Oded (July 26, 2024): HDX – from local expansion to global expansion

My own interest in high-dimensional expanders (HDX) is quite limited. In particular, my interest is restricted to the two-dimensional case, which I view as referring to *d*-regular expander graphs in which the subgraph induces by the *d* neighbors of each vertex induce an expander (i.e., a *d*-vertex graph with a normalized second eignenvalue that is bounded away from 1). I find the result of Izhar Oppenheim that asserts that a strong enough version of the latter ("local") condition implies the former ("global" expansion) condition very interesting.<sup>1</sup> The following exposition follows an oral explanation by Irit Dinur.

For a *d*-regular graph G = ([n], E), we consider the stochastic matrix M that represents a random walk on this graph; that is, the (i, j)<sup>th</sup> entry of M equals 1/d if  $\{i, j\} \in E$  and equals 0 otherwise. Letting  $\lambda_1 \geq \lambda_2 \geq \cdots \geq \lambda_n$  denote the eingenvalues of M, which are all in [-1, +1].

For  $\lambda \in (0, 1)$ , We say that G is an  $\lambda$ -expander if  $|\lambda_i| \leq \lambda$  for every  $i \in \{2, ..., n\}$ . Recall that in such a case G is connected and non-bipartite (i.e.,  $\lambda_2 < 1$  and  $\lambda_n > -1$ ), and that  $\lambda_1 = 1$  is associated with the uniform eigenvector. We shall survey a proof of the following result, which arised in the context of the study of high dimensional expanders (HDX).

**Theorem 1** (local expansion implies gloabl expansion): Let G = (V, E) be a connected regular graph and  $\lambda \in (0, 0.5)$ . Suppose that for every  $v \in V$ , the subgraph of G induced by the neighbors of v is a (regular)  $\lambda$ -expander. Furthermore, suppose that each of these subgraphs has the same number of edges and that each edge appears in the same number of subgraphs. Then, G is a  $\frac{\lambda}{1-\lambda}$ -expander.

**Proof:** We upper-bound each of the eigenvalues of M by considering the corresponding eigenvector; that is, for  $\gamma < 1$ , we consider  $f: V \to \mathbb{R}$  such that Mf (viewed as a vector) equals  $\gamma \cdot f$ . We first note that

$$\operatorname{Exp}_{\{u,v\}\in E}\left[f(u)\cdot f(v)\right] = \frac{\langle f, Mf \rangle}{|V|} = \frac{\gamma}{|V|} \cdot \|f\|_2^2.$$
(1)

Using the furthermore hypothesis, we observe that a different way of selecting a random edge consists of (uniformly) selecting a random vertex  $w \in V$  and (uniformly) selecting a random edge in the subgraph induced by the neighbours of w. Thus, denoting by  $E_w$  the set of edges in the subgraph of G induced by the neighbors of w, we have

$$\frac{\gamma}{|V|} \cdot \|f\|_2^2 = \operatorname{Exp}_{w \in V} \left[ \operatorname{Exp}_{\{u,v\} \in E_w} \left[ f(u) \cdot f(v) \right] \right].$$
(2)

Letting  $\Gamma(w)$  denote the set of nerighbours of w in G and  $f_w : \Gamma(w) \to \mathbb{R}$  denote the restriction of f to  $\Gamma(w)$ , we apply the Expander Mixing Lemma (Lemma 2) to the inner expectation in Eq. (2), and obtain (for every  $w \in V$ )

$$\operatorname{Exp}_{\{u,v\}\in E_w}\left[f_w(u)\cdot f_w(v)\right] \le \operatorname{Exp}_{u,v\in\Gamma(w)}\left[f_w(u)\cdot f_w(v)\right] + \lambda \cdot \frac{|\langle f_{w,\perp}, f_{w,\perp}\rangle|}{|\Gamma(w)|}$$
(3)

<sup>&</sup>lt;sup>1</sup>This result is a special case of Theorem 1.4 in Oppenheim's paper "Local Spectral Expansion Approach to High Dimensional Expanders Part I: Descent of Spectral Gaps" (*Discrete Comput. Geom.*, Vol. 59.2, pages 293–330, 2018). There is a typo in the statement of Theorem 1.4: The hypothesis is that X is  $(\lambda, \kappa)$ -local-expander. We ignore  $\kappa$ and note that Opperheim's  $\lambda$  corresponds to our  $1 - \lambda$  (since he consideres the normalized Laplacian of the graph whereas we consider the normalized adjacency matrix).

where  $f_{w,\perp}$  denotes the projection of  $f_w$  on the subspace orthogonal to the all-1 vector. Now, we rewrite Eq. (3) as follows

$$\operatorname{Exp}_{\{u,v\}\in E_w}\left[f(u)\cdot f(v)\right] \leq \operatorname{Exp}_{u\in\Gamma(w)}\left[f_w(u)\right]^2 + \lambda \cdot \frac{\|f_{w,\perp}\|^2}{|\Gamma(w)|}$$
(4)

Next, we shall use the following two observations:

- 1.  $||f_{w,\perp}||^2 = ||f_w||^2 ||f_{w,||}||^2$ , where  $f_{w,||}$  denotes the projection of  $f_w$  in direction (1, 1, ..., 1).
- 2.  $||f_{w,||}||^2 = \sum_{v \in \Gamma(w)} \operatorname{Exp}_{u \in \Gamma(w)} [f_w(u)]^2$ , because  $f_{w,||}(v) = \operatorname{Exp}_{u \in \Gamma(w)} [f_w(u)]$  for every  $v \in \Gamma(w)$ .

Combining these observations with Eq. (4), we get

$$\operatorname{Exp}_{\{u,v\}\in E_w}\left[f(u)\cdot f(v)\right] \leq \operatorname{Exp}_{u\in\Gamma(w)}\left[f_w(u)\right]^2 + \lambda \cdot \left(\frac{\|f_w\|^2}{|\Gamma(w)|} - \operatorname{Exp}\left[f_w\right]^2\right)$$
(5)

Next, rearranging Eq. (5), and combining it with Eq. (2) we get

$$\frac{\gamma}{|V|} \cdot \|f\|_2^2 \le (1-\lambda) \cdot \operatorname{Exp}_{w \in V} \left[ \operatorname{Exp}_{u \in \Gamma(w)} [f_w(u)]^2 \right] + \lambda \cdot \operatorname{Exp}_{w \in V} \left[ \frac{\|f_w\|^2}{|\Gamma(w)|} \right]$$
(6)

We now analyze the two terms that appear in Eq. (6).

The first term (equiv.,  $\operatorname{Exp}_{w \in V}[\operatorname{Exp}_{u,v \in \Gamma(w)}[f_w(u) \cdot f_w(v)]]$ ). A key observation is that the distribution of (u, v) that results by selecting uniformly  $w \in V$  and  $u, v \in \Gamma(w)$  equals to the distribution of (u, v) obtained by selecting uniformly  $u \in V$ ,  $w \in \Gamma(u)$  and  $v \in \Gamma(w)$ . Equivalently, once u is selected, the vertex v is determined by taking a two-step random walk from u. Hence,

$$\begin{split} \operatorname{Exp}_{w \in V} \left[ \operatorname{Exp}_{u,v \in \Gamma(w)} \left[ f(u) \cdot f(v) \right] \right] &= \operatorname{Exp}_{u \in V} \left[ f(u) \cdot \operatorname{Exp}_{w \in \Gamma(u),v \in \Gamma(w)} \left[ f(v) \right] \right] \\ &= \frac{\langle f, M^2 f \rangle}{|V|} \\ &= \frac{\gamma^2}{|V|} \cdot \|f\|^2 \end{split}$$

where the last equality is due to  $Mf = \gamma \cdot f$ .

The second term (i.e.,  $\operatorname{Exp}_{w \in V} \left[ \frac{\|f_w\|^2}{|\Gamma(w)|} \right]$ ). Here we observe that  $\sum_{w \in V} \sum_{v \in \Gamma(w)} \frac{f_w(v)^2}{|\Gamma(w)|} = \sum_{v \in V} f(v)^2 = \|f\|^2$ . Hence,  $\operatorname{Exp}_{w \in V} \left[ \frac{\|f_w\|^2}{|\Gamma(w)|} \right] = \|f\|^2 / |V|$ .

Plugging the derived equalities into Eq. (6), we get

$$\frac{\gamma}{|V|} \cdot \|f\|_{2}^{2} \leq (1-\lambda) \cdot \frac{\gamma^{2}}{|V|} \cdot \|f\|^{2} + \lambda \cdot \frac{\|f\|^{2}}{|V|}$$
(7)

which means that  $\gamma \leq (1 - \lambda) \cdot \gamma^2 + \lambda$ . Using  $\lambda < 1$ , this simplies to  $\gamma \leq (1 + \gamma) \cdot \lambda$ , and implies  $\gamma \leq \lambda/(1 - \lambda)$ . The theorem follows.

## Appendix: A general form of the Expander Mixing Lemma

For any function  $f: V \to \mathbb{R}$ , we denote by  $f_{\parallel}$  the projection of f in direction (1, 1, ..., 1), and by  $f_{\perp}$  the projection on the orthogonal subspace.

**Lemma 2** (Expander Mixing Lemma, general form): Let G = (V, E) be a regular  $\lambda$ -expander, then for every two functions  $g, h : V \to \mathbb{R}$  it holds that

$$\left| \exp_{\{u,v\} \in E} \left[ g(u) \cdot h(v) \right] - \exp_{u,v \in V} \left[ g(u) \cdot h(v) \right] \right| \leq \lambda \cdot \frac{\left| \langle g_{\perp}, h_{\perp} \rangle \right|}{|V|}$$

In the popular case of Boolean functions, using  $\langle g_{\perp}, h_{\perp} \rangle \leq \langle g, h \rangle \leq ||g|| \cdot ||h||$  and letting  $A = g^{-1}(1)$ and  $B = g^{-1}(1)$ , we get

$$\left| \frac{|\{(a,b) \in A \times B : \{a,b\} \in E\}|}{|E|} - \frac{|A| \cdot |B|}{|V|^2} \right| \le \lambda \cdot \frac{\sqrt{|A| \cdot |B|}}{|V|}$$

**Proof:** Viewing functions as vectors, we use the notation Mf and note that  $(Mf)(u) = \operatorname{Exp}_{v \in \Gamma(u)}[f(v)]$ , where  $\Gamma(u)$  is the set of neighbors of u in G. Hence,

$$\operatorname{Exp}_{\{u,v\}\in E}\left[g(u)\cdot h(v)\right] = \operatorname{Exp}_{u\in V}\left[g(u)\cdot \left((Mh)(u)\right)\right]$$
(8)

$$= \frac{\langle g, Mh \rangle}{|V|} \tag{9}$$

Recalling that  $\langle g,h\rangle=\langle g_{||},h_{||}\rangle+\langle g_{\perp},h_{\perp}\rangle,$  we get

$$\langle g, Mh \rangle = \langle g_{||}, h_{||} \rangle + \langle g_{\perp}, (Mh)_{\perp} \rangle \tag{10}$$

and note that  $|\langle g_{\perp}, (Mh)_{\perp} \rangle| \leq \lambda \cdot |\langle g_{\perp}, h_{\perp} \rangle|$ . Using  $\sum_{v \in V} f_{\perp}(v) = 0$ , we note that  $f_{||}(u) = \operatorname{Exp}[f_{||}] = \operatorname{Exp}[f]$  for every  $u \in V$ , and  $\langle g_{||}, h_{||} \rangle = |V| \cdot \operatorname{Exp}[g] \cdot \operatorname{Exp}[h]$  follows. Hence, Eq. (10) implies

$$\left| \langle g, Mh \rangle - |V| \cdot \operatorname{Exp}[g] \cdot \operatorname{Exp}[h] \right| \le \lambda \cdot |\langle g_{\perp}, h_{\perp} \rangle|.$$
(11)

Combining Eq. (8) & (9) with Eq. (11), we get

$$\left| \operatorname{Exp}_{\{u,v\} \in E} \left[ g(u) \cdot h(v) \right] - \operatorname{Exp}_{u \in V} [g(u)] \cdot \operatorname{Exp}_{v \in V} [h(v)] \right| \le \lambda \cdot |\langle g_{\perp}, h_{\perp} \rangle| / |V|,$$

and the lemma follows.