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# PROTOTYPE CLASSIFIER DESIGN WITH PRUNING

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The conventional nearest neighbor classifier (NNC) suffers from a large storage requirement and a slow query execution time when dealing with a large database. Algorithms which attempt to alleviate these disadvantages can be divided into three main categories: Fast searching algorithms, Instance-based learning algorithms and Prototype based algorithms. In this paper an algorithm, called LVQPRU, is proposed for pruning NNC prototype vectors so that a compact classifier with good performance can be obtained. The basic condensing algorithm is applied to the initial prototypes to speed up the learning process. A Learning Vector Quantization (LVQ) algorithm is utilized to fine tune the remaining prototypes during each pruning iteration. The LVQPRU algorithm is evaluated on several data sets with 12 reported algorithms using ten-fold cross-validation followed by a $t$-test. Simulation results show that the proposed algorithm has the highest generalization accuracies and good storage reduction ratios for most of the data sets.

*Keywords*: Prototype Selection; Nearest Neighbor Classifier; Editing; Condensing; Instance-based Learning, Pruning Technology.

## 1. Introduction

The nearest neighbor classifier (NNC) is used for many pattern recognition applications where the underlying probability distribution of the data is unknown *a priori*. The behavior of the NNC is bounded by two times the optimal Bayes risk (Ref. 1). Since the traditional NNC stores all the known data points as labelled instances, the algorithms is prohibitive for very large databases. To overcome these challenges several techniques have been proposed by researchers. $k-d$ *trees* (Ref. 2) and *projection* (Ref. 3) can reduce the search time for the nearest neighbors but still do not decrease storage requirements, and they become less effective as the dimensionality of the data increases.

To reduce both the storage requirements and search time, a better way is to reduce the data size under the restriction that the classification accuracy is kept similar (or even higher if noisy instances are removed). To select a subset of instances

from the original training set, there are usually three types of search directions to perform the selection procedure, including *Incremental*, *Decremental* and *Batch*. An *Incremental* search algorithm begins with an empty subset and adds an instance if it satisfies some criteria. For example, IB1 through IB5 (Ref. 4, 5) belong to this category. A *Decremental* search algorithm, however, begins with the full training set and removes instances from it until some predefined condition is fulfilled. Reduced nearest neighbor (RNN) (Ref. 6, 7), condensing nearest neighbor (CNN) (Ref. 1, 8), DROP1 through DROP5 (Ref. 9, 10), editing nearest neighbor (ENN) and repeated ENN (RENN) (Ref. 11) can be viewed as *decremental* search methods. The ENN and CNN algorithms can delete outliers or internal instances to improve the generalization accuracy and the processing speed. The performance can be further improved by employing adaptive NNC (Ref. 12). The All k-NN rule (Ref. 13) is an example of a *batch* search algorithm, in which the potential instances to be removed are flagged first. The actual deletion of the flagged instances is performed till finishing passing through all instances in the data.

The above classes of algorithms do not modify instances, but merely remove misclassified or irrelevant instances. One also can generate prototypes by modifying data instances such as Chang's method (Ref. 14), the boosting-based algorithm (Ref. 15, 16, 17), or Self-Organizing Map (SOM) (Ref. 18). In Chang's method, instances were merged into one prototype under some rules. The boosting-based algorithm weights and combines many of the *weak* hypotheses into a final classifier with theoretically high accuracy. And the SOM-based algorithm (Ref. 19) prunes unnecessary prototypes using a Boolean function formalization. Generally, there are some problems a designer must face when using these prototype-based algorithms with clustering. Consider the artificially constructed example in Fig. 1 where the probability density functions of both inputs are uniform. It is obvious that the classification error is minimized and a perfect decision boundary is defined with only one prototype located in the middle of $C_1$ and two prototypes in $C_2$. Two challenges are: 1) the number of prototypes necessary for a classifier is difficulty to determine and 2) the optimal placement of these prototypes is not obvious. Note that in this example the ideal locations of the prototypes are not unique, we can move them and keep the decision boundary fixed and the classification error remains unchanged. In this paper we propose an algorithm that prunes prototypes based on the error their elimination produces. LVQ2.1 (Ref. 20) is used to fine-tune the placements of the prototypes, and the number of prototypes needed by a NNC is determined by the *structural risk minimization principle* that is introduced later in the paper. Our goal is to overcome these challenges. The paper is organized as follows. Section 2 reviews some existing instance-based algorithms. Section 3 introduces a distance measure which is used for measuring the similarity between two instances or prototypes. Section 4 presents details of the proposed algorithm. Section 5 demonstrates three examples to show how LVQPRU works and some of its properties. Section 6 presents empirical results comparing 12 existing algorithms with the LVQPRU method on 13 data sets. And Section 7 gives conclusions and

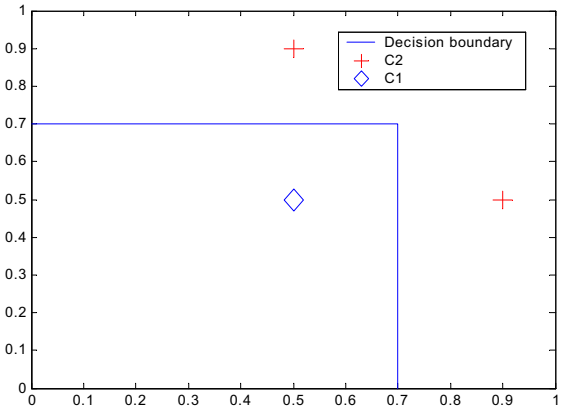


Fig. 1. Uniform Data Example

future work.

## 2. Related Work

Many researchers have investigated instance-based learning algorithms for training set size reduction, i.e., searching for a subset $\mathcal{S}$ of instances to keep from training set $\mathcal{D}$. In this section we survey some related work which will be compared with our proposed algorithm. This review builds upon the survey done by Wilson (Ref. 10).

### 2.1. *Decremental Instance-Based Learning Algorithms*

In this subsection, we review the CNN and ENN algorithms. The series of *Decremental Reduction Optimization Procedure* (DROP) algorithms proposed by Wilson et. al (Ref. 9, 10) are also reviewed.

#### 2.1.1. *Condensed Nearest Neighbor Rule*

The basic idea of CNN (Ref. 1, 8) is to delete internal or central instances such that the subset $\mathcal{S}$ can be used to classify all the instances in $\mathcal{D}$ correctly. The algorithm begins by randomly selecting one instance belonging to each class from $\mathcal{D}$ and putting them into $\mathcal{S}$. Then using the instances in $\mathcal{S}$ to classify one instance in $\mathcal{D}$, if the instance is misclassified, it is added to $\mathcal{S}$. Otherwise, it is returned to $\mathcal{D}$. This process is repeated until either there is no instance left in $\mathcal{D}$ or there is no instance transferring from $\mathcal{D}$ to $\mathcal{S}$.

The internal instances do not contribute to forming decision boundaries so that CNN keeps the generalization accuracy the same as that of the original training set with any a portion of the instances. However, this algorithm is sensitive to noise, because noisy instances will often be misclassified by their neighbors and be added to $\mathcal{S}$.

2.1.2. *Edited Nearest Neighbor Rules*

The ENN (Ref. 11) algorithm begins with $\mathcal{S} = \mathcal{D}$, and then each instance in $\mathcal{S}$ is removed if it does not agree with the majority of its $k$ nearest neighbors. Unlike the CNN algorithm, ENN keeps all the internal instances but deletes the border instances as well as the noisy instances. In this way, it smoothes the decision boundaries but does not reduce the storage requirements as much as most other data reduction algorithms. RENN applies ENN repeatedly until there are no instances in $\mathcal{S}$ that can be removed.

2.1.3. *DROP Algorithms*

The aim of DROP algorithms is to find instance reduction techniques that provide noise tolerance, high generalization accuracy, insensitivity to the order of presentation of instances, and significant storage reduction. Before we briefly review those algorithms, some definitions are given. A training set $\mathcal{D}$ consists of $N_v$ instances. Each instance $t$ has $k$ nearest neighbors, but $t$ also has a nearest *enemy*, which is the nearest instance with a different class Id. Those instances that have $t$ as one of their $k$ nearest neighbors are called *associates* of $t$.

DROP1 is identical to RNN (Ref. 6, 7) except that the accuracy is evaluated on $\mathcal{S}$ instead of $\mathcal{D}$. It uses the following basic rule to decide if an instance is removed from the set $\mathcal{S}$, which starts with $\mathcal{S} = \mathcal{D}$:

- Remove $t$ if at least as many of its *associates* in $\mathcal{S}$ would be classified correctly without $t$.

This algorithm removes noisy instances as well as center instances. DROP1 has a potential problem when removing noisy instances. One noisy instance may cover more and more input space if its *associates* are removed first, and its associates may eventually include instances of the same class from the other side of the original decision boundary. It is possible that removing the noisy instance at that point could cause some of its distant *associates* to be classified incorrectly.

DROP2 solves this problem by considering the effect of the removal of an instance on all the instances in $\mathcal{D}$ instead of considering only those instances remaining in $\mathcal{S}$. Thus the removal criterion can be restated as:

- Remove $t$ if at least as many of its *associates* in $\mathcal{D}$ would be classified correctly without $\mathcal{D}$.

DROP3 uses a noise-filtering pass first. This is done using a rule similar to the ENN: Any instance misclassified by its $k$ nearest neighbors is removed. This allows points internal to clusters to be removed early in the process, even if there were noisy points nearby.

DROP4 is identical to DROP3 except that instead of blindly applying ENN, the noise-filtering pass removes each instance only if it is (1) misclassified by its $k$ nearest neighbors, and (2) it does not hurt the classification of other instances.

### 2.2. *Incremental Instance-Based Learning Algorithms*

Aha et al. (Ref. 4, 5) proposed a series of Instance-Based Learning algorithms: IB1 through IB5. IB1 is just simple 1-NN algorithm and is used as a benchmark.

#### 2.2.1. *IB2*

IB2 is very similar to Hart's CNN rule, except that IB2 does not first pick one instance from each class to add to $\mathcal{S}$. It begins with an empty $\mathcal{S}$, and each instance in $\mathcal{D}$ is added to $\mathcal{S}$ if it is not classified correctly by the instances already in $\mathcal{S}$. This algorithms also retains the border instance and removes the central points. Like the CNN algorithm, IB2 is very sensitive to noisy instance.

#### 2.2.2. *IB3*

The IB3 algorithm (Ref. 4, 5) tries to solve the IB2's problem of keeping noisy instances by retaining only *acceptable* instances. The algorithm proceeds as follows (Ref. 10),

(1) For each instance $t \in \mathcal{D}$,
(2) Let $a$ be the nearest acceptable instance in $\mathcal{S}$ to $t$. If there are no acceptable instances in $\mathcal{S}$, $a$ is a random instance in $\mathcal{S}$.
(3) If $class(a) \neq class(t)$, add $t$ to $\mathcal{S}$.
(4) For each instance $d \in \mathcal{S}$,
(5) If $d$ is at least as close to $t$ as $a$ is, then update the classification record of $d$ and remove $d$ from $\mathcal{S}$ if its classification record is significantly poor.
(6) Remove all non-acceptable instances from $\mathcal{S}$.

An instance is *acceptable* if the lower bound on its accuracy is significantly higher at a 90 % confidence level than the upper bound on the frequency of its class. Similarly, an instance is dropped from $\mathcal{S}$ if the upper bound on its accuracy is significantly lower at a 70 % confidence level than the lower bound on the frequency of its class. Other instances are retained in $\mathcal{S}$ during training, and then dropped at the end if they do not prove to be acceptable.

The formula for the upper and lower bounds of the confidence interval is :

$$\frac{p + z^2/2n \pm z\sqrt{\frac{p(1-p)}{n} + \frac{z^2}{2n^2}}}{1 + z^2/n} \tag{1}$$

where for the *accuracy* of an instance in $\mathcal{S}$, $n$ is the number of classification attempts since introduction of the instance to $\mathcal{S}$, $p$ is the accuracy of such attempts, and $z$ is the confidence (0.9 for acceptance, 0.7 for dropping). For the frequency of a class, $p$ is the frequency, $n$ is the number of previously processed instances, and $z$ is the confidence (0.9 for acceptance, 0.7 for dropping).

IB3 reduces the sensitivity to noisy instances seen in IB2, and achieves higher accuracy as well as greater reduction of instances than IB2.

#### 2.2.3. *IB4 and IB5*

The IB4 and IB5 (Ref. 5) algorithms are to address the irrelevant attributes and to handle the addition of new attributes to the problem after training has already begun respectively, and they are all extensions of IB3.

### 2.3. *Batch Instance-Based Learning Algorithms*

The *All* $k$-NN algorithm is an example of the *batch* learning algorithm. Here we also view Encoding Length and Explore algorithms (Ref. 21) as the *batch* algorithms even though they do not perform a strict batch search.

#### 2.3.1. *All k-NN*

Tomek (Ref. 13) extended the ENN to his *All* $k$-$NN$ method of editing. Starting from $\mathcal{S} = \mathcal{D}$, this algorithm works as follows: for $i = 1$ to $k$, flag any instance as bad if it is not classified correctly by its $i$ nearest neighbors. After completing the loop for all the instances, remove any instances from $\mathcal{S}$ which are flagged as bad. In his experiments, the *All* $k$-$NN$ algorithm resulted in higher accuracy than that of ENN and RENN. This algorithm also retains the internal instances thus limiting the amount of reduction it can produce.

#### 2.3.2. *Encoding Length*

Cameron-Jones proposed an *Encoding Length Heuristic* (Ref. 21) to evaluate how good the subset $\mathcal{S}$ represents $\mathcal{D}$. The basic algorithm starts with a growing phase followed by a pruning phase. In the growing phase $\mathcal{S}$ begins with an empty subset, and each instance in $\mathcal{D}$ is added to it if that results in a lower cost than not adding it. After all instances in $\mathcal{D}$ are presented once, the pruning phase starts. Each instance in $\mathcal{S}$ is removed if doing so will lower the cost function. By adopting the terminology of Wilson (Ref. 10) we call this algorithm the *Encoding Length Growing* (ElGrow) method.

#### 2.3.3. *Explore*

The *Explore* method (Ref. 21), also developed by Cameron-Jones, begins by growing and pruning $\mathcal{S}$ using the ELGrow method, and then performs 1000 mutations to improve the classifier. Each mutation tries to adding an instance to $\mathcal{S}$, removing one from $\mathcal{S}$ or swapping one in $\mathcal{S}$ with one in $\mathcal{D}$-$\mathcal{S}$, and retains these changes if they do not increase the cost function. For the details of these two algorithms, such as the definition of the cost function, refer to (Ref. 21, 10).

## 3. A Weighted Distance Measure

In this section, a distance measure is introduced which can suppress random or useless features in the input vector. Training data sometimes contains inputs, which

are either useless or random. When the standard Euclidean distance is used in clustering such data during NNC training, this can lead to many more prototypes than is necessary. A variety of distance functions have been developed for continuously-valued attributes, including the Minkowsky (Ref. 22), the Context-Similarity measure (Ref. 23), the optimal distance measure (Ref. 24) and others. Although there are many distance measure have been proposed, among them the most commonly used is the Euclidean distance measure. To handle the applications with linear or nominal attributes, *overlap* metric (Ref. 4), the Value Difference Metric (Ref. 25) or the HVDM (Ref. 10) can be used.

Consider a training set $\mathcal{D} = \{\mathbf{x}_p, i_p\}_{p=1}^{N_v}$ for NNC design, where for the $p$th instance, $\mathbf{x}_p \in \mathbf{R}^N$ and $i_p$ is the integer class label associated with $\mathbf{x}_p$. $N_v$ is the total number of instances. Here we develop a weighted distance measure directly based on the available data with continuous attributes in the form

$$d(\mathbf{x}_p, \mathbf{m}_k) = \sum_{j=1}^{N} w(j)[x_p(j) - m_k(j)]^2 \tag{2}$$

where $\mathbf{m}_k$ is the $k$th prototype generated by SOM. We first design a simple classifier such as the functional link network (FLN) by minimizing

$$E = \frac{1}{N_v} \sum_{i=1}^{N_c} \sum_{p=1}^{N_v} (t_p(i) - t'_p(i))^2 \tag{3}$$

where $N_c$ is the number of classes, $t_p(i)$ denotes the $i$th desired output for the $p$th input vector $\mathbf{x}_p$, $t'_p(i)$ denotes the $i$th observed output for $\mathbf{x}_p$. And

$$t_p(i) = \begin{cases} 1\,, & i = i_p \\ 0\,, & i \neq i_p \end{cases} \tag{4}$$

The $i$th output of the classifier for $\mathbf{x}_p$ can be written as

$$t'_p(i) = \sum_{j=1}^{N_u} w_o(i,j) X_p(j) \tag{5}$$

where $w_o(i,j)$ denotes the weight connecting the $j$th unit to the $i$th output unit. $X_p(j)$ denotes the $j$th basis function for the $p$th pattern. In an FLN, $X_p(j)$ often represents a multinomial combination of $N$ elements of $\mathbf{x}_p$, and $N_u$ is the number of basis functions. The following theorem provides the basis for determining useful distance measure weights from training data.

**Theorem 3.1.** For a given training set $\mathcal{D}$, convert $i_p$ to $t_p(i)$ using (4), and use vector $\mathbf{t}(\mathbf{x})$ to denote the desired output. Let $\hat{\mathbf{t}}(\mathbf{x})$ denote the minimum mean-square error (MMSE) estimate of the desired output vector $\mathbf{t}(\mathbf{x})$. Assume that $x(j)$, the $j$th element of input vector $\mathbf{x}$, is statistically independent of $\mathbf{t}(\mathbf{x})$ and the other elements of the input vector. Then the derivative of $\hat{\mathbf{t}}(\mathbf{x})$ with respect to $x(j)$ is zero for all $\mathbf{x}$.

**Proof.** The MMSE estimate of $\mathbf{t}(\mathbf{x})$ is

$$\hat{\mathbf{t}}(\mathbf{x}) = \mathbf{E}[\mathbf{t}|\mathbf{x}] = \int_{-\infty}^{\infty} \mathbf{t}\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x})d\mathbf{t} \tag{6}$$

where $\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x})$ denotes the joint probability density of the desired output vector $\mathbf{t}$ conditioned on $\mathbf{x}$. Using Bayes law,

$$\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x}) = \frac{\mathbf{f}_{\mathbf{t},\mathbf{x}}(\mathbf{t},\mathbf{x})}{\mathbf{f}_{\mathbf{x}}(\mathbf{x})} \tag{7}$$

Letting $\mathbf{x}'$ denote $\mathbf{x}$ without the element $x(j)$,

$$\begin{aligned}
\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x}) &= \frac{\mathbf{f}_{\mathbf{t},\mathbf{x}'}(\mathbf{t},\mathbf{x}')f_{x(j)}(x(j))}{\mathbf{f}_{\mathbf{x}'}(\mathbf{x}')f_{x(j)}(x(j))} \\
&= \frac{\mathbf{f}_{\mathbf{t},\mathbf{x}'}(\mathbf{t},\mathbf{x}')}{\mathbf{f}_{\mathbf{x}'}(\mathbf{x}')} \\
&= \frac{\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x}')\mathbf{f}_{\mathbf{x}'}(\mathbf{x}')}{\mathbf{f}_{\mathbf{x}'}(\mathbf{x}')} = \mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x}')
\end{aligned}$$

Now the derivative of $\hat{\mathbf{t}}(\mathbf{x})$ with respect to $x(j)$ is

$$\begin{aligned}
\frac{\partial\hat{\mathbf{t}}(\mathbf{x})}{\partial x(j)} &= \int_{-\infty}^{\infty} \frac{\partial}{\partial x(j)}[\mathbf{t}\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x})]d\mathbf{t} \\
&= \int_{-\infty}^{\infty} \frac{\partial}{\partial x(j)}[\mathbf{t}\mathbf{f}_{\mathbf{t}}(\mathbf{t}|\mathbf{x}')]d\mathbf{t} \\
&= \mathbf{0}
\end{aligned}$$

We complete the proof. □

**Corollary**. Given the assumptions of **Theorem** 3.1,

$$\mathbf{E}\left[\left|\left|\frac{\partial\hat{\mathbf{t}}(\mathbf{x})}{\partial x(j)}\right|\right|\right] = \mathbf{0} \tag{8}$$

where $||\cdot||$ denotes the $\mathbf{L}_1$ norm.

Now we train a functional link network network, whose output for the $p$th pattern is denoted by $\hat{\mathbf{t}}_p$. The corollary above then implies that $u(j) \simeq 0$ where

$$u(j) = \frac{1}{N_v}\sum_{p=1}^{N_v}\sum_{i=1}^{N_c}\left|\frac{\partial\hat{t}_p(i)}{\partial x_p(j)}\right|. \tag{9}$$

As a heuristic, the distance measure's weights are determined as

$$w(j) = \frac{u(j)}{\sum_{n=1}^{N} u(n)}. \tag{10}$$

$u(j)$, which represents the importance of $x(j)$ to the network outputs, is normalized to yield $w(j)$, which is used in (2) when calculating a distance.

## 4. NNC Pruning Algorithm

In this section, we describe the LVQPRU algorithm. First a list of the algorithm steps is presented, and then explanations for those steps are given.

### 4.1. *Algorithm Outline*

Suppose a testing data set with the same format as that of the training data set is available. Otherwise, the training data set could be divided to two parts for training and testing. The pruning algorithm is described as follows,

(1) Let $N_{pc}$ be the number of prototypes per class, make $N_{pc}$ sufficiently large
(2) Randomly initialize these $N_{tc} = N_{pc} \cdot N_c$ prototypes, and train a separate SOM network with $N_{pc}$ prototypes for each class in the training data set. Denote the number of instances closest to the $k$th prototype as $N_v(k)$, where $1 \leq k \leq N_{tc}$
(3) Delete the $k$th prototype if it does not contain any members (empty prototypes), i.e., $N_v(k) = 0$, and decrease the total number of prototypes $N_{tc}$ by 1
(4) Change the class label of a prototype if it disagrees with the plurality of the instances closest to it
(5) Use LVQ2.1 to refine the locations of the prototypes
(6) Apply the basic condensing algorithm to the remaining prototypes to remove the internal ones
(7) Prune the prototype whose removal causes the least increase in classification error, and set $N_{tc} = N_{tc} - 1$
(8) Use LVQ2.1 to fine-tune the locations of the remaining prototypes
(9) Apply the trained network to the testing data set to obtain the testing error
(10) If $N_{tc} > N_c$ go back to (7). Otherwise if $N_{tc} = N_c$, identify the network with the minimum testing error and stop.

The network corresponding the minimum testing error is the final NNC classifier. In steps (5) and (8), we stop LVQ if it has run a predefined number of iterations (e.g, 10 in this paper) or if the classification error for the training data set increases, whichever comes first. If the testing error increases at the very beginning and never decreases, it probably means that the initial number of prototypes $N_{tc}$ is not large enough. We then increase this number and rerun the algorithm.

### 4.2. *Algorithm Details*

In the section we present the details for each step in the algorithm and give some discussions.

#### 4.2.1. *Choosing the Number of Initial Prototypes*

In the first step of the algorithm, determining the exact number of prototypes required for each class to accurately represent the given data is a very difficult

model selection procedure, and there is no widely accepted method for doing this. Even though many researchers, for example Yager and Stephen (Ref. 26, 27), have proposed such methods, the user still needs to choose some parameters to initialize the algorithms.

It is well known that for a given finite set of training data, the training error can eventually go to zero if we keep increasing the number of prototypes. However, according to (Ref. 28, 29), this "overtraining" or "memorization" phenomenon decreases the generalization capability of a learning machine. In our algorithm, instead of giving control parameters before training, we choose the final number of prototypes based on the testing result. The basic idea is based on the *structural risk minimization* (Ref. 30, 31, 32).

Let the training error and testing error be denoted by $E_{tra}(\mathbf{m})$ and $E_{tst}(\mathbf{m})$, where $\mathbf{m}$ is the set of prototypes for the classifier $\mathbf{y} = F(\mathbf{x}, \mathbf{m})$. Let $h$ denote the complexity of the classifier, which is proportional to the number of the prototypes in the network. We may state with probability $1 - \alpha$ that, for a number of training instances $N_v > h$, the testing error is upper bounded by (Ref. 30, 31, 32, 33)

$$E_{tst}(\mathbf{m}) \leq E_{tra}(\mathbf{m}) + \varepsilon_1(N_v, h, \alpha, E_{tra}(\mathbf{m})) \tag{11}$$

where the confidence interval $\varepsilon_1(N, h, E_{tra}(\mathbf{m}))$ is defined by

$$\varepsilon_1(N_v, h, \alpha, E_{tra}(\mathbf{m})) = 2\varepsilon_0^2(N_v, h, \alpha)\left(1 + \sqrt{1 + \frac{E_{tra}(\mathbf{m})}{\varepsilon_0^2(N_v, h, \alpha)}}\right) \tag{12}$$

and

$$\varepsilon_0(N_v, h, \alpha) = \sqrt{\frac{h}{N_v}\left[log(\frac{2N_v}{h}) + 1\right] - \frac{1}{N_v}log\alpha} \tag{13}$$

For a fixed number of training examples $N_v$, the training error decreases monotonically as the capacity or complexity $h$ is increased, whereas the confidence interval increases monotonically. Accordingly, the testing error or generalization error goes through a minimum. The challenge in solving a supervised learning problem is therefore to realize the best generalization performance by matching the network capacity to the available amount of training data for the problem at hand.

Consider an ensemble of classifiers $\{F(\mathbf{x}, \mathbf{m})\}$, and define a nested structure of $n_s$ such classifiers

$$\mathcal{F}_k = \{F(\mathbf{x}, \mathbf{m})\}_k, k = 1, 2, 3..., n_s \tag{14}$$

such that we have

$$\mathcal{F}_1 \subset \mathcal{F}_2 \subset \mathcal{F}_3 \ldots \subset \mathcal{F}_n \tag{15}$$

Correspondingly, the complexity of the classifier satisfies the condition

$$h_1 \leq h_2 \leq h_3 \ldots \leq h_n. \tag{16}$$

Therefore, the *structural risk minimization* may proceed as follows,

- The training error for each classifier is minimized to obtain $\mathbf{m}$.
- The classifier $\mathcal{F}^*$ with the smallest testing error is identified, which provides the best compromise between the training error and the confidence interval.

Our goal here is to find a classifier such that the testing error reaches its minimum. The principle of *structural risk minimization* may be implemented in a variety of ways, and in this paper we use a pruning algorithm. The number of prototypes corresponding the minimum of the test error is chosen as the final model (classifier) for the given data set such that it satisfy the *structural risk minimization* principle. The initial number of prototypes should be a number that is greater than the final one.

#### 4.2.2. *Training Initial SOM Network for the Data*

Given $N_{pc}$ prototypes for each class, we then train a separate SOM network for each class in step (2). Due to the complexity of the data, there might be some prototypes that are not surrounded by data instances. These are called empty prototypes. Alternately, a prototype assigned to the $i$th class may have nearby data instances which belongs to the $j$th class. For the first case, these empty prototypes ($N_v(k) = 0$) are deleted in step (3). For the second case the category of the prototype needs to be changed as discussed in the following subsection.

#### 4.2.3. *Changing a Prototype's Category*

In order to change the categories of the prototypes in step (4), we count the members of each prototype. If a plurality of the members of a prototype belong to the $i$th class, for example, but the class category of that prototype initially is assigned as $j$, we change the category of the prototype from $j$ to $i$.

For a NNC, let $T_{jk}$ denote the number of instances from the $k$th class closest to the $j$th prototype. Also let $i_c(j)$ denote the class category of the $j$th prototype. The two-dimensional array containing $T_{jk}$ is generated by the following algorithm.

(1) Set $T_{jk} = 0$ for $1 \le j \le N_{tc}$, $1 \le k \le N_c$
(2) For $p = 1$ to $N_v$
  (a) Read $\mathbf{x}_p$ and $i_p$
  (b) Find $j$ such that $d(\mathbf{x}_p, \mathbf{m}_j)$ is minimized. Let $k$ denote the value of $i_p$
  (c) Accumulate patterns as $T_{jk} \leftarrow T_{jk} + 1$
(3) For $j = 1$ to $N_{tc}$
  (a) Find $k'$ that maximizes $T_{jk'}$
  (b) If $i_c(j) = k'$, go to 2. Otherwise change $i_c(j)$ to $k'$
(4) Stop.

4.2.4. *Pruning Prototypes Based on Classification Error*

The goal here is to develop an algorithm to eliminate the least useful prototypes for step (7). Let $k$ be the index of a candidate prototype to be eliminated. Then $Err(k)$ is the number of misclassified data instances after prototype $k$ has been pruned.

(1) Set $Err(k) = 0, 1 \leq k \leq N_{tc}$
(2) For $p = 1$ to $N_v$
    (a) Identify two nearest prototypes (whose class category is $l$ and $m$ respectively) to input vector $\mathbf{x}_p$, and let $n$ denote the class label of $\mathbf{x}_p$
    (b) Accumulate errors as
        i. $Err(l) \leftarrow Err(l) + 1$, if $n = l, n \neq m$
        ii. $Err(l) \leftarrow Err(l)$, if $n = l = m$, or $n \neq l \neq m$
        iii. $Err(l) \leftarrow Err(l) - 1$, if $n \neq l$, $n = m$
(3) Now find the smallest $Err(k)$ as $Err(k_{min})$ and eliminate the $k_{min}$th prototype. Note that $Err(k_{min})$ can be negative sometimes.
(4) Stop.

After one prototype has been deleted, we use another epoch of LVQ2.1 to adjust the location of the remaining prototypes. Since LVQ is not guaranteed to be convergent, we stop it whenever the training error increases or it has run for a predefined number of iterations. This pruning process continues till there are $N_c$ prototypes remaining.

## 5. Examples

We study the performance of the proposed algorithm on three different data sets: uniformly distributed data, normally distributed data and data from the handwritten numeral recognition problem.

### 5.1. *Uniformly Distributed Data*

We first apply the proposed algorithm to the artificially constructed data set of Fig. 1, which contains 1000 instances. Here 400 belong to $C_1$ and 600 belong to $C_2$, and both inputs have a uniform distribution. A testing data set which contains 500 instances is also generated. We select the initial number of prototypes as $N_{pc} = 20$ for each class. The "small disks" in Fig. 2 represent prototypes initially generated by SOM, and the "diamonds" represent the pruned result. The 4 squares represent the situation when 4 prototypes remain. Those 4 prototypes form the decision boundary which is the dotted line in the figure. The solid line in the figure denotes the optimal decision boundary for this problem. For this data, the number of prototypes corresponding to the minimum of the testing error is not unique. Actually, a zero valued testing error can always be obtained if the number of prototypes is greater than or equal to 3. From the previous discussion of *structural risk minimization*, a simpler classifier is always preferred if it can give the same testing error as a bigger one, so

the number of prototypes finally chosen is 3. It is concluded from Fig. 2 that the proposed algorithm can find a good solution for this specific example, since the final prototypes form the optimal decision boundary and the testing error is zero. We notice that the performance will degrade a lot if we try to prune even one additional prototype. It is also observed that more prototypes for the data do not guarantee a better solution. In Fig. 2, the remaining 3 prototypes form the optimal decision boundary. However, the decision boundary (the dotted line) formed by the remaining 4 prototypes is not optimal even though the testing error is still zero. The final solution with 3 prototypes is always reached no matter what the number of data instances $N_v$ is, provided that $N_v$ is large enough. Therefore, in this example the storage percentage (number of remaining prototypes divided by $N_v$) can approach zero.

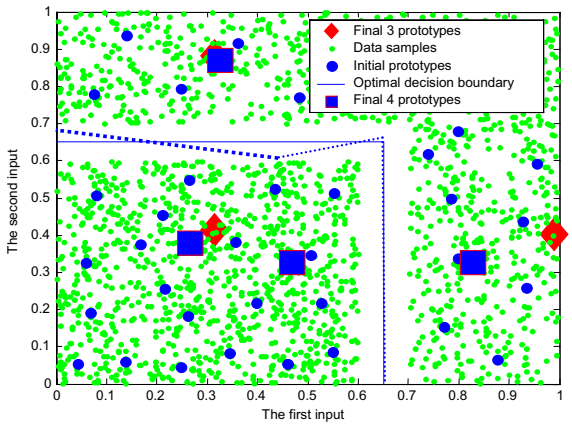


Fig. 2. The Design Result for Uniformly Distributed Data

### 5.2. *Normally Distributed Data*

The second experiment is performed on a normally distributed data set. As we illustrate in Fig. 3 (a), the data instances from both classes follow normal distributions but with different mean and variance. We denote the instances outside the circle as class $C_1$ and those inside the circle as class $C_2$. The probability density function for the $i$th class is

$$f_{x,y}(x, y|C_i) = \frac{1}{2\pi\sigma_i^2} exp\{-(\frac{(x - m_{x_i})^2}{2\sigma_i^2} + \frac{(y - m_{y_i})^2}{2\sigma_i^2})\} \tag{17}$$

where $i = 1, 2$, $m_{x_i}$, $m_{y_i}$ are the means for the $i$th class, and $\sigma_i$ is the standard deviation for the $i$th class. In this example, class $C_1$ has zero mean and $\sigma_1 = 0.5$, and the mean of class $C_2$ is $[m_{x_i}, m_{y_i}] = [2, 2]$ and $\sigma_2 = 1$. Each class contains 20000 instances, but only 4000 of them for each class are plotted in Fig. 3 (a) for clarity.

The optimal decision boundary calculated by Bayes decision rule for this example is

$$(x + \frac{2}{3})^2 + (y + \frac{2}{3})^2 = 4.48 \tag{18}$$

which is the circle plotted in Fig. 3. If a data instance is outside the circle, we decide it is from class $C_1$, otherwise it is from class $C_2$.

In this example we illustrate the pruning process in detail. The starting number of prototypes for each class is $N_{pc}$ 30. In Fig.3 (b) we plot the initial prototypes $N_{tc}$, which is equal to 60, generated by the SOM algorithm. After applying the condensing algorithm to the 60 initial prototypes there are only 6 of them left as shown in Fig. 3 (c). In Fig. 3 (c) we illustrate the pruning process when the total number of remaining prototypes $N_{tc}$ varies from 6 to 2. Fig. 3 (d) is the pruning process results (Ref. 34) in which the condensing algorithm was not used. The testing results corresponding to each network are listed in Table 1. The first row denotes the number of remaining prototypes, the second and the third rows represent the training and testing results (the values represent classification error in %) for the corresponding network respectively. The testing data contains the same number of instances as the training data but the two data sets have no patterns in common.
**Remarks**:

(1) The initial prototypes (Fig. 3 (b)) can approximately represent the probability distribution of the data. This agrees with the result of (Ref. 35).
(2) The basic condensing algorithm is applied directly to the initial prototypes without passing through the data. These prototypes work as a compressed version of the original data.
(3) The basic condensing algorithm is not perfect. Comparing Fig. 3 (b) with the first subgraph in Fig. 3 (c), the condensing algorithm does not delete all the internal prototypes but does remove some border prototypes, both of which are undesirable. These problems result from the fact that the basic condensing algorithm is sensitive to the data presentation order (Ref. 10). Better algorithms, such as IB3 or DROP4, could be used here.
(4) The final prototypes determined for the NNC classifier (with 5 prototypes) do not represent the probability distribution of the data. Instead, they approximate the optimal Bayes decision boundary. The number of prototypes needed for the final network is determined by the data itself.
(5) Fig. 3 (d) shows the pruning process without the condensing algorithm. The final network determined by the algorithm also has 5 prototypes with a testing error 2.42% (Ref.34) which is slightly better. This performance difference is due to drawbacks of the basic condensing algorithm, and it should be overcome if a better condensing algorithm is used. Note that the computation has been sped up significantly since the pruning process starts with only 6 prototypes.

Under certain conditions, a Multilayer perceptron (MLP) with sigmoid activation functions in the hidden layer can approximate a Bayes classifier (Ref. 36). We

run the back propagation (BP) algorithm (Ref. 37) in a three layer MLP for this normal data and compare it to the NNC classifier. Using the early stopping method (Ref. 38), we first determine the iteration number for a given number of hidden units and then increase the number of hidden units, the appropriate hidden units is chosen when the testing error starts to increase. The best testing performance for the MLP is observed when it has 3 hidden units with 180 training epochs. The best testing error percentage of the MLP is 2.42% for this data. Note that the theoretical Bayes error percentage for this data is 2.41%. Thus, if the data is normally distributed, both the designed NNC classifier and the MLP classifier can approach the optimal Bayes classifier. However, data is usually not normally distributed. The NNC classifier is often employed since it is not based on any model. We thus test the NNC classifier design on a real handwritten data set with features that are not normally distributed.

### 5.3. *Handwritten Numeral Data Set*

The raw data consists of images from handwritten numerals collected from 3,000 people by the Internal Revenue Service. We randomly chose 300 characters from

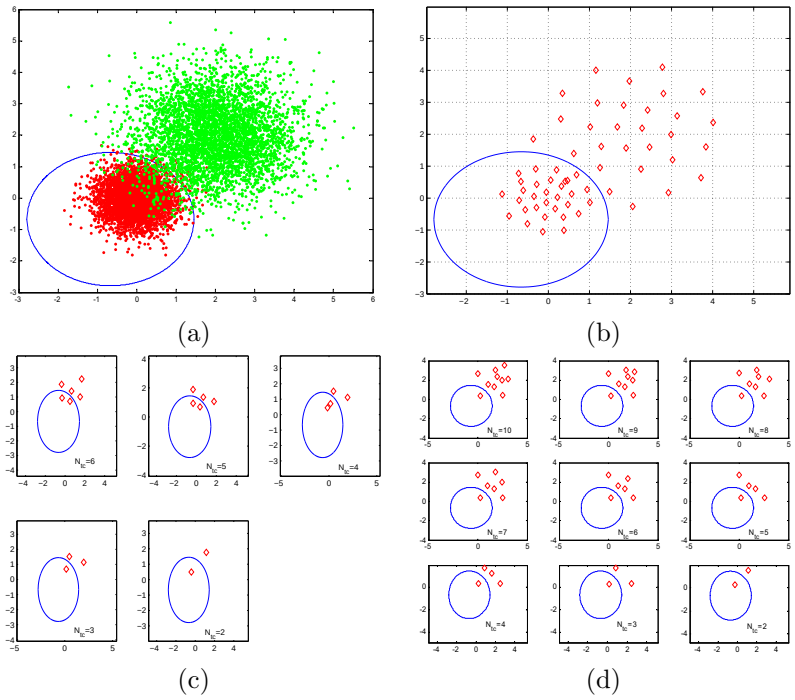


Fig. 3. Normal Distributed Data (a) The original data; (b) The initial 60 prototypes generated by the SOM; (c) The pruning process with condensing algorithm; (d) The pruning process without condensing algorithm.

Table 1. Training and Testing Error Percentage of normal distributed data for Various Networks $N_{tc}$.

| $N_{tc}$ | 2 | 3 | 4 | 5 | 6 |
|---|---|---|---|---|---|
| Training Error (%) | 2.97 | 2.53 | 2.53 | 2.48 | 2.54 |
| Testing Error (%) | 2.76 | 2.49 | 2.48 | 2.44 | 2.47 |

each class to generate training data with 3,000 characters (Ref. 39). Images are 32 by 24 binary matrices. An image-scaling algorithm is used to remove size variation in characters. The feature set contains 16 elements and the 10 classes correspond to the 10 Arabic numerals. Using the same method we generated a testing data set that contains 3000 instances.

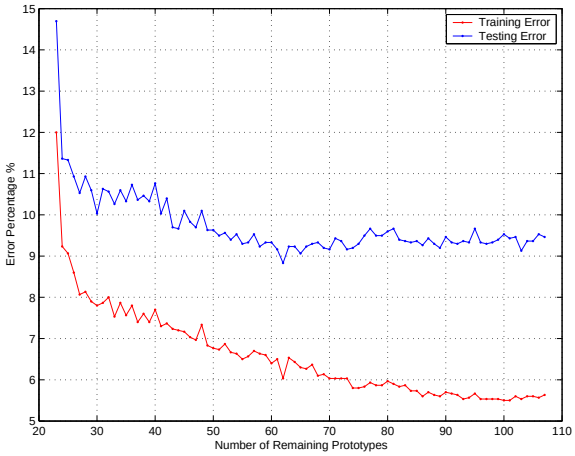


Fig. 4. Training and Testing Results for Handwritten Data

The initial number of prototypes is chosen to be 30 for each class so that the total initial number of prototypes is $N_{tc} = 300$. After deleting empty prototypes, 215 prototypes remain, and 107 of them are left after applying the basic condensing algorithm to the 215 prototypes. The training and testing results during the pruning process are plotted in Fig. 4. The best testing classification error of 8.83% is obtained when 62 prototypes remain. It is observed that if the number of prototypes increases the training error can decrease. However, the testing results become worse, which indicates that over training has occurred.

To illustrate the advantages of the proposed algorithm, we compare the designed network ($N_{tc} = 62$) to a directly designed network in which the pruning and condensing steps have been eliminated. The final designed network has 63 prototypes and the testing performance is 11.26% which is much worse than that of the pruned network (8.83%) even though they have almost the same number of prototypes.

An MLP classifier trained using the BP algorithm is also compared to the

LVQPRU algorithm. It is found that when the number of hidden units is 20 with 550 iterations of training, the MLP gets the best testing result for this data set. After training the MLP with 50 different sets of initial weights, the best testing result we get for this data is 9.87%. In the following section, the ten-fold cross-validation method is used to compare the proposed algorithm with some other Instance-Based algorithms that are reviewed in section 2.

## 6. Evaluation of The Algorithm

In this section, the ten-fold cross-validation technique is used to evaluate the proposed algorithm. The computational complexity is also discussed.

### 6.1. *Cross-Validation*

We test the proposed algorithm with many other instance-based algorithms on 13 data sets from the Machine Learning Database Repository at the University of California, Irvine (Ref. 40). Data sets that have missing values are not considered in this paper. The algorithms we compared include four groups as described by Wilson (Ref. 10): The first group consisting of algorithms which do not have high accuracy, include CNN, IB2 and DROP1. The second group of algorithms has similar noise-filtering properties, high accuracy, and use most of the instances. These include ENN, RENN and ALLKNN. The third group consists of two aggressive storage reduction algorithms: ELGrow and Explore. They can achieve reasonably good accuracy with only about 2% of the data. The 1-NN algorithm is also included in this group as a baseline. The final group consists of some advanced algorithms which have high accuracy and reasonably good storage reduction. These include IB3, DROP3 and DROP4.

All of the algorithms use $k$=1, and all except our LVQPRU algorithm use the HVDM distance measure (Ref. 10).

Ten-fold cross-validation followed by a paired-$t$ test was used for each experiment. In ten-fold cross validation, we first randomly divide the available data into 10 equal-sized parts. Each of the ten parts is held out as a test set, and each pruning technique is given a training set $\mathcal{D}$ consisting of the remaining nine parts, from which it returns a subset $\mathcal{S}$ (or a set of prototypes from LVQPRU). The held out set is classified using only the instances or prototypes in $\mathcal{S}$. The training and testing procedure are repeated 10 times using a different one of the 10 parts as the test set. The average testing accuracy over the 10 runs is reported for each algorithm on each data set in tables 2 through 5. The average percentage of instances (or prototypes) in $\mathcal{D}$ that were included in the $\mathcal{S}$ is also reported in the tables. The average accuracy and storage percentage for each method over all of the 13 data sets is shown in **bold** at the bottom of the tables.

The **bold** values in each row are the highest accuracy or the lowest storage percentage for each data set obtained by the algorithm(s). A paired $t$-test is performed between the highest accuracy and each of the other accuracy values. If they are not

Table 2. Comparison between LVQPRU and some historical algorithms.

| Database | CNN (Acc.) | SP (%) | IB2 (Acc.) | SP (%) | DROP1 (Acc.) | SP (%) | LVQPRU (Acc.) | SP (%) |
|---|---|---|---|---|---|---|---|---|
| Australian | 73.04 | 25.23 | 72.17 | 25.46 | *82.32* | 8.81 | **85.12** | **1.60** |
| Glass | *70.95* | 37.96 | **71.90** | 38.16 | *65.02* | 21.39 | *62.16* | **6.39** |
| Heart | 74.07 | 27.74 | 74.07 | 27.74 | 75.19 | 12.76 | **85.41** | **2.61** |
| Image segment | *91.43* | 15.66 | *91.91* | 15.29 | 86.91 | 8.41 | **92.17** | **4.93** |
| Ionosphere | 81.20 | 23.04 | 81.20 | 23.04 | 84.04 | 6.36 | **94.70** | **4.27** |
| Iris | 91.33 | 12.44 | 91.33 | 12.44 | 78.00 | 8.67 | **97.91** | **2.45** |
| Liver-bupa | 60.34 | 40.26 | 60.34 | 40.26 | 63.66 | 20.26 | **78.40** | **7.62** |
| Led-creator | 63.50 | 36.11 | 64.30 | 36.11 | 71.90 | 10.04 | **75.48** | **2.14** |
| Pima-indians | 64.58 | 34.13 | 64.58 | 34.13 | 71.35 | 16.32 | **78.68** | **1.82** |
| Vehicle | 64.66 | 38.69 | 64.66 | 38.69 | 63.35 | 16.52 | **77.55** | **4.58** |
| Vowel | **94.70** | 22.73 | **94.70** | 22.73 | 90.34 | 30.37 | *94.52* | **17.64** |
| Wine | 92.71 | 14.98 | 92.71 | 14.98 | 88.17 | 5.43 | **98.40** | **3.62** |
| Zoo | **98.89** | 10.13 | **98.89** | 10.13 | 93.33 | 17.41 | *96.91* | **9.03** |
| **Average** | **78.57** | **26.08** | **78.67** | **26.09** | **77.97** | **14.06** | **85.95** | **5.28** |

*Note*: In this table and thereafter, 'Acc.' means the average classification accuracy in percent of the testing data for the ten runs. 'SP' denotes the average storage percentage for the ten runs, which is the ratio in percentage of the number of instances (or prototypes) in $\mathcal{D}$ that were included in $\mathcal{S}$.

significantly different at a 90% confidence level, the tested accuracy value is showed in italics. The paired $t$-test is also performed between the lowest storage percentage and the others for each data set. If they are not significantly different at a 90% confidence level, the tested storage percentage is shown in italics.

It is observed in table 2 that LVQPRU has the highest accuracy for ten of the thirteen data sets. It also results in the greatest data reduction, keeping only 5.28% of the original data, to get an average accuracy of 85.95%. This represents a gain of 7% over other three of the first group of algorithms. The DROP1 algorithm also has a good data reduction ratio and retains an average of 14.06% of the data instances.

The second group of algorithms has high accuracy but also kept most of the instances. In Table 3, for example ALLKNN has the highest accuracy for three data sets but all the three noise filtering algorithms retain over 80% of the data instances. LVQPRU again has a higher accuracy for 9 data sets while only keeping 5.28% of the original data. The accuracies of this group of algorithms are much higher than those in the first group of algorithms.

Table 4 lists the comparison results between LVQPRN and the third group of algorithms. The basic 1-NN algorithm in table 4 keeps all the data instances for classifying a data instance. Both ELGrow and Explore achieved greater data reduction than LVQPRU, keeping a little more than 2% of the data instances. However, their accuracies are somewhat poor. In contrast, LVQPRU keeps about 5% of the data, but a much higher average accuracy has been achieved. The performance of LVQPRU is even better than that of 1-NN which retains all the instances. This occurs because LVQPRU has removed noisy instances and the remaining prototypes have been optimized so that smoother and more accurate decision boundaries are

Table 3. Comparison between LVQPRU and three similar noise-filtering algorithms.

| Database | ENN (Acc.) | SP (%) | RENN (Acc.) | SP (%) | ALLKNN (Acc.) | SP (%) | LVQPRU (Acc.) | SP (%) |
|---|---|---|---|---|---|---|---|---|
| Australian | *85.51* | 85.06 | *85.08* | 84.27 | **85.65** | 81.22 | *85.12* | **1.60** |
| Glass | *70.61* | 71.03 | *70.61* | 69.94 | **71.02** | 69.52 | *62.16* | **6.39** |
| Heart | 80.00 | 81.56 | 80.00 | 80.70 | 80.74 | 76.83 | **85.41** | **2.61** |
| Image segment | **92.62** | 92.64 | *92.38* | 92.56 | *91.67* | 92.51 | *92.17* | **4.93** |
| Ionosphere | 85.18 | 86.39 | 84.90 | 84.71 | 84.90 | 86.48 | **94.70** | **4.27** |
| Iris | *96.00* | 94.44 | *96.00* | 94.37 | *96.00* | 94.44 | **97.91** | **2.45** |
| lliver-bupa | 62.91 | 67.34 | 64.34 | 64.99 | 63.17 | 62.32 | **78.40** | **7.62** |
| Led-creator | *73.20* | 74.83 | *73.20* | 74.83 | *73.60* | 72.68 | **75.48** | **2.14** |
| Pima-indians | 73.31 | 74.51 | 73.44 | 73.61 | 72.79 | 70.30 | **78.68** | **1.82** |
| Vehicle | 68.67 | 74.56 | 68.44 | 72.97 | 68.80 | 69.98 | **77.55** | **4.58** |
| Vowel | **98.29** | 99.03 | **98.29** | 99.03 | **98.29** | 99.01 | 94.52 | **17.64** |
| Wine | 94.35 | 95.32 | 94.35 | 95.32 | 94.35 | 95.32 | **98.40** | **3.62** |
| Zoo | *95.56* | 98.52 | *95.56* | 98.52 | *95.56* | 98.52 | **96.91** | **9.03** |
| **Average** | **82.78** | **84.25** | **82.81** | **83.53** | **82.81** | **82.24** | **85.95** | **5.28** |

Table 4. Comparison between LVQPRU and two *Encoding Length* algorithms.

| Database | 1-NN (Acc.) | SP (%) | ELGrow (Acc.) | SP (%) | Explore (Acc.) | SP (%) | LVQPRU (Acc.) | SP (%) |
|---|---|---|---|---|---|---|---|---|
| Australian | 81.45 | 100.00 | *83.19* | *0.35* | **85.51** | **0.34** | *85.12* | 1.60 |
| Glass | **72.36** | 100.00 | 63.12 | **3.17** | *67.34* | 4.57 | 62.16 | 6.39 |
| Heart | 78.52 | 100.00 | 77.78 | **0.82** | *84.45* | 0.82 | **85.41** | 2.61 |
| Image segment | **92.86** | 100.00 | *90.00* | **2.36** | *90.95* | 2.49 | *92.17* | 4.93 |
| Ionosphere | 86.32 | 100.00 | 77.49 | **0.92** | 80.34 | 1.01 | **94.70** | 4.27 |
| Iris | *94.67* | 100.00 | 90.00 | 3.18 | *96.00* | *2.52* | **97.91** | **2.45** |
| Liver-bupa | 62.91 | 100.00 | 62.79 | **0.84** | 59.06 | 1.00 | **78.40** | 7.62 |
| Led-creator | *73.40* | 100.00 | *73.00* | **1.18** | 72.30 | *1.23* | **75.48** | 2.14 |
| Pima-indians | 71.09 | 100.00 | 73.45 | *0.42* | 76.05 | **0.39** | **78.68** | 1.82 |
| Vehicle | 70.93 | 100.00 | 61.69 | **2.09** | 62.29 | 2.55 | **77.55** | 4.58 |
| Vowel | **99.24** | 100.00 | 56.83 | **6.69** | 70.09 | 9.21 | 94.52 | 17.64 |
| Wine | 95.46 | 100.00 | 91.57 | **2.00** | *96.57* | 2.25 | **98.40** | 3.62 |
| Zoo | **98.89** | 100.00 | *94.44* | **7.90** | *95.56* | 8.39 | *96.91* | 9.03 |
| **Average** | **82.93** | **100.00** | **76.57** | **2.45** | **79.73** | **2.83** | **85.95** | **5.28** |

obtained.

Similar observations are obtained in Table 5, in which the comparison results between LVQPRU and the fourth group of algorithms are listed. LVQPRUN wins the accuracy competition 8 times and all the storage reduction comparisons. Among all the algorithms, LVQPRU has the highest average accuracy of 85.95%, and the second highest average accuracy of 82.93% is obtained by the basic 1-NN algorithm. For storage reduction, LVQPRU ranks third. However, it still only keeps about 5% of the data which is much less than the other algorithms except for ELGrow and Explore.

Though the distance measure is devised for continuous attributes, it also works for nominal attributes found in some of the data sets.

Table 5. Comparison between LVQPRU and three advanced algorithms.

| Database | IB3 (Acc.) | SP (%) | DROP3 (Acc.) | SP (%) | DROP4 (Acc.) | SP (%) | LVQPRU (Acc.) | SP (%) |
|---|---|---|---|---|---|---|---|---|
| Australian | 84.35 | 6.25 | **86.24** | 6.88 | *85.07* | 8.34 | *85.12* | **1.60** |
| Glass | *67.27* | 31.93 | **67.31** | 19.99 | *65.91* | 22.12 | *62.16* | **6.39** |
| Heart | 75.93 | 11.44 | 76.67 | 11.89 | 78.52 | 14.32 | **85.41** | **2.61** |
| Image segment | *90.00* | 14.92 | **93.10** | 8.07 | *92.86* | 9.60 | *92.17* | **4.93** |
| Ionosphere | 88.89 | 14.24 | 86.03 | 7.03 | 89.45 | 8.77 | **94.70** | **4.27** |
| Iris | 92.66 | 12.07 | 94.00 | 10.30 | 94.00 | 10.59 | **97.91** | **2.45** |
| Liver-bupa | 54.13 | 15.27 | 59.96 | 24.09 | 59.96 | 27.47 | **78.40** | **7.62** |
| Led-creator | *71.90* | 24.51 | *73.60* | 8.94 | *73.90* | 9.01 | **75.48** | **2.14** |
| Pima-indians | 68.48 | 13.11 | 72.00 | 15.13 | 72.52 | 17.84 | **78.68** | **1.82** |
| Vehicle | 66.21 | 29.42 | 69.03 | 19.88 | 68.93 | 21.37 | **77.55** | **4.58** |
| Vowel | 94.89 | 23.65 | **96.78** | 32.49 | 96.78 | 32.49 | 94.52 | **17.64** |
| Wine | 93.79 | 13.49 | 94.97 | 11.11 | 94.97 | 11.11 | **98.40** | **3.62** |
| Zoo | **98.89** | 17.78 | 93.33 | 19.38 | 93.33 | 19.38 | *96.91* | **9.03** |
| **Average** | **80.57** | **17.54** | **81.77** | **15.01** | **82.02** | **16.34** | **85.95** | **5.28** |

### 6.2. *Complexity of the Algorithm*

The training speed of the algorithm is another issue that needs to be considered. A reasonable (e.g., $O(N_v^2)$ or faster, where $N_v$ is the size of $\mathcal{D}$) time bound is desirable (Ref. 10).

The computational complexity of LVQPRU is not fixed for different data sets. Let the final size of $\mathcal{S}$ be $m$. Suppose we start the pruning with a size of $\mathcal{S} = 1.5m$, and the average number of runs of LVQ during each pruning iteration is 5 (observed for most cases during the experiments). The algorithm passes through the data $1.5m \cdot 5 = 7.5m$ times. In each pass it computes the distances between the prototypes and each data instance instead of computing the distances among instances, thus saving a lot of computation. Totaly this algorithm needs to compute about $7.5m \cdot 1.5m \cdot N_v = 11.25m^2 \cdot N_v$ distances and therefore it takes approximately $O(m^2 \cdot N_v)$ time. Based on the simulation results listed in Table 2 through 5, the average size for $m$ is about 5% of $N_v$ so that the complexity of the algorithm is reasonable. The above estimates do not consider the condensing algorithm in LVQPRU which also saves computation.

For a very large data base, LVQPRU can be sped up. For example, the original data could be replaced by SOM prototypes before LVQPRU is applied.

## 7. Conclusions

In this paper, we have proposed the PVQPRU pruning algorithm for NNC prototypes. The pruning process is error based, and the LVQ2.1 algorithm is utilized for fine-tuning the remaining prototypes. LVQPRU is sped up using the basic condensing algorithm. Cross-validation was performed for the proposed algorithm and 12 other instance-based algorithms over 13 data sets. It is shown that LVQPRU obtained the highest average accuracy, and also reduced the data set by about 95%.

## Appendix A. Review of LVQ2.1

Consider a training set $\mathcal{D}$, assume that there are $N_{tc}$ prototypes $\mathbf{m}_k$ that have been generated based on these $N_v$ instances, where $1 \leq k \leq N_{tc}$. Each prototype is assigned a class category according the plurality vote of its members. LVQ2.1 corrects the locations of these NNC prototypes as follows: For $p = 1$ to $N_v$

(1) Identify two nearest prototypes $\mathbf{m}_i$ and $\mathbf{m}_j$ to $\mathbf{x}_p$. The distance is defined as $d_k = d(\mathbf{x}_p, \mathbf{m}_k) = ||\mathbf{x}_p - \mathbf{m}_k||$, where any norm may be used. Assume the two nearest distances to $\mathbf{x}_p$ are $d_i$ and $d_j$ respectively.
(2) If the class categories of $\mathbf{m}_i$ and $\mathbf{m}_j$ are different and one of them has the same category as $\mathbf{x}_p$, test the inequality

$$\min(\frac{d_i}{d_j}, \frac{d_j}{d_i}) > 1 - \epsilon, \tag{A.1}$$

where $\epsilon$ is the "width" of the window, usually taken to be 0.35 (Ref. 20). Go to step 3 if this inequality is satisfied. Otherwise go to step 1.
(3) If the class category of $\mathbf{m}_i$ is the same as that of $\mathbf{x}_p$ then update $\mathbf{m}_i$ and $\mathbf{m}_j$ as follows

$$\mathbf{m}_i \leftarrow \mathbf{m}_i + \alpha(\mathbf{x}_p - \mathbf{m}_i) \tag{A.2}$$

$$\mathbf{m}_j \leftarrow \mathbf{m}_j - \alpha(\mathbf{x}_p - \mathbf{m}_j) \tag{A.3}$$

where $0 < \alpha < 1$ and $\alpha$ decrease monotonically from a starting value such as 0.1. Then go to step1.

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