

# CS 598 EVS: Tensor Computations

## Tensor Eigenvalues

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## Matrix Eigenvalues

- ▶ The eigenvalue and singular value decompositions of matrices enable not only low-rank approximation (which we can get for tensors via decomposition), but also describe important properties of the matrix  $M$  and associated linear function  $f^{(M)}(x) = Mx$ 
  - ▶ *Eigenvalues and eigenvectors can be used to characterize eigenfunctions of differential operators*
  - ▶ *Eigenvalues describe powers of the matrix and its limiting behavior*

$$M = XDX^{-1} \Rightarrow M^2 = XD^2X^{-1}$$

*if there is a unique largest eigenvalue  $\lambda$  with associated left/right eigenvectors are  $x, y$  then*

$$\lim_{k \rightarrow \infty} M^k / \|M^{k-1}\| = \lambda xy$$

- ▶ *They can be used to find stationary states of statistical processes and to find low-cut partitions in graphs*

# Tensor Eigenvalues

- ▶ Tensor eigenvalues and singular values can be defined based on the function  $f^{(\mathcal{T})}$  by analogy from the role of matrix eigenvalues on  $f^{(M)}$ 
  - ▶ *Matrix eigenpairs*  $(\lambda, x)$  satisfy  $f^{(M)}(x) = \lambda x$ , while for an order  $d$  symmetric tensor, we may define<sup>1,2</sup>

$$\underbrace{f^{(\mathcal{T})}(x, \dots, x) = \lambda x}_{Z\text{-eigenpair}} \quad \underbrace{f^{(\mathcal{T})}(x, \dots, x) = \lambda x^{d-1}}_{H\text{-eigenpair}} \quad \underbrace{f^{(\mathcal{T})}(x, \dots, x) = \lambda x^{p-1}}_{l^p\text{-eigenpair}}$$

where  $x^p = [x_1^p \dots x_n^p]^T$

- ▶ For matrices,  $Z$ -eigenpairs ( $l^p$ -eigenpairs with  $p = 1$ ) and  $H$ -eigenpairs ( $l^p$ -eigenpairs with  $p = d - 1$ ) are the same
- ▶ *Singular value/vector pairs* can be defined by a tuple  $(\sigma, x_1, \dots, x_d)$  that satisfies  $d$  equations like  $f^{(\mathcal{T})}(x_2, \dots, x_d) = \sigma x_1^p$ , e.g., for  $d = 3, p = 1$ ,

$$\mathbf{T}_{(1)}(x_2 \otimes x_3) = \sigma x_1, \quad \mathbf{T}_{(2)}(x_1 \otimes x_3) = \sigma x_2, \quad \mathbf{T}_{(3)}(x_1 \otimes x_2) = \sigma x_3$$

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<sup>1</sup>Liquan Qi, "Eigenvalues of a Real Supersymmetric Tensor", 2005

<sup>2</sup>Lek-Heng Lim, "Singular Values and Eigenvalues of Tensors: A Variational Approach", 2005

## Matrix Eigenvalues and Critical Points

- ▶ The eigenvalues/eigenvectors of a matrix are the critical values/points of its Rayleigh quotient<sup>3</sup>

- ▶ *The Lagrangian function of  $f(\mathbf{x}) = \mathbf{x}^T \mathbf{A} \mathbf{x}$  subject to  $\|\mathbf{x}\|_2^2 = \|\mathbf{x}\|_2 \|\mathbf{x}\|_2 = 1$  is*

$$\mathcal{L}(\mathbf{x}, \lambda) = \mathbf{x}^T \mathbf{A} \mathbf{x} - \lambda(\|\mathbf{x}\|_2^2 - 1)$$

- ▶ *The first-order optimality condition are  $\|\mathbf{x}\|_2 = 1$  and*

$$\frac{d\mathcal{L}}{d\mathbf{x}}(\mathbf{x}, \lambda) = \mathbf{0} \quad \Rightarrow \quad \mathbf{A} \mathbf{x} = \lambda \mathbf{x}$$

- ▶ Singular vectors and singular values of matrices may be derived analogously

- ▶ *The Lagrangian function of  $f(\mathbf{x}, \mathbf{y}) = \mathbf{x}^T \mathbf{A} \mathbf{y}$  subject to  $\|\mathbf{x}\|_2 \|\mathbf{y}\|_2 = 1$  is*

$$\mathcal{L}(\mathbf{x}, \mathbf{y}, \sigma) = \mathbf{x}^T \mathbf{A} \mathbf{y} - \sigma(\|\mathbf{x}\|_2 \|\mathbf{y}\|_2 - 1)$$

- ▶ *The first-order optimality conditions are  $\|\mathbf{x}\|_2 \|\mathbf{y}\|_2 = 1$  and*

$$\frac{d\mathcal{L}}{d\mathbf{x}}(\mathbf{x}, \mathbf{y}, \sigma) = \mathbf{0} \quad \Rightarrow \quad \frac{\mathbf{A} \mathbf{y}}{\|\mathbf{y}\|} = \frac{\sigma \mathbf{x}}{\|\mathbf{x}\|}, \quad \frac{d\mathcal{L}}{d\mathbf{y}}(\mathbf{x}, \mathbf{y}, \sigma) = \mathbf{0} \quad \Rightarrow \quad \frac{\mathbf{A} \mathbf{x}}{\|\mathbf{x}\|} = \frac{\sigma \mathbf{y}}{\|\mathbf{y}\|}$$

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<sup>3</sup>Lek-Heng Lim, "Singular Values and Eigenvalues of Tensors: A Variational Approach", 2005

## Tensors Eigenvalues

- ▶ The Lagrangian approach to matrix eigenvalues generalizes naturally to symmetric tensors
  - ▶ *The symmetric tensor is associated with a multilinear scalar-valued function  $f^{(\mathcal{T})}(\mathbf{x}) = \sum_{i_1, \dots, i_d} t_{i_1, \dots, i_d} x_{i_1} \cdots x_{i_d}$  as well as the vector valued function  $\mathbf{f}^{(\mathcal{T})}(\mathbf{x}) = \sum_{i_1, \dots, i_{d-1}} t_{i_1, \dots, i_{d-1}} x_{i_1} \cdots x_{i_{d-1}} = \frac{1}{d} \nabla f^{(\mathcal{T})}(\mathbf{x})$*
  - ▶ *We consider its Lagrangian subject to a normalization condition  $\|\mathbf{x}\|_p^d = 1$  (for matrices  $p = 2$ , so for order  $d$  tensors natural to pick either  $p = 2$  or  $p = d$ ),*

$$\mathcal{L}(\mathbf{x}, \lambda) = f(\mathbf{x}) - \lambda(\|\mathbf{x}\|_p^d - 1)$$

- ▶ *The first order optimality conditions for  $p = 2$  is  $\|\mathbf{x}\|_2 = 1$  and*

$$\frac{d\mathcal{L}}{d\mathbf{x}}(\mathbf{x}, \lambda) = \mathbf{0} \quad \Rightarrow \quad \mathbf{f}^{(\mathcal{T})}(\mathbf{x}) = \lambda \mathbf{x}$$

- ▶ *The analogous first order optimality condition for  $p = d$  and even  $p$  is*

$$\frac{d\mathcal{L}}{d\mathbf{x}}(\mathbf{x}, \lambda) = \mathbf{0} \quad \Rightarrow \quad \mathbf{f}^{(\mathcal{T})}(\mathbf{x}) = \lambda \mathbf{x}^{d-1}$$

*is scale invariant (if  $(\mathbf{x}^*, \lambda)$  minimizes  $\mathcal{L}$  so does  $(\alpha \mathbf{x}^*, \lambda)$ )*

## Tensor Singular Values and Singular Vectors

- ▶ Tensor singular values again can be viewed as critical points of the Lagrangian function of the multilinear map given by a tensor
  - ▶ *An order  $d$  tensor is associated with a multilinear scalar-valued function*

$$f^{(\mathcal{T})}(\mathbf{x}^{(1)}, \dots, \mathbf{x}^{(d)}) = \sum_{i_1, \dots, i_d} t_{i_1, \dots, i_d} x_{i_1}^{(1)} \cdots x_{i_d}^{(d)}$$

*as well as  $d$  vector valued functions*

$$\mathbf{f}_i^{(\mathcal{T})}(\mathbf{x}^{(1)}, \dots, \hat{\mathbf{x}}^{(i)}, \dots, \mathbf{x}^{(d)}) = \frac{df^{(\mathcal{T})}(\mathbf{x}^{(1)}, \dots, \mathbf{x}^{(d)})}{d\mathbf{x}^{(i)}}(\mathbf{x}^{(1)}, \dots, \hat{\mathbf{x}}^{(i)}, \dots, \mathbf{x}^{(d)})$$

*e.g.,  $\mathbf{f}_1^{(\mathcal{T})}(\mathbf{x}^{(2)}, \mathbf{x}^{(3)}) = \mathbf{T}_{(1)}(\mathbf{x}^{(2)} \otimes \mathbf{x}^{(3)})$*

- ▶ *We consider its Lagrangian subject to a normalization condition*

$$\|\mathbf{x}_1\|_p \cdots \|\mathbf{x}_d\|_p = 1$$

$$\mathcal{L}(\mathbf{x}_1, \dots, \mathbf{x}_d, \sigma) = f(\mathbf{x}_1, \dots, \mathbf{x}_d) - \sigma(\|\mathbf{x}_1\|_p \cdots \|\mathbf{x}_d\|_p - 1)$$

- ▶ *The first order optimality conditions for even  $p$  are, for all  $i$  in  $\{1, \dots, d\}$ ,*

$$\frac{d\mathcal{L}}{d\mathbf{x}_i}(\mathbf{x}_1, \dots, \mathbf{x}_d, \sigma) = \mathbf{0} \quad \Rightarrow \quad \mathbf{f}_i^{(\mathcal{T})}(\mathbf{x}_1, \dots, \hat{\mathbf{x}}_i, \dots, \mathbf{x}_d) = \sigma \mathbf{x}_i^p$$

## Immediate Properties of Tensor Eigenvectors and Singular Vectors

- ▶ When the tensor order  $d$  is odd,  $H$ -eigenvectors ( $l^d$ -eigenvectors) and singular vectors must be defined with additional care

- ▶ Let  $\phi_p(\mathbf{x}) = [\text{sgn}(x_1)|x_1|^p, \dots, \text{sgn}(x_n)|x_n|^p]^T$  then can generally write

$$\nabla \|\mathbf{x}\|_p = \phi_{p-1}(\mathbf{x}) / \|\mathbf{x}\|_p^{p-1}$$

when  $p$  is even,  $\phi_{p-1}(\mathbf{x}) = \mathbf{x}^{p-1}$

- ▶ The eigenvalue equations can then be written for general  $p$  as

$$\frac{d\mathcal{L}}{d\mathbf{x}}(\mathbf{x}, \lambda) = \mathbf{0} \quad \Rightarrow \quad \mathbf{f}^{(\mathcal{T})}(\mathbf{x}) = \lambda \phi_{p-1}(\mathbf{x})$$

- ▶ The largest tensor singular value is the operator/spectral norm of the tensor
- ▶ Recall we defined the operator norm of the tensor as

$$\|\mathcal{T}\| = \max_{\mathbf{x}_1, \dots, \mathbf{x}_d \in \mathbb{S}^{n-1}} |f^{\mathcal{T}}(\mathbf{x}_1, \dots, \mathbf{x}_d)|$$

where  $\mathbb{S}^{n-1}$  is the unit sphere (norm-1 vectors)

- ▶ This value corresponds to the largest  $l^2$  tensor singular value, or in the symmetric case, the largest magnitude of any of the tensor  $Z$ -eigenvalues

# Eigenvalues of Nonsymmetric Tensors

- ▶ For nonsymmetric matrices case, the Lagrangian approach used above cannot be used to describe the eigenvalues
  - ▶ *The eigenvalues of a real nonsymmetric matrix may be complex*
  - ▶ *For tensors, we can still define the eigenvalue equations in a consistent way with respect to matrices,*

$$\mathbf{f}_i^{(\mathcal{T})}(\mathbf{x}, \dots, \mathbf{x}) = \lambda \phi_{p-1}(\mathbf{x})$$

*so that  $\lambda, \mathbf{x}$  are the mode- $i$  an  $l^p$ -eigenpair*

- ▶ *For matrices, the mode-1 and mode-2  $l^2$ -eigenvectors are the left/right eigenvectors*

## Connection Between Decomposition and Eigenvalues

- ▶ In the matrix-case, the largest magnitude eigenvalue and singular value may be associated with a rank-1 term that gives the best rank-1 decomposition of a matrix
  - ▶ *For symmetric matrices, it suffices to consider the dominant eigenpair*
  - ▶ *For nonsymmetric matrices, a rank-1 truncated SVD gives the largest singular vector/value pair and associated rank-1 approximation*
- ▶ In the tensor case, the rank-1 approximation problem corresponds to a maximization problem<sup>4</sup>
  - ▶ *Given a nonsymmetric tensor  $\mathcal{T}$  the rank-1 tensor decomposition objective is*

$$\min_{\mathbf{u}^{(1)}, \dots, \mathbf{u}^{(d)} \in \mathbb{S}^{n-1}} \|\mathcal{T} - \sigma \mathbf{u}^{(1)} \otimes \dots \otimes \mathbf{u}^{(d)}\|_F^2$$

- ▶ *The problem is equivalent to the maximum  $l^2$ -singular value problem for  $\mathcal{T}$*

$$\max_{\mathbf{u}^{(1)}, \dots, \mathbf{u}^{(d)} \in \mathbb{S}^{n-1}} \sigma \quad \text{s.t.} \quad \forall_i \mathbf{f}_i^{(\mathcal{T})}(\mathbf{u}^{(1)}, \dots, \hat{\mathbf{u}}^{(i)}, \dots, \mathbf{u}^{(d)}) = \sigma \mathbf{u}^{(i)},$$

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<sup>4</sup>L. De Lathauwer, B. De Moor, and J. Vandewalle, "On the best rank-1 and rank- $(R_1, R_2, \dots, R_n)$  approximation of higher-order tensors", 2000

## Derivation of Equivalence

- ▶ The singular value problem can be derived from decomposition via the method of Lagrange multipliers
  - ▶ *In general, consider the Lagrangian function*

$$\mathcal{L}(\mathbf{u}^{(1)}, \dots, \mathbf{u}^{(d)}, \sigma, \boldsymbol{\lambda}) = \|\mathcal{T} - \sigma \mathbf{u}^{(1)} \otimes \dots \otimes \mathbf{u}^{(d)}\|_F^2 + \sum_i \lambda_i \left( \sum_j (\|\mathbf{u}_j^{(i)}\|_2^2 - 1) \right)$$

- ▶ *For order 3, we have*

$$\mathcal{L}(\mathbf{u}, \mathbf{v}, \mathbf{w}, \sigma, \boldsymbol{\lambda}) = \|\mathcal{T} - \sigma \mathbf{u} \otimes \mathbf{v} \otimes \mathbf{w}\|_F^2 + \lambda_1 (\mathbf{u}^T \mathbf{u} - 1) + \lambda_2 (\mathbf{v}^T \mathbf{v} - 1) + \lambda_3 (\mathbf{w}^T \mathbf{w} - 1)$$

- ▶ *The optimality conditions give*

$$\frac{d\mathcal{L}}{d\boldsymbol{\lambda}} = \mathbf{0} \quad \Rightarrow \quad \mathbf{u}^T \mathbf{u} = 1, \quad \mathbf{v}^T \mathbf{v} = 1, \quad \mathbf{w}^T \mathbf{w} = 1$$

$$\frac{d\mathcal{L}}{d\sigma} = \mathbf{0} \quad \Rightarrow \quad f^{(\mathcal{T})}(\mathbf{u}, \mathbf{v}, \mathbf{w}) = \sigma$$

$$\frac{d\mathcal{L}}{d\mathbf{u}} = \mathbf{0} \quad \Rightarrow \quad \sigma \mathbf{f}_1^{(\mathcal{T})}(\mathbf{v}, \mathbf{w}) = (\sigma^2 + \lambda_1) \mathbf{u}$$

and similar for  $\frac{d\mathcal{L}}{d\mathbf{v}}, \frac{d\mathcal{L}}{d\mathbf{w}}$ . Premultiplying the last condition by  $\mathbf{u}^T$ , gives the second modulo  $\lambda_1$ , so  $\lambda_1 = 0$ , giving the singular value equation  $\mathbf{f}_1^{(\mathcal{T})}(\mathbf{v}, \mathbf{w}) = \sigma \mathbf{u}$ .

## Hardness of Eigenvalue Computation

- ▶ Like rank-1 approximation, computing eigenvalues of singular values of a tensor is NP-hard, which can be demonstrated by considering the tensor bilinear feasibility problem<sup>5</sup>
  - ▶ *Restricting the tensor to be symmetric still leads to NP-hard problems, the largest singular vector will be the largest eigenvector a result of Banach<sup>6</sup>*

$$\max_{\mathbf{x}, \mathbf{y}, \mathbf{z} \in \mathbb{S}^{n-1}} f^{(\mathcal{T})}(\mathbf{x}, \mathbf{y}, \mathbf{z}) = \max_{\mathbf{x} \in \mathbb{S}^{n-1}} f^{(\mathcal{T})}(\mathbf{x}, \mathbf{x}, \mathbf{x})$$

- ▶ *The tensor bilinear feasibility problem associated with an order 3 tensor  $\mathcal{T}$  is defined by the set of equations*

$$\mathbf{f}_1^{(\mathcal{T})}(\mathbf{v}, \mathbf{w}) = \mathbf{0}, \quad \mathbf{f}_2^{(\mathcal{T})}(\mathbf{u}, \mathbf{w}) = \mathbf{0}, \quad \mathbf{f}_3^{(\mathcal{T})}(\mathbf{u}, \mathbf{v}) = \mathbf{0}$$

*where we seek solutions  $\mathbf{u}, \mathbf{v}, \mathbf{w} \neq \mathbf{0}$*

- ▶ *This problem is a special case of the  $l^p$  singular value problem for any choice of  $p$  with  $\sigma = 0$*

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<sup>5</sup>C.J. Hillar and L.-H. Lim, “Most tensor problems are NP-hard”, 2013

<sup>6</sup>S. Banach, “On homogeneous polynomials in  $L^2$ ”, 1938

## Hardness of Eigenvalue Computation

- ▶ NP-hardness of the tensor bilinear feasibility problem can be demonstrated by reduction from 3-colorability
  - ▶ *The 3-coloring problem seeks to find (if possible) an assignment of one of 3 colors to each vertex of a graph that is different from the color of any of its neighbors*
  - ▶ *We define an optimization problem over a set of variables  $x \in \mathbb{C}^n$  that describe the color (each will take on a power of the third root of unity), as well as auxiliary variables  $y \in \mathbb{C}^n, z \in \mathbb{C}$ , then define the bilinear equations*

$$\forall i \in \{1, \dots, n\}, \quad x_i y_i - z^2 = 0, \quad y_i z - x_i^2 = 0, \quad x_i z - y_i^2 = 0$$

$$\forall i \in \{1, \dots, n\}, \quad \sum_{(i,j) \in E} \underbrace{x_i^2 + x_i x_j + x_j^2}_{\frac{x_i^3 - x_j^3}{x_i - x_j}} = 0$$

- ▶ *Assume (normalize) so that  $z = 1$ , then the first set of equations implies  $y_i = 1/x_i$  and further  $x_i^3 = 1$ , so labels are cubic roots of unity*
- ▶ *For the second set of equations, we then must have  $x_i \neq x_j$  if  $(i, j) \in E$*

# Power Method for Singular Value Computation

- ▶ The *high-order power method (HOPM)* can be used to compute the largest singular value<sup>7</sup>
  - ▶ *The algorithm updates factors in an alternating manner until convergence, with the  $i$ th factor matrix updated as*
    1.  $\mathbf{v}^{(i)} = \mathbf{f}_i^{(\mathcal{T})}(\mathbf{u}^{(1)}, \dots, \hat{\mathbf{u}}^{(i)}, \dots, \mathbf{u}^{(d)})$ ,
    2.  $\sigma = \|\mathbf{v}^{(i)}\|_2$
    3.  $\mathbf{u}_{new}^{(i)} = \mathbf{v}^{(i)} / \sigma$
  - ▶ *The algorithm can be derived from the Lagrangian and converges to a local minimum*
  - ▶ *Effective initialization can be achieved by HOSVD and the algorithm is equivalent to the rank-1 version of the HOOI procedure*

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<sup>7</sup>L. De Lathauwer, B. De Moor, and J. Vandewalle, “On the best rank-1 and rank- $(R_1, R_2, \dots, R_n)$  approximation of higher-order tensors”, 2000

# Power Method for Symmetric Eigenvalue Problems

- ▶ The HOPM algorithm can be adapted to symmetric tensors
  - ▶ *The aforementioned Banach's polynomial maximization theorem implies HOPM will converge to symmetric solution even if intermediate results are nonsymmetric*
  - ▶ *If symmetry is enforced on the iterates, so that*

$$\mathbf{v} = \mathbf{f}^{(\mathcal{T})}(\mathbf{u}) = \mathbf{f}_i^{(\mathcal{T})}(\mathbf{u}, \dots, \mathbf{u}), \quad \mathbf{u}^{(new)} = \mathbf{v}/\|\mathbf{v}\|,$$

*the algorithm is no longer guaranteed to converge (it does if the tensor order is even and the underlying function is convex)*

- ▶ *The shifted symmetric HOPM method<sup>8</sup> alleviates this problem and enables convergence to other eigenvalues by adding a shift so as to minimize  $\mathbf{f}^{(\mathcal{T})}(\mathbf{u}) + \alpha(\mathbf{u}^T \mathbf{u})^{d/2}$  for order  $d$  tensor  $\mathcal{T}$ , yielding to updates such as*

$$\mathbf{v} = \mathbf{f}^{(\mathcal{T})}(\mathbf{u}) + \alpha \mathbf{u}, \quad \mathbf{u}^{(new)} = \mathbf{v}/\|\mathbf{v}\|,$$

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<sup>8</sup>T.G. Kolda and J.R. Mayo, "Shifted Power Method for Computing Tensor Eigenpairs", 2011

## Perron-Frobenius Theorem for Tensor Eigenvalues

- ▶ The Perron-Frobenius theorem states that positive matrices have a unique real eigenvalue and the associated eigenvector is positive
  - ▶ *Can be extended to nonnegative matrices so long as matrix is not reducible, i.e., cannot be put into the form*

$$PAP^{-1} = \begin{bmatrix} E & F \\ \mathbf{0} & G \end{bmatrix}$$

*where  $P$  is a permutation matrix and  $G$  has at least 1 row*

- ▶ *This theorem is prominent in the study of nonsymmetric matrices*
- ▶ *Its applications include analysis of stochastic processes and algebraic graph theory*
- ▶ Tensor eigenvalues satisfy a generalized Perron-Frobenius theorem
  - ▶ *If tensor is positive, the eigenvector with the largest eigenvalue is positive*
  - ▶ *A nonnegative order  $d$  tensor is irreducible if there is no  $d$ -dimensional blocking into  $2^d$  blocks that yields an off-diagonal zero block*
  - ▶ *For further properties, see LH Lim, “Singular Values and Eigenvalues of Tensors: A Variational Approach”, 2005 and Q Yang, Y Yang, “Further results for Perron–Frobenius theorem for nonnegative tensors II”, 2011*

## Tensor Eigenvalues and Hypergraphs

- ▶ Matrix eigenvalues are prominent in algebraic graph theory
  - ▶ *For an unweighted graph we typically consider a binary adjacency matrix  $A$  or the Laplacian matrix  $D - A$  where  $D$  is a diagonal degree matrix*
  - ▶ *The eigenvector with the second smallest eigenvalue can be used to find a partitioning of vertices with a provably small cut value*
  - ▶ *Clustering can be done via constrained low-rank approximations methods*
- ▶ Tensor eigenvalues can be used to understand partitioning/clustering properties of uniform hypergraphs<sup>9</sup>
  - ▶ *A uniform hypergraph  $H = (V, E)$  is described by a set of vertices  $V$  and a set of hyperedges  $E$ , each of which is a subset of  $r$  vertices in  $E$*
  - ▶ *Each hyperedge  $(v_i, v_j, v_k) \in E$  may be associated with a tensor entry  $t_{ijk}$*
  - ▶ *Laplacian-like choice of  $t_{ijk}$  yields symmetric and semidefinite tensor*
  - ▶ *The tensor must have a zero eigenvalue and the multiplicity of the zero eigenvalue is the number of components in the hypergraph*
  - ▶ *The second smallest eigenvalue lower bounds the minimum cut of  $H$*

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<sup>9</sup>J. Chang, Y. Chen, L. Qi, H. Yan, "Hypergraph Clustering Using a New Laplacian Tensor with Applications in Image Processing", 2019