Weka[24] Apriori 源代码分析

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曾经卖过一个 Apriori 的程序,那个程序大约有 50%的正确率(当然结果是正确的,是只实现上很不一样),数据挖掘课上写了一个 Apriori,一部分懒地按书上的算法,大约对了 80% (当然结果仍然是正确的),记得邱强有一次要用 Apriori 算法时说: weka 的太慢了,还好上次数据挖掘课实现了一下,还挺快的,注意的一点是关联规则不属于机器学习,这里我不想再分出来一个数据挖掘的组了。

从 buildAssociations 函数开始:

```
double[] confidences, supports;
int[] indices;
FastVector[] sortedRuleSet;
int necSupport = 0;
instances = new Instances(instances);

if (m removeMissingCols) {
   instances = removeMissingColumns(instances);
}
```

看一下 removeMissingColumns,虽然它是如此的不重要:

```
protected Instances removeMissingColumns(Instances instances)
       throws Exception {
   int numInstances = instances.numInstances();
   StringBuffer deleteString = new StringBuffer();
   int removeCount = 0;
   boolean first = true;
   int maxCount = 0;
   for (int i = 0; i < instances.numAttributes(); i++) {</pre>
       AttributeStats as = instances.attributeStats(i);
       if (m upperBoundMinSupport == 1.0 && maxCount != numInstances) {
          // see if we can decrease this by looking for the most frequent
          // value
          int[] counts = as.nominalCounts;
          if (counts[Utils.maxIndex(counts)] > maxCount) {
              maxCount = counts[Utils.maxIndex(counts)];
       if (as.missingCount == numInstances) {
          if (first) {
              deleteString.append((i + 1));
              first = false;
           } else {
              deleteString.append("," + (i + 1));
          removeCount++;
   if (m verbose) {
       System.err.println("Removed : " + removeCount
              + " columns with all missing " + "values.");
```

```
if (m upperBoundMinSupport == 1.0 && maxCount != numInstances) {
   m upperBoundMinSupport = (double) maxCount
                                 / (double) numInstances;
   if (m verbose) {
       System.err.println("Setting upper bound min support to : "
              + m upperBoundMinSupport);
   }
}
if (deleteString.toString().length() > 0) {
   Remove af = new Remove();
   af.setAttributeIndices(deleteString.toString());
   af.setInvertSelection(false);
   af.setInputFormat(instances);
   Instances newInst = Filter.useFilter(instances, af);
   return newInst;
return instances;
```

For 循环中的第一个 if 不重要,不要理睬。它的作用是想在后面也就是 maxCount / numInstances 那看一下 support 的下界设多少。第二个 if 中是看是不是缺失值等于样本数,也就是在这个属性上所有的值都是缺失的,那么就用 deleteString 把这些都是缺失值的属性下标记下来,连成一个字符串,最后一个 if 就是标准的删除特征的代码,也就是把那么都是缺失值的特征给删除了。

```
if (m car && m metricType != CONFIDENCE)
    throw new Exception(
        "For CAR-Mining metric type has to be confidence!");
```

如果想得到与类别有关的规则,又没有设成 CONFIDENCE 是不可以的。

```
// only set class index if CAR is requested
if (m car) {
   if (m classIndex == -1) {
      instances.setClassIndex(instances.numAttributes() - 1);
   } else if (m classIndex <= instances.numAttributes()
      && m classIndex > 0) {
      instances.setClassIndex(m classIndex - 1);
   } else {
      throw new Exception("Invalid class index.");
   }
}
```

如果用用户想得到与类别有关的规则又忘了设类别索引,就帮他设一下。

```
// can associator handle the data?
getCapabilities().testWithFail(instances);
```

看能不能外理这种数据。

```
m cycles = 0;
if (m car) {
    // m instances does not contain the class attribute
    m instances = LabeledItemSet.divide(instances, false);

    // m onlyClass contains only the class attribute
    m onlyClass = LabeledItemSet.divide(instances, true);
} else
    m instances = instances;
```

```
if (m car && m numRules == Integer.MAX VALUE) {
    // Set desired minimum support
    m minSupport = m lowerBoundMinSupport;
} else {
    // Decrease minimum support until desired number of rules found.
    m minSupport = m upperBoundMinSupport - m delta;
    m minSupport = (m minSupport < m lowerBoundMinSupport) ?
    m lowerBoundMinSupport : m minSupport;
}</pre>
```

不再看 LabeledItemSet.devide,只看一下注释,m_instances 不包含类别属性,而m_onlyClass 只包含类别属性。下面的就不去管它了。

```
do {
   // Reserve space for variables
   m Ls = new FastVector();
   m hashtables = new FastVector();
   m allTheRules = new FastVector[6];
   m allTheRules[0] = new FastVector();
   m allTheRules[1] = new FastVector();
   m allTheRules[2] = new FastVector();
   if (m metricType != CONFIDENCE || m significanceLevel != -1) {
      m allTheRules[3] = new FastVector();
      m allTheRules[4] = new FastVector();
      m allTheRules[5] = new FastVector();
   sortedRuleSet = new FastVector[6];
   sortedRuleSet[0] = new FastVector();
   sortedRuleSet[1] = new FastVector();
   sortedRuleSet[2] = new FastVector();
   if (m metricType != CONFIDENCE || m significanceLevel != -1) {
       sortedRuleSet[3] = new FastVector();
       sortedRuleSet[4] = new FastVector();
       sortedRuleSet[5] = new FastVector();
   if (!m car) {
       // Find large itemsets and rules
       findLargeItemSets();
       if (m significanceLevel != -1 || m metricType != CONFIDENCE)
          findRulesBruteForce();
       else
          findRulesQuickly();
   } else {
       findLargeCarItemSets();
       findCarRulesQuickly();
```

上面都是一些初始化的代码,不讲了,如果想知道,可以看一下我以前写的那一篇 Weka 开发 [17] ——关联规则之 Apriori。再下来,如果不是挖掘与类别相关的规则,那么先执行 findLargeItermSets:

```
private void findLargeItemSets() throws Exception {
   FastVector kMinusOneSets, kSets;
   Hashtable hashtable;
   int necSupport, necMaxSupport, i = 0;

   // Find large itemsets

   // minimum support
```

```
necSupport = (int) (m minSupport
       * (double) m instances.numInstances() + 0.5);
necMaxSupport = (int) (m upperBoundMinSupport
       * (double) m instances.numInstances() + 0.5);
kSets = AprioriItemSet.singletons(m instances);
AprioriItemSet.upDateCounters(kSets, m instances);
kSets = AprioriItemSet.deleteItemSets(kSets, necSupport,
   necMaxSupport);
if (kSets.size() == 0)
   return;
do {
   m Ls.addElement(kSets);
   kMinusOneSets = kSets;
   kSets = AprioriItemSet.mergeAllItemSets(kMinusOneSets, i,
          m instances.numInstances());
   hashtable = AprioriItemSet.getHashtable(kMinusOneSets,
          kMinusOneSets.size());
   m hashtables.addElement(hashtable);
   kSets = AprioriItemSet.pruneItemSets(kSets, hashtable);
   AprioriItemSet.upDateCounters(kSets, m instances);
   kSets = AprioriItemSet.deleteItemSets(kSets, necSupport,
          necMaxSupport);
   i++:
} while (kSets.size() > 0);
```

NecSupprot 是最小 support 的另一种衡量,就是计数,原来的 m_minSupport 是用百分比逢的,+0.5 当然就是四舍五入了。necMaxSupport 也是相同的意思。

下面看 AprioriltermSet.singletons,AprioriltermSet 是继承自 ItemSet 的:

```
/**
 * Converts the header info of the given set of instances into a set of
 * item sets (singletons). The ordering of values in the header file
 * determines the lexicographic order.
public static FastVector singletons(Instances instances)
throws Exception {
   FastVector setOfItemSets = new FastVector();
   ItemSet current;
   for (int i = 0; i < instances.numAttributes(); i++) {</pre>
       if (instances.attribute(i).isNumeric())
           throw new Exception("Can't handle numeric attributes!");
       for (int j = 0; j < instances.attribute(i).numValues(); j++) {</pre>
           current = new AprioriItemSet(instances.numInstances());
           current.m items = new int[instances.numAttributes()];
           for (int k = 0; k < instances.numAttributes(); k++)</pre>
              current.m items[k] = -1;
           current.m items[i] = j;
           setOfItemSets.addElement(current);
   return setOfItemSets;
```

这段代码的作用现在还看不出来,可以看一下注释,意思是:将给定数据集的头信息转换成一个项集的集合,头信息中的值的顺序是按字典序。如果你也是用 weather.nominal 数

据集,那么它产生的结果应该是这个:

```
0,-1,-1,-1,-1

1,-1,-1,-1,-1

2,-1,-1,-1,-1

-1,0,-1,-1,-1

-1,1,-1,-1,-1

-1,2,-1,-1,-1

-1,-1,0,-1,-1

-1,-1,1,-1,-1

-1,-1,-1,0,-1

-1,-1,-1,1,-1

-1,-1,-1,1,-1
```

一共有 12 组,因为有 2 个属性有 3 种属性值,3 个属性有 2 种属性值,2*3+3*2=12。 而且 m iterm 的第 i 个元素值设为 j。

接下来看 AprioriltemSet.upDateCounters:

外层循环是样本的个数,内层循环是 itermSets 的数量。里面的 upDateCounter:

```
public void upDateCounter(Instance instance) {
   if (containedBy(instance))
      m counter++;
}
```

也就是如果满足 containBy 那么就计数加 1,看一下 containBy:

```
public boolean containedBy(Instance instance) {
    for (int i = 0; i < instance.numAttributes(); i++)
        if (m items[i] > -1) {
            if (instance.isMissing(i))
                return false;
            if (m items[i] != (int) instance.value(i))
                return false;
        }
    return true;
}
```

这段代码就相对容易一点了,如果在相应的特征值上为缺失值,或是与我们要找的特征词不相同,那么就返回 false。

那么在 upDateCounters 执行完之后,结果大概是这样的,最后的是记数:

```
0,-1,-1,-1 : 5

1,-1,-1,-1 : 4

2,-1,-1,-1 : 5

-1,0,-1,-1 : 4

-1,1,-1,-1 : 6

-1,2,-1,-1 : 7

-1,-1,1,-1 : 7

-1,-1,1,-1 : 7

-1,-1,1,-1 : 8
```

```
-1,-1,-1,-1,0 : 9
-1,-1,-1,1 : 5
```

这样也就理解了, m item 的意义, 也就是现在是1项集。

接下来看 deleteItemSets:

这里可以看到,只有 m counter 在 minSupport 和 maxSupport 之间的项我们才要。

接下来就要看 findLargeItemSets 这个函数中的 do/while 循环了,m_Ls 是保存所有项的一个集合,那 kMinusOneSets 就是上一个项集,接下来是 AprioriItemSet.mergeAllItemSets,但是这个函数在执行第一次的时候,它并看不出来什么作用:

```
public static FastVector mergeAllItemSets(FastVector itemSets, int size,
       int totalTrans) {
   FastVector newVector = new FastVector();
   ItemSet result;
   int numFound, k;
   for (int i = 0; i < itemSets.size(); i++) {</pre>
       ItemSet first = (ItemSet) itemSets.elementAt(i);
       out: for (int j = i + 1; j < itemSets.size(); j++) {
          ItemSet second = (ItemSet) itemSets.elementAt(j);
          result = new AprioriItemSet(totalTrans);
          result.m items = new int[first.m items.length];
          // Find and copy common prefix of size 'size'
          numFound = 0;
           k = 0;
           while (numFound < size) {</pre>
              if (first.m items[k] == second.m items[k]) {
                  if (first.m items[k] != -1)
                     numFound++;
                  result.m items[k] = first.m items[k];
              } else
                  break out;
              k++;
           }
           // Check difference
           while (k < first.m items.length) {</pre>
              if ((first.m items[k] != -1) && (second.m items[k] != -1))
                  break;
              else {
                  if (first.m items[k] != -1)
                      result.m items[k] = first.m items[k];
```

```
result.m items[k] = second.m items[k];
}
k++;

if (k == first.m items.length) {
    result.m counter = 0;
    newVector.addElement(result);
}

return newVector;
}
```

这里有一个 out 标签,也就是 break out 执行后会跳到 out 那里接着执行,很象 goto。这里的 size 是我们所需要的多少项的,这里 first.m_items[k]要等于 second.m_items[k]的原因是在相应的特征上值一定要相同才可以合并成一个新的规则,并且要注意,在注释的那一行中也提到了,就是前面部分一定要一样,大小为 size-1。也就是 first.m_item[1] = second.m_items[1], first.m_item[2] = second.m_items[2], … … , first.m_item[size-1] = second.m_items[size-1]。而在下面就是给 result.items 赋值余下的部分赋值,这里first.m_items[k]与 second.m_items[k]不能同时为-1,因为同时为-1 又多出来一项,所以就要去除这种情况。

下面是 ItermSet.getHashtable:

```
public static Hashtable getHashtable(FastVector itemSets, int
initialSize) {

   Hashtable hashtable = new Hashtable(initialSize);

   for (int i = 0; i < itemSets.size(); i++) {

        ItemSet current = (ItemSet) itemSets.elementAt(i);
        hashtable.put(current, new Integer(current.m counter));
   }
   return hashtable;
}</pre>
```

Hashtable 的 key 是一个 ItemSet,而值是它的计数。下面是 ItemSet.pruneItemSet:

```
public static FastVector pruneItemSets(FastVector toPrune,
       Hashtable kMinusOne) {
   FastVector newVector = new FastVector(toPrune.size());
   int help, j;
   for (int i = 0; i < toPrune.size(); i++) {</pre>
       ItemSet current = (ItemSet) toPrune.elementAt(i);
       for (j = 0; j < current.m items.length; j++)</pre>
           if (current.m items[j] != -1) {
              help = current.m items[j];
              current.m items[j] = -1;
              if (kMinusOne.get(current) == null) {
                  current.m items[j] = help;
                  break;
              } else {
                  current.m items[j] = help;
       if (j == current.m items.length)
           newVector.addElement(current);
```

```
return newVector;
}
```

pruneItemSets 里面的前面这一段代码,主要是为了让 m_item[j]这项为-1 来,再用 kMinusOne.get,如果为空,那么就 break,如果这项中每一个(n-1)个特征值都是存在的,那 么才将它放到 newVector 中去。似乎完全不明白这在做什么,现在看 findRulesQuickly:

```
private void findRulesQuickly() throws Exception {
   FastVector[] rules;
   // Build rules
   for (int j = 1; j < m Ls.size(); j++) {</pre>
       FastVector currentItemSets = (FastVector) m Ls.elementAt(j);
       Enumeration enumItemSets = currentItemSets.elements();
       while (enumItemSets.hasMoreElements()) {
          AprioriItemSet currentItemSet = (AprioriItemSet) enumItemSets
                  .nextElement();
          // AprioriItemSet currentItemSet = new
           // AprioriItemSet((ItemSet)enumItemSets.nextElement());
           rules = currentItemSet.generateRules(m minMetric,
              m hashtables, j + 1);
           for (int k = 0; k < rules[0].size(); k++) {</pre>
              m allTheRules[0].addElement(rules[0].elementAt(k));
              m allTheRules[1].addElement(rules[1].elementAt(k));
              m allTheRules[2].addElement(rules[2].elementAt(k));
       }
```

现在的问题是,如果这是第一次执行,那么我们的 m_Ls 大小为 1,也就是什么都不执行,直接跳过去了。其中的 generateRules 如下:

```
public FastVector[] generateRules(double minConfidence,
       FastVector hashtables, int numItemsInSet) {
   FastVector premises = new FastVector(), consequences = new
       FastVector(), conf = new FastVector();
   FastVector[] rules = new FastVector[3], moreResults;
   AprioriItemSet premise, consequence;
   Hashtable hashtable = (Hashtable) hashtables
           .elementAt(numItemsInSet - 2);
   // Generate all rules with one item in the consequence.
   for (int i = 0; i < m items.length; i++)</pre>
       if (m items[i] != -1) {
          premise = new AprioriItemSet(m totalTransactions);
          consequence = new AprioriItemSet(m totalTransactions);
          premise.m items = new int[m items.length];
          consequence.m items = new int[m items.length];
          consequence.m counter = m counter;
          for (int j = 0; j < m items.length; j++)</pre>
              consequence.m items[j] = -1;
          System.arraycopy(m items, 0, premise.m items, 0,
                 m items.length);
          premise.m items[i] = -1;
          consequence.m items[i] = m items[i];
```

```
premise.m counter = ((Integer) hashtable.get(premise))
                 .intValue();
          premises.addElement(premise);
          consequences.addElement(consequence);
          conf.addElement (new Double (confidenceForRule (premise,
                 consequence)));
   rules[0] = premises;
   rules[1] = consequences;
   rules[2] = conf;
   pruneRules(rules, minConfidence);
   // Generate all the other rules
   moreResults = moreComplexRules(rules, numItemsInSet, 1,
      minConfidence,
          hashtables);
   if (moreResults != null)
       for (int i = 0; i < moreResults[0].size(); i++) {</pre>
          rules[0].addElement(moreResults[0].elementAt(i));
          rules[1].addElement(moreResults[1].elementAt(i));
          rules[2].addElement(moreResults[2].elementAt(i));
   return rules;
   其中比较重要的有两句就是 premise.m_items[i]=-1 表示我们把 premise 去掉一项,还将
这一项做为 consequence, 其中的 confidenceForRule 没什么好讲的,就是公式:
public static double confidenceForRule (AprioriItemSet premise,
       AprioriItemSet consequence) {
   return (double) consequence.m counter / (double) premise.m counter;
   而 rules 这里可以看出来,三个元素就是关联规则的左部,右部,和置信度。
public static void pruneRules(FastVector[] rules, double minConfidence)
   FastVector newPremises = new FastVector(rules[0].size()),
       newConsequences = new FastVector(rules[1].size()),
       newConf = new FastVector(rules[2].size());
   for (int i = 0; i < rules[0].size(); i++)</pre>
       if (!(((Double) rules[2].elementAt(i)).doubleValue() <</pre>
          minConfidence)) {
          newPremises.addElement(rules[0].elementAt(i));
          newConsequences.addElement(rules[1].elementAt(i));
          newConf.addElement(rules[2].elementAt(i));
       }
   rules[0] = newPremises;
   rules[1] = newConsequences;
   rules[2] = newConf;
   这里对规则进行裁减,如果小于 minConfidence 就将这个规则删除。
private final FastVector[] moreComplexRules(FastVector[] rules,
       int numItemsInSet, int numItemsInConsequence,
       double minConfidence, FastVector hashtables) {
   AprioriItemSet newPremise;
```

```
FastVector[] result, moreResults;
   FastVector newConsequences, newPremises = new FastVector(),
       newConf = new FastVector();
   Hashtable hashtable;
   if (numItemsInSet > numItemsInConsequence + 1) {
       hashtable = (Hashtable) hashtables.elementAt(numItemsInSet
              - numItemsInConsequence - 2);
       newConsequences = mergeAllItemSets(rules[1],
              numItemsInConsequence - 1, m totalTransactions);
       Enumeration enu = newConsequences.elements();
       while (enu.hasMoreElements()) {
          AprioriItemSet current = (AprioriItemSet) enu.nextElement();
           current.m counter = m counter;
          newPremise = subtract(current);
          newPremise.m counter = ((Integer) hashtable.get(newPremise))
                  .intValue();
          newPremises.addElement(newPremise);
          newConf.addElement(new Double(confidenceForRule(newPremise,
                  current)));
       }
       result = new FastVector[3];
       result[0] = newPremises;
       result[1] = newConsequences;
       result[2] = newConf;
       pruneRules(result, minConfidence);
       moreResults = moreComplexRules(result, numItemsInSet,
              numItemsInConsequence + 1, minConfidence, hashtables);
       if (moreResults != null)
           for (int i = 0; i < moreResults[0].size(); i++) {</pre>
              result[0].addElement(moreResults[0].elementAt(i));
              result[1].addElement(moreResults[1].elementAt(i));
              result[2].addElement(moreResults[2].elementAt(i));
       return result;
   } else
       return null;
}
```

这里的 mergeAllItemSets 把所有 numItemInConsequence 个的项得到了,然后对得到的 newConsequences 进行循环,下面有一个 subtract:

```
public final AprioriItemSet subtract(AprioriItemSet toSubtract) {
    AprioriItemSet result = new AprioriItemSet(m totalTransactions);
    result.m items = new int[m items.length];

    for (int i = 0; i < m items.length; i++)
        if (toSubtract.m items[i] == -1)
            result.m items[i] = m items[i];
    else
        result.m items[i] = -1;
    result.m counter = 0;
    return result;
}</pre>
```

也就是如果这里是当 toSubtract 中的不为-1 的值,将值换为-1,如果 toSubtract 中相应的值为-1,那么就保留原值。下面有一个递归的过程,就是将 numItemsInConsequence+1,

也就是 Consequence 中的项数可以是 numItemsInConsequence+1 个了。而它的值不能大于 numTermsInSet。最后在 generateRules 把两个结果合并了。

接下来则应该是对规则结果进行排序,先是对 support 进行排序,再对 confidence 进行排序,这里之所以要 supports[j-i]这样反着写是因为 stableSort 结果是升序的,stable 的意思是稳定,懒地解释了,不懂看一下数据结构吧:

```
// Sort rules according to their support
int j = m allTheRules[2].size() - 1;
supports = new double[m allTheRules[2].size()];
for (int i = 0; i < (j + 1); i++)
   supports[j - i] = ((double) ((ItemSet) m allTheRules[1]
          .elementAt(j - i)).support()) * (-1);
indices = Utils.stableSort(supports);
for (int i = 0; i < (j + 1); i++) {</pre>
   sortedRuleSet[0].addElement(m allTheRules[0]
           .elementAt(indices[j - i]));
   sortedRuleSet[1].addElement(m allTheRules[1]
           .elementAt(indices[j - i]));
   sortedRuleSet[2].addElement(m allTheRules[2]
           .elementAt(indices[j - i]));
   if (m metricType != CONFIDENCE || m significanceLevel != -1) {
       sortedRuleSet[3].addElement(m allTheRules[3]
              .elementAt(indices[j - i]));
       sortedRuleSet[4].addElement(m allTheRules[4]
              .elementAt(indices[j - i]));
       sortedRuleSet[5].addElement(m allTheRules[5]
              .elementAt(indices[j - i]));
// Sort rules according to their confidence
m allTheRules[0].removeAllElements();
m allTheRules[1].removeAllElements();
m allTheRules[2].removeAllElements();
if (m metricType != CONFIDENCE || m significanceLevel != -1) {
   m allTheRules[3].removeAllElements();
   m allTheRules[4].removeAllElements();
   m allTheRules[5].removeAllElements();
confidences = new double[sortedRuleSet[2].size()];
int sortType = 2 + m metricType;
for (int i = 0; i < sortedRuleSet[2].size(); i++)</pre>
   confidences[i] = ((Double) sortedRuleSet[sortType].elementAt(i))
           .doubleValue();
indices = Utils.stableSort(confidences);
for (int i = sortedRuleSet[0].size() - 1; (i >= (sortedRuleSet[0])
       .size() - m numRules))
       && (i >= 0); i--) {
   m allTheRules[0].addElement(sortedRuleSet[0]
           .elementAt(indices[i]));
   m allTheRules[1].addElement(sortedRuleSet[1]
          .elementAt(indices[i]));
   m allTheRules[2].addElement(sortedRuleSet[2]
           .elementAt(indices[i]));
   if (m metricType != CONFIDENCE || m significanceLevel != -1) {
       m allTheRules[3].addElement(sortedRuleSet[3]
```

关于对类别规则的分析, 我现在用不着, 也就没分析。