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On upward straight-line embeddings of graphs

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1 Basic Definitions

A **planar graph** is a graph that can be drawn on the plane in such a way that its edges intersect only at their endpoints. Such a drawing is called a **planar embedding**. A planar embedding divides the plane into a set of regions called **faces**. Face incident to vertices u_1, \dots, u_m , where $m \geq 3$, we denote by $\langle u_1, \dots, u_m \rangle$. The face with unbounded area is an **outer face**. Other faces are **inner**. An edge is **outer** if it belongs to the outer face, and it is **inner** otherwise.

An **outerplanar graph** is a graph that admits an **outerplanar drawing**, i.e., a planar drawing in which all vertices are on the outer face. The **weak dual** G^* of a planar graph G is the graph having a node for each inner face of G , and an edge between two nodes if and only if the two corresponding faces share an edge. For an outerplanar graph G , its weak dual G^* is a tree. **Outerpath** is a outerplanar graph, whose weak dual graph G^* is a path.

A **directed graph** $G = (V, E)$, or a digraph, is a graph whose edges have an orientation. We assume each edge $e = (u, v)$ of G to be oriented from u to v , and hence denote u and v as the **tail** and **head** of e , respectively. A vertex u of G is a **source** (resp. a **sink**) if it is the tail (resp. the head) of all its incident edges. A **directed cycle** is a cycle in directed graph in which each edge is traversed in the same direction. A **directed acyclic graph** (DAG) is a digraph that contains no directed cycle. An **st -DAG** is a DAG with a single source s and a single sink t .

An outerplanar graph is **internally triangulated** if it is biconnected and all inner faces are cycles of length 3. A **fan** is an internally triangulated outerpath whose inner edges all share an end-vertex. An **st -outerplanar graph** is an st -DAG whose underlying undirected graph is a outerplanar graph. An st -outerplanar graph is **one-sided** if the edge (s, t) is an outer edge. An **st -fan** is an st -DAG whose underlying undirected graph is a fan and whose inner edges have s as an end-vertex. An **st -outerpath** is an st -DAG whose underlying undirected graph is an outerpath.

A **topological book embedding** (TBE) of G is a planar drawing such that all vertices of G are represented as points of a horizontal line l , called the **spine**. All vertices of G are embedded on the spine in some order v_1, v_2, \dots, v_n , hence we can use the notation $v_i < v_j$, if $i < j$ or we can say that v_i is lower than v_j . Each of the two half-planes defined by l is a **page**. Each edge in a TBE is either in the left page, or completely in the right page, or it can be on both pages, in which case it crosses the spine. We assume that in a topological book embedding every edge is drawn as a sequence of one or more circular arcs, in particular semi-circles, such that no two consecutive arcs are in the same page.

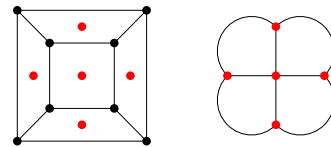


Figure 1: Example of a planar graph (left) and a weak dual graph (right).

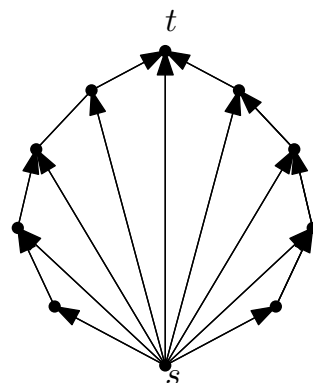


Figure 2: Example of a st -fan.

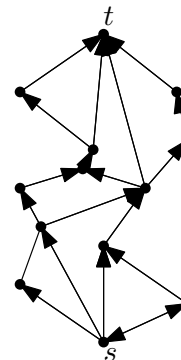


Figure 3: Example of an st -outerplanar graph.

Notice that, by using semi-circles, two arcs in the same page cross each other only if their end-points alternate along the spine (fig. 4).

A **monotone** topological book embedding is a topological book embedding such that every edge crosses the spine at most once. An edge that crosses the spine once is called an **S-edge** and each of the two arcs composing it are called **sub-edges**. A non-S-edge (x, y) is called **free**, if there are no edges that **cover** the edge (x, y) , i.e. there are no vertices u, v , such that $u \leq x < y \leq v$ and edges (u, v) and (x, y) are on the same page (fig. 5). Let γ be a monotone topological book embedding. TBE γ is **nice** if there is no pair of S-edges whose sub-edges cover in the right page.

2 Motivation and related work

Book embedding. An **upward k -page book embedding** (for short, kUBE) $\langle \pi, \sigma \rangle$ of a directed graph $G = (V, E)$ consists of a vertex ordering $\pi = \pi(V)$ and of an edge assignment $\sigma = \sigma(E)$ to one of k sets, called **pages**, so that for any two edges (a, b) and (c, d) in the same page, we have neither $\pi(a) < \pi(c) < \pi(b) < \pi(d)$ nor $\pi(c) < \pi(a) < \pi(d) < \pi(b)$. Similar to TBE canonical drawing $\Gamma(\pi, \sigma)$ of G is a drawing where the k pages correspond to k half-planes sharing a vertical line, called the spine. The page number of a digraph G (also called book thickness) is the minimum number k such that G admits an upward k -page book embedding.

Results on book embeddings of undirected graphs are described in the paper (5) by Bernhart and Kainen. They prove that only outerplanar graphs have page number one, and graphs with page number two are sub-Hamiltonian graphs. This result implies the NP-completeness of deciding whether a graph admits a 2-page book embedding.

As for undirected graphs, there are many papers devoted to the study of upper and lower bounds on the page number of directed graphs. Heath et al. (16) show that directed trees and unicyclic digraphs have page number one and two, respectively. Bhore (7) shows that every st -outerpath have 4-page book embedding and every outerpath have a 16-page book embedding. Alzohairi and Rival (1), and later Di Giacomo et al. (14) with an improved linear-time construction, show that series-parallel digraphs have page number two. Mchedlidze and Symvonis (19) generalize this result and prove that N-free upward planar digraphs, which contain series-parallel digraphs, also have page number two.

About the lower bounds, Nowakowski and Parker (22) give an example of a planar st -graph that requires three pages for an upward



Figure 4: S-edges.

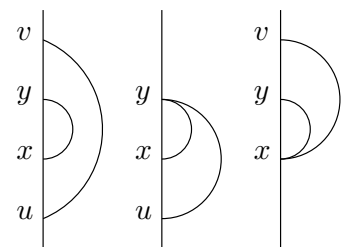


Figure 5: Forbidden cases for free edges.

book embedding. Pupyrev (23) computes book embeddings of all maximal planar graphs of size $n \leq 18$ and found no instance that requires four pages. However Bekos (4) and Yannakakis (24) prove that there are class of planar graphs with book number four. Later Jungeblut (17) finds slightly more accurate estimates: every upward planar graph G on n vertices has page number at most $O(n^{2/3} \log^{2/3}(n))$ and there is an upward planar graph with page number at least 5. Overall, the question, whether the page number of upward planar digraphs is bounded, remains open.

Binucci and others (9) prove that testing if graph has k UBE is NP-complete if $k \geq 3$. In paper (9), a polynomial algorithm checks whether the st -outerplanar graph has 2 UBE. This algorithm is given for st -outerpath, whose faces have a special structure. The running time of this algorithm depends on the branchwidth of the graph.

Planar straight-line embedding. Consider an arbitrary planar directed graph G and some set of points S on the plane such that the number of points coincides with the number of vertices in the graph. Embed all the vertices into points and draw straight-line edges. If the planarity condition is satisfied and the fact that for each directed edge from the point (x_1, y_1) to the point (x_2, y_2) it is true that $y_1 < y_2$, we say that the graph G has an **upward planar straight-line embedding (UPSE)** into a point set S . A set of points is in **general position** if no three points lie on the same line. A point set is in **convex position** no point is in the convex hull of the others. We call a **one-sided convex point set** any convex point set in which the lowest point and the highest point on the convex hull are neighbors.

UPSE problem.

Input: a planar DAG G , a point set S on the plane in general position.
Output: is there a planar straight-line embedding of the graph G on point set S .

Cabello (11) prove that the UPSE problem is NP-complete even when G is a 2-connected and 2-outerplanar. And Arseneva et al. (3) prove that the UPSE problem, where G is an directed tree with a fixed point, is NP-complete.

However, if we look at the straight-line embedding problem (UPSE for undirected graphs), we know that any outerplanar graph can be embedded in any set of points P in general position. For example, Bose (10) describes an algorithm that runs in $O(n \log^3(n))$, where n is the number of points P .

According to (8), there are necessary and sufficient conditions for graphs that can always be embedded in an one-sided convex set. Therefore, interest fell on solving UPSE problem for st -outerplanar

graphs in a one-sided convex point set with a condition that the embedding can be with one bend. The solution of this task for an one-sided convex point set turned out to be simpler and is formulated in Theorem 1.

UPSE with 1 bend problem.

Input: a planar DAG G , a point set S on the plane in general position.

Output: is there a planar embedding of the graph G on point set S such that every directed edge $e \in E(G)$ from point (x_1, y_1) to point (x_2, y_2) can have at most one bend at a point (x_3, y_3) where $y_1 < y_3 < y_2$.

Theorem 1. *Every st -outerplanar graph G admits a 1-bend point-set embedding on every one-sided convex point set S .*

The proof consists of the following two theorems. The first part was proved jointly with colleagues. The idea of the main proof is that, first, it is necessary to make a transition from the graph to its TBE, and then, according to the resulting embedding, embed the graph on a set of points. Theorem 2 shows that if a graph (not necessarily st -outerplanar) has a nice TBE, then we can embed the graph with the necessary conditions. The main proof of this paper is formulated in Theorem 3 and proved in Section 5.

Theorem 2. *Let $G = (V, E)$ be a planar graph. If G admits a nice topological book embedding γ , then G admits a 1-bend point-set embedding on every one-sided convex point set.*

Theorem 3. *Every st -outerplanar graph G has a nice monotone topological book embedding.*

3 Preliminaries

Let G be an internally-triangulated st -outerpath. Let f_1, \dots, f_h be the ordered list of faces forming the path G^* . An **st -fan decomposition** of an outerpath G is a sequence of $s_i t_i$ -fans $F_i \subset G$, with $i = 1, 2, \dots, k$, such that:

1. F_i is incrementally maximal, i.e. let $F_i = \cup_{j=i_1}^{i_s} f_j$, then:
 - or $F_i \cup f_{i_s+1}$ is not an $s_i t_i$ -fan;
 - or $i_s = h$;
2. For any $1 \leq i < j \leq k$, F_i and F_j share a single edge if $j = i + 1$, which we denote by e_i , while they do not share any edge otherwise;
3. $s_1 = s$;
4. the tail of e_i is s_{i+1} ;
5. edge $e_i \neq (s_i, t_i)$;
6. $\cup_{i=1}^k F_i = G$.

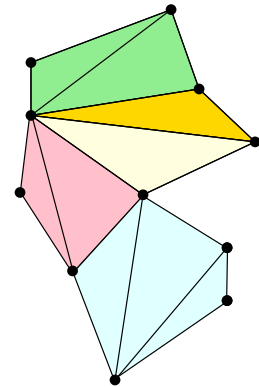


Figure 6: Example of st -fan decomposition.

Fact 1. In any fan F_i , the edge e_i is an outer edge of F_i and has tail t_i . And the edge e_{i-1} is an outer edge of F_i and has head s_i .

The **extreme faces** of an st -outerpath G are the two faces that correspond to the vertices of G^* having degree one. An st -outerpath G is **primary** if and only if the path forming G^* has one extreme face incident to s and one extreme face incident to t . In the proof we utilize the following results.

Lemma 1 (7). Every primary internally-triangulated st -outerpath G admits an st -fan decomposition.

Lemma 2. Every internally-triangulated st -outerplanar graph G can be decomposed into a primary st -outerpath G^o and multiple single source and single sink one-sided outerplanar graphs.

Proof. Consider the weak dual graph G^* of the graph G . Let f_s and f_t be some faces incident to s and t respectively. Since G is an outerplanar graph, G^* is a tree. Then, there exists only one path P in G^* from f_s to f_t . The graph $G^o = \cup_{f \in P} f$ is a primary st -outerpath by construction.

Fact 2. Every acyclic directed graph has at least one source and at least one sink.

To prove the fact, it suffices to consider the vertices that must be embedded in the highest point and the lowest point of the set. These vertices are, respectively, a sink and a source.

Each outer edge (u, v) of G^o potentially split graph G into two parts: an outerplanar graph consisting G^o and outerplanar graph G' . By Fact 2 graph G' has at least one sink and at least one source. Consider set of vertices of G' except $\{u, v\}$. We call this set V' . Note that when the graph G is divided, all edges incident to the vertices V' are preserved. And since the graph G has only one source and one sink, different from the vertices from the set V' , none of the vertices from V' is a source and a sink of the graph G' . Hence, the candidates for the source and the sink in the graph G' are only the vertices u and v . There is also an edge between the vertices u and v , which is outer in the graph G' . Then G' is a single source and single sink one-sided-outerplanar graph with source u and sink v . \square

Such one-sided-outerplanar subgraphs we call **appendages**. The edge (x, y) we call **attachment edge**. Di Battista and Tamassia (6) prove that every upward planar graph G can be augmented, by only introducing edges, to an upward planar triangulation. Thus, we can assume that G is internally triangulated.

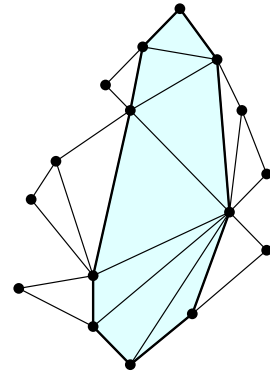


Figure 7: Primary st -outerpath from st -outerplanar graph.

Consider some outerplanar graph G . Assume that by Lemma 2 we split G into primary st -outerpath G^o and multiple appendages. In the proof of Lemma 2, we took arbitrary faces that incident to s and t . It follows from this that different primary st -outerpaths can be cut from the same graph G .

Consider st -fan decomposition F_1, \dots, F_k of the graph G^o . Consider fan F_1 . This fan can potentially have a different number of vertices, relative to the edge (s_1, t_1) . When constructing G^o , we choose a face f_s containing the edges (s_1, t_1) and e_1 . Then the edge (s_1, t_1) for the fan F_1 is outer. Then, for simplicity, we can assume that F_1 is one-sided (fig. 8). Similarly, for the fan F_k , we can choose face incident to t so that F_k is one-sided.

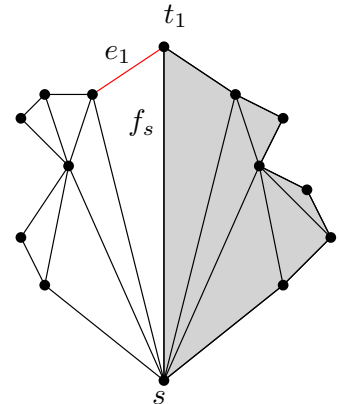


Figure 8: Building of one-sided F_1 .

We also often use the following lemma for embedding of appendages and following fact for proof of Theorem 3.

Fact 3. *Edge e_i for each i is not an attachment edge.*

Lemma 3 (7). *Every one-sided-outerplanar graph can be embedded in one page.*

4 Nice topological book embedding

This section is devoted to the proof of Theorem 2. Consider a graph $G = (V, E)$, where $|V| = n$. Consider a nice monotone topological book embedding γ of graph G . Consider also some one-sided convex set of points S ($|S| = n$).

Recall that γ can have S -edges that intersect the spine at most once. Let get dummy vertices of the graph, which correspond to the intersection of the S -edge and the spine. Let the set of basic vertices and dummy vertices be denoted by V' and let $|V'| = n'$. Let the vertices V' be ordered according to the embedding on the spine and $V' = \{v_1, \dots, v_{n'}\}$. We add dummy points to set S so that the new set of points S' has size n' and S' is still one-sided. Let the points of the set $S' = \{p_1, p_2, \dots, p_{n'}\}$ be ordered in ascending order of the y -coordinate. Then each vertex from V' corresponds to a point from S' . When adding dummy vertices, we require that the point p_i is a dummy if and only if the vertex v_i is the dummy.

Now, let the left page, on which it is allowed to cover S sub-edges, be nested inside the convex hull $CH(S')$, and the right page behind the convex hull of the point set S' . Inside $CH(S')$ all edges are drawn as straight-line segments. Since the edges did not intersect in TBE, the edges also do not intersect in the new embedding, since the set of points S' is convex. All the edges of the other page behind the convex hull $CH(S')$ are embedded with one bend.

Potentially, it can turn out to be a 2-bend embedding. Suppose we removed all the dummy points. Then one bend will be outside the convex hull and one bend may occur in the place where the dummy point used to be. Let there be a S -edge (u, v) in TBE. Let the bend points be the points p_1 (when the dummy top is removed) and p_2 (outside the convex hull). In order for there to be no bend at the point p_1 , it is necessary to have the same slope for the segments (u, p_1) and (p_1, p_2) .

Therefore, embedding consists of the following steps (Fig. 9):

1. Embedding the left page inside the convex hull $CH(S')$ (red).
2. Embedding all S -sub-edges of the right page (blue).
3. Embedding all edges that are located inside some S sub-edge on the right page (green).
4. Embedding all edges that are not located inside a S sub-edge on the right page (orange).

Step 1. All edges and sub-edges of the left page embed inside the convex hull $CH(C)$ as straight segments. Since the vertices of the graph have the same order on the set S' as on the spine, the drawn edges do not intersect.

Step 2. Let there be some S -edge (u, v) , which is divided into two sub-edges (u, c) and (c, v) . Let the points into which the vertices u, c, v are embedded are p_u, p_c, p_v , respectively. W. l. o. g., let (u, c) lie on the left page and have already been drawn in step 1. Let us draw a line l_1 containing the segment (p_u, p_c) . We also draw a line l_2 containing the point p_v and not intersecting $CH(S')$. Then the lines intersect outside the convex hull at some point p . Hence, the sub-edge (c, v) can be drawn as the union of the segments (p_c, p) and (p, p_v) . The resulting S -edge has exactly one bend. Moreover, the bend is located at the point p , which, by construction, satisfies the condition of location in height: the y -coordinate of the point p is between the y -coordinates of the points p_c and p_v .

Since TBE is nice, all sub-edges on the right page do not overlap. This means that for any two sub-edges (u_1, v_1) and (u_2, v_2) constructed at this step, it is true that either $u_1 < v_1 < u_2 < v_2$ or $u_2 < v_2 < u_1 < v_1$ in order of y -coordinates. This means that no two sub-edges intersect.

Step 3. Consider some sub-edge (u, v) of a S -edge. Let there be some edges inside it. Consider some edge (a, b) among them. Let the sub-edge (u, v) on the plane consist of two segments (p_u, p) and (p, p_v) with slopes σ_1 and σ_2 respectively. Then we construct the edge (p_a, p_b) as follows. Let us draw a straight line with slope σ_1 from the point p_a , and draw a straight line with slope σ_2 from the point p_b . The lines intersect outside the convex hull at some point z . The

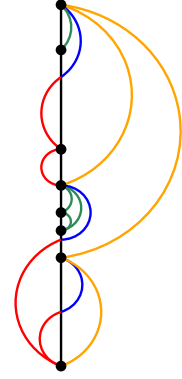


Figure 9: 4 steps for embedding of nice TBE.

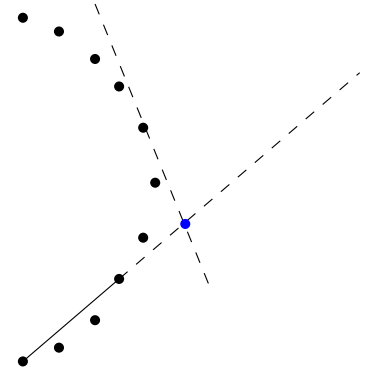


Figure 10: Step 2: building lines l_1 and l_2 .

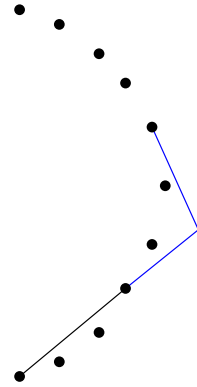


Figure 11: Step 2: building sub-edge (c, v) .

edge (p_a, p_b) is the union of the segments (p_a, z) and (z, p_b) . Let do a similar construction with all edges inside the sub-edge (u, v) . All constructed edges are not intersect the edge (u, v) and have exactly 1 bend. However, if among these edges there are edges with the same endpoint, then they intersect in the embedding. It is necessary to fix a sufficiently small $\epsilon > 0$ and correct the slope of the constructed edges. That is, slightly rotate the edges by ϵ in the right direction so that they do not intersect. See fig. 12 and fig. 13.

Step 4. All remaining edges do not lie under any sub-edge. Consider σ , the largest absolute value among all the slopes of the edges constructed at steps 2 and 3. Take the value $\sigma' > \sigma$. Consider some undrawn edge (u, v) . Let us construct a line from the point p_u with slope $+\sigma'$ and a line from the point p_v with slope $-\sigma'$. The lines intersect at some point p . Hence, the edge (u, v) can be drawn as the union of (p_u, p) and (p, p_v) . Let do this for all the remaining edges.

If some of the edges constructed at this step have the same endpoints, then these edges intersect. However, this can be corrected similarly to step 3. It is necessary to slightly rotate each edge in the right direction so that there are no more intersections.

5 Outerplanar st -graph

Let P be a path in G^* from face incident to s to face incident to t . Denote $G^o = \cup_{f \in P} f$. Consider the st -fan decomposition F_1, F_2, \dots, F_k of the graph G^o . Recall that, by the remarks in section 3, we can choose a path P such that F_1 and F_k are one-sided. Denote by G_i^o the union of the F_1, \dots, F_i . If edge (x, y) belongs to fan F_i , we say that corresponding appendage is **located at a height i** . By G_j ($1 \leq j \leq k$) denote the union of G_j^o and all appendages at height j . It is true that

$$\cup_{i=1}^k G_i = G_k = G.$$

The proof is by induction on G_i ($1 \leq i \leq k$). Notice that we first embedded G_i^o and then augment it to G_i . We build sequentially a TBE for G_i while preserving the following invariants:

- (\mathcal{I}_1) For each F_i , the edge e_i that separates F_i and F_{i+1} is free in topological book embedding (fig. 14).
- (\mathcal{I}_2) Let $e_i = (u_i, v_i)$ in topological book embedding of G_i . Then there are no other edges (u, v) on the same page such that $u_i \leq u \leq v \leq v_i$.
- (\mathcal{I}_3) Embedding of G_i is nice on both pages. Moreover, if F_i has an S -edge that intersects the spine at the point z_i , and the edges $e_i = (u_i, v_i)$, then in the TBE the vertices u_i and v_i are above the point z_i .

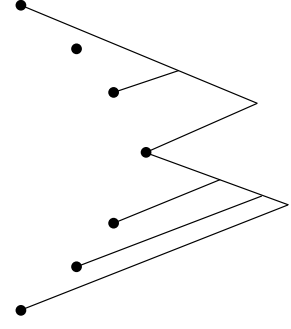


Figure 12: Step 3, 4: before rotation.

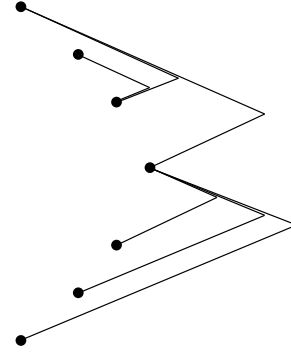


Figure 13: Step 3, 4: after rotation.

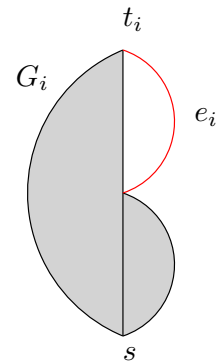


Figure 14: Invariant.

We also do the following for convenience. Let TBE come from the previous step of induction. The edge e_{i-1} can be on the left or right page. For simplicity, we assume that the edge e_{i-1} lies on the right page. If this is not the case, then TBE need to be mirrored. Since we require that the embedding be nice for both pages, mirroring the TBE is a legitimate action.

First, consider fans F_i from st -fan decomposition. We have 2 cases depending on whether e_i and e_{i-1} lie on different sides of (s_i, t_i) or not and 1 special case.

Case 1: Special case.

By Fact 1 s_i is a head of e_{i-1} and t_i is a tail of e_i . Also by definition $e_i \neq (s_i, t_i)$, therefore we have 1 special case, where $e_{i-1} = (s_i, t_i)$. Then F_i is a one-sided, since e_{i-1} is an outer edge of fan. Since fan is one-sided, there is a path of the outer face of F_i that does not contain the edge (s_i, t_i) . Let $s_i, u_1, \dots, u_m, t_i$ be such path. Since t_i is a tail of e_i and e_i is an outer edge, $e_i = (u_m, t_i)$ (fig. 15). In this case, fan is a **triangle**. When the path P passes through e_{i-1} , it arrives a face $\langle s_i, t_i, u_m \rangle$. Therefore, this face contains the edge e_i . This means that the path P must immediately exit through the edge e_i , since it is impossible to leave face $\langle s_i, t_i, u_m \rangle$, walk along some another faces, and then return to the face $\langle s_i, t_i, u_m \rangle$.

Case 2: Let e_i and e_{i-1} lie on the same side of (s_i, t_i) .

In this case F_i is also one-sided. Let $s_i, u_1, u_2, \dots, u_m, t_i$ are vertices on the outer face of F_i . Then $e_i = (u_m, t_i)$ and $e_{i-1} = (s_i, u_1)$. The path P passes from the previous fan to the current fan along the edge e_{i-1} to the face containing the vertices s_i and u_1 , that is, to the face $\langle s_i, u_1, u_2 \rangle$. Further, the path P successively passes through all the faces of the current fan until it arrives the final face $\langle s_i, t_i, u_m \rangle$ containing the edge e_i . From the face $\langle s_i, t_i, u_m \rangle$ the path P passes to the next fan along the edge e_i . We call this **right one-sided fan**.

Case 3: Let e_i and e_{i-1} lie on the different side of (s_i, t_i) .

Let $s_i, u_1, u_2, \dots, u_m, t_i$ and $s_i, v_1, v_2, \dots, v_l, t_i$ be two paths in G from s_i to t_i of the outer face F_i . Consider a non-one-sided fan whose e_i and e_{i-1} lie on different sides with respect to the edge (s_i, t_i) . By the Fact 1 $e_{i-1} = (s_i, v_1)$ and $e_i = (u_m, t_i)$. Let the fan be divided by the edge (s_i, t_i) into two halves. Denote by f_{i_1}, \dots, f_{i_b} the faces of the fan of the half where the edge e_{i-1} lies. The dual path P starts from face $\langle s_i, v_1, v_2 \rangle$, passes along all faces f_{i_1}, \dots, f_{i_b} , and then continues in the second half of fan to the face $\langle s_i, t_i, u_m \rangle$. The face $\langle s_i, t_i, u_m \rangle$ contains the edge e_i through which the path P goes to the next fan, fig. 17. We call this **two-sided fan**.

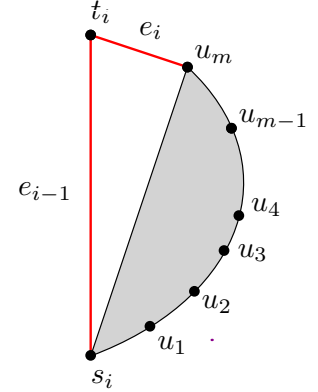


Figure 15: F_i is a triangle.

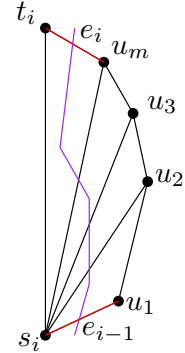


Figure 16: F_i is a right one-sided fan.

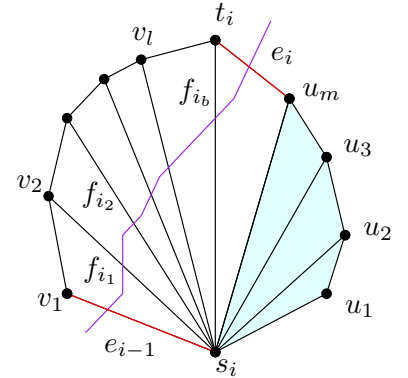


Figure 17: Two-sided fan.

Thus, to prove the theorem 4, it is necessary to consider 3 cases of fans: right one-sided, triangle and two-sided.

Base case.

As stated in section 3, we can assume that F_1 is an one-sided fan. Let on one side there are vertices x_1, \dots, x_m . The edge e_1 has a sink t_1 , then $e_1 = (x_m, t_1)$. By the definition of st -fan decomposition, the fan F_1 has no edge e_0 . In addition, we define the edge $e_0 = (s, x_1)$.

Change our graph G : add a dummy vertex s' and draw the edges (s', s) and (s', x_1) . We call the new graph G_{new} . Note that since the vertex s in the graph G is source, then the new vertex s' is a source in the graph G_{new} . Note that if a new face $\langle x_1, s, s' \rangle$ is added to the graph G^o , then the $s't$ -primary outerpath of the graph G_{new} is obtained. Hence, embedding of the graph G_{new} is equivalent to embedding of the graph G in which the vertex s' has been removed.

Denote $G_{new}^o = G^o \cup \langle x_1, s, s' \rangle$. Then the $s't$ -fan decomposition of the graph G_{new}^o is the st -fan decomposition of the graph G combined with $F_0 = \langle x_1, s, s' \rangle$. Thus, it suffices to prove the base case for F_0 .

Fan F_0 has no appendages and consists of only three edges: (s', s) , (s', x_1) , (s, x_1) . Let embed these three vertices in the only possible order: s', s, x_1 . Let draw the edge (s', x_1) on the left page, and the edges (s', s) , (s, x_1) on the right page (fig. 19). It is not difficult to verify that such an embedding satisfies all the invariants $(\mathcal{I}_1, \mathcal{I}_2, \mathcal{I}_3)$.

Induction step.

Fact 4. Consider some appendage H with vertices u_0, \dots, u_m . Let the TBE already contain vertices u_0 and u_m , and let the edge (u_0, u_m) be drawn. Let there be no other vertices between the vertices u_0 and u_m . Then in the TBE we can place the H appendage on one page.

Fact 4 is a refinement of Lemma 3. The idea is that we first draw a primary outerpath from the graph G containing all attachment edges. Sometimes there are no other vertices under these attachment edges. For such cases, we use Fact 4. However, there may be cases where an attachment edge is drawn, but there are vertices and edges underneath it. For such cases, we use the following lemma.

Lemma 4. Consider some appendage H with vertices u_0, u_1, \dots, u_m . Let the TBE γ already contain vertices u_0 and u_m and edge (u_0, u_m) . Let there be other vertices in TBE between vertices u_0 and u_m , which we call B . Let the vertex u_m not be connected to any vertex from B . Consider b_t , the topmost vertex of B . Then the appendage H can be embedded so that u_1, \dots, u_{m-1} are above b_t . Similarly, if the vertex u_0 is not connected to any vertex from B . Consider b_s , the lowest vertex in B . Then the appendage can be embedded so that u_1, \dots, u_{m-1} are below b_s .

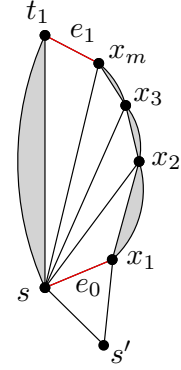


Figure 18: Base case.

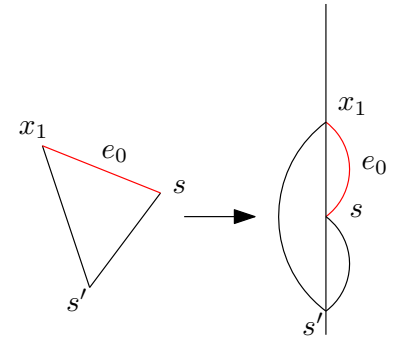


Figure 19: Base case in TBE.

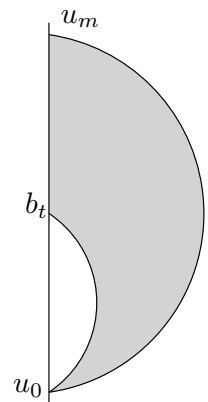


Figure 20: Lemma 4.

Note that the topological book embedding potentially has S -edges. Since the proof is focused on only one of the two pages, for convenience we assume that the intersections of the S -edge and spine are also TBE vertices. We need this clarification in the further analysis of the case when F_i two-sided fan.

Proof. We only prove the case when the vertex u_m is not connected to any vertex from B . The case when the vertex u_0 is not connected to any vertex from B is symmetric. We consider only the page on which the edge (u_0, u_m) is drawn, the second page does not affect the embedding of the appendage. If there is no edge from vertex u_0 to vertex b_t , then we create a dummy edge (u_0, b_t) on the same page. Then all the edges, which connect the set of vertices $B \cup \{u_0\}$, lie strictly inside the edge (u_0, b_t) , since the vertex u_m is not connected to any vertex from B . It turns out a funnel in which we put the H appendage.

We retract all vertices $B \cup \{u_0\}$ into one vertex u_0 . We call the resulting TBE γ_r . Then the edge (u_0, u_m) in γ_r does not contain any vertices inside. Use the Fact 4 and put the appendage H inside the edge (u_0, u_m) . Let E' be all new edges and E'_0 be all new edges that incident to u_0 . Now, in the original TBE γ , above the vertex b_t , we can put the vertices u_1, \dots, u_{m-1} , as it is in γ_r . All edges $E' \setminus E'_0$ are transferred to the TBE γ . All edges of E'_0 are edges between $\{u_1, \dots, u_{m-1}\}$ and u_0 . All edges of E'_0 can be transferred to γ , since these edges do not intersect with any edge lying under the edge (u_0, b_t) . \square

Embedding of a right one-sided fan.

Let the vertices go in the order $s_i, v_1, \dots, v_n, t_i$. The possible attachment edges are $(v_1, v_2), \dots, (v_{n-1}, v_n)$ and (s_i, t_i) . The vertex order $s_i, v_1, \dots, v_n, t_i$ is unique because F_i is one-sided. All edges $E(F_i) \setminus e_i$ are drawn on one page, and e_i on the other. It remains only to embed the appendages. The vertices v_1, v_2, \dots, v_n lie sequentially on the spine, so the corresponding appendages can be embed under attachment edges according to the Fact 4. Only the appendage attached to the edge (s_i, t_i) remains. Let the appendage have vertices $s_i, u_1, u_2, \dots, u_m, t_i$. Vertices s_i and t_i are already embedded. Consider a page on which (s_i, t_i) is drawn. Vertex t_i is not connected to any other vertex. Hence, this appendage satisfies the conditions of Lemma 4. We embed the appendage corresponding to the (s_i, t_i) edge between v_n and t_i into this page. Then the vertices on the spine are going in the following order: $s_i, v_1, \dots, v_p, u_1, \dots, u_m, t_i$. See fig. 22.

In this case, $e_i = (v_n, t_i)$ is a free edge (\mathcal{I}_1), since other edges on the same page can only be from G_{i-1}^o and they are located only below the vertex v_1 (v_1 is the top in G_{i-1}^o), which is below the vertex v_n . It

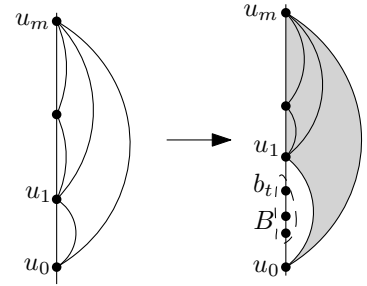


Figure 21: Proof of lemma 4.

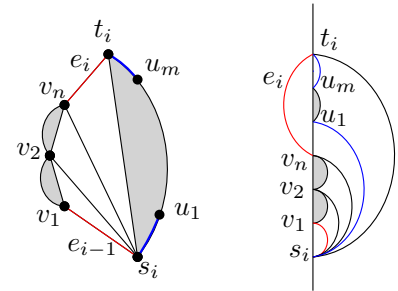


Figure 22: If F_i is a right one-sided fan.

should be noted that all drawn edges of F_i with appendages at a height i (except e_i) are on the page where the edge (s_i, t_i) is located. Then by construction, on the opposite page there is an edge $e_i = (v_n, t_i)$ satisfying the condition (\mathcal{I}_2) . It is worth noting that e_i and e_{i-1} are on different pages and there are no S -edges. Hence, the niceness of embedding G_{i-1} implies the niceness of embedding G_i (\mathcal{I}_3).

Embedding of a two-sided fan.

Fan is divided into two halves of vertices with respect to the edge (s_i, t_i) . The half containing the edge e_{i-1} can have multiple vertices. Let the vertices of this half be in the order x_1, x_2, \dots, x_p . The second half containing the edge e_i has a single vertex u_m . Then possible attachment edges are $(x_1, x_2), (x_2, x_3), \dots, (x_{p-1}, x_p), (x_p, t_i)$ and (s_i, u_m) (fig. 23).

We embed such a fan as follows (see fig. 24). Vertex order is $s_i, x_1, \dots, x_p, u_m, t_i$. All edges from s_i to other vertices of fan x_1, x_2, \dots, x_p (except t_i) are on the same page as the edge e_{i-1} . The edges of the outer face $(x_1, v_2), (x_2, x_3), \dots, (x_{p-1}, x_p)$ and the edge $e_i = (u_m, t_i)$ are connected on the same page. The edge (x_p, t_i) on the second page. The edge (s_i, t_i) is drawn as an S -edge that intersects the spine between the vertices x_p and u_m . Moreover, the bottom sub-edge of (s_i, t_i) (which ends with s_i) is located on the same page as the edge e_{i-1} , and the upper sub-edge of (s_i, t_i) is on a page other than the page of edge e_i .

Edges $(t_i, x_1), (x_1, x_2), \dots, (x_{p-1}, x_p)$ potentially attachment. However, the vertices t_i, x_1, \dots, x_p are consecutive on the spine. Hence, under the given attachment edges, one can embed the corresponding appendages according to Fact 4. Complexity arises only with attachment edges (s_i, u) and (x_p, t_i) . Let these edges correspond to the appendages H_1 and H_2 .

Let S -edge (s_i, t_i) intersect the spine at some point z in F_i embedding. There is an appendage H_1 with vertices $s_i = u_0, u_1, \dots, u_m$ such that s_i and u_m are already embedded in TBE, and only two edges are drawn from the vertex u_m : (s_i, u_m) and (u_m, t_i) . Then this appendage satisfies the conditions of Lemma 4. Then H_1 can be embedded in TBE so that the vertices go in the following order: z, u_1, \dots, u_m .

There is an appendage H_2 attached to the edge (x_p, t_i) with vertices $x_p = v_0, v_1, v_2, \dots, v_n, t_i$. Vertices x_p and t_i are already embedded in TBE. There are only one edge that have head x_p . Then appendage H_2 satisfies the condition of Lemma 4, then H_2 can be embedded in TBE so that the vertices go in the following order: x_p, v_1, \dots, v_n, z .

The edge $e_i = (u_m, t_i)$ is free because the edge (x_p, t_i) , corresponding to this edge H_2 and S -sub-edge (z, t_i) are on the opposite page by Lemma 4. All other vertices of this fan are located strictly lower than

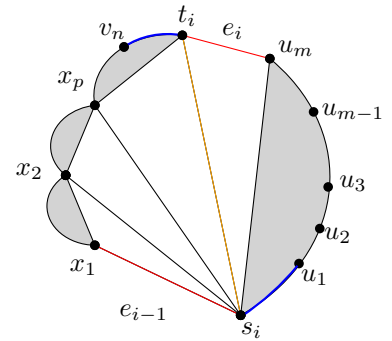


Figure 23: When F_i is a two-sided fan in G .

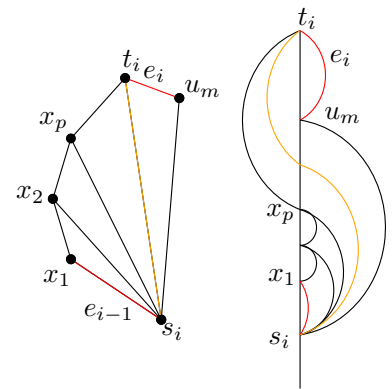


Figure 24: Embedding of a two-sided fan.

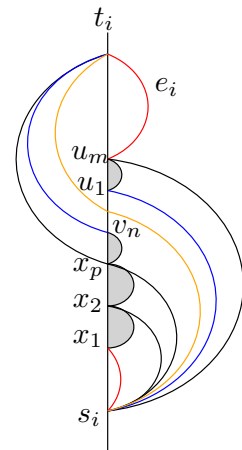


Figure 25: Embedding of a two-sided fan F_i in TBE.

the vertex u_m , therefore, the edge between these vertices also does not cover the edge e_i (\mathcal{I}_1). Also, the vertices u_m and t_i are consecutive, so this case also satisfies the second invariant (\mathcal{I}_2).

Let us prove that niceness of the G_i . Since G_{i-1}^o satisfies the invariant (\mathcal{I}_3), it suffices to check that the S -edge (s_i, t_i) does not cover a possible S -edge below. Let the S -edge of the fan F_i intersect the spine at the point z_i . Let F_{i-1} have an S -edge (u_{i-1}, v_{i-1}) . Then, since $e_{i-1} = (s_i, x_1)$, the S -edge intersects the spine at the point z_{i-1} lying below the vertex s_i . It is obvious that S -sub-edge (u_{i-1}, z_{i-1}) lies strictly below the S -edge of F_i , and hence does not cover any S -sub-edge of the F_{i-1} fan and vice versa, no S -sub-edge of the F_{i-1} fan covers the S -sub-edge (u_{i-1}, z_{i-1}) . Since F_i satisfies the (\mathcal{I}_1) invariant, no edge covers e_{i-1} , hence the S -sub-edge is located on the opposite side of e_{i-1} page. Hence S -sub-edges (u_{i-1}, z_{i-1}) and (s_i, z_i) are on opposite pages (and cannot cover), and S -sub-edges (u_{i-1}, z_{i-1}) and (z_i, t_i) on the same page. But by the construction of $z_{i-1} \leq s_i \leq z_i$, these S -sub-edges do not cover.

Embedding of a triangle.

Let s_i, t_i and u are vertices of F_i . On the spine, these vertices must be embedded in the order s_i, u, t_i . Edges $e_{i-1} = (s_i, t_i)$ and $e_i = (u, t_i)$ are not attachment. The third edge (u, s_i) can potentially be attachment (fig. 26). We embed the edge $e_i = (u, t_i)$ so that the vertices u and t_i are consecutive.

The idea of the triangle case is to be able to flip the edge e_{i-1} to the opposite page. We consider two cases: when the vertices of the e_{i-1} edge are consecutive in the embedding G_{i-1} (*simple case*) and when the vertices are not consecutive (*hard case*). Note that the simple case includes options if F_{i-1} is a triangle or a one-sided fan. The hard case is if F_{i-1} is a two-sided fan.

Simple case. When F_i is a triangle and F_{i-1} is a two-sided fan or a triangle: the idea of turning the edge e_{i-1} to the second page work without problems. Let $e_{i-1} = (s_i, t_i)$, s_i and t_i are consecutive. We rotate the edge e_{i-1} to the second page, and draw the other two edges e_i and (s_i, u) in sequence on the page where the edge e_{i-1} used to be (fig. 27). Now we need to look carefully on embedding of appendage. If F_i is a triangle the only appendage is attached to the edge (s_i, u) . After the embedding G_i^o , the vertices s_i and u are consecutive. Hence, by Fact 4, the appendage with vertices $u_1, u_2, u_m = u$ can be embedded under the edge (s_i, u) (fig. 28). The \mathcal{I}_2 invariant is obviously preserved, since in this case the vertices of G_i^o are $V(G_{i-1}^o) \cup \{u\}$, therefore, there are no other vertices and edges between the vertices u and t_i . Also, the edge e_i is not covered by any other edge, because the edge e_{i-1} is not covered by any other edge in G_{i-1}^o (\mathcal{I}_1). There are no S -edges, then (\mathcal{I}_3)

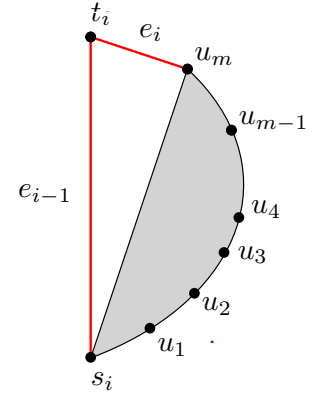


Figure 26: Appendage of a triangle.

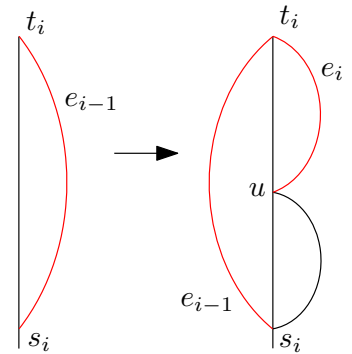


Figure 27: Embedding of F_i in TBE of G .

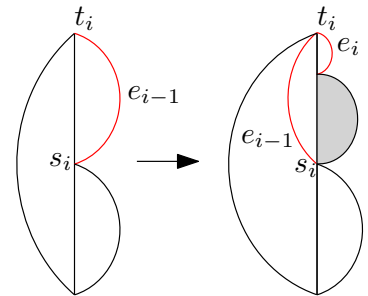


Figure 28: F_i is a triangle: simple case.

invariant is also preserved.

Hard case. Case where F_i is a triangle and F_{i-1} is a right one-sided fan is difficult in that it is impossible to rotate the edge of e_{i-1} : from right one-sided fan F_{i-1} there could be an appendage H' . Let H' has vertices v_1, \dots, v_n .

Step 1. Consider an appendage H with vertices s_i, u_1, \dots, u_m , which is attached to the attachment edge (s_i, u_m) . Vertex u_m is not yet embedded in TBE. Place it anywhere above v_n . Since there is an invariant (\mathcal{I}_2) , there are no edges under the edge e_{i-1} on the same page. Therefore, the appendage H satisfies the condition of Lemma 4. Now we can embed the H appendage. Since $v_n < u_1$, the H' appendage is located strictly below the H appendage, so there is a gap between them. Strictly speaking, each appendage is located in its own funnel, and there is a distance between the funnels.

Step 2. Take a point q in this gap. Delete the old edge e_{i-1} and redraw it as an S -edge that intersects the spine at the point q . It remains only to embed the edges (s_i, u_m) and (u_m, t_i) . Vertices s_i, u_m, t_i are already in TBE. Also, the S -edge has a point of intersection below the vertex u_m . Therefore, these edges can be drawn on the same page where the e_{i-1} edge used to be (fig. 30). Then the edge e_i is also free, similar to the case where F_{i-1} is a triangle or a two-sided fan (\mathcal{I}_1) . And also the vertices u_m and t_i are consecutive. Then this case satisfies the condition (\mathcal{I}_2) .

In this case, an S -edge (s_i, t_{i-1}) is formed. Use the fact that F_{i-1} is a one-sided fan. When constructing F_{i-1} , no S -edge was formed. But it could have been formed during the construction of F_{i-2} . Then the S -edge of F_{i-2} can have tail at $s_i = t_{i-2}$ or lower. This means that the old S -edges do not intersect with the new S -edge.

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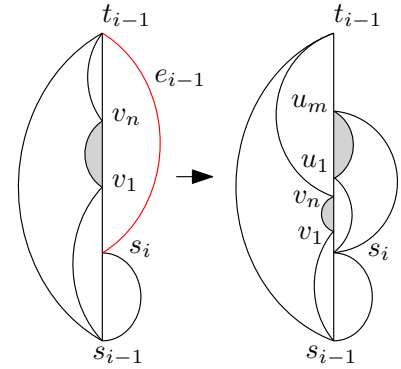


Figure 29: F_i is a triangle, F_{i-1} is a one-sided fan: Step 1.

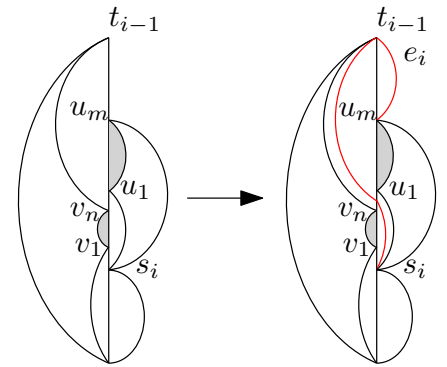


Figure 30: F_i is a triangle, F_{i-1} is a one-sided fan: Step 2.

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