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Smyth, W.F. (1998) Graphs with small generalized chromatic number. Utilitas Mathematica, 53 . pp. 167-177.

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GRAPHS WITH SMALL GENERALIZED CHROMATIC NUMBER

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ABSTRACT

Let G = (V, E) denote a finite simple undirected connected graph of order n = |V| and diameter D. For any integer $k \in [1, D]$, a proper k-colouring of G is a labelling of the vertices V such that no two distinct vertices at distance k or less have the same label. We let $\gamma_k(G)$, the k-chromatic number of G, denote the least number of labels required to achieve a proper k-colouring of G. In this paper we show that there exists an infinite class \mathcal{G}^* of graphs of order n and diameter $D \geq 3$ such that, over all graphs $G \in \mathcal{G}^*$, $\gamma_{D-1}(G) \in \Theta(\sqrt{Dn})$. Constructions are specified for graphs in the class \mathcal{G}^* .

1 INTRODUCTION

Let G = (V, E) denote a finite simple undirected connected graph of order n = |V| and diameter D > 0. For any integer $k \in [1, D]$, a proper k-colouring of G is a labelling of the vertices V such that no two distinct vertices at distance k or less have the same label. For given G, we let $\gamma_k(G)$, the k-chromatic number of G, denote the least number of labels required to achieve a proper k-colouring of G.

Problems associated with the estimation of the k-chromatic number were surveyed some years ago by Gionfriddo [G87]. A common approach has been to define the k-density $\rho_k(G)$ to be the maximum order over all subgraphs of G with diameter k. (For example, if k = 1 and G is triangle-free, then $\rho_1(G) = 2$.) The nonnegative quantity

$$\gamma'_{k}(G) = \gamma_{k}(G) - \rho_{k}(G)$$

is then considered; in particular, attention focusses on small values of k and small values of $\gamma'_k(G)$ — that is, cases in which the k-density is close to the k-chromatic number. Now let $v_k(h)$ denote the least integer such that there exists a graph G of order $v_k(h)$ for which $\gamma'_k(G) = h$. (For example, if k = 1 and h = 0, then $v_1(0) = 2$ corresponding to $G = P_2$, the path of length 1.) Some progress has been made establishing bounds on $v_k(h)$ in more general cases [GV85], but exact calculation seems to be very difficult, even for k = 2 and small values of h.

In this paper, a different approach is adopted: bounds for $\gamma_k(G)$ are related to the diameter of G. It turns out that, for k = D - 1, it is possible to determine quite sharp bounds which correspond to interesting constructions.

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Thus, for each choice $D = 1, 2, \ldots$ and for every integer n > D, let $\mathcal{G}_{D,n}$ denote the class of all graphs G of diameter D and order n. Then, over all graphs $G \in \mathcal{G}_{D,n}$, let $\alpha_{D,n,k}$ (respectively, $\beta_{D,n,k}$) denote the minimum (respectively, maximum) value attained by $\gamma_k(G)$. As Theorem 1.1 shows, the upper bound is easy to determine:

Theorem 1.1 $\beta_{D,n,k} = n - D + k$.

Proof We look for the greatest number of labels that can possibly be used in a minimum proper k-colouring of G. Observe first that there exists a shortest path P_{D+1} in G of length D. Then a minimum proper k-colouring of P_{D+1} requires k+1 distinct labels. If the remaining n-D-1 vertices of G must all be given labels distinct from the k+1 labels used in P_{D+1} , then a total of n-D+k labels will be used to colour G. Thus this total is the maximum possible value that $\gamma_k(G)$ could take. But this value is actually attained for the graph G formed by joining one end vertex of a path P_D of length D-1 to every vertex of a complete graph K_{n-D} : the resulting graph G then has n vertices, diameter D, and k-chromatic number n-D+k. \Box

As a special case of this result, we see that $\beta_{D,n,D} = n$; since also $\alpha_{D,n,D} = n$, it follows that

$$\gamma_{_D}(G) = n$$

for any given graph G. At the other extreme, for k = 1, Theorem 1.1 tells us that $\beta_{D,n,1} = n - D + 1$. To determine $\alpha_{D,n,1}$, consider the graph G formed by joining n - D isolated vertices \overline{K}_{n-D} to one end of a path P_D of length D-1. The resulting graph G has n vertices, diameter D, and 1-chromatic number 2. (Indeed, G may be any tree on n vertices with diameter D.) Since for any $k \geq 1$, $\alpha_{D,n,k} > 1$, it follows that $\alpha_{D,n,1} = 2$, so that, for any given graph G,

$$2 \leq \gamma_1(G) \leq n - D + 1.$$

For 1 < k < D, the value of $\alpha_{D,n,k}$ is more difficult to determine. In the remainder of this article, we consider the case k = D - 1; to simplify notation, we write $\alpha_{D-1} \equiv \alpha_{D,n,D-1}$.

For the estimation of α_{D-1} , the first interesting case that arises is D = 3, which we now begin to consider. It follows from Theorem 5 of [BRZ68] that if $D \ge 3$ for a graph G, then the diameter of the complement graph \overline{G} is $\overline{D} \le 3$. (This result was later rediscovered in [HR85].) Recall now the result of Bloom, Kennedy and Quintas [BKQ87] that G has diameter 2 if and only if \overline{G} is not empty and \overline{G} is not spanned by a double star. (A spanning double star of G is a spanning tree of G which consists of two stars with centres u and v joined by the edge uv.) Thus for D = 3 there are exactly two possibilities:

- (1) $\overline{D} = 3$, in which case G is spanned by a double star;
- (2) $\overline{D} = 2$, in which case G is NOT spanned by a double star.

In this section we deal with the first and more straightforward of these possibilities:

Theorem 1.2 Let $\mathcal{G}'_{\mathfrak{z},n}$ denote the set of all graphs $G \in \mathcal{G}_{\mathfrak{z},n}$ with complements $\overline{G} \in \mathcal{G}_{\mathfrak{z},n}$. Denote by $\alpha'_{\mathfrak{z}}$ the restriction of $\alpha_{\mathfrak{z}}$ to $\mathcal{G}'_{\mathfrak{z},n}$. Then

$$\alpha_{2}' = \lceil n/2 \rceil + 1.$$

Proof Since G is spanned by a double star, we may divide the vertices V into three non-empty sets U, S and T: U consists of the centres of the two spanning stars, S consists of the radial vertices of one star, T the radial vertices of the other. Without loss of generality, suppose that $|S| \leq |T|$. Now consider a proper 2-colouring of G. We see that all labels in $S \cup U$ must be distinct, as so also must all labels in $T \cup U$. Then, for given n, a minimum number of labels will be used if and only if the following two conditions are satisfied:

(1) every label used in S is also used in T;

(2) $|T| - |S| \le 1$.

When n is even, so that |T| = |S|, we have n = 2|S| + 2 and $\gamma_2(G) = n/2 + 1$. For odd n, we have similarly |T| = |S| + 1, n = 2|S| + 3, and $\gamma_2(G) = (n+1)/2 + 1$. Thus a double star which satisfies condition (2) can be labelled to yield a minimum 2-colouring using $\lceil n/2 \rceil + 1$ labels. From this fact the result follows. \Box

As we shall see below, the lower bound of Theorem 1.2 is exceptional. It appears that for other classes of graphs, $\alpha_{D-1} \in O(\sqrt{Dn})$. We begin our consideration of these graphs in Section 2, by investigating the graphs of diameter 3 whose complements have diameter 2. In Section 3 we look in detail at constructions for graphs of even diameter $D \ge 4$, and then in Section 4 we indicate how these constructions may be extended to graphs of odd diameter $D \ge 5$.

2 DIAMETER D = 3

In this section we study graphs $G \in \mathcal{G}_{\mathfrak{s},n}''$, where $\mathcal{G}_{\mathfrak{s},n}''$ denotes the set of all graphs of $\mathcal{G}_{\mathfrak{s},n}$ whose complements are in $\mathcal{G}_{\mathfrak{s},n}$. In particular, we display an infinite subclass $\mathcal{G}_{\mathfrak{s},n}^* \subset \mathcal{G}_{\mathfrak{s},n}''$ of graphs G whose 2-chromatic number

$$\gamma_{2}(G) = \sqrt{2n+4} - 1.$$

The graphs in this subclass are constructed based on an integer parameter $\nu = 3, 4, \ldots$, and so we denote them G_{ν} . We shall see that G_{ν} has order $n = 2(\nu^2 - 1)$, size $m = \nu(\nu^2 - 1)$, and of course diameter D = 3.

To construct the G_{ν} , we begin with two copies of the complete graph $K_{\nu-1}$, which we call $K_{\nu-1}^{(1)}$ and $K_{\nu-1}^{(2)}$. Corresponding to each i = 1, 2, we introduce $\nu - 1$ disjoint sets of ν isolated vertices \overline{K}_{ν} , which we call $\overline{K}_{\nu}^{(i,1)}, \overline{K}_{\nu}^{(i,2)}, \ldots, \overline{K}_{\nu}^{(i,\nu-1)}$. Let $U^{(i)} = \{u_1^{(i)}, u_2^{(i)}, \ldots, u_{\nu-1}^{(i)}\}$ denote the vertices of $K_{\nu-1}^{(i)}$, and for each $j = 1, 2, \ldots, \nu - 1$, let $V^{(i,j)} = \{v_1^{(i,j)}, v_2^{(i,j)}, \ldots, v_{\nu}^{(i,j)}\}$ denote the vertices of $\overline{K}_{\nu-1}^{(i,j)}$. We now introduce two sets of edges (beyond those already found in the $K_{\nu-1}^{(i)}$):

- (1) For every $i = 1, 2; j = 1, 2, ..., \nu 1; h = 1, 2, ..., \nu: u_j^{(i)} v_h^{(i,j)}$ is an edge. (This joins each vertex of $K_{\nu-1}^{(i)}$ to each of ν vertices in one of the sets $V^{(i,j)}$.)
- (2) For every $j = 1, 2, \ldots, \nu 1$; $j' = 1, 2, \ldots, \nu 1$; $h = 1, 2, \ldots, \nu$: $v_h^{(1,j)} v_{h'}^{(2,j')}$ is an edge if and only if h' is computed by the following algorithm:

(This joins each vertex of $V^{(1,j)}$ to a single vertex in each of $V^{(2,j')}$, $j' = 1, 2, \ldots, \nu - 1$, in such a way that $v_h^{(1,j)} v_h^{(2,j')}$ is never an edge for any choice of j, j' and h.)

To the vertices of G_{ν} we now assign labels L as follows: for every i = 1, 2 and for every $j = 1, 2, \ldots, \nu - 1$ set

Thus a total of $2\nu - 1$ distinct labels are assigned; we claim that $\gamma_2(G_{\nu}) = 2\nu - 1$.

1.

To prove this claim, we first show that in fact G_{ν} has diameter D = 3. Consider first the edges $v_h^{(1,j)}v_{h'}^{(2,j')}$ and observe that, for fixed j and j', as h assumes the values $1, 2, \ldots, \nu, h'$ assumes distinct values in the cyclic permutation of $1, 2, \ldots, \nu$ which begins at one of $\{j + j', j + j' - \nu, j + j' - \nu + 1\}$; thus every vertex of $K_{\nu}^{(1,j)}$ is adjacent to a single distinct vertex of $K_{\nu}^{(2,j')}$. Clearly this statement is true also when the superscripts 1 and 2 are interchanged. It follows then that every vertex of $K_{\nu-1}^{(i)}$ is distance exactly 2 from every vertex of $\overline{K}_{\nu}^{(3-i,j)}$ for every $j = 1, 2, \ldots, \nu - 1$, and hence distance exactly 3 from every vertex of $K_{\nu-1}^{(3-i)}$. Furthermore, we see that whenever $v_h^{(i,j)}v_{h'}^{(3-i,j')}$ is an edge, then $v_h^{(i,j)}$ is distance exactly 3 from every vertex $v_{h''}^{(3-i,j')}$, where $h'' \in [1, \nu]$ and $h'' \neq h'$. Finally, observe that $v_h^{(i,j)}$ is distance exactly 2 from every vertex $v_{h'}^{(i,j)}$, $h' \neq h$, and distance exactly 3 from every vertex $v_{h''}^{(i,j')}$, $j' \neq j$. We conclude that D = 3 and note that, moreover, every vertex of G_{ν} is peripheral. Note also that G_{ν} is not spanned by a double star.

To show that the labelling specified yields a proper 2-colouring, it is necessary to show that all vertices with the same label are distance 3 from each other. This is clearly true for the vertices of $K_{\nu-1}^{(i)}$. To prove this result for the labels $\nu, \nu +$ $1, \ldots, 2\nu - 1$, it suffices to show that

* $v_h^{(i,j)} v_h^{(3-i,j')}$ is never an edge;

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* $v_h^{(i,j)}$ is always adjacent to $\nu - 1$ vertices with distinct labels.

The first of these propositions is a direct consequence of the method of calculation of h' specified in (2) above: if h' = h then either j + j' - 1 = 0, an impossibility, or $j+j'-1 = \nu$, in which case the value of h' is incremented by one, so as to be no longer equal to h. To prove the second proposition, consider first the edges joining a vertex $v_h^{(1,j)}$ to $V^{(2,1)}$, for every $h = 1, 2, \ldots, \nu$. These edges will be $v_h^{(1,j)}v_{h_1}^{(2,1)}$, where h_1 is one element of the set $H_o = \{j+h, j+h-\nu, j+h-\nu+1\}$. More generally, the vertices $v_{h_1}^{(2,1)}, v_{h_2}^{(2,2)}, \ldots, v_{h_{\nu-1}}^{(2,\nu-1)}$ of $V^{(2,1)}, V^{(2,2)}, \ldots, V^{(2,\nu-1)}$, respectively, which are adjacent to $v_h^{(1,j)}$ are identified by the cyclic permutation $(h_1, h_2, \ldots, h_{\nu-1})$ of $1, 2, \ldots, \nu$ which begins at the element of H_0 specified by (2) and omits h. These vertices will have $\nu - 1$ distinct labels $\nu + h_1 - 1, \nu + h_2 - 1, \ldots, \nu + h_{\nu-1} - 1$. A similar argument establishes also that vertices $v_{h_1}^{(1,1)}, v_{h_2}^{(1,2)}, \ldots, v_{h_{\nu-1}}^{(1,\nu-1)}$ adjacent to a given vertex $v_h^{(2,j)}$ all have distinct labels. We conclude that $\gamma_2(G_{\nu}) = 2\nu - 1$, as required. We state this result formally as follows:

Theorem 2.1 For every integer $\nu \geq 3$, the graphs G_{ν} of order $n = 2(\nu^2 - 1)$ and diameter 3 have 2-chromatic number $\sqrt{2n+4} - 1$. Thus

$$\alpha_{2} \in O(\sqrt{n}).$$

Finally, we remark that for $\nu = 3$ a slight improvement can be made to the above construction, yielding $n = 2\nu^2 = 18$ and $\gamma_2(G_3) = \sqrt{2n} - 1 = 5$.

3 EVEN DIAMETER $D \ge 4$

In this section we first present a construction for graphs $G \in \mathcal{G}_{4,n}$ for which the (D-1)-chromatic number

$$\gamma_{\scriptscriptstyle D-1}(G) = \left\lceil 2\sqrt{n-1} \right\rceil.$$

We then show how to generalize this construction to graphs $G \in \mathcal{G}_{2d,n}$ of arbitrary even diameter D = 2d, where $d = 2, 3, \ldots$

We note in passing the result of Bosák, Rosa and Znám [BRZ68] (later rediscovered in [S86]) that for graphs G of diameter $D \ge 4$, the complement graph \overline{G} must have diameter $\overline{D} = 2$. Thus the special case dealt with in Theorem 1.2 does not arise for $D \ge 4$.

Consider a graph $G = (V, E) \in \mathcal{G}_{4,n}$. There exists a shortest path $s_1u_1u_2s_2$ in G joining peripheral vertices s_1 and s_2 . Let $U = \{u, u_1, u_2\}$, and for j = 1, 2 let S_j denote the set of all vertices $v^{(j)} \neq u$ such that $u_j v^{(j)} \in E$. Then, in particular, $s_j \in S_j$. Observe that a proper (D-1)-colouring of G requires that all the labels assigned to $U \cup S_j$ be distinct; that is,

$${\gamma}_{\mathfrak{z}}(G) \geq \max_{j\,=\,1,2} |S_j|+3.$$

The lower bound can of course be attained by a graph G whose every shortest path from S_1 to S_2 is of length D.

Suppose now more generally that V contains $p \ge 2$ distinct subsets S_1, S_2, \ldots, S_p such that every shortest path from one subset to another

- * is of length D;
- * passes through u.

Then the graph G of least order n satisfying these conditions has vertex set $V = U \cup \left(\bigcup_{j=1}^{p} S_{j} \right)$, where $U = \{u, u_{1}, u_{2}, \dots, u_{p}\}$ and

$$\gamma_{\mathfrak{s}}(G) = \max_{1 \leq j \leq p} |S_j| + (p+1).$$

Let s^* denote the average order of the S_j ; that is, $s^* = (|S_1| + |S_2| + \dots + |S_p|)/p$. Then

$$n = ps^* + p + 1. \qquad \qquad \dots (3.1)$$

Observe now that γ_s can be minimized by imposing the further condition on G that

$$\lfloor s^*
floor \leq |S_j| \leq \lfloor s^*
floor + 1, \qquad \qquad \dots (3.2)$$

for every j = 1, 2, ..., p. Then, using (3.1),

$$egin{aligned} &\gamma_{\mathfrak{s}}(G) = \lceil s^*
ceil + p + 1 \ &= \lceil (n-1)/p
ceil + p, \end{aligned}$$

an expression which achieves its minimum value for

$$p = \left\lceil \sqrt{n-1} \right\rceil. \tag{3.3}$$

Thus, if the subsets of V are chosen to satisfy (3.2) and (3.3), then

$$\gamma_{\mathfrak{s}}(G) = \left\lceil (n-1) / \left\lceil \sqrt{n-1} \right\rceil \right\rceil + \left\lceil \sqrt{n-1} \right\rceil.$$
 (3.4)

We now state three noteworthy identities (left as exercises for the reader). For any positive real number x, let

$$C(x) \equiv \left\lceil x \middle/ \left\lceil \sqrt{x} \right\rceil \right\rceil + \left\lceil \sqrt{x} \right\rceil.$$

For $x \geq 1$, let

$$F(x) \equiv \left\lceil x \middle/ \left\lfloor \sqrt{x} \right\rfloor \right\rceil + \left\lfloor \sqrt{x} \right\rfloor.$$

Then

$$C(x) = \left\lceil 2\sqrt{\lceil x \rceil} \right\rceil;$$
 ...(3.5a)

$$F(x) = \left\lceil 2\sqrt{\lceil x \rceil} \right\rceil, \qquad \dots (3.5 \mathrm{b})$$

if there exists no integer N such that $N^2 - 1 < x < N^2$; and

$$F(x) = \left\lceil 2\sqrt{\lceil x \rceil} \right\rceil + 1,$$
 (3.5c)

otherwise. Thus, in view of (3.5a), (3.4) becomes

$$\gamma_{\mathfrak{z}}(G) = \left\lceil 2\sqrt{n-1} \right\rceil.$$
 (3.6)

A graph G which satisfies (3.6) may be characterized as a graph of diameter D = 4, radius d = 2, a single centre u, and $n - \left\lceil \sqrt{n-1} \right\rceil - 1$ peripheral nodes divided as

equally as possible into $\left\lceil \sqrt{n-1} \right\rceil$ mutually peripheral subsets. An example of such a graph is formed by $\left\lceil \sqrt{n-1} \right\rceil$ complete graphs K_s , where $\lceil s^* \rceil + 1 \le s \le \lceil s^* \rceil + 2$, each with a single vertex adjacent to u.

Consider now a graph $G \in \mathcal{G}_{D,n}$, where D = 2d for some integer $d \geq 2$, and suppose as before that the vertex set V contains $p \geq 2$ distinct subsets S_1, S_2, \ldots, S_p as defined above. Defining s^* as before, we find

$$n = ps^* + p(d-1) + 1,$$
 ... (3.7)

analogous to (3.1). Then, applying (3.2) and (3.7), we find that

$$\gamma_{D-1}(G) = \lceil s^* \rceil + p(d-1) + 1$$

= $\lceil (n-1)/p \rceil + (d-1)(p-1) + 1.$ (3.8)

Now consider the function $\gamma^*(p) = (n-1)/p + (d-1)(p-1) + 1$, differentiable in any interval not containing p = 0. This function attains its minimum for

$$rac{d\gamma^*}{dp} = -(n-1)/p^2 + (d-1) = 0;$$

that is, for $p = \sqrt{\frac{n-1}{d-1}}$. Then (3.8) is minimized by choosing either $p = p_1 \equiv \left[\sqrt{\frac{n-1}{d-1}}\right]$ or $p = p_2 \equiv \left\lfloor\sqrt{\frac{n-1}{d-1}}\right\rfloor$. To estimate the minimum value of (3.8), consider first

$$\gamma^*(p_1)=(d-1)igg\{ig(rac{n-1}{d-1}ig)\Big/\left[\sqrt{rac{n-1}{d-1}}
ight]+\left[\sqrt{rac{n-1}{d-1}}
ight]-1igg\}+1.$$

We see that

$$(d-1)\Big(C\Big(rac{n-1}{d-1}\Big)-2\Big)\leq \gamma^*(p_1)\leq (d-1)\Big(C\Big(rac{n-1}{d-1}\Big)-1\Big),$$

where $C\left(\frac{n-1}{d-1}\right)$ is given by (3.5a). From (3.5b) and (3.5c), it follows then that

$$\gamma^*(p_1) \leq \gamma^*(p_2) \leq \gamma^*(p_1) + 1;$$

and since, for every positive value of p,

$$0\leq \gamma_{{\scriptscriptstyle D}-1}(G)-\gamma^*(p)\leq 1,$$

we have the main result of this section:

Theorem 3.1 For every even integer D = 2d, $d \ge 2$, and for every integer n > D, there exists a graph $G \in \mathcal{G}_{D,n}$ such that

$$(d-1)\left(\left\lceil 2\sqrt{\left\lceil rac{n-1}{d-1}
ight
ceil}
ight
ceil -2
ight)\leq \gamma_{\scriptscriptstyle D-1}(G)-1\leq (d-1)\left(\left\lceil 2\sqrt{\left\lceil rac{n-1}{d-1}
ight
ceil}
ight
ceil -1
ight).$$

Hence
$$\alpha_{D-1} \in O(\sqrt{Dn})$$
.

As in the special case d = 2, a graph G which satisfies Theorem 3.1 is characterized by radius d, a single centre u, and $n - (d-1)p_1 - 1$ peripheral nodes divided as equally as possible into p_1 mutually peripheral subsets, where $p_1 = \left[\sqrt{\frac{n-1}{d-1}}\right]$.

4 ODD DIAMETER $D \ge 5$

Here we consider graphs $G \in \mathcal{G}_{2d+1,n}$ of odd diameter D = 2d + 1, $d \geq 2$. The construction is similar to the construction for even diameter 2d; the main difference is that the centre u is replaced by a complete subgraph K_p , which thus increases the diameter by one. The results apply also to the case D = 3 (d = 1).

As before, we suppose that V contains $p \ge 2$ mutually peripheral subsets S_1, S_2, \ldots, S_p such that every shortest path from one subset to another passes through at least two vertices of the "central" complete subgraph K_p . If as before s^* denotes the average size of $|S_j|, j = 1, 2, \ldots, p$, then, analogous to (3.1),

$$n = p(s^* + d). \qquad \qquad \dots (4.1)$$

By choosing the orders of the S_i to be as nearly equal as possible, we can make

$$egin{aligned} &\gamma_{{}_{D-1}}(G) = s^* + pd \ &= n/p + (p-1)d, \end{aligned} \qquad \dots (4.2) \end{aligned}$$

from (4.1). We find then that $\gamma_{D-1}(G)$ is minimized for $p = \lfloor \sqrt{n/d} \rfloor$ or $\lceil \sqrt{n/d} \rceil$. Substituting these values into (4.2) and applying (3.5a)-(3.5c), we find

Theorem 4.1 For every odd integer D = 2d + 1, $d \ge 1$, and for every integer n > D, there exists a graph $G \in \mathcal{G}_{D,n}$ such that

$$d\Big(\Big\lceil 2\sqrt{\lceil n/d\rceil}\Big\rceil - 2\Big) \leq \gamma_{D-1}(G) \leq d\Big(\Big\lceil 2\sqrt{\lceil n/d\rceil}\Big\rceil - 1\Big).$$

Hence $\alpha_{D-1} \in O(\sqrt{Dn})$. \Box

Note that in the special case D = 3, the construction of Section 2 yields a lower (D-1)-chromatic number than the construction given here. More generally, it is not known whether the constructions given in this paper are best possible, in the sense of yielding, for given D and n, the least possible value of γ_{D-1} .

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ACKNOWLEDGEMENT

This research was supported in part by Grant No. A8180 of the Natural Sciences & Engineering Research Council of Canada. The author is indebted to Sin-Min Lee of San Jose State University for introducing him to the problem in the first place and for stimulating discussions.