

Lexicographical polytopes[☆]

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Abstract

Within a fixed integer box of \mathbb{R}^n , lexicographical polytopes are the convex hulls of the integer points that are lexicographically between two given integer points. We provide their descriptions by means of linear inequalities.

Keywords: Lexicographical polytopes, polyhedral description, superdecreasing knapsacks.

Throughout, ℓ, u, r, s will denote integer points satisfying $\ell \leq r \leq u$ and $\ell \leq s \leq u$, that is r and s are within $[\ell, u]$. A point $x \in \mathbb{Z}^n$ is *lexicographically smaller than* $y \in \mathbb{Z}^n$, denoted by $x \preceq y$, if $x = y$ or the first nonzero coordinate of $y - x$ is positive. We write $x \prec y$ if $x \preceq y$ and $x \neq y$. The *lexicographical polytope* $P_{\ell, u}^{r \preceq s}$ is the convex hull of the integer points within $[\ell, u]$ that are lexicographically between r and s :

$$P_{\ell, u}^{r \preceq s} = \text{conv}\{x \in \mathbb{Z}^n : \ell \leq x \leq u, r \preceq x \preceq s\}.$$

The *top-lexicographical polytope* $P_{\ell, u}^{\preceq s} = \text{conv}\{x \in \mathbb{Z}^n : \ell \leq x \leq u, x \preceq s\}$ is the special case when $r = \ell$. Similarly, the *bottom-lexicographical polytope* is $P_{\ell, u}^{r \preceq} = \text{conv}\{x \in \mathbb{Z}^n : \ell \leq x \leq u, r \preceq x\}$.

Given $a, u \in \mathbb{R}_+^n$ and $b \in \mathbb{R}_+$, the *knapsack polytope* defined by $K_u^{a, b} = \text{conv}\{x \in \mathbb{Z}^n : \mathbf{0} \leq x \leq u, ax \leq b\}$ is *superdecreasing* if:

$$\sum_{i>k} a_i u_i \leq a_k \quad \text{for } k = 1, \dots, n. \quad (1)$$

Close relations between top-lexicographical and superdecreasing knapsack polytopes appear in the literature. For the 0/1 case, that is when $\ell = \mathbf{0}$ and $u = \mathbf{1}$, Gillmann and Kaibel [2] first noticed that top-lexicographical polytopes are special cases of superdecreasing knapsack ones, and the converse has been later established by Muldoon et al. [5]. Recently, Gupte [3] generalized the latter result by showing that all superdecreasing knapsacks are top-lexicographical polytopes.

To prove this last statement, Gupte [3] observes that a superdecreasing knapsack $K_u^{a, b}$ is the top-lexicographical polytope $P_{\mathbf{0}, u}^{\preceq s}$, where s the lexicographically greatest integer point of $K_u^{a, b}$. The non trivial inclusion actually holds because every integer point x of $P_{\mathbf{0}, u}^{\preceq s}$ satisfies $ax \leq as$. Indeed, by definition, if $x \prec s$, there exists $k \in \{1, \dots, n\}$ such that $x_k + 1 \leq s_k$ and $x_i = s_i$ for $i < k$. Hence, we have $b - ax \geq as - ax \geq \sum_{i>k} a_i (s_i - x_i) + a_k \geq \sum_{i>k} a_i (s_i - x_i + u_i) \geq 0$, because of (1), $s_i \geq 0$ and $u_i \geq x_i$.

It turns out that top-lexicographical polytopes are superdecreasing knapsack polytopes. Indeed, let $P_{\ell, u}^{\preceq s}$ be a top-lexicographical polytope for some s within $[\ell, u]$. Possibly after translating, we may assume $\ell = \mathbf{0}$. Define a by $a_k = \sum_{i>k} a_i u_i + 1$, for $k = 1, \dots, n$, and let $b = as$. Since the associated knapsack polytope $K_u^{a, b}$

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is superdecreasing, if $x \preccurlyeq s$ then $ax \leq as = b$, for all x within $[\mathbf{0}, u]$. Moreover, the converse holds because, inequalities (1) being all strict, $s \prec x$ implies $b = as < ax$. Therefore, $P_{\mathbf{0},u}^{\preccurlyeq s} = K_u^{a,b}$. These observations are summarized in the following.

Observation 1. *Superdecreasing knapsacks are top-lexicographical polytopes, and conversely (up to translations).*

Motivated by a wide range of applications, such as knapsack cryptosystems [6] or binary expansion of bounded integer variables (*e.g.*, [8] p. 477), several papers are devoted to the polyhedral description of these families of polytopes. For the 0/1 case, the description appeared in [4] from the knapsack point of view. It was later rediscovered from the lexicographical point of view in [2, 5]. Moreover, Muldoon et al. [5] and Angulo et al. [1] independently showed that intersecting a 0/1 top- with a 0/1 bottom-lexicographical polytope yields the description of the corresponding lexicographical polytope. Recently, these results were generalized for the bounded case by Gupte [3].

In this paper, we provide the description of the lexicographical polytopes using extended formulations. Our approach provides alternative proofs of the aforementioned results of Gupte [3].

The outline of the paper is as follows. In Section 1, we provide a flow based extended formulation of the convex hull of the componentwise maximal points of a top-lexicographical polytope. Projecting this formulation is surprisingly straightforward, and thus we get the description in the original space. In Section 2, using the fact that a top-lexicographical polytope is, up to translation, the submissive of the above convex hull, we derive the description of top-lexicographical polytopes. We then show that a lexicographical polytope is the intersection of its top- and bottom-lexicographical polytopes.

1. Convex hull of componentwise maximal points

From now on, $X_{\ell,u}^{\preccurlyeq s}$ will denote the set of the points $p^i = (s_1, \dots, s_{i-1}, s_i - 1, u_{i+1}, \dots, u_n)$, for $i = 1, \dots, n + 1$ such that $s_i > \ell_i$, where $p^{n+1} = s$ by definition. Note that $X_{\ell,u}^{\preccurlyeq s}$ consists of the componentwise maximal integer points of $P_{\ell,u}^{\preccurlyeq s}$, to which we added, for later convenience, the point $p^n = (s_1, \dots, s_{n-1}, s_n - 1)$ if $s_n > \ell_n$.

1.1. A flow model for $X_{\ell,u}^{\preccurlyeq s}$

We first model the points of $X_{\ell,u}^{\preccurlyeq s}$ as paths from 1 to $n + 1$ in the digraph given in Figure 1.

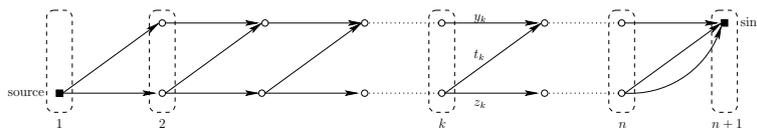


Figure 1: Path representation of the points of $X_{\ell,u}^{\preccurlyeq s}$.

Our digraph is composed of $n + 1$ layers, each containing two nodes except the first and the last ones. There are three arcs connecting the layer k to the layer $k + 1$, an upper arc y_k , a diagonal arc t_k and a lower arc z_k . The only exception concerns the first level, which does not have the upper arc.

The arcs connecting two successive layers correspond to a coordinate of $x \in X_{\ell,u}^{\preccurlyeq s}$. More precisely, given a directed path P from 1 to $n + 1$, we define the point x by setting, for $k = 1, \dots, n$,

$$x_k = \begin{cases} u_k & \text{if } y_k \in P, \\ s_k - 1 & \text{if } t_k \in P, \\ s_k & \text{if } z_k \in P. \end{cases}$$

As shown in Observation 2, the set of (x, y, z, t) satisfying the following set of inequalities is an extended formulation of $\text{conv}(X_{\ell, u}^{\leq s})$:

$$x_i = u_i y_i + (s_i - 1)t_i + s_i z_i \quad \text{for } i = 1, \dots, n, \quad (2)$$

$$y_1 = 0 \quad (3)$$

$$y_i = y_{i-1} + t_{i-1} \quad \text{for } i = 2, \dots, n, \quad (4)$$

$$z_i = z_{i+1} + t_{i+1} \quad \text{for } i = 1, \dots, n-1, \quad (5)$$

$$t_i = 0 \quad \text{whenever } s_i = \ell_i, \quad (6)$$

$$y_n + t_n + z_n = 1 \quad (7)$$

$$y_i, t_i, z_i \geq 0 \quad \text{for } i = 1, \dots, n. \quad (8)$$

Observation 2. $\text{conv}(X_{\ell, u}^{\leq s}) = \text{proj}_x\{(x, y, z, t) \text{ satisfying (2)-(8)}\}$.

Proof. First, note that there is a one-to-one correspondence between the points of $X_{\ell, u}^{\leq s}$ and the paths from layer 1 to layer $n+1$ of the digraph. This implies that $X_{\ell, u}^{\leq s}$ is the projection onto the x variables of the integer points of $Q = \{(x, y, z, t) \text{ satisfying (2)-(8)}\}$. The digraph being acyclic, the set of (y, z, t) satisfying (3)-(8) is a path polytope and thus is an integral polytope [7, Theorem 13.10]. The integrality of u and s implies that Q is integer, hence so is its projection onto the x variables, which concludes the proof. \square

1.2. Description of $\text{conv}(X_{\ell, u}^{\leq s})$

In the following result, we use Observation 2 to provide a linear description of $\text{conv}(X_{\ell, u}^{\leq s})$.

Lemma 3. $\text{conv}(X_{\ell, u}^{\leq s})$ is described by the inequalities:

$$\sum_{i=1, s_i > \ell_i}^n A_i(x) \geq -1 \quad (9)$$

$$A_k(x) \leq 0 \quad \text{for } k = 1, \dots, n, \quad (10)$$

$$A_k(x) \geq 0 \quad \text{when } s_k = \ell_k, \quad (11)$$

where, for $k = 1, \dots, n$,

$$A_k(x) := (x_k - s_k) + (u_k - s_k) \sum_{i=1, s_i > \ell_i}^{k-1} \left(\prod_{j=i+1, s_j > \ell_j}^{k-1} (u_j - s_j + 1) \right) (x_i - s_i).$$

Proof. By Observation 2, it suffices to project onto the x variables of the set of x, y, t, z satisfying (2)-(8).

For $k = 1, \dots, n$, we get $y_k = \sum_{i=1}^{k-1} t_i$ by (3) and (4). This, combined with (5), (7), yields $z_k = 1 - \sum_{i=1}^k t_i$. Using those two equations in (2), and $t_k = 0$ whenever $s_k = \ell_k$, we obtain

$$t_k = s_k - x_k + (u_k - s_k) \sum_{i=1, s_i > \ell_i}^{k-1} t_i, \quad \text{for } k = 1, \dots, n. \quad (12)$$

We now show by induction on k that, for all $k = 1, \dots, n$,

$$\sum_{i=1, s_i > \ell_i}^k t_i = \sum_{i=1, s_i > \ell_i}^k (s_i - x_i) \prod_{j=i+1, s_j > \ell_j}^k (u_j - s_j + 1). \quad (13)$$

By definition of t_k , (13) holds for $k = 1$. Let us suppose that (13) holds for $k < n$ and show that it holds for $k + 1$. The result is immediate if $s_{k+1} = \ell_{k+1}$, hence assume that $s_{k+1} > \ell_{k+1}$. We have

$$\sum_{i=1, s_i > \ell_i}^{k+1} t_i = (s_{k+1} - x_{k+1}) + (u_{k+1} - s_{k+1}) \sum_{i=1, s_i > \ell_i}^k t_i + \sum_{i=1, s_i > \ell_i}^k t_i \quad (14)$$

$$= (s_{k+1} - x_{k+1}) + (u_{k+1} - s_{k+1} + 1) \sum_{i=1, s_i > \ell_i}^k (s_i - x_i) \prod_{j=i+1, s_j > \ell_j}^k (u_j - s_j + 1) \quad (15)$$

$$= \sum_{i=1, s_i > \ell_i}^{k+1} (s_i - x_i) \prod_{j=i+1, s_j > \ell_j}^{k+1} (u_j - s_j + 1).$$

Above, equality (14) follows from (12) applied to t_{k+1} and equality (15) follows using (13).

Injecting (13) in (12) yields

$$t_k = s_k - x_k + (u_k - s_k) \sum_{i=1, s_i > \ell_i}^{k-1} (s_i - x_i) \prod_{j=i+1, s_j > \ell_j}^{k-1} (u_j - s_j + 1) \quad \text{for } k = 1, \dots, n. \quad (16)$$

Up to now, we only used linear transformations, thus projecting out the variables y, z gives us (16), $\sum_{i=1, s_i > \ell_i}^n t_i \leq 1$, $t_k = 0$ whenever $s_k = \ell_k$ and $t_k \geq 0$ otherwise. Then, projecting onto the x variable gives the desired result. \square

Note that the following derives from the above proof by combining (12) and the fact that, by (16), we have $t_k = -A_k$:

$$A_k(x) = (x_k - s_k) + (u_k - s_k) \sum_{i=1, s_i > \ell_i}^{k-1} A_i(x), \quad \text{for } k = 1, \dots, n. \quad (17)$$

2. Lexicographical polytopes

In this section, we first provide the description of top-lexicographical polytopes. We then show that a lexicographical polytope is the intersection of its top- and bottom-lexicographical polytopes.

2.1. Description of top-lexicographical polytopes

The following observation unveils the polyhedral relation between a top-lexicographical polytope and the convex hull of its componentwise maximal points.

Observation 4. $P_{\ell, u}^{\preceq s} = (\text{conv}(X_{\ell, u}^{\preceq s}) + \mathbb{R}_-^n) \cap \{x \geq \ell\}$.

Proof. Since $\text{conv}(X_{\ell, u}^{\preceq s})$ is integer and contained in $\{x \geq \ell\}$, the polyhedron on the right is integer. Seen the definitions, the observation follows. \square

Remark that, when $\ell = \mathbf{0}$, $P_{\ell, u}^{\preceq s}$ is precisely the submissive of $\text{conv}(X_{\ell, u}^{\preceq s})$. Now, we derive from Lemma 3 and Observation 4 the linear description of top-lexicographical polytopes.

Theorem 5. $P_{\ell, u}^{\preceq s} = \{x \in \mathbb{R}^n : \ell \leq x \leq u, A_k(x) \leq 0, \text{ for } k = 1, \dots, n\}$.

Proof. Theorem 5 immediately follows from Observation 4 and the following description of $\text{conv}(X_{\ell, u}^{\preceq s}) + \mathbb{R}_-^n$,

$$\text{conv}(X_{\ell, u}^{\preceq s}) + \mathbb{R}_-^n = \{x \in \mathbb{R}^n : x \leq u \text{ and } A_k(x) \leq 0, \text{ for } k = 1, \dots, n\}. \quad (18)$$

To prove (18), denote by Q its right hand side. By Lemma 3, the above inequalities are valid for $\text{conv}(X_{\ell, u}^{\preceq s})$. Since their coefficients for x are nonnegative, they also hold for $\text{conv}(X_{\ell, u}^{\preceq s}) + \mathbb{R}_-^n$. Note that the latter and Q

have the same recession cone, thus it remains to show that the vertices of Q are vertices of $\text{conv}(X_{\ell,u}^{\preceq s})$. Let us prove it by induction on the dimension, the base case being immediate. We may assume that $u_n > s_n$, as otherwise $A_n(x) = x_n - s_n$ and the induction concludes. Let \bar{x} be a vertex of Q .

Claim 6. $\sum_{i=1, s_i > \ell_i}^n A_i(\bar{x}) \geq -1$.

Proof. The indices i of $A_i(x)$ involved in sums throughout this proof satisfy $s_i > \ell_i$, yet to ease the reading, we will omit the subscripts “ $s_i > \ell_i$ ”. By contradiction, assume that $\sum_{i=1}^n A_i(\bar{x}) < -1$. Since \bar{x} is a vertex, and x_n appears only in $x_n \leq u_n$ and $A_n(x) \leq 0$, at least one of them holds with equality. If the latter does, then by (17) and $u_n > s_n$, we get the contradiction $0 = A_n(\bar{x}) \leq (u_n - s_n)(1 + A_1(\bar{x}) + \dots + A_{n-1}(\bar{x})) < (u_n - s_n)(1 - 1) = 0$. Therefore $A_n(\bar{x}) < 0$ and $\bar{x}_n = u_n$. For $x \in \mathbb{R}^n$, we denote $x' := (x_1, \dots, x_{n-1})$. Necessarily, \bar{x}' satisfies to equality $n - 1$ linearly independent of the remaining inequalities, and hence \bar{x}' is a vertex of $\{x \in \mathbb{R}^{n-1} : x_k \leq u_k, A_k(x) \leq 0, \text{ for } k = 1, \dots, n-1\}$. By the induction hypothesis, \bar{x}' is a vertex of $\text{conv}(X_{\ell',u'}^{\preceq s'}) + \mathbb{R}_-^{n-1}$, hence $\sum_{i=1}^{n-1} A_i(\bar{x}') \geq -1$. But now $A_n(\bar{x}) < 0$, $\bar{x}_n = u_n$ and (17) imply $A_1(\bar{x}') + \dots + A_{n-1}(\bar{x}') < -1$, a contradiction. \blacksquare

Let us show that $A_k(\bar{x}) = 0$ whenever $s_k = \ell_k$. Indeed, in this case, \bar{x}_k only appears in $A_k(\bar{x}) \leq 0$ and $\bar{x}_k \leq u_k$, and one is satisfied with equality since \bar{x} is a vertex. If $\bar{x}_k = u_k$, then by (17), Claim 6 and $A_i(\bar{x}) \leq 0$, for $i = 1, \dots, n$, we get $0 \geq A_k(\bar{x}) = (u_k - s_k)(1 + \sum_{i=1, s_i > \ell_i}^{k-1} A_i(\bar{x})) \geq 0$. Consequently, \bar{x} belongs to $\text{conv}(X_{\ell,u}^{\preceq s})$ and this proves (18). \square

Symmetrically, bottom-lexicographical polytopes are described as follows.

Corollary 7. $P_{\ell,u}^{r \preceq s} = \{x \in \mathbb{R}^n : \ell \leq x \leq u, B_k(x) \leq 0, \text{ for } k = 1, \dots, n\}$, where, for $k = 1, \dots, n$,

$$B_k(x) = (r_k - x_k) + (r_k - \ell_k) \sum_{i=1, r_i < u_i}^{k-1} \left(\prod_{j=i+1, r_j < u_j}^{k-1} (r_j - \ell_j + 1) \right) (r_i - x_i).$$

2.2. Lexicographical polytopes

By definition, we have $P_{\ell,u}^{r \preceq s} \subseteq P_{\ell,u}^{r \preceq} \cap P_{\ell,u}^{\preceq s}$. It turns out that the converse holds, see Theorem 8. In particular, $P_{\ell,u}^{r \preceq} \cap P_{\ell,u}^{\preceq s}$ is an integer polytope.

Theorem 8. *A lexicographical polytope is the intersection of its top- and bottom-lexicographical polytopes.*

Proof. It remains to prove that $P_{\ell,u}^{r \preceq s} \supseteq Q$, where $Q = P_{\ell,u}^{r \preceq} \cap P_{\ell,u}^{\preceq s}$. Let us prove it by induction on the dimension, the one-dimensional case being immediate.

If $r_1 = s_1$, then the problem reduces to the $(n - 1)$ -dimensional case, and using induction concludes.

If $r_1 + 1 \leq \pi \leq s_1 - 1$ for some integer π , then let ℓ' be obtained from ℓ by replacing ℓ_1 by π . By $s_1 > \ell'_1$ and the definition of $A_k(x)$, applying Theorem 5 gives $P_{\ell,u}^{\preceq s} \cap \{x_1 \geq \pi\} = P_{\ell',u}^{\preceq s}$. Moreover, since $\pi > r_1$, the latter is contained in $P_{\ell,u}^{r \preceq}$. Therefore $Q \cap \{x_1 \geq \pi\} = P_{\ell',u}^{\preceq s}$ is integer. Similarly, $Q \cap \{x_1 \leq \pi\}$ is integer, hence so is Q , and we are done.

The remaining case is when $r_1 = s_1 - 1$. Let $\bar{x} \in P_{\ell,u}^{r \preceq} \cap P_{\ell,u}^{\preceq s}$. If $\bar{x}_1 = s_1$, when \bar{x} is written as a convex combination of integer points of $P_{\ell,u}^{\preceq s}$, all of them have their first coordinate equal to s_1 , and hence belong to $P_{\ell,u}^{r \preceq s}$. By convexity, so does \bar{x} and we are done. A similar argument may be applied if $\bar{x}_1 = r_1$. Therefore, we may assume that $r_1 < \bar{x}_1 < s_1$.

Let $\lambda = \bar{x}_1 - r_1$, and define y by $y_1 = s_1$ and $y_k = u_k + \frac{\bar{x}_k - u_k}{\lambda}$ for $k = 2, \dots, n$. Similarly, define z by $z_1 = r_1$ and $z_i = \ell_i + \frac{\bar{x}_i - \ell_i}{1 - \lambda}$, for $i = 2, \dots, n$. The following claim finishes the proof, where, given two points v and w of \mathbb{R}^n , $\max(v, w)$ (resp. $\min(v, w)$) will denote the point of \mathbb{R}^n whose i^{th} coordinate is $\max\{v_i, w_i\}$ (resp. $\min\{v_i, w_i\}$) for $i = 1, \dots, n$.

Claim 9. \bar{x} is a convex combination of $\bar{y} = \max(y, \ell)$ and $\bar{z} = \min(z, u)$ which both belong to $P_{\ell,u}^{r \preceq s}$.

Proof. First, let us show that $y \in \text{conv}(X_{\ell,u}^{\preceq s}) + \mathbb{R}_-^n$. As $\bar{x} \leq u$, we have $y \leq u$. Moreover, $A_1(y) = y_1 - s_1 = 0$. Now, we prove by induction that $A_k(y) = \frac{1}{\lambda} A_k(\bar{x})$ for $k = 2, \dots, n$. Using (17), $A_1(y) = 0$, the definition of y_k , and the induction hypothesis, we have $A_k(y) = \frac{1}{\lambda} [\bar{x}_k - s_k + (\lambda - 1)(u_k - s_k) + (u_k - s_k) \sum_{i=2, s_i > \ell_i}^{k-1} A_i(\bar{x})]$. Since $\lambda - 1 = \bar{x}_1 - s_1 = A_1(\bar{x})$ and $s_1 = r_1 + 1 > \ell_1$, we get by (17) that $A_k(y) = \frac{1}{\lambda} A_k(\bar{x})$, for $k = 2, \dots, n$. Since $A_k(\bar{x}) \leq 0$, we have $A_k(y) \leq 0$. Hence, $y \in \text{conv}(X_{\ell,u}^{\preceq s}) + \mathbb{R}_-^n$. Therefore, there exists y^+ of $\text{conv}(X_{\ell,u}^{\preceq s})$ with $y^+ \geq y$. Clearly, $y^+ \geq \ell$ hence $y^+ \geq \max(y, \ell)$. Thus, $\max(y, \ell)$ belongs to $\text{conv}(X_{\ell,u}^{\preceq s}) + \mathbb{R}_-^n$ and, by Observation 4, to $P_{\ell,u}^{\preceq s}$. Moreover, as its first coordinate equals s_1 , $\max(y, \ell)$ belongs to $P_{\ell,u}^{r \preceq s}$. Similarly, $\min(z, u)$ also belongs to $P_{\ell,u}^{r \preceq s}$.

Finally, we have $(1 - \lambda)\bar{z}_1 + \lambda\bar{y}_1 = (1 - \lambda)(s_1 - 1) + \lambda s_1 = s_1 - 1 + \lambda = \bar{x}_1$. For $i \in \{2, \dots, n\}$, we have $(1 - \lambda)\bar{z}_i + \lambda\bar{y}_i = \min(\bar{x}_i - \lambda\ell_i, (1 - \lambda)u_i) + \max((\lambda - 1)u_i + \bar{x}_i, \lambda\ell_i) = \bar{x}_i - \max(\lambda\ell_i, (\lambda - 1)u_i + \bar{x}_i) + \max((\lambda - 1)u_i + \bar{x}_i, \lambda\ell_i) = \bar{x}_i$. Therefore, $\bar{x} = (1 - \lambda)\bar{z} + \lambda\bar{y}$ and we are done. \blacksquare \square

Note that the above result implies that the family of lexicographical polytopes defined on a fixed box $[\ell, u]$ is closed by intersection. Beside, combined with Theorem 5 and Corollary 7, it provides the description of lexicographical polytopes.

Corollary 10. *The lexicographical polytope $P_{\ell,u}^{r \preceq s}$ is described as follows:*

$$P_{\ell,u}^{r \preceq s} = \left\{ \begin{array}{ll} x \in \mathbb{R}^n : & A_k(x) \leq 0 \quad \text{for } k = 1, \dots, n \\ & B_k(x) \leq 0 \quad \text{for } k = 1, \dots, n \\ & \ell \leq x \leq u \end{array} \right\}.$$

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