Abstract — Overlapping clusters and different density clusters are recurrent phenomena of neuronal datasets, because of how neurons fire. We propose a clustering method that is able to identify clusters of arbitrary shapes, having different densities, and potentially overlapped. The Space Breakdown Method (SBM) divides the space into chunks of equal sizes. Based on the number of points inside the chunk, cluster centers are found and expanded. Even if we consider the particularities of neuronal data in designing the algorithm — not all data points need to be clustered, and the data space has a relatively low dimensionality — it can be applied successfully to other domains involving overlapping and different density clusters as well. The experiments performed on benchmark synthetic data show that the proposed approach has similar or better results than two well-known clustering algorithms.

Keywords—clustering; density; grid; spike sorting; machine learning; overlapping clusters; different density;

I. INTRODUCTION

Depending on their role, neurons in the brain fire at different rates: some neurons are excitatory and have a higher rate of firing, while others are inhibitory and fire less often [1]. Most methods for recording brain data capture the signals generated by a population of neurons, for example the extracellular microelectrodes technique; however, most often, the analyses performed subsequently generally need individual neuron data. Spike sorting addresses the problem of clustering the spikes recorded by an extra-cellular method according to the neuron that produced them.

Through this approach we have tried to identify the number of clusters and their general shape when dealing with large datasets of points which correspond to different density clusters with a gaussian distribution that can overlap.

The rest of the paper is organized as follows: section II discusses several algorithms for clustering, some of which are used for comparison with our SBM. Section III focuses on the description of the problems that we are dealing with and provides details of the approach. In section IV, the evaluation methods and the analysis of the results both quantitatively and qualitatively are presented. Section V consists of a discussion shaped spikes when firing in quick succession as opposed to isolated discharges, or spikes of different neurons can have similar features because of their relative position to the measuring electrode. Another potential challenge is the large volume of spike data. We assume the spikes are detected correctly and the right features are recorded [2]. The problem formulation, together with the additional challenges, can be translated into an imbalanced clustering problem. Because of this, an efficient solution to this problem should be generally applicable to any other imbalanced clustering problem, not only to spike sorting.

Our aim is to be able to identify the correct number of neurons recorded and assign the spikes to the neuron that produced them. But due to the noisy nature of the data, it is acceptable to define more clusters than the actual number of neurons and to merge them in a post-processing step. Noise should not be classified at all.
of the limits of the presented approach and the conclusions we have reached.

II. RELATED WORK

Two of the most used algorithms in clustering in general, but also for spike sorting in particular are DBSCAN [3] and K-Means [4].

K-Means [4] partitions the dataset into k clusters in which each point is claimed by the cluster with the nearest mean. One of the biggest disadvantages of the algorithm is that it is hard to estimate the number of clusters in advance. Another problem is that since it is centroid based, it has trouble identifying clusters of arbitrary shape.

DBSCAN [3] is a density-based approach that considers points residing in high density regions as belonging to the same clusters and marks low-density points as noise. DBSCAN does not require the number of clusters as input and is able to find clusters of arbitrary shapes, but it struggles with datasets that have clusters of different densities.

OPTICS [5] is another density-based approach, which aims to address the weakness of DBSCAN for imbalanced clusters. Just like DBSCAN, it does not require the number of clusters. One of the advantages is that OPTICS is not as parameter dependent as DBSCAN, it requires very little tuning. Another advantage is that it can find clusters with different densities.

PNAS [6] is an approach that engages in space evaluation by assessing the contribution of each dimension in the clustering. The algorithm deals with overlapping clusters in the preprocessing step by keeping only the cluster cores. It uses a multi-pass clustering method to deal with imbalanced clusters. And by evaluating each dimension it can easily deal with high-dimensional data.

III. THE SPACE BREAKDOWN METHOD

A. Problem characterization

The neuroscience issues described in the introduction boil down to a set of spikes that should be split into clusters having different densities and an unknown amount of overlap including the possibility of one/several to be completely embedded in other clusters, having different densities. A spike is modeled as a point in an N dimensional space, where N is the number of features selected to represent the spike. Our objective is to develop a clustering method that can handle large amounts of data points, but is also able to identify the number of different density clusters and “sort” the points to their respective cluster. Discovering more clusters than the actual number of neurons is acceptable as long as the number of misclassified points is kept to a minimum. A point that was not assigned to a cluster, even though it could have been part of one, is not considered misclassified.

Spike sorting datasets in neuroscience can have tens of thousands of points. They can contain dense clusters of excitatory neurons which can extend on a larger area and usually overlap. There are also smaller, less dense clusters of inhibitory neurons nearby. Because of their sparsity and their proximity to the denser clusters, it is difficult to distinguish them from noise. Most traditional clustering algorithms are not efficient in dealing with different density clusters or with slightly or totally overlapping clusters.

B. Solution overview

The main phases of the processing pipeline are illustrated in Figure 1. Since the data are points in an N dimensional space, we propose to start by normalizing the dataset to bring every point of the dataset in the range [0, PN] on all N dimensions. The partitioning number (PN) represents the number of chunks each axis is split in. Each chunk has the length of 1 on each dimension. In a 2D space the chunks are squares, in a 3D space they are cubes, etc. An N dimensional density array stores the number of points from the original dataset belonging to each of these unit chunks. This array will have PN elements in each dimension resulting in PN^N chunks. On this array, we look for the possible cluster centroids. We start by finding the elements that have a larger value than a given threshold which eliminates the possibility of noise chunks to be considered as cluster centroids. Empirical experiments suggest that half of the total amount of points divided by the number of chunks created, proved to be an acceptable threshold. Out of the chunks that passed that threshold, the chunks that are bigger than all their neighbors, i.e. the local maxima are considered to be the candidates for the centroids of all the clusters in the dataset. After finding the centroid candidates, we apply a Breadth-First Search (BFS) to expand each of these centroids by having an expansion queue which starts with the centroid and adding valid neighbors to the queue and the cluster. This results in each chunk receiving a label, that represents the cluster the chunk belongs to. These labels are gathered in a label array having the same size as the density array. The last step is to assign to each point in the dataset the label of the chunk it belongs to.

The approach has a time complexity of $O(n)$ for the normalize, chunkify and dechunkify algorithms and $O(PN^N)$ for the cluster centroid search and expansion algorithms.

C. Detailed algorithm

The input data is considered to be represented as a matrix, where the lines represent a point in space and the N columns (dimensions) represent the coordinates of the point. Two hyper-parameters have to be set: the partitioning number PN representing the number of chunks we create on each dimension and a threshold used to stop noise chunks from creating clusters.

The pseudocode for the proposed Space Breakdown Method (SBM):

1. $SBM(dataset, PN, threshold)$
2. $X = normalize(dataset, PN)$
3. $densityArray = chunkify(X, PN)$
4. $cc = findCentroids(densityArray, threshold)$
At first, we normalize the dataset to make the chunking process easier, by applying a min-max normalization (1)

\[ X' = \frac{X - \min(X)}{\max(X) - \min(X)} \] (1)

Then we multiply each point with PN to bring the dataset in the 0-PN range on each dimension.

The second step represents the core idea of the algorithm, which is to aggregate the points based on their location thus reducing the number of elements we work with. It stems from the objective of working with datasets with large number of points. We break the N dimensional space down into chunks that count the number of points located in them, thus making the number of points less relevant. Working with the generated chunks reduces significantly the data volume.

As inputs we have the normalized dataset of points \( X \) and \( PN \). As a result of this step we get a density array, that represents the chunkified dataset.

We transform the dataset into an N dimensional density array with PN elements on each dimension (line 2). Since each point now has the coordinates between \([0-PN]\), by flooring the array with PN elements on each dimension (line 2). Since each chunk reduces significantly the data volume.

The third step is to find the possible cluster centroids. We need the density array calculated in the previous step and a chosen threshold as inputs. The result is a list of the cluster centroids.

We iterate through all the \( PN^N \) elements in the density array (line 3) and check several conditions. Location represents an array with N elements containing the coordinates with which we access a chunk in the densityArray. First, for a chunk to be considered a centroid candidate, the value of the chunk must be greater than an input threshold (line 4). This reduces the possibility of noise chunks to create clusters. Second, the chunk must be a local maximum (line 5).

To be a local maximum, all of the neighbors of a chunk must have a value less than or equal to the chunk. We consider neighbors all chunks with a location that varies by at most 1 on any axis.

Once the cluster centroids candidates have been found, the algorithm goes through each candidate(SBM line 6) and, if the candidate was not included in another cluster yet(SBM line 5), it expands the cluster using the BFS approach.

The parameters for expand are: density array \( dnstyA \), the labels array we got so far \( lblsA \), the label with which we are marking the current cluster \( crntLbl \) and the list of the cluster centers \( cc \) to solve conflicts. The label of a cluster is the index of that clusters center in the \( cc \) array +1, this implies that the labels start from 1 and that label 0 represents unclustered. The output is an updated labels array which contains the expanded cluster.

\[ \text{return labels} \]
Once all the cluster candidates have been considered for expansion, the last step is what we call the dechunkification of the labels array back into the labels of the dataset. We need the original dataset X, the labels array resulted from the BFS and the partitioning number PN, to output the final point labels.

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IV. EMPIRICAL VALIDATION

For validation, we compared DBSCAN and K-Means to our algorithm on 4 datasets. The datasets have been chosen so that they have different types of densities and different amounts of overlapping. The 4 datasets are: S1, S2 and Unbalanced (U) provided by the University of Eastern Finland [9] and the fourth one, named Unbalance Overlapping (UO), was generated by us.

The datasets are synthetically generated, have two-dimensions and have the following characteristics:

- **S1** (Appendix, figure 1a) contains 5000 points distributed (Gaussian distribution) equally in 15 clusters (333 points each)
- **S2** (Appendix, figure 1b) contains 5000 points distributed (Gaussian distribution) equally in 15 clusters (333 points each)
- **U** (Appendix, figure 1c) contains 6500 points in 8 clusters, the 3 clusters on the right contain 2000 points each while the other 5 on the left side 100 each
- **UO** (Appendix Figure 1d) contains 4300 points with the following distribution:
  - 500 points with the cluster center at [-2, 0] and a standard deviation of 0.8 (blue)
  - 50 points with the cluster center at [-2, 3] and a standard deviation of 0.3 (cyan)
  - 1000 points with the cluster center at [3, -2] and a standard deviation of 1 (magenta)
  - 1250 points with the cluster center at [5, 6] and a standard deviation of 1 (yellow)
  - 250 points with cluster center at [4, -1] and a standard deviation of 0.1 (red)
  - 1250 points with cluster center at [1, -2] and a standard deviation of 0.2 (green)

We are interested in assigning the labeled points to the correct cluster, even if some points remain unlabeled (i.e points considered as noise). We compare the three algorithms using two external indices in two settings:

1) the ALL setting includes all the points for the calculation of the accuracy, while
2) the NNP setting (No Noise Points) will take into consideration only those points that have been labeled as belonging to a cluster (hence are not noise).

Because in the used datasets all the points belong to a cluster, but SBM does not assign a cluster to all the points, we need the NNP setting to show the actual accuracy of the points labeled by SBM.

SBM was designed to perform best for datasets with overlapping and unbalanced clusters such as the ones in the UO dataset. Even in the ALL setting, SBM performs better than other well-known algorithms for these cases (see last column in tables I and III).

The two metrics considered are the Adjusted Rand Index (ARI) [7] and the Adjusted Mutual Information (AMI) [8]. The result of ARI for the ALL and NNP settings can be viewed in Table I and Table II, while the result for AMI in Table III and Table IV.

The ARI uses the Rand Index (RI) metric with a slight adjustment to deal with chances (3). RI, given by the formula (2), estimates clustering quality by taking pairs of points, looking if they are in the same cluster (these are called agreements) or different clusters (these are called disagreements) in the predicted (cluster defined) and the true labels. The formula is the division of the agreements by the sum of the agreements and disagreements. The resulting value is adjusted for chance.

\[
RI = \frac{\text{agreements}}{\text{agreements} + \text{disagreements}}
\]  

\[
ARI = \frac{RI - \text{Expected}RI}{\text{Max}RI - \text{Expected}RI}
\]  

The Mutual Information (MI) of two clusters U and V is given by the formula (4) (where \(|X|\) is the number of points in the cluster X and N is the number of points in the dataset). The AMI is an adjustment for chance of the MI (5) (where \(H(U)\) is the entropy associated with U and E is the expected mutual information between two random clusters).

\[
MI(U, V) = \sum_{i=0}^{||U||} \sum_{j=0}^{||V||} \frac{|i \cap j|}{N} \log \log \frac{|i \cap j|}{|i| |j|}
\]

\[
AMI = \frac{M(U, V) - E(M(U, V))}{\text{average}(H(U), H(V)) - E(M(U, V))}
\]

**TABLE I. ADJUSTED RAND INDEX VALUES OBTAINED BY THE 3 CLUSTERING ALGORITHMS (ALL SETTING)**

<table>
<thead>
<tr>
<th></th>
<th>S1</th>
<th>S2</th>
<th>U</th>
<th>UO</th>
</tr>
</thead>
<tbody>
<tr>
<td>K-Means</td>
<td>99.49%</td>
<td>95.75%</td>
<td>100.00%</td>
<td>66.17%</td>
</tr>
<tr>
<td>DBSCAN</td>
<td>96.96%</td>
<td>84.74%</td>
<td>99.99%</td>
<td>56.69%</td>
</tr>
<tr>
<td>SBM</td>
<td>66.31%</td>
<td>53.60%</td>
<td>98.17%</td>
<td>84.56%</td>
</tr>
</tbody>
</table>

**TABLE II. ADJUSTED RAND INDEX VALUES OBTAINED BY THE 3 CLUSTERING ALGORITHMS (NNP SETTING)**

<table>
<thead>
<tr>
<th></th>
<th>S1</th>
<th>S2</th>
<th>U</th>
<th>UO</th>
</tr>
</thead>
<tbody>
<tr>
<td>K-Means</td>
<td>99.49%</td>
<td>95.75%</td>
<td>100.00%</td>
<td>66.17%</td>
</tr>
<tr>
<td>DBSCAN</td>
<td>99.51%</td>
<td>97.37%</td>
<td>99.99%</td>
<td>57.40%</td>
</tr>
<tr>
<td>SBM</td>
<td>100%</td>
<td>96.46%</td>
<td>99.99%</td>
<td>92.57%</td>
</tr>
</tbody>
</table>

**TABLE III. ADJUSTED MUTUAL INFORMATION VALUES OBTAINED BY THE 3 CLUSTERING ALGORITHMS (ALL SETTING)**

<table>
<thead>
<tr>
<th></th>
<th>S1</th>
<th>S2</th>
<th>U</th>
<th>UO</th>
</tr>
</thead>
<tbody>
<tr>
<td>K-Means</td>
<td>99.46%</td>
<td>96.36%</td>
<td>100.00%</td>
<td>72.99%</td>
</tr>
</tbody>
</table>
The parameters used for DBSCAN are:

- \( \text{min points} = \log \text{(dataset size)} \) for all datasets
- \( \text{eps} = 27000, 45000, 18000, 0.5 \) (S1, S2, U, UO)

The values used for \( k \) in K-Means are: 15 for S1, 15 for S2, 8 for U and 6 for UO.

On UO, we can see that the score of both K-Means and DBSCAN fall heavily, and we can easily see that they do not cluster correctly (Appendix, figures 2a and b), while SBM is able to find all of the clusters, but not all of the points of each cluster (Appendix, figure 3). We can also observe that SBM split the original yellow cluster in two, this is not a problem because a manual reviewer could merge those two clusters where as he could not split the clusters merged by K-Means (original blue and cyan are now one green cluster) and DBSCAN (original green, red and pink are now one red cluster).

SBM does not perform that well on S1 and S2 and that is because of what is considered noise. We can also observe that by removing the points that were classified as noise, K-Means performs the same since it does not label noise, DBSCAN performs better and SBM has a massive improvement being close or even better than K-Means and DBSCAN.

We also tested the duration of the execution for each algorithm. The implementation of the approach was done using python (version 3.6) with the following libraries: NumPy (version 1.16), matplotlib (version 3.1.0), sklearn (version 0.21.2) [10] and pandas (version 0.24).

SBM has a runtime somewhere in between K-Means and DBSCAN, this can be observed in Table V. We can also observe that the times across all datasets do not vary as much as they do for the other 2 algorithms.

The algorithms were run on a laptop with Intel Core i7 4720HQ at 2.60GHz with 4 cores hyperthreaded, 16GB RAM at 1600MHz, NVIDIA GeForce GTX 950M with 2048 MB of VRAM, 1 TB HDD with 5400 RPM with the following results (average over 100 runs):

### TABLE V. CLUSTERING EXECUTION TIME

<table>
<thead>
<tr>
<th></th>
<th>S1</th>
<th>S2</th>
<th>U</th>
<th>UO</th>
</tr>
</thead>
<tbody>
<tr>
<td>K-Means</td>
<td>0.147s</td>
<td>0.208s</td>
<td>0.078s</td>
<td>0.100s</td>
</tr>
</tbody>
</table>

### References

APPENDIX

The following figures depict the datasets used for validation:

- **Figure 1 – Datasets**
  - (a) - S1
  - (b) - S2
  - (c) - U
  - (d) - UO

- **Figure 2 – DBSCAN and K-Means on UO**
  - (a) - DBSCAN
  - (b) - K-Means

- **Figure 3 – SBM on UO**


