Efficient Techniques for Mining High Utility Itemsets from Transactional Databases: A Survey

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Abstract: A Mining process has always remained as indivisible part in process of knowledge discovery. Especially when size of transactional datasets is large. Here we address this issue of mining high utility itemsets from large transactional databases and study different algorithms for discovering itemsets which has greater utility. Utility can be in form of profit earned or importance of item in set of transaction. Many algorithms are proposed for mining high item utility item sets, many of which degrades mining performance by producing large number of candidate itemsets. In this paper we mainly focus on UP-Growth and UP-Growth plus algorithms. These algorithms outperform other algorithms in terms of time and space requirement.

Keywords: Mining, transactions, itemset, utility, UP-Growth

1. Introduction

The Fundamental aim of Data mining is to discover useful, hidden information from large databases. Data mining tasks can be categorized as frequent pattern mining, weighted frequent pattern mining and high utility pattern mining [1]. In frequent pattern mining, we try to discover patterns that will occur with high probability. But here relative importance of each item is not considered, means item's quantity is not considered. Items are estimated in terms of binary values i.e. either present or absent. This will leave items with high occurrences as less importance. To overcome this scenario weighted Association rule mining was introduced. Here unit profit of each item in transactional dataset is considered. Hence even if items are infrequent, they will be high utility itemsets if they possess high weights. But weighted mining only considers weights associated with items and doesn’t consider quantity of items. So cannot satisfy requirement of users who are interested in discovering itemsets with high sales profit. The utility mining emerged as a useful technique to address above issues. Here utility is a multidimensional term, which has different meanings according to context. For instance utility can refer to interestingness of itemsets, in another case it may signify high profit, while in some other perspective it may be related to importance of item in database.

The multidimensional term ‘utility’ can be framed into two aspects as ‘Importance of individual items’ and second ‘Importance of items in transaction’. The first aspect is generally referred as ‘External utility’ and the second one as ‘Internal utility’. So total Utility of individual item is product of internal utility and external utility. To filter out the results user may specify some threshold value, because user may be interested in itemsets with high profit. Such itemsets are called as high utility itemsets. Itemsets below user specified threshold are referred as low utility itemsets and are of least importance to user. There are wide ranges of application where we can apply mining high utility techniques. Some of them are Business promotion in chain hypermarket, cross marketing in retail store, website click stream analysis etc.

Mining high utility itemsets is difficult task as downward closure property doesn’t holds. Downward closure property says if itemsets is low utility itemset then its supersets cannot be high utility itemset. As download closure property doesn’t holds pruning search space of high utility itemsets is difficult because superset of low utility itemset may be high utility itemset. One solution is to enumerate all itemsets by principle of exhaustion. But this solution leads to large search space and lots of long transactions. Another such solution is to first identify potential high utility itemsets (PHUIs) and then identify their utilities. Also this solution produces high amount of PHUIs.

Here we will mainly focus on two algorithms for mining high utility itemsets. We will also study data structure UP-tree required to store transactions. In section II we will study existing techniques.

2. Literature Review

In this section we will go through exiting techniques used in mining itemsets. Starting with oldest and well known Apriori [2] algorithm, which is used to mine association rules from large databases. Merits of Apriori method is its simplicity in understanding. But Apriori technique faces several pitfalls one of them is large candidate itemset generation.

To overcome shortcoming of Apriori pattern growth mining algorithms such as FP-Growth [3], were soon discovered. FP-Growth finds frequent itemsets without generating candidate itemsets like Apriori does. Also Process of frequent itemset generation completes in just two database scan. Even though frequent pattern mining algorithms are better than Apriori method it doesn’t consider importance of item to user.

To deal with how each item is important to user, weighted association rule mining [4], [5] came into existence. Now relative importance of each item to user can be traced to identify high utility itemsets. Problem involved in this technique is weighted association rule mining doesn’t have downward closure property.
The Solution associated with downward closure property was addressed in [6]. These solutions specify the use of transaction weight which reflects the importance of itemset and also maintain downward closure property. Another algorithm named as Two-phase consist of two mining stages [7]. In phase one Apriori based level-wise method is used to generate High Transaction Weighted Utility Itemsets (HTWUIs). The second phase gives high utility itemsets. Two phase algorithm uses transaction weighted downward closure property (TWDC) property and thus reduces the search space, but still generates lot of candidate itemsets in phase one.

The Tree-Based algorithm called IHUP was soon introduced to overcome the large candidate itemset generation [8]. In tree-based algorithms a tree structure is used to maintain information about itemsets. Typical node structure consist of item name, Transaction weighted utility (TWU) value and support count. Algorithm works in three steps starting with first construction of IHUP-Tree. While construction of tree transactions are rearranged in descending order of TWU or Support count or lexicographic order. Reordering helps in limiting long tree traversals. In second step HTWUIs are generated by applying additional database scan. Although Tree-based algorithm reduces generation of large number of candidate itemsets, this quantity can be further reduced.

Latest technique such as Discarding Global Unpromising items (DGU) and Decreasing Global node Utilities (DGN) further reduces intermediate candidate itemset generation [1]. In this paper, we will see how DGU and DGN can be applied to efficiently mine high utility itemsets from transactional database.

In short traditional association rule mining such as Apriori technique treats all items in database equally by only considering item is present or not. It doesn’t consider importance of item to user. Then frequent itemset mining technique such as FP-Growth only considers frequency of occurrence of item without considering importance of item and thus contribute to small percentage of overall profit. Lastly weighted association rule mining itemset considers importance of itemset to user. There are many technique in weighted association rule mining such as DGU and DGN which try to reduce large on intermediate itemset generation.

Remainder of paper is as follows: section III lists some basic definitions. Then section IV shows working of Terms and Definitions. In section V we see two proposed strategies named DGU and DGN. Section VI goes through mining method used for mining frequent itemsets and last we have conclusion of topic in section VII.

### 3. Terms and Definitions

- **Data Mining**
  Data mining is a process of extracting useful information from large database.

- **Transactional Database**
  Database consisting of transactions, where write operations can be rolled back are called as transactional database.

- **Utility**
  Utility is defined as interest, profitability, or importance of item. There are two types of utilities one is internal utility and another external utility. Internal utility is importance of items in transaction, whereas external utility is importance of distinct individual item.

- **Utility of itemset**
  Utility of itemset is product of external and internal utility.
  \[ u(i, T_d) = p(i) \times q(i, T_d) \]

- **High utility itemset**
  Utility of itemset which is not less than user specified threshold.

- **Utility of itemset in database**
  Utility of itemset X in database D is sum of all utilities of itemset X present in database D.
  \[ u(X) = \sum_{T \subseteq D} u(i, T_d) \]

- **Utility of transaction**
  Utility of transaction is sum of all utilities of items in transaction.
  \[ TU(T_d) = u(T_d) \]

- **Transaction weighted utility**
  Transaction weighted utility of itemset X is sum of all transaction utilities TU that contains X.
  \[ TWU(X) = \sum_{T \subseteq T_d \land T_d \in D} TU(T_d) \]

- **High transaction weighted utility**
  If TWU of itemset X is greater than user specified threshold then X is HTWUIs.

- **Transaction Weighted Downward Closure**
  If X is not HTWUIs then any Superset of X is a low utility itemset.

**Example:**

<table>
<thead>
<tr>
<th>TID</th>
<th>Transaction</th>
<th>TU</th>
</tr>
</thead>
<tbody>
<tr>
<td>T_1</td>
<td>(A,1) (C,10) (D,1)</td>
<td>17</td>
</tr>
<tr>
<td>T_2</td>
<td>(A,2) (C,6) (E,2) (G,5)</td>
<td>27</td>
</tr>
<tr>
<td>T_3</td>
<td>(A,2) (B,2) (D,6) (E,2) (F,1)</td>
<td>37</td>
</tr>
<tr>
<td>T_4</td>
<td>(B,4) (C,13) (D,3) (E,1)</td>
<td>30</td>
</tr>
<tr>
<td>T_5</td>
<td>(B,2) (C,4) (E,1) (G,2)</td>
<td>13</td>
</tr>
<tr>
<td>T_6</td>
<td>(A,1) (B,1) (C,1) (D,1) (H,2)</td>
<td>12</td>
</tr>
</tbody>
</table>
From Table 1 and 2 we have,

\[ u(\{A\}, T_1) = 5 \times 1 = 5; \]
\[ u(\{AD\}, T_1) = u(\{A\}, T_1) + u(\{D\}, T_1) = 5 + 2 = 7; \]
\[ u(\{AD\}) = u(\{AD\}, T_1) + u(\{AD\}, T_3) + u(\{AD\}, T_6) = 7 + 22 + 7 = 36; \]
\[ \text{TWU}({G}) = \text{TU}(T_2) + \text{TU}(T_5) = 27 + 13 = 40 \]

If minimum utility is set to 30 then \{G\} is high transaction weighted utility itemset (HTWUI). If minimum utility is set to 50, then \{G\} and its superset are not HTWUI due to downward closure property.

### 4. Background Study: Working of IHUP-Tree

IHUP (Incremental high utility pattern) was proposed by Ahmed et al. [8] to overcome problem of scanning database too many times to generate HTWUIs. Each node of IHUP tree stores information in form of item name, TWU and support count. IHUP algorithm works in three steps. First one is construction of IHUP tree, second one is generation of HTWUIs and third and last one is identification of high utility itemsets.

In first step all items are arranged in descending order of TWU. In fig 1 min_util is set to 40 hence items who’s TWU is below 40 are not included. This is because item and its superset will not be part of HTWUIs so it is better to exclude such kind of items. Items which are excluded are F, G and H. During insertion of transaction into tree itemsets are also sorted internally in descending order, for example in Table 1 Transaction T1 consist of item A,C and D. Now these items are also sorted in descending order of its TWU. After sorting we get sequence as C, D and A. So transaction T1 is inserted as follows. First C is inserted in left branch with entry as \([C]:10,1\) then D is inserted as child of C with entry as \([D]:2,1\) and lastly A is inserted as child of D with entry as \([A]:5,1\). Here first number after colon is profit of item and next one is support count.

![Figure 1: An IHUP-Tree when min_util = 40](image)

In similar way all transactions are inserted into tree. With addition of an each entry profit and support count of item is updated. After tree construction in second step HTWUIs are collected by using FP-Growth [3]. In last step high utility itemsets are identified by scanning database once more.

### 5. DGU and DGN Strategies

DGU and DGN basically try to reduce intermediate large candidate itemset generation. DGU strategy works in two scan, in first scan TU of each transaction is computed along with TWU of each item. In second scan items who’s TWU are less than threshold are removed from database. During removal TU of each transaction is also updated. Updated TU is called as RTU (Reorganized transaction utility).

DGU works according to following principle, since in construction of \(i_k\) tree, \(i_{k+1}, i_{k+2}\) items are not involved they can be discarded. Brief explanation of DGU is given further.

Before using above strategies we will first see data structure used in these strategies. Here like IHUP-Tree another data structure named UP-Tree is used. Difference between IHUP-Tree and UP-Tree is, UP-Tree stores item name in N.name, its utility N.nu, its parent N.parent, its horizontal link N.hlink and set of child nodes. In addition to this there is table called header table to facilitate traversal of UP-Tree.

The construction of Global UP-tree by applying DGU and DGN works in three steps. First Unpromising items are removed and RTU is calculated. Second transactions are sorted according to TWU. At last transactions are inserted into UP-Tree and its utility N.nu is updated. Now we will see illustration of DGU and DGN strategies with an example.

Consider transaction database in table 1 and profit of each item in table 2. Suppose min_util is set to 50. In first scan TU of each transaction and TWU of each item is computed. Values of TWU are computed as follows,

\[
\begin{align*}
A &= 17 + 27 + 37 + 12 = 93 \\
B &= 37 + 30 + 13 + 12 = 92 \\
C &= 17 + 27 + 30 + 13 + 12 = 99 \\
D &= 17 + 37 + 30 + 12 = 96 \\
E &= 27 + 37 + 30 + 13 = 107 \\
F &= 37 \\
G &= 27 + 13 = 40 \\
H &= 12 
\end{align*}
\]

As min_util is set to 50, F, G and H are unpromising items and hence are discarded. Remaining items are promising ones and are used further. When unpromising items are discarded TU of each transaction is also updated. The new TU is called RTU.

As stated earlier IHUP generates too many of HTWUIs in phase I, thus reduces mining performance. To overcome this problem two strategies are proposed namely DGU (Discarding Global Unpromising Items) and DGN (Decreasing Global Node Utilities). In next section we will see working of above mentioned strategies.
Table 3: Reorganized transaction utility

<table>
<thead>
<tr>
<th>TID</th>
<th>Reorganized transaction</th>
<th>RTU</th>
</tr>
</thead>
<tbody>
<tr>
<td>T₁⁺</td>
<td>(C,10) (D,1) (A,1)</td>
<td>17</td>
</tr>
<tr>
<td>T₂⁺</td>
<td>(E,2) (C,6) (A,2)</td>
<td>22</td>
</tr>
<tr>
<td>T₃⁺</td>
<td>(E,2) (D,6) (A,2)</td>
<td>32</td>
</tr>
<tr>
<td>T₄⁺</td>
<td>(E,1) (C,13) (D,3)</td>
<td>30</td>
</tr>
<tr>
<td>T₅⁺</td>
<td>(E,1) (C,4) (B,2)</td>
<td>11</td>
</tr>
<tr>
<td>T₆⁺</td>
<td>(C,1) (D,1) (A,1) (B,1)</td>
<td>10</td>
</tr>
</tbody>
</table>

After reorganization of transaction, they are inserted into global UP-Tree. For example consider transaction \( T₁⁺ \). When it is inserted first node \( N_C \) is created with \( N_C.item = \{C\} \) and \( N_C.count = 1 \). \( N_C.nu \) is calculated as \( RTU(T₁⁺) - u(\{D\},T₁⁺,\{A\},T₁⁺) \). On substituting values we get \( 17 - (2+5) = 10 \). Similarly each transaction is inserted into global UP-Tree and \( N_nu \) of each node is updated. After inserting all transaction global UP-Tree will look like as below.

![Figure 2: A UP-Tree after applying DGU and DGN](image)

When we compare tree produced in IHUP and tree produced by applying DGU and DGN we can notice utilities of nodes in UP-Tree are less than those in IHUP-Tree. Thus we DGU can say DGU and DGN further reduces number of HTWUIs. After construction of UP-Tree, last thing we have to do is to mine the tree for high utility itemset. Consider UP-Tree in fig 2. Assume \( min_util = 50 \). The bottom entry in header table is of item ‘B’. Now trace all \( \{B\} \) hlinks and sum up \( \{B\} \)'s node utility. After summing we get \( m_t\sum_{B} = 83 \). Thus new PHUIs (Potential High Utility Itemset ) \( \{B\}:83 \) is generated because 83 is greater than min util = 50. By tracing these routes to root, four paths \( <ADC>: 10, <DCE>: 30, <CE>: 11 \) and \( <ADE>: 32 \) are found. Numbers besides path are PU (path utility) of path which are nothing but nu of \( \{B\} \).

![Table 3: Reorganized transaction utility](image)

As we have considered \( min_util = 50 \), local unpromising item \( \{A\} \) is discarded and Reorganized path and path utility is calculated as shown in middle column of above table.

\[
\begin{align*}
PU\{A\} &= 10 + 32 = 42 \\
PU\{C\} &= 10 + 30 + 11 = 51 \\
PU\{D\} &= 10 + 30 + 32 = 72 \\
PU\{E\} &= 30 + 11 + 32 = 73
\end{align*}
\]

Now local UP-Tree is constructed as \{B\}-CPB from reorganized path. Consider insertion of reorganized path \( <DC> \) into \{B\}-Tree. First node \( N_D \) is created under root node with \( N_D.nu = 5 \) – minimum utility of \( \{C\} \) * \( <DC>.count = 5\cdot1 = 4 \). Second node \( N_C \) is created under \( N_D \) with \( N_C.nu = 5 \) and \( N_C.Count = 1 \). After inserting all path tree looks like as follows.

![Figure 3: Mining of \{B\}-CPB tree](image)

Remaining PHUIs from \{B\}-Tree are \{BD\}: 56+4 =60, \{BDE\}: 56 and \{BE\}: 62. After mining remaining entries in header table all PHUIs are obtained as \{A\}: 75, \{B\}:83, \{BD\}:60, \{BDE\}:56, \{BE\}:62 and \{D\}:55. Thus we have generated high utility itemsets efficiently.

6. Conclusion

We have seen many techniques for mining high utility itemsets starting with Apriori method till above discussed strategies. By far DGU and DGN strategies are been most efficient of all techniques. IHUP-Tree is efficient but produces lot many of intermediate itemsets. Thus two discussed strategies are efficient and can be used in various mining task where size of dataset is large.

References


