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# Hard submatrices for non-negative rank and communication complexity

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**Abstract**

Given a non-negative real matrix $M$ of non-negative rank at least $r$, can we witness this fact by a small submatrix of $M$? While Moitra (SIAM J. Comput. 2013) proved that this cannot be achieved exactly, we show that such a witnessing is possible approximately: an $m \times n$ matrix always contains a submatrix with at most $r^3$ rows and columns of non-negative rank at least $\Omega(\frac{r}{\log n \log m})$. A similar result is proved for the 1-partition number of a Boolean matrix and, consequently, also for its two-player deterministic communication complexity. Tightness of the latter estimate is closely related to Log-rank conjecture of Lovász and Saks.

## 1 Introduction

The rank of a matrix is one of the most versatile concepts from linear algebra. A basic property of matrix rank is the following: if a matrix $M$ has rank at least $r$ then it contains an $r \times r$ submatrix of rank $r$. Put differently, the fact that $\mathrm{rk}(M) \geq r$ can be witnessed by a hard $r \times r$ submatrix. Can we extend this witnessing property to other matrix complexity measures? We will consider two such measures: the *non-negative rank* of a non-negative real matrix and the *1-parttion number* of a Boolean matrix.

Given a matrix with non-negative real entries, its non-negative rank is defined similarly to rank, except that we want to express the matrix as a sum of non-negative rank-one matrices. This quantity has numerous applications in communication complexity and linear optimization [19], and other fileds (cf. [14]). In [19], Yannakakis has discovered a geometric interpretation of non-negative rank in terms of linear projections of polytopes. This connection has been extended and exploited in many subsequent results, see, e.g., [17, 2, 5], including the current paper.

If $M$ is a $0,1$-matrix, its 1-partition number can be defined as the smallest $r$ such that $M$ can be written as a sum of rank-one Boolean matrices. This

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is an important concept in communication complexity [10, 15]. Interpreting a 0/1-matrix as the adjacency matrix of a bipartite graph, it is also equivalent to the *biclique partition number* (see [3] and references within).

If $M$ has non-negative rank $\geq r$, can this fact be witnessed by a small submatrix? The short answer is no. In [14], Moitra presented an $n \times n$ matrix $M$ of non-negative rank 4 such that every submatrix with less than $n/3$ columns has non-negative rank at most 3 – in particular, $M$ contains no constant-size submatrix of non-negative rank 4. In Section 6.3, we will give a different example where the gap is more dramatic. Similarly, we will see that the most optimistic form of witnessing fails for 1-partition number. On the positive side, we will show that a weaker form of witnessing nevertheless holds: if a matrix has non-negative rank $r$ then it contains a submatrix of size bounded by a polynomial in $r$ whose non-negative rank is close to $r$; similarly for 1-partition number.

The two-player deterministic communication complexity of $M$ can be characterized by the logarithm of the 1-partition number of $M$. Hence our witnessing result for 1-partition number can be restated in the language of communication complexity: if a Boolean function has a large communication complexity, this fact can be approximately witnessed by a relatively small set of inputs. It should be noted that this statement immediately follows from Log-rank conjecture of Lovász and Saks (presented in [13]). This conjecture relates communication complexity of a Boolean matrix with its rank. It implies that for a Boolean matrix $M$, the three parameters – rank, 1-partttion number, non-negative rank – are essentially the same, with their logarithm being polynomially related to the communication complexity of $M$. This allows to deduce a witnessing property for these measures from the witnessing property of matrix rank. Our result to some extent confirms this prediction of the conjecture and it may therefore be interpreted as a vote in its favor. On the other hand, Log-rank conjecture implies a stronger form of witnessing than what we actually prove. Hence, in principle. a counterexample to the conjecture may be given by a matrix for which this predicted form of witnessing fails (see Section 5 for more details).

Our witnessing results could be easily converted to non-trivial *approximation* algorithms to compute non-negative rank or the 1-parttion number. These algorithms would run in polynomial time whenever the complexity parameter in question is fixed. Interestingly, *exact* algorithms of this form were given by Moitra [14] and Chandran et al. [3]. While there are similarities between these algorithms and the witnessing perspective, these algorithms ultimately do not search for a witness.

On a more abstract level, the witnessing problem can be posed with respect to any complexity measure whatsoever. A related result in Boolean circuit complexity are "anticheckers" of Lipton and Young [12]. In their work, it is shown that if a Boolean function $f$ requires a Boolean circuit of size $s$ then there is a subset of inputs of size roughly $s$ such that $f$ restricted to this subset still requires circuit size roughly $s$. A related topic are "hard-core predicates" of Impagliazzo [9]. An example from the opposite side of the spectrum is the chromatic number of a graph. It is known that a large chromatic number imposes almost no local structure on a graph and cannot be witnessed by a small subgraph [4, 16].

## 2 Main results

Given an $m \times n$ matrix $M$ with real non-negative entries, its *non-negative rank*, $\mathrm{rk}_+(M)$, is the smallest $s$ such that $M$ can be written as

$$M = LR\,,$$

where $L$ and $R$ are non-negative matrices of dimensions $m \times s$ and $s \times n$, respectively.

We will show that every $M$ with large non-negative rank contains a relatively small submatrix of large non-negative rank.

**Theorem 1.** *Let $M$ be an $m \times n$ non-negative real matrix with $n \geq 2$. Then for every $k \leq n$, $M$ contains an $m \times k$ submatrix of $k$ columns with non-negative rank $\Omega(R)$, where $R := \min\left((\frac{k}{\log n})^{\frac{1}{3}}, \frac{rk_+(M)}{\log n}\right)$.*

A remarkable consequence is the following:

- $M$ contains an $s_1 \times s_2$ submatrix with $s_1, s_2 \leq \mathrm{rk}_+(M)^3$ and non-negative rank $\Omega(\frac{\mathrm{rk}_+(M)}{\log n \log m})$. Moreover, If $M$ is a square matrix then so is the submatrix.

In some cases, a stronger conclusion is possible. For example, if $\mathrm{rk}_+(M) = n$ then *every* $m \times k$ submatrix of $M$ has non-negative rank $k$. Theorem 1 becomes interesting if $\log n \ll \mathrm{rk}_+(M) \ll n$. For example, if $M$ is $n \times n$ with $\mathrm{rk}_+(M)$ roughly $n^\epsilon$, we obtain an $n^{3\epsilon} \times n^{3\epsilon}$ submatrix of non-negative rank roughly $n^\epsilon$, and also an $n^\epsilon \times n^\epsilon$ submatrix of non-negative rank roughly $n^{\epsilon/3}$. How far from truth is the estimate from Theorem 1 is an interesting question. In Section 6.3, we will see that the result gives a qualitatively correct picture: the exponent 1/3 can be replaced by 1/2 at best.

Given a Boolean matrix $M \in \{0,1\}^{m \times n}$, let us define its *1-partition number*, $\chi_1(M)$, as the smallest $s$ such that $M$ can be written as

$$M = LR\,, \quad \text{where } L \in \{0,1\}^{m \times s}\,,\, R \in \{0,1\}^{s \times m}\,.$$

The definition emphasizes the analogy with $\mathrm{rk}_+$, and $\chi_1$ is also sometimes referred to as *Boolean rank*. On the other hand, the phrase "partition number" comes from communication complexity. The name is justified: it is easy to see that $\chi_1(M)$ equals the smallest $s$ such that the 1-entries of $M$ can be partitioned into $s$ 1-monochromatic rectangles (i.e., rank-one Boolean matrices). Finally, when $M$ is viewed as the adjacency matrix of a bipartite graph, $\chi_1(M)$ also appears under the name *biclique partition number* [3].

In the case of $\chi_1$, we obtain a similar but simpler result:

**Theorem 2.** *Let $M$ be an $m \times n$ Boolean matrix with $n \geq 2$. Then for every $k \leq n$, $M$ contains an $m \times k$ submatrix of $k$ columns with 1-partition number $\Omega(\min(\sqrt{k}, \frac{\chi_1(M)}{\log n}))$.*

One consequence is the following (cf. Corollary 6):

- if $\chi_1(M) = p$ then $M$ contains a $p \times p$ submatrix with 1-partition number $\Omega(p^{1/4})$.

The results on 1-partition number imply similar statements in communication complexity; they will be presented in Section 5. Whether these witnessing results can be significantly improved is an intriguing question. It is intimately related to Log-rank conjecture; this connection is discussed in Section 5.

Theorems 1 and 2 are proved in Sections 6.2 and 4, respectively. The proof of Theorem 2 is self-contained. Theorem 1 uses geometrical interpretation of non-negative rank in terms of extended formulations of polytopes and also employs known bounds on complexity of quantifier elimination.

**Notation** All logarithms are in base 2 and $[n] := \{1, \ldots, n\}$.

# 3 A combinatorial lemma

Both Theorems 1 and 2 rely on a simple combinatorial lemma.

**Lemma 3.** *Let $\mathcal{A} \subseteq 2^{[n]}$ be a family of subsets of $[n]$. Assume that $1 \le k \le n$ is such that every $k$-element subset of $[n]$ is contained in some $A \in \mathcal{A}$. Then there exists a subfamily $\mathcal{A}' \subseteq \mathcal{A}$ of size $|\mathcal{A}'| \le O(|\mathcal{A}|^{\frac{1}{k}} \log(n/k))$ with $\bigcup \mathcal{A}' = [n]$. In particular, if $|\mathcal{A}| \le 2^k$ then $|\mathcal{A}'| \le O(\log n)$.*

*Proof.* Assume that $|\mathcal{A}| \le a^k$. Let $t$ be the size a largest set in $\mathcal{A}$. Then we have

$$\binom{n}{k} \le a^k \binom{t}{k}$$

Hence $t \ge \frac{n}{ea}$, using the estimates $(\frac{n}{k})^k \le \binom{n}{k}$, $\binom{t}{k} \le (\frac{et}{k})^k$. Take some $A_0 \in \mathcal{A}$ of size $t$. Let

$$\mathcal{A}_1 := \{A \setminus A_0 : A \in \mathcal{A}\}.$$

Then every subset of $U_1 := [n] \setminus A_0$ of size *at most* $k$ is contained in some member of $\mathcal{A}_1$. The size of $U_1$ is at most $n(1 - \frac{1}{ea})$. Similarly, take a largest set $A_1$ from $\mathcal{A}_1$ and obtain a new family $\mathcal{A}_2 \subseteq 2^{U_2}$ on $U_2 := U_1 \setminus A_1$. After $s$ steps, the size of $U_s$ is at most $n(1 - \frac{1}{ea})^s$ and after $s \le O(a \log(n/k))$ steps we have $|U_s| \le k$. This guarantees that the largest set in $\mathcal{A}_s$ is $U_s$ itself and $[n] = \bigcup_{i=0}^s A_s$. By construction, every $A_i$ is contained in some element of the original family $\mathcal{A}$. □

For some range of parameters, the lemma can be also proved from the Min Max Theorem of Lipton and Young in [12] which would also give an approximate version of it.

An application (which will not be explicitly used) is the following. A sub-additive measure on $[n]$ is a function $\mu : 2^{[n]} \to \mathbb{R}$ such that $\mu(A_1 \cup A_2) \le \mu(A_1) + \mu(A_2)$ holds for every $A_1, A_2 \subseteq [n]$.

**Corollary 4.** *Let $\mu$ be a subadditive measure on $[n]$. Assume $1 \leq k \leq n$ and that every $k$-element subset of $[n]$ has measure at most $s$. Let $N$ be the number of $\subseteq$-maximal subsets of $[n]$ of measure at most $s$. Then $\mu([n]) \leq O(sN^{\frac{1}{k}} \log(n/k)))$.*

# 4 1-Partition number

In this section, we prove Theorem 2.

Let $M$ be an $m \times n$ matrix with rows indexed by $[n] = \{1, \ldots, n\}$. Given $A \subseteq [n]$, $M_A$ denotes the submatrix obtained by removing the rows outside of $A$ from $M$. Observe that[1]

$$\chi_1(M_{A_1 \cup A_2}) \leq \chi_1(M_{A_1}) + \chi_1(M_{A_2}) , \tag{1}$$

and so $\chi_1(M_A)$ can be viewed as a subadditive measure on $[n]$ whenever $M$ is fixed.

If a matrix $M$ has rank $r$, its rows are a linear combination of a subset of $r$ rows of $M$. This means that every column of $M$ is determined by a fixed subset of $r$ coordinates. If $M$ is Boolean, this leads to the following useful fact:

$$\text{if } M \text{ has distinct columns then } n \leq 2^{\mathrm{rk}(M)} \text{ (similarly for rows).}$$

**Lemma 5.** *Let $M$ be an $m \times n$ Boolean matrix of rank $r$. Given $s \in [n]$, let $\mathcal{A}$ be the collection of maximal subsets $A \subseteq [n]$ with $\chi_1(M_A) \leq s$ (i.e., $\chi_1(M_A) \leq s$ and $\chi_1(M_{A'}) > s$ for every $A' \supset A$). Then $|\mathcal{A}| \leq 2^{(r+s)^2}$.*

*Proof.* Let $v_1, \ldots, v_n \in \mathbb{R}^m$ be the columns of $M$. Given $L \in \{0,1\}^{m \times s}$, let

$$L^* := \{i \in [n] : \exists y \in \{0,1\}^s \, v_i = Ly\} .$$

Let $\mathcal{L} := \{L^* : L \in \{0,1\}^{m \times s}\}$.

We claim that $\mathcal{A} \subseteq \mathcal{L}$. If $\chi_1(M_A) \leq s$, we can write $M_A = LR$ with $L \in \{0,1\}^{m \times s}$ and $R \in \{0,1\}^{s \times |A|}$. This means that every $v_i$, $i \in A$, is a Boolean linear combination of the columns of $L$ and $A \subseteq L^*$. Furthermore, if $A$ is maximal, we must have $A = L^*$.

We now want to estimate the size of $\mathcal{L}$. The set $L^*$ consists of indices $i \in [n]$ so that there exists $x \in \mathbb{R}^n$, $y \in \mathbb{R}^s$ satisfying

$$Mx - Ly = 0 \tag{2}$$

such that $y \in \{0,1\}^s$ and $x$ is the $i$-th unit vector. Since $M$ has rank $r$ and $L$ has rank at most $s$, the system (2) is equivalent to a subsystem of $t := \min((s+r), m)$ equations. These correspond to rows of the matrix $(M, L)$. Hence, in order to determine $L^*$, it is sufficient to specify a $t$-element subset of $[m]$ together with the $t \times s$ submatrix of $L$. This gives the estimate

$$|\mathcal{L}| \leq \binom{m}{t} 2^{ts} \leq 2^{t(s+\log m)} .$$

[1] If $A_1, A_2$ are disjoint, this is quite obvious. Otherwise consider $A_1$, $A_2 \setminus A_1$.

Finally, we can assume that $M$ has distinct rows and so $\log m \le r$, obtaining the bound $2^{(r+s)^2}$. □

**Theorem 2** (restated)**.** *Let $M$ be an $m \times n$ Boolean matrix with $n \ge 2$. Then for every $k \le n$, $M$ contains an $m \times k$ submatrix of $k$ columns with 1-partition number $\Omega(\min(\sqrt{k}, \frac{\chi_1(M)}{\log n}))$.*

*Proof.* Let $r$ be the rank of $M$. We will assume $r \le \frac{k^{1/2}}{2}$. Otherwise, observe that $M$ contains a full rank $r \times r$ submatrix, $\chi_1$ is lower-bounded by rank, and the conclusion of the theorem follows.

Let $s$ be the maximum $\chi_1(M_A)$ over all $A \subseteq [n]$ of size $k$. Let $\mathcal{A}$ be the family from the previous lemma. If $|\mathcal{A}| \ge 2^k$, we have $2^k \le 2^{(s+r)^2}$ and therefore $s \ge \frac{k^{1/2}}{2}$ from the assumption on $r$.

Assume $|\mathcal{A}| \le 2^k$. By Lemma 3, there exists a subfamily $\mathcal{A}' \subseteq \mathcal{A}$ of size $O(\log n)$ which covers $[n]$. Using (1), this implies $\chi_1(M) \le O(s \log n)$ and so $s \ge \Omega(\chi_1(M)/\log n)$. □

**Corollary 6.** *Let $M$ be as above with $\chi_1(M) = p$. Then $M$ contains*

*(i). a submatrix of at most $p^2$ columns with partition number $\Omega(p/\log n)$,*

*(ii). a submatrix with at most $p^2$ rows and columns with partition number $\Omega(p/(\log n \log m))$. If $M$ is a square matrix then so is the submatrix.*

*(iii). a submatrix with $p$ columns with partition number $\Omega(p^{1/2})$*

*(iv). a $p \times p$ submatrix with partition number $\Omega(p^{\frac{1}{4}})$.*

*Proof.* Part $(i)$. If $n \le p^2$, $M$ itself satisfies the statement. Otherwise apply the theorem with $k = p^2$.

Part $(ii)$. Apply $(i)$ again to the transpose of the submatrix obtained in $(i)$. If $m = n$, we can enlarge the submatrix to a square matrix.

Part $(iii)$. Without loss of generality, we can assume that the columns of $M$ are distinct. This implies that $M$ has rank at least $\log n$. If $\sqrt{p} \le p/\log n$, apply the theorem to obtain the desired matrix. Otherwise, we have $p \le \log^2 n$. $M$ contains a submatrix of $p$ columns of rank at least $\min(p, \log n) \ge \sqrt{p}$.

Part $(iv)$ follows by taking the submatrix from part $(iii)$, and applying part $(iii)$ to its transpose. □

**Remark 7.** *The conclusion of Theorem 2 can be slightly improved to give $\Omega(\sqrt{k \log(1 + \frac{\chi_1(M)}{k^{1/2} \log n})})$, as long as $k^{1/2} \le \chi_1(M)/\log n$. For example, if $k = \chi_1(M)/\log n$, we obtain a submatrix of $k$ columns with 1-partition number $\Omega(\sqrt{k \log k})$.*

Furthermore, $M$ always contains a submatrix $M'$ of $k$ columns with $\chi_1(M') \ge \chi_1(M) \cdot \lceil \frac{n}{k} \rceil^{-1}$, which gives better parameters if $\chi_1(M)$ is close to $n$.

## 4.1 A somewhat non-trivial example

We now give a finite example which shows that the most optimistic form of witnessing fails for $\chi_1$.

**Theorem 8.** *There exists a* $5 \times 6$ *Boolean matrix* $M$ *with* $\chi_1(M) = 5$ *such that every* $5 \times 5$ *submatrix of* $M$ *has 1-partition number at most* 4.

*Proof.* Let

$$M := \begin{pmatrix} 1 & 0 & 0 & 0 & 1 & 1 \\ 0 & 1 & 0 & 1 & 0 & 1 \\ 0 & 0 & 1 & 1 & 1 & 0 \\ 0 & 0 & 0 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 & 1 \end{pmatrix}.$$

We first argue that $\chi_1(M) > 4$, which implies $\chi_1(M) = 5$ since $M$ has 5 rows.

Suppose that $\chi_1(M) \le 4$. Then there exists a set of Boolean row-vectors $V = \{v_1, \ldots, v_4\}$ such that every row of $M$ is their Boolean linear combination; i.e., of the form $\sum_{i \in A} v_i$ for some $A \subseteq \{1, \ldots, 4\}$. Note that in this expression, the non-zero coordinates of $v_i$, $i \in A$, are a subset of the non-zero coordinates of the given row. Using this observation, it is easy to see that $V$ must consist of the first 4 rows of $M$. If $\chi_1(M) \le 4$ this means that the last row of $M$ is a Boolean combination of the first four rows, which is clearly impossible.

We now show that every submatrix obtained by removing a column from $M$ has $\chi_1$ at most 4.

First, assume that $M'$ has been obtained by removing the third column. The resulting matrix, together with a partition into four 1-monochromatic rectangles $a, b, c, d$, is as follows:

$$M' = \begin{pmatrix} 1 & 0 & 0 & 1 & 1 \\ 0 & 1 & 1 & 0 & 1 \\ 0 & 0 & 1 & 1 & 0 \\ 0 & 0 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 \end{pmatrix}, \quad \begin{pmatrix} a & 0 & 0 & a & b \\ 0 & c & c & 0 & b \\ 0 & 0 & d & d & 0 \\ 0 & 0 & d & d & b \\ a & c & c & a & b \end{pmatrix}.$$

Second, assume that $M''$ has been obtained by removing the last column. The resulting matrix, together with its partition, is the following:

$$M'' = \begin{pmatrix} 1 & 0 & 0 & 0 & 1 \\ 0 & 1 & 0 & 1 & 0 \\ 0 & 0 & 1 & 1 & 1 \\ 0 & 0 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 \end{pmatrix}, \quad \begin{pmatrix} a & 0 & 0 & 0 & a \\ 0 & b & 0 & b & 0 \\ 0 & 0 & c & d & d \\ 0 & 0 & 0 & d & d \\ a & b & c & b & a \end{pmatrix}.$$

Finally, note that if we remove from $M$ the first or the second column, we obtain $M'$ (up to a permutation of rows and columns). And, if we remove the fourth or fifth column, we obtain $M''$. Hence indeed, every $5 \times 5$ submatrix has $\chi_1$ at most 4 $\square$

By placing $n$ copies of the matrix from Theorem 8 on diagonal, we obtain:

**Corollary 9.** *For every $n$, there exists a $5n \times 6n$ Boolean matrix $M$ with $\chi_1(M) = 5n$ such that every submatrix obtained by removing a column of $M$ has 1-partition number strictly less than $5n$.*

# 5 Communication complexity, and a comparison with Log-rank conjecture

Given an $m \times n$ Boolean matrix $M$, consider the following two-player game: Alice knows $i \in [m]$, Bob knows $j \in [n]$, and they are supposed to compute the value of $M_{i,j}$. Denote by $\mathrm{cc}(M)$ the deterministic communication complexity of this game. For details about the communication model, see for example [10, 15].

In order to relate communication complexity with $\chi_1$, we need the following classical fact (the first inequality is due to Yao, the second is due to Yannakakis [19]): if $M$ is non-constant then

$$\log(\chi_1(M) + 1) \leq \mathrm{cc}(M) \leq O(\log^2 \chi_1(M))\,. \tag{3}$$

**Proposition 10.** *Let $M$ be a Boolean matrix with communication complexity $c$. Then there exist $k \geq \Omega(\sqrt{c})$ and a $2^k \times 2^k$ submatrix of $M$ with communication complexity at least $k/4 - O(1)$.*

*Proof.* From (3), $\chi_1(M) \geq 2^k$ withj $k \geq \Omega(\sqrt{c})$. Corollary 6, part (*iv*), gives $2^k \times 2^k$ submatrix $M'$ with $\chi_1(M') \geq \Omega(2^{k/4})$. By (3), we have $\mathrm{cc}(M') \geq k/4 - \mathrm{const}$.

□

It is worthwhile to compare this with what is predicted by Log-rank conjecture [13] of Lovász and Saks.

**Log-rank conjecture.** *There is a constant $\alpha$ such that $cc(M) \leq O(\log^\alpha(rk(M)))$ for any non-zero Boolean matrix $M$.*

**Proposition 11.** *Assume Log-rank conjecture . Then every Boolean matrix with communication complexity $c$ contains a $2^k \times 2^k$ submatrix $M'$ with $\chi_1(M') = 2^k$, communication complexity $k + 1$, and $k \geq \Omega(c^{1/\alpha})$.*

*Proof.* If $M$ has communication complexity $c$ then, by Log-rank conjecture, $M$ has rank at least $2^k$ with $k \geq \Omega(c^{1/\alpha})$. Hence $M$ contains a full-rank $2^k \times 2^k$ submatrix $M'$. Since $\chi_1(M') \geq \mathrm{rk}(M')$, we have $\chi_1(M') = 2^k$. If $c$ is sufficiently large, so that $k \geq 1$, then $M'$ is non-constant and we obtain $\mathrm{cc}(M') \geq k + 1$ by (3). □

This is almost what has been proved in Proposition 10. One difference is that the constant $\alpha$ in Proposition 11 is unconditionally set to 2 in Proposition 10. However, there is a more important qualitative difference. The submatrix presented in Proposition 11 has *highest possible* communication complexity: the protocol in which Alice sends her input to Bob and Bob sends back the answer (or vice versa), is optimal. Any other protocol cannot save even *one bit* of communication. In contrast, Proposition 10 presents a submatrix with only a very high communication complexity. To summarize, Proposition 10 confirms a prediction of Log-rank conjecture. But with worse parameters than what the conjecture predicts: consequently the bound in the proposition is far from from tight, or the conjecture is false.

Another consequence is:

**Remark 12.** *In order to solve Log-rank conjecture, it is sufficient to focus on* $2^k \times 2^k$ *matrices with communication complexity at least* $(k/4 - const)$.

# 6 Non-negative rank

## 6.1 Extended formulations and separation complexity

Let us first make a short detour into extended formulations of convex polyhedra.

A *polyhedron* $P \subseteq \mathbb{R}^r$ is a (possibly unbounded) set defined by a finite number of linear constraints. Following [19, 17, 2], define the *extension complexity of* $P$, $\mathrm{xc}(P)$, as the smallest $s$ such that $P$ is a linear projection of a polyhedron $Q \subseteq \mathbb{R}^m$ where $Q$ can be defined using $s$ inequalities (and any number of equalities). Observe that $P$ with extension complexity $s$ can be expressed in the standard form

$$x \in P \text{ iff } \exists_{y \in \mathbb{R}^s} Cx + Dy = b, y \geq 0 \,.$$

Let $V$ be a finite subset of $\mathbb{R}^r$. Given $A \subseteq V$, its *separation complexity*, $\mathrm{sep}_V(A)$, is the minimum[2] $\mathrm{xc}(P)$ over all polyhedra $P \subseteq \mathbb{R}^r$ with

$$P \cap V = A \,;$$

such a $P$ is called a *separating* polyhedron for $A$. In other words, $\mathrm{sep}_V(A)$ is the smallest $s$ so that we can distinguish points in $A$ from points in $V \setminus A$ by means of a linear program with $s$ inequalities. Moreover, such a program can be rewritten as

$$x \in A \text{ iff } (\, x \in V \text{ and } \exists_{y \in \mathbb{R}^s} Cx + Dy = b, y \geq 0 \,) \,.$$

The notion of separation complexity has been studied in [6, 7, 8] in the case when $V = \{0,1\}^n$ is the Boolean cube. The following theorem is of independent interest and can be seen as an extension of similar results in [6, 8]. The proof is a considerable simplification of the previous ones.

**Theorem 13.** *Let* $V$ *be a non-empty finite subset of* $\mathbb{R}^r$. *Given a parameter* $s \geq 1$, *let* $\mathcal{A}$ *be the collection of subsets* $A$ *of* $V$ *with* $\mathrm{sep}_V(A) \leq s$. *Then*

$$|\mathcal{A}| \leq 2^{O(s(r+s)^2 \log |V|)} \,.$$

[2] If no such polyhedron exists, which may happen if $V$ is not convexly independent, we set $\mathrm{sep}_V(A) := \infty$

The proof is delegated to the appendix.

An immediate consequence of Theorem 13 is a theorem from [8]:

- if $V = \{0,1\}^n$ then there exists $A \subseteq V$ with $\mathrm{sep}_V(A) \geq 2^{n^{\frac{1}{3}(1-o(1))}}$.

## 6.2 Submatrices of large non-negative rank

In order to apply Theorem 13, we also need a connection between extension complexity and non-negative rank. This is provided by the notion of slack matrix introduced in [19]. Following [19, 2], we now define what it is. Let $V$ be a sequence $v_1, \dots, v_{m_1}$ of points in $\mathbb{R}^r$ and $L(x)$ a system $\ell_1(x) \geq b_1, \dots, \ell_{m_2}(x) \geq b_{m_2}$ of inequalities in $\mathbb{R}^r$. The slack matrix with respect to $V$ and $L(x)$ is the $m_2 \times m_1$ matrix $S$ such that

$$S_{i,j} = \ell_i(v_j) - b_i \,.$$

Let $P_0 := \mathrm{conv}(V)$ be the convex hull of $V$ and $P_1 := \{x \in \mathbb{R}^n : \ L(x) \text{ holds}\}$. If $P_0 \subseteq P_1$ then $S$ is non-negative. In [2], we can find:

**Lemma 14** ([2]). *Let $P_0 \subseteq P_1$ and $S$ be as above. Define $xc(P_0, P_1)$ as the minimum $xc(P)$ over all polyhedra with $P_0 \subseteq P \subseteq P_1$. Then*

$$rk_+ S - 1 \leq xc(P_0, P_1) \leq rk_+ S \,.$$

**Theorem 2** (restated). *Let $M$ be an $m \times n$ non-negative real matrix with $n \geq 2$. Then for every $k \leq n$, $M$ contains an $m \times k$ submatrix of $k$ columns with non-negative rank $\Omega(R)$, where $R := \min\left( (\frac{k}{\log n})^{\frac{1}{3}}, \frac{rk_+(M)}{\log n} \right)$.*

*Proof.* Let $r$ be the rank of $M$. We can write $M = LR$ where $L \in \mathbb{R}^{m \times r}$, $R \in \mathbb{R}^{r \times n}$. Let $V \subseteq \mathbb{R}^r$ be the set of columns $v_1, \dots v_n$ of $R$. (Without loss of generality, the columns of $M$ are distinct). Given $A \subseteq [n]$, let $M_A$ be the submatrix obtained by deleting columns outside of $A$ from $M$. Also let $V_A := \{v_i : i \in A\}$. Then $M_A$ can be interpreted as the slack matrix of the polytope $P_A = \mathrm{conv}(V_A)$ and the polyhedron $Q = \{x \in \mathbb{R}^d : Lx \geq 0\}$.

Suppose that for every $A$ of size $k$, $\mathrm{rk}_+(M_A) \leq s$. Then for every such $A$, there is a polyhedron $Q_A$ with $V_A \subseteq Q_A \subseteq Q$ with $\mathrm{xc}(Q_A) \leq s$. Let $A^* := V \cap Q_A$. Then $Q_A$ is a separating polyhedron for $A^* \supseteq A$. Let $\mathcal{A}$ be the collection of $A^*$ over all $A$ of size $k$. Theorem 13 implies

$$|\mathcal{A}| \leq 2^{c \log n (s+r)^3} \,,$$

where $c$ is an absolute constant.

We will assume $r \leq (\frac{k}{2c \log n})^{1/3}$. Otherwise $M$ contains a full rank $r \times r$ submatrix, $\mathrm{rk}_+$ is lower-bounded by rank, and the conclusion of the theorem follows.

If $|\mathcal{A}| \geq 2^k$, we obtain $c \log n (s+r)^3 \geq k$ and hence $s \geq \Omega((k/\log n)^{1/3})$ from the assumption on $r$.

Assume $|\mathcal{A}| \leq 2^k$. By Lemma 3, there exists a subfamily $\mathcal{A}' \subseteq \mathcal{A}$ of size $O(\log n)$ which covers $[n]$. This implies (note that (1) holds also for non-negative rank) $\mathrm{rk}_+(M) \leq O(s \log n)$ and $s \geq \Omega(\mathrm{rk}_+(M)/\log n)$. $\square$

The following is proved similarly to Corollary 6:

**Corollary 15.** *Let $M$ be a non-negative $n \times m$ matrix with $rk_+(M) = p$. Then $M$ contains*

*(i). an $s_1 \times s_2$ submatrix with $s_1, s_2 \leq p^3$ with non-negative rank $\Omega(\frac{p}{\log n \log m})$. If $m = n$, we can assume $s_1 = s_2$.*

*(ii). a $p \times p$ submatrix with non-negative rank $\Omega(\frac{p^{\frac{1}{3}}}{\log^{\frac{1}{3}} n \log m})$.*

### 6.3 Tightness

In [14], Moitra has constructed a non-negative matrix $M$ with the following properties:

- $M$ is $3rn \times 3rn$, $\text{rk}_+(M) \geq 4r$, any submatrix with $< n$ columns has non-negative rank at most $3r$.

Observe that in order to witness the non-negative rank of this $M$ exactly, one needs a constant fraction of the columns of $M$. On the other hand, the gap between the non-negative rank of $M$ and that of its submatrices is quite mild.

We now give a different example which is of a similar flavor as the bound from Theorem 1. It also shows that the constant $\frac{1}{3}$ in the theorem can be replaced by $\frac{1}{2}$ at best. The example follows from very non-trivial results of Kwan et al. [11]. A similar bound would follow from the more general result of Shitov [18].

**Theorem 16.** *For every $n$, there exists an $n \times n$ matrix with non-negative rank $\Omega(\sqrt{n})$ such that every $n \times k$ submatrix has non-negative rank $O(\sqrt{k})$.*

*Proof.* From [11], there exists an $n$-vertex polygon $P$ with vertices lying on the unit circle with extension complexity $\Omega(\sqrt{n})$. Let $M$ be its slack matrix with columns corresponding to vertices $v_1, \ldots, v_n$ of $P$. From Lemma 14, we have $\text{rk}_+(M) \geq \Omega(\sqrt{n})$. Given an $n \times k$ submatrix $M'$ with columns $i_1, \ldots, i_k$, Lemma 14 shows that $\text{rk}_+(M')$ is at most the extension complexity of $\mathsf{conv}(v_{i_1}, \ldots, v_{i_k})$ (plus 1). Using another result from [11], every $k$-gon with vertices on the unit circle has extension complexity at most $O(\sqrt{k})$. □

## 7 Open problems

Our first two open problems are concerned with tightness of the bounds in Theorems 1 and 2.

**Open problem 1.** *Let $M$ be $m \times n$ non-negative matrix. Does $M$ contain a submatrix of at most $rk_+(M)^2$ columns with non-negative rank $\Omega(rk_+(M))$?*

**Open problem 2.** *Find a Boolean matrix $M$ with $\chi_1(M) = p$ such that every $p \times p$ submatrix has 1-parttition number much smaller than $p$.*

As far as we can see, the bound from Problem 1 is consistent with what we know about non-negative rank, and would be optimal. For Problem 2, Theorem 8 gives $M$ with submatrices of $\chi_1$ strictly less than $p$; there should exist a construction with a larger gap.

As discussed in Section 5, in order to solve Log-rank conjecture, it is enough to focus on matrices with large 1-partition number. The following is the extereme case of this question:

**Open problem 3.** *Suppose $M$ is $n \times n$ Boolean matrix with $\chi_1(M) = n$. How small can the rank of $M$ be?*

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# A Proof of Theorem 13

The proof uses known results on quantifier elimination which we first outline. We follow the monograph of Basu, Pollack and Roy [1]. Theorem 13 requires an elimination of only a single block of existential quantifiers, so we focus on this case only.

For $b \in \mathbb{R}$, let

$$\operatorname{sgn}(b) := \begin{cases} 1\,, & b > 0 \\ 0\,, & b = 0 \\ -1\,, & b < 0 \end{cases}$$

Given $b = \langle b_1, \dots, b_m \rangle \in \mathbb{R}^m$, let $\operatorname{sgn}(b) := \langle \operatorname{sgn}(b_1), \dots, \operatorname{sgn}(b_m) \rangle \in \{-1, 0, 1\}^m$. Let $F = F(z, y)$ be a sequence of $s$ polynomials $f_1, \dots, f_m \in \mathbb{R}[z, y]$ in variables $z = \{z_1, \dots, z_{k_1}\}$ and $y = \{y_1, \dots, y_{k_2}\}$. Given $a \in \mathbb{R}^{k_1}$, define $\mathrm{SGN}_1(F, a) \subseteq \{-1, 0, 1\}^m$

$$\mathrm{SGN}_1(F, a) := \{\operatorname{sgn}(F(a, b)) : \, b \in \mathbb{R}^{k_2}\}\,.$$

Let

$$\mathrm{SGN}(F) := \{\mathrm{SGN}_1(F, a) : \, a \in \mathbb{R}^{k_1}\}\,.$$

Theorem 14.16 from [1] provides the following bound on the size of SGN:

**Theorem** ([1])**.** *If every polynomial in $F$ has degree at most $d$ then*

$$|\mathrm{SGN}(F)| \leq m^{(k_1+1)(k_2+1)} d^{O(k_1)O(k_2)}\,. \tag{4}$$

We now apply this result to the case of Theorem 13. Let $V, s, \mathcal{A}$ be as in the assumption. Every $A \in \mathcal{A}$ can be described by a linear system with $s$ inequalities. Namely, for every $x \in V$,

$$x \in A \text{ iff } \exists_{y \in \mathbb{R}^s}\, Cx + Dy = b,\, y \geq 0\,, \tag{5}$$

where $C \in \mathbb{R}^{t\times r}, D \in \mathbb{R}^{t\times s}$ and $b \in \mathbb{R}^t$. Since $Cx + Dy = b$ is a system of equations in $r + s$ variables $x, y$, we can also assume $t = r + s$.

Let us view the parameters $C, D, b$ in (5) as variables. Let $z$ be the set of these variables, of size $k_1 = (r + s)(r + s + 1)$. Given $v \in V$, let $F_v(z, y)$ be the sequence of $r + s$ polynomials

$$Cv + Dy - b$$

in variables $z$ and $y = \{y_1, \ldots, y_s\}$. Let $F(z, y)$ be the union of $F_v(z, y)$ over all $v \in V$, together with the polynomials $y_1, \ldots, y_s$. Hence $F$ consists of $m = s + |V|(r + s)$ polynomials of degree at most two.

$F(z, y)$ is set up so that

$$|\mathcal{A}| \leq |\mathrm{SGN}(F)|\,.$$

To see this, observe that whenever the parameters $z$ are fixed, the set $A \subseteq V$ given by (5) is uniquely determined by $\mathrm{SGN}_1(F(z, y))$. Since every $A \in \mathcal{A}$ is obtained by some fixing of the parameters, we indeed obtain $|\mathcal{A}| \leq |\mathrm{SGN}(F(z, y))|$.

Finally, we can apply (4) to estimate $|\mathrm{SGN}(F)|$ with $m = s + |V|(r + s)$, $k_1 = (r + s)(r + s + 1)$, $k_2 = s$, and $d = 2$. To simplify the expression, we can assume $s + r \leq |V|$; otherwise the upper bound asserted in Theorem 13 exceeds the trivial bound $|\mathcal{A}| \leq 2^{|V|}$. This means that $m \leq 2|V|^2$. If we loosen the bound (4) as $|\mathrm{SGN}(F)| \leq (dm)^{O(k_1)O(k_2)}$, we obtain (recall that $s \geq 1$)

$$|\mathrm{SGN}(F)| \leq 2^{O(s(s+r)^2 \log |V|)}\,,$$

as required.



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