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δ_K -SMALL SETS IN GRAPHS*

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Let G be a simple n -vertex graph and $W \subseteq V(G)$. We say that W is a δ_k -small set if

$$\sqrt[k]{\frac{\sum_{v \in W} d^k(v)}{|W|}} \leq n - |W|.$$

Let $\varphi^{(k)}(G)$ denote the smallest natural number r such that $V(G)$ decomposes into r δ_k -small sets, and let $\alpha^{(k)}(G)$ denote the maximal number of vertices in a δ_k -small set of G . In this paper we obtain bounds for $\alpha^{(k)}(G)$ and $\varphi^{(k)}(G)$. Since $\varphi^{(k)}(G) \leq \omega(G) \leq \chi(G)$ and $\alpha(G) \leq \alpha^{(k)}(G)$, we obtain also bounds for the clique number $\omega(G)$, the chromatic number $\chi(G)$ and the independence number $\alpha(G)$.

1. Introduction. We consider only finite, non-oriented graphs without loops and multiple edges. We shall use the following notations:

$V(G)$ – the vertex set of G ;
 $e(G)$ – the number of edges of G ;
 $\omega(G)$ – the clique number of G ;
 $\alpha(G)$ – the independence number of G ;
 $\chi(G)$ – the chromatic number of G ;
 $d(v)$ – the degree of a vertex v ;
 $\Delta(G)$ – the maximal degree of G ;
 $\delta(G)$ – the minimal degree of G .

All undefined notation are from [8].

Definition 1. Let G be an n -vertex graph and $W \subseteq V(G)$. We say that W is a *small set* in the graph G if

$$d(v) \leq n - |W|, \text{ for all } v \in W.$$

With $\varphi(G)$ we denote the smallest natural number r such that $V(G)$ decomposes into r small sets.

The number $\varphi(G)$ is defined for the first time in [6]. Some properties of $\varphi(G)$ are proved in [6] and [2]. Further $\varphi(G)$ is more thoroughly investigated in [1]. There an effective algorithm for the calculation of $\varphi(G)$ is given. First of all let us note the following bounds for $\varphi(G)$.

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Proposition 1.1 ([1]).

$$\left\lceil \frac{n}{n - d_1(G)} \right\rceil \leq \varphi(G) \leq \left\lceil \frac{n}{n - \Delta(G)} \right\rceil,$$

where $d_1(G)$ is the average degree of the graph G .

Let G be a graph and $W \subseteq V(G)$. We define

$$d_k(W) = \sqrt[k]{\frac{\sum_{v \in W} d^k(v)}{|W|}}, \quad d_k(G) = d_k(V(G)).$$

Definition 2. Let G be an n -vertex graph and $W \subseteq V(G)$. We say that W is a δ_k -small set of G if

$$d_k(W) \leq n - |W|.$$

With $\varphi^{(k)}(G)$ we denote the minimal number of δ_k -sets of G into which $V(G)$ decomposes.

Remark 1. δ_1 -small sets are defined in [1] as β -small sets and $\varphi^{(1)}(G)$ is denoted by $\varphi^\beta(G)$. Also in [1] it is proven

Proposition 1.2 ([1]).

$$\varphi^{(1)}(G) \geq \left\lceil \frac{n}{n - d_1(G)} \right\rceil.$$

Further we shall need the following

Proposition 1.3. Let G be an n -vertex graph. Then

- (i) Every small set of G is a δ_k -small set of G for all natural k .
- (ii) Every δ_{k-1} -small set of G is a δ_k -small set of G .

Proof. Let W be a small set of G . Then $d(v) \leq n - |W|$, $\forall v \in W$. Therefore $d_k(W) \leq n - |W|$, i. e. W is a δ_k -small set.

The statement in (ii) follows from the inequality $d_{k-1}(W) \leq d_k(W)$ (cf. [4, 5]). \square

Let us note that if G is an r -regular graph then $d_k(W) = r$ for all natural k . So, in this case, every δ_k -set of G is a small set of G .

In this paper we shall prove that for a given graph G and for sufficiently large natural k every δ_k -small set of G is a small set of G (Theorem 2.1).

Proposition 1.4. Let G be a graph. Then

$$\varphi^{(1)}(G) \leq \varphi^{(2)}(G) \leq \dots \leq \varphi^{(k)}(G) \leq \dots \leq \varphi(G) \leq \omega(G) \leq \chi(G).$$

Proof. The inequality $\chi(G) \geq \omega(G)$ is obvious. The inequality $\varphi(G) \leq \omega(G)$ is proven in [6] (see also [1]). The inequality $\varphi^{(k)}(G) \leq \varphi(G)$ follows from Proposition 1.3 (i) and the inequality $\varphi^{(k-1)}(G) \leq \varphi^{(k)}(G)$ follows from Proposition 1.3 (ii). \square

According to Proposition 1.4 every lower bound for $\varphi^{(k)}(G)$ is a lower bound for $\varphi(G)$, $\omega(G)$ and $\chi(G)$. In this paper we shall obtain a lower bound for $\varphi^{(k)}(G)$ (Theorem 3.2) from which we shall derive new lower bounds for $\varphi(G)$, $\omega(G)$ and $\chi(G)$. As a corollary we shall get and some results for $\varphi(G)$, $\omega(G)$ and $\chi(G)$ already from [1] and [2].

Proposition 1.5.

$$\left\lceil \frac{n}{n - d_1(G)} \right\rceil \leq \varphi^{(k)}(G) \leq \left\lceil \frac{n}{n - \Delta(G)} \right\rceil.$$

Proof. The right inequality follows from Proposition 1.1 and Proposition 1.4. The left inequality follows from Proposition 1.2 and Proposition 1.4. \square

2. Strengthening Proposition 1.4.

Theorem 2.1. *Let G be a graph. There exists a natural $k_0 = k_0(G)$ such that for all $k \geq k_0$ we have*

- (i) *Every δ_k -small set of G is a small set of G .*
- (ii) $\varphi^{(1)}(G) \leq \dots \leq \varphi^{(k_0)}(G) = \varphi^{(k_0+1)}(G) = \dots = \varphi(G)$.

Proof. Fix a subset of $V(G)$, say W , and let $\Delta(W) = \max\{d(v) \mid v \in W\}$. Then $d_k(W) \leq \Delta(W)$ and $\lim_{k \rightarrow \infty} d_k(W) = \Delta(W)$ (see [4]).

Therefore, since $V(G)$ has only finitely many subsets, there exists k_0 such that for arbitrary $W \subseteq V(G)$

$$(2.1) \quad \Delta(W) - \frac{1}{2} \leq d_k(W), \text{ if } k \geq k_0.$$

Let us suppose now that W is a δ_k -small set of G and $k \geq k_0$, i. e.

$$(2.2) \quad d_k(W) \leq n - |W|.$$

From (2.1) and (2.2) we have that

$$\Delta(W) - \frac{1}{2} \leq n - |W|.$$

Since $\Delta(W)$ and $n - |W|$ are integers, from the last inequality we derive that $\Delta(W) \leq n - |W|$. From the definition of $\Delta(W)$ it follows $d(v) \leq n - |W|$ for all $v \in W$, i. e. W is a small set. Thereby (i) is proven. The statement (ii) obviously follows from (i). \square

3. Lower bounds for $d_k(G)$ and $\varphi^{(k)}(G)$.

Lemma 3.1. *Let $\beta_1, \beta_2, \dots, \beta_r \in [0, 1]$ and $\beta_1 + \beta_2 + \dots + \beta_r = r - 1$. Then for all positive integer $k \leq r$*

$$(3.1) \quad \sum_{i=1}^r (1 - \beta_i) \beta_i^k \leq \left(\frac{r-1}{r} \right)^k.$$

Proof. The case $k = r$ is proven in [1]. That is why we suppose that $k \leq r - 1$. For all natural n we define

$$S_n = \beta_1^n + \beta_2^n + \dots + \beta_r^n.$$

We can rewrite the inequality (3.1) in following way

$$(3.2) \quad S_k - S_{k+1} \leq \left(\frac{r-1}{r} \right)^k.$$

Since

$$\frac{r-1}{r} = \frac{S_1}{r} \leq \sqrt[k]{\frac{S_k}{r}} \leq \sqrt[k+1]{\frac{S_{k+1}}{r}} \quad (\text{cf. [4, 5]}),$$

we have

$$(3.3) \quad S_{k+1} \geq \frac{1}{\sqrt[k]{r}} S_k^{\frac{k+1}{k}}$$

and

$$(3.4) \quad S_k \geq \frac{(r-1)^k}{r^{k-1}}.$$

From (3.3) we see that

$$(3.5) \quad S_k - S_{k+1} \leq S_k - \frac{1}{\sqrt[k]{r}} S_k^{\frac{k+1}{k}}.$$

We consider the function

$$f(x) = x - \frac{1}{\sqrt[k]{r}} x^{\frac{k+1}{k}}, \quad x > 0.$$

According to (3.2) and (3.5) it is sufficient to prove that

$$f(S_k) \leq \left(\frac{r-1}{r} \right)^k.$$

From $f'(x) = 1 - \frac{k+1}{k\sqrt[k]{r}} x^{\frac{1}{k}}$, it follows that $f'(x)$ has unique positive root

$$x_0 = \frac{rk^k}{(k+1)^k}$$

and $f(x)$ decreases in $[x_0, \infty)$. According to (3.4), $S_k \geq \frac{(r-1)^k}{r^{k-1}}$. Since $k \leq r-1$, $\frac{(r-1)^k}{r^{k-1}} \geq x_0$. Therefore

$$f(S_k) \leq f\left(\frac{(r-1)^k}{r^{k-1}}\right) = \left(\frac{r-1}{r}\right)^k. \quad \square$$

Theorem 3.2. *Let G be an n -vertex graph and*

$$V(G) = V_1 \cup V_2 \cup \dots \cup V_r, \quad V_i \cap V_j = \emptyset, \quad i \neq j,$$

where V_i are δ_k -small sets. Then for all integer $k \leq r$ the following inequalities are satisfied

- (i) $d_k(G) \leq \frac{n(r-1)}{r}$;
- (ii) $r \geq \frac{n}{n - d_k(G)}$.

Proof. Let $n_i = |V_i|$, $i = 1, 2, \dots, r$. Then

$$\sum_{v \in V(G)} d^k(v) = \sum_{i=1}^r \sum_{v \in V_i} d^k(v) \leq \sum_{i=1}^r n_i(n - n_i)^k.$$

Let $\beta_i = 1 - \frac{n_i}{n}$, $i = 1, 2, \dots, r$. Then

$$\sum_{v \in V(G)} d^k(v) \leq n^{k+1} \sum_{i=1}^r \beta_i(1 - \beta_i)^k, \quad k \geq r.$$

The inequality (i) follows from the last inequality and Lemma 3.1. Solving the inequality (i) for r , we derive the inequality (ii). \square

4. Some corollaries from Theorem 3.2.

Corollary 4.1. *Let G be an n -vertex graph and let k and s be positive integers such that $k \leq \varphi^{(s)}(G)$. Then*

$$(i) \ d_k(G) \leq \frac{(\varphi^{(s)}(G) - 1)n}{\varphi^{(s)}(G)} \leq \frac{(\varphi(G) - 1)n}{\varphi(G)} \leq \frac{(\omega(G) - 1)n}{\omega(G)} \leq \frac{(\chi(G) - 1)n}{\chi(G)};$$

$$(ii) \ \varphi^{(s)}(G) \geq \frac{n}{n - d_k(G)}.$$

Proof. Let $\varphi^{(s)}(G) = r$ and $V(G) = V_1 \cup V_2 \cup \dots \cup V_r$, $V_i \cap V_j = \emptyset$, where V_i are δ_k -small sets. Then the left inequality in (i) follows from Theorem 3.2 (i). The other inequalities in (i) follow from the inequalities $\varphi^{(s)}(G) \leq \varphi(G) \leq \omega(G) \leq \chi(G)$. The inequality (ii) follows from Theorem 3.2 (ii). \square

Remark 2. In the case $k = s = 1$, Corollary 4.1 is proven in [1] (cf. Theorem 6.3 (i) and Theorem 6.2 (ii)).

Corollary 4.2. *Let G be an n -vertex graph. Then for all integer $s \geq 2$,*

$$\varphi^{(s)}(G) \geq \frac{n}{n - d_2(G)}.$$

Proof. If $\varphi^{(2)}(G) = 1$ then $E(G) = \emptyset$, i. e. $G = \overline{K}_n$ and the inequality is obvious. If $\varphi^{(2)}(G) \geq 2$ then $\varphi^{(s)}(G) \geq 2$ because $s \geq 2$. Therefore Corollary 4.2 follows from Corollary 4.1 (ii). \square

Corollary 4.3 ([2]). *For every n -vertex graph*

$$\varphi(G) \geq \frac{n}{n - d_2(G)}.$$

Proof. This inequality follows from Corollary 4.2 because $\varphi^{(s)}(G) \leq \varphi(G)$. \square

Corollary 4.4 ([1]). *Let G be an n -vertex graph. Then for every positive integer $k \leq \varphi(G)$*

$$\varphi(G) \geq \frac{n}{n - d_k(G)}.$$

Proof. According to Theorem 2.1 there exists a natural number s such that $\varphi(G) = \varphi^{(s)}(G)$. Since $k \leq \varphi^{(s)}(G)$ from Corollary 4.1 (ii) we derive

$$\varphi(G) = \varphi^{(s)}(G) \geq \frac{n}{n - d_k(G)}. \quad \square$$

Corollary 4.5. *Let G be an n -vertex graph. Then for every integer $s \geq 3$*

$$\varphi^{(s)}(G) \geq \frac{n}{n - d_3(G)}.$$

Proof. Since $s \geq 3$, $\varphi^{(s)}(G) \geq \varphi^{(3)}(G)$. Therefore it is sufficient to prove the inequality

$$(4.1) \quad \varphi^{(3)}(G) \geq \frac{n}{n - d_3(G)}.$$

If $\varphi^{(3)}(G) \geq 3$ then (4.1) follows from Corollary 4.1 (ii). If $\varphi^{(3)}(G) = 1$ then the inequality (4.1) is obvious because $d_3(G) = 0$. Let $\varphi^{(3)}(G) = 2$ and $V(G) = V_1 \cup V_2$, where V_i , $i = 1, 2$ are δ_3 -small sets. Let $n_i = |V_i|$, $i = 1, 2$. Then

$$(4.2) \quad \sum_{v \in V(G)} d^3(v) = \sum_{v \in V_1} d^3(v) + \sum_{v \in V_2} d^3(v) \leq$$

$$n_1(n - n_1)^3 + n_2(n - n_2)^3 = n_1 n_2 (n^2 - 2n_1 n_2) \leq \frac{n^4}{8}.$$

Therefore $d_3(G) \leq \frac{n}{2}$ and we obtain

$$\frac{n}{n - d_3(G)} \leq 2 = \varphi^{(3)}(G). \quad \square$$

Since $\varphi(G) \geq \varphi^{(3)}(G)$ from Corollary 4.5 we derive

Corollary 4.6 ([1]). *For every n -vertex graph G*

$$\varphi(G) \geq \frac{n}{n - d_3(G)}.$$

Corollary 4.7. *Let G be an n -vertex graph and $\varphi^{(4)}(G) \neq 2$. Then for every integer $s \geq 4$,*

$$\varphi^{(s)}(G) \geq \frac{n}{n - d_4(G)}.$$

Proof. Since $\varphi^{(s)}(G) \geq \varphi^{(4)}(G)$ for $s \geq 4$, it sufficient to prove the inequality

$$(4.3) \quad \varphi^{(4)}(G) \geq \frac{n}{n - d_4(G)}.$$

If $\varphi^{(4)}(G) \geq 4$ the inequality (4.3) follows from Corollary 4.1 (ii). If $\varphi^{(4)}(G) = 1$ the inequality (4.3) is obvious because $d_4(G) = 0$. It remains to consider the case $\varphi^{(4)}(G) = 3$. Let $V(G) = V_1 \cup V_2 \cup V_3$, where V_i , are δ_4 -small sets and let $n_i = |V_i|$, $i = 1, 2, 3$. Then

$$(4.4) \quad \sum_{v \in V(G)} d^4(v) = \sum_{v \in V_1} d^4(v) + \sum_{v \in V_2} d^4(v) + \sum_{v \in V_3} d^4(v) \leq n_1(n - n_1)^4 + n_2(n - n_2)^4 + n_3(n - n_3)^4.$$

Denoting $\beta_i = 1 - \frac{n_i}{n}$, $i = 1, 2, 3$ we receive

$$\sum_{v \in V(G)} d^4(v) \leq n^4 \left(\sum_{i=1}^3 (1 - \beta_i) \beta_i^4 \right).$$

Since $\sum_{i=1}^3 (1 - \beta_i) \beta_i^4 \leq \frac{2}{3}$ (see the proof of Theorem 5.4 (iii) in [1]) we take

$$d_4(G) \leq \frac{2}{3} = \frac{\varphi^{(4)}(G) - 1}{\varphi^{(4)}(G)}.$$

Solving the last equation for $\varphi^{(4)}(G)$ we obtain (4.3). \square

Corollary 4.8. *Let G be an n -vertex graph and $\varphi^{(4)}(G) \neq 2$. Then*

$$(4.5) \quad \varphi(G) \geq \frac{n}{n - d_4(G)}.$$

Remark 3. In [1] it is proven that the inequality (4.3) is held if $\varphi(G) \neq 2$.

5. Maximal δ_k -sets. We denote the maximal number of vertices in a δ_k -set of G by $\alpha^{(k)}(G)$. $S(G)$ is the maximal number of vertices of small sets of G . It is easily seen that Proposition 1.3 yields.

Proposition 5.1. *For every graph G*

$$\alpha^{(1)}(G) \geq \alpha^{(2)}(G) \geq \dots \geq \alpha^{(k)}(G) \geq \dots \geq S(G) \geq \alpha(G).$$

Remark 4. Note that $\alpha^{(1)}(G)$ is denoted in [1] by $S^\alpha(G)$.

From Theorem 2.1 we have

Theorem 5.2. *For every graph G there exists an unique number $k_0 = k_0(G)$ such that*

$$\alpha^{(1)}(G) \geq \alpha^{(2)}(G) \geq \dots \geq \alpha^{(k_0)}(G) = \alpha^{(k_0+1)}(G) \dots = S(G).$$

Proposition 5.3. *Let $V(G) = \{v_1, v_2, \dots, v_n\}$ and $d(v_1) \leq d(v_2) \leq \dots \leq d(v_n)$. Then*

$$\begin{aligned} \alpha^{(k)}(G) &= \max \{s \mid d_k(\{v_1, v_2, \dots, v_s\}) \leq n - s\} = \\ &= \max \{s \mid \{v_1, v_2, \dots, v_s\} \text{ is } \delta_k\text{-small set in } G\}. \end{aligned}$$

Proof. Let $s_0 = \max \{s \mid \{v_1, v_2, \dots, v_s\} \text{ be } \delta_k\text{-small set in } G\}$. Then $s_0 \leq \alpha^{(k)}(G)$. Let $\alpha^{(k)}(G) = r$ and let $\{v_{i_1}, v_{i_2}, \dots, v_{i_r}\}$ be a δ_k -small set. Since $d_k(\{v_1, v_2, \dots, v_r\}) \leq d_k(\{v_{i_1}, v_{i_2}, \dots, v_{i_r}\})$ it follows that $\{v_1, v_2, \dots, v_r\}$ is δ_k -small set too. Therefore $\alpha^{(k)}(G) = r \leq s_0$. \square

Proposition 5.4. *For every positive number k the following inequalities hold*

$$n - \Delta(G) \leq \alpha^{(k)}(G) \leq n - \delta(G).$$

Proof. The left inequality follows from the inequality $S(G) \geq n - \Delta(G)$ from [1] and Proposition 5.1. Let $r = \alpha^{(k)}(G)$. According to Proposition 5.3, $\{v_1, v_2, \dots, v_r\}$ is a δ_k -small set. So

$$\delta(G) = d(v_1) \leq d_k(\{v_1, v_2, \dots, v_r\}) \leq n - r = n - \alpha^{(k)}(G),$$

hence $\alpha^{(k)}(G) \leq n - \delta(G)$. \square

Remark 5. The inequality $\alpha(G) \geq n - \Delta(G)$ is not always true. For example, $\alpha(C_5) < 5 - \Delta(C_5) = 3$.

Theorem 5.5. *Let $A \subseteq V(G)$ be a δ_1 -small set of G and $s = d_1(V(G) \setminus A)$. Then*

$$(5.1) \quad |A| \leq \left\lfloor \frac{n-s}{2} + \sqrt{\frac{(n-s)^2}{4} + ns - 2e(G)} \right\rfloor$$

Proof.

$$2e(G) = \sum_{v \in V(G)} d(v) = \sum_{v \in A} d(v) + \sum_{v \in V(G) \setminus A} d(v) \leq |A|(n - |A|) + s(n - |A|).$$

Solving for $|A|$ we obtain the inequality (5.1). \square

Corollary 5.6 ([1]). *For every number k*

$$(5.2) \quad \begin{aligned} \alpha^{(k)}(G) &\leq \left\lfloor \frac{n - \Delta(G)}{2} + \sqrt{\frac{(n - \Delta(G))^2}{4} + n\Delta(G) - 2e(G)} \right\rfloor \leq \\ &\leq \left\lfloor \frac{1}{2} + \sqrt{\frac{1}{4} + n^2 - n - 2e(G)} \right\rfloor. \end{aligned}$$

Proof. According to Proposition 5.1, it is sufficient to prove (5.2) only in the case $k = 1$. Let A be a maximal δ_1 -small set, i. e. $|A| = \alpha^{(1)}(G)$, and $s = d_1(V(G) \setminus A)$. According to Theorem 5.5 the inequality (5.1) holds. Since the right side of (5.1) is an increasing function for s and $s \leq \Delta(G) \leq n - 1$, the inequalities (5.2) follow from (5.1). \square

6. α -small sets.

Definition 3 ([1]). Let G be an n -vertex graph and let $W \subseteq V(G)$. We say that W

is an α -small set if

$$\sum_{v \in W} \frac{1}{n - d(v)} \leq 1.$$

We denote the smallest natural number r for which $V(G)$ decomposes into r α -small sets by $\varphi^\alpha(G)$.

The idea for α -small sets is coming from the following Caro-Wey inequality ([3] and [7])

$$\omega(G) \geq \sum_{v \in V(G)} \frac{1}{n - d(v)}.$$

We have the proposition

Proposition 6.1 ([1]).

$$\varphi^{(1)}(G) \leq \varphi^\alpha(G) \leq \varphi(G).$$

The following problem is inspired by Proposition 6.1 and Theorem 2.1.

Problem. Is it true that for every graph G there exists natural number $k_0 = k_0(G)$ such that $\varphi^\alpha(G) = \varphi^{(k_0)}(G)$?

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δ_K -МАЛКИ МНОЖЕСТВА В ГРАФИ

Асен Божилов, Недялко Ненов

Нека G е прост n -върхов граф и $W \subseteq V(G)$. Казваме, че W е δ_k -малко множество, ако

$$\sqrt[k]{\frac{\sum_{v \in W} d^k(v)}{|W|}} \leq n - |W|.$$

$\varphi^{(k)}(G)$ означава най-малкото естествено число r , за което $V(G)$ се разлага на r δ_k -малки множества, а $\alpha^{(k)}(G)$ означава максимума на броя на върховете на δ_k -малките множества на G . В тази работа ние получаваме оценки за $\alpha^{(k)}(G)$ и $\varphi^{(k)}(G)$. Тъй като $\varphi^{(k)}(G) \leq \omega(G) \leq \chi(G)$ и $\alpha(G) \leq \alpha^{(k)}(G)$, получаваме също оценки за кликовото число $\omega(G)$, хроматичното число $\chi(G)$ и числото на независимост $\alpha(G)$.