Improving KNN Method Based on Reduced Relational Grade for Microarray Missing Values Imputation

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Abstract—Microarray gene expression data generally suffers from missing values, which adversely affects downstream analysis. A new similarity metric method called reduced relational grade was proposed, based on which we further presented an improved KNN method named RKNN imputation algorithm for iteratively estimating microarray missing values. Reduced relational grade is an improvement of gray relational grade. The former can achieve the same performance as the latter, whereas the former can greatly reduce the time complexity. RKNN imputes missing data iteratively by considering the reduced relational grade as similarity metric and expanding the set of candidate genes for nearest neighbors with imputed genes, which increases the effect and performance of the imputation algorithm. We selected data sets of different kind, such as time series, mixed and non-time series, and then experimentally evaluated the proposed method. The results demonstrate that the reduced relational grade is effective and RKNN outperforms common imputation algorithms.

Index Terms—Gene expression data, reduced relational grade, imputation, iteration

I. INTRODUCTION

A n important part of human genome project is to analyze and utilize microarray gene expression data, which records the abundance of gene transcripts mRNA in cells and contains significant control information about gene function. Microarray analysis technology on gene expression data has been widely used in numerous fields related to investigating drug effects, identification of critical genes for diagnosis or therapy and cancer classification.

DNA microarray technology [1] is one of the most useful tools for monitoring gene expression level, which can simultaneously analyze the mRNA levels of thousands of genes in particular cells or tissues on a gene chip. In a DNA microarray experiment, plenty of DNA probes are fixed on a given spot, and then hybridized with samples of fluorescence labeled DNA, cDNA or RNA, so the gene sequence information can be obtained by detecting the strength of hybridization signal.

Even though microarray technology is efficient, accurate and low-cost, it still suffers from the problem of missing values due to a variety of internal or external factors in experiments. The missing value can account for 10% and even in some cases, up to 90% of genes have one or more missing values [2]. All of such issues as image corruption, hybridization failures, insufficient resolution, or dust and scratches on slide can cause gene missing values.

Many data analysis methods, such as principal component analysis (PCA), singular value decomposition (SVD) and hierarchical clustering, just can be applied with complete datasets without missing values. Besides, it has been found that missing values impede microarray data analysis and law discovery [4]. Experimenting repetitively is regarded as a way to solve missing data problem, but most of them are complex, costly and time-consuming. Deleting incomplete genes before analyzing is a simple approach to obtain a complete dataset. Unfortunately, deletion strategy omits incomplete genes, so it leads to insufficient original dataset especially for multivariate data like microarray gene expression. It generates serious bias and inaccurate conclusion when missing ratio is large or data distribution of missing values is non-random [5]. Missing value imputation [6]-[7] is a low-cost and efficient approach to recover all missing data without repetitive experiments [8]. Substituting missing values with the global or class-conditional mean/mode has been employed to handle missing values. Furthermore, imputation before analysis can significantly improve the performance of some machine learning algorithms which suffer missing values, namely C4.5, reference [9] shows that KNN imputation can enhance prediction accuracy of C4.5 over small software project datasets.

We propose an iterative imputation algorithm based on a kind of novel distance metric for predicting gene expression missing values, called Iterative imputation based on reduced relational grade (RKNN). RKNN measures the similarity between a gene with missing values and its nearest neighbors with the reduced relational grade, which improves gray relational grade. Besides, imputing missing values iteratively has high data utilization by using incomplete genes (with missing values). We experimentally evaluate the proposed algorithm on different kinds of publicly available microarray datasets and the results demonstrate that the reduced relational grade achieve similar performance as gray one when capturing ‘nearness’ but greatly reduces the time complexity. Moreover, RKNN algorithm outperforms the
conventional KNN method.

The rest of this paper is organized as follows. It has a brief review on related work about imputation methods in Section II. In Section III, we introduce the concept of gray relational grade. Both the reduced relational grade and RKNN algorithm are proposed in Section IV, while the analysis of them are discussed in Section V. In Section VI we conclude this paper.

II. RELATED WORK

Throughout this paper, the original gene expression matrix (with missing values) is denoted by $X$, which contains $n$ genes and $m$ attributes ($n \gg m$), where the $i$-th row represents gene $x_i$, and $x_i = [x_{i1}, x_{i2}, \ldots, x_{im}]$. $x_{ij}$ denotes the expression level of gene $x_i$ in sample $j$. All of complete genes from $X$ constitute a complete data matrix $X^{\text{complete}}$ (without missing values). The gene with missing values is called a target gene, and the set of genes with available information for imputing missing values in a target gene is referred as its candidate genes.

K nearest-neighbors (KNN) imputation is defined to find K nearest neighbors from complete data sets for the target gene assumed to have a missing value in attribute $j$, and then fill in the target gene with a weighted average of values in attribute $j$ from the K closest genes [10]. The idea of KNN is that objects close to each other are potentially similar. For a gene expression dataset, similar genes in similar experiments will have similar expression, based on which KNN implements the imputation for gene expression datasets.

Reference [10] presented a comparative study of three kinds of imputation methods, namely Singular Value Decomposition-based method, KNN and row average, on gene microarray data of different missing ratio. Experimental results showed that KNN imputation has the best robustness and accuracy. Reference [11] synthetically analyzed the performances of 23 kinds of imputation methods and demonstrated that KNN imputation has excellent estimation accuracy. So far, many researches have improved KNN imputation and they mainly aim at two aspects: the order of imputation and the metric distance. Among these researches, a sequential KNN (SKNN) imputation [12] method sorts the target genes (with missing values) according to their missing ratio and then imputes genes with the smallest missing rate first. Once all missing values in a target gene are imputed, the target gene will be considered as a complete one. Shell Neighbors imputation [13] fills in an incomplete instance by only using its left and right nearest neighbors with respect to each attribute, and the size of the set of nearest neighbors is determined by cross-validation method. Existing KNN imputation is based on Minkowski distance, which is a simple superimposed distance on different attributes of two genes without considering the whole data set. Reference [14] showed that gray relational grade is more appropriate to represent the proximity between two instances than Minkowski distance or others.

Single imputation that affords single estimation for each missing data is a kind of common strategy. Nevertheless, single imputation cannot provide effective standard errors and confidence intervals because it ignores the uncertainty of the imputed dataset [14]-[15]. Filling in missing values with iterative imputation is the alternative of single imputation. Reference [16] presented a nonparametric iterative imputation algorithm and confirmed that it outperforms normal single imputation. Iterative imputation based on gray relational grade (GKNN) proposed in [14] uses gray relational grade as its similar metric to select K nearest neighbors. GKNN can obtain great results when dealing with missing values in heterogeneous data (continuous and discrete data). However, GKNN is more suitable for small datasets, because calculating the grey correlation degree costs a lot of time with the expansion of the data scale. We propose a RKNN imputation algorithm based on GKNN in this paper, and reduced relational grade is designed as the similar metric method, which can significantly decrease time complexity and keep the good imputation performance compared with the conventional relational grade.

III. GRAY RELATIONAL GRADE

Gray System Theory (GST) was developed by Deng in 1982 [17]. The System is good at handling complex systems to get reliable results. Gray Relational Analysis (GRA), a method of GST, can seek the numerical relationship among different subsystems to measure the similarity. GRA is used to quantify the trend relationship of two systems or two elements in a system. Generally, if the development tendency between two systems is consistent, the relational grade is large. Otherwise, it is small.

Gray relational coefficient (GRC) is used to describe the similarity between a target and a candidate gene on the attribute $q$ in a given dataset. $x_i$ and $x_j$ represent the target and the candidate gene respectively. The GRC is defined as follows:

$$GRC(x_i, x_j) = \frac{\min_{1 \leq k < q} |x_{ik} - x_{jk}| + \rho \max_{1 \leq k < q} |x_{ik} - x_{jk}|}{\max_{1 \leq k < q} |x_{ik} - x_{jk}|}$$

(1)

where $\rho$ is the distinguishing coefficient, $\rho \in [0, 1]$ generally $\rho = 0.5$.

Gray relational grade takes mean processing to change each series’ gray relational coefficient at all attributes into their average as similarity metric of two genes.

$$\text{GRG}(x_i, x_j) = \frac{1}{m} \sum_{q=1}^{m} GRC(x_{iq}, x_{jq})$$

(2)

GRG measures the relationship between two genes at a global perspective, which overcomes the deficiency of Minkowski distance. When selecting K nearest neighbors for a target gene, the larger the value of gray relational grade is, the higher similarity and the less difference between genes are. Otherwise, the less similarity and the more difference.

IV. RKNN ALGORITHM

A. Reduced relational grade

Gene expression data matrix of high-dimensional describes the expression levels of thousands of genes in different
experimental conditions. According to (1), we must search the whole candidate dataset one time when calculating a GRC of each target gene. For gene data matrix, this kind of approach will cost too much time. In this paper, we propose a new relational coefficient denoted as Reduced Relational Coefficient (RRC), which is a kind of reduce of GRC. RRC is appropriate for measuring the nearness between a target gene $x_i$ and a candidate gene $x_j$ at a specific attributes $q$:

$$RRC(x_i, x_j) = \frac{\rho_{Max}(|x_i - \min_q|, |x_i - \max_q|)}{|x_i - x_j| + \rho_{Max}(|x_i - \min_q|, |x_i - \max_q|)}$$

(3)

Where function $\rho_{Max}[-]$ takes the larger one of two values. $\min_q$ and $\max_q$ refer to the minimum and maximum values of attributes $k$ respectively, which are easily obtained during the process of data inputting or data normalizing.

With experimenting in many times, we found the calculation result of formula $\min_q \min_q |x_i - x_a| \rightarrow 0$ always tends to zero, and the value of $\max_q \max_q |x_i - x_a|$ tends to $\max_q (|x_i - \min_q|, |x_i - \max_q|)$. In short, equation (3) is a simplification of (1), and that means the results of $\min_q \min_q |x_i - x_a|$ and $\max_q \max_q |x_i - x_a|$, which need a huge amount of computations, are approximately replaced by their extreme, so RRC can greatly reduce the time complexity.

In (3), $RRC(x_{iq}, x_{jq})$ is valued in $[0, 1]$. The greater the value of $RRC(x_{iq}, x_{jq})$, the larger the similarity between $x_{iq}$ and $x_{jq}$ will be. If $x_{iq} = x_{jq}$, $RRC(x_{iq}, x_{jq}) = 1$. On the contrary, if $x_{iq}$ and $x_{jq}$ have completely different values on attribute $q$, the value of $RRC(x_{iq}, x_{jq})$ is minimal. The reduced relational grade between the target gene $x_i$ and the candidate gene $x_j$ is defined as follows:

$$RRG(x_i, x_j) = \frac{1}{m} \sum_{j=1}^{m} RRC(x_{ij}, x_{ij})$$

(4)

Similarly, RRG is also the mean processing and the greater the RRG is, the larger similarity between genes is achieved.

Assume that the size of candidate gene dataset is $N^m$. For any target gene, when calculating its RRG with all of genes in candidate dataset, the time complexity is $O(N^mN^m)$; while calculating the RRG, the time complexity is reduced to $O(N^m)$. The improvement of time complexity is amazing, considering gene expression dataset is $N \gg m$.

B. Imputation

For a given target gene $x_i$ (the value of $x_{iq}$ is missing), RKNN calculates the $RRG(x_i, x_j)$ between $x_i$ and each candidate gene $x_j$, then selects $K$ most similar genes as its $K$ nearest neighbors and finally imputes $x_{ij}$ with the weighted average of its $K$ neighbor genes at attribute $t$:

$$\hat{y}_{ij} = \frac{\sum_{k=1}^{K} w_{ik} y_{ik}}{\sum_{k=1}^{K} w_{ik}}$$

(5)

Where $w_{ik}$ is the weight of $k$-th neighbor gene $x_k$ to $x_j$.

$$w_{ik} = RRG(x_i, x_k) / \sum_{k=1}^{K} RRG(x_i, x_k)$$

(6)

C. Data normalization

Generally, the similarity between two genes is dominated by attributes with greater magnitude units. To avoid the bias generated by unit difference and make the data processing convenient, data should be normalized before calculating the reduced relational grade for RKNN imputation algorithm. In this paper, we select Min-Max normalization. Original data will be normalized into $[0, 1]$. Assume that $\max(t)$ and $\min(t)$ represent the maximum and minimum values on attribute $t$ respectively, and $x_{ij}$ is the expression value of gene $x_i$ on attribute $t$. Data is normalized as follows:

$$\hat{x}_{ij} = \frac{x_{ij} - \min(t)}{\max(t) - \min(t)}$$

(7)

D. RKNN algorithm design

RKNN uses RRG as similarity metric method to select $K$ neighbors and iteratively imputes missing values with weighted average until the termination condition is satisfied.

Algorithm: RKNNImpute

Input: $X$ gene expression dataset $X$ with missing values

Output: complete gene expression dataset $X_{complete}$

01: Step1: Initialization
02: FOR each target gene $x_i$ in $X$
03: replace all missing values in $x_i$ with row averages
04: END FOR // obtaining a complete matrix $X_{complete}$
05: normalize $X_{complete}$, get $X_{complete()}$
06: Step2: Imputation
07: $h = 0$
08: REPEAT
09: $h++$ // the $k$th iterative imputation ($h = 1, 2, 3, \ldots$)
10: FOR each target gene $x_i$ in $X$
11: construct the candidate gene dataset based on $X_{complete(h-1)}$
12: FOR each candidate gene $x_j$
13: compute $RRG(x_i, x_j)$
14: END FOR
15: elect the $K$ nearest genes
16: impute all missing values in $x_i$ using equation(6)?
17: END FOR // obtaining $X_{complete(h)}$
18: FOR each imputation value $\hat{y}_{ij} \in X_{complete(h)}$
19: compute $\hat{y}_{ij}^{(n)} = \frac{1}{N} \sum_{j=1}^{N} (\hat{y}_{ij}^{(n)} - \hat{y}_{ij}^{(h-1)})^2$
20: END FOR
21: UNTIL $\sum_{i=1}^{N} (\hat{y}_{ij}^{(h)} - \hat{y}_{ij})^2$ < $\tau$ or reach $N_{max}$, the maximum number of iteration

Herein, generally convergence accuracy is $\tau = 10^{-3}$ and the maximum number of iteration is $N_a = 10$.

The accuracy of imputation algorithm is evaluated by the root mean square error (RMSE) as follows:

$$RMSE = \sqrt{\frac{\sum_{i=1}^{N} (\hat{y}_{ij} - y_{ij})^2}{N}}$$

(8)

Where $y_{ij}$ is the actual value; $\hat{y}_{ij}$ is the imputed value, and $N$ is the total number of missing values. The smaller the RMSE is, the better imputation accuracy will be, and it means the estimated value is close to the exact one.
V. EXPERIMENTS AND ANALYSIS

A. Data

Gene expression data from microarray technology is a matrix, which presents of expression level of various genes (rows) under different experimental conditions (columns). In this study, we used five public available microarray data sets in three different types obtained from the public genetic databases: http://www.ncbi.nlm.nih.gov/geo/.

Two data sets (data sets NTS1 and NTS2) from the study in yeast Saccharomyces cerevisiae consist of non-time series microarray data. The NTS1 is a comparison of cDNA coming from mex67-5 temperature-sensitive mutant and that from Mex67 wildtype strain both at 37°C, while NTS2 compares cDNA from yra1-1 temperature-sensitive mutant with that from Yra1 wildtype strain both at 37°C too. Both NS1 and NS2 have six samples representing six experiments.

The third and the fourth data sets (data sets TS1 and TS2) are time series data. TS1 tested the transcriptional response of S. cerevisiae to aeration after anaerobic growth. The six attributes of TS1 stands for how long it has been aerated. TS2 contains the data from a cdc15-2-based synchionisation, which is composed of 25 attributes implying different culture time.

The fifth data set belongs to a study of gene expression in Salmonella enterica after treating with 2mM hydrogen peroxide. It is termed by MIX, and contains both time and non-time course data.

Table I shows the dimensions of the original data matrices before and after pre-processing (complete data).

Before experimenting, missing values at different ratio were introduced into these five complete data sets randomly, and then they are analyzed by imputation algorithm.

B. Parameter K

KNN method or its variations have one thing in common: An appropriate K must be selected. The value of K can affect the prediction of KNN method or its variations. If K is too large, the similarity of some neighbors will be insufficient, and too much neighbors may result in imputation performance reduction; if K is too small, it will strengthen a few neighbors and the negative impact of noise data will increase simultaneously. The value of K is empirically found related to the type of data and missing ratio, but in theory, there is no exact formula. Reference [18] designed a procedure for selecting K automatically, and demonstrated that K can be set to any value in the range 10-15. Reference [10] addressed this question in KNN method and reported the best results for K is in the range 10-20. It was found experimentally that when K is valued in [10, 15], the fluctuation of K can hardly affect the performance of algorithms. Therefore, we take K=10 in subsequent experiments.

C. Experimental evaluation on RRG

In order to assess the performance of RRG, GRG was used as a reference. Whether RRG can improve the system property when compared with GRG was indirectly showed by the comparison results of RKNN and GKNN, since the only distinction of these two algorithms lies in different similarity metric methods.

Comparison results are presented in Fig. 1, where Fig. 1(a) display the RMSE on TS1 dataset with missing ratio 5%, 10%, 15%, 20%, respectively. Similarly, Fig. 1(b) and Fig. 1(c) are the results on datasets NTS1 and MIX, separately.

The results show that the RMSE of the second iteration dramatically decreases when compared with the first iteration imputation both in RKNN and GKNN algorithms at different missing ratio. So iterative procedure can refine the imputation value. From Fig 1, the two curves, which describe the performance of RKNN and GKNN, basically coincide in each subfigure. That indicates the two imputation algorithms based on RRG and GRG approximately have the same imputation accuracy, which means that considering neighbors selection and weight calculation, the same results as GRG are achieved by applying RRG as the similarity metric.
Overall, RRG has same performance as GRG on imputation accuracy. Moreover, RRG greatly reduces the time complexity.

D. Experimental evaluation on RKNN

In order to evaluate the proposed RKNN algorithm with some microarray data sets, two algorithms were selected in our experiments. One is the algorithm of sequential KNN imputation (SKNN), the other is the iterative KNN imputation (IKNN) [17] by changing normal KNN method into an iterative imputation based on iterative principle. RKNN, SKNN and IKNN are applied to five datasets TS1, TS2, NTS1, NTS2, and MIX at different missing ratio 5%, 10%, 15%, 20% and 25%. The experimental results in RMSE showed the phenomenon of prediction accuracy for these three imputation algorithms in Fig 2.

Table II presents time-consuming scale of the comparison experiments on dataset TS1, similarly Table III and Table IV display the time-consuming of RKNN and GKNN on dataset NTS1 and dataset MIX, respectively. Obviously, RRG proposed in this paper compared with GRG can decrease computational complexity significantly, and reduce runtime effectively as well.

<table>
<thead>
<tr>
<th>Table II</th>
<th>Time-consuming of RKNN and GKNN for Ten Iterations on TS1</th>
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<tbody>
<tr>
<td>Consuming time (ms)</td>
<td>Dataset TS1</td>
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<td>missing ratio</td>
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<td>GKNN</td>
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<th>Table III</th>
<th>Time-consuming of RKNN and GKNN for Ten Iterations on NTS1</th>
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</thead>
<tbody>
<tr>
<td>Consuming time (ms)</td>
<td>Dataset NTS1</td>
</tr>
<tr>
<td>missing ratio</td>
<td>5%</td>
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<tr>
<td>RKNN</td>
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<td>GKNN</td>
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<tr>
<th>Table IV</th>
<th>Time-consuming of RKNN and GKNN for Ten Iterations on MIX</th>
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<tbody>
<tr>
<td>Consuming time (ms)</td>
<td>Dataset MIX</td>
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Fig. 1. Experimental results for ten iterations on TS1, NTS1 and MIX datasets for RKNN and GKNN algorithms.

(c) Experimental results on MIX

(d) Comparative results on TS1

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From Fig 2, we find that the accuracies of algorithms decrease while the missing ratio increases generally. Fig. 2(d), Fig. 2(e) and Fig. 2(h) presented the results on time series datasets TS1, TS2, and mixed dataset MIX, respectively. The imputation accuracies of RKNN, SKNN and IKNN are close to each other over these three datasets, but we can still find out that RKNN has the smallest estimation error. The advantage of RKNN is very obvious on non-time series datasets NTS1 and NTS2 displayed in Fig. 2(f) and Fig. 2(g). The performance of algorithms depends on the type of datasets, and RKNN is more appropriate for non-time series datasets. Hence, compared with IKNN and SKNN algorithms, our method RKNN has the best performance.

VI. CONCLUSIONS

In this work, we proposed a new similarity metric method named reduced relational grade (RRG), which is an improvement of GRG. The performance of RRG was indirectly assessed and compared with GRG over three datasets of different types at different missing ratio. Considering estimation accuracy, RRG and GRG have the same similar results, but RRG significantly decreases the time complexity. Therefore, RRG is a kind of more efficient method to capture ‘nearness’ between two instances compared with GRG. Based on RRG, we further proposed an improved KNN method for estimating missing values on microarray gene expression data, named RKNN imputation. RKNN is ability to efficiently utilize data and it also can impute missing values iteratively. We experimentally evaluated the performance of RKNN compared with IKNN and SKNN algorithms on five datasets at different missing ratio. The results show that RKNN works well on imputing missing values. It should also be noted that the appropriate convergence accuracy and the maximum number of iteration can affect the performance of RKNN imputation, so how to efficiently and reasonably determine them would be further researched.

REFERENCES


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