



SCHOOL of  
GRADUATE STUDIES  
EAST TENNESSEE STATE UNIVERSITY

East Tennessee State University  
Digital Commons @ East  
Tennessee State University

Electronic Theses and Dissertations

Student Works

5-2008

# On the Attainability of Upper Bounds for the Circular Chromatic Number of $K_4$ -Minor-Free Graphs.

Tracy Lance Holt  
*East Tennessee State University*

Follow this and additional works at: <https://dc.etsu.edu/etd>



Part of the [Discrete Mathematics and Combinatorics Commons](#)

## Recommended Citation

Holt, Tracy Lance, "On the Attainability of Upper Bounds for the Circular Chromatic Number of  $K_4$ -Minor-Free Graphs." (2008). *Electronic Theses and Dissertations*. Paper 1916. <https://dc.etsu.edu/etd/1916>

This Thesis - Open Access is brought to you for free and open access by the Student Works at Digital Commons @ East Tennessee State University. It has been accepted for inclusion in Electronic Theses and Dissertations by an authorized administrator of Digital Commons @ East Tennessee State University. For more information, please contact [digilib@etsu.edu](mailto:digilib@etsu.edu).

On the Attainability of Upper Bounds for the Circular Chromatic Number of  
 $K_4$ -Minor-Free Graphs

---

A thesis

presented to

the faculty of the Department of Mathematics

East Tennessee State University

In partial fulfillment

of the requirements for the degree

Master of Science in Mathematical Sciences

---

by

Tracy Holt

May 2008

---

Yared Nigussie, Ph.D., Chair

Robert Beeler, Ph.D.

Robert Gardner, Ph.D.

Keywords: Graph Theory, Circular Graphs, Circular Chromatic Number, Graph

Homomorphism

## ABSTRACT

On the Attainability of Upper Bounds for the Circular Chromatic Number of  
 $K_4$ -Minor-Free Graphs

by

Tracy Holt

Let  $G$  be a graph. For  $k \geq d \geq 1$ , a  $\frac{k}{d}$ -coloring of  $G$  is a coloring  $c$  of vertices of  $G$  with colors  $0, 1, 2, \dots, k-1$ , such that  $d \leq |c(x) - c(y)| \leq k-d$ , whenever  $xy$  is an edge of  $G$ . We say that the circular chromatic number of  $G$ , denoted  $\chi_c(G)$ , is equal to the smallest  $\frac{k}{d}$  where a  $\frac{k}{d}$ -coloring exists. In [6], Pan and Zhu have given a function  $\mu(g)$  that gives an upper bound for the circular-chromatic number for every  $K_4$ -minor-free graph  $G_g$  of odd girth at least  $g$ ,  $g \geq 3$ . In [7], they have shown that their upper bound in [6] can not be improved by constructing a sequence of graphs approaching  $\mu(g)$  asymptotically. We prove that for every odd integer  $g = 2k + 1$ , there exists a graph  $G_g \in \mathcal{G}/K_4$  of odd girth  $g$  such that  $\chi_c(G_g) = \mu(g)$  if and only if  $k$  is not divisible by 3. In other words, for any odd  $g$ , the question of attainability of  $\mu(g)$  is answered for all  $g$  by our results. Furthermore, the proofs [6] and [7] are long and tedious. We give simpler proofs for both of their results.

Copyright by Tracy Holt 2008

## ACKNOWLEDGMENTS

I would first like to thank my wife Nicole for always encouraging me, for believing in me, and for pushing me to do my best. I would like to thank Dr. Nigussie for introducing me to this challenging problem, and for his mentoring and guidance. I would like to thank Dr. Beeler for his insightful comments and questions. I would like to thank Dr. Gardner for his support, encouragement and for helping me to keep things in order. Last but not least, I would like Dr. Anant Godbole for introducing me to graph theory, and for his confidence in me which helped give me the confidence to pursue a graduate degree.

## CONTENTS

ABSTRACT . . . . .	2
ACKNOWLEDGMENTS . . . . .	4
LIST OF TABLES . . . . .	6
LIST OF FIGURES . . . . .	7
1 INTRODUCTION . . . . .	8
1.1 Farey Sequences . . . . .	9
1.2 Circular Graphs . . . . .	10
1.3 Chromatic Numbers and Circular Chromatic Numbers . . . . .	12
1.4 Main Results . . . . .	14
2 THE EXISTENCE OF UPPER BOUNDS . . . . .	16
3 THE ATTAINABILITY OF THE UPPER BOUNDS . . . . .	19
3.1 Proof of Theorem 1.7 . . . . .	19
3.2 Proof of Theorems 1.8 and 1.9 . . . . .	22
BIBLIOGRAPHY . . . . .	30
VITA . . . . .	31

LIST OF TABLES

1	The First Five Farey Sequences. . . . .	9
2	Sequences of Circular Graphs Ordered Using Farey Sequences. . . . .	11

## LIST OF FIGURES

1	A Homomorphism Mapping $C_5$ to Graph $G$ . . . . .	8
2	Two Equivalent Representations for $K_{\frac{8}{3}}$ . . . . .	10
3	Two Equivalent Representations for $K_{\frac{7}{3}}$ ( $C_7$ ). . . . .	11
4	Graphs for the Third Row of Table 2. . . . .	12
5	Traffic lanes at an Intersection. . . . .	13
6	Unavoidable Configuration of $G$ . . . . .	17
7	$K_m^r$ with the Hamiltonian Cycle Generated by $\beta_m^r$ , Where the Vertices $\{\beta_m^r - m, \beta_m^r - m + 1, \dots, \beta_m^r + m + 1\}$ are Incident to 0. Note that the Thick Edges Depict a Cycle of Length $C_{4k+r+2}$ . . . . .	20
8	Graph $G_g^r$ . . . . .	21
9	This Graph Attains the Upperbound for Theorem 1.7 When $g \not\equiv 1$ mod 6. . . . .	23
10	A Close-up View of Part of Figure 9 Between Vertices $a$ and $b_i$ for any $i$ . . . . .	23
11	An Alternate Representation of $K_m^1$ Where $\beta^l = 2k + 2 + m(2k + 1)$ Generates the Hamiltonian Cycle. . . . .	24
12	Extending $K_m^1$ to $K_{m+1}^1$ . Vertices of $K_{m+1}^1$ are Distinguished from Vertices of $K_m^1$ by the “[ ]” Symbol. . . . .	25
13	Graph $H$ Used in Lemma 3.4. . . . .	26
14	How $H$ is Mapped to $K_1^1$ . . . . .	26
15	Graph $G^0$ and $H_k$ . . . . .	29
16	Graph $G^1$ . . . . .	29



## 1 INTRODUCTION

A *graph* is a pair  $G = (V, E)$  of sets such that the elements of  $E$  are 2-element subsets of  $V$  [1]. The set  $V$  is the set of vertices (points) and the set  $E$  is the set of edges (lines). We assume graphs are finite and simple (no multiple edges or loops). Let  $G$  and  $G'$  be graphs. A *homomorphism* from  $G$  to  $G'$  is a mapping  $f:V(G) \rightarrow V(G')$  which preserves adjacency, i.e.,  $uv \in E(G)$  implies  $f(u)f(v) \in E(G')$ . To illustrate this, Figure 1 shows how a 5-cycle can be mapped by homomorphism  $f$  to a graph  $G$ . The notation  $G \leq G'$  means there is a homomorphism from  $G$  to  $G'$ . Note that “ $\leq$ ” is a reflexive and transitive relation. Also, the notation  $G \sim G'$  means that  $G \leq G' \leq G$ . Other terminology we use is from [1].

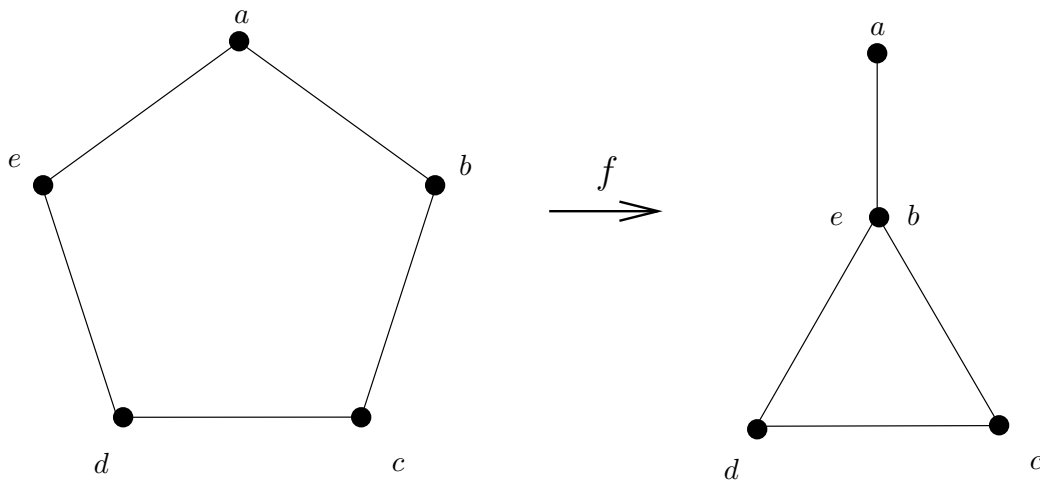


Figure 1: A Homomorphism Mapping  $C_5$  to Graph  $G$ .

$\frac{0}{1}$										$\frac{1}{1}$
$\frac{0}{1}$					$\frac{1}{2}$					$\frac{1}{1}$
$\frac{0}{1}$			$\frac{1}{3}$	$\frac{1}{2}$	$\frac{1}{3}$				$\frac{1}{1}$	
$\frac{0}{1}$	$\frac{1}{4}$	$\frac{1}{3}$	$\frac{1}{2}$	$\frac{1}{3}$	$\frac{3}{4}$					$\frac{1}{1}$
$\frac{0}{1}$	$\frac{1}{5}$	$\frac{1}{4}$	$\frac{1}{3}$	$\frac{2}{5}$	$\frac{1}{2}$	$\frac{3}{5}$	$\frac{1}{3}$	$\frac{3}{4}$	$\frac{4}{5}$	$\frac{1}{1}$

Table 1: The First Five Farey Sequences.

### 1.1 Farey Sequences

Farey sequences are useful in helping to understand relationships between rational numbers. In particular, for our purposes, we find them very useful in proving the attainability of upper bounds. From [5] we get the following definition of Farey sequences. Every rational number between two integers can be generated using Farey sequences. It suffices to show the values in the sequence between 0 and 1. Construct a table in the following way. For the first row, write  $\frac{0}{1}$  and  $\frac{1}{1}$ . For  $n \in \{2, 3, \dots\}$  use the following rule: Form the  $n$ th row by copying the  $(n-1)$ st row in order, but insert the fractions  $\frac{a+a'}{b+b'}$  between consecutive fractions  $\frac{a}{b}$  and  $\frac{a'}{b'}$  if  $b+b' \leq n$ . Since  $1+1 \leq 2$ ,  $\frac{0+1}{1+1} = \frac{1}{2}$  is inserted between  $\frac{0}{1}$  and  $\frac{1}{1}$  giving the second row  $\frac{0}{1}, \frac{1}{2}, \frac{1}{1}$ . Likewise, the third row is  $\frac{0}{1}, \frac{1}{3}, \frac{1}{2}, \frac{1}{3}, \frac{1}{1}$ . The first five rows are depicted in Table 1.

A Farey sequence of order  $n$  is the  $n$ th row of the table described above. Some useful properties of Farey sequences are the following.

**Theorem 1.1** [5] *If  $\frac{a}{b}$  and  $\frac{a'}{b'}$  are consecutive fractions in the  $n$ th row, say with  $\frac{a}{b}$  to the left of  $\frac{a'}{b'}$ , then  $a'b - ab' = 1$ .*

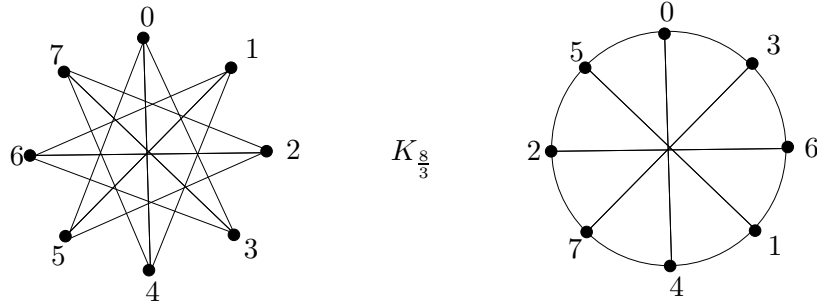


Figure 2: Two Equivalent Representations for  $K_{\frac{8}{3}}$ .

**Corollary 1.2** [5] *Every  $\frac{a}{b}$  in the table is in reduced form, that is  $\gcd(a, b) = 1$ .*

**Corollary 1.3** [5] *The fractions in each row are listed in order of their size.*

It is also important to note that a Farey sequence of order  $n$  is the sequence of all fractions in reduced form, with denominators not exceeding  $n$  [5].

## 1.2 Circular Graphs

A circular graph is defined in [4] as a graph  $K_{\frac{k}{d}}$  with the vertex set  $V = \{0, 1, 2, \dots, k-1\}$  and the edge set  $E = \{ij : d \leq |i-j| \leq k-d\}$ . To illustrate,  $K_{\frac{8}{3}}$  has  $V = \{0, 1, 2, \dots, 7\}$  and  $E = \{ij : 3 \leq |i-j| \leq 5\}$ . Two equivalent representations for  $K_{\frac{8}{3}}$  are depicted in Figure 2.

For the graph  $K_{\frac{2k-1}{k}}$ , the vertex 0 is adjacent to exactly two vertices,  $k$  and  $k+1$ , and likewise all other vertices are adjacent to exactly two vertices, i.e.,  $K_{\frac{2k-1}{k}}$  is 2-connected. So,  $K_{\frac{2k-1}{k}}$  is a cycle equivalent to  $C_{2k-1}$ . See Figure 3 for the example of  $K_{\frac{7}{3}}$ .

We are interested in the circular graphs with the following properties:

- (i)  $\frac{k}{d}$  is in reduced form

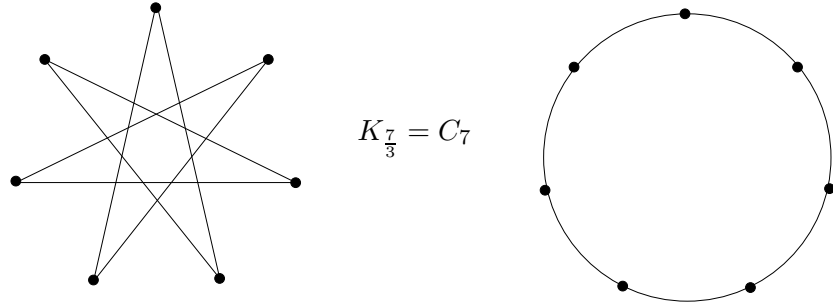


Figure 3: Two Equivalent Representations for  $K_{\frac{7}{3}}$  ( $C_7$ ).

$K_{\frac{2}{1}}$					$K_{\frac{3}{1}}$					
$K_{\frac{2}{1}}$				$K_{\frac{5}{2}}$	$K_{\frac{3}{1}}$					
$K_{\frac{2}{1}}$	$K_{\frac{7}{3}}$	$K_{\frac{5}{2}}$	$K_{\frac{8}{3}}$	$K_{\frac{3}{1}}$						
$K_{\frac{2}{1}}$	$K_{\frac{9}{4}}$	$K_{\frac{7}{3}}$	$K_{\frac{5}{2}}$	$K_{\frac{8}{3}}$	$K_{\frac{11}{4}}$	$K_{\frac{3}{1}}$				
$K_{\frac{2}{1}}$	$K_{\frac{11}{5}}$	$K_{\frac{9}{4}}$	$K_{\frac{7}{3}}$	$K_{\frac{12}{5}}$	$K_{\frac{5}{2}}$	$K_{\frac{13}{5}}$	$K_{\frac{8}{3}}$	$K_{\frac{11}{4}}$	$K_{\frac{14}{5}}$	$K_{\frac{3}{1}}$

Table 2: Sequences of Circular Graphs Ordered Using Farey Sequences.

(ii)  $\gcd(k, d) = 1$

(iii)  $K_{\frac{k}{d}} \leq K_{\frac{k'}{d'}}$  if and only if  $\frac{k}{d} \leq \frac{k'}{d'}$

Table 2 shows sequences of circular graphs. As will be seen later, circular graphs with  $\frac{2}{1} \leq \frac{k}{d} \leq \frac{3}{1}$  are of particular interest to us.

The third row of Table 2 is depicted in Figure 4. Notice that when  $d = 1$ ,  $K_{\frac{k}{d}}$  is equal to the complete graph  $K_k$ .

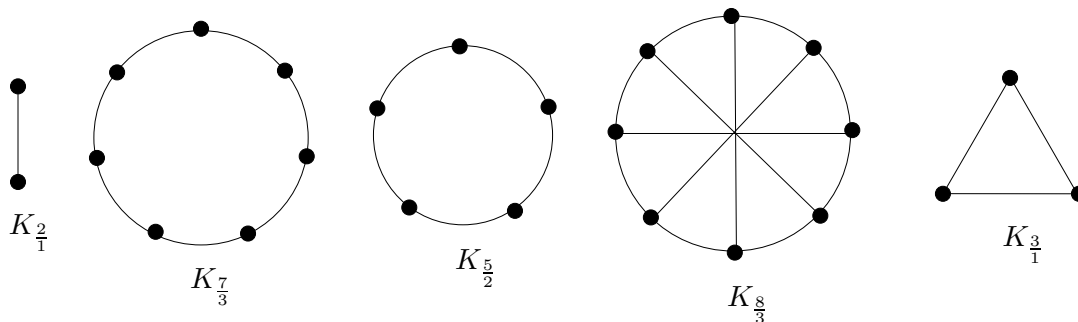


Figure 4: Graphs for the Third Row of Table 2.

### 1.3 Chromatic Numbers and Circular Chromatic Numbers

One definition for the chromatic number of a graph  $G$  denoted  $\chi(G)$  is the following. Graph  $G$  is said to be  $k$ -chromatic if  $k$  is the smallest integer such that  $G \leq K_k$ . In [4], a similar definition is given for the circular chromatic number of a graph  $G$  denoted  $\chi_c(G)$ .  $\chi_c(G) = \frac{k}{d}$  where  $\frac{k}{d}$  is the smallest rational number such that  $G \leq K_{\frac{k}{d}}$ .

We are interested in circular chromatic numbers because they give us more information about graphs than chromatic numbers. For example, for any cycle  $C_{2k-1}$ ,  $\chi(C_{2k-1}) = 3$ , but  $\chi_c(C_{2k-1}) = \chi_c(K_{\frac{2k-1}{k}}) = \frac{2k-1}{k}$ . Notice that  $\frac{2k-1}{k} = 2 - \frac{1}{k}$ . From this we can see that as  $k$  gets large,  $2 - \frac{1}{k}$  approaches 2. For example,  $\chi(C_{1001}) = 3$ , but  $\chi_c(C_{1001}) = \chi_c(K_{\frac{1001}{500}}) = 2.001$ . An important theorem for circular chromatic numbers is the following.

**Theorem 1.4** [9] *For any finite graph  $G$ ,  $\chi(G) - 1 < \chi_c(G) \leq \chi(G)$ .*

Zhu gives the following example [9]. Consider the problem of traffic flow at an intersection. Each lane of traffic needs to be assigned an interval of time during which it has a green light. A complete traffic period is a period of time in which each traffic

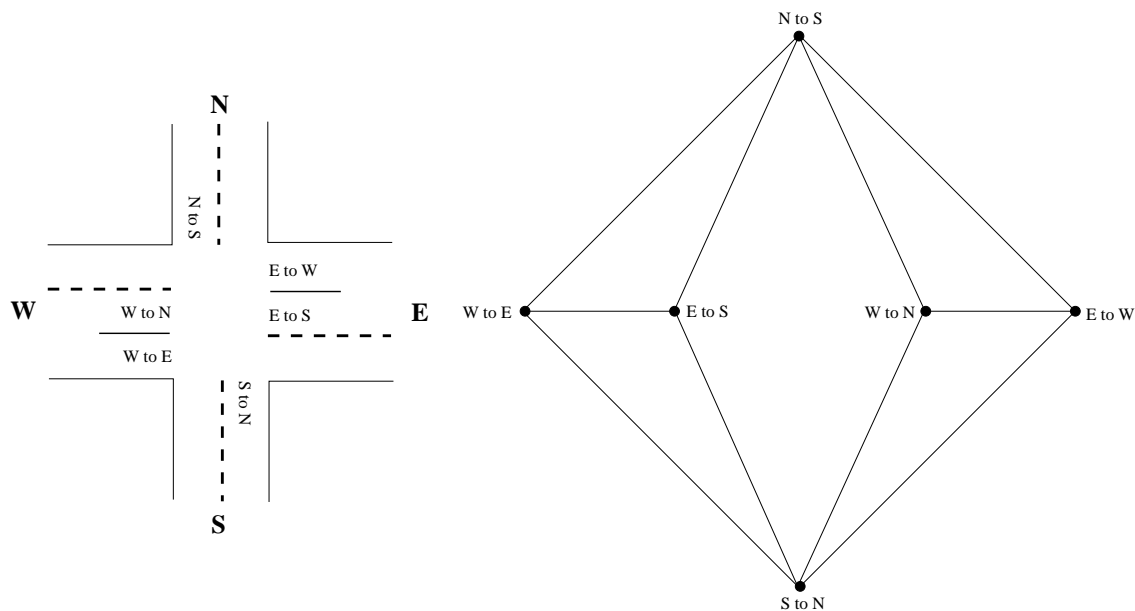


Figure 5: Traffic lanes at an Intersection.

lane gets a turn at a green light. A pattern of red and green lights needs to be designed for a complete traffic period, where each green light is of unit length.

For this problem, a graph makes an ideal model. Let each traffic lane be represented by a vertex, and there is an edge between two vertices if the two corresponding traffic lanes would inhibit one another, e.g. north-south traffic, and east-west traffic would inhibit each other. A simple example of a graph like this is depicted in Figure 5.

This problem can be solved by finding the chromatic number of the corresponding graph  $G$ . The graph would be partitioned into the minimum number of sets of non-adjacent vertices with a period of green light of unit length assigned to each set. This would give a complete traffic period of  $kt$  where  $k$  is the number of sets, and  $t$  is the length of unit time. However,  $kt$  would not be an optimal solution. The

optimal solution is obtained using the circular chromatic number of the graph  $\chi_c$ . The number of sets,  $k$ , is equal to the chromatic number of the graph,  $\chi$ . By Theorem 1.4,  $\chi_c(G) \leq \chi(G)$ , so  $\chi_c t$  would be the optimal solution.

## 1.4 Main Results

Finding a tight upper bound for  $\chi_c(G)$ , in a class of  $K_n$ -minor-free graphs,  $\mathcal{G}/K_n$ , is a difficult problem even for small values of  $n$ . The case  $n \geq 5$  remains unsolved. Even for planar graphs the problem is open. See [2] and [8]. To date the best known circular chromatic number upper bound for planar graphs is given by Zhu [5]. Pan and Zhu [6, 7] have given a function  $\mu(G)$ , which settles this problem for  $\mathcal{G}/K_4$ , and proved that their bound is indeed the best possible by asymptotically constructing  $\chi_c(G)$ . The following are the theorems of Pan and Zhu, for which we give new proofs.

**Theorem 1.5 (Pan, Zhu [6])** *Suppose  $r \in \{-1, 1, 3\}$  and  $G \in \mathcal{G}/K_4$  has odd-girth  $g$ . If  $g \geq 6k+r$ , then  $\chi_c(G) \leq \mu(g)$ , where  $\mu(g) = 2\sigma/(\sigma-1)$  and  $\sigma = 4k+(r+|r|)/2$ .*

The proof of Theorem 1.5, in Chapter 2, is from an unpublished paper by Yared Nigussie.

**Theorem 1.6 (Pan, Zhu [7])** *For every  $\epsilon > 0$ , and every odd integer  $g$ , there exists a graph  $G_g \in \mathcal{G}/K_4$  of odd girth  $g$  such that  $\chi_c(G_g) > \mu(g) - \epsilon$ .*

The results by Pan and Zhu are based on the so-called *labeling method*. Although the labeling method has been quite useful in several proofs, it leads to long case analysis and calculations.

Our proof technique is based on structural methods: We show a minimal counterexample  $G$  to Theorem 1.5 must have a certain configuration, which we prove to be reducible. For Theorem 1.6, we give a different construction which in fact obtains a stronger result. The following are the main results of this thesis:

**Theorem 1.7** *For every odd integer  $g$ , there exists a graph  $H_g^r \in \mathcal{G}/K_4$  of odd girth  $g$  such that  $\chi_c(H_g^r) = \mu(g)$ , if and only if  $g \not\equiv 1 \pmod{6}$ .*

Theorems 1.8 and 1.9 consider the remaining case where  $g \equiv 1 \pmod{6}$ . Define  $K_m^1 = K_{\frac{4k+3+m(4k+1)}{2k+1+m2k}}$ .

**Theorem 1.8** *For every graph  $G \in \mathcal{G}/K_4$  of odd girth at least  $6k+1$ , there exists  $m \in \mathbb{N}$  such that  $G \leq K_m^1$ .*

**Theorem 1.9** *For every  $m \in \mathbb{N}$ , there exists a graph  $G \in \mathcal{G}/K_4$  of odd girth  $6k+1$  such that  $G \not\leq K_m^1$ .*

Theorem 1.8 implies that  $\chi_c(G) < \mu(g)$ . Theorem 1.9 implies that  $\mu(g)$  is the least upper bound, since  $K_m^1 = K_{\frac{4k+3+m(4k+1)}{2k+1+m2k}}$  converges to  $\mu(g) = \frac{4k+1}{2k}$ .

The proof of Theorem 1.5 is given in Chapter 2. The result for Theorem 1.6 is implied in the results of Theorems 1.7, 1.8 and 1.9. The proofs of Theorems 1.7, 1.8 and 1.9 will be given in Chapter 3.



## 2 THE EXISTENCE OF UPPER BOUNDS

A *thread* in  $G$  is a path  $P \subseteq G$  such that the two endpoints of  $P$  have degree at least 3 and all internal vertices of  $P$  are degree 2 in  $G$ . We shall often use the fact that if  $P$  and  $P'$  are two edge-disjoint paths and if the lengths of  $P$  and  $P'$  have the same parity such that  $P$  is a thread and has length at least the length of  $P'$ , then there is a homomorphism that maps  $P$  to  $P'$  sending the two ends of  $P$  to the two ends of  $P'$ . Such a homomorphism is said to *fold*  $P$  to  $P'$ . Let  $G$  be a graph and let  $G^s$  denote the multi-graph we obtain from  $G$  by “smoothing” all degree 2 vertices of  $G$ . For each edge  $e$  of  $G^s$ , let  $P_e$  denote the thread of  $G$  represented by  $e$  in  $G^s$ , and let  $l_e$  denote the length of  $P_e$ . The graph  $G^*$  is obtained by identifying the parallel edges of  $G^s$ . We need the following Folding Lemma of [4]. The Folding Lemma is a key lemma which we use in the next section.

**Lemma 2.1 (Edge folding lemma [4])** *Let  $G \in \mathcal{G}/K_4$  be of odd girth  $2k + 1$  and let  $e$  and  $e'$  be parallel edges in  $G^s$  with common end vertices  $x, y$ . If  $G$  is not homomorphic to a strictly smaller graph of the same odd girth, then  $l_e + l_{e'} = 2k + 1$ . Moreover,  $P_e \cup P_{e'}$  is the unique cycle of length  $2k + 1$  containing both  $x$  and  $y$ .*

**Lemma 2.2 [4]** *Let  $G \in \mathcal{G}/K_4$  have odd girth  $g = 2k + 1$  such that  $G \approx C_{2k+1}$  and  $G$  is not homomorphic to a strictly smaller graph of the same odd girth in  $\mathcal{G}/K_4$ . Then, for any  $y \in V(G^*)$ , if  $d_{G^*}(y) = 2$ , then  $d_G(y) = 4$ . Moreover, if such a  $y$  exists then  $G$  has a configuration of Figure 6, where  $P_{e_1} \cup P_{e_2}$ ,  $P_{e_3} \cup P_{e_4}$  and  $P_{e_5} \cup P$  are pairwise edge-disjoint cycles of length  $2k + 1$ , such that  $l_{e_i} \geq 2$ , for each  $i$ ,  $1 \leq i \leq 5$ .*

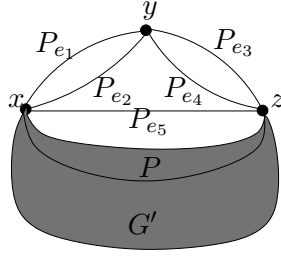


Figure 6: Unavoidable Configuration of  $G$ .

For this proof, we will be referring to Figure 6, and using the notation  $L_1 = l_{e_1}$ ,  $l_1 = l_{e_2}$ ,  $L_2 = l_{e_3}$ ,  $l_2 = l_{e_4}$ ,  $l_3 = l_{e_5}$  and  $l'_3$  is the length of  $P$ . Also, we will be using the notation  $V_{8k} = K_{8k/(4k-1)}$ .

**Theorem 1.5** *Suppose  $r \in \{-1, 1, 3\}$  and  $G \in \mathcal{G}/K_4$  has odd-girth  $g$ . If  $g \geq 6k + r$ , then  $\chi_c(G) \leq \mu(g)$ , where  $\mu(g) = 2\sigma/(\sigma - 1)$  and  $\sigma = 4k + (r + |r|)/2$ .*

**Proof.** Let  $G \in \mathcal{G}/K_4$  of odd girth at least  $g$  be a counterexample with  $|V(G)|$  as small as possible. It suffices to show that  $G \leq K_{\mu(g)}$ . We prove that if  $r \neq -1$  then  $G \leq C_{4k+r}$  and that if  $r = -1$ ,  $G \leq K_{8k/(4k-1)}$ , which contradicts the choice of  $G$ .

It is easy to see that  $G$  must be 2-connected, because  $K_{\mu(g)}$  is vertex-transitive and so inductively a homomorphism  $f_i : H_i \leq K_{\mu(g)}$  for each 2-connected component  $H_i, i = 1, 2, \dots, m \geq 2$ , can be extended to  $f : G \leq K_{\mu(g)}$ , a contradiction. By Lemma 2.1,  $G$  has odd-girth  $g = 6k + r$ ,  $r \in \{-1, 1, 3\}$ . Note that  $L_i + l_i = 6k + r$ ,  $i = 1, 2$ .

Let  $G' = (G \setminus \bigcup_{i=1}^4 P_{e_i}) \cup \{x, y\}$  be obtained by deleting. Then by induction,  $f : V(G') \leq K_{\mu(g)}$  exists. Note that if  $r = -1$ , then  $f(v_1)$  and  $f(v_2)$  can be found on some  $C_{4k+1}$ . We may assume  $f(v_1) = 0$  and  $f(v_2) = l_3$ ,  $l_3 + l'_3 = 4k + |r|$ ,  $l_3 < l'_3$  and that  $L_1 \geq L_2 > l_2$ . Then  $l_2 \geq l_1$ . We may also assume that  $L_1 < 4k + (r + |r|)/2$ , for otherwise  $G \setminus P_{L_1} \leq C_{4k+|r|}$  can be extended to  $G \leq C_{4k+|r|}$ , and we are done. Then,

we have  $l_1 > 2k$ , if  $r \neq -1$  and  $l_1 \geq 2k$ , if  $r = -1$ . In addition, we can assume  $l_3 \geq 2$ , for if  $0 \leq l_3 \leq 1$ , we clearly have  $G \leq C_{4k+|r|}$ . It follows that,  $l_1 + l_2 > l'_3$ .

Let  $\{\alpha, \beta\} = \{L_2, l_2\}$  such that  $L_1 \cong \beta + l_3 \pmod{2}$ . Then  $\beta > L_1 - l_3$ , for otherwise we have  $L_1 \geq \beta + l_3$  and  $\alpha \geq l_1 + l_3$ . Hence, we may identify  $P_{L_1}$  with  $P_\beta \cup P_{l_3}$  and  $P_\alpha$  with  $P_{l_1} \cup P_{l_3}$ . Since  $l_1 + \beta \geq l_1 + l_2 > l'_3$ , we get  $G \leq C_{4k+|r|}$ . We now extend  $f$  by  $f^*$  as follows: If  $r = -1$ ,  $L_1 = L_2$ , and  $l_3 = 2k$  or  $2k + 1$ , it is easy to see we map  $G$  to  $V_{8k}$  by letting  $f^*(v) = 8k - L_1$ . Otherwise, we map  $G$  to  $C_{4k+|r|}$ , by showing each path:  $P_{L_1}, P_{l_1}, P_\beta$  and  $P_\alpha$ , can be identified with their corresponding subpaths of the same parity in  $C_{4k+|r|}$ . For  $P_{L_1}$ , we have  $L_1 < 4k + |r|$ , because  $L_1 < 4k + (r + |r|)/2 \leq 4k + |r|$ . Note also that  $L_1 > l_3$  since  $l_3 < l'_3$  and  $l_3 + l'_3 \leq L_1 + l_1$ . For  $P_{l_1}$ , we have  $l_1 \geq 4k + |r| - L_1$ , because  $L_1 + l_1 = 6k + r$ . For  $P_\beta$ , we have  $\beta > L_1 - l_3$ , as shown above. For  $P_\alpha$  we show,  $\alpha \geq l_3 + (4k + |r| - L_1)$ . Substituting  $\alpha + \beta = 6k + r$  and rearranging we shall verify:

$$L_1 - \beta \geq (l_3 - 2k) + (|r| - r) \quad (*)$$

Note that  $L_1 - \beta \geq 0$ . If  $r \neq -1$ , then  $|r| - r = 0$ , and so if  $2k \geq l_3$ , we are done. Otherwise,  $l_3 = 2k + 1$ , then  $L_1 \not\equiv \beta \pmod{2}$ , i.e.,  $L_1 > \beta$ , which implies  $(*)$  holds. Next, let  $r = -1$ , i.e.,  $|r| - r = 2$  and  $l_3 \leq 2k$ . By assumption if  $l_3 = 2k$ , then  $L_1 \neq \beta$  and so  $L_1 - \beta = 2t, t \geq 1$  and if  $l_3 < 2k$ , we see once more  $(*)$  holds.

Note that the case  $l_3 > 2k + 1$  is symmetric, since  $l'_3 = 4k + 1 - l_3 \leq 2k$ . This concludes the proof that no counterexample exists to Theorem 1.5.  $\square$

### 3 THE ATTAINABILITY OF THE UPPER BOUNDS

In this Chapter the upper bounds for the three cases, graphs of girth greater than or equal to  $6k + r$  for  $r \in \{-1, 1, 3\}$ , will be classified. That is to say, it will be shown that when girth is greater than or equal to  $6k - 1$  or  $6k + 3$ , the upper bound is attainable, and when girth is greater than or equal to  $6k + 1$ , the upper bound is unattainable.

#### 3.1 Proof of Theorem 1.7

In this section we assume graph  $G$  has odd girth  $g = 6k + r$ , where  $r \in \{-1, 1, 3\}$ . We define the following:  $L_a = \frac{g+1}{2}$ ,  $L_b = \frac{g-1}{2}$ ,  $l_a = \frac{g+1}{2} - k + 1$ , and  $l_b = \frac{g-1}{2} - k + 1$ . For short,  $K_m^{-1} = K_{\frac{4k+1+8km}{2k+(4k-1)m}}$  and  $K_m^3 = K_{\frac{4k+5+(4k+3)(2m)}{2k+2+(2k+1)(2m)}}$ . We also need to define  $\beta_m^{-1} = 2k + (4k - 1)m$  and  $\beta_m^3 = 2k + 2 + (2k + 1)(2m)$ , where  $\beta_m^r$  generates the Hamiltonian cycle for  $K_m^r$  depicted in Figure 7.

Let  $G_g^r$  be the graph depicted in Figure 8. Notice that the odd girth of  $G_g^r$  is less than  $6k+r$  for  $k > 1$ . However, we find  $G_g^r$  to be useful in the following sense: Suppose  $H$  is a graph for which we know  $\chi_c(H) < \mu(g)$ . Assuming  $f$  is a homomorphism that maps graph  $G$  to  $H$ , if we show  $G_g^r$  to be a subgraph of  $f(G)$ , then we deduce that  $\chi_c(G) \geq \chi_c(G_g^r)$ , contrary to the assumption that  $\chi_c(H) < \mu(g)$ . This is the key method of proof for Theorem 1.7.

**Lemma 3.1** *For  $r \in \{-1, 3\}$ ,  $\chi_c(G_g^r) = \mu(g)$ .*

**Proof.** For simplicity, we prove the case  $r = 3$ , (the case  $r = -1$  is similar). Note that  $G_g^3 \not\subseteq C_{4k+5}$ , for otherwise, identifying  $c$  to any vertex of  $l_a$  or  $l_b$  creates an shorter

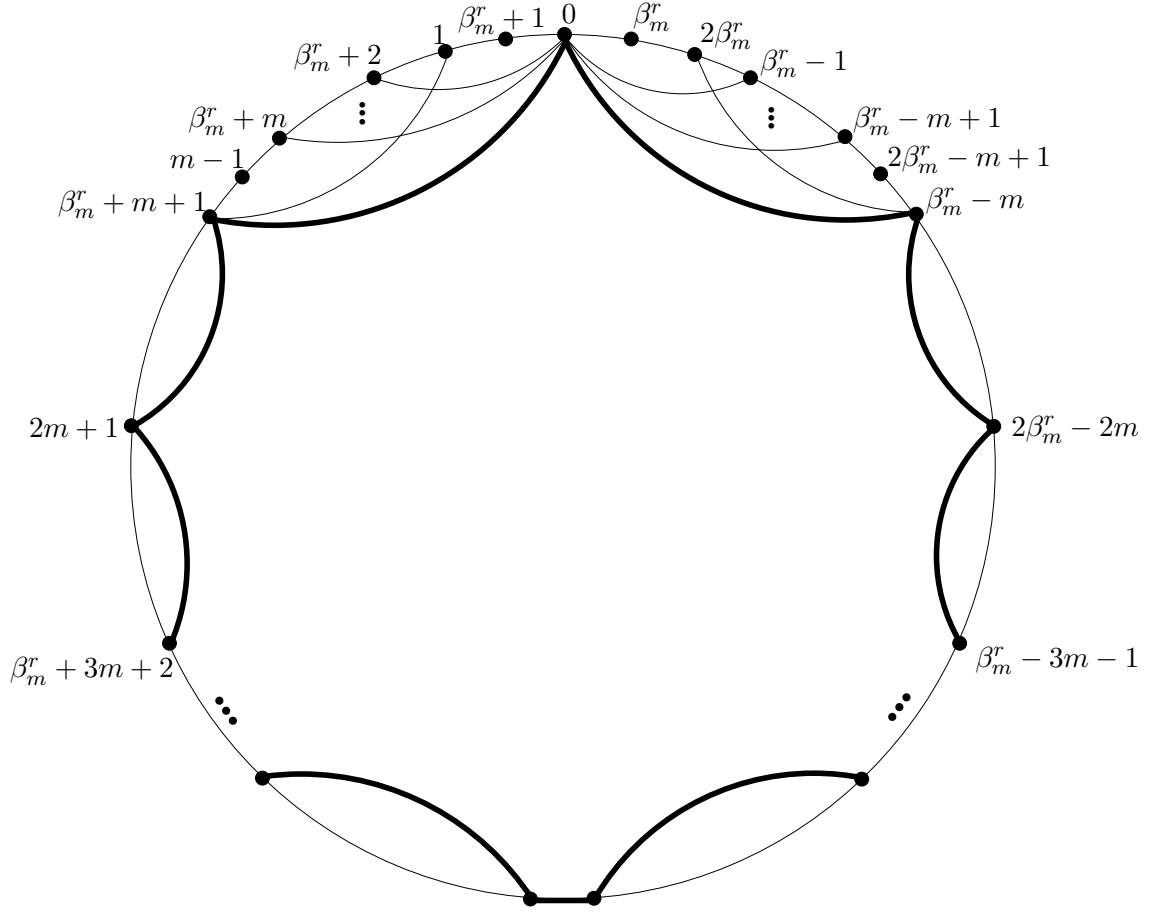


Figure 7:  $K_m^r$  with the Hamiltonian Cycle Generated by  $\beta_m^r$ , Where the Vertices  $\{\beta_m^r - m, \beta_m^r - m + 1, \dots, \beta_m^r + m + 1\}$  are Incident to 0. Note that the Thick Edges Depict a Cycle of Length  $C_{4k+r+2}$ .

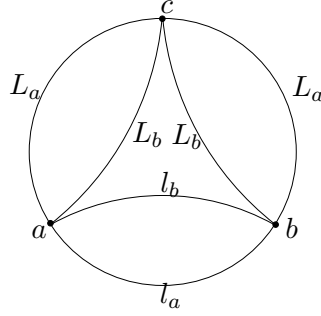


Figure 8: Graph  $G_g^r$ .

odd cycle. By Theorem 1.5,  $G_g^3 \leq C_{4k+3}$ . Therefore,  $\frac{4k+5}{2k+2} < \chi_c(G_g^3) \leq \frac{4k+3}{2k+1}$ . To prove the second inequality is actually an equality, we use the following.

From basic number theory [5], using what is known as the Farey sequence, we can see that any rational  $\frac{p}{q}$  strictly between  $\frac{4k+5}{2k+2}$  and  $\frac{4k+3}{2k+1}$  has numerator  $p \geq 8k + 8$ . It is well known [9] that for a graph  $G$  with a circular chromatic number  $a/b$ , the numerator  $a$  is at most the circumference of  $G$  [9], if  $\gcd(a, b) = 1$ . But then the circumference of  $G_g^3$  is  $8k + 7 < p$ . Thus,  $\chi_c(G_g^3) = \frac{4k+3}{2k+1}$ .  $\square$

**Remark.** For the case  $r = 1$  note that  $G_g^1 \not\leq C_{4k+3} = K_0^1$ , for otherwise, identifying  $c$  to any vertex of  $l_a$  or  $l_b$  creates an shorter odd cycle. However,  $G_g^1$  does not attain  $\mu(g)$ , because  $G_g^1 \leq K_1^1$ .

The following lemma is used to help show that the desired subgraph  $G_g^r$  appears, whenever we attempt to map  $H_g^r$  to  $K_m^r$  for some  $m \in \mathbb{N}$ .

**Lemma 3.2** *Any three vertices of  $K_m^r$  are contained in an odd cycle of length at most  $4k + r + 6$  when  $r = \{-1, 3\}$ .*

**Proof.** Note that the odd girth of  $K_m^r$  is  $4k + r + 2$ , (depicted by thick curves on Figure 7). First, any two vertices  $v_1$  and  $v_2$  are on a  $4k + r + 4$ -cycle. We may assume

$v_1 = 0$  and if  $v_2$  is not on the thick cycle then, it can be reached by replacing a thick edge with 3 thin edges. Then  $v_3$  can be found similarly.  $\square$

Theorem 1.7 follows from the following Lemma.

**Lemma 3.3** *For any  $g \not\equiv 1 \pmod{6}$  let  $H_g^r$  be the graph in Figure 9, then  $\chi_c(H_g^r) = \mu(g)$ .*

**Proof.** Assume  $\chi_c(H_g^r) < \mu(g)$ . Then there exists some  $m$ , such that  $H_g^r \leq K_m^r < \mu(g)$ . When mapping  $H_g^r$  to some  $K_m^r$  by a homomorphism  $f$ , the distance between  $f(a)$  and  $f(b_i)$  for some  $0 \leq i \leq 2k - 2$  is  $l_a$ , for if  $\text{dist}(f(a), f(b_i)) < l_a$  for all  $i$ , then  $f(H_g^r)$  would have an odd cycle shorter than odd-girth of  $K_m^r$ , a contradiction. By Lemma 3.2,  $a, b_i$  and  $c_i$  are on a cycle of length at most  $4k + r + 6$ . This forces either one of the two shortest paths from  $a$  and  $c_i$  or one of the two shortest paths from  $b_i$  and  $c_i$  to be folded to a path of length either  $k + 1$  or  $k + 2$ . Hence, vertices  $c_i$  and  $d_{ij}$ ,  $1 \leq j \leq 4$ , (see Figure 10) will be on a cycle of length  $4k + r + 2$  at distance  $l_a$  (See Figure 8). But then this induces a  $G_g^r$  subgraph in  $f(H_g^r)$ , contrary to Lemma 3.1.  $\square$

### 3.2 Proof of Theorems 1.8 and 1.9

In this section, we study the remaining case,  $r = 1$ . Recall that  $K_m^1 = K_{\frac{4k+3+m(4k+1)}{2k+1+m2k}}$ . In contrast to the cases  $r = -1$  and  $r = 3$ , for the case  $r = 1$ , we prove that  $\mu(g)$  is not attainable. However, we also prove that  $\mu(g)$  is the best bound that exists. Analogous to Lemma 3.2, the following lemma is useful.

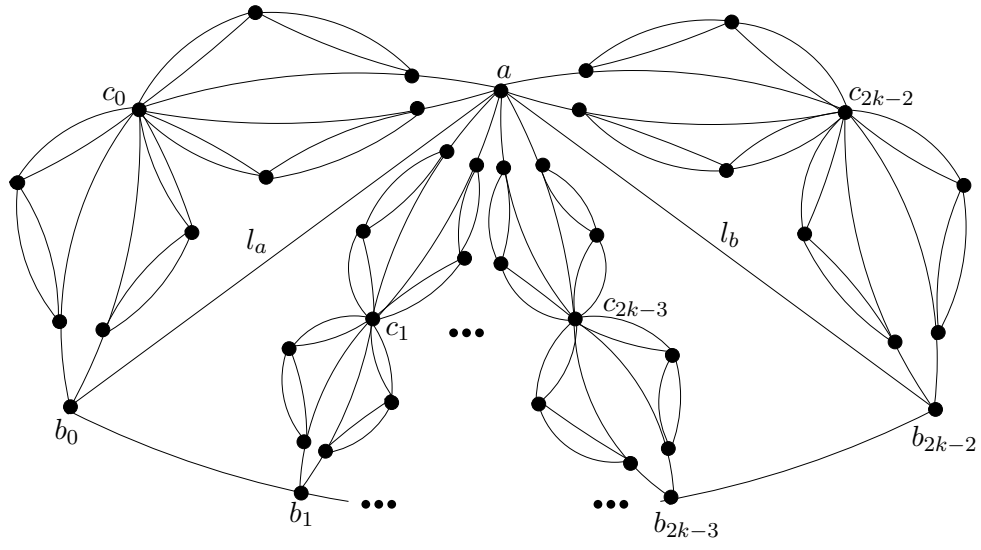


Figure 9: This Graph Attains the Upperbound for Theorem 1.7 When  $g \not\equiv 1 \pmod 6$ .

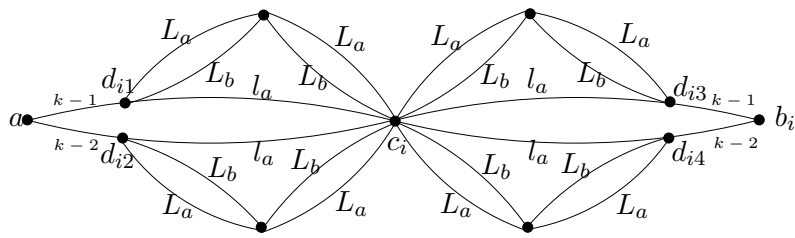


Figure 10: A Close-up View of Part of Figure 9 Between Vertices  $a$  and  $b_i$  for any  $i$ .



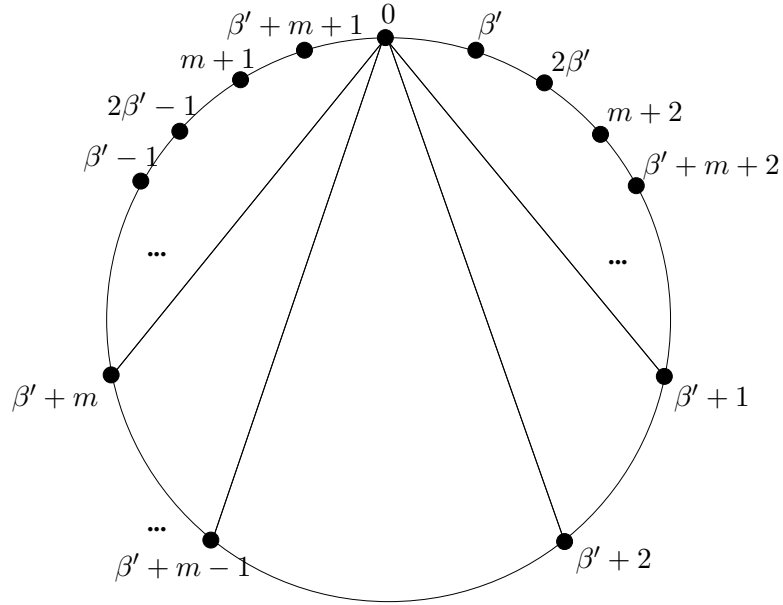


Figure 11: An Alternate Representation of  $K_m^1$  Where  $\beta' = 2k + 2 + m(2k + 1)$  Generates the Hamiltonian Cycle.

For the following lemma, note that the cycle  $D \cup d$  is a  $4k + 3$ -cycle.

**Lemma 3.4** *Let  $H$  be the graph depicted in Figure 13. Then,  $H \leq K_1^1$ .*

**Proof.** Consider the graph  $H$  in Figure 13. Notice first, that  $l$  and  $l'$  must be at least  $2k$ . If not, then  $|P_L| \geq 4k + 2$  or  $|P'_L| \geq 4k + 2$  respectively. Delete the respective path, then the remaining graph maps to  $C_{4k+3}$ . From here the deleted path can be added back and mapped to  $C_{4k+3}$  as well. Now, let  $\delta = \text{dist}(f(a), f(b))$ . Without loss of generality, assume  $l$  is the smallest of  $l, L, l', L'$  and let  $\{\alpha, \beta\} = \{L', l'\}$  such that  $l$  and  $\beta + \delta$  are the same parity. Then,  $\beta < l + \delta$ , otherwise we have  $\beta > l + \delta$

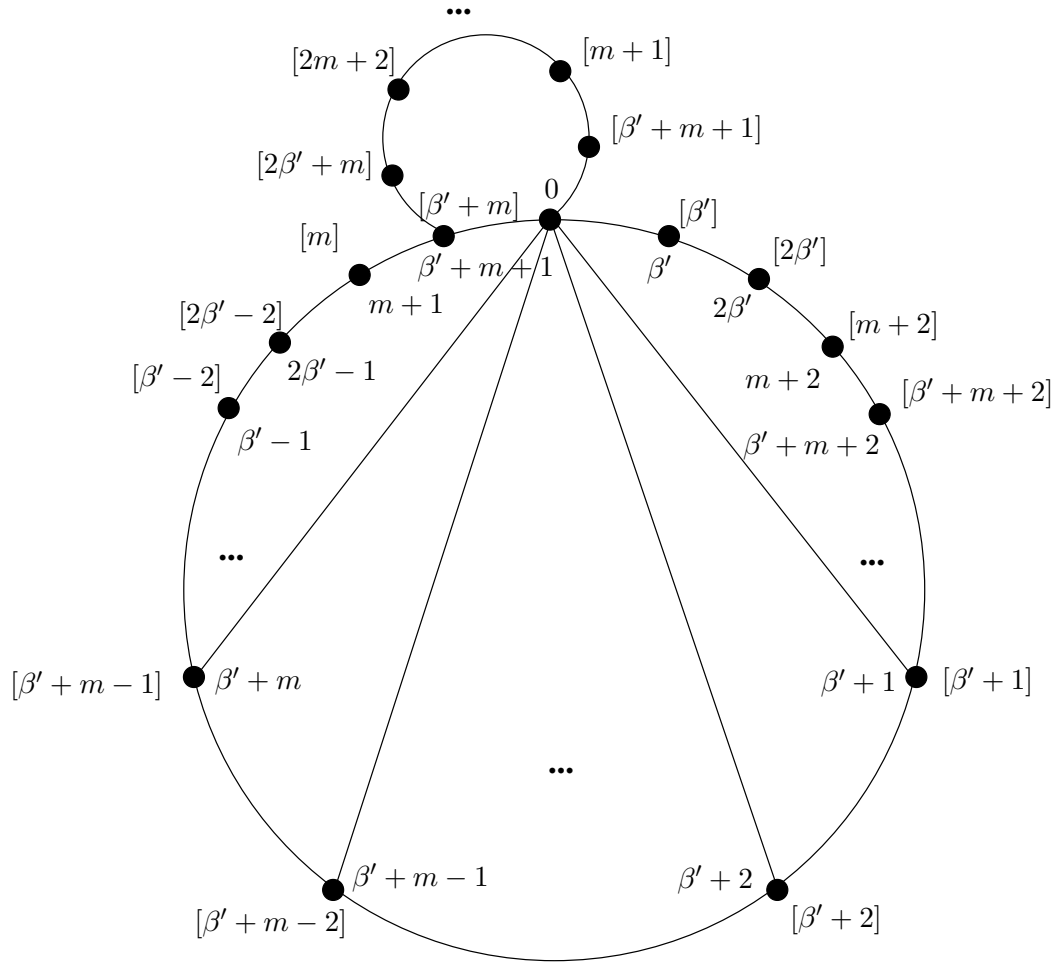


Figure 12: Extending  $K_m^1$  to  $K_{m+1}^1$ . Vertices of  $K_{m+1}^1$  are Distinguished from Vertices of  $K_m^1$  by the “[ ]” Symbol.

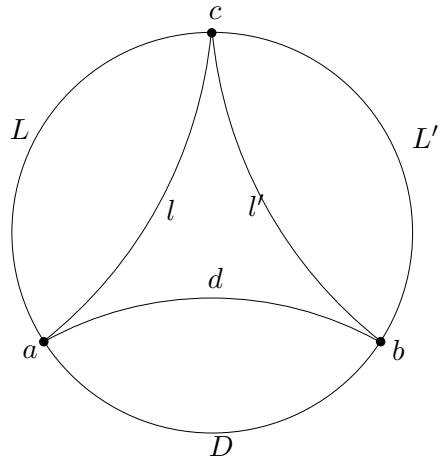


Figure 13: Graph  $H$  Used in Lemma 3.4.

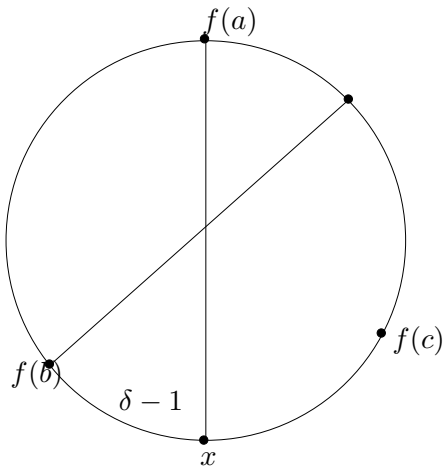


Figure 14: How  $H$  is Mapped to  $K_1^1$ .

and  $L \geq \alpha + \delta$ . Hence we may identify  $P_\beta$  with  $P_l \cup P_\delta$  and  $P_L$  with  $P_\alpha \cup P_\delta$ , a contradiction.

Let  $f(c)$  be at distance  $\beta - \delta + 1$  from  $x$ . Since  $l$  and  $\beta + \delta$  are the same parity, then so are  $l$  and  $\beta - \delta + 2$ . Also, since  $\beta < l + \delta$ , then  $\beta + 2 \leq l + \delta$ , and so  $\beta - \delta + 2 \leq l$ . Now, we can identify  $P_l$  with the path from  $a$  to  $c$  which includes  $x$ . Thus,  $H \leq K_1^1$ .

□

**Theorem 1.8** *For every graph  $G \in \mathcal{G}/K_4$  of odd girth at least  $6k + 1$ , there exists  $m \in \mathbb{N}$  such that  $G \leq K_m^1$ .*

**Proof.** Assume a graph  $G \in \mathcal{G}/K_4$  of girth at least  $6k + 1$  is a minimal counterexample. Then  $G \not\leq K_m^1$  for all  $m \geq 0$ . By Lemma 2.2,  $G$  has the configuration depicted in Figure 6. Let  $G' = (G \setminus \bigcup_{i=1}^4 P_{e_i}) \cup \{x, y\}$ . Now, by minimality of  $G$ , we know that a homomorphism  $f$  maps  $G'$  to  $K_m^1$ , for some  $m > 0$ . Note that  $f(x)$  and  $f(z)$  are on a  $C_{4k+3}$  subgraph. We now extend  $f$  to a homomorphism  $f^*$  mapping  $G$  to  $K_{m+1}^1$ . If the shortest distance between  $f(x)$  and  $f(z)$  is not on the Hamiltonian cycle of  $K_m^1$ , then  $G \leq K_m^1$  by Lemma 3.4. Assume the shortest distance between  $f(x)$  and  $f(z)$  is on the Hamiltonian cycle of  $K_m^1$ , then  $G \not\leq K_m^1$ . In this case, we extend  $K_m^1$  using an edge on the Hamiltonian cycle between  $f(x)$  and  $f(z)$ , as depicted in Figure 12, to obtain  $K_{m+1}^1$ . Then in  $K_{m+1}^1$  the shortest distance between  $f(x)$  and  $f(z)$  is not on the Hamiltonian cycle. By what we just proved for  $K_m^1$ , we deduce that  $G \leq K_{m+1}^1$ . Hence,  $G \leq K_m^1$  for some  $m \in \mathbb{N}$ . □

We prove the remaining Theorem using the following graph. Define recursively the following.  $G^0$  is the graph depicted in Figure 15 (left) and let  $H_k$  be the “hook-graph” depicted on the right. Then,  $G^j$  is constructed by taking a copy of  $G^{j-1}$  and

$2k - 1$  copies of  $H_k$ , and identifying vertex  $e_{ji}$  to vertex  $a$  and identifying vertex  $d_{ji}$  to a vertex at distance  $2k + 1$  from  $a$  on the thread of length  $3k + 1$  between  $a$  and  $c_{(j-1)i}$ , for all  $j \in 0, 1, \dots, 2k - 2$ . (see Figure 15 for  $G_1^1$ ).

**Theorem 1.9** *For every  $m \in \mathbb{N}$ , there exists a graph  $G \in \mathcal{G}/K_4$  of odd girth  $6k + 1$  such that  $G \not\leq K_m^1$ .*

**Proof.** By the Remark after Lemma 3.1,  $G^0 \not\leq C_{4k+3}$ . Notice that  $C_{4k+3} = K_0^1$ . Applying Lemma 3.4  $2k - 1$  times implies that  $G^0 \leq K_1^1$ . Let  $f$  be a homomorphism from  $G^0$  to  $K_1^1$ . For each  $i \in \{0, 1, \dots, 2k - 2\}$ ,  $a$ ,  $b_i$  and  $c_{0i}$  are contained in a subgraph of  $G^0$  of the form of Figure 13 with the specific values  $L = L' = 3k + 1$ ,  $l = l' = 3k$  and  $d + D = 6k + 1$ . For some  $i \in \{0, 1, \dots, 2k - 2\}$ ,  $f(b_i)$  is at distance  $2k + 1$  from  $f(a)$ , if not we get a cycle shorter than  $4k + 1$ . Note that  $f$  maps some thread of length  $3k + 1$  between vertices  $a$  and  $c_{0i}$  injectively to a path on the Hamiltonian cycle of  $K_1^1$ .

Inductively, let  $m$  be minimal such that there is a  $G^m$ , such that  $G^m \not\leq K_m^1$  and  $G^m \leq K_{m+1}^1$ . Further we may inductively assume, similar to the mapping of  $G^0$  to  $K_1^1$ , when  $G^m$  is mapped to  $K_{m+1}^1$  for some  $i \in \{0, 1, \dots, 2k - 2\}$ , a thread  $t$  of length  $3k + 1$  between  $a$  and  $c_{mi}$ , is mapped injectively to  $K_{m+1}^1$ . We extend  $G^m$  to  $G^{m+1}$  (recall the recursive construction), so that  $G^{m+1} \not\leq K_{m+1}^1$ . We extend  $K_{m+1}^1$  to  $K_{m+2}^1$  at an edge of  $f(t)$  so that  $f(t)$  is not on the Hamiltonian cycle of  $K_{m+2}^1$ . Now,  $G^{m+1} \leq K_{m+2}^1$ , and similar to the mapping of  $G^0$  to  $K_1^1$ , when  $G^{m+1}$  is mapped to  $K_{m+2}^1$  for some  $i \in \{0, 1, \dots, 2k - 2\}$ , a thread of length  $3k + 1$  between  $a$  and  $c_{(m+1)i}$ , is mapped injectively to  $K_{m+2}^1$ . By induction, the result follows.  $\square$

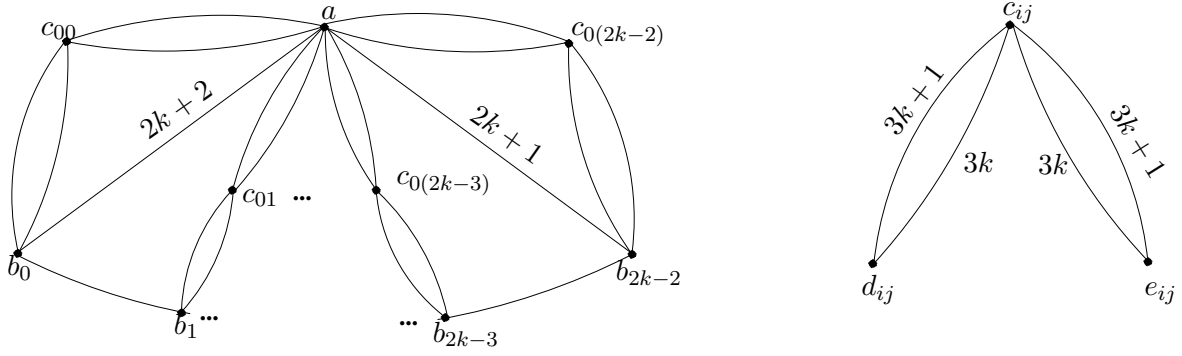


Figure 15: Graph  $G^0$  and  $H_k$ .

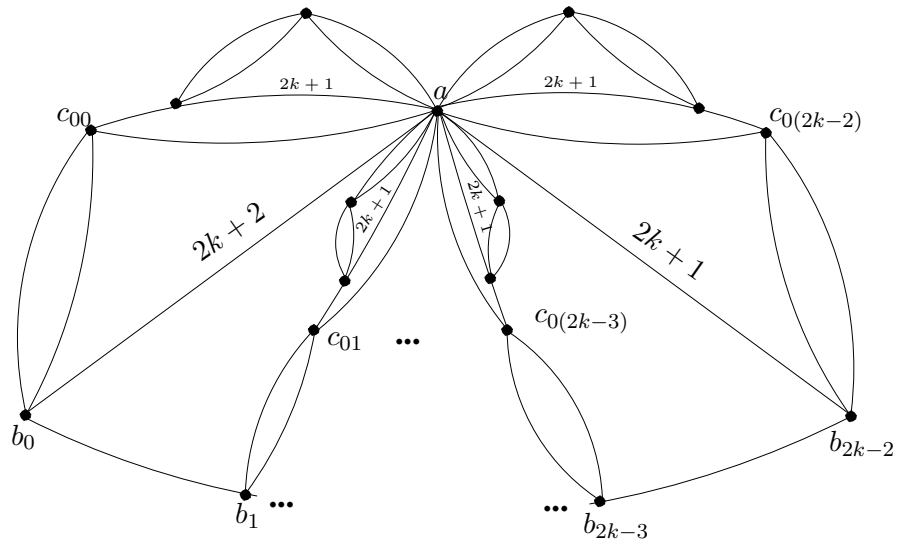


Figure 16: Graph  $G^1$ .

## BIBLIOGRAPHY

- [1] R. Diestel, *Graph Theory*, Springer-Verlag, Third Edition, 2005.
- [2] F. Jeager, *On circular flows in graphs*, Finite and Infinite Sets (Eger, 1981), Colloquia Mathematica Societatis Janos Bolyai 37 (1984), 391-402.
- [3] J. Nešetřil, Y. Nigussie, *Minimal universal and dense minor closed classes*, European Journal of Combin. Vol. 27(2006), 1159-1171.
- [4] J. Nešetřil, Y. Nigussie, *Density of universal classes in  $K_4$ -minor-free graphs*, Journal of Graph Theory, Vol. 54(2007), 13-23.
- [5] I. Niven, H. Zuckerman and H. Montgomery, *An introduction to the Theory of Numbers*, Hojn Wiley & Sons, Inc., Fifth Edition, 1991.
- [6] Pan, X. Zhu, *The circular chromatic number of series-parallel graphs of large odd girth*, Discrete Mathematics, Vol. 263 (1-3)(2003), 191-206.
- [7] Pan, X. Zhu, *Tight relation between the circular chromatic number and the girth of series-parallel graphs*, Discrete Mathematics, Vol. 254 (1-3)(2002), 393-404.
- [8] C. Q. Zhang, *Circular flows of nearly eulerian graphs and vertex-splitting*, Journal of Graph Theory, Vol. 40 (2002), 147-161.
- [9] X. Zhu, *Circular Chromatic Number, a survey*, Discrete Mathematics, Vol. 229 (1-3)(2001), 371-410.

VITA  
TRACY HOLT

Education: M.S. Mathematics, East Tennessee State University,  
Johnson City, Tennessee 2008  
B.S. Mathematics, East Tennessee State University,  
Johnson City, Tennessee 2006

Papers: T. Holt and N. Nigussie, "Short Proofs for Two Theorems of Pan and Zhu,"  
In preparation for publication.  
R. Gardner and T. Holt, "Decompositions of the Complete Symmetric  
Digraph into Orientations of the 4-Cycle with a Pendant Edge,"  
In preparation for publication.