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# PREFIX-PROJECTION Global Constraint for Sequential Pattern Mining

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**Abstract.** Sequential pattern mining under constraints is a challenging data mining task. Many efficient ad hoc methods have been developed for mining sequential patterns, but they are all suffering from a lack of genericity. Recent works have investigated Constraint Programming (CP) methods, but they are not still effective because of their encoding. In this paper, we propose a global constraint based on the projected databases principle which remedies to this drawback. Experiments show that our approach clearly outperforms CP approaches and competes well with ad hoc methods on large datasets.

## 1 Introduction

Mining useful patterns in sequential data is a challenging task. Sequential pattern mining is among the most important and popular data mining task with many real applications such as the analysis of web click-streams, medical or biological data and textual data. For effectiveness and efficiency considerations, many authors have promoted the use of constraints to focus on the most promising patterns according to the interests given by the final user. In line with [15], many efficient ad hoc methods have been developed but they suffer from a lack of genericity to handle and to push simultaneously sophisticated combination of various types of constraints. Indeed, new constraints have to be hand-coded and their combinations often require new implementations.

Recently, several proposals have investigated relationships between sequential pattern mining and constraint programming (CP) to revisit data mining tasks in a declarative and generic way [5,11,9,12]. The great advantage of these approaches is their flexibility. The user can model a problem and express his queries by specifying what constraints need to be satisfied. But, all these proposals are not effective enough because of their CP encoding. Consequently, the design of new efficient declarative models for mining useful patterns in sequential data is clearly an important challenge for CP.

To address this challenge, we investigate in this paper the other side of the cross fertilization between data-mining and constraint programming, namely how the CP framework can benefit from the power of candidate pruning mechanisms used in sequential pattern mining. First, we introduce the global constraint PREFIX-PROJECTION for sequential pattern mining. PREFIX-PROJECTION uses a concise encoding and its filtering relies on the principle of projected databases [14]. The key idea is to divide the initial

database into smaller ones projected on the frequent subsequences obtained so far, then, mine locally frequent patterns in each projected database by growing a frequent prefix. This global constraint utilizes the principle of prefix-projected database to keep only locally frequent items alongside projected databases in order to remove infrequent ones from the domains of variables. Second, we show how the concise encoding allows for a straightforward implementation of the frequency constraint (PREFIX-PROJECTION constraint) and constraints on patterns such as size, item membership and regular expressions and the simultaneous combination of them. Finally, experiments show that our approach clearly outperforms CP approaches and competes well with ad hoc methods on large datasets for mining frequent sequential patterns or patterns under various constraints. It is worth noting that the experiments show that our approach achieves scalability while it is a major issue of CP approaches.

The paper is organized as follows. Section 2 recalls preliminaries. Section 3 provides a critical review of ad hoc methods and CP approaches for sequential pattern mining. Section 4 presents the global constraint PREFIX-PROJECTION. Section 5 reports experiments we performed. Finally, we conclude and draw some perspectives.

## 2 Preliminaries

This section presents background knowledge about sequential pattern mining and constraint satisfaction problems.

### 2.1 Sequential Patterns

Let  $\mathcal{I}$  be a finite set of *items*. The language of sequences corresponds to  $\mathcal{L}_{\mathcal{I}} = \mathcal{I}^n$  where  $n \in \mathbb{N}^+$ .

**Definition 1 (sequence, sequence database).** A sequence  $s$  over  $\mathcal{L}_{\mathcal{I}}$  is an ordered list  $\langle s_1 s_2 \dots s_n \rangle$ , where  $s_i$ ,  $1 \leq i \leq n$ , is an item.  $n$  is called the length of the sequence  $s$ . A sequence database  $SDB$  is a set of tuples  $(sid, s)$ , where  $sid$  is a sequence identifier and  $s$  a sequence.

**Definition 2 (subsequence,  $\preceq$  relation).** A sequence  $\alpha = \langle \alpha_1 \dots \alpha_m \rangle$  is a subsequence of  $s = \langle s_1 \dots s_n \rangle$ , denoted by  $(\alpha \preceq s)$ , if  $m \leq n$  and there exist integers  $1 \leq j_1 \leq \dots \leq j_m \leq n$ , such that  $\alpha_i = s_{j_i}$  for all  $1 \leq i \leq m$ . We also say that  $\alpha$  is contained in  $s$  or  $s$  is a super-sequence of  $\alpha$ . For example, the sequence  $\langle BABC \rangle$  is a super-sequence of  $\langle AC \rangle$ :  $\langle AC \rangle \preceq \langle BABC \rangle$ . A tuple  $(sid, s)$  contains a sequence  $\alpha$ , if  $\alpha \preceq s$ .

The cover of a sequence  $p$  in  $SDB$  is the set of all tuples in  $SDB$  in which  $p$  is contained. The support of a sequence  $p$  in  $SDB$  is the number of tuples in  $SDB$  which contain  $p$ .

**Definition 3 (coverage, support).** Let  $SDB$  be a sequence database and  $p$  a sequence.  $cover_{SDB}(p) = \{(sid, s) \in SDB \mid p \preceq s\}$  and  $sup_{SDB}(p) = \#cover_{SDB}(p)$ .

**Definition 4 (sequential pattern).** Given a minimum support threshold  $minsup$ , every sequence  $p$  such that  $sup_{SDB}(p) \geq minsup$  is called a sequential pattern [1].  $p$  is said to be frequent in  $SDB$ .

sid	Sequence
1	$\langle ABCBC \rangle$
2	$\langle BABBC \rangle$
3	$\langle AB \rangle$
4	$\langle BCD \rangle$

Table 1:  $SDB_1$ : a sequence database example.

*Example 1.* Table 1 represents a sequence database of four sequences where the set of items is  $\mathcal{I} = \{A, B, C, D\}$ . Let the sequence  $p = \langle AC \rangle$ . We have  $cover_{SDB_1}(p) = \{(1, s_1), (2, s_2)\}$ . If we consider  $minsup = 2$ ,  $p = \langle AC \rangle$  is a sequential pattern because  $sup_{SDB_1}(p) \geq 2$ .

**Definition 5 (sequential pattern mining (SPM)).** Given a sequence database  $SDB$  and a minimum support threshold  $minsup$ . The problem of sequential pattern mining is to find all patterns  $p$  such that  $sup_{SDB}(p) \geq minsup$ .

## 2.2 SPM under Constraints

In this section, we define the problem of mining sequential patterns in a sequence database satisfying user-defined constraints. Then, we review the most usual constraints for the sequential mining problem [15].

**Problem statement.** Given a constraint  $C(p)$  on pattern  $p$  and a sequence database  $SDB$ , the problem of constraint-based pattern mining is to find the complete set of patterns satisfying  $C(p)$ . In the following, we present different types of constraints that we explicit in the context of sequence mining. All these constraints will be handled by our concise encoding (see Sections 4.2 and 4.5).

- The minimum size constraint  $size(p, \ell_{min})$  states that the number of items of  $p$  must be greater than or equal to  $\ell_{min}$ .
- The item constraint  $item(p, t)$  states that an item  $t$  must belong (or not) to a pattern  $p$ .
- The regular expression constraint [7]  $reg(p, exp)$  states that a pattern  $p$  must be accepted by the deterministic finite automata associated to the regular expression  $exp$ .

## 2.3 Projected Databases

We now present the necessary definitions related to the concept of *projected databases* [14].

**Definition 6 (prefix, projection, suffix).** Let  $\beta = \langle \beta_1 \dots \beta_n \rangle$  and  $\alpha = \langle \alpha_1 \dots \alpha_m \rangle$  be two sequences, where  $m \leq n$ .

- Sequence  $\alpha$  is called the *prefix* of  $\beta$  iff  $\forall i \in [1..m], \alpha_i = \beta_i$ .
- Sequence  $\beta = \langle \beta_1 \dots \beta_n \rangle$  is called the *projection* of some sequence  $s$  w.r.t.  $\alpha$ , iff (1)  $\beta \preceq s$ , (2)  $\alpha$  is a prefix of  $\beta$  and (3) there exists no proper super-sequence  $\beta'$  of  $\beta$  such that  $\beta' \preceq s$  and  $\beta'$  also has  $\alpha$  as prefix.
- Sequence  $\gamma = \langle \beta_{m+1} \dots \beta_n \rangle$  is called the *suffix* of  $s$  w.r.t.  $\alpha$ . With the standard concatenation operator "concat", we have  $\beta = concat(\alpha, \gamma)$ .

**Definition 7 (projected database).** Let  $SDB$  be a sequence database, the  $\alpha$ -projected database, denoted by  $SDB|_{\alpha}$ , is the collection of suffixes of sequences in  $SDB$  w.r.t. prefix  $\alpha$ .

[14] have proposed an efficient algorithm, called `PrefixSpan`, for mining sequential patterns based on the concept of *projected databases*. It proceeds by dividing the initial database into smaller ones projected on the frequent subsequences obtained so far; only their corresponding suffixes are kept. Then, sequential patterns are mined in each projected database by exploring only locally frequent patterns.

*Example 2.* Let us consider the sequence database of Table 1 with  $minsup = 2$ . `PrefixSpan` starts by scanning  $SDB_1$  to find all the frequent items, each of them is used as a prefix to get projected databases. For  $SDB_1$ , we get 3 disjoint subsets w.r.t. the prefixes  $\langle A \rangle$ ,  $\langle B \rangle$ , and  $\langle C \rangle$ . For instance,  $SDB_1|_{\langle A \rangle}$  consists of 3 suffix sequences:  $\{(1, \langle BCBC \rangle), (2, \langle BC \rangle), (3, \langle B \rangle)\}$ . Consider the projected database  $SDB_1|_{\langle A \rangle}$ , its locally frequent items are  $B$  and  $C$ . Thus,  $SDB_1|_{\langle A \rangle}$  can be recursively partitioned into 2 subsets w.r.t. the two prefixes  $\langle AB \rangle$  and  $\langle AC \rangle$ . The  $\langle AB \rangle$ - and  $\langle AC \rangle$ - projected databases can be constructed and recursively mined similarly. The processing of a  $\alpha$ -projected database terminates when no frequent subsequence can be generated.

Proposition 1 establishes the support count of a sequence  $\gamma$  in  $SDB|_{\alpha}$  [14]:

**Proposition 1 (Support count).** For any sequence  $\gamma$  in  $SDB$  with prefix  $\alpha$  and suffix  $\beta$  s.t.  $\gamma = \text{concat}(\alpha, \beta)$ ,  $sup_{SDB}(\gamma) = sup_{SDB|_{\alpha}}(\beta)$ .

This proposition ensures that only the sequences in  $SDB$  grown from  $\alpha$  need to be considered for the support count of a sequence  $\gamma$ . Furthermore, only those suffixes with prefix  $\alpha$  should be counted.

## 2.4 CSP and Global Constraints

A *Constraint Satisfaction Problem* (CSP) consists of a set  $X$  of  $n$  variables, a domain  $\mathcal{D}$  mapping each variable  $X_i \in X$  to a finite set of values  $D(X_i)$ , and a set of constraints  $\mathcal{C}$ . An assignment  $\sigma$  is a mapping from variables in  $X$  to values in their domains:  $\forall X_i \in X, \sigma(X_i) \in D(X_i)$ . A constraint  $c \in \mathcal{C}$  is a subset of the cartesian product of the domains of the variables that are in  $c$ . The goal is to find an assignment such that all constraints are satisfied.

**Domain consistency (DC).** Constraint solvers typically use backtracking search to explore the space of partial assignments. At each assignment, filtering algorithms prune the search space by enforcing local consistency properties like domain consistency. A constraint  $c$  on  $X$  is domain consistent, if and only if, for every  $X_i \in X$  and for every  $d_i \in D(X_i)$ , there is an assignment  $\sigma$  satisfying  $c$  such that  $\sigma(X_i) = d_i$ . Such an assignment is called a support.

**Global constraints** provide shorthands to often-used combinatorial substructures. We present two global constraints. Let  $X = \langle X_1, X_2, \dots, X_n \rangle$  be a sequence of  $n$  variables. Let  $V$  be a set of values,  $l$  and  $u$  be two integers s.t.  $0 \leq l \leq u \leq n$ , the constraint `Among`( $X, V, l, u$ ) states that each value  $a \in V$  should occur at least  $l$  times and at most  $u$  times in  $X$  [4]. Given a deterministic finite automaton  $A$ , the constraint `Regular`( $X, A$ ) ensures that the sequence  $X$  is accepted by  $A$  [16].

### 3 Related works

This section provides a critical review of ad hoc methods and CP approaches for SPM.

#### 3.1 Ad hoc Methods for SPM

GSP [17] was the first algorithm proposed to extract sequential patterns. It uses a generate-and test approach. Later, two major classes of methods have been proposed:

- Depth-first search based on a vertical database format e.g. `cSpade` incorporating constraints (max-gap, max-span, length) [21], `SPADE` [22] or `SPAM` [2].
- Projected pattern growth such as `PrefixSpan` [14] and its extensions, e.g. `ClOspan` for mining closed sequential patterns [19] or `Gap-BIDE` [10] tackling the gap constraint.

In [7], the authors proposed `SPIRIT` based on `GSP` for SPM with regular expressions. Later, [18] introduces `Sequence Mining Automata (SMA)`, a new approach based on a specialized kind of Petri Net. Two variants of `SMA` were proposed: `SMA-1P` (`SMA` one pass) and `SMA-FC` (`SMA` Full Check). `SMA-1P` processes by means of the `SMA` all sequences one by one, and enters all resulting valid patterns in a hash table for support counting, while `SMA-FC` allows frequency based pruning during the scan of the database. Finally, [15] provides a survey for other constraints such as regular expressions, length and aggregates. But, all these proposals, though efficient, are ad hoc methods suffering from a lack of genericity. Adding new constraints often requires to develop new implementations.

#### 3.2 CP Methods for SPM

Following the work of [8] for itemset mining, several methods have been proposed to mine sequential patterns using CP.

**Proposals.** [5] have proposed a first SAT-based model for discovering a special class of patterns with wildcards<sup>1</sup> in a single sequence under different types of constraints (e.g. frequency, maximality, closedness). [11] have proposed a CSP model for SPM. Each sequence is encoded by an automaton capturing all subsequences that can occur in it. [9] have proposed a CSP model for SPM with wildcards. They show how some constraints dealing with local patterns (e.g. frequency, size, gap, regular expressions) and constraints defining more complex patterns such as relevant subgroups [13] and top- $k$  patterns can be modeled using a CSP. [12] have proposed two CP encodings for the SPM. The first one uses a global constraint to encode the subsequence relation (denoted `global-p.f`), while the second one encodes explicitly this relation using additional variables and constraints (denoted `decomposed-p.f`).

All these proposals use **reified constraints** to encode the database. A reified constraint associates a boolean variable to a constraint reflecting whether the constraint is satisfied (value 1) or not (value 0). For each sequence  $s$  of  $SDB$ , a reified constraint, stating whether (or not) the unknown pattern  $p$  is a subsequence of  $s$ , is imposed:  $(S_s = 1) \Leftrightarrow (p \preceq s)$ . A great consequence is that the encoding of the frequency measure is straightforward:  $freq(p) = \sum_{s \in SDB} S_s$ . But such an encoding has a major drawback since it requires  $(m = \#SDB)$  reified constraints to encode the whole

<sup>1</sup> A wildcard is a special symbol that matches any item of  $\mathcal{I}$  including itself.

database. This constitutes a strong limitation of the size of the databases that could be managed.

Most of these proposals encode **the subsequence relation** ( $p \preceq s$ ) using variables  $Pos_{s,j}$  ( $s \in SDB$  and  $1 \leq j \leq \ell$ ) to determine a position where  $p$  occurs in  $s$ . Such an encoding requires a large number of additional variables ( $m \times \ell$ ) and makes the labeling computationally expensive. In order to address this drawback, [12] have proposed a global constraint `exists-embedding` to encode the subsequence relation, and used projected frequency within an ad hoc specific branching strategy to keep only frequent items before branching over the variables of the pattern. But, this encoding still relies on reified constraints and requires to impose  $m$  `exists-embedding` global constraints.

So, we propose in the next section the `PREFIX-PROJECTION` global constraint that fully exploits the principle of projected databases to encode both the subsequence relation and the frequency constraint. `PREFIX-PROJECTION` does not require any reified constraints nor any extra variables to encode the subsequence relation. As a consequence, usual SPM constraints (see Section 2.2) can be encoded in a straightforward way using directly the (global) constraints of the CP solver.

## 4 PREFIX-PROJECTION Global Constraint

This section presents the `PREFIX-PROJECTION` global constraint for the SPM problem.

### 4.1 A Concise Encoding

Let  $P$  be the unknown pattern of size  $\ell$  we are looking for. The symbol  $\square$  stands for an empty item and denotes the end of a sequence. The unknown pattern  $P$  is encoded with a sequence of  $\ell$  variables  $\langle P_1, P_2, \dots, P_\ell \rangle$  s.t.  $\forall i \in [1 \dots \ell], D(P_i) = \mathcal{I} \cup \{\square\}$ . There are two basic rules on the domains:

1. To avoid the empty sequence, the first item of  $P$  must be non empty, so ( $\square \notin D_1$ ).
2. To allow patterns with less than  $\ell$  items, we impose that  $\forall i \in [1..(\ell-1)], (P_i = \square) \rightarrow (P_{i+1} = \square)$ .

### 4.2 Definition and Consistency Checking

The global constraint `PREFIX-PROJECTION` ensures both subsequence relation and minimum frequency constraint.

**Definition 8 (PREFIX-PROJECTION global constraint).** *Let  $P = \langle P_1, P_2, \dots, P_\ell \rangle$  be a pattern of size  $\ell$ .  $\langle d_1, \dots, d_\ell \rangle \in D(P_1) \times \dots \times D(P_\ell)$  is a solution of `PREFIX-PROJECTION` ( $P, SDB, minsup$ ) iff  $sup_{SDB}(\langle d_1, \dots, d_\ell \rangle) \geq minsup$ .*

**Proposition 2.** *A `PREFIX-PROJECTION` ( $P, SDB, minsup$ ) constraint has a solution if and only if there exists an assignment  $\sigma = \langle d_1, \dots, d_\ell \rangle$  of variables of  $P$  s.t.  $SDB|_\sigma$  has at least  $minsup$  suffixes of  $\sigma$ :  $\#SDB|_\sigma \geq minsup$ .*

*Proof:* This is a direct consequence of proposition 1. We have straightforwardly  $sup_{SDB}(\sigma) = sup_{SDB|_\sigma}(\langle \rangle) = \#SDB|_\sigma$ . Thus, suffixes of  $SDB|_\sigma$  are supports of  $\sigma$  in the constraint `PREFIX-PROJECTION` ( $P, SDB, minsup$ ), provided that  $\#SDB|_\sigma \geq minsup$ .  $\square$

The following proposition characterizes values in the domain of unassigned (i.e. future) variable  $P_{i+1}$  that are consistent with the current assignment of variables  $\langle P_1, \dots, P_i \rangle$ .

**Proposition 3.** Let  $\sigma^2 = \langle d_1, \dots, d_i \rangle$  be a current assignment of variables  $\langle P_1, \dots, P_i \rangle$ ,  $P_{i+1}$  be a future variable. A value  $d \in D(P_{i+1})$  appears in a solution for PREFIX-PROJECTION  $(P, SDB, minsup)$  if and only if  $d$  is a frequent item in  $SDB|_\sigma$ :

$$\#\{(sid, \gamma) | (sid, \gamma) \in SDB|_\sigma \wedge \langle d \rangle \preceq \gamma\} \geq minsup$$

*Proof:* Suppose that value  $d \in D(P_{i+1})$  occurs in  $SDB|_\sigma$  more than  $minsup$ . From proposition 1, we have  $sup_{SDB}(concat(\sigma, \langle d \rangle)) = sup_{SDB|_\sigma}(\langle d \rangle)$ . Hence, the assignment  $\sigma \cup \langle d \rangle$  satisfies the constraint, so  $d \in D(P_{i+1})$  participates in a solution.  $\square$

**Anti-monotonicity of the frequency measure.** If a pattern  $p$  is not frequent, then any pattern  $p'$  satisfying  $p \preceq p'$  is not frequent. From proposition 3 and according to the *anti-monotonicity property*, we can derive the following pruning rule:

**Proposition 4.** Let  $\sigma = \langle d_1, \dots, d_i \rangle$  be a current assignment of variables  $\langle P_1, \dots, P_i \rangle$ . All values  $d \in D(P_{i+1})$  that are locally not frequent in  $SDB|_\sigma$  can be pruned from the domain of variable  $P_{i+1}$ . Moreover, these values  $d$  can also be pruned from the domains of variables  $P_j$  with  $j \in [i+2, \dots, \ell]$ .

*Proof:* Let  $\sigma = \langle d_1, \dots, d_i \rangle$  be a current assignment of variables  $\langle P_1, \dots, P_i \rangle$ . Let  $d \in D(P_{i+1})$  s.t.  $\sigma' = concat(\sigma, \langle d \rangle)$ . Suppose that  $d$  is not frequent in  $SDB|_\sigma$ . According to proposition 1,  $sup_{SDB|_\sigma}(\langle d \rangle) = sup_{SDB}(\sigma') < minsup$ , thus  $\sigma'$  is not frequent. So,  $d$  can be pruned from the domain of  $P_{i+1}$ .

Suppose that the assignment  $\sigma$  has been extended to  $concat(\sigma, \alpha)$ , where  $\alpha$  corresponds to the assignment of variables  $P_j$  (with  $j > i$ ). If  $d \in D(P_{i+1})$  is not frequent, it is straightforward that  $sup_{SDB|_\sigma}(concat(\alpha, \langle d \rangle)) \leq sup_{SDB|_\sigma}(\langle d \rangle) < minsup$ . Thus, if  $d$  is not frequent in  $SDB|_\sigma$ , it will be also not frequent in  $SDB|_{concat(\sigma, \alpha)}$ . So,  $d$  can be pruned from the domains of  $P_j$  with  $j \in [i+2, \dots, \ell]$ .  $\square$

*Example 3.* Consider the sequence database of Table 1 with  $minsup = 2$ . Let  $P = \langle P_1, P_2, P_3 \rangle$  with  $D(P_1) = \mathcal{I}$  and  $D(P_2) = D(P_3) = \mathcal{I} \cup \{\square\}$ . Suppose that  $\sigma(P_1) = A$ , PREFIX-PROJECTION  $(P, SDB, minsup)$  will remove values  $A$  and  $D$  from  $D(P_2)$  and  $D(P_3)$ , since the only locally frequent items in  $SDB|_{\langle A \rangle}$  are  $B$  and  $C$ .

Proposition 4 guarantees that any value (i.e. item)  $d \in D(P_{i+1})$  present but not frequent in  $SDB|_\sigma$  does not need to be considered when extending  $\sigma$ , thus avoiding searching over it. Clearly, our global constraint encodes the anti-monotonicity of the frequency measure in a simple and elegant way, while CP methods for SPM have difficulties to handle this property. In [12], this is achieved by using very specific propagators and branching strategies, making the integration quite complex (see [12]).

### 4.3 Building the projected databases.

The key issue of our approach lies in the construction of the projected databases. When projecting a prefix, instead of storing the whole suffix as a projected subsequence, one can represent each suffix by a pair  $(sid, start)$  where  $sid$  is the sequence identifier and  $start$  is the starting position of the projected suffix in the sequence  $sid$ . For instance, let

<sup>2</sup> We indifferently denote  $\sigma$  by  $\langle d_1, \dots, d_i \rangle$  or by  $\langle \sigma(P_1), \dots, \sigma(P_i) \rangle$ .



---

**Algorithm 1:** PROJECTSDB( $SDB, ProjSDB, \alpha$ )

---

**Data:**  $SDB$ : initial database;  $ProjSDB$ : projected sequences;  $\alpha$ : prefix

```
begin
1   $SDB|_{\alpha} \leftarrow \emptyset$ ;
2  for each pair  $(sid, start) \in ProjSDB$  do
3     $s \leftarrow SDB[sid]$ ;
4     $pos_{\alpha} \leftarrow 1; pos_s \leftarrow start$ ;
5    while  $(pos_{\alpha} \leq \# \alpha \wedge pos_s \leq \# s)$  do
6      if  $(\alpha[pos_{\alpha}] = s[pos_s])$  then
7         $pos_{\alpha} \leftarrow pos_{\alpha} + 1$ ;
8       $pos_s \leftarrow pos_s + 1$ ;
9    if  $(pos_{\alpha} = \# \alpha + 1)$  then
10    $SDB|_{\alpha} \leftarrow SDB|_{\alpha} \cup \{(sid, pos_s)\}$ 
11 return  $SDB|_{\alpha}$ ;
```

---

us consider the sequence database of Table 1. As shown in example 2,  $SDB|_{\langle A \rangle}$  consists of 3 suffix sequences:  $\{(1, \langle BCBC \rangle), (2, \langle BC \rangle), (3, \langle B \rangle)\}$ . By using the *pseudo-projection*,  $SDB|_{\langle A \rangle}$  can be represented by the following three pairs:  $\{(1, 2), (2, 3), (3, 2)\}$ . This is the principle of *pseudo-projection*, adopted in PREFIXSPAN, exploited during the filtering step of our PREFIX-PROJECTION global constraint. Algorithm 1 details this principle. It takes as input a set of projected sequences  $ProjSDB$  and a prefix  $\alpha$ . The algorithm processes all the pairs  $(sid, start)$  of  $ProjSDB$  one by one (line 2), and searches for the lowest location of  $\alpha$  in the sequence  $s$  corresponding to the  $sid$  of that sequence in  $SDB$  (lines 6-8).

In the worst case, PROJECTSDB processes all the items of all sequences. So, the time complexity is  $O(\ell \times m)$ , with  $m = \#SDB$  and  $\ell$  is the length of the longest sequence in  $SDB$ . The worst case space complexity of pseudo-projection is  $O(m)$ , since we need to store for each sequence only a pair  $(sid, start)$ , while for the standard projection the space complexity is  $O(m \times \ell)$ . Clearly, the pseudo-projection takes much less space than the standard projection.

#### 4.4 Filtering

Ensuring DC on PREFIX-PROJECTION( $P, SDB, minsup$ ) is equivalent to finding a sequential pattern of length  $(\ell - 1)$  and then checking whether this pattern remains a frequent pattern when extended to any item  $d_{\ell}$  in  $D(P_{\ell})$ . Thus, finding such an assignment (i.e. support) is as much as difficult than the original problem of sequential pattern mining. [20] has proved that the problem of counting the number of maximal<sup>3</sup> frequent patterns in a database of sequences is #P-complete, thereby proving the NP-hardness of the problem of mining maximal frequent sequences. The difficulty is due to the exponential number of candidates that should be parsed to find the frequent patterns. Thus, finding, for every variable  $P_i \in P$  and for every  $d_i \in D(P_i)$ , an assignment  $\sigma$  satisfying PREFIX-PROJECTION( $P, SDB, minsup$ ) s.t.  $\sigma(P_i) = d_i$  is of exponential nature.

So, the filtering of the PREFIX-PROJECTION constraint maintains a consistency lower than DC. This consistency is based on specific properties of the projected databases

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<sup>3</sup> A sequential pattern  $p$  is maximal if there is no sequential pattern  $q$  such that  $p \preceq q$ .

---

**Algorithm 2:** FILTER-PREFIX-PROJECTION( $SDB, \sigma, i, P, minsup$ )

---

**Data:**  $SDB$ : initial database;  $\sigma$ : current prefix  $\langle \sigma(P_1), \dots, \sigma(P_i) \rangle$ ;  $minsup$ : the minimum support threshold;  $\mathcal{PSDB}$ : internal data structure of PREFIX-PROJECTION for storing pseudo-projected databases

```
begin
1  if ( $i \geq 2 \wedge \sigma(P_i) = \square$ ) then
2      for  $j \leftarrow i + 1$  to  $\ell$  do
3           $P_j \leftarrow \square$ ;
4      return True;
   else
5        $\mathcal{PSDB}_i \leftarrow \text{PROJECTSDB}(SDB, \mathcal{PSDB}_{i-1}, \langle \sigma(P_i) \rangle)$ ;
6       if ( $\#\mathcal{PSDB}_i < minsup$ ) then
7           return False;
   else
8        $\mathcal{FI} \leftarrow \text{GETFREQUITEMS}(SDB, \mathcal{PSDB}_i, minsup)$ ;
9       for  $j \leftarrow i + 1$  to  $\ell$  do
10          foreach  $a \in D(P_j)$  s.t. ( $a \neq \square \wedge a \notin \mathcal{FI}$ ) do
11               $D(P_j) \leftarrow D(P_j) - \{a\}$ ;
12          return True;
```

FUNCTION GETFREQUITEMS( $SDB, ProjSDB, minsup$ );

**Data:**  $SDB$ : the initial database;  $ProjSDB$ : pseudo-projected database;  $minsup$ : the minimum support threshold;  $ExistsItem, SupCount$ : internal data structures using a hash table for support counting over items;

```
begin
13   $SupCount[] \leftarrow \{0, \dots, 0\}$ ;  $F \leftarrow \emptyset$ ;
14  for each pair  $(sid, start) \in ProjSDB$  do
15       $ExistsItem[] \leftarrow \{false, \dots, false\}$ ;  $s \leftarrow SDB[sid]$ ;
16      for  $i \leftarrow start$  to  $\#s$  do
17           $a \leftarrow s[i]$ ;
18          if ( $\neg ExistsItem[a]$ ) then
19               $SupCount[a] \leftarrow SupCount[a] + 1$ ;  $ExistsItem[a] \leftarrow true$ ;
20              if ( $SupCount[a] \geq minsup$ ) then
21                   $F \leftarrow F \cup \{a\}$ ;
22  return  $F$ ;
```

---

(see Proposition 3), and anti-monotonicity of the frequency constraint (see Proposition 4), and resembles forward-checking regarding Proposition 3. PREFIX-PROJECTION is considered as a global constraint, since all variables share the same internal data structures that awake and drive the filtering.

Algorithm 2 describes the pseudo-code of the filtering algorithm of the PREFIX-PROJECTION constraint. It is an incremental filtering algorithm that should be run when some  $i$  first variables are assigned according to the following lexicographic ordering  $\langle P_1, P_2, \dots, P_\ell \rangle$  of variables of  $P$ . It exploits internal data-structures enabling to enhance the filtering algorithm. More precisely, it uses an incremental data structure, denoted  $\mathcal{PSDB}$ , that stores the intermediate pseudo-projections of  $SDB$ , where  $\mathcal{PSDB}_i$  ( $i \in [0, \dots, \ell]$ ) corresponds to the  $\sigma$ -projected database of the current partial assignment  $\sigma = \langle \sigma(P_1), \dots, \sigma(P_i) \rangle$  (also called prefix) of variables  $\langle P_1, \dots, P_i \rangle$ , and  $\mathcal{PSDB}_0 = \{(sid, 1) | (sid, s) \in SDB\}$  is the initial pseudo-projected database of  $SDB$  (case where  $\sigma = \langle \rangle$ ). It also uses a hash table indexing the items  $\mathcal{I}$  into integers  $(1 \dots \#\mathcal{I})$  for an efficient support counting over items (see function `getFreqItems`).

Algorithm 2 takes as input the current partial assignment  $\sigma = \langle \sigma(P_1), \dots, \sigma(P_i) \rangle$  of variables  $\langle P_1, \dots, P_i \rangle$ , the length  $i$  of  $\sigma$  (i.e. position of the last assigned variable in  $P$ ) and the minimum support threshold  $minsup$ . It starts by checking if the last assigned variable  $P_i$  is instantiated to  $\square$  (line 1). In this case, the end of sequence is reached (since value  $\square$  can only appear at the end) and the sequence  $\langle \sigma(P_1), \dots, \sigma(P_i) \rangle$  constitutes a frequent pattern in  $SDB$ ; hence the algorithm sets the remaining  $(\ell - i)$  unassigned variables to  $\square$  and returns *true* (lines 2-4). Otherwise, the algorithm computes incrementally  $\mathcal{PSDB}_i$  from  $\mathcal{PSDB}_{i-1}$  by calling function PROJECTSDB (see Algorithm 1). Then, it checks in line 6 whether the current assignment  $\sigma$  is a *legal* prefix for the constraint (see Proposition 2). This is done by computing the size of  $\mathcal{PSDB}_i$ . If this size is less than  $minsup$ , we stop growing  $\sigma$  and we return *false*. Otherwise, the algorithm computes the set of locally frequent items  $\mathcal{F}_{\mathcal{I}}$  in  $\mathcal{PSDB}_i$  by calling function `getFreqItems` (line 8).

Function `getFreqItems` processes all the entries of the pseudo-projected database one by one, counts the number of first occurrences of items  $a$  (i.e.  $SupCount[a]$ ) in each entry  $(sid, start)$ , and keeps only the frequent ones (lines 13-21). This is done by using *ExistsItem* data structure. After the whole pseudo-projected database has been processed, the frequent items are returned (line 22), and Algorithm 2 updates the current domains of variables  $P_j$  with  $j \geq (i + 1)$  by pruning inconsistent values, thus avoiding searching over not frequent items (lines 9-11).

**Proposition 5.** *In the worst case, filtering with PREFIX-PROJECTION global constraint can be achieved in  $O(m \times \ell + m \times d + \ell \times d)$ . The worst case space complexity of PREFIX-PROJECTION is  $O(m \times \ell)$ .*

*Proof:* Let  $\ell$  be the length of the longest sequence in  $SDB$ ,  $m = \#SDB$ , and  $d = \#\mathcal{I}$ . Computing the pseudo-projected database  $\mathcal{PSDB}_i$  can be done in  $O(m \times \ell)$ : for each sequence  $(sid, s)$  of  $SDB$ , checking if  $\sigma$  occurs in  $s$  is  $O(\ell)$  and there are  $m$  sequences. The total complexity of function `GETFREQUENTITEMS` is  $O(m \times (\ell + d))$ . Lines (9-11) can be achieved in  $O(\ell \times d)$ . So, the whole complexity is  $O(m \times \ell + m \times (\ell + d) + \ell \times d) = O(m \times \ell + m \times d + \ell \times d)$ . The space complexity of the filtering algorithm lies in the storage of the  $\mathcal{PSDB}$  internal data structure. In the worst case, we have to store  $\ell$  pseudo-projected databases. Since each pseudo-projected database requires  $O(m)$ , the worst case space complexity is  $O(m \times \ell)$ .  $\square$

#### 4.5 Encoding of SPM Constraints

Usual SPM constraints (see Section 2.2) can be reformulated in a straightforward way. Let  $P$  be the unknown pattern.

- *Minimum size constraint:*  $size(P, \ell_{min}) \equiv \bigwedge_{i=1}^{i=\ell_{min}} (P_i \neq \square)$
- *Item constraint:* let  $V$  be a subset of items,  $l$  and  $u$  two integers s.t.  $0 \leq l \leq u \leq \ell$ .  $item(P, V) \equiv \bigwedge_{t \in V} \text{Among}(P, \{t\}, l, u)$  enforces that items of  $V$  should occur at least  $l$  times and at most  $u$  times in  $P$ . To forbid items of  $V$  to occur in  $P$ ,  $l$  and  $u$  must be set to 0.
- *Regular expression constraint:* let  $A_{reg}$  be the deterministic finite automaton encoding the regular expression  $exp$ .  $reg(P, exp) \equiv \text{Regular}(P, A_{reg})$ .

dataset	# <i>SDB</i>	# <i>I</i>	avg (# <i>s</i> )	max <sub><i>s</i> ∈ <i>SDB</i></sub> (# <i>s</i> )	type of data
Leviathen	5834	9025	33.81	100	book
Kosarak	69999	21144	7.97	796	web click stream
FIFA	20450	2990	34.74	100	web click stream
BIBLE	36369	13905	21.64	100	bible
Protein	103120	24	482	600	protein sequences
data-200K	200000	20	50	86	synthetic dataset
PubMed	17527	19931	29	198	bio-medical text

Table 2: Dataset Characteristics.

## 5 Experimental Evaluation

This section reports experiments on several real-life datasets from [6,3,18] of large size having varied characteristics and representing different application domains (see Table 2). Our objective is (1) to compare our approach to existing CP methods as well as to state-of-the-art methods for SPM in terms of scalability which is a major issue of existing CP methods, (2) to show the flexibility of our approach allowing to handle different constraints simultaneously.

**Experimental protocol.** The implementation of our approach was carried out in the *Gecode* solver<sup>4</sup>. All experiments were conducted on a machine with a processor Intel X5670 and 24 GB of memory. A time limit of 1 hour has been used. For each dataset, we varied the *minsup* threshold until the methods are not able to complete the extraction of all patterns within the time limit.  $\ell$  was set to the length of the longest sequence of *SDB*. The implementation and the datasets used in our experiments are available online<sup>5</sup>. We compare our approach (indicated by *PP*) with:

1. two CP encodings [12], the most efficient CP methods for SPM: *global-p.f* and *decomposed-p.f*;
2. state-of-the-art methods for SPM: *PrefixSpan* and *cSpade*;
3. *SMA* [18] for SPM under regular expressions.

We used the author’s *cSpade* implementation<sup>6</sup> for SPM, the publicly available implementations of *PrefixSpan* by Y. Tabei<sup>7</sup> and the *SMA* implementation<sup>8</sup> for SPM under regular expressions. The implementation<sup>9</sup> of the two CP encodings was carried out in the *Gecode* solver. All methods have been executed on the same machine.

**(a) Comparing with CP Methods for SPM.** First we compare *PP* with the two CP encodings *global-p.f* and *decomposed-p.f* (see Section 3.2). CPU times (in logscale for BIBLE, Kosarak and PubMed) of the three methods are shown on Fig. 1. First, *decomposed-p.f* is the least performer method. On all the datasets, it fails to complete the extraction within the time limit for all values of *minsup* we considered.

<sup>4</sup> <http://www.gecode.org>

<sup>5</sup> <https://sites.google.com/site/prefixprojection4cp/>

<sup>6</sup> <http://www.cs.rpi.edu/~zaki/www-new/pmwiki.php/Software/>

<sup>7</sup> <https://code.google.com/p/prefixspan/>

<sup>8</sup> <http://www-kdd.isti.cnr.it/SMA/>

<sup>9</sup> <https://dtai.cs.kuleuven.be/CP4IM/cpsm/>

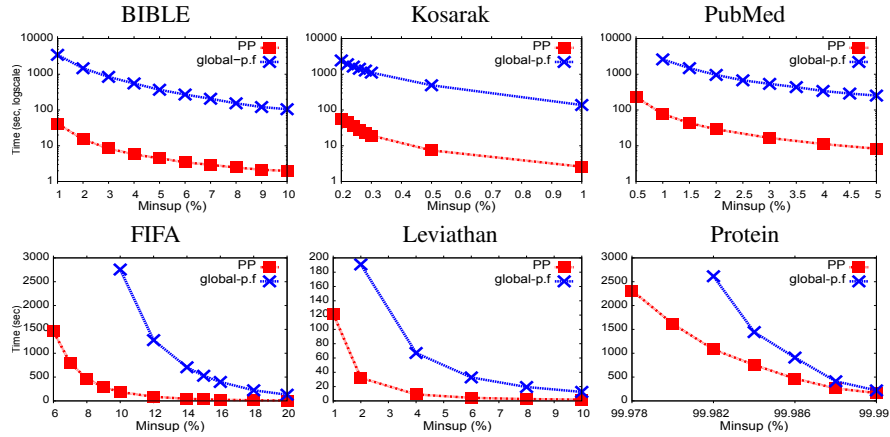


Fig. 1: Comparing PP with `global-p.f` for SPM on real-life datasets: CPU times.

Second, PP largely dominates `global-p.f` on all the datasets: PP is more than an order of magnitude faster than `global-p.f`. The gains in terms of CPU times are greatly amplified for low values of *minsups*. On BIBLE (resp. PubMed), the speed-up is 84.4 (resp. 33.5) for *minsups* equal to 1%. Another important observation that can be made is that, on most of the datasets (except BIBLE and Kosarak), `global-p.f` is not able to mine for patterns at very low frequency within the time limit. For example on FIFA, PP is able to complete the extraction for values of *minsups* up to 6% in 1,457 seconds, while `global-p.f` fails to complete the extraction for *minsups* less than 10%.

To complement the results given by Fig. 1, Table 3 reports for different datasets and different values of *minsups*, the number of calls to the propagate routine of Gecode (column 5), and the number of nodes of the search tree (column 6). First, PP explores less nodes than `global-p.f`. But, the difference is not huge (gains of 45% and 33% on FIFA and BIBLE respectively). Second, our approach is very effective in terms of number of propagations. For PP, the number of propagations remains small (in thousands for small values of *minsups*) compared to `global-p.f` (in millions). This is due to the huge number of reified constraints used in `global-p.f` to encode the subsequence relation. On the contrary, our PREFIX-PROJECTION global constraint does not require any reified constraints nor any extra variables to encode the subsequence relation.

**(b) Comparing with ad hoc Methods for SPM.** Our second experiment compares PP with state-of-the-art methods for SPM. Fig. 2 shows the CPU times of the three methods. First, `cSpade` obtains the best performance on all datasets (except on Protein). However, PP exhibits a similar behavior as `cSpade`, but it is less faster (not counting the highest values of *minsups*). The behavior of `cSpade` on Protein is due to the vertical representation format that is not appropriated in the case of databases having large sequences and small number of distinct items, thus degrading the performance of the mining process. Second, PP which also uses the concept of projected databases, clearly outperforms `PrefixSpan` on all datasets. This is due to our filtering algorithm

Dataset	<i>minsup</i> (%)	#PATTERNS	CPU times (s)		#PROPAGATIONS		#NODES	
			PP	global-p.f	PP	global-p.f	PP	global-p.f
FIFA	20	938	<b>8.16</b>	129.54	<b>1884</b>	11649290	<b>1025</b>	1873
	18	1743	<b>13.39</b>	222.68	<b>3502</b>	19736442	<b>1922</b>	3486
	16	3578	<b>24.39</b>	396.11	<b>7181</b>	35942314	<b>3923</b>	7151
	14	7313	<b>44.08</b>	704	<b>14691</b>	65522076	<b>8042</b>	14616
	12	16323	<b>86.46</b>	1271.84	<b>32820</b>	126187396	<b>18108</b>	32604
	10	40642	<b>185.88</b>	2761.47	<b>81767</b>	266635050	<b>45452</b>	81181
BIBLE	10	174	<b>1.98</b>	105.01	<b>363</b>	4189140	<b>235</b>	348
	8	274	<b>2.47</b>	153.61	<b>575</b>	5637671	<b>362</b>	548
	6	508	<b>3.45</b>	270.49	<b>1065</b>	8592858	<b>669</b>	1016
	4	1185	<b>5.7</b>	552.62	<b>2482</b>	15379396	<b>1575</b>	2371
	2	5311	<b>15.05</b>	1470.45	<b>11104</b>	39797508	<b>7048</b>	10605
	1	23340	<b>41.4</b>	3494.27	<b>49057</b>	98676120	<b>31283</b>	46557
PubMed	5	2312	<b>8.26</b>	253.16	<b>4736</b>	15521327	<b>2833</b>	4619
	4	3625	<b>11.17</b>	340.24	<b>7413</b>	20643992	<b>4428</b>	7242
	3	6336	<b>16.51</b>	536.96	<b>12988</b>	29940327	<b>7757</b>	12643
	2	13998	<b>28.91</b>	955.54	<b>28680</b>	50353208	<b>17145</b>	27910
	1	53818	<b>77.01</b>	2581.51	<b>110133</b>	124197857	<b>65587</b>	107051
Protein	99.99	127	<b>165.31</b>	219.69	<b>264</b>	26731250	<b>172</b>	221
	99.988	216	<b>262.12</b>	411.83	<b>451</b>	44575117	<b>293</b>	390
	99.986	384	<b>467.96</b>	909.47	<b>805</b>	80859312	<b>514</b>	679
	99.984	631	<b>753.3</b>	1443.92	<b>1322</b>	132238827	<b>845</b>	1119
	99.982	964	<b>1078.73</b>	2615	<b>2014</b>	201616651	<b>1284</b>	1749
	99.98	2143	<b>2315.65</b>	—	<b>4485</b>	—	<b>2890</b>	—

Table 3: PP vs. global-p.f.

combined together with incremental data structures to manage the projected databases. On FIFA, `PrefixSpan` is not able to complete the extraction for *minsup* less than 12%, while our approach remains feasible until 6% within the time limit. On Protein, `PrefixSpan` fails to complete the extraction for all values of *minsup* we considered. These results clearly demonstrate that our approach competes well with state-of-the-art methods for SPM on large datasets and achieves scalability while it is a major issue of existing CP approaches.

**(c) SPM under size and item constraints.** Our third experiment aims at assessing the interest of pushing simultaneously different types of constraints. We impose on the PubMed dataset usual constraints such as *the minimum frequency* and the *minimum size* constraints and other useful constraints expressing some linguistic knowledge such as *the item constraint*. The goal is to retain sequential patterns which convey linguistic regularities (e.g., gene - rare disease relationships) [3]. *The size constraint* allows to remove patterns that are too small w.r.t. the number of items (number of words) to be relevant patterns. We tested this constraint with  $\ell_{min}$  set to 3. *The item constraint* imposes that the extracted patterns must contain the item GENE and the item DISEASE. As no ad hoc method exists for this combination of constraints, we only compare PP with global-p.f. Fig. 3 shows the CPU times and the number of sequential patterns extracted with and without constraints. First, pushing simultaneously the two constraints enables to reduce significantly the number of patterns. Moreover, the CPU times for PP decrease slightly whereas for global-p.f (with and without constraints), they are almost the same. This is probably due to the weak communication between the *m exists-embedding* reified global constraints and the two constraints. This reduces significantly the quality of the whole filtering. Second (see Table 4), when considering the two constraints, PP clearly dominates global-p.f (speed-up value up to 51.5). Moreover, the number of propagations performed by PP remains very small as com-

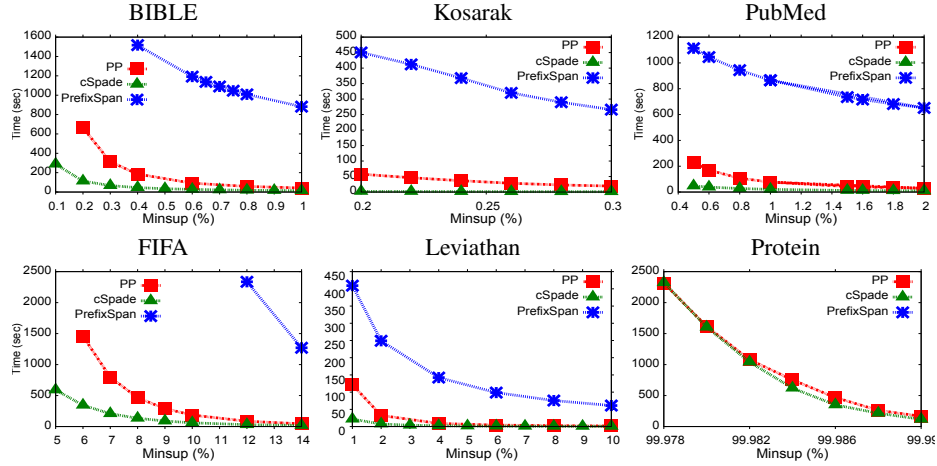


Fig. 2: Comparing PREFIX-PROJECTION with state-of-the-art algorithms for SPM.

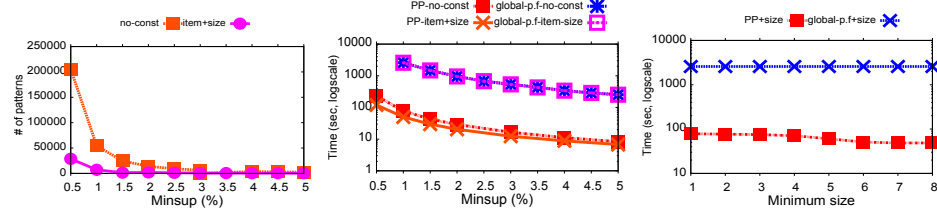


Fig. 3: Comparing PP with  $global-p.f$  under minimum size and item constraints on PubMed.

pared to  $global-p.f$ . Fig. 3c compares the two methods under the minimum size constraint for different values of  $\ell_{min}$ , with  $minsup$  fixed to 1%. Once again, PP is always the most performer method (speed-up value up to 53.1). These results also confirm what we observed previously, namely the weak communication between reified global constraints and constraints imposed on patterns (i.e., size and item constraints).

**(d) SPM under regular constraints.** Our last experiment compares PP-REG against two variants of SMA: SMA-1P (SMA one pass) and SMA-FC (SMA Full Check). Two datasets are considered from [18]: one synthetic dataset (data-200k), and one real-life dataset (Protein). For data-200k, we used two RE:  $RE10 \equiv A^*B(B|C)D^*EF^*(G|H)I^*$  and  $RE14 \equiv A^*(Q|BS^*(B|C))D^*E(I|S)^*(F|H)G^*R$ . For Protein, we used  $RE2 \equiv (S|T) \cdot (R|K)$  (where  $\cdot$  represents any symbol). Fig. 4 reports CPU-times comparison. On the synthetic dataset, our approach is very effective. For RE14, our method is more than an order of magnitude faster than SMA. On Protein, the gap between the 3 methods shrinks, but our method remains effective. For the particular case of RE2, the Regular constraint can be substituted by restricting the domain of the first and third variables to  $\{S, T\}$  and  $\{R, K\}$  respectively (denoted as PP-SRE), thus improving performances.

Dataset	minsup (%)	#PATTERNS	CPU times (s)		#PROPAGATIONS		#NODES	
			PP	global-p.f	PP	global-p.f	PP	global-p.f
PubMed	5	279	<b>6.76</b>	252.36	<b>7878</b>	12234292	<b>2285</b>	4619
	4	445	<b>8.81</b>	339.09	<b>12091</b>	16475953	<b>3618</b>	7242
	3	799	<b>12.35</b>	535.32	<b>20268</b>	24380096	<b>6271</b>	12643
	2	1837	<b>20.41</b>	953.32	<b>43088</b>	42055022	<b>13888</b>	27910
	1	7187	<b>49.98</b>	2574.42	<b>157899</b>	107978568	<b>52508</b>	107051

Table 4: PP vs. global-p.f under minimum size and item constraints.

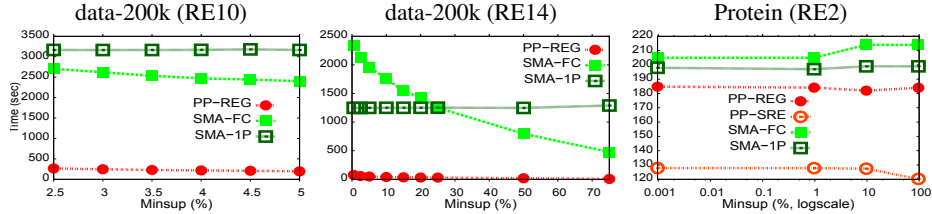


Fig. 4: Comparing PREFIX-PROJECTION with SMA for SPM under RE constraint.

## 6 Conclusion

We have proposed the global constraint PREFIX-PROJECTION for sequential pattern mining. PREFIX-PROJECTION uses a concise encoding and provides an efficient filtering based on specific properties of the projected databases, and anti-monotonicity of the frequency constraint. When this global constraint is integrated into a CP solver, it enables to handle several constraints simultaneously. Some of them like size, item membership and regular expression are considered in this paper. Another point of strength, is that, contrary to existing CP approaches for SPM, our global constraint does not require any reified constraints nor any extra variables to encode the subsequence relation. Finally, although PREFIX-PROJECTION is well suited for constraints on sequences, it would require to be adapted to handle constraints on subsequence relations like gap.

Experiments performed on several real-life datasets show that our approach clearly outperforms existing CP approaches and competes well with ad hoc methods on large datasets and achieves scalability while it is a major issue of CP approaches. As future work, we intend to handle constraints on set of sequential patterns such as closedness, relevant subgraph and skypattern constraints.

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