

TRIVIAL CYCLES IN GRAPHS EMBEDDED IN 3-MANIFOLDS

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ABSTRACT. A cycle C of a graph Γ embedded in a 3-manifold M is said to be trivial in Γ if it bounds a disk with interior disjoint from Γ . Let e be an edge of Γ with ends on C . We will study the relation between triviality of cycles in Γ and that of $\Gamma - e$ and Γ/e . Let C_1 be one of the two cycles in $C \cup e$ containing e . The main theorem says that if C is trivial in $\Gamma - e$ and C_1/e is trivial in Γ/e , then either C or C_1 is trivial in Γ . Some applications to cycle trivial graphs will be given in Section 2.

1. THE MAIN THEOREM

If L is a link in S^3 , then a component K of L is said to be trivial if it bounds a disk in S^3 which is disjoint from the other components of L . This can be generalized to graphs in 3-manifolds. Recall that a cycle C of a graph Γ is an embedded circle. Suppose that Γ is a graph in a 3-manifold M . Then C is called a *trivial cycle in Γ* if it bounds a disk D in M with interior disjoint from Γ . Of course this depends on Γ and the way it is embedded in M , so we may also say that C is trivial with respect to (M, Γ) .

Suppose e is a non loop edge in Γ . Then we have a subgraph $\Gamma - e$ in M , and a quotient graph Γ/e in $M/e \cong M$. We are interested in the problem of how the triviality of cycles in Γ is related to that of $\Gamma - e$ and Γ/e . If e is disjoint from C , then clearly C is trivial in Γ if and only if it is trivial in Γ/e . When e has one end on C the problem was studied in [12], and it was shown that if C is trivial in both Γ/e and $\Gamma - e$, then it is trivial in Γ .

In this paper we study the case that $C \cap e = \partial e$. Let C_1 be one of the two cycles in $C \cup e$ that contain e . In this case C/e is no longer a cycle, but C_1/e is a cycle in Γ/e . Consider the following examples.

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Example 1.1. Let C be the cycle $e_1 \cup e_2$ in Figure 1. C is trivial in $\Gamma - e$, but it is nontrivial in Γ .

Example 1.2. For the graph Γ in Figure 2, let $C_1 = e_1 \cup e$. Then C_1/e is trivial in Γ/e , but C_1 is nontrivial in Γ .

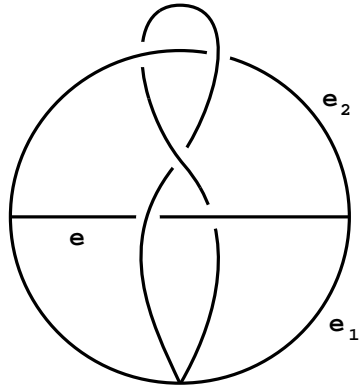


Figure 1

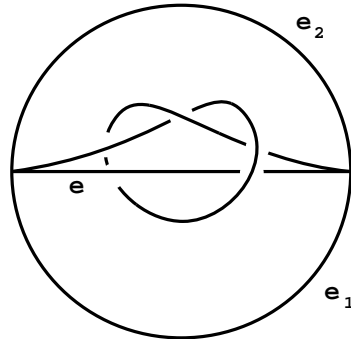


Figure 2

The main result of this paper is Theorem 1.4, which says that these two cases can not happen simultaneously: If C is trivial in $\Gamma - e$, and C_1/e is trivial in Γ/e , then either C or C_1 has to be trivial in Γ . In this section we will prove this theorem. Some applications will be given in the next section.

Consider a graph Γ in a 3-manifold M . Let $N(\Gamma)$ be a regular neighborhood of Γ . Define the exterior of Γ to be $E(\Gamma) = M - \text{Int}N(\Gamma)$. If v_1, \dots, v_r are the vertices of Γ , and e_1, \dots, e_t the edges, then $N(\Gamma)$ is a union of $N(v_i)$ and $N(e_j)$, where $N(e_j)$ is chosen to be small enough so that each $N(e_j)$ intersects $\cup N(v_i)$ in two disks, and all the disks in $\{N(v_i) \cap N(e_j) \mid j = 1, \dots, t\}$ are mutually disjoint. Let $\delta(v_i)$ be the punctured sphere $\partial N(v_i) - \cup \text{Int}N(e_j)$, and let $\delta(e_j)$ be the annulus $\partial N(e_j) - \cup \text{Int}N(v_i)$.

If Γ' is a subgraph of Γ , define $\delta(\Gamma')$ to be the union of $\delta(t)$, where t ranges over all vertices and edges of Γ' . In particular, if C is a cycle, then $\delta(C)$ is a punctured torus. If C is a trivial cycle in Γ , then it bounds a disk D whose intersection with $E(\Gamma)$ is a disk D' . The disk D can be chosen so that $\partial D' \subset \delta(C)$, and for each edge e_j of C , $\partial D'$ intersects $\delta(e_j)$ at exactly one essential arc. Conversely, if there is a disk D' in $E(\Gamma)$ satisfying these conditions, then D' can be extended to a disk D in M so that $D \cap \Gamma = \partial D = C$. Therefore we have

Lemma 1.3. *A cycle C in Γ is trivial if and only if there is a disk D' in $E(\Gamma)$ so that $\partial D' \subset \delta(C)$, and $\partial D' \cap \delta(e_j)$ is an essential arc of $\delta(e_j)$ for all edges e_j of C . \square*

Now let e be a non loop edge of Γ . Consider the quotient graph Γ/e . We use $[e]$ to denote the image of e in Γ/e . Suppose e is incident to the vertices v_1 and v_r . We identify the regular neighborhood $N(\Gamma/e)$ with $N(\Gamma)$ by letting $N([e]) = N(e) \cup N(v_1) \cup N(v_r)$. Under this identification we have $E(\Gamma) = E(\Gamma/e)$ and $\delta([e]) = \delta(e) \cup \delta(v_1) \cup \delta(v_r)$.

Theorem 1.4. *Let C be a cycle in Γ . Let e be a non loop edge with $e \cap C = \partial e$. Let C_1 be one of the two cycles in $C \cup e$ that contain e . If C is trivial in $\Gamma - e$, and C_1/e is trivial in Γ/e , then either C or C_1 is trivial in Γ .*

Proof. Let e_1, \dots, e_n and v_1, \dots, v_n be the edges and vertices of C , with $\partial e_i = v_i \cup v_{i+1}$, ($v_{n+1} = v_1$). Without loss of generality we may assume that $\partial e = v_1 \cup v_r$, and $C_1 = e_1 \cup \dots \cup e_{r-1} \cup e$.

By assumption C bounds a disk D in M with $\text{Int}D \cap (\Gamma - e) = \emptyset$. Let t_1, \dots, t_p be the intersection points of $e \cap \text{Int}D$, labeled successively along e . Choose D so that p is minimal. If $p = 0$, then D is disjoint from e and we are done. So we assume that $p > 0$.

The surface $P = D \cap E(\Gamma)$ is a punctured disk with boundary $\partial P = \partial_0 \cup \dots \cup \partial_p$, where ∂_i ($i \geq 1$) is the boundary of the disk in $N(e) \cap D$ that contains t_i , and ∂_0 lies on $\delta(C)$, intersecting each of $\delta(e_i)$ and $\delta(v_j)$ at an essential arc. See Figure 3, where $p = 2$.

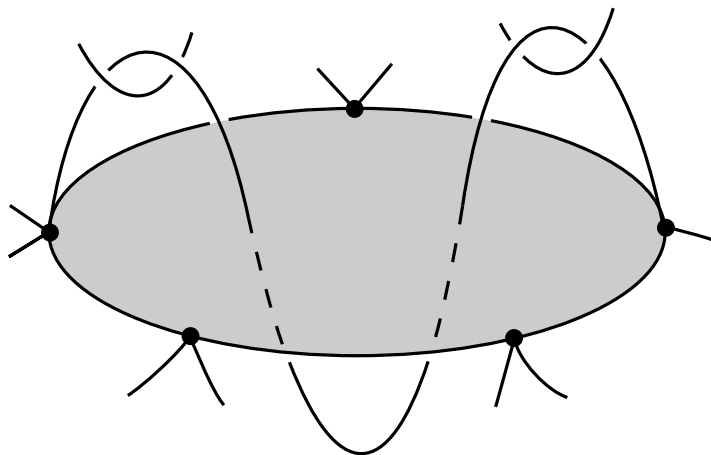


Figure 3

Now consider the cycle C_1/e in Γ/e . By assumption C_1/e is trivial in Γ/e , so it bounds a disk D_1 in $M/e \cong M$ whose interior is disjoint from Γ/e . The intersection of D_1 with $E(\Gamma) = E(\Gamma/e)$ is a disk Q . By Lemma 1.3 we may assume that $\partial Q \cap \delta(e_i)$ is an essential curve on $\delta(e_i)$ for $i = 1, \dots, r-1$. If $\partial Q \cap \delta(e)$ is also a single essential curve, then Q extends to a disk in M bounded by C_1 , and we are done. Therefore we

assume that $\partial Q \cap \delta(e)$ is a set of $q > 1$ essential arcs, each intersecting ∂_i at a single point for $i = 1, \dots, p$. The set $G = P \cap Q$ is a properly embedded 1-manifold in both P and Q . Moreover, by an isotopy we may push all the ends of G off the annulus $\delta(e_i)$, $i \geq 1$. Thus $\partial G \cap \partial_0 \subset \cup \delta(v_i)$. Choose P and Q so that $|G|$ is minimal subject to the minimality conditions of p and q . When considering G as a subset of P , we denote it by G_P . Similarly for G_Q .

CLAIM 1: G_P is a set of essential arcs in P .

Proof. This is essentially an innermost circle outermost arc argument. By surger P along disks on Q bounded by innermost circles of G_Q , we can eliminate all circle components of G_P . Similarly one can remove all trivial arcs of G_P which has ends on ∂_i with $i \geq 1$, by surger Q along disks on P cut off by such arcs.

We need to be a little careful when an outermost arc γ of G_P has ends on ∂_0 . Let Δ be the disk on P cut off by γ . Let Q_1, Q_2 be the closure of the two components of $Q - \gamma$. The point here is that, since each of ∂P and ∂Q intersect $\delta(e_i)$ in just one essential arc, one of the Q_i , say Q_1 , has the property that ∂Q_1 intersects some $\delta(e_i)$ if and only if $\partial \Delta$ does, so if we replace Q_1 by Δ , the new disk $Q' = Q_2 \cup \Delta$ still has the property that it intersects each $\delta(e_i)$ just once for $i = 1, \dots, r - 1$. We can thus replace Q by Q' to reduce $|G|$. \square

Now consider the arcs $G_Q \subset Q$. For each end x of G_Q , define a label $l(x)$ as follows. If x lies on ∂_i with $i \geq 1$, define $l(x) = i$. If x lies on $\delta(v_j)$, define $l(x) = -j$. Thus, when traveling along $\partial(Q_1)$, the labels appear as a string of the form

$$(-1)^{n_1} (-2)^{n_2} \dots (-r)^{n_r} p \dots 21 (-1)^{k_1} 12 \dots p (-r)^{k_2} \dots (-r)^{k_{q-1}} p \dots 21,$$

where $n_i, k_j \geq 0$.

CLAIM 2. If $\{l_1, l_2\}$ are the labels of an outermost arc γ of G_Q , then $l_1 = 1$ or p , and l_2 is between -2 and $-r + 1$. In particular, $n_1 = n_r = 0$, and all arcs of G_Q are parallel, having at least one negative labels on its ends.

Proof. The labels of an outermost arc must be adjacent in the above label string, so $\{l_1, l_2\}$ has the following possibilities.

- (1) $\{l_1, l_2\} = \{i, i + 1\}$, $i \geq 1$;
- (2) $\{l_1, l_2\} = \{1, -1\}$ or $\{p, -r\}$;
- (3) both l_i are negative;

(4) $\{l_1, l_2\} = \{1, 1\}$ or $\{p, p\}$;

(5) $\{l_1, l_2\} = \{1, p\}$;

(6) $l_1 = 1$ or p , and $-r + 1 \leq l_2 \leq 2$.

Note that (4) happens only if some $k_i = 0$, and (5) happens only if all $n_i = 0$.

Cases (1) – (3) are easy to rule out. If $\{l_1, l_2\} = \{i, i + 1\}$ for some $i \geq 1$, we can isotop the edge e through the outermost disk Δ on Q cut off by γ to reduce $|e \cap D|$, contradicting the minimality of p . This also works if $\{l_1, l_2\} = \{1, -1\}$ or $\{p, -r\}$. (But it does not work if $\{l_1, l_2\} = \{1, -2\}$, say, because then part of $\partial\Delta$ lies on the cycle C .) If $\{l_1, l_2\}$ are both negative, then one can surger P along Δ to obtain a new P' which has less intersection with Q . Note that $\partial P'$ still intersects each $\delta(e_j)$ just once, so it can be used to replace P .

Now assume $\{l_1, l_2\} = \{1, 1\}$. Since each positive label appears an odd number of times, some arc α of G_Q has different labels on its ends. Let Δ be the component of $Q - \alpha$ that contains the outermost arc γ . We may choose α to be extremal in the sense that the two labels of each arc of G_Q in Δ are the same. This means that each arc in Δ corresponds to a loop in G_P . If p is a label of some arc in Δ , then all positive labels appear in Δ , so each vertex of G_P has a loop based on it. But then one of these loops must be an inessential arc of G_P , contradicting claim 1. Therefore p does not appear as a label of arcs in Δ . It is now easy to see that γ is the only outermost arc in Δ , so all the arcs in Δ are parallel to each other. But this and the fact that p does not appear on Δ imply that the labels of α are the same, contradicting the choice of α . Therefore (4) can not happen.

If (5) happens, then all $n_i = 0$, so no outermost arc can be of type (6). From the label string one can see that there can be at most one type (5) arc. If G_Q has just one arc, (5) would be the same as (1), which has been ruled out. If G_Q has more than one arcs, then it has at least two outermost arcs, so the ones other than γ must be of types (1) – (4), which is impossible by the above. Therefore (5) can not happen either.

It follows that γ must be of type (6). From the label string it is clear that there are at most two such outermost arcs. Therefore all arcs of G_Q are parallel. \square

Now consider the curves in G_P . By assumption, for $i \geq 1$, ∂Q intersect each ∂_i exactly q times, $q \geq 3$, so each ∂_i is incident to q arcs of G_P . By Claim 2, all of these arcs have the other ends on ∂_0 . (Cf. Figure 4.) Therefore, there is a pair of parallel arcs b_1, b_2 on G_P , which is outermost in the sense that they cut off a disk Δ with interior disjoint from Q . Let Δ' be the disk on Q between b_1, b_2 . Form a disk $Q' = (Q - \Delta') \cup \Delta$.

One can see that Q' can be isotoped to have less than q intersection arcs with $\delta(e)$, and $\partial Q'$ intersects $\delta(e_j)$ just once for $j = 1, \dots, r - 1$. This contradicts the choice of Q , completing the proof of Theorem 1.4. \square

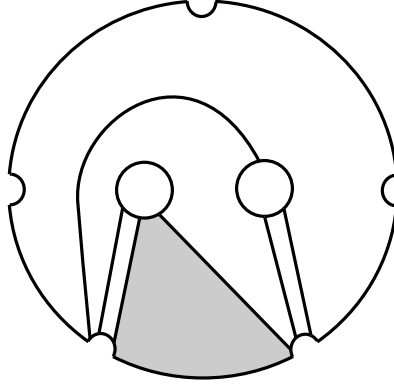


Figure 4

2. SOME APPLICATIONS

The following theorem was proved in [12].

Theorem 2.1. *Suppose Γ is a graph embedded in a 3-manifold M . Let C be a cycle in Γ , and let e be an edge of Γ with at most one end on C . If C is trivial in both $\Gamma - e$ and Γ/e , then it is trivial in Γ .*

If e has both ends on C , then C/e is a union of two cycles. The following result has a similar nature as that above. The difference is that when considering the quotient graph, we need to consider both cycles in C/e .

Corollary 2.2. *Suppose Γ is a graph embedded in a 3-manifold M . Let C be a cycle in Γ . Let e be a non loop edge of Γ such that $\partial e = e \cap C$. If C is trivial in $\Gamma - e$, and if the two cycles in C/e are trivial in Γ/e , then C is trivial in Γ .*

Proof. Let C_1, C_2 be the two cycles in $C \cup e$ that contains e . By Theorem 1.4, either C is trivial in Γ and we are done, or both C_1, C_2 are trivial in Γ . Since $C_1 \cap C_2 = e$ is connected, by Lemma 1.1 of [12], C_i bounds a disk D_i with interior disjoint from Γ , such that $D_1 \cap D_2 = e$. Let D be $D_1 \cup D_2$ with interior pushed off e , then $D \cap \Gamma = C$, therefore C is trivial in Γ . \square

A subgraph Γ' of Γ is said to be *cycle trivial in Γ* if all cycles of Γ' are trivial in Γ . When $\Gamma' = \Gamma$, we simply say that Γ is cycle trivial. The following corollary follows

immediately from Theorem 2.1 and Corollary 2.2, by applying the results to each cycle of Γ' .

Corollary 2.3. *Let Γ' be a subgraph of Γ , and let e be a non loop edge of $\Gamma - \Gamma'$. If Γ' is cycle trivial in $\Gamma - e$, and Γ'/e is cycle trivial in Γ/e , then Γ' is cycle trivial in Γ . \square*

Suppose F is a surface in the boundary of a 3-manifold X , and α a simple closed curve in F . We use X_α to denote the manifold obtained from X by attaching a 2-handle to X along α , and use F_α to denote the corresponding surface in X_α . More explicitly, $X_\alpha = X \cup_\varphi (D^2 \times I)$, where φ identifies $\partial D^2 \times I$ to a regular neighborhood A of α in F , and $F_\alpha = (F - A) \cup (D^2 \times \partial I)$. The following result was proved in [11]. When $K = \emptyset$, it reduces to Jaco's Handle Addition Lemma [2, Lemma 1]. In [11] the conclusion was stated as $|\partial D' \cap K| \leq |\partial D \cap K|$, but the proof there has actually given the following stronger version.

Proposition 2.4. *Let F be a surface on the boundary of a 3-manifold X , and K a 1-manifold in F with $F - K$ compressible in X . Let α be a simple loop in $F - K$. If F_α has a compressing disk D in X_α , then $F - \alpha$ has a compressing disk D' in X such that $\partial D' \cap K \subset \partial D \cap K$.*

Lemma 2.5. *Let Γ be a graph in a 3-manifold M which has no lens space or $S^1 \times S^2$ summand. Suppose Γ has only one vertex v and n edges e_1, \dots, e_n . Then Γ is cycle trivial if and only if $\partial N(\Gamma')$ is compressible in $E(\Gamma')$ for all subgraphs $G' \neq v$ of G .*

Proof. If $n = 1$, then Γ is a knot in M . Let D be a compressing disk of $\partial N(\Gamma)$ in $E(\Gamma)$. If ∂D is not a longitude of Γ , then $N(\Gamma) \cup N(D)$ is a punctured lens space or punctured $S^1 \times S^2$, contradicting our assumption about M . Hence it can be extended to a disk in M bounded by Γ , so Γ is a trivial cycle.

Now assume that $\delta(v)$ is compressible in $E(\Gamma)$. Then a compressing disk can be extended to a sphere S in M intersecting Γ only at v , with both sides of S containing parts of Γ . Note that S must be separating because M has no $S^1 \times S^2$ summands. Let Γ', Γ'' be the subgraphs of Γ in the two sides of S . By induction they are cycle trivial, so each cycle C of Γ' bounds a disk D with interior disjoint from Γ' . Isotop D so that $D \cap S$ is a union of circles which are mutually disjoint except possibly at the point v . By doing 2-surgeries along disks in S bounded by innermost circles of $C \cap S$, we can change D to a disk with interior disjoint from $\Gamma' \cup S$, and hence disjoint from Γ . Similarly, every cycle in Γ'' is trivial in Γ .

It remains to show that if $n > 1$ then $\delta(v)$ is compressible. Let m_i be the central curve of the annulus $\delta(e_i)$. Let $F = \partial N(\Gamma)$. Let K be a maximal subset of the m_i 's such that $F - K$ is compressible. Notice that if K contains all the m_i 's, then we are done because $F - K$ retracts to $\delta(v)$. So assume that m_1 is not in K . Then $F - K$ is compressible in $E(\Gamma)$, but $F - (K \cup m_1)$ is incompressible. After attaching a 2-handle along m_1 , the surface $F_{m_1} = \partial N(\Gamma - e_1)$, and the manifold $E(\Gamma)_{m_1} = E(\Gamma - e_1)$. By induction we may assume that $\Gamma - e_1$ is cycle trivial, so the loop e_2 is trivial in $\Gamma - e_1$. This means that there is a compressing disk D of F_{m_1} intersecting m_2 just once, and is disjoint from the other m_i 's, so it intersects K at most once, at a point in m_2 . Applying Proposition 3, we know that $E(\Gamma)$ contains a compressing disk D' of F which is disjoint from m_1 , and intersects K at most at one point in m_2 . If D' is disjoint from m_2 , then $F - (K \cup m_1)$ is compressible. If D' intersects m_2 at one point, then the boundary of a regular neighborhood of $\partial D' \cup m_1$ in F is a compressing disk of $F - (K \cup m_1)$. Either case contradicts the assumption that $F - (K \cup m_1)$ is incompressible. \square

A subgraph Γ' of Γ is said to be *essential* if it contains some cycles.

Theorem 2.6. *Let Γ be a graph in a 3-manifold M which has no lens space or $S^1 \times S^2$ summand. Then Γ is cycle trivial if and only if $\partial N(\Gamma')$ is compressible in $E(\Gamma')$ for all essential subgraphs Γ' of Γ .*

Proof. By induction on the number of edges we may assume that all subgraphs and quotient graphs of Γ are cycle trivial. By the same argument as in the proof of Lemma 2.5, we see that the theorem is true if each component of Γ has just one vertex. Therefore, we may assume that Γ has some non loop edges.

Let C be a cycle of Γ . If there is a non loop edge e of Γ which is not on C , then by applying Corollary 2.3 to $\Gamma' = \Gamma - e$, we see that C is trivial in Γ . So assume that C contains all the non loop edges of Γ . If C is a component of Γ , we may delete the extra vertices on C to reduce to the case that each component of Γ has just one vertex. Hence we may assume that there is a loop e_1 with ∂e_1 on C . By the above, e_1 is trivial in Γ , so it bounds a disk D with interior disjoint from Γ . By induction, $\Gamma - e_1$ is trivial, so C bounds a disk D' with interior disjoint from $\Gamma - e_1$. Now we can isotop e_1 through disks on D bounded by outermost arcs of $D \cap D'$ to eliminate all intersections of e_1 with D' . The reverse isotopy moves D' to a disk with interior disjoint from Γ . \square

Remark. A graph in M^3 is called planar if it lies on an embedded 2-sphere in M . It is abstractly planar if it can be embedded into an abstract 2-sphere. When $M = S^3$,

Lemma 2.5 was proved by Gordon [1]. It was also proved that if Γ has two vertices, then it is planar if the exterior of all subgraphs are handlebodies. In [8] J. Simon conjectured that if a graph Γ is abstractly planar, then Gordon's theorem is still true, that is, Γ is planar if and only if the exteriors of all subgraphs of Γ has free fundamental group. Simon and Wolcott [9] proved that this is true if Γ is the handcuff or double θ graph. The conjecture was fully proved by Scharlemann and Thompson [4, 5, 7]. In [12] it was noticed that if Γ is abstractly planar, then it is planar if and only if it is cycle trivial. Using this fact and Theorem 2.1, a new proof of the Scharlemann-Thompson Theorem was given in [12]. Because of this fact, Theorem 2.6 may be considered as a generalization of the Scharlemann-Thompson Theorem. When $M = S^3$, Theorem 2.6 was first proved by Robertson, Seymour and Thomas [3] under the stronger assumption that the exteriors of any subgraph of Γ are connected sums of handlebodies. Scharlemann and Thompson [6] have proved a theorem about sliding arcs in handlebodies, which simultaneously generalize the S^3 version of Theorem 2.6 and Waldhausen's Theorem [10].

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