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# On the Parameterized Complexity of Clustering Incomplete Data into Subspaces of Small Rank

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## Abstract

We consider a fundamental matrix completion problem where we are given an incomplete matrix and a set of constraints modeled as a CSP instance. The goal is to complete the matrix subject to the input constraints and in such a way that the complete matrix can be clustered into few subspaces with low rank. This problem generalizes several problems in data mining and machine learning, including the problem of completing a matrix into one with minimum rank. We formalize the problem and study its classical and parameterized complexity. We draw a detailed landscape of the complexity and parameterized complexity of the problem with respect to several natural parameters that are desirably small and with respect to several well-studied CSP fragments.

## Introduction

**Problem Definition and Motivation** Motivated by a wide range of applications from data completion, clustering, and prediction, we study the computational complexity of the following fundamental COMPLETION TO SUBSPACE CLUSTERING problem (CSC):

Given an incomplete matrix  $M$  over some fixed finite field, a set  $\mathcal{C}$  of constraints, and  $t, d \in \mathbb{N}$ , find a completion of  $M$  satisfying all constraints in  $\mathcal{C}$  and a partitioning of its rows into at most  $t$  subspaces, each of rank at most  $d$ .

CSC generalizes and/or has connections to several well-studied matrix completion problems. The first problem it generalizes is referred to as the LOW-RANK MATRIX COMPLETION problem, in which the goal is to complete the matrix into one with minimum rank, whose decision version corresponds to the constant parameter value  $t = 1$  in the CSC problem. The LOW-RANK MATRIX COMPLETION problem has been extensively studied (Candès and Plan 2010; Candès and Recht 2009; Candès and Tao 2010; Fazel 2002; Hardt et al. 2014; Keshavan, Montanari, and Oh 2010a; 2010b; Recht 2011) and is known to be NP-hard (Peeters 1996) even for binary matrices (*i.e.*, over  $\text{GF}(2)$ ) with  $d = 3$ .

The second problem generalized by CSC is the LOW IDENTICAL ROW MATRIX COMPLETION PROBLEM (Ganian et

al. 2018); the decision version of this problem corresponds to the case of  $d = 1$  in the CSC problem and is NP-hard already for matrices over  $\text{GF}(2)$ .

CSC also has strong connections to the RANK PARTITION problem: partition the rows of a given binary matrix into two submatrices of specified sizes in a way that minimizes the sum of the ranks of the two submatrices. RANK PARTITION is closely related to the notion of the *Trellis complexity* of binary linear codes, and has been extensively studied in information theory (Horn and Kschischang 1996; Kashyap 2008; Vardy 1997a; 1997b; Jain, Mandoiu, and Vazirani 1998); in fact, settling the complexity of these problems and their variants was a long-standing open problem in that field.

Moreover, CSC reflects a recent line of research in the area of ranking problems over incomplete data, pioneered by Choi, den Broeck, and Darwiche (2015), and which has shown great promise in subsequent work (Choi, Tavabi, and Darwiche 2016; Chen et al. 2016; Choi, Shen, and Darwiche 2017; Yao, Choi, and Darwiche 2017). Finally, the subspace clustering problem, in the two settings where the matrix is complete or incomplete, has been the subject of a vast amount of research works (see, *e.g.*, Eriksson, Balzano, and Nowak, 2012; Li and Vidal, 2016; Pimentel-Alarcón et al., 2016).

Related results are also presented in very recent works which investigated the complexity of different matrix editing and clustering problems from the parameterized and approximation perspectives (Fomin, Golovach, and Panolan 2018; Fomin et al. 2019; Eiben et al. 2019). All of these papers except for the last one are concerned with the complete data setting.

**Contribution** We initiate the study of the complexity landscape of CSC not only from the classical viewpoint, but also from the perspective of *parameterized complexity*—a modern paradigm that allows us to make more precise statements about the asymptotic performance of algorithms and corresponding lower bounds<sup>1</sup>. In the parameterized setting, we consider the complexity of a problem modulo the assumption that some parts of the input, referred to as the *parameters*, are expected/desired to be small, and the aim is to obtain algo-

<sup>1</sup>We refer to the respective books for an introduction to parameterized complexity (Downey and Fellows 2013; Cygan et al. 2015)

domain	$\mathcal{C}$	$d$	$t$	$k$	complexity	result
2	$\emptyset$	3	1	$\infty$	NPc	Peeters (1996)
2	$\emptyset$	2	$\infty$	0	NPc	Theorem 1
2	$\emptyset$	$\infty$	2	0	NPc	Theorem 2
$O(1)$	$\emptyset$	parm	parm	0	FPT	Corollary 4
$O(1)$	LinEq	parm	parm	parm	FPT	Theorem 6
2	Horn	3	1	4	NPc	Theorem 7
$O(1)$	LinEq	$\infty$	1	parm	FPT <sub>R</sub>	Theorem 10
$O(1)$	$\mathcal{C}^{\text{st}}$	1	$\infty$	parm	FPT	Theorem 13

Table 1: An overview of the results for CSC[ $\mathcal{C}$ ]. Column domain: 2 means the domain size is 2,  $O(1)$  means that the domain size is bounded by any constant. Column  $\mathcal{C}$ :  $\emptyset$  means there are no constraints in place, LinEq means the CSP is a conjunction of linear equations, Horn means the CSP is a Horn formula, and  $\mathcal{C}^{\text{st}}$  means that the CSP belongs to a strongly tractable class. Columns  $d$ ,  $t$  and  $k$ : numbers mean the respective value is set to these constants,  $\infty$  means that the respective value is unbounded, and parm means that the value is taken as a parameter. Column complexity: the problem corresponding to the respective line is either NP-complete (NPc), fixed-parameter tractable (FPT), or randomized fixed-parameter tractable (FPT<sub>R</sub>).

rithms which run in time  $f(k') \cdot n^{O(1)}$  for some computable function  $f$  of the sum  $k'$  of the parameters sum, and input size  $n$ ). Parameterized problems admitting such algorithms are called *fixed-parameter tractable* (FPT).

We study the complexity of CSC with respect to the following three dimensions:

- (1) the set of constraints  $\mathcal{C}$ , modeled as an instance of the constraint satisfaction problem (CSP), used to constrain the completion of the matrix;
- (2) the natural parameters  $d$  and  $t$  that define the rank and the number, respectively, of the resulting subspaces; and
- (3) the restrictions on the occurrences of missing entries in the incomplete matrix.

For (1), we consider several natural and well-studied types of constraints, notably linear equations (CSC[LinEq]) and various other tractable fragments of CSP.

In order to formally capture (3), we follow up on the work of Ganian et al. (2018), who introduced and motivated the *covering number*  $k$ —a natural restriction on the occurrence of missing entries in matrix completion instances.

We begin by showing that CSC remains NP-complete even in severely restricted settings: when there are no constraints, no missing entries (and hence the aim is merely to partition the matrix), and either  $t = 2$  or  $d = 2$ . These lower bounds are tight, in the sense that the considered fragments become tractable for  $t = 1$  or  $d = 1$ .

On the positive side, we show that CSC[LinEq] is FPT parameterized by  $t$ ,  $d$ , and  $k$ , and this parameterization is in fact tight: one cannot drop any of these three parameters without losing tractability. As for the choice of constraints, we also show that the FPT result cannot be extended to arbitrary tractable constraints—for instance, CSC[Horn] (i.e., binary instances with Horn constraints) is NP-hard already for  $t = 1$ ,  $d = 3$ , and  $k \leq 4$ .

We then turn our attention to the two special cases of CSC that have been studied in previous work, namely low-rank matrix completion and distinct row minimization. In the former setting (i.e., when  $t = 1$ ), we show that the FPT

result for CSC[LinEq] can be transferred to the setting of low-rank matrix completion without taking the target rank  $d$  as a parameter. Our result in the latter setting (i.e., when  $d = 1$ ) is even more surprising, as we show that: for *any* tractable class  $\mathcal{C}$  of constraints, CSC[ $\mathcal{C}$ ] is FPT parameterized by  $t$  and  $k$ . A summary of our results is provided in Table 1.

## Preliminaries

**Matrices** For positive integers  $i$  and  $j > i$ , we write  $[i]$  for the set  $\{1, 2, \dots, i\}$ , and  $i : j$  for the set  $\{i, i + 1, \dots, j\}$ . For an  $m \times n$  matrix  $\mathbf{M}$  (i.e., a matrix with  $m$  rows and  $n$  columns), and for  $i \in [m]$  and  $j \in [n]$ ,  $\mathbf{M}[i, j]$  denotes the element in the  $i$ -th row and  $j$ -th column of  $\mathbf{M}$ . Similarly, for a vector  $d$ , we write  $d[i]$  for the  $i$ -th coordinate of  $d$ . We write  $\mathbf{M}^{[*], j}$  for the *column-vector*  $(\mathbf{M}[1, j], \mathbf{M}[2, j], \dots, \mathbf{M}[m, j])$ , and  $\mathbf{M}^{i, [*]}$  for the *row-vector*  $(\mathbf{M}[i, 1], \mathbf{M}[i, 2], \dots, \mathbf{M}[i, n])$ .  $|\mathbf{M}|$  denotes the number of columns of  $\mathbf{M}$ .

The *domain* of a matrix is the set of elements that the matrix's entries belong to. We mostly consider matrices where the domain is the *finite field*  $\text{GF}(p)$  of order  $p$ ; recall that if  $p$  is a prime number, such a field can be equivalently represented as the set of integers modulo  $p$ .

The *row-rank* (resp. *column-rank*) of a matrix  $\mathbf{M}$  is the maximum number of linearly independent rows (resp. *columns*) in  $\mathbf{M}$ . It is well known that the row-rank of a matrix is equal to its column-rank, and this number is referred to as the *rank* of the matrix. We let  $\text{rk}(\mathbf{M})$  and  $\text{dr}(\mathbf{M})$  denote the rank and the number of distinct rows of the matrix  $\mathbf{M}$ , respectively.

An *incomplete matrix* over  $\text{GF}(p)$  is a matrix that may contain not only elements from  $\text{GF}(p)$  but also the special symbol  $\bullet$ . An entry is a *missing* entry if it contains  $\bullet$ . A (possibly incomplete)  $m \times n$  matrix  $\mathbf{M}'$  is *consistent* with an  $m \times n$  matrix  $\mathbf{M}$  if and only if, for each  $i \in [m]$  and  $j \in [n]$ , either  $\mathbf{M}'[i, j] = \mathbf{M}[i, j]$  or  $\mathbf{M}'[i, j] = \bullet$ .

**Constraint Satisfaction Problems** We will consider a variety of very general classes of *constraint satisfaction problems*, which we will define in this subsection.

An instance  $\mathcal{I} = (V, D, C)$  of the constraint satisfaction problem (CSP) consists of a set  $V$  of variables, a finite domain  $D$  of values, and a set  $C$  of constraints, each  $c \in C$  specifies allowed combinations of values for some subset  $scope(c) \subseteq V$ . The domain of considered CSP instances will be equal to the domain of the corresponding matrices.

A *partial instantiation* is an assignment  $\alpha : V' \rightarrow D$  defined on some subset  $V' \subseteq V$ . If  $V' = V$  then  $\alpha$  is *total*. A constraint  $c \in C$  can be specified by a table with all allowed instantiations or in terms of a global constraint (van Hoeve and Katriel 2006). A partial instantiation  $\alpha$  *satisfies* a constraint  $c$  if  $\alpha$  restricted to  $scope(c)$  is allowed by  $c$ . A CSP instance  $\mathcal{I}$  is *satisfiable* (or *consistent*) if there exists a total instantiation  $\alpha$  which satisfies all constraints in  $C$ .

A class  $\mathcal{C}$  of CSP instances is *strongly tractable* if for each partial instantiation  $\alpha$  we can determine in polynomial time whether  $\alpha$  can be extended to a total instantiation that satisfies  $\mathcal{I}$ . We note that most known tractable classes  $\mathcal{C}$  are strongly tractable. We denote by  $\text{LinEq} \subseteq \text{CSP}$  the set of all CSP instances defined via a system of linear equations over  $\text{GF}(p)$ . Further, we denote by  $\text{Horn}$  the set of all Boolean CSP instances where each constraint is a Horn clause (*i.e.*, is equivalent to a disjunction of literals where at most one of them is positive). It is well-known that both  $\text{LinEq}$  and  $\text{Horn}$  are strongly tractable classes (Carbonnel and Cooper 2016).

## Problem Formulation and Parameters

With the above definitions and notation of matrices and CSP at hand, we can now formally define the general matrix completion problem that we consider. Let  $\mathcal{C} \subseteq \text{CSP}$  be a class of CSP instances, and  $p$  be a fixed prime.

### COMPLETION TO SUBSPACE CLUSTERING (CSC[ $\mathcal{C}$ ])

Input: An incomplete matrix  $\mathbf{M}$  over  $\text{GF}(p)$ , a CSP instance  $\mathcal{I} = (\{x_1, \dots, x_n\}, \text{GF}(p), C) \in \mathcal{C}$  where  $n = |\mathbf{M}|$ , and  $d, t \in \mathbb{N}$ .

Task: Find a matrix  $\mathbf{M}'$  such that (i)  $\mathbf{M}'$  is consistent with  $\mathbf{M}$ ; (ii) the rows of  $\mathbf{M}'$  can be partitioned into at most  $t$  submatrices each of rank at most  $d$ ; and (iii) for each row vector  $\mathbf{M}'[i, *]$ , the total instantiation  $\alpha : x_j \mapsto \mathbf{M}'[i, j]$  satisfies  $\mathcal{I}$ .

Without loss of generality, we assume that the rows of the input matrix are pairwise distinct. To avoid any confusion, we remark that while the focus lies on the completion part of the problem (*i.e.*, finding  $\mathbf{M}'$ ), all our algorithms can also output a valid partitioning satisfying property (ii).

It is easy to observe that  $\text{CSC}[\mathcal{C}]$  is at least as hard as  $\mathcal{C}$ . Indeed, an instance  $\mathcal{I} \in \mathcal{C}$  is satisfiable if and only if the  $1 \times m$  matrix with all entries containing  $\bullet$  is a yes-instance of  $\text{CSC}[\mathcal{C}]$ . Hence, it is necessary to restrict  $\mathcal{C}$  to a tractable class of instances. By a similar argument, it follows that  $\mathcal{C}$  must—in fact—be strongly tractable (in particular, one can model partial instantiations by replacing  $\bullet$  with a specific value from  $D$ ). We will use the notation  $\text{CSC}[\emptyset]$  to refer to instances of CSC with no constraints.

**Problem Parameterizations** As mentioned earlier, we will require a parameter that restricts the placement of missing entries in the input matrix. Such a restriction is necessary

since even the simplest matrix completion problems become intractable when missing entries are unrestricted.

The parameter we consider here is the *covering number* (Ganian et al. 2018), which we will henceforth denote as  $k$ . The covering number of a matrix is the minimum number of rows and columns required to cover all missing entries in the matrix<sup>2</sup>. The parameter has recently been used to obtain a complexity map for two subcases of CSC without constraints (Ganian et al. 2018), and is motivated by situations where a known matrix is extended by a few new rows or columns for which only partial information is available.

It is known that  $k$  can be computed in polynomial time (Ganian et al. 2018, Proposition 2).

## The Complexity of Subspace Partitioning

In this section, we draw a parameterized complexity landscape for CSC. For our initial lower bounds, we consider the restriction of  $\text{CSC}[\emptyset]$  over  $\text{GF}(2)$  where  $k = 0$ ; that is, there are no missing entries, and the problem merely asks for a partitioning of the matrix rows into at most  $t$  subspaces, each of rank at most  $d$ . We will refer to this problem as **BASIC SUBSPACE CLUSTERING (BSC)**. Note that the hardness results we obtain can trivially be lifted to the more general settings of CSC.

We start by showing that BSC remains **NP-hard** even when  $d = 2$ , and that it also remains **NP-hard** even when  $t = 2$ .

**Theorem 1.** *BSC is NP-hard for  $d = 2$ .*

*Proof.* We prove the theorem by giving a polynomial-time reduction from the **NP-hard** problem (Holyer 1981) **EDGE-PARTITION INTO TRIANGLES**: Given an undirected graph  $G$ , decide whether  $E(G)$  can be partitioned into triangles. Given an instance  $G$  of **EDGE-PARTITION INTO TRIANGLES**, where  $V(G) = \{v_1, \dots, v_n\}$  and  $E(G) = \{e_1, \dots, e_m\}$ , we construct an instance  $\mathcal{I}$  of BSC as follows. The matrix  $\mathbf{M}$  has  $m$  rows and  $n$  columns, corresponding to the edges and vertices of  $G$ , respectively; w.l.o.g., we label the rows and columns by the indices of their corresponding edges and vertices, respectively. The matrix  $\mathcal{I}$  is basically the characteristic matrix of  $E(G)$  w.r.t.  $V(G)$ , in which  $\mathbf{M}[i, j] = 1$  iff  $e_i$  is incident to  $v_j$  in  $G$ . We set  $d = 2$  and  $t = m/3$ . This completes the construction of  $\mathcal{I}$ , which clearly can be performed in polynomial time.

Observe that each row in  $\mathbf{M}$  contains exactly two 1's, and that a set of 3 rows in  $\mathbf{M}$  has rank 2 iff the edges corresponding to the 3 rows form a triangle/cycle in  $G$ . With the aforementioned observation in mind, it is now easy to verify that a partitioning of  $E(G)$  into  $m/3$  triangles corresponds to a partitioning of the rows of  $\mathbf{M}$  into  $m/3$  subspaces each of rank exactly 2. On the other hand, if the rows of  $\mathbf{M}$  can be partitioned into at most  $m/3$  subspaces each of rank at most 2, then from the above observation combined with the fact that any 4 rows of  $\mathbf{M}$  form a subspace with rank greater than 2, it follows that the rows of  $\mathbf{M}$  can be partitioned into exactly  $m/3$  subspaces each of rank exactly 2; this partitioning corresponds to a partitioning of  $E(G)$  into  $m/3$  triangles.  $\square$

<sup>2</sup>An entry at position  $\mathbf{M}[i, j]$  is *covered* by row  $i$  and column  $j$ .

**Theorem 2.** *BSC is NP-hard even for  $t = 2$ .*

*Proof.* (Sketch) The polynomial-time reduction is from an NP-hard restriction of MAX CUT, and is an adaptation of the reduction from MAX CUT given by Horn and Kschischang (1996) to show that the  $n/2$ -PARTITION RANK PERMUTATION problem ( $n/2$ -PRP) is NP-hard, which is, in turn, an adaptation of a reduction given by Garey, Johnson, and Stockmeyer (1976) to show that MINIMUM CUT INTO EQUAL-SIZED SUBSETS is NP-hard. (Recall that in the unweighted MAX CUT problem, we are given an undirected graph  $G$  and  $w \in \mathbb{N}$ , and the question is whether the vertex-set of  $G$  can be partitioned into two parts such that the number of edges across the partition is at least  $w$ .) In the  $n/2$ -PRP problem, we are given an  $m \times n$  binary matrix and  $w \in \mathbb{N}$ , and the question is whether the columns of the matrix can be partitioned (or permuted) into two equal-size parts, each with  $n/2$  columns, such that the sum of the ranks of the two submatrices induced by the two parts is at most  $w$ . Since in an instance of BSC with  $t = 2$  we can transpose the matrix and instead ask whether the columns of the transpose matrix can be partitioned into two subspaces each with rank at most  $d$ , the only differences between BSC and  $n/2$ -PRP are the requirement that the two submatrices have equal number of columns and the requirement that the sum of their ranks is upper bounded by a given number, as opposed to that each of their ranks is upper bounded by the same given number. We will sketch how the proof of the NP-hardness of  $n/2$ -PRP can be modified to work for the restriction of BSC to  $t = 2$ . As noted above, in what follows, we may assume that, for an instance of BSC, we ask for a partition of the matrix columns (not the rows) into two subspaces each of rank at most  $d$ ; denote this restriction of BSC as 2-BSC.

The reduction is from a restriction of MAX CUT to instances  $(G, w)$  satisfying three properties: (i) The edge-complement graph of  $G$  is connected, (ii)  $|E(G)| - |V(G)|$  is even, and (iii)  $|V(G)|^2 - w$  is even. Such a restriction can be easily shown to be NP-hard. For instance, one can start from an instance of the NP-hard problem (Garey and Johnson 1990) MAX CUT ON CUBIC GRAPHS, which can be easily verified to satisfy (i), and add a small gadget to make it satisfy (ii) and (iii), in case it does not already satisfy them. (For example, assuming that it does not satisfy (ii), to make it satisfy it without violating (i), a triangle and an edge joining a vertex of the triangle to a vertex in  $G$  can be added, and we increase  $w$  by 3. Now assuming that the resulting graph does not satisfy (iii), to make it satisfy it without violating (i) and (ii), we can add a new triangle and two edges between two vertices of the triangle and the same vertex in the graph, and increase  $w$  by 4.) This certainly results in an NP-hard restriction of MAX CUT; denote this restriction as RES-MAX CUT. The reason for using such a restriction of MAX CUT (as opposed to MAX CUT) is that (i) it is crucial for an argument in the adapted NP-hardness proof by Horn and Kschischang, (ii) it simplifies the construction (as there will be no need anymore for distinguishing two cases in the construction), and (iii) it is needed for ensuring that the upper bound on the sum of the ranks is even, and hence, can be split equally into an upper bound on the rank of each subspace.

Next, we briefly discuss the required additional changes in the NP-hardness proof for  $n/2$ -PRP to make it work for 2-BSC. We follow the terminology of Horn and Kschischang as much as possible. Let  $(G, w)$  be an instance of RES-MAX CUT, where  $G$  has  $M$  vertices and  $N$  edges. We construct the following graph  $G'$  from  $G$ , which is the same construction as that of Horn and Kschischang, albeit without the need to distinguish the two cases based on whether or not  $|E(G)| - |V(G)|$  is even. Let  $V(G) = \{v_1, \dots, v_M\}$ . Introduce a new set of  $M$  vertices  $\{v_{M+1}, \dots, v_{2M}\}$ . Start with  $V(G) \cup \{v_{M+1}, \dots, v_{2M}\}$  (and no edges), and add the following edges: (1) Form a clique on  $\{v_{M+1}, \dots, v_{2M}\}$ ; (2) form a complete bipartite graph with  $V(G)$  as one part and  $\{v_{M+1}, \dots, v_{2M}\}$  as the other; and (3) add the complement of the edge-set of  $G$  between the vertices in  $V(G)$ . Finally, replace each  $v_i, i \in [2M]$ , with a clique  $C_i$  on  $M^3$  many vertices  $\{c_{i,j} \mid j \in [M^3]\}$  and connect vertex  $c_{i,j}$  in  $C_i$  to vertex  $c_{j,i}$  in  $C_j$ , for  $i, j \in [2M]$ , iff  $v_i$  and  $v_j$  are connected. Let the resulting graph be  $G'$ . Finally, let  $\mathbf{M}$  be the incident binary matrix whose rows correspond to the vertices of  $G'$  and columns to the edges of  $G$ , and such that an entry in  $\mathbf{M}$  is 1 iff the corresponding vertex and edge are incident in  $G'$ ; set  $t = 2$  and  $d = M^4 - (M^2 - w)/2 - 1$ .

From this point on, the proof of Horn and Kschischang follows with some minor modifications.  $\square$

The above results imply the parameterized intractability (i.e., para-NP-hardness) of BSC w.r.t. each of the parameterizations by  $d$  and  $t$ . This begs the question about the parameterized complexity of BSC parameterized by both  $d$  and  $t$  (i.e., by  $d + t$ ). The following simple observation helps us answer the aforementioned question:

**Observation 3.** *Let  $\mathbf{M}$  be a complete matrix with distinct rows over some finite domain  $\Omega$ . Then any subspace of  $\mathbf{M}$  of rank at most  $d$  contains at most  $|\Omega|^d$  rows.*

The above observation follows by fixing a basis of the subspace of rank at most  $d$ , and noting that each vector/row in the subspace (including the basis vectors) can be written as a linear combination of the (at most)  $d$  vectors in the basis.

**Corollary 4.** *BSC is FPT parameterized by  $d + t$ .*

*Proof.* Observation 3 implies that the input matrix  $\mathbf{M}$  in any yes-instance of BSC must have at most  $t \cdot |\Omega|^d$  rows; otherwise, the instance can be rejected. This means that the instance can be solved by brute force in FPT-time.  $\square$

Next, we consider the possibility of lifting this FPT result to the more general setting of CSC[C]. However, even for the case when  $C = \emptyset$ , the result of Peeters (1996) implies the para-NP-hardness of the problem parameterized by  $d + t$ , as they show the NP-hardness of the problem of completing a binary matrix into one of rank 3. This implies:

**Observation 5.** *CSC[ $\emptyset$ ] is NP-hard even for  $t = 1$  and  $d = 3$ .*

It follows from the above observation that restrictions must be imposed on the missing entries in the matrix if any FPT results are to be obtained. As the main positive result for this section, we show that parameterizing by  $d + t + k$  allows us

to obtain a fixed-parameter algorithm not only for  $\text{CSC}[\emptyset]$ , but also in the presence of linear equations.

**Theorem 6.**  $\text{CSC}[\text{LinEq}]$  is FPT parameterized by  $d+t+k$ .

*Proof.* We give an FPT algorithm for  $\text{CSC}[\text{LinEq}]$  parameterized by  $d+t+k$ . Let  $(\mathbf{M}, \Gamma, t, d)$  be an instance of  $\text{CSC}[\text{LinEq}]$ , where  $\Gamma \in \text{LinEq}$  is a set of linear constraints (equations) having to hold at each row, and as before, let  $\Omega$  denote the domain from which the matrix values are drawn. Let  $R$  and  $C$  denote the sets of the rows and columns in  $\mathbf{M}$ , respectively, that cover the missing entries, and note that  $|R| + |C| \leq k$ .

First, we upper bound the number of rows of  $\mathbf{M}$  by a function of the parameter, in any yes-instance  $(\mathbf{M}, \Gamma, t, d)$  of  $\text{CSC}[\text{LinEq}]$ . It suffices to upper bound  $|\overline{R}|$  by a function of the parameter, where  $\overline{R}$  is the set of rows in  $\mathbf{M}$  that are not in  $R$ . Partition  $|\overline{R}|$  into groups such that all rows in the same group agree on all the entries in the columns in  $C$ . The number of resulting groups is at most  $(|\Omega| + 1)^{|C|} \leq (|\Omega| + 1)^k$ , as each entry whose column is in  $C$  contains either  $\bullet$  or a domain value. Fix a group  $Y$ . Since  $\mathbf{M}$  does not contain identical rows, any two rows in  $Y$  must differ on at least one column not in  $C$ , and hence, must be completed into distinct rows in any solution of  $(\mathbf{M}, \Gamma, t, d)$ . By Observation 3, the number of rows in any subspace of  $\mathbf{M}$  of rank at most  $d$  is  $|\Omega|^d$ , and hence the total number of rows in any completion of  $\mathbf{M}$  for a yes-instance  $(\mathbf{M}, \Gamma, t, d)$  is at most  $t \cdot |\Omega|^d$ . We conclude that the number of rows in group  $Y$  is at most  $t \cdot |\Omega|^d$  in any yes-instance of the problem. It follows that the total number of rows in  $|\overline{R}|$  is at most  $t \cdot |\Omega|^d \cdot (|\Omega| + 1)^{|C|}$ , and hence the number of rows in  $\mathbf{M}$  is at most  $t \cdot |\Omega|^d \cdot (|\Omega| + 1)^{|C|} + k$ , which is a function of the parameter, in any yes-instance  $(\mathbf{M}, \Gamma, t, d)$  of  $\text{CSC}[\text{LinEq}]$ ; otherwise, we can reject the instance.

Suppose now that  $\mathbf{M}$  meets the above upper bound on the number of rows. Next, we enumerate all partitions of the rows of  $\mathbf{M}$  into  $t$  parts. Clearly, this enumeration takes FPT-time. Let these parts be  $R_1, \dots, R_s$ , where  $s \leq t$ .

As the last step, for an enumeration  $R_1, \dots, R_s$ , we need to check if each  $R_i, i \in [s]$ , has rank at most  $d$ ; if this is the case, we accept the instance. If no enumeration leads to acceptance, we reject the instance. To check whether a subset  $R_i, i \in [s]$ , of vectors has rank at most  $d$ , we enumerate each subset  $B$  of at most  $d$  vectors in  $R_i$  as basis for  $R_i$ ; note that the total number of vectors in  $R_i$  is upper bounded by a function of the parameter, and hence so is the number of subsets that needs to be enumerated. We introduce a variable (over  $\Omega$ ) for each missing entry in a row of  $R_i$ ; let  $X$  be the set of the introduced variables. For each (remaining) vector  $\vec{v} \in R_i \setminus B$ , we enumerate the at most  $d$  coefficients over  $\Omega$  of  $\vec{v}$  that result from writing  $\vec{v}$  as a linear combination of the vectors in  $B$ . We introduce  $n$  linear equations, over (a subset of) the variables in  $X$ , corresponding to the equations resulting from writing each entry in  $\vec{v}$  as a linear combination of the corresponding entries in the vectors in  $B$ , w.r.t. the enumerated  $\leq d$  coefficients for  $\vec{v}$ . Let  $\Gamma_0$  be the system of linear equations obtained over all vectors  $\vec{v} \in R_i \setminus B$ . Finally, for each row  $\vec{v} \in R_i$ , we add copies of the equations in  $\Gamma$

	$x_1$	$x_2$	$x_3$	$x_4$	$x_5$	$n+1$	$n+2$	$n+3$
1.	$\bullet$	$\bullet$	$\bullet$	$\bullet$	$\bullet$	0	0	1
2.	$\bullet$	$\bullet$	$\bullet$	$\bullet$	$\bullet$	1	1	1
3.	1	1	0	1	0	1	1	1
4.	0	0	0	0	0	0	1	1

Figure 1: The matrix  $M$  in the construction used in Theorem 7 for the instance of  $\text{SAT}^R$  with variables  $x_1, \dots, x_5$ , one positive clause  $\{x_1, x_2, x_4\}$ , and two negative clauses  $\{\overline{x_1}, \overline{x_2}, \overline{x_4}\}$  and  $\{\overline{x_3}, \overline{x_5}\}$ .

(over the terms corresponding to the entries of  $\vec{v}$ ) to ensure that every row satisfies the constraints. We solve  $\Gamma_0$  together with the copies of  $\Gamma$  for each row in  $R_i$  in polynomial time (e.g., using Gaussian elimination). Clearly,  $R_i$  has rank at most  $d$  with each row satisfying the constraints in  $\Gamma$  iff one of the resulting linear systems, over all enumerations, has a solution. This step takes FPT-time, and so does the whole algorithm.  $\square$

Theorem 6 begs the question of whether there is something specific about linear equations in this setting, or whether the result can be lifted to any strongly tractable class of CSPs. As our last result in this section, we show that the latter is not possible—already for the highly restrictive class of Horn CSPs,  $\text{CSC}[\text{Horn}]$  becomes NP-hard even when  $t = 1$  and the number of rows (which naturally upper-bounds  $k$  and  $d$ ) is at most 4.

**Theorem 7.**  $\text{CSC}[\text{Horn}]$  is NP-hard even when  $t = 1$  and the input matrix has 4 rows.

We will prove the above theorem via a polynomial-time reduction from a restriction of SAT, referred to as  $\text{SAT}^R$ , which we first show to be NP-hard. Call a clause in a CNF formula *positive* (resp. *negative*) if it consists of only positive (resp. negative) literals. An instance of  $\text{SAT}^R$  consists of a CNF formula  $F$  satisfying the following three properties: (i) each clause in  $F$  is either positive or negative; (ii) the positive clauses are pairwise disjoint; and (iii) for each positive clause  $C = \{x_1, \dots, x_r\}$  there is a negative clause  $C' = \{\overline{x_1}, \dots, \overline{x_r}\}$  in  $F$  over the same variables, referred to as the *dual* of  $C$ .

**Lemma 8.**  $\text{SAT}^R$  is NP-complete.

*Proof Sketch for Theorem 7.* Let  $F$  be an instance of  $\text{SAT}^R$  over  $n$  variables  $x_1, \dots, x_n$ . Denote by  $P$  and  $N$  the sets of positive and negative clauses in  $F$ , respectively. We construct a matrix  $\mathbf{M}$  with 4 rows and  $n+3$  columns, where column  $i$  of  $\mathbf{M}$  corresponds to variable  $x_i$ , for  $i \in [n]$ . The entries of  $\mathbf{M}$  are defined as follows. First, the 4 entries in column  $n+3$  are all set to 1. In row 1, the entries in the first  $n$  columns (corresponding to the variables) are set to  $\bullet$ , and the two entries in columns  $n+1$  and  $n+2$  are set to 0. In row 2, the entries in the first  $n$  columns are set to  $\bullet$ , the entry in column  $n+1$  is set to 1, and the entry in column  $n+2$  is set to 0. In row 3, each entry corresponding to a variable that appears in  $P$  is set to 1, all other entries in columns  $1, \dots, n$  (corresponding to variables) are set to 0, and both entries in columns  $n+1$  and  $n+2$  are set to 1. Finally, in



*compatible* if all pairs of rows in  $R$  are pairwise compatible. For a set of rows  $R$  and a column index  $c$ , let  $E(R, c)$  be the set of all values occurring at column  $c$  in any row in  $R$ , i.e.,  $E(R, c) = \{r[c] : r \in R\}$ . Note that if  $R$  is a set of compatible rows, then  $E(R, c)$  contains at most one value other than  $\bullet$  for every column index  $c$ . Hence, for a set  $R$  of compatible rows and a column index  $c$ , we can define  $U(R, c)$  to be equal to the unique value in  $E(R, c) \setminus \{\bullet\}$  if  $E(R, c) \setminus \{\bullet\} \neq \emptyset$  and equal to  $\bullet$ , otherwise. Moreover, we denote by  $U(R)$  the unique row defined by  $U(R)[c] = U(R, c)$  for every column index  $c$ .

**Observation 11.** *A set  $R$  of rows of  $\mathbf{M}$  can be completed to the same row if and only if  $G(\mathbf{M}[R, *])$  forms a clique and the partial instantiation given by  $U(R)$  can be extended to a total instantiation that satisfies  $I_C$ .*

The above observation implies that a solution for  $\mathcal{I}$  can be thought of as a consistent partition  $\mathcal{P}$  of the vertex set of  $G(\mathbf{M})$  into cliques, where *consistent* means that the (partial) instantiation represented by  $U(\alpha(P))$  can be extended to a total instantiation satisfying  $I_C$ , for every  $P \in \mathcal{P}$ , where  $\alpha$  denotes the natural bijection from the set of vertices of  $G(\mathbf{M})$  to the set  $R$  of rows of  $\mathbf{M}$ .

A *tree-decomposition*  $\mathcal{T}$  of a graph  $G = (V, E)$  is a tuple  $(T, \chi)$ , where  $T$  is a tree and  $\chi$  is a function that assigns each tree node  $x$  a set  $\chi(x) \subseteq V$  of vertices such that the following conditions are met: (i) For every vertex  $v \in V(G)$ , the set of tree nodes  $x$  with  $v \in \chi(x)$  forms a non-empty subtree of  $T$ . (ii) For every edge  $uv \in E(G)$  there is a tree node  $x$  such that  $u, v \in \chi(x)$ . We call the sets  $\chi(x)$  *bags*, where  $\chi(x)$  is the bag associated with  $x$ . The *width* of a tree-decomposition  $(T, \chi)$  is the size of a largest bag minus 1. A tree-decomposition of minimum width is called *optimal*. The *treewidth* of a graph  $G$ , denoted by  $\text{tw}(G)$ , is the width of an optimal tree decomposition of  $G$ .

The following lemma provides us with the main tool needed for our tractability result as it allows us to reduce DISTINCT ROW CLUSTERING to the task of obtaining an upper bound on the treewidth of the compatibility graph.

**Lemma 12.** *Let  $\mathcal{C}^{\text{st}}$  be a strongly tractable class of CSP instances. Then  $\text{CSC}_{\text{DR}}[\mathcal{C}^{\text{st}}]$  parameterized by the treewidth of the compatibility graph is fixed-parameter tractable.*

*Sketch of Proof.* Let  $\mathcal{I} = (\mathbf{M}, I_C, t)$  with  $I_C = (\{x_1, \dots, x_n\}, D, C)$  be the given instance of  $\text{CSC}_{\text{DR}}[\mathcal{C}^{\text{st}}]$  and let  $G$  be its associated compatibility graph, i.e.,  $G = G(\mathbf{M})$ . We will show the lemma using a dynamic programming algorithm on a tree-decomposition of  $G$ . Since it is well-known (Kloks 1994; Bodlaender 1996; Bodlaender et al. 2016) that a tree decomposition of width  $\omega$  can be computed in fixed-parameter tractable-time parameterized by  $\omega$ , we can in the following assume that we are given a tree decomposition  $(T, \chi)$  of  $G$  of width  $\omega$ .

For a subgraph  $H$  of  $G$ , we say that  $\mathcal{P}$  is a *partition of  $H$  into cliques* if  $\{V(P) : P \in \mathcal{P}\}$  partitions the vertex set of  $V(H)$  and  $H[P]$  is a clique for every  $P \in \mathcal{P}$ . If it holds additionally that the partial instantiation given by  $U(\alpha(V(P)))$  can be extended to a total instantiation satisfying  $I_C$ , then we say that  $\mathcal{P}$  is a *consistent* partition of  $H$  into cliques. For every node  $x \in V(T)$ , we will compute the set  $\mathcal{R}(x)$  of records

containing all pairs  $(\mathcal{P}, c)$  such that: (i)  $\mathcal{P}$  is a consistent partition of  $G[\chi(x)]$  into cliques, and (ii)  $c$  is the minimum integer such that  $G[\chi(T_x)]$  has a consistent partition  $\mathcal{P}'$  into  $c$  cliques with  $\mathcal{P} = (\{P' \cap \chi(n) : P' \in \mathcal{P}'\} \setminus \{\emptyset\})$ . Note that given  $\mathcal{R}(x)$  for every node  $x \in V(T)$ , we can easily obtain a solution for  $\mathcal{I}$ . In particular,  $\mathcal{I}$  is a yes-instance if and only if  $\mathcal{R}(r)$ , where  $r$  is the root of  $T$ , contains a record  $(\emptyset, t')$  with  $t' \leq t$ .  $\square$

We can now show the main result of this section.

**Theorem 13.** *Let  $\mathcal{C}_D^{\text{st}}$  be a class of strongly tractable CSP instances over a finite domain  $\Omega$ . Then  $\text{CSC}_{\text{DR}}[\mathcal{C}^{\text{st}}]$  parameterized by  $k$  is **FPT**.*

*Proof.* Let  $\mathcal{I} = (\mathbf{M}, I_C, t)$  with  $I_C = (\{x_1, \dots, x_n\}, D, C)$  be the given instance of  $\text{CSC}_{\text{DR}}[\mathcal{C}]$ , let  $G$  be its associated compatibility graph, i.e.,  $G = G(\mathbf{M})$ . We begin by computing a set  $R_\bullet$  of rows and  $C_\bullet$  of columns such that  $|R_\bullet \cup C_\bullet| \leq k$  and every occurrence of  $\bullet$  in  $\mathbf{M}$  is contained in a row or column in  $R_\bullet \cup C_\bullet$ . Let  $R$  and  $C$  be the set of rows and columns of  $\mathbf{M}$ , respectively. Let  $\mathcal{P}$  be the unique partition of  $R \setminus R_\bullet$  such that two rows  $r$  and  $r'$  belong to the same set in  $\mathcal{P}$  if and only if they are identical on all columns in  $C \setminus C_\bullet$ . Then  $|P| \leq (|\Omega| + 1)^k$ , for every  $P \in \mathcal{P}$ , since two rows in  $P$  can differ on at most  $|C_\bullet| \leq k$  entries, each having  $(|\Omega| + 1)$  values to be chosen from. Moreover, any two rows in  $R \setminus R_\bullet$  that are not contained in the same set in  $\mathcal{P}$  are not compatible, which implies that they appear in different components of  $G \setminus R_\bullet$  and hence the set of vertices in every component of  $G \setminus R_\bullet$  is a subset of  $P$ , for some  $P \in \mathcal{P}$ . It is now straightforward to show that  $\text{tw}(G) \leq k + (|\Omega| + 1)^k$ , and hence,  $\text{tw}(G)$  is bounded by a function of the parameter  $k$ . The theorem now follows by Lemma 12.  $\square$

## Conclusion

We initiated the study of a fundamental matrix clustering problem, in the incomplete data setting, and subject to constraints imposed on the completed matrix. Here, the addition of constraints expands the applications of the problem in a similar manner as in preference learning (Choi, den Broeck, and Darwiche 2015).

We investigated the parameterized complexity of the problem with respect to natural parameters and painted a detailed landscape of its complexity. Our findings give tight parameterized complexity results with respect to the parameters under consideration, as well as show the **NP**-completeness of several important matrix partitioning problems. Many of the obtained fixed-parameter tractability results can be lifted to the setting where the completion is subject to a tractable CSP that satisfies mild additional restrictions.

We hope that our encouraging results will evoke further research on this general topic, as there is much room for generalization and extension. For instance, a natural extension is to consider the case where the domain is part of the input, as this would allow the use of global constraints such as the all-different and permutation constraints. Moreover, a natural open problem that ensues from our work is to determine the parameterized complexity of  $\text{CSC}[\mathcal{C}]$  where  $\mathcal{C}$  is the class of bijunctive constraints.

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