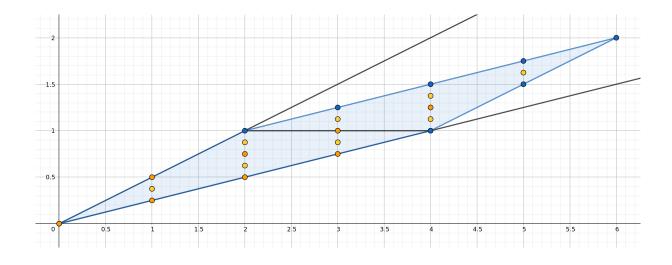
# Rational Ehrhart Theory

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Characteristic Polynomials of Hyperplane Arrangements and Ehrhart Polynomials of Convex Polytopes @ RIMS 15 February 2023

### The Menu

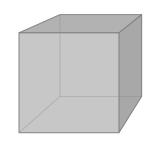
- Ehrhart (quasi-)polynomials
- Motivation
- History
- Rational Ehrhart series
- Rational Gorenstein polytopes
- Symmetric  $h^*$ -decompositions
- Open problems

# **Measuring Polytopes**

Rational polytope — convex hull of finitely many points in  $\mathbb{Q}^d$  — solution set of a system of linear (in-)equalities with integer coefficients

Goal: measuring...

$$ightharpoonup \operatorname{vol}(\mathcal{P}) = \lim_{n \to \infty} \frac{1}{n^d} \left| \mathcal{P} \cap \frac{1}{n} \mathbb{Z}^d \right|$$



lacksquare discrete volume  $|\mathcal{P} \cap \mathbb{Z}^d|$ 

# Discrete Volumes & Ehrhart Quasipolynomials

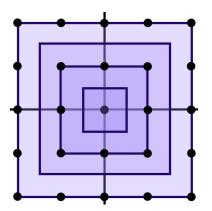
Rational polytope — convex hull of finitely many points in  $\mathbb{Q}^d$ 

 $q(n) = c_d(n) n^d + \cdots + c_0(n)$  is a quasipolynomial if  $c_0(n), \ldots, c_d(n)$  are periodic functions; the lcm of their periods is the period of q(n).

Theorem (Ehrhart 1962) For any rational polytope  $\mathcal{P} \subset \mathbb{R}^d$ ,  $\operatorname{ehr}_{\mathbb{Z}}(\mathcal{P};n) := |n\mathcal{P} \cap \mathbb{Z}^d|$  is a quasipolynomial in the integer variable n whose period divides the lcm of the denominators of the vertex coordinates of P (the denominator of P).



Example 
$$\mathcal{P} = [-\frac{1}{2}, \frac{1}{2}]^2$$



# Discrete Volumes & Ehrhart Quasipolynomials

Rational polytope — convex hull of finitely many points in  $\mathbb{Q}^d$ 

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Equivalently, the Ehrhart series can be written as

$$\operatorname{Ehr}_{\mathbb{Z}}(\mathcal{P};t) := 1 + \sum_{n \geq 1} \operatorname{ehr}_{\mathbb{Z}}(\mathcal{P};n) t^{n} = \frac{\operatorname{h}_{\mathbb{Z}}^{*}(\mathcal{P};t)}{(1 - t^{q})^{\dim \mathcal{P} + 1}}$$

# Why care about... Ehrhart (Quasi-)Polynomials

- ► Linear systems are everywhere, and so polyhedra are everywhere.
- ▶ In applications, the volume of the polytope represented by a linear system measures some fundamental data of this system ("average").
- ► Polytopes are basic geometric objects, yet even for these basic objects volume computation is hard and there remain many open problems.
- Many discrete problems in various mathematical areas are linear problems, thus they ask for the discrete volume of a polytope in disguise.
- ► Much discrete geometry can be modeled using polynomials and, conversely, many combinatorial polynomials can be modeled geometrically.

#### Motivation I: Let's be rational

 $\mathcal{P} \subset \mathbb{R}^d$  — rational polytope

Ehrhart functions 
$$\operatorname{ehr}_{\mathbb{Z}}(\mathcal{P};n) := \left| \mathcal{P} \cap \frac{1}{n} \mathbb{Z}^d \right| = \left| n \mathcal{P} \cap \mathbb{Z}^d \right| \text{ for } n \in \mathbb{Z}_{>0}$$

$$\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) := |\lambda \mathcal{P} \cap \mathbb{Z}^d| \text{ for } \lambda \in \mathbb{Q}_{>0}$$

Fun Fact (Linke 2011, Baldoni–Berline–Köppe–Vergne 2013, Stapledon 2017). There is an Ehrhart theory for the quasipolynomial  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$  in the rational (equivalently, real) variable  $\lambda$ .

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Examples 
$$\operatorname{ehr}_{\mathbb{Q}}([1,2];\lambda) = \lfloor 2\lambda \rfloor - \lceil \lambda \rceil + 1 = \lambda + 1 - \{2\lambda\} - \{-\lambda\}$$

$$\operatorname{ehr}_{\mathbb{Q}}([-1,\frac{2}{3}];\lambda) = \frac{5}{3}\lambda + 1 - \{\frac{2}{3}\lambda\} - \{\lambda\}$$

#### **Motivation II: Ehrhart Veronese**

 $\mathcal{P} \subset \mathbb{R}^d$  — lattice polytope

Ehrhart function 
$$\operatorname{ehr}_{\mathbb{Z}}(\mathcal{P};n) := \left| \mathcal{P} \cap \frac{1}{n} \mathbb{Z}^d \right| = \left| n \mathcal{P} \cap \mathbb{Z}^d \right| \text{ for } n \in \mathbb{Z}_{>0}$$

Ehrhart series 
$$\operatorname{Ehr}_{\mathbb{Z}}(\mathcal{P};z) := 1 + \sum_{n \geq 1} \operatorname{ehr}_{\mathbb{Z}}(\mathcal{P};n) z^n = \frac{\operatorname{h}_{\mathbb{Z}}^*(\mathcal{P};z)}{(1-z)^{\dim \mathcal{P}+1}}$$

Fun Fact (Brenti-Welker 2009, MB-Stapledon 2010, Jochemko 2018). The Ehrhart series of  $k\mathcal{P}$  becomes nicer as k increases.

# A Bit of Real Ehrhart History

Theorem (Linke 2011) Let  $\mathcal{P} \subset \mathbb{R}^d$  be a rational polytope. Then  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) = |\lambda \mathcal{P} \cap \mathbb{Z}^d|$  is a quasipolynomial in the rational variable  $\lambda > 0$  whose period divides the smallest  $q \in \mathbb{Q}_{>0}$  such that  $q\mathcal{P}$  is a lattice polytope.

Linke also proved rational analogs of the Ehrhart–Macdonald reciprocity theorem and McMullen's (1978) theorem about the periods of the coefficient functions when writing

$$\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) = c_d(\lambda) \lambda^d + c_{d-1}(\lambda) \lambda^{d-1} + \dots + c_0(\lambda)$$

She views these coefficient functions as piecewise polynomials and proved a differential equation for them.

# A Bit of Real Ehrhart History

Theorem (Linke 2011) Let  $\mathcal{P} \subset \mathbb{R}^d$  be a rational polytope. Then  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) = |\lambda \mathcal{P} \cap \mathbb{Z}^d|$  is a quasipolynomial in the rational variable  $\lambda > 0$  whose period divides the smallest  $q \in \mathbb{Q}_{>0}$  such that  $q\mathcal{P}$  is a lattice polytope.

Baldoni–Berline–Köppe–Vergne (2013): algorithmic theory of intermediate sums on polyhedra, with  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$  as a special case.

Royer (2017+): study of rational Gorenstein polytopes (and much more).

# A Bit of Real Ehrhart History

Motivated by motivic integration, Stapledon (2008) introduced the weighted  $h^*$ -polynomial of a lattice polytope  $\mathcal{P} \subset \mathbb{R}^d$ , which he later (2017) realizes via

$$1 + \sum_{\lambda \in \mathbb{Q}_{>0}} \left| \partial_{\neq 0}(\lambda \mathcal{P}) \cap \mathbb{Z}^d \right| t^{\lambda} = \frac{\widetilde{h}(\mathcal{P}; t)}{(1 - t)^{\dim \mathcal{P}}}$$

and uses them to compute Ehrhart polynomials of free sums, generalizing work by Braun (2006) and MB-Jayawant-McAllister (2013).

He realizes that  $\widetilde{\mathbf{h}}(\mathcal{P};t)$  is a polynomial in certain fractional powers of t with nonnegative coefficients. In the case that  $\mathbf{0} \in \mathcal{P}^{\circ}$  he proves that  $\widetilde{\mathbf{h}}(\mathcal{P};t)$  is symmetric.

# The Setup

$$\mathcal{P} \subset \mathbb{R}^d$$
 — rational polytope  $\longrightarrow$   $\mathcal{P} = \left\{ \mathbf{x} \in \mathbb{R}^d : \mathbf{A} \, \mathbf{x} \leq \mathbf{b} \right\}$ 

The codemoninator of  $\mathcal{P}$  is  $r := lcm(\mathbf{b})$ 

Lemma (1) 
$$\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) = \left|\lambda \mathcal{P} \cap \mathbb{Z}^d\right|$$
 is constant for  $\lambda \in (\frac{n}{r}, \frac{n+1}{r}), \ n \in \mathbb{Z}_{\geq 0}$ 

(2) If  $\mathbf{0} \in \mathcal{P}$  then  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; \lambda)$  is monotone

Examples 
$$\operatorname{ehr}_{\mathbb{Q}}([1,2];\lambda) = \lambda + 1 - \{2\lambda\} - \{-\lambda\}$$

$$\operatorname{ehr}_{\mathbb{Q}}([-1, \frac{2}{3}]; \lambda) = \frac{5}{3}\lambda + 1 - \{\frac{2}{3}\lambda\} - \{\lambda\}$$

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Corollary If 
$$\lambda \notin \frac{1}{r}\mathbb{Z}_{\geq 0}$$
 then  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; \lambda) = \operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; \lfloor \lambda \rceil)$ 

where 
$$\lfloor \lambda 
ceil := rac{2j+1}{2r}$$
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# The Setup

 $\mathcal{P} = \left\{ \mathbf{x} \in \mathbb{R}^d : \mathbf{A} \, \mathbf{x} \leq \mathbf{b} \right\}$  with codemoninator  $r := \operatorname{lcm}(\mathbf{b})$ 

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The Upshot  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$  is determined by  $\left\{\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda):\lambda\in\frac{1}{2r}\mathbb{Z}_{\geq0}\right\}$ 

If  $\mathbf{0} \in \mathcal{P}$  then  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; \lambda)$  is determined by  $\left\{\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; \lambda) : \lambda \in \frac{1}{r}\mathbb{Z}_{\geq 0}\right\}$ 

 $\mathcal{P} = \left\{ \mathbf{x} \in \mathbb{R}^d : \mathbf{A} \mathbf{x} \leq \mathbf{b} \right\}$  with codemoninator  $r := \operatorname{lcm}(\mathbf{b})$ 

(Refined) rational Ehrhart series

$$\operatorname{Ehr}_{\mathbb{Q}}(\mathcal{P};t) := 1 + \sum_{\lambda \in \frac{1}{r}\mathbb{Z}_{>0}} \operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) t^{\lambda}$$

$$\operatorname{Ehr}^{\mathsf{ref}}_{\mathbb{Q}}(\mathcal{P};t) := 1 + \sum_{\lambda \in \frac{1}{2r}\mathbb{Z}_{>0}} \operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) t^{\lambda}$$

**Examples** 

$$\operatorname{Ehr}_{\mathbb{Q}}([-1, \frac{2}{3}]; t) = \frac{1 + t^{\frac{1}{2}} + t + t^{\frac{3}{2}} + t^{2}}{(1 - t)(1 - t^{\frac{3}{2}})}$$

$$\operatorname{Ehr}^{\mathsf{ref}}_{\mathbb{Q}}([1,2];t) = \frac{1 + t^{\frac{1}{2}} + t^{\frac{3}{4}} + t^{\frac{5}{4}}}{(1-t)^2}$$

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Theorem Let  $m \in \mathbb{Z}_{>0}$  such that  $\frac{m}{r}\mathcal{P}$  is a lattice polytope. Then

$$\operatorname{Ehr}_{\mathbb{Q}}(\mathcal{P};t) = \frac{\operatorname{h}_{\mathbb{Q}}^{*}(\mathcal{P};t)}{\left(1 - t^{\frac{m}{r}}\right)^{d+1}}$$

where  $\mathbf{h}^*_{\mathbb{Q}}$  is a polynomial in  $\mathbb{Z}\left[t^{\frac{1}{r}}\right]$  with nonnegative coefficients.

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Proof Idea:  $\operatorname{Ehr}_{\mathbb{Q}}(\mathcal{P};t) = \operatorname{Ehr}_{\mathbb{Z}}\left(\frac{1}{r}\mathcal{P};t^{\frac{1}{r}}\right)$ 

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where  $\mathrm{h}^*_{\mathbb{Q}}(\mathcal{P};t)$  is a polynomial in  $\mathbb{Z}\left[t^{\frac{1}{r}}\right]$  with nonnegative coefficients.

Similar results hold for  $\operatorname{Ehr}^{\mathsf{ref}}_{\mathbb{Q}}(\mathcal{P};t)$ , with r replaced by 2r.

Corollary (Linke 2011) The period of the quasipolynomial  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$  divides  $\frac{m}{r}$ . In particular, if  $\mathcal{P}$  is a lattice polytope then  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$  is a quasipolynomial of period 1.

 $\mathcal{P} = \left\{ \mathbf{x} \in \mathbb{R}^d : \mathbf{A} \, \mathbf{x} \leq \mathbf{b} \right\}$  with codemoninator  $r := \operatorname{lcm}(\mathbf{b})$ 

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where  $\mathrm{h}^*_{\mathbb{Q}}(\mathcal{P};t)$  is a polynomial in  $\mathbb{Z}\left[t^{\frac{1}{r}}\right]$  with nonnegative coefficients.

Corollary (Linke 2011) For a rational polytope,  $(-1)^{\dim \mathcal{P}} \operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; -\lambda)$  equals the number of interior lattice points in  $\lambda \mathcal{P}$ , for any  $\lambda > 0$ .

$$\begin{array}{ll} \operatorname{Remark} & \operatorname{If} \ \frac{m}{r} \in \mathbb{Z} \ \operatorname{then} \\ \operatorname{h}_{\mathbb{Z}}^{*}(\mathcal{P};t) = \operatorname{Int} \left[\operatorname{h}_{\mathbb{Q}}^{*}(\mathcal{P};t)\right]. \end{array} \\ & \operatorname{Ehr}_{\mathbb{Q}}^{\mathsf{ref}}([1,2];t) = \frac{1 + t^{\frac{1}{2}} + t^{\frac{3}{4}} + t^{\frac{5}{4}}}{(1-t)^{2}} \\ \end{array}$$

# **Gorenstein Musings**

Theorem (Hibi 1991, Fiset–Kasprzyk 2008) Let  $\mathcal{P}$  be a rational polytope with  $\mathbf{0} \in \mathcal{P}^{\circ}$ . If the polar dual of  $\mathcal{P}$  is a lattice polytope then  $h_{\mathbb{Z}}^{*}(\mathcal{P};t)$  is symmetric.

(This fits, more generally, with Stanley's theory of Gorenstein rings.)

Theorem Let  $\mathcal{P}$  be a rational polytope with  $\mathbf{0} \in \mathcal{P}^{\circ}$ . Then  $\mathbf{h}^{*}_{\mathbb{Q}}(\mathcal{P};t)$  is symmetric.

Proof Idea:  $(1, \mathbf{0})$  is the Gorenstein point for cone  $(\{1\} \times \frac{1}{r}\mathcal{P})$ .

Remark This is a corollary of a more general, technical result, with similar musings for the  $h^*$ -polynomial of the refined Ehrhart series.

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Corollary Let  $\mathcal{P}$  be a rational polytope with  $\mathbf{0} \in \mathcal{P}^{\circ}$ . Then  $h_{\mathbb{Z}}^{*}(\mathcal{P};t)$  is the Veronese of a symmetric polynomial.

Example 
$$\operatorname{Ehr}_{\mathbb{Q}}([-1,\frac{2}{3}];t) =$$

$$\frac{1+t^{\frac{1}{2}}+2t+3t^{\frac{3}{2}}+4t^2+4t^{\frac{5}{2}}+4t^3+4t^{\frac{7}{2}}+3t^4+2t^{\frac{9}{2}}+t^5+t^{\frac{11}{2}}}{(1-t^3)^2}$$

### **Symmetric Decompositions**

Theorem Let  $\mathcal{P}$  be a rational polytope with  $\mathbf{0} \in \mathcal{P}^{\circ}$ . Then  $\mathbf{h}^{*}_{\mathbb{Q}}(\mathcal{P};t)$  is symmetric.

Corollary (Betke–McMullen 1985, MB–Braun–Vindas-Meléndez 2022) Let  $\mathcal{P}$  be a rational polytope with denominator k and  $0 \in \mathcal{P}^{\circ}$ . Then there exist polynomials a(t) and b(t) with nonnegative coefficients such that

$$h_{\mathbb{Z}}^*(\mathcal{P};t) = a(t) + t \, b(t), \quad t^{k(d+1)-1} \, a(\frac{1}{t}) = a(t), \quad t^{k(d+1)-2} \, b(\frac{1}{t}) = b(t).$$

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$$h_{\mathbb{Z}}^*(\mathcal{P};t) = a(t) + t b(t), \quad t^{k(d+1)-1} a(\frac{1}{t}) = a(t), \quad t^{k(d+1)-2} b(\frac{1}{t}) = b(t).$$

Proof Idea 
$$(k = 1)$$
: 
$$\operatorname{Ehr}_{\mathbb{Q}}(\mathcal{P}; t) = \frac{\operatorname{h}_{\mathbb{Z}}^* \left( \partial(\frac{1}{r}\mathcal{P}); t^{\frac{1}{r}} \right)}{\left( 1 - t^{\frac{1}{r}} \right) (1 - t)^d}$$

Note that  $h_{\mathbb{Z}}^*(\partial(\frac{1}{r}\mathcal{P});t)$  is symmetric and nonnegative, and

$$h_{\mathbb{Q}}^{*}(\mathcal{P};t) = \operatorname{Int}\left[\left(1 + t^{\frac{1}{r}} + \dots + t^{\frac{r-1}{r}}\right) h_{\mathbb{Z}}^{*}\left(\partial(\frac{1}{r}\mathcal{P});t^{\frac{1}{r}}\right)\right]$$

$$= \operatorname{Int}\left[h_{\mathbb{Z}}^{*}\left(\partial(\frac{1}{r}\mathcal{P});t^{\frac{1}{r}}\right)\right] + \operatorname{Int}\left[\left(t^{\frac{1}{r}} + t^{\frac{2}{r}} + \dots + t^{\frac{r-1}{r}}\right) h_{\mathbb{Z}}^{*}\left(\partial(\frac{1}{r}\mathcal{P});t^{\frac{1}{r}}\right)\right]$$

# A Remark on Complexity

 $\mathcal{P} \subset \mathbb{R}^d$  — rational polytope with codemoninator r

To capture  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$  (or  $\operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda)$ ), we need to compute...

$$\mathbf{0} \notin \mathcal{P} \longrightarrow \operatorname{Ehr}^{\mathsf{ref}}_{\mathbb{Q}}(\mathcal{P};t) = 1 + \sum_{\lambda \in \frac{1}{2r}\mathbb{Z}_{>0}} \operatorname{ehr}_{\mathbb{Q}}(\mathcal{P};\lambda) t^{\lambda} = \frac{\operatorname{h}^{\mathsf{*ref}}_{\mathbb{Q}}(\mathcal{P};t)}{(1-t^q)^{d+1}}$$

$$\mathbf{0} \in \partial \mathcal{P} \longrightarrow \operatorname{Ehr}_{\mathbb{Q}}(\mathcal{P}; t) = 1 + \sum_{\lambda \in \frac{1}{r}\mathbb{Z}_{>0}} \operatorname{ehr}_{\mathbb{Q}}(\mathcal{P}; \lambda) t^{\lambda} = \frac{\operatorname{h}_{\mathbb{Q}}^{*}(\mathcal{P}; t)}{(1 - t^{q})^{d+1}}$$

$$\mathbf{0} \in \mathcal{P}^{\circ} \longrightarrow \mathrm{h}_{\mathbb{O}}^{*}(\mathcal{P};t)$$
 symmetric

# A Few Open Problems

- Periods of rational Ehrhart quasipolynomials
- Classification questions a la Kasprzyk-Nill ("reflexive polytopes of higher index" 2012)
- ▶ Stapledon's (2009) symmetric decomposition of  $h_{\mathbb{Z}}^*(\mathcal{P};t)$
- Connections to the Fine (1983) interior of a lattice polytope (Batyrev 2017, Batyrev–Kasprzyk–Schaller 2022)
- Symmetric polytopes, equivariant Ehrhart theory
- Further applications

