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a. Code with detailed explanations

Part1:

In this part , we need to make GIF images to show the clustering procedure of mine kernel k-means and spectral clustering(Ratio cut and Normalized cut) . And for every part's spectral clustering , I also plot the eigenspace of graph Laplacian (Part4) . The reason why using ratio cut and normalized cut is avoid extremely solution , for example , there are only one datapoint in the subgraph , and all the others datapoint are in another subgraph , it can avoid this situation by using ratio cut or normalized cut .

Kernel k means

```
Following the steps
```

1:

load the image.

```
def imread(img_path):
    """
    param img_path
    return a flatten image array (H*W,C)
    """
    image = cv2.imread(img_path)
    H,W,C = image.shape
    image_flatten = np.zeros((W*H,C))
    image_flatten = image.reshape(W*H,C)
    return image_flatten , H , W
```

This function will load picture and return image(flatten) and the image's height and width

II:

choose parameters "k" which represent "k-clustering" and the initialization of k-means clustering used in kernel k-means (In this part I choose "random", other option is left to part3) and gamma_spatial and gamma_color.

III:

Calculate kernel function

The kernel function is $k(x,x')=e^{-r_S||S(x)-S(x')||^2}*e^{-r_C||C(x)-C(x')||^2}$ IV :

Used k-means algorithm.

```
def initial_mean(X,k,initType):
   X: (H*W, 3 features)
   k : k klusters
   initType : 'random' , 'pick' , 'k_means_plusplus'
   Cluster : (k,3)
   Cluster = np.zeros((k,X.shape[1]))
   if initType == 'k means plus plus':
       #randomly choose one to be a cluster_mean
       Cluster[0] = X[np.random.randint(low=0,high=X.shape[0],size=1),:]
       #choose another k-1 cluster_mean
       for c in range(1,k):
           Dist_matrix = np.zeros((len(X),c))
           for i in range(len(X)):
               for j in range(c):
                   Dist matrix[i,j] = np.sqrt(np.sum((X[i]-Cluster[j])**2))
           #這達應該要用先對橫向找到最小值(計算所有點到其最近的質心的距離)
           #使用輪盤法找到下一個質心
           #https://zhuanlan.zhihu.com/p/32375430
           Dist_min=np.min(Dist_matrix,axis=1)
           sum=np.sum(Dist min)*np.random.rand()
           for i in range(len(X)):
               sum-=Dist_min[i]
               if sum<=0:
                   Cluster[c]=X[i]
                   break
   if initType == 'random_nor':
       X_{mean} = np.mean(X,axis=0)
       X_{std} = np.std(X,axis = 0)
       for i in range(X.shape[1]):
           Cluster[:,i] = np.random.normal(X_mean[i],X_std[i],size = k)
   if initType =='random':
       random_pick=np.random.randint(low=0,high=X.shape[0],size=k)
       Cluster=X[random_pick,:]
   return Cluster
```

```
colormap= np.random.choice(range(256),size=(100,3))
def visualize(X,k,H,W,colormap):
    """
    colors = colormap[:k,:]
    res = np.zeros((H,W,3))
    for h in range(H):
        for w in range(W):
        res[h,w,:] = colors[X[h*W+w]]

return res.astype(np.uint8)
```

```
def k_means(X,k,H,W,initType='random',gifPath='default.gif'):
   Want to do k klusters
   X : (H*W, 3 features)
   k : k klusters
   EPS = 1e-9
   Mean = initial_mean(X,k,initType)
   #Classes of each Xi
   C = np.zeros(len(X),dtype = np.uint8)
   segments = []
   diff = 1e9
   count = 1
   while diff>EPS:
       # E-step
        for i in range(len(X)):
           dist = []
            for j in range(k):
               dist.append(np.sqrt(np.sum((X[i]-Mean[j])**2)))
            C[i] = np.argmin(dist)
        #M-step
        New_Mean = np.zeros(Mean.shape)
        for i in range(k):
            belong = np.argwhere(C==i).reshape(-1)
            for j in belong:
New_Mean[i] = New_Mean[i] + X[j]
            if len(belong)>0:
               New Mean[i] = New Mean[i]/len(belong)
        diff = np.sum((New_Mean - Mean)**2)
        Mean = New_Mean
        #visualize
        segment = visualize(C,k,H,W,colormap)
        segments.append(segment)
        print('iteration {}'.format(count))
        for i in range(k):
       print('k={}: {}'.format(i+1 , np.count_nonzero(C==i)))
print('diff{}'.format(diff))
        plt.clf()
        plt.imshow(cv2.cvtColor(segment, cv2.COLOR_BGR2RGB))
        plt.pause(0.001)
        print('----
        count =count+1
   return C , segments
```

First , we need to use initial_mean function to calculate initial k clustering location . In this part , I use random to create k clustering location . Then we need to calculate every pairs distance and find the minimum distance to classified category . For example , given a datapoint , we need to compute the

distance between this datapoint and the current k clustering center , and choose the smallest distance to represent that this datapoint is classified the specific category among k. This step will continue n times , n represent n datapoints .

Second, we need to update new k clustering location. we find the same category datapoint in the previous step and add them and also do normalization so that we can get new k clustering location and difference between new clustering location and old clustering location.

Third, we use visualize function to color the same category datapoint in the current clustering state and return it. So that we could use plt.show to plot the picture. Furthermore, after I use visualize function, I append it to a list to make GIF.

V:

Make GIF images

```
def save_gif(segments,gif_path):
    for i in range(len(segments)):
        segments[i] = segments[i].transpose(1,0,2)
    write_gif(segments,gif_path , fps = 2)
```

In this function, I put segments(every output from function visualize) and convert to RGB so that can use write_gif (from array2gif import write_gif) to make GIF.

Main:

```
img_path = 'image1.png
image_flatten , H , W = imread(img_path)
gamma_spatial = 0.001
gamma color
             = 0.001
k = 2 # k clusters
#k_means_initType='k_means_plus_plus'
#k means initType='random nor
k_means_initType ='random
gif_path=os.path.join("GIF/%s_%sClusters_%s_kmeans.gif"%(img_path.split('.')[0],k,k_means_initType))
if not os.path.isdir(gif_dir):
   os.mkdir(gif_dir)
  rur(gri_paru)
kernel = precomputed_kernel(image_flatten,gamma_spatial,gamma_color) |||
belongings , segments = k_means(kernel,k,H,W,initType=k_means_initType,gifPath=gif_path)
save_gif(segments,gif_path) //
```

See result [link]

Spectral clustering - Ratio cut

Unnormalized Laplacian L = D-W serve in the approximation of the minimization of RatioCut

```
Following the steps
  Same as k-means algorithm I [link]
II:
  Same as k-means algorithm II [link]
III:
  Same as k-means algorithm III [link]
IV:
  Compute Laplacian matrix
  Graph Laplacian = D - W
  D can seen as a degree matrix
  Then use np.linalg.eig for eigenvalue decomposition for Laplacian matrix
V:
  Sorting the eigenvalue and get the 2<sup>nd</sup> and 3<sup>rd</sup> (1<sup>st</sup> eigenvalue is 0 represent fully
  connected ) eigenvalue and its corresponding eigenvector . Use these
  eigenvector to execute k means funtcion.
  (k-means algorithm is same as k-means algorithm IV [link])
VI:
  Make GIF images and plot eigenvector
```

Make GIF images is same as k-mean algorithm V [link]

```
def plot_eigenvector_3(x,y,z,C):
   x y z datapoint array
   C belonging class
   fig = plt.figure()
    ax = fig.add_subplot(111,projection='3d')
   markers=['o','^','s']
    for marker , i in zip(markers,np.arange(3)):
        ax.scatter(x[C==i],y[C==i],z[C==i],marker=marker)
    ax.set_xlabel('eigenvector 1st dim')
    ax.set_ylabel('eigenvector 2st dim')
    ax.set_zlabel('eigenvector 3rd dim')
   plt.show()
def plot_eigenvector_2(x,y,C):
   fig = plt.figure()
   markers=['o','^']
    for marker , i in zip(markers,np.arange(2)):
        plt.scatter(x[C==i],y[C==i],marker=marker)
    plt.xlabel('eigenvector 1st dim')
    plt.ylabel('eigenvector 2st dim')
    plt.show()
```

In plot_eigenvector_3 , x , y , z represent eigenvector of the graph Laplacian , because I want to do 3-clustering , so pick x,y,z . if I only want to do 2-clustering , only pick x, y .

Main:

```
img_path = 'image2.png'
image_flatten , H , W = imread(img_path)
gamma_spatial = 0.001
 gamma_color
 k = 2 # k clusters
k_means_initType = 'k_means_plus_plus'
k_means_initType='random_nor'
k_means_initType='random'
                                                                                                                                                                            П
gif_path=os.path.join("GIF/%s_%sClusters_%s_ratio.gif"%(img_path.split('.')[0],k,k_means_initType))
if not os.path.isdir(gif_dir):
    os.mkdir(gif_dir)
    print/gif_asth)
print(gif path)
 WW = precomputed kernel(image flatten.gamma spatial.gamma color) |||
D = np.diag(np.sum(WW,axis=1))
L = D-WW
eigenvalue , eigenvector = np.linalg.eig(L)
np.save('{}_eigenvalue_{:.3f}_(:.3f)_ratio.npy'.format(img_path.split('.')[0],gamma_spatial,gamma_color),eigenvalue)
np.save('{}_eigenvector_{:.3f}_{:.3f}_ratio.npy'.format(img_path.split('.')[0],gamma_spatial,gamma_color),eigenvector)
#"""
 \begin{array}{lll} eigenvalue & = & np.load('\{\}_eigenvalue_\{:.3f\}_{\{:.3f\}_ratio.npy'.format(img\_path.split('.')[\emptyset],gamma\_spatial,gamma\_color)) \\ eigenvector & = & np.load('\{\}_eigenvector_{\{:.3f\}_{\{:.3f\}_ratio.npy'.format(img\_path.split('.')[\emptyset],gamma\_spatial,gamma\_color)) \\ \end{array} 
sort index = np.argsort(eigenvalue)
HH = eigenvector[:,sort_index[1:k+1]]
belonging,segments=k_means(HH,k,H,W,initType=k_means_initType,gifPath=gif_path)
 save_gif(segments,gif_path)
plot_eigenvector_3(HH[:,0],HH[:,1],HH[:,2],belonging)
if k==2:
                                                                                                                                        V١
       plot_eigenvector_2(HH[:,0],HH[:,1],belonging)
```

See result [link]

Spectral clustering – Normalized cut

Normalized Laplacian $D^{-\frac{1}{2}}LD^{-\frac{1}{2}}$ serve in the approximation of the minimization of Normalized Cut .

This is very similar as ratio cut , the main difference between ratio cut and normalized cut is $L=D^{-\frac{1}{2}}LD^{-\frac{1}{2}}$, this means normalization . And also , the each row eigenvector also do normalization . Others are same as ratio cut .

Main:

```
_name__ ==' _main__':
img_path = 'image1.png'
image_flatten , H , W = imread(img_path)
 gamma_spatial = 0.001
  gamma_color
                                            = 0.001
 k = 2 # k clusters
#k_means_initType = 'k_means_plus_plus'
#k_means_initType='random_nor'
k_means_initType='random'
 gar_axi - ./our
gif_path=os.path.join("GIF/%s_%sClusters_%s_Normalized.gif"%(img_path.split('.')[0],k,k_means_initType))
if not os.path.isdir(gif_dir):
             os.mkdir(gif_dir)
 print(gif_path)
WW = precomputed_kernel(image_flatten,gamma_spatial,gamma_color)
D = np.diag(np.sum(WW,axis=1))
 D_inverse_square= np.diag(1/np.diag(np.sqrt(D)))
  L = np.dot(np.dot(D_inverse_square,L),D_inverse_square)
 eigenvalue , eigenvector = np.linalg.eig(L)
 np.save(\{_e:genvalue_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cdots},_{\cd
eigenvalue = np.load('{}_eigenvalue_{:.3f}_{:.3f}_normalized.npy'.format(img_path.split('.')[0],gamma_spatial,gamma_colceigenvector = np.load('{}_eigenvector_{:.3f}_{:.3f}_normalized.npy'.format(img_path.split('.')[0],gamma_spatial,gamma_colceigenvector_andex = np.argsort(eigenvalue)
 HH = eigenvector[:,sort index[1:k+1]]
 sums = np.sqrt(np.sum(np.square(HH),axis=1)).reshape(-1,1)
belonging, segments=k_means(HH,k,H,W,initType=k_means_initType) save_gif(segments,gif_path) if k=-3:
 HH = HH/sums
             \verb|plot_eigenvector_3(HH[:,0],HH[:,1],HH[:,2],belonging)|\\
       plot_eigenvector_2(HH[:,0],HH[:,1],belonging)
```

See result [link]

Part2:

Try more clusters

Only change parameters "k"

K-means algorithm [link]

Spectral clustering ratio cut [link]

Spectral clustering normalized cut [link]

Part3:

Try different initial of kernel k-means method

There are two extra method to initialize the kernel k-means

(1) Random-normalized

```
if initType == 'random_nor':
    X_mean = np.mean(X,axis=0)
    X_std = np.std(X,axis =0)
    for i in range(X.shape[1]):
        Cluster[:,i] = np.random.normal(X_mean[i],X_std[i],size = k)
```

In this random_normalized , I calculate the whole data point mean and variance , and random generate k data point as a clustering location by given mean and variance , I believe that this could convergence faster .

(2) k-means++

```
if initType == 'k_means_plus_plus':
    #randomly choose one to be a cluster mean
   Cluster[0] = X[np.random.randint(low=0, high=X.shape[0], size=1),:]
    #choose another k-1 cluster_mean
    for c in range(1,k):
       Dist_matrix = np.zeros((len(X),c))
       for i in range(len(X)):
           for j in range(c):
               Dist_matrix[i,j] = np.sqrt(np.sum((X[i]-Cluster[j])**2))
       #這邊應該要用先對橫向找到最小值(計算所有點到其最近的質心的距離)
       #使用輪盤法找到下一個質心
       #https://zhuanlan.zhihu.com/p/32375430
       Dist min = np.min(Dist matrix,axis=1)
       sum = np.sum(Dist min)*np.random.rand()
       for i in range(len(X)):
           sum = sum - Dist_min[i]
           if sum<=0:</pre>
               Cluster[c] = X[i]
               break
```

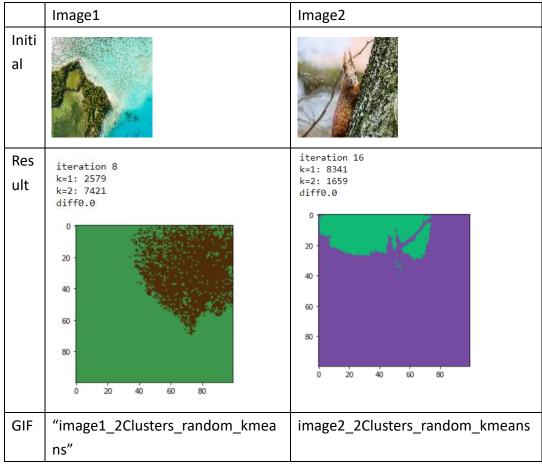
In k-means++ , random choose a datapoint as a clustering location center , and compute every datapoint to its distance , then if have more than 2 clustering center , find the minimum distance between a datapoint to some clustering center . Last , using roulette wheel section , choose next clustering center , this forloop will continue k (the number of clustering) times .

Result [link]

b. Experiments settings and results & discussion

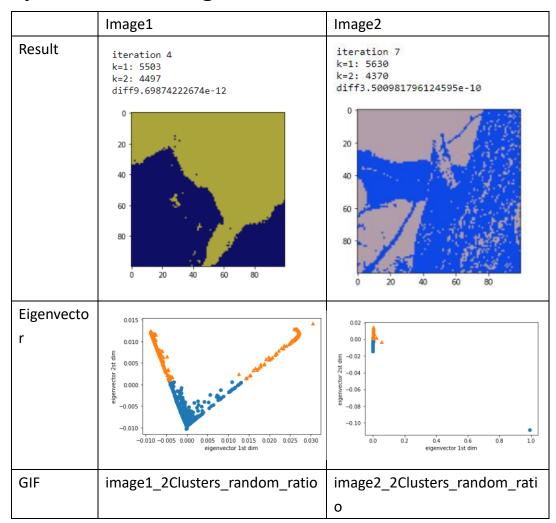
Part1

K-means algorithm



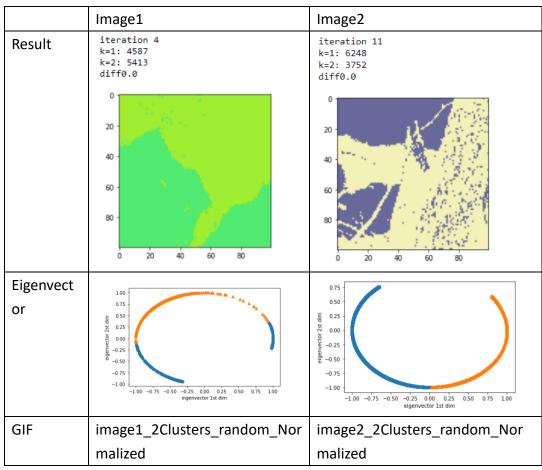
We can see that the result is not ideal, it can not present the initial graph feature, so I think 2-clustering is not enough, maybe more clustering.

Spectral clustering ratio cut



We can see that this result is better than k-means algorithm, it can see approximately contour. And I think the eigenvector of graph Laplacian can have the same coordinates within the same cluster, it separates two category from a certain threshold.

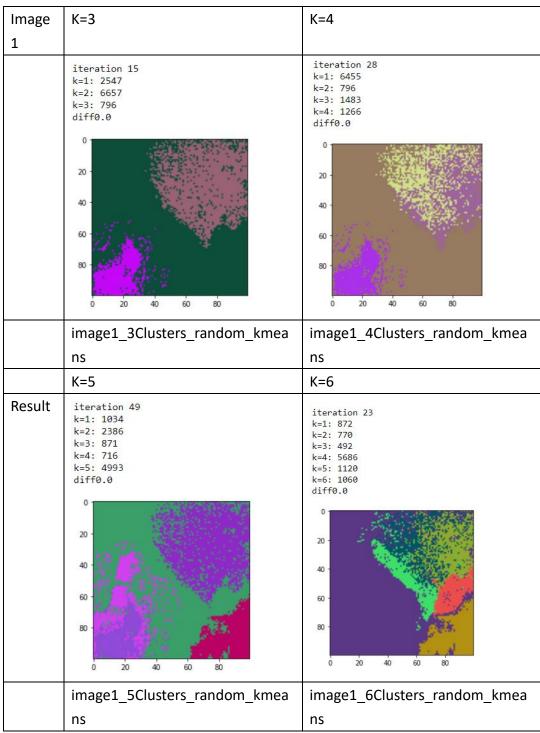
Spectral clustering normalized cut



And by using normalized cut , the result seems like ratio cut . However, the eigenvector can see the difference better than ratio cut .

Part2:

K-means algorithm

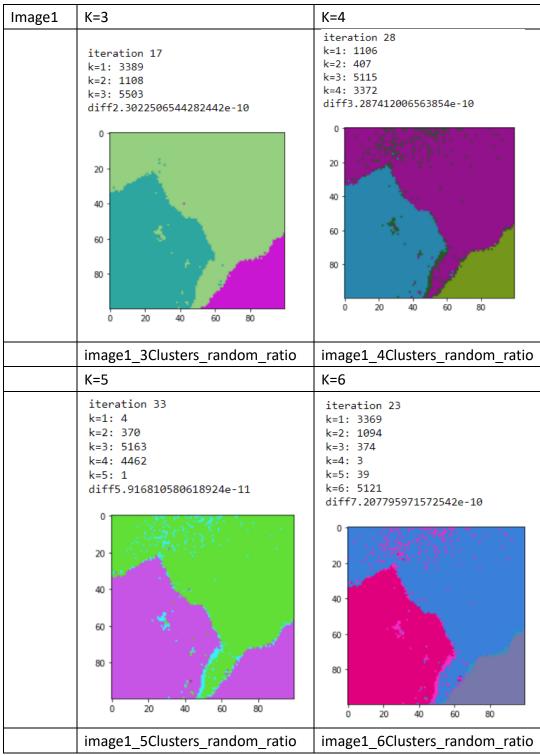


This result shows that maybe should not use more clustering . The more clustering I use , the graph is more complexity . So it might use 3-clustering in this case .

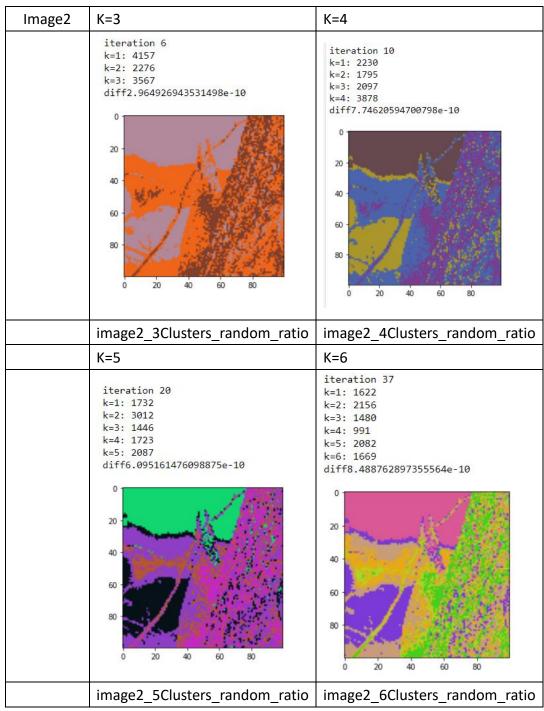
Image	K=3	K=4
2		
	iteration 29 k=1: 1706 k=2: 1659 k=3: 6635 diff0.0	iteration 12 k=1: 1134 k=2: 6992 k=3: 992 k=4: 882 diff0.0
	image2_3Clusters_random_kmea	image2_4Clusters_random_kmea
	ns	ns
	K=5	K=6
	iteration 17 k=1: 1648 k=2: 880 k=3: 870 k=4: 5230 k=5: 1372 diff0.0	iteration 41 k=1: 1346 k=2: 4730 k=3: 605 k=4: 820 k=5: 1645 k=6: 854 diff0.0
	image2_5Clusters_random_kmea	image2_6Clusters_random_kmea
	l ··•	l

This result shows the same situation to image1, I think that maybe use 3-clusering is the best choice.

Spectral clustering ratio cut

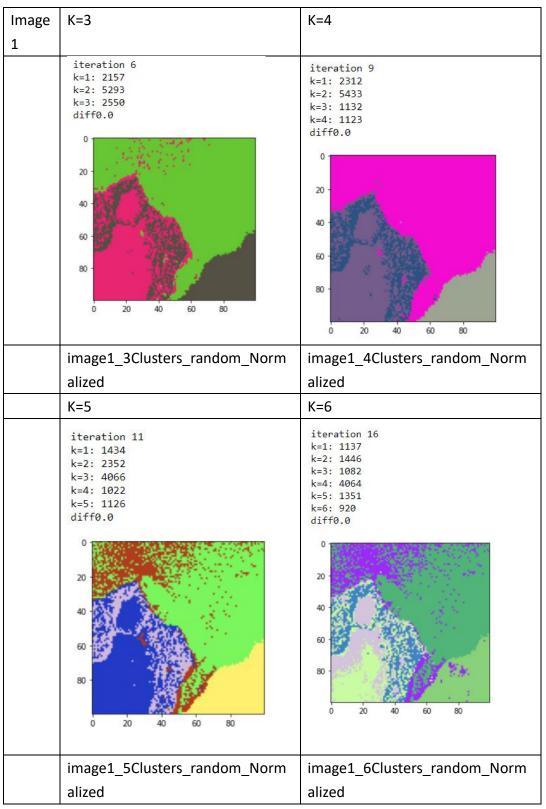


By applying ratio cut , the result shows that it do the better performance than k-means . However , it still has the same problem , the more clustering I use , the graph is more complexity . And can see that when I choose k=5 , some clustering only has digits numbers , it reveal that these clustering subgraph are useless .

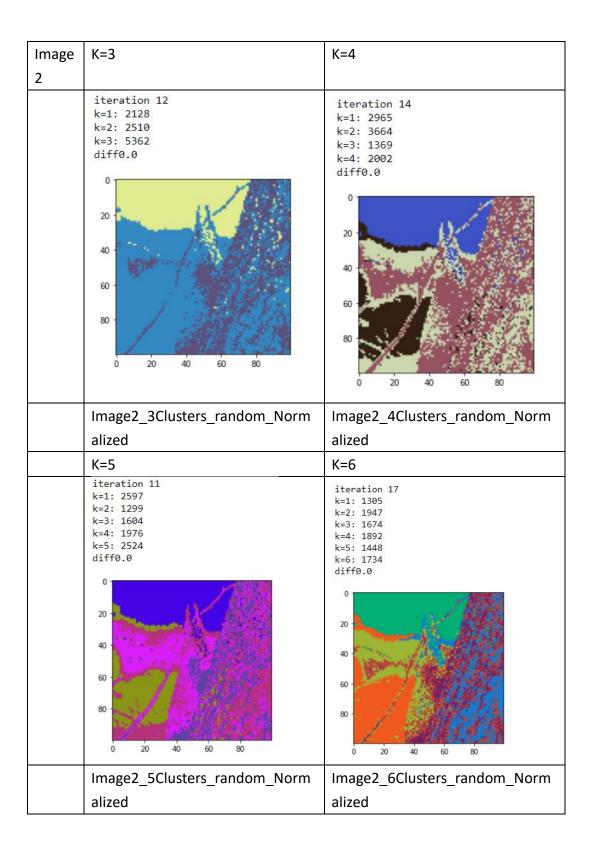


Also it has not the situation like image1 in more clustering , but it still make the picture more unclear .

Spectral clustering normalized cut

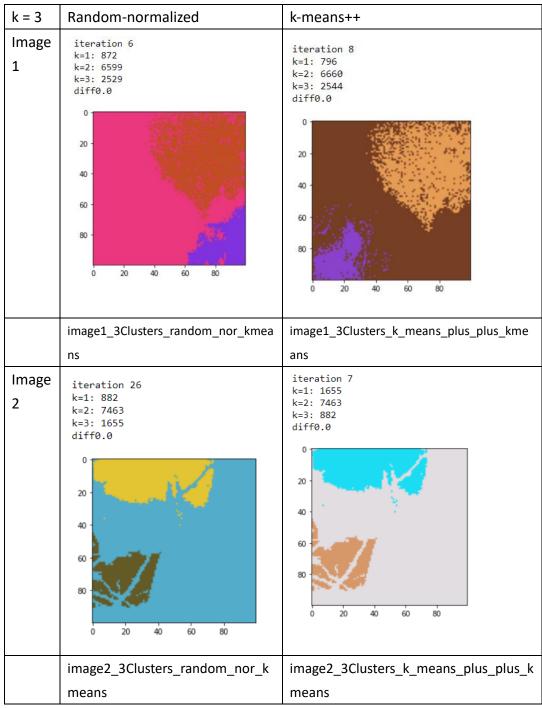


By testing with many clustering and many method , I can conclude that the best choice is k=3



Part3:

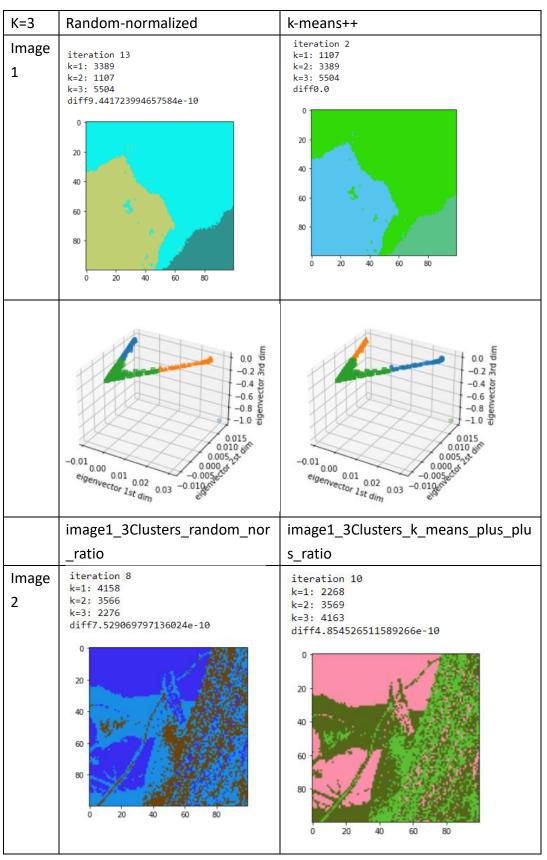
k-means

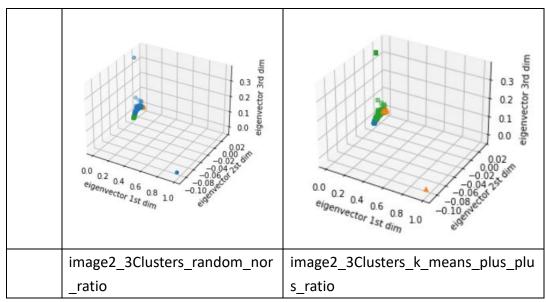


The google says that it can faster convergence or benefit to convergence by adopting different kernel k-means, but in my practice, the k-means++ convergence speed is similar as original method, I think that the reason is the original picture is not too big, so the convergence speed is almost the same. And in ranomd normalized, the convergence speed maybe get worse than original,

furthermore, It sometimes got a worst performance.

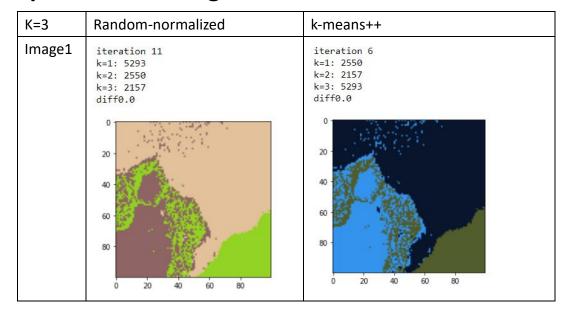
Spectral clustering ratio cut

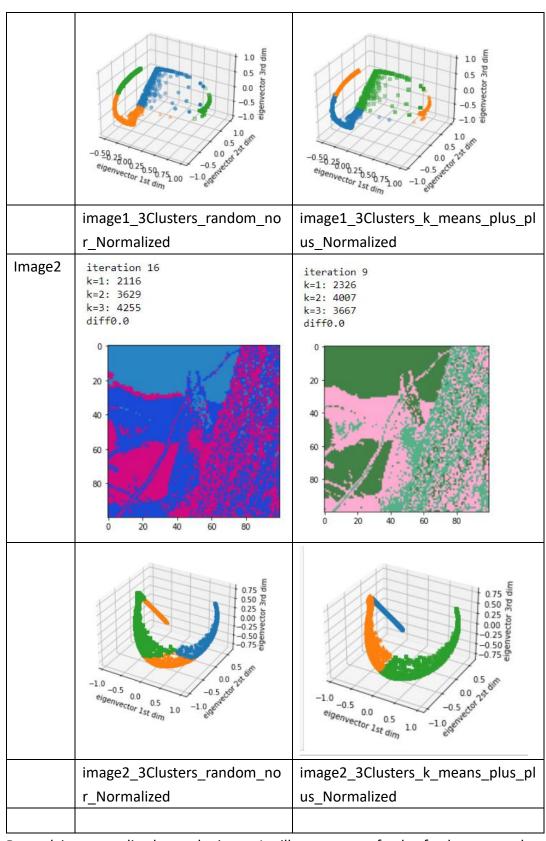




In the previous, I conclude that k=3 is the perfect choice. Image1's the data points within the same cluster have the same coordinates in the eigenspace of graph Laplacian. However, the performance is not better by observing the graph in lamge2. The whole datapoint are all together, it can not easy to observe.

Spectral clustering Normalized cut:





By applying normalized cut, the image1 still separate perfectly, furthermore, the image2 not like the previous graph, it can separate perfectly too, this could easy to observe and let the result be more precise.

c. Observations and discussion

The result shows that the spectral clustering get a better performance than k-means algorithm . And using spectral clustering can reduce dimension from n to k dimension , this could reduce the burden and let computational efficiency . And how to choose and be found . For example , when slowly increase k and find that the eigenvalue suddenly bigger , maybe it should choose k-1 category as clustering .