

- Assigning step: Assign each of n points to its nearest centroid.
- Updating step: Update each \mathbf{c} of k centroids as the mean (median) of points assigned to \mathbf{c} .

Lloyd proposed the basic concept of the above procedure [34]. Suppose that it takes $\Theta(d)$ time to compute the distance between two d -dimensional points. A naïve implementation of the assigning step is to calculate the distance between each point and each centroid, which takes a $\Theta(dkn)$ time in total, while the updating step needs a $\Theta(dn)$ time. Thus, accelerating the assigning step is crucial. Here, we present a way of avoiding unnecessary computation in the assigning step by finding unchanged nearest centroids.

Selecting the distance between points is crucial in k -means clustering. The Euclidean and Pearson correlation distances are not always consistent and may produce different clustering results for an identical set of k initial centroids because during the assigning step, the centroid nearest to each vector can differ according to the distance selected. In contrast, the standardized Euclidean and Pearson correlation distances produce consistent orderings, and consequently the centroid closest to each vector is the same regardless of the distance selected. Using this property, we show that both distances yield the same clustering result.

Proposition. For an identical set of k initial centroids, the k -means clustering algorithm produces the same clustering result for the standardized Euclidean distance as the Pearson correlation distance.

Proof.

We prove the inductive hypothesis stating that before each round of iteration, the set of k centroids for the standardized Euclidean distance is identical to that for the Pearson correlation distance. The hypothesis holds true before the first iteration simply because the same set of k initial centroids is the input for each distance. Assuming that the hypothesis is true before the i th iteration, after the assigning step, the centroid nearest to each vector is identical for each of the two distances because for any vector \mathbf{x} and any centroids \mathbf{c}_1 and \mathbf{c}_2 , $dis(\mathbf{x}, \mathbf{c}_1) \leq dis(\mathbf{x}, \mathbf{c}_2)$ if and only if $dis_{SE}(\mathbf{x}, \mathbf{c}_1) \leq dis_{SE}(\mathbf{x}, \mathbf{c}_2)$. Thus, after the updating step, the set of vectors closest to each centroid \mathbf{c} is identical for the two distances, implying that the mean of the set, the revised centroid, is also identical. Consequently, the inductive hypothesis is true before the $(i+1)$ -th iteration. ■

This proposition allows us to perform k -means clustering with the Pearson correlation distance using optimization algorithms developed for the (standardized) Euclidean distance [41, 42, 44]; however, it is unclear whether the methods for the Euclidean distance are effective for accelerating the performance when using the standardized Euclidean distance. We show relevant experimental

results in the next section.

For the following, we describe our new algorithm customized for the Pearson correlation distance. Centroids are updated frequently and are likely to move long distances in early stages of the repetitive steps. In contrast, in later steps, centroids are unlikely to move, and therefore, the assigning step has a tendency to reassign each point to the previous centroid as the nearest one, which should be avoided. Thus, we can accelerate the assigning step if we can test whether the nearest centroid for a point remains unchanged without recalculating the distances between the point and all centroids. Suppose that after the updating step, the centroid \mathbf{c}_p nearest to \mathbf{x} moves to \mathbf{c}_p' for $p = 1, \dots, k$, and any other centroid \mathbf{c}_q ($q = 1, \dots, k, q \neq p$) moves to \mathbf{c}_q' . We ask if \mathbf{x} is still closest to cluster \mathbf{c}_p' after the updating step:

$$\text{dis}(\mathbf{c}_p', \mathbf{x}) \leq \text{dis}(\mathbf{c}_q', \mathbf{x})$$

for $q = 1, \dots, k$ ($q \neq p$).

To check this test efficiently for any point \mathbf{x} without recalculating the new distances on both sides of the inequality, we will develop an efficient method to estimate an upper bound of the new distance $\text{dis}(\mathbf{c}_p', \mathbf{x})$ using the existing distance $\text{dis}(\mathbf{c}_p, \mathbf{x})$:

$$\text{dis}(\mathbf{c}_p', \mathbf{x}) \leq \text{dis}(\mathbf{c}_p, \mathbf{x}) + \text{an_upper_bound} ,$$

where we will define “an_upper_bound(≥ 0)” shortly. Similarly, we will derive a lower bound of $\text{dis}(\mathbf{c}_q', \mathbf{x})$ using the previous distance $\text{dis}(\mathbf{c}_q, \mathbf{x})$:

$$\text{dis}(\mathbf{c}_q, \mathbf{x}) + \text{a_lower_bound} \leq \text{dis}(\mathbf{c}_q', \mathbf{x})$$

for $q = 1, \dots, k$ ($q \neq p$), where $\text{a_lower_bound} \leq 0$.

Using these methods, we can implement a pruning procedure. If

$$\text{dis}(\mathbf{c}_p, \mathbf{x}) + \text{an_upper_bound} \leq \text{dis}(\mathbf{c}_q, \mathbf{x}) + \text{a_lower_bound} \quad \text{for } q = 1, \dots, k \text{ (} q \neq p \text{)}, \quad (*)$$

we can confirm $\text{dis}(\mathbf{c}_p', \mathbf{x}) \leq \text{dis}(\mathbf{c}_q', \mathbf{x})$ ($q \neq p$) without calculating the new distances, while retaining the final solution. In the next round of the assigning step, it might be necessary to calculate the new distances, but we can omit this step by substituting $\text{dis}(\mathbf{c}_p, \mathbf{x}) + \text{an_upper_bound}$ and $\text{dis}(\mathbf{c}_q, \mathbf{x}) + \text{a_lower_bound}$ for new distances $\text{dis}(\mathbf{c}_p', \mathbf{x})$ and $\text{dis}(\mathbf{c}_q', \mathbf{x})$ respectively because this replacement does not violate the validity of the pruning procedure in the next assigning step. In cases in which the inequality (*) does not hold, we calculate $\text{dis}(\mathbf{c}_p', \mathbf{x})$ and $\text{dis}(\mathbf{c}_q', \mathbf{x})$ for $q = 1, \dots, k$ ($q \neq p$), and determine the centroid nearest to \mathbf{x} .

To facilitate the simple description of formula and derivations, we introduce a method of decomposing the Pearson’s correlation coefficient $\rho(\mathbf{x}, \mathbf{y})$ into two vectors called “correlation coefficient vectors.”

Definition. Correlation coefficient vectors are defined as

$$\frac{1}{\sqrt{d}} \left(\frac{x[1] - \bar{x}}{\sigma_x}, \frac{x[2] - \bar{x}}{\sigma_x}, \dots, \frac{x[d] - \bar{x}}{\sigma_x} \right)$$

$$\frac{1}{\sqrt{d}} \left(\frac{y[1] - \bar{y}}{\sigma_y}, \frac{y[2] - \bar{y}}{\sigma_y}, \dots, \frac{y[d] - \bar{y}}{\sigma_y} \right)$$

for $\mathbf{x} = (x[1], \dots, x[d])$ and $\mathbf{y} = (y[1], \dots, y[d])$, respectively. Let $CC\mathbf{x}$ and $CC\mathbf{y}$ denote the respective correlation coefficient vectors. ■

Note that the Pearson's correlation coefficient $\rho(\mathbf{x}, \mathbf{y})$ is equal to the inner product of $CC\mathbf{x}$ and $CC\mathbf{y}$; i.e., $\rho(\mathbf{x}, \mathbf{y}) = (CC\mathbf{x}, CC\mathbf{y})$. Any correlation coefficient vector $CC\mathbf{x}$ is of length 1; namely, $\|CC\mathbf{x}\| = 1$, and similarly, $\|CC\mathbf{y}\| = 1$.

To facilitate the discussion of calculating better upper and lower bounds, we introduce a new definition.

Definition. Let \mathbf{c} and \mathbf{c}' be respective centroids before and after the updating step, and let $CC\mathbf{c}$ and $CC\mathbf{c}'$ be their correlation coefficient vectors. Let $\Delta dis(\mathbf{c}, \mathbf{c}', \mathbf{x})$ denote $dis(\mathbf{c}', \mathbf{x}) - dis(\mathbf{c}, \mathbf{x})$, the distance variation of point \mathbf{x} to \mathbf{c} and \mathbf{c}' . ■

For example, $dis(\mathbf{c}_p', \mathbf{x}) \leq dis(\mathbf{c}_p, \mathbf{x}) + \text{an_upper_bound}$ can be concisely described by

$$\Delta dis(\mathbf{c}_p, \mathbf{c}_p', \mathbf{x}) \leq \text{an_upper_bound}.$$

Another merit of this notation is that we are able to transform the distance variation into an inner product of $(CC\mathbf{c} - CC\mathbf{c}')$ and $CC\mathbf{x}$:

$$\begin{aligned} \Delta dis(\mathbf{c}_p, \mathbf{c}_p', \mathbf{x}) &= dis(\mathbf{c}_p', \mathbf{x}) - dis(\mathbf{c}_p, \mathbf{x}) = \rho(\mathbf{c}_p, \mathbf{x}) - \rho(\mathbf{c}_p', \mathbf{x}) = (CC\mathbf{c}_p, CC\mathbf{x}) - (CC\mathbf{c}_p', CC\mathbf{x}) \\ &= (CC\mathbf{c}_p - CC\mathbf{c}_p', CC\mathbf{x}) \end{aligned}$$

This inner product allows us to estimate an upper bound and a lower bound of $\Delta dis(\mathbf{c}_p, \mathbf{c}_p', \mathbf{x})$ by analyzing the two vectors independently as well as by considering each dimension separately.

We can derive an upper bound and a lower bound that are effective for any point \mathbf{x} for which the nearest centroid is \mathbf{c}_p . A simple approach is to derive two bounds from

$$\begin{aligned} \|\Delta dis(\mathbf{c}_p, \mathbf{c}_p', \mathbf{x})\| &= \|(CC\mathbf{c}_p - CC\mathbf{c}_p', CC\mathbf{x})\| \\ &\leq \|CC\mathbf{c}_p - CC\mathbf{c}_p'\| \|CC\mathbf{x}\|, \end{aligned}$$

where the inequality holds because of the Cauchy-Schwarz inequality. Because $\|CC\mathbf{x}\| = 1$, we can use $\|CC\mathbf{c}_p - CC\mathbf{c}_p'\|$ and $-\|CC\mathbf{c}_p - CC\mathbf{c}_p'\|$ as the upper and lower bounds, respectively, and we define them as follows:

Definition.

$$\begin{aligned} \text{upperA}(\mathbf{c}_p, \mathbf{c}_p') &\stackrel{\text{def}}{=} \|CC\mathbf{c}_p - CC\mathbf{c}_p'\| \\ \text{lowerA}(\mathbf{c}_p, \mathbf{c}_p') &\stackrel{\text{def}}{=} -\|CC\mathbf{c}_p - CC\mathbf{c}_p'\| \quad \blacksquare \end{aligned}$$

These upper and lower bounds are simple formulas but effective for eliminating unnecessary computation. It takes $\Theta(dk)$ time to calculate the lower and upper bounds for all k centroids, and $\Theta(k)$ space to store these bounds. We also design more complicated bounds by taking the sum of the differences at individual coordinates.

Definition. Let S_{c_p} denote the set of all points for which the nearest centroid is \mathbf{c}_p

$$\begin{aligned} \text{upperB}(\mathbf{c}_p, \mathbf{c}_p', S_{c_p}) &\stackrel{\text{def}}{=} \\ \sum_{j=1}^d \text{maximum}(CC\mathbf{c}_p[j] - CC\mathbf{c}_p'[j], S_{c_p}), \end{aligned}$$

where

$$\text{maximum}(z, S_{c_p}) \stackrel{\text{def}}{=} \begin{cases} z \times \max\{CC\mathbf{x}[j] \mid \mathbf{x} \in S_{c_p}\} & z \geq 0 \\ z \times \min\{CC\mathbf{x}[j] \mid \mathbf{x} \in S_{c_p}\} & z < 0 \end{cases}$$

For $q = 1, \dots, k$ ($q \neq p$), define

$$\begin{aligned} \text{lowerB}(\mathbf{c}_q, \mathbf{c}_q', S_{c_p}) &\stackrel{\text{def}}{=} \\ \sum_{j=1}^d \text{minimum}(CC\mathbf{c}_q[j] - CC\mathbf{c}_q'[j], S_{c_p}), \end{aligned}$$

where

$$\text{minimum}(z, S_{c_p}) \stackrel{\text{def}}{=} \begin{cases} z \times \min\{CC\mathbf{x}[j] \mid \mathbf{x} \in S_{c_p}\} & z \geq 0 \\ z \times \max\{CC\mathbf{x}[j] \mid \mathbf{x} \in S_{c_p}\} & z < 0 \end{cases}$$

■

Proposition. For any $\mathbf{x} \in S_{c_p}$,

$$\Delta\text{dis}(\mathbf{c}_p, \mathbf{c}_p', \mathbf{x}) \leq \text{upperB}(\mathbf{c}_p, \mathbf{c}_p', S_{c_p}) \text{ and } \text{lowerB}(\mathbf{c}_q, \mathbf{c}_q', S_{c_p}) \leq \Delta\text{dis}(\mathbf{c}_q, \mathbf{c}_q', \mathbf{x}) \text{ (} q \neq p \text{)}.$$

It takes $\Theta(dn + dk^2)$ time and $\Theta(dk + k^2)$ space in order to calculate $\text{upperB}(\mathbf{c}_p, \mathbf{c}_p', S_{c_p})$ and

$\text{lowerB}(\mathbf{c}_q, \mathbf{c}_q', S_{c_p})$ ($p = 1, \dots, k, q = 1, \dots, k, q \neq p$) for every cluster \mathbf{c}_p .

Proof

$$\begin{aligned}
\Delta dis(\mathbf{c}_p, \mathbf{c}_p', \mathbf{x}) &= ((CC\mathbf{c}_p - CC\mathbf{c}_p'), CC\mathbf{x}) \\
&= \sum_{j=1}^d (CC\mathbf{c}_p[j] - CC\mathbf{c}_p'[j]) \times CC\mathbf{x}[j] \\
&\leq \sum_{j=1}^d \text{maximum}(CC\mathbf{c}_p[j] - CC\mathbf{c}_p'[j], S_{c_p}) \\
&= \text{upperB}(\mathbf{c}_p, \mathbf{c}_p', S_{c_p})
\end{aligned}$$

$$\begin{aligned}
\Delta dis(\mathbf{c}_q, \mathbf{c}_q', \mathbf{x}) &= ((CC\mathbf{c}_q - CC\mathbf{c}_q'), CC\mathbf{x}) \\
&= \sum_{j=1}^d (CC\mathbf{c}_q[j] - CC\mathbf{c}_q'[j]) \times CC\mathbf{x}[j] \\
&\geq \sum_{j=1}^d \text{minimum}(CC\mathbf{c}_q[j] - CC\mathbf{c}_q'[j], S_{c_p}) \\
&= \text{lowerB}(\mathbf{c}_q, \mathbf{c}_q', S_{c_p})
\end{aligned}$$

For efficiency, we first compute the maximum and minimum of $\{CC\mathbf{x}[j] \mid \mathbf{x} \in S_{c_p}\}$ for each dimension $j = 1, \dots, d$ and for each cluster \mathbf{c}_p ($p = 1, \dots, k$), and store this information in a table of size $\Theta(dk)$. This tabulation process takes $\Theta(dn)$ time. Looking up the table, it is possible to calculate $\text{upperB}(\mathbf{c}_p, \mathbf{c}_p', S_{c_p})$ for any cluster \mathbf{c}_p in $\Theta(d)$ time, and $\text{lowerB}(\mathbf{c}_q, \mathbf{c}_q', S_{c_p})$ for $(k-1)$ clusters \mathbf{c}_q ($q = 1, \dots, k, q \neq p$) in $\Theta(d(k-1))$ time. Repeating this calculation for each cluster $\mathbf{c}_p = \mathbf{c}_1, \dots, \mathbf{c}_k$ requires $\Theta(dk^2)$ time and $\Theta(k^2)$ space for storing upper and lower bounds. ■

Using the above two calculations for upper and lower bounds, we devise the pruning procedure that checks

$$\text{dis}(\mathbf{c}_p, \mathbf{x}) + \text{upperA}(\mathbf{c}_p, \mathbf{c}_p') \leq \text{dis}(\mathbf{c}_q, \mathbf{x}) + \text{lowerA}(\mathbf{c}_q, \mathbf{c}_q'),$$

or

$$\text{dis}(\mathbf{c}_p, \mathbf{x}) + \text{upperB}(\mathbf{c}_p, \mathbf{c}_p', S_{c_p}) \leq \text{dis}(\mathbf{c}_q, \mathbf{x}) + \text{lowerB}(\mathbf{c}_q, \mathbf{c}_q', S_{c_p})$$

for each \mathbf{x} of n points ($\mathbf{x} \in S_{c_p}$ for each $p = 1, \dots, k$) and for each $q = 1, \dots, k$ ($q \neq p$). If \mathbf{x} meets one of the inequalities, we can confirm $\text{dis}(\mathbf{c}_p', \mathbf{x}) \leq \text{dis}(\mathbf{c}_q', \mathbf{x})$ ($q \neq p$) by skipping the calculation of the new distances. The total computation time of checking the above inequality is $\Theta(kn)$. Using upperB and lowerB requires additional computational time $\Theta(dn + dk^2)$ and space $\Theta(dk + k^2)$, which is constantly required to calculate the two bounds in each iteration. In contrast, computing upperA and lowerA needs $\Theta(dk)$ time and $\Theta(k)$ space.

For each \mathbf{x} that violates the above inequality, we compute new distances $\text{dis}(\mathbf{c}_p', \mathbf{x})$ and $\text{dis}(\mathbf{c}_q', \mathbf{x})$ for $q = 1, \dots, k$ ($q \neq p$) to find the centroid nearest to \mathbf{x} . In the best case, no calculation is needed. In

the worst case, however, it is necessary to compute new distances $\text{dis}(\mathbf{c}_p', \mathbf{x})$ for $p = 1, \dots, k$ and n points, and the worst time complexity is $O(dkn)$. Recall for comparison that the assigning step of Lloyd’s algorithm requires $\Theta(dkn)$ time.

We have defined two heuristic algorithms: one uses upperA and lowerA, and the other upperB and lowerB to prune unnecessary computations when performing k -means clustering using the Pearson correlation distance. We call the former BoostKCP (boundA) and the latter BoostKCP (boundB), where BoostKCP stands for Boosting K-means Clustering for Pearson correlation distance.

We compare the performance of Elkan’s and Hamerly’s methods, BoostKCP(boundA), and BoostKCP(boundB) with respect to time and space complexity. Although individual method accelerates Lloyd’s algorithm using lower and upper bounds to prune unnecessary computation, each iteration requires $O(dkn)$ time in the worst case. Thus, we summarize the overhead of computing lower and upper bounds in terms of time and space complexity (Table 1). The entries of “time/iteration” show the asymptotic overhead computation time required to calculate lower and upper bounds in each iteration by individual algorithms. The entries for BoostKCP have been described, while those for Elkan’s and Hamerly’s algorithms are detailed in [42]. Table 1 shows that the time and space complexity of BoostKCP(boundA) are smaller than those of the other methods. In the experimental results, we will show that BoostKCP(boundA) also outperforms the others in terms of computational performance using real biological datasets, confirming that BoostKCP(boundA) is a simple and powerful heuristic method for accelerating k -means clustering when using Pearson correlation and standardized Euclidean distances.

	time/iteration	memory
BoostKCP(boundA)	$\Theta(dk)$	$\Theta(k)$
BoostKCP(boundB)	$\Theta(dn + dk^2)$	$\Theta(dk + k^2)$
Elkan	$\Theta(dk^2)$	$\Theta(kn + k^2)$
Hamerly	$\Theta(dk^2)$	$\Theta(n)$

Table 1. Comparison of the asymptotic overhead spent by calculating lower and upper bounds in addition to Lloyd’s algorithm in terms of time and space complexity.

3 Experimental Results

3.1 Data Sets

We generated a synthetic dataset of vectors whose elements were randomly selected from 0 to 1 using the Mersenne twister [46], a widely used pseudo random number generator with an extraordinarily long cycle of $2^{19937}-1$. We generated datasets of 50,000 vectors of dimension $d=10, 20, 50, 101, 201, 501, 1001, \text{ and } 2001$. This random data set was an extreme example from which meaningful clusters were difficult to extract. We used these sets to compare the effectiveness of BoostKCP (boundA) and BoostKCP (boundB) for pruning unnecessary computation.

In order to compare BoostKCP with other available state-of-the-art pruning methods, we used three different types of high-dimensional real biological datasets rather than random datasets. The first real data set was a set of vectors with human nucleosome positioning signals at genomic positions surrounding transcription start sites (TSSs). A nucleosome positioning signal at a genomic position is a real value and represents the possibility of the presence of nucleosome centers at that position. From the GENCODE database, version 7 [47], we obtained human nucleosome positioning signals using MNase-sequencing and the TSSs of the human reference genome hg19. We repeated the process of merging neighboring TSSs within 1000 bp into a group, and we selected representative TSSs whose expression levels were maximal in individual groups. From the representative TSSs, we excluded those having any other TSSs within 1000 bp on the reverse strand to eliminate their effect. Subsequently, from the nucleosome positioning signal data, we generated a base set of 56,772 vectors of dimension 2001 (~400M bytes) such that their elements were real-valued nucleosome positioning signals within 1000 bp around representative TSSs and more than half of the elements within 50, 100, 250, and 500 bp of the TSSs were nonzero. To monitor how the algorithms behave for data of different dimension, from the base set, we generated four sets of vectors of dimension $d=101, 201, 501, 1001, \text{ and } 2001$ by selecting the elements within 50, 100, 250, 500, and 1000 bp of the TSSs. The last digit “1” of dimension d indicates the TSS position. Because of the construction of the base set, more than half of the elements in each vector are guaranteed to be nonzero. For smaller dimensions $d=10, 20, \text{ and } 50$, we selected every $(2000/d)$ -th element from the base set; *e.g.*, elements at -1000, -800, -600, ..., +600, and +800 bp for $d=10$. The second real data set was a typical example of gene expression data, a set of 54,613 genes from 180 glioma samples [48]. The third real data set was a set of 60,000 gray-level images of handwritten letters in the MNIST database [49]. Each image consisted of 28 x 28 pixels, and we set dimension $d=28^2=784$. As letters were categorized into 78 types, we set $k=78$.

3.2 Comparison of computational performance

We compared the following five methods:

- Lloyd’s algorithm [34]
- BoostKCP (boundA)
- BoostKCP (boundB)
- Elkan’s algorithm [41]
- Hamerley’s algorithm [42, 43]

We used the first three methods to compute k -means clustering using the Pearson correlation distance. In contrast, since the latter two algorithms were designed to process the Euclidean distance, we used these to calculate k -means clustering using the standardized Euclidean distance, the results of which are equal to those using Pearson correlation distance as described in the previous section. For any initial centroid set, the above five methods give the same final clustering result.

Selecting the initial set of k centroids largely affects the final result, and for this purpose, we used Bradley and Fayyad’s method [31] because it performed better than the other applicable initialization methods for several criteria [26]. After selecting the initial centroids, we measured the elapsed time during the application of each method towards the same initial centroid set derived from different types of data. We excluded the time required to compute the initial set of centroids because it was typically much less than the time used to compute k -means clustering. We monitored the computational performance using an Intel® Xeon® CPU E5-2670 processor with a clock rate of 2.60 GHz and 66 GB of main memory.

We first compared the performances of BoostKCP (boundA) and BoostKCP (boundB) using 50,000 random vectors of dimension $d = 10, 20, 50, 101, 201, 501, 1001, \text{ and } 2001$. We calculated the average elapsed time by executing 10 trials for $d = 10, 20, 50, 101, 201, 501, \text{ and } 1001$, but 5 trials for $d = 2001$, due to the large amount of computation. We observed that BoostKCP (boundA) outperformed BoostKCP (boundB). Specifically, we calculated the performance improvement by BoostKCP(boundA) as the acceleration rate; *i.e.*, the elapsed time for BoostKCP (boundB) divided by that for BoostKCP (boundA). Fig. 1 displays the elapsed time and acceleration rate for each dimension and for $k = 10, 20, \text{ and } 30$. In all cases except where $d = 10$ and $k = 30$, BoostKCP (boundA) was faster than BoostKCP (boundB) partly because computing lower and upper bounds for BoostKCP(boundA), $\Theta(dk)$, is less expensive than computing those for BoostKCP(boundB), $\Theta(dn + dk^2)$, where d is the dimension, n is the number of data, and k is the number of clusters (Table 1). We therefore used BoostKCP (boundA) for our comparisons with the other four algorithms using real datasets.

We next compared BoostKCP (boundA) with Lloyd’s, Elkan’s, and Hamerly’s algorithms using real biological datasets. For measuring the performance improvement by BoostKCP(boundA), we again defined the acceleration rate as the average elapsed time of each algorithm divided by that of

BoostKCP (boundA).

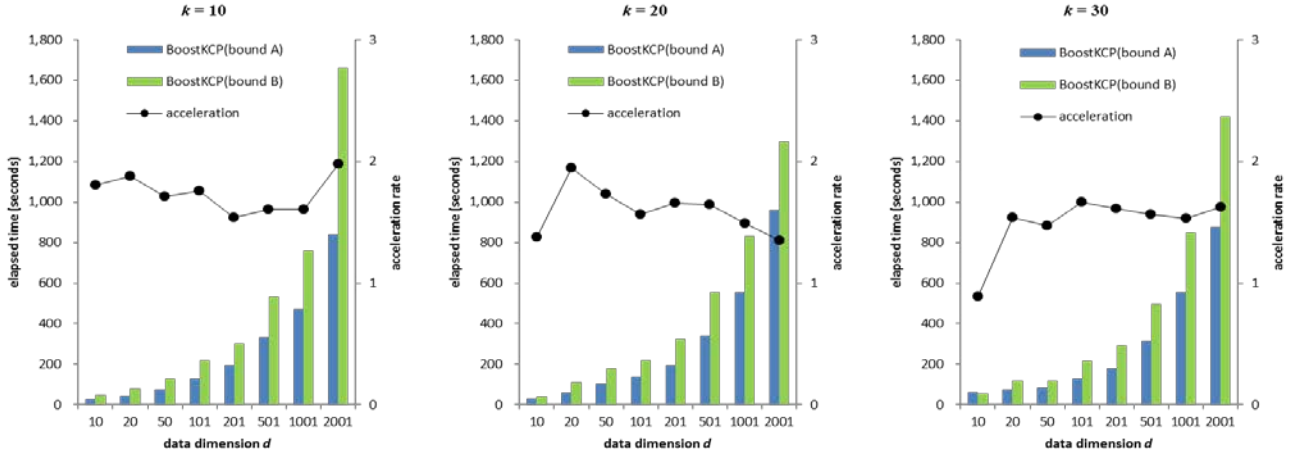


Fig. 1. Comparison between BoostKCP (boundA) and BoostKCP (boundB). Randomly generated 50,000 vectors of dimension $d = 10, 20, 50, 101, 201, 501, 1001,$ and 2001 were grouped into k ($= 10, 20,$ and 30) clusters. The first y-axis and second y-axis show the elapsed time and acceleration rate, respectively.

Fig. 2 shows the experimental results obtained by applying the four algorithms to the nucleosome positioning data for dimension $d = 10, 20, 50, 101, 201, 501, 1001$ and 2001 and for number of clusters $k=10, 20,$ and 30 . We set these values for k because nucleosome positioning signal vectors can be categorized into 10–30 groups with biologically meaningful characteristics [24]. We computed the average elapsed time by performing 10 trials with the exception of 5 trials where $d=2001$. Fig. 2A-C show the BoostKCP (boundA) acceleration rates compared with those of the Lloyd’s, Elkan’s, and Hamerly’s algorithms. BoostKCP (bound A) clearly outperformed Lloyd’s and Hamerly’s algorithms for all parameter value combinations, and it was also faster than Elkan’s algorithm in most cases.

It has been reported that Hamerly’s algorithm is often faster than Elkan’s algorithm for various low-dimensional ($d < 50$) data using the Euclidean distance [42, 43]; however, Hamerly’s algorithm did not work as well for nucleosome positioning data using the standardized Euclidean distance (Fig. 2A-C). We remark here that the standardized Euclidean distance between two points is likely to be much smaller than the Euclidean distance between the two points, implying that the points are densely distributed in standardized Euclidean space. When handling more densely distributed points, greater care has to be taken for pruning unnecessary computation. In each iteration, Elkan’s algorithm carefully maintains the lower and upper bounds for the distance between each point and each centroid, while Hamerly’s algorithm considers the closest and second closest centroids only. For pruning unnecessary computation, put another way, Elkan’s algorithm requires more time and space to estimate tighter bounds than does Hamerly’s algorithm, allowing the former to be more effective in removing unnecessary computation than the latter.

Fig. 2D-F display the average elapsed time when using each combination of d and k values; however,

there is insufficient information as to how these times differed, since the elapsed time in each trial largely depended on the selection of the initial k vectors. To understand this further, we investigated how the elapsed time in each trial changed depending on the number of iterations when we applied BoostKCP (boundA), Elkan's, and Lloyd's algorithms to the nucleosome positioning signal data of dimension $d = 501$ for $k = 10, 20,$ and 30 . We did not consider Hamerly's algorithm because its performance was similar to that of Lloyd. Fig. 3A shows that how elapsed time of individual algorithm changes for ten different initial sets of centroids. The figure shows that the elapsed time of each algorithm increased in proportion to the number of iterations. A major difference between the three algorithms was that the elapsed time of Elkan's and Lloyd's algorithms increased for larger values of k , but that of our pruning method was almost independent of k , which explains why the acceleration rate increased for larger values of k , as seen in Fig. 2.

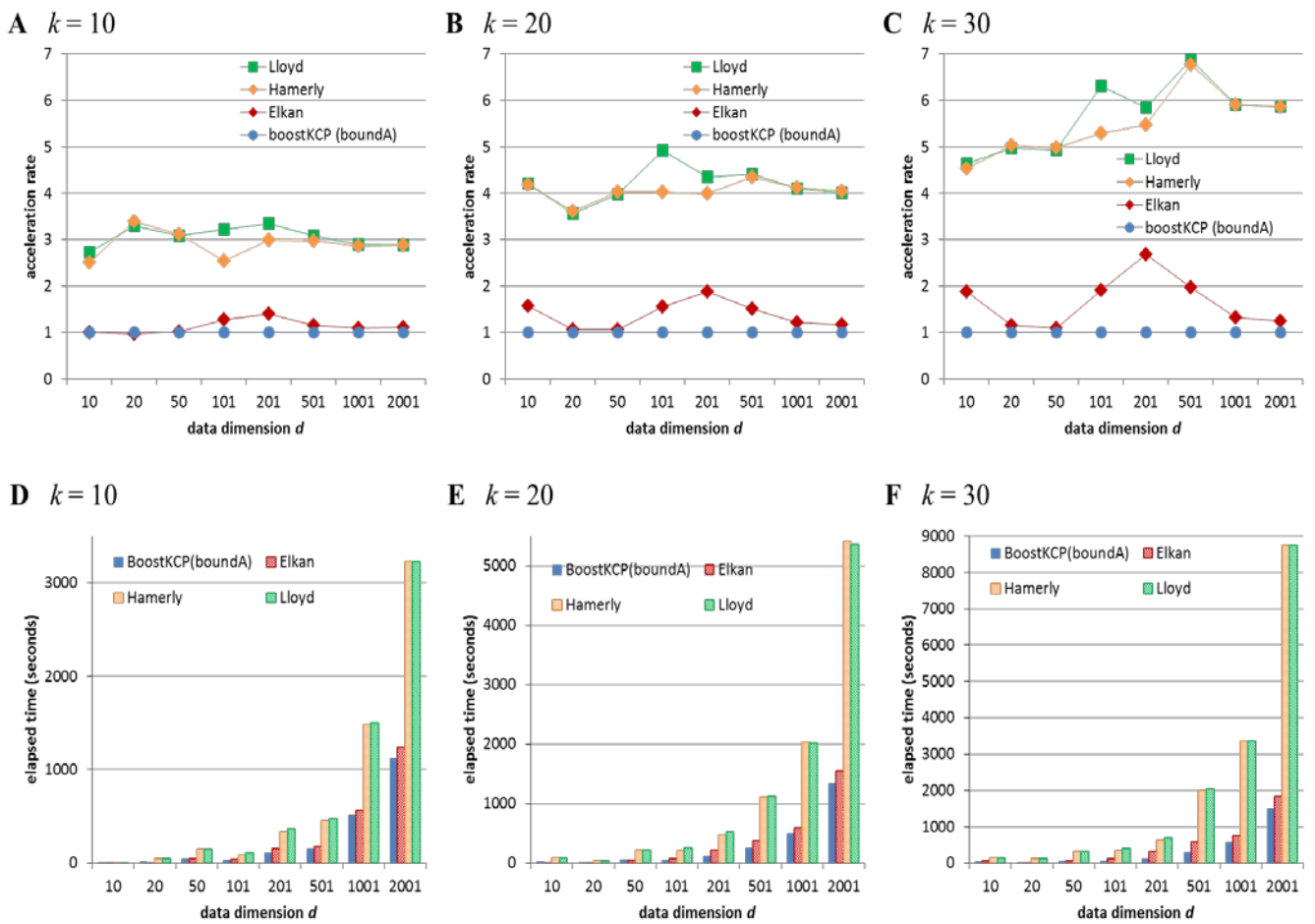


Fig. 2. Performance improvement by BoostKCP (boundA) using nucleosome positioning data of dimension $d = 10, 20, 50, 101, 201, 501, 1001,$ and 2001 . (A-C) Acceleration rates by BoostKCP (boundA) for each of Lloyd's, Hamerly's, and Elkan's algorithms. The lines for BoostKCP(boundA) show the constant rate of 1, the elapsed time for BoostKCP (boundA) divided by itself. Nucleosome positioning data were grouped into k clusters where $k = 10$ (A), 20 (B), and 30 (C). To make the comparison fair, we supplied all the algorithms with the same set of initial centroids that we generated using Bradley and Fayyad's method. (D-F) The average elapsed time of BoostKCP (boundA), Lloyd's, Hamerly's, and Elkan's algorithms.

To gain a better understanding of this, Fig. 3B presents an in-depth analysis, showing the elapsed time in each iteration of the three algorithms. Each iteration time for Lloyd’s algorithm is almost constant because the algorithm does not avoid unnecessary computation, while each iteration time for BoostKCP (boundA) and Elkan’s algorithm for $k = 10, 20,$ and 30 decreased markedly after the first few steps. In later steps, the elapsed time of BoostKCP (boundA) became almost independent of the value of k , giving the account that its overall elapsed time was almost proportional to the number of iterations but independent of k , as shown in Fig. 3A. In contrast, the elapsed time of Elkan’s algorithm in each iteration increased for larger values of k . This is because in each iteration, Elkan’s algorithm maintains a large array of lower and upper bounds for the distance between each $\sim 56K$ points and each k centroid at an expense. In contrast, BoostKCP (boundA) needs to calculate only the lower and upper bounds for each k centroid (Table 1).

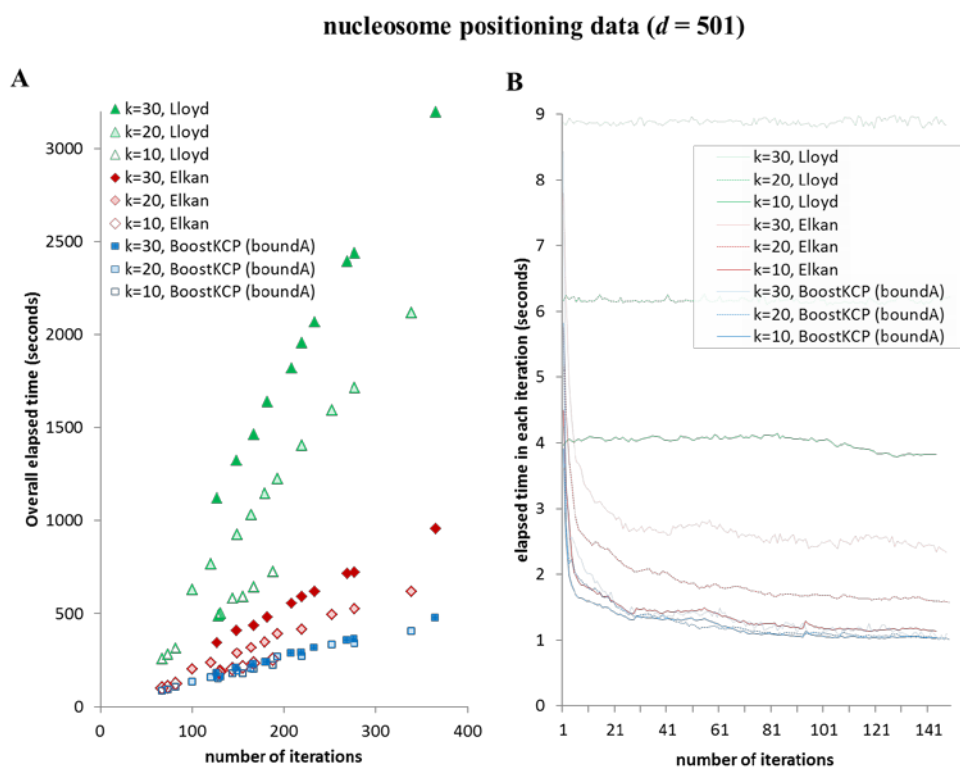


Fig. 3. In-depth performance analysis on k -means clustering of nucleosome positioning data. (A) Analysis of clustering nucleosome positioning data of dimension $d=501$ by BoostKCP (boundA), Elkan’s and Lloyd’s algorithms. Hamerly’s algorithm was not considered because Lloyd’s and Hamerly’s algorithms performed similarly. A dot represents the number of iterations (x-axis) and the elapsed time (seconds) of each experiment of 10 trials for $k = 10, 20$ and 30 . (B) Elapsed time of each iteration (including the assigning and updating steps) in typical trials.

We then applied the three algorithms to the gene expression data, a set of 54,613 vectors of dimension $d=180$. Because the dimension was fixed, we grouped the data into k ($=2, 3, 10, 20, 30, \dots, 70$) clusters of genes to determine if BoostKCP (boundA) achieved better performance with larger values of k . Fig. 4 shows the average elapsed time for ten trials and the acceleration rate of BoostKCP (boundA). The three algorithms used Bradley and Fayyad’s method to generate the same set of initial centroids. BoostKCP (boundA) outperformed Elkan’s and Lloyd’s algorithms for each k except for the case that the acceleration rate by BoostKCP (boundA) for Elkan’s algorithm was 0.988 when $k=2$. The acceleration rates were 1.02, 1.13, and 1.32 when $k=3, 10$, and 20, respectively. The acceleration rate increased for larger values of k , which was consistent with the performance improvement that we observed for the nucleosome positioning data in Fig. 2.

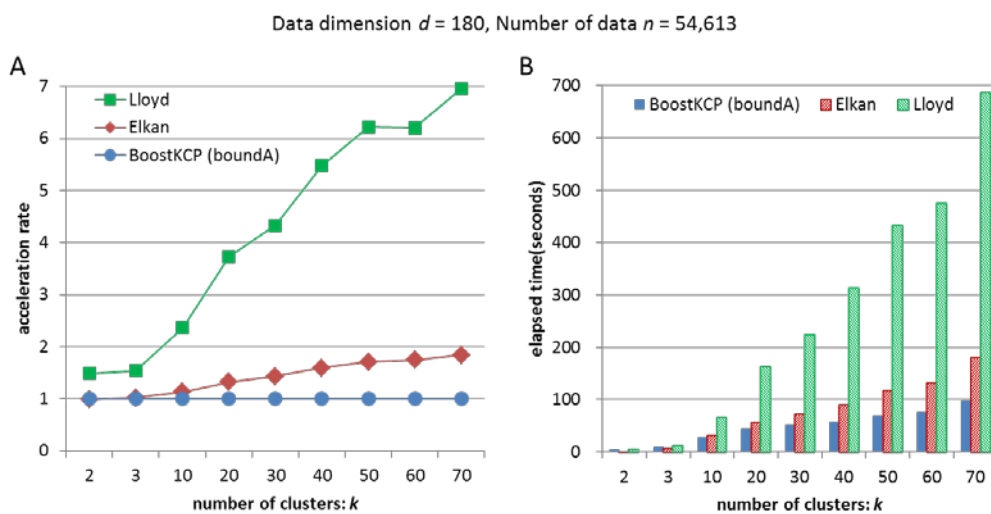


Fig. 4. Performance improvement by BoostKCP (boundA) using gene expression data of dimension $d = 180$ to group the data into k ($= 2, 3, 10, 20, 30, \dots, 70$) clusters. (A) Acceleration rates by BoostKCP (boundA) for each of Elkan’s and Lloyd’s algorithms. (B) Average elapsed time of ten trials.

We also applied BoostKCP (boundA) and Elkan’s algorithm to a dataset of handwritten letters ($d = 784$) to obtain 78 ($= k$) groups (different letters). The average acceleration rate of the 10 trials was high (2.18 – 2.46) presumably because the number of clusters was large. Fig. 5 shows the elapsed time, acceleration rate, and number of iterations for each of the ten trials. The iteration numbers are likely to be smaller than those in Fig. 3A because the images of the handwritten letters are grouped inherently. In general, the number of iterations depends on individual data, and it tends to be smaller when the focal data have inherently discriminating groups of similar

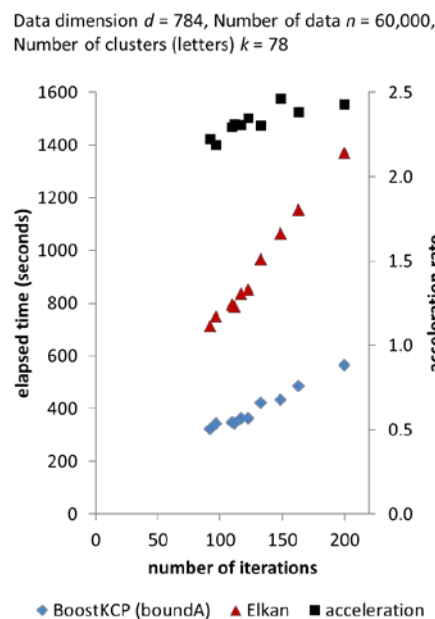


Fig. 5. The elapsed time, acceleration rate, and number of iterations of each of ten attempts to cluster handwritten letter images of dimension 784 ($=d$) into 78 ($=k$) groups using BoostKCP (boundA) and Elkan’s algorithm.

vectors that are relatively easier to categorize. In contrast, randomly generated data avoid this data skewness; thus, the algorithms spend more time searching for centroids.

We have so far examined situations when the number of clusters (k) ranges from 2 to 78 simply because these numbers of groups are of interest in real biological applications. We here investigate whether BoostKCP (boundA) outperforms Elkan's and Lloyd's algorithms for larger values of k , such as $k = 100$ and 500 . Indeed, Fig. 6 illustrates that BoostKCP (boundA) is the winner when the three algorithms were used to cluster the nucleosome positioning data of dimension $d = 10, 20, 50, 101,$ and 201 into $k = 100$ and 500 groups.

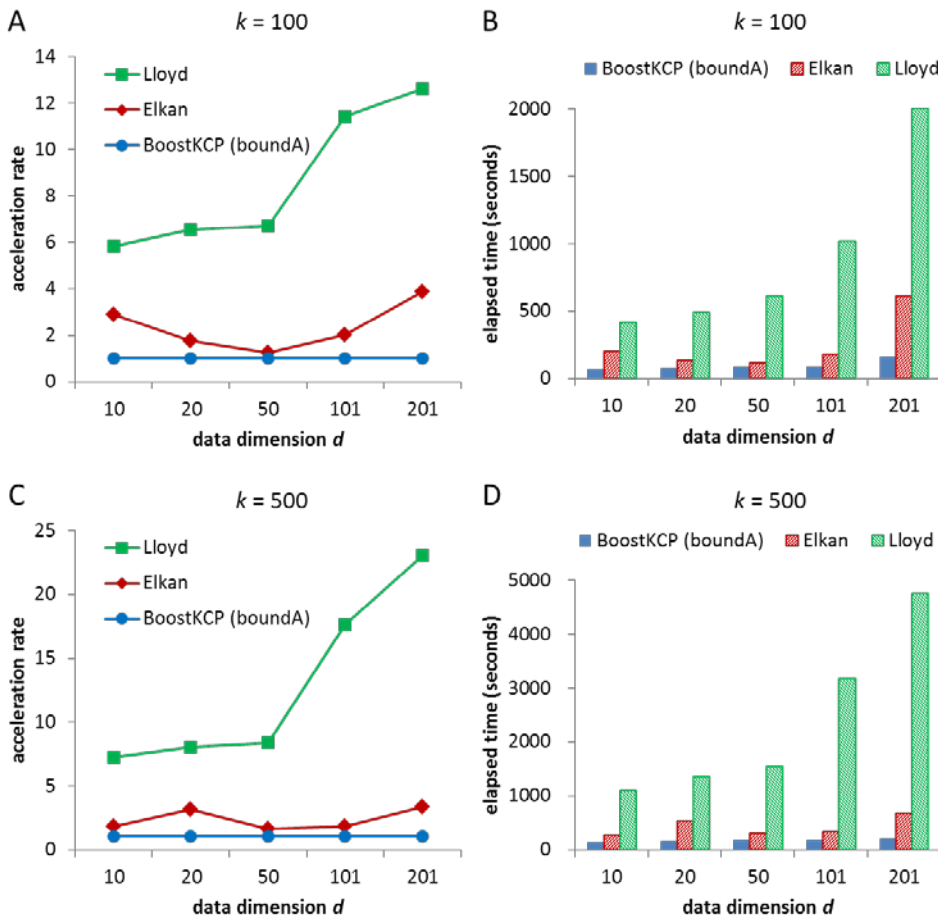


Fig. 6. Performance improvement by BoostKCP (boundA) using nucleosome positioning data of dimension $d = 10, 20, 50, 101,$ and 201 to group the data into $k = 100$ and 500 clusters. (A,C) Acceleration rates by BoostKCP (boundA) for each of Elkan's and Lloyd's algorithms when $k=100$ (A) and $k = 500$ (C). (B,D) Average elapsed time of ten trials for BoostKCP (boundA), Elkan's, and Lloyd's algorithms when $k=100$ (B) and $k = 500$ (D).

4 DISCUSSION AND CONCLUSION

High-dimensional data, such as nucleosome positioning, single nucleotide polymorphisms, and gene expression patterns, are quite common in biological research. K -means clustering using the Pearson correlation and standardized Euclidean distances has proven useful for obtaining novel insight from such large-scale biological datasets; however, it is likely to be a computationally intense task, thus demanding a method for accelerating computational performance for high-dimensional biological data. We have addressed the problem of eliminating unnecessary calculations associated with the k -means clustering algorithm. In this paper, we introduced BoostKCP, a simple but powerful heuristic method that has proved useful for reducing the computational time. We applied BoostKCP to three types of real biological datasets of dimension $d=10, 20, 50, 101, 180, 201, 501, 784, 1001$ and 2001 to perform k -clustering for $k=10, 20, 30, 40, 50, 60, 70$, and 78 . BoostKCP outperformed Lloyd's algorithm, Hamerly's algorithm, and the state-of-the-art Elkan's algorithm. Our concept is also applicable to k -medians clustering, which uses the median of points in a cluster as the cluster representative, and this method is applied frequently to generate tight clusters.

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