

# Minimum Level Nonplanar Patterns for Trees

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**Abstract.** We add two minimum level nonplanar (MLNP) patterns for trees to the previous set of tree patterns given by Healy *et al.* [3]. Neither of these patterns match any of the previous patterns. We show that this new set of patterns completely characterize level planar trees.

## 1 Introduction

Level graphs model hierarchical relationships. A level drawing has all vertices of the same level with the same  $y$ -coordinates and all edges strictly  $y$ -monotonic. Level planar graphs have level drawings without edge crossings. Hierarchies are special cases in which every vertex is reachable via a  $y$ -monotonic path from a source at the top level. Many natural hierarchies occur in the sciences including biological taxonomies, linguistic universal grammars, object-oriented design, multi-tiered social structures, and mathematical hierarchies.

Planar graphs are characterized by forbidden subdivisions of  $K_5$  and  $K_{3,3}$  by Kuratowski's Theorem [7]. The counterpart of this characterization for level planar graphs are the minimum level nonplanar (MLNP) patterns proposed by Healy, Kuusik, and Liepert [3]. A minimal obstructing subgraph with a set of level assignments forcing a crossing constitutes a MLNP pattern.

While Jünger *et al.* provide linear time recognition and embedding algorithms [5, 6] for level planar graphs, swapping the vertices between levels while maintaining planarity can be difficult. Heath and Rosenberg showed that deciding if a planar graph has a proper  $k$ -leveling is NP-hard [4]. Finding a matching subgraph of a MLNP pattern can provide a set of candidate vertices to reassign to different levels in order to achieve planarity. Such a method could improve existing hierarchical approaches to drawing directed acyclic graphs (DAGs), such as Sugiyama's algorithm [8] that greedily assigns vertices to levels.

Di Battista and Nardelli [1] provided three level nonplanar patterns for hierarchies (HLNP patterns); cf. Fig. 3. These patterns each consist of three (not necessary) disjoint paths linking a pair of levels that are joined by three pairwise disjoint bridges. If none of the linking paths cross, this condition forces a crossing between one or more bridges. Di Battista *et al.* showed these HLNP patterns were a necessary and sufficient condition for level nonplanar hierarchies. Since these patterns are sufficiently general, they can be extended to determine when level graphs are nonplanar. Healy *et al.* refined these HLNP patterns into a set of MLNP patterns for level graphs. However, the completeness of their characterization was based on the claim that all MLNP patterns must contain a HLNP pattern. This claim does not hold for the counterexample we provide.

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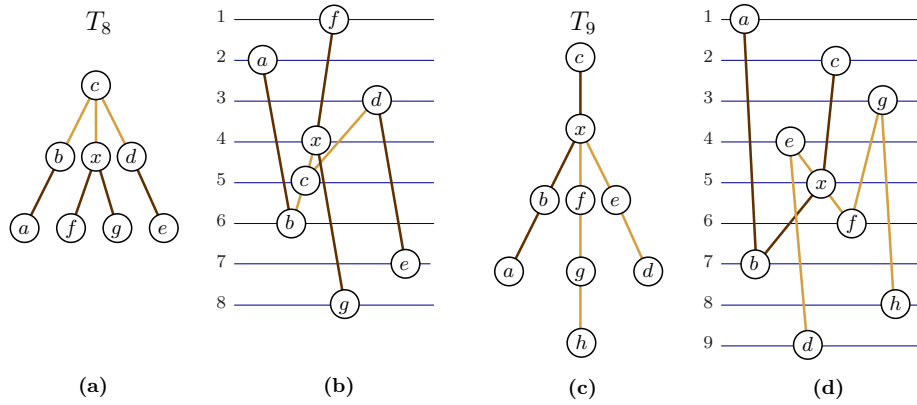


Fig. 1. Labelings preventing the forbidden ULP trees  $T_8$  and  $T_9$  from being level planar.

Estrella *et al.* [2] characterized the set of unlabeled level planar (ULP) trees on  $n$  vertices that are level planar over all possible  $n!$  labelings of the vertices from 1 to  $n$  in terms of the forbidden trees  $T_8$  and  $T_9$  in Fig. 1. The given labelings were used to show that these trees are level nonplanar. Each vertex is assigned to its own level so that its  $y$ -coordinate is based on its level. The level nonplanar assignment for  $T_9$  can be shown not to match any of the three HLNP patterns. This forms the basis of our counterexample. For every set of three paths linking any pair of levels in  $T_9$ , two of the three linking paths always has a bridge that shares a vertex with the other path. This violates the condition that forces a crossing between the third linking path and the bridge. As a result, this level nonplanar tree does not match any of the MLNP patterns given by Healy *et al.*

Healy *et al.* provides two of the MLNP patterns,  $P_1$  and  $P_2$ , for trees that each contain a HLNP pattern; cf. Fig. 2(a) and (b). Both have three disjoint paths linking the top and bottom levels with the three pairwise bridges that form a subdivided  $K_{1,3}$ . We provide two more MLNP patterns,  $P_3$  and  $P_4$  for level nonplanar trees; cf. Fig. 2(c) and (d) based upon  $T_9$ . Both of these patterns consist of two paths that have a common vertex  $x$  or subpath  $x \rightsquigarrow y$  that lies between two intermediate levels. A crossing is forced between the two paths since  $x$  or  $x \rightsquigarrow y$  must lie between two different sections of path that they are on in order to avoid a self-crossing of that path.

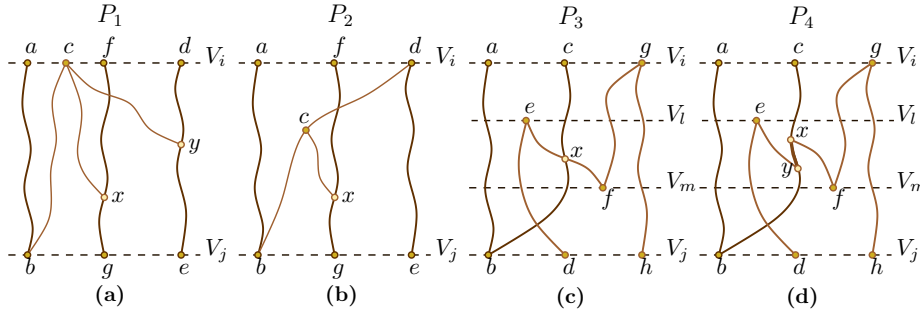


Fig. 2. Four minimum level nonplanar (MLNP) patterns for level nonplanar trees.

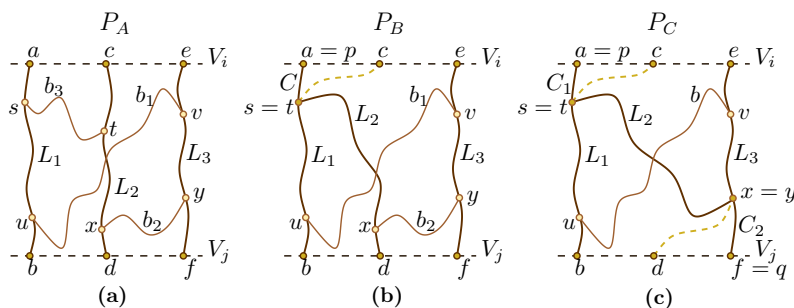
## 2 Preliminaries

A  $k$ -level graph  $G(V, E, \phi)$  on  $n$  vertices has *leveling*  $\phi : V \rightarrow [1..k]$  where every  $(u, v) \in E$  either has  $\phi(u) < \phi(v)$  if  $G$  is directed or  $\phi(u) \neq \phi(v)$  if  $G$  is undirected. This leveling partitions  $V$  into  $V_1 \cup V_2 \cup \dots \cup V_k$  where the *level*  $V_j = \phi^{-1}(j)$  and  $V_i \cap V_j = \emptyset$  if  $i \neq j$ . A *proper level graph* only has *short edges* in which  $\phi(v) = \phi(u) + 1$  for every  $(u, v) \in E$ . Edges spanning multiple levels are *long*. A *hierarchy* is a proper level graph in which every vertex  $v \in V_j$  for  $j > 1$  has at least one incident edge  $(u, v) \in E$  to a vertex  $u \in V_i$  for some  $i < j$ .

A *path*  $p$  is a nonrepeating ordered sequence of vertices  $(v_1, v_2, \dots, v_t)$  for  $t \geq 1$ . Let  $\text{MIN}(p) = \min\{\phi(v) : v \in p\}$ ,  $\text{MAX}(p) = \max\{\phi(v) : v \in p\}$ , and  $\mathcal{P}(i, j) = \{p : p \text{ is a path where } i \leq \text{MIN}(p) < \text{MAX}(p) \leq j\}$  are the paths between levels  $V_i$  and  $V_j$ . A *linking path*, or *link*,  $L \in \mathcal{L}(i, j)$  is a path  $x \rightsquigarrow y$  in which  $i = \text{MIN}(L) = \phi(x)$  and  $\text{MAX}(L) = \phi(y) = j$ , and  $\mathcal{L}(i, j) \subseteq \mathcal{P}(i, j)$  are all paths linking the *extreme levels*  $V_i$  and  $V_j$ . A *bridge*  $b$  is a path  $x \rightsquigarrow y$  in  $\mathcal{P}(i, j)$  connecting links  $L_1, L_2 \in \mathcal{L}(i, j)$  in which  $b \cap L_1 = x$  and  $b \cap L_2 = y$ .

**Theorem 1 (Di Battista and Nardelli [1])** *A hierarchy  $G(V, E, \phi)$  on  $k$  levels is level planar if and only if there does not exist three paths  $L_1, L_2, L_3 \in \mathcal{L}(i, j)$  linking levels  $V_i$  and  $V_j$  for  $1 \leq i < j \leq k$  where one of the following hold:*

- (a) *Links  $L_1, L_2$ , and  $L_3$  are completely disjoint and pairwise connected by bridges  $b_1$  from  $L_1$  to  $L_3$ ,  $b_2$  from  $L_2$  to  $L_3$ , and  $b_3$  from  $L_2$  to  $L_3$  such that  $b_1, b_2, b_3 \in \mathcal{P}(i, j)$  and  $b_1 \cap L_2 = b_2 \cap L_1 = b_3 \cap L_1 = \emptyset$ ; cf. Fig. 3(a).*
- (b) *Links  $L_1$  and  $L_2$  share a path  $C = L_1 \cap L_2 \in \mathcal{P}(i, j)$  starting from endpoint  $p$  in  $V_i$  or  $V_j$  that is disjoint from  $L_3$ ,  $L_1 \cap L_3 = L_2 \cap L_3 = \emptyset$ , connected by bridges  $b_1$  from  $L_1$  to  $L_3$  and  $b_2$  from  $L_2$  to  $L_3$  such that  $b_1, b_2 \in \mathcal{P}(i, j)$  and  $b_1 \cap L_2 = b_2 \cap L_1 = \emptyset$ ; cf. Fig. 3(b).*
- (c) *Links  $L_1$  and  $L_2$  share a path  $C_1 = L_1 \cap L_2 \in \mathcal{P}(i, j)$  starting from endpoint  $p$  in  $V_i$  and links  $L_2$  and  $L_3$  share a path  $C_2 = L_2 \cap L_3 \in \mathcal{P}(i, j)$  starting from endpoint  $q$  in  $V_j$  such that  $C_1 \cap C_2 = \emptyset$ . Links  $L_1$  and  $L_3$  are connected by bridge  $b \in \mathcal{P}(i, j)$  such that  $b \cap L_2 = b \cap C_1 = b \cap C_2 = \emptyset$ ; cf. Fig. 3(c).*



**Fig. 3.** The three patterns characterizing hierarchies. Patterns  $P_B$  and  $P_C$  are special cases of  $P_A$ . The dashed curves in (b) and (c) are extraneous paths highlighting the relationship  $P_B$  and  $P_C$  have with  $P_A$ . If the bridge  $b_3$  in (a) has no edges, then  $P_A$  contains  $P_B$  with the extra path  $s \rightsquigarrow c$  in (b). Similarly, if both the bridges  $b_2$  and  $b_3$  in (c) have no edges, then  $P_A$  contains  $P_C$  with the two paths  $s \rightsquigarrow c$  and  $x \rightsquigarrow d$  in (c).

Any *improper level graph* can be made proper by subdividing all long edges into short edges. A *level drawing* of  $G$  has all of its *level- $j$*  vertices in the  $j^{\text{th}}$  level  $V_j$  placed along the *track*  $\ell_j = \{(x, k - j) \mid x \in \mathbb{R}\}$ , and each edge  $(u, v) \in E$  is drawn as a continuous strictly  $y$ -monotonic sequence of line segments downwards. A level drawing drawn without edge crossings shows that  $G$  is *level planar*. Any level graph can be made into hierarchy by adding a new source with paths to all vertices unreachable via a  $y$ -monotonic path to a source. A *pattern* is a set of level nonplanar graphs sharing structural similarities. Each graph matching a *level nonplanar (LNP)* pattern  $P$  is level nonplanar. Removing any edge from the underlying graph of a *minimum level nonplanar (MLNP)* pattern gives a level planar graph. A HLNP pattern  $P$  is a LNP pattern in which every matching graph is a hierarchy. The previous theorem gave the set of three HLNP patterns.

### 3 MLNP Patterns for Trees

We begin by providing an extended set of MLNP patterns for trees.

**Theorem 2** *A level tree  $T(V, E, \phi)$  on  $k$  levels is minimum level nonplanar if*

(1) *there are three disjoint paths  $L_1, L_2, L_3 \in \mathcal{L}(i, j)$  for  $1 \leq i < j \leq k$  where  $P_A$  of Theorem 1(a) applies and the union of the three bridges  $b_1 \cup b_2 \cup b_3$  forms a subdivided  $K_{1,3}$  subtree  $S$  with vertex  $c$  of degree 3 so that either*

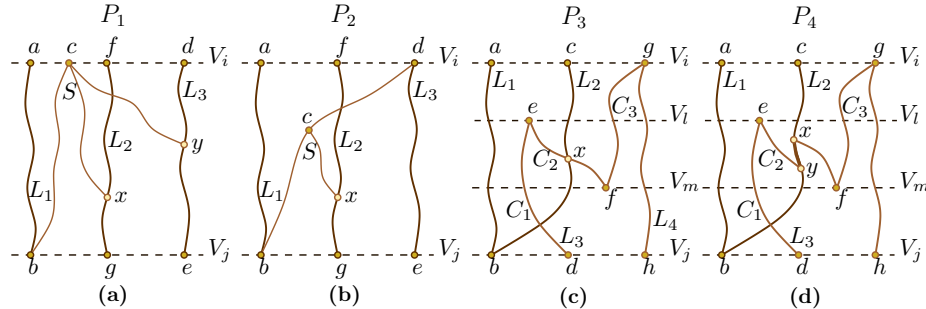
(a)  *$c$  is in  $V_i$  and a leaf of  $S$  is in  $V_j$  as in Fig. 4(a) or  $c$  is in  $V_j$  and a leaf of  $S$  is in  $V_i$ , or*

(b) *one leaf of  $S$  is in  $V_i$  and another leaf of  $S$  is in  $V_j$  as in Fig. 4(b), or*

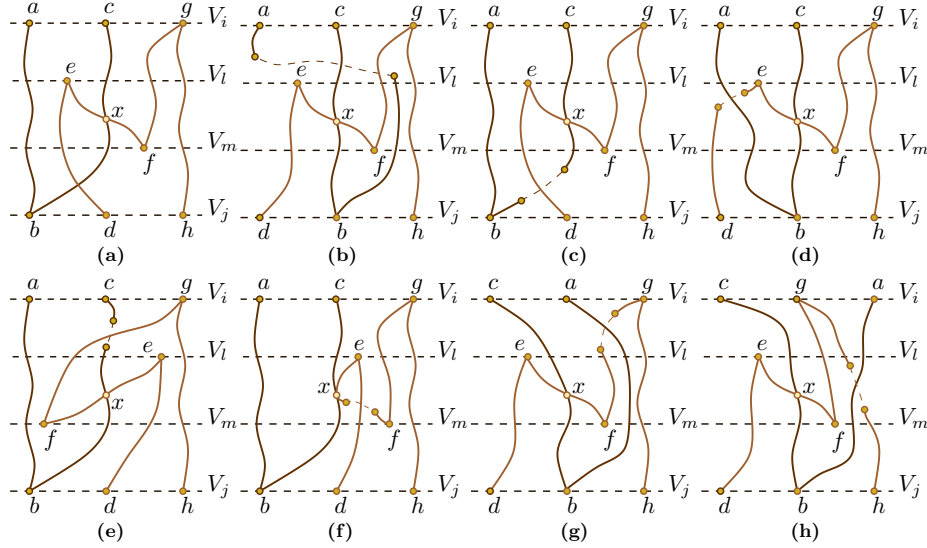
(2) *there are four paths  $L_1, L_2, L_3, L_4 \in \mathcal{L}(i, j)$  for  $1 \leq i < j \leq k$  where  $L_1$  and  $L_4$  are disjoint,  $L_1$  and  $L_2$  join at a vertex in  $V_j$  to form a path with endpoints in  $V_i$ ,  $L_3$  and  $L_4$  join at a vertex in  $V_i$  to form a path with endpoints in  $V_j$ , and there exist intermediate levels  $V_l$  and  $V_m$  for some  $i < l < m < j$  in which either  $L_2$  or  $L_3$  consists of three subpaths  $C_1, C_2$ , and  $C_3$  such that  $C_1 \in \mathcal{L}(i, m)$  ( $d \rightsquigarrow e$  as in Fig. 4(c)),  $C_2 \in \mathcal{L}(l, m)$  ( $e \rightsquigarrow f$  as in Fig. 4(c)), and  $C_3 \in \mathcal{L}(l, j)$  ( $f \rightsquigarrow g$  as in Fig. 4(c)), so that*

(c)  *$L_2 \cap L_3 = x$  where  $l \leq \phi(x) \leq m$  as in Fig. 4(c), or*

(d)  *$L_2 \cap L_3 = p$  a path  $x \rightsquigarrow y$  where  $l \leq \phi(x) < \phi(y) \leq m$  as in Fig. 4(d).*



**Fig. 4.**  $P_1$  of (a) and  $P_2$  of (b) are MLNP patterns  $T_1$  and  $T_2$  given by Healy et al. [3], respectively.  $P_3$  matches  $T_9$  in Fig. 1.  $P_4$  splits the degree 4 vertex  $x$  of  $P_3$  into path  $x \rightsquigarrow y$ .



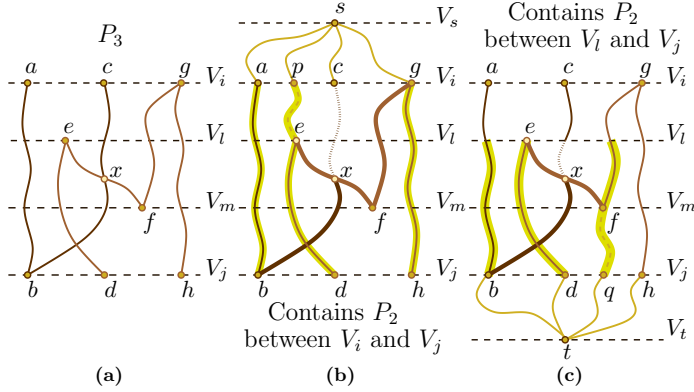
**Fig. 5.** The various cases of deleting any edge from pattern  $P_3$  in (a). The dashed curves represent the removed edges.

*Proof.* The description of patterns  $P_1$  and  $P_2$  are more succinctly stated and more closely match notation used in Theorem 1 from [1] than the Healy *et al.* characterization of MLNP T1 and T2 tree patterns given in Section 3.1 of [3]; see the appendix for the original descriptions of T1 and T2.

To show that  $P_1$  and  $P_2$  match the patterns of T1 and T2 is simply a matter of verifying that  $P_1$  and  $P_2$  have the four common conditions listed for T1 and T2 and that the specific conditions for each one are satisfied, all of which is immediate from the definitions of  $P_1$  and  $P_2$ . To show that T1 and T2 match  $P_1$  and  $P_2$  requires applying Lemmas 8, 9, 10 in the appendix from [3]. Given that the definitions are equivalent, we apply Theorem 7 in the appendix from [3] to see that  $P_1$  and  $P_2$  are indeed minimum level nonplanar.

We delete an edge from each linking path or bridge of  $P_3$  and  $P_4$  and show how to avoid a crossing in each case.

- (i) If an edge is deleted along  $a \rightsquigarrow b$  as in Fig. 5(b), then the remaining path can reside under the path  $f \rightsquigarrow g \rightsquigarrow h$  where  $d$  is then moved left of  $b$ .
- (ii) If an edge is deleted along  $b \rightsquigarrow x$  as in Fig. 5(c), then the other path can take direct advantage of that gap.
- (iii) If an edge is deleted along  $d \rightsquigarrow e$  as in Fig. 5(d), then  $a \rightsquigarrow b$  is drawn through the gap with  $d$  left of  $b$ .
- (iv) If an edge is deleted along  $x \rightsquigarrow c$  as in Fig. 5(e), then  $d \rightsquigarrow e$  can be drawn right of  $b \rightsquigarrow x$  whereas  $f \rightsquigarrow g$  is drawn left.
- (v) If an edge is deleted along  $e \rightsquigarrow f$  as in Fig. 5(f), then  $d \rightsquigarrow e$  is drawn left of  $b \rightsquigarrow x$  using the gap to avoid a crossing.
- (vi) If an edge is deleted along  $f \rightsquigarrow g$  as in Fig. 5(g), then  $d \rightsquigarrow e$  is drawn left of  $b \rightsquigarrow c$  and  $a \rightsquigarrow b$  is drawn through the gap of  $f \rightsquigarrow g$ .
- (vii) If an edge is deleted along  $g \rightsquigarrow h$  as in Fig. 5(h), then  $d \rightsquigarrow e$  is drawn left of  $b \rightsquigarrow c$  that is left of  $f \rightsquigarrow g$  and  $a \rightsquigarrow b$  drawn through the gap of  $g \rightsquigarrow h$ .



**Fig. 6.**  $P_3$  in (a) is augmented from the top in (b) and from the bottom in (c) to form hierarchies with subtrees matching  $P_2$  in both (b) and (c).

The argument used by Estrella *et al.* [2] to show  $T_9$  is level nonplanar easily generalizes for  $P_3$  and  $P_4$ . Finally, we observe that in the description of T1 and T2, that both trees have exactly one vertex of degree 3. Since both  $P_3$  has a vertex of degree 4 and  $P_4$  has two vertices of degree 3, neither can match  $P_1$  or  $P_2$ . Hence, all four MLNP patterns are distinct.  $\square$

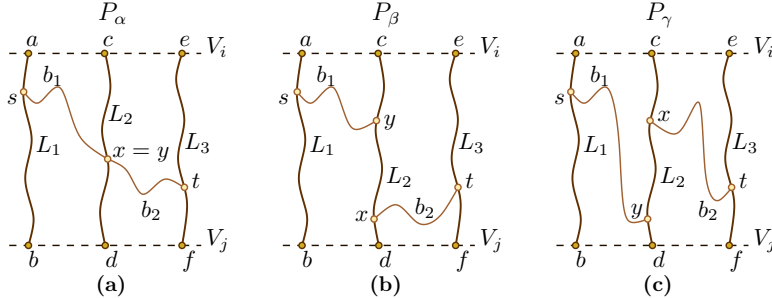
The distinctness of four MLNP patterns shows that  $P_3$  and  $P_4$  are counterexamples to the claim of Theorem 15 of Healy *et al.* [3] that all level nonplanar trees are matched by either T1 or T2. They contended that any level nonplanar graph augmented to form a hierarchy would match the same HLNP pattern *before* being augmented. We next show why this argument fails for  $P_3$ .

**Lemma 3**  $P_3$  augmented to form a hierarchy has a subtree matching  $P_2$ .

*Proof.* Fig. 6 shows the highlighted subtrees that match  $P_2$  when  $P_3$  is augmented to form a hierarchy. However,  $P_2$  does not match  $P_3$  by Theorem 2.  $\square$

The next lemma gives the minimal conditions for a MLNP tree pattern.

**Lemma 4** A level nonplanar  $T(V, E, \phi)$  on  $k$  levels must contain three disjoint links  $L_1, L_2, L_3 \in \mathcal{L}(i, j)$  linking levels  $V_i$  and  $V_j$  for  $1 \leq i < j \leq k$  with bridges  $b_1$  from  $L_1$  to  $L_2$  and  $b_2$  from  $L_2$  to  $L_3$  with  $b_1, b_2 \in \mathcal{P}(i, j)$  with endpoints  $x = b_1 \cap L_2$  and  $y = b_1 \cap L_2$  so that (i)  $x = y$ , (ii)  $\phi(x) > \phi(y)$ , or (iii)  $\phi(x) < \phi(y)$ .



**Fig. 7.** The three minimal patterns that must be part of any MLNP pattern for trees.

*Proof.* We observe that these conditions fall short of  $P_A$  of Theorem 1(a) by only one bridge. By Lemma 10 of [3] in the appendix,  $P_A$  is the only HLNP pattern that can match a tree. Hence, so our assertion holds for  $P_1$  and  $P_2$ , equivalent to T1 and T2, that Lemmas 8, 9, 10 of [3] show to be special cases of  $P_A$ .

Let us assume that we have a MLNP pattern  $P$  between levels  $V_i$  and  $V_j$  and  $|i - j|$  is a minimum. Clearly,  $P$  must have three (not necessarily) disjoint paths  $L_1, L_2, L_3 \in \mathcal{L}(i, j)$  linking levels  $V_i$  and  $V_j$ . Otherwise, if there were just two linking paths  $L_1$  and  $L_2$ , then there can be no path in  $\mathcal{P}(i, j)$  joining the two, since otherwise the path would be part of a third linking path. This implies  $L_1$  and  $L_2$  are in separate components contradicting the minimality of  $P$ .

At least one of the three paths, say it is  $L_2$ , must be joined to the other two paths  $L_1$  or  $L_3$ , or  $P$  would be disconnected again contradicting the minimality of  $P$ . If  $b_1 \cap b_2$  form a nonempty path, then  $b_1 \cup b_2$  would form a subtree homeomorphic to  $K_{1,3}$ , and either pattern  $P_1$  or  $P_2$  of Theorem 2 would result. Thus,  $b_1$  and  $b_2$  can share at most one vertex as in  $P_\alpha$  of Fig. 7(a). Otherwise there must have endpoints  $x = b_1 \cup L_2$  and  $y = b_2 \cup L_2$  where either  $\phi(x) > \phi(y)$  as in  $P_\beta$  of Fig. 7(b) or (iii)  $\phi(x) < \phi(y)$  as in  $P_\gamma$  of Fig. 7(c). We observe that  $P_\alpha$  matches  $P_3$  and  $P_\gamma$  matches  $P_4$ .  $\square$

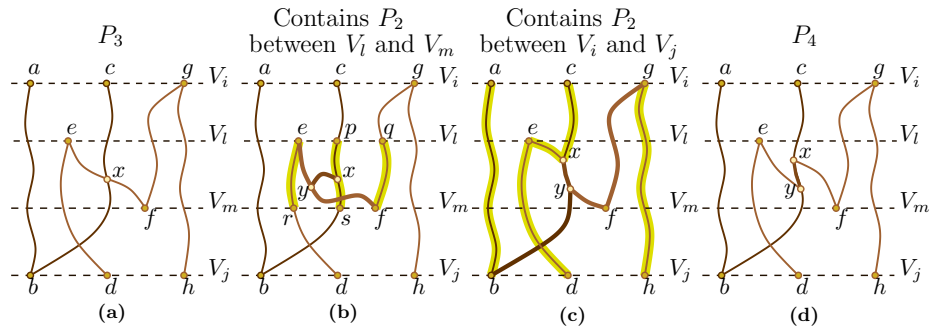
We next show that  $P_4$  is easily derived from  $P_3$ .

**Lemma 5**  $P_4$  is only the distinct MLNP pattern for trees that be formed from  $P_3$  (by splitting the degree-4 vertex) not containing a subtree matching  $P_2$ .

*Proof.* Fig. 8 shows the three ways in which the degree-4 vertex of  $P_3$  can be split into two degree-3 vertices. Two of the ways contain subtrees that match  $P_2$  for intermediate levels.

Applying definition of  $P_3$  given in Theorem 2, the links  $L_2$  and  $L_3$  share a common vertex  $x$  as in Fig. 8(a). If  $x$  is replaced by a path  $x \rightsquigarrow y$ , then there are three cases: (i)  $L_2 \cap L_3 = \emptyset$ , (ii)  $L_2 \cap L_3 = x \rightsquigarrow y$  with  $\phi(x) > \phi(y)$ , and (iii)  $L_2 \cap L_3 = x \rightsquigarrow y$  with  $\phi(x) < \phi(y)$ . For (i) and (ii),  $P_2$  matches a subtree between levels  $V_i$  and  $V_m$  as in Fig. 8(b) and between levels  $V_i$  and  $V_j$  as in Fig. 8(c). The final case (iii), which is  $P_4$ .  $\square$

We conclude by showing the completeness of our characterization for level nonplanar trees.



**Fig. 8.** The three ways in which the degree-4 vertex of  $P_3$  can be split into two vertices of degree 3, the last of which yields  $P_4$ . The other two match  $P_2$ .

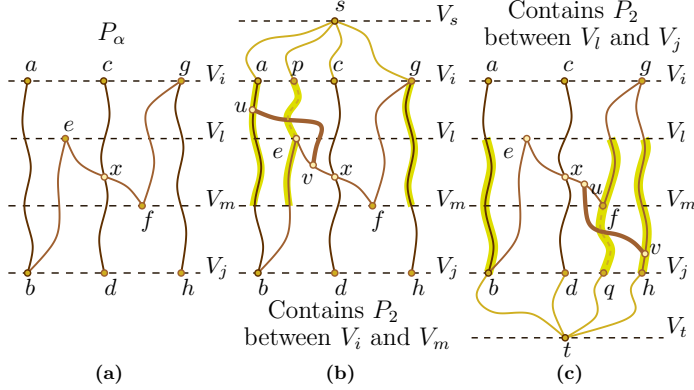


Fig. 9. Examples of pattern  $P_\alpha$  in (a) being augmented to form a hierarchy in (b) and (c).

**Theorem 6** *A level tree  $T$  is level nonplanar if and only if  $T$  has a subtree matching one of the minimum level nonplanar patterns  $P_1, P_2, P_3,$  or  $P_4$ .*

*Proof Sketch:* We note as in the case of the proof of Lemma 3 in which  $P_3$  is augmented to form a hierarchy, one of the HLNP patterns must apply once the pattern has been augmented. Since this augmentation can always be done to avoid introducing a cycle between levels  $V_i$  and  $V_j$ , either pattern  $P_1$  or  $P_2$  must match a subtree of the augmented pattern by Lemma 10 of [3].

Assume there is a MLNP tree pattern  $P$  that matches  $P_\alpha$  of Lemma 4 that does not match  $P_1$  or  $P_2$ . There are several cases to consider how the bridges of  $P_\alpha$  in  $P$  could spans levels between  $V_i$  and  $V_j$ . For each case we augment  $P$  to form a hierarchy. We only give the simplest case to illustrate how either  $P$  must match  $P_1$  or  $P_2$  or contain a cycle preventing it from matching a tree. All the other cases are similar variants.

Suppose that neither bridge of the  $P_\alpha$  in  $P$  is strictly  $y$ -monotonic. Then  $P$  has a bend at  $e$  in level  $V_l$  in one bridge and a bend at  $f$  in level  $V_m$  in the other as in Fig. 9(a) for some  $i < l < m < j$ . Each bend would require being augmented with a path from the source when forming a hierarchy from above or below as was the case of  $P_3$  being augmented in Fig. 6.

We augment  $P$  with a path  $p \rightsquigarrow e$  from  $V_i$  to  $V_l$  to form  $P'$ , a hierarchy, that must match  $P_1$  or  $P_2$ . We observe between levels  $V_i$  and  $V_m$ , we have four linking paths. A third bridge  $u \rightsquigarrow v$  must be present in  $P'$  that is part of a subtree  $S$  homeomorphic to  $K_{1,3}$ . Fig. 9(b) gives one such example. While  $P'$  matches  $P_2$  between levels  $V_i$  and  $V_m$ , we see that between levels  $V_i$  and  $V_j$ ,  $P$  must have had the cycle  $u \rightsquigarrow v \rightsquigarrow e \rightsquigarrow b \rightsquigarrow u$ , contradicting  $P$  being a tree pattern. By inspection, any other placement of  $u \rightsquigarrow v$  to connect three of the four linking paths to form  $P_1$  or  $P_2$  similarly implies a cycle in  $P$ .

Hence,  $P$  cannot contain any more edges than those of  $P_\alpha$  without matching  $P_1$  or  $P_2$ . We observe that  $P_\alpha$  consists of two paths sharing a common vertex  $x$ . Given the minimality of  $P$  in minimizing  $|i - j|$ , one path has both endpoints in  $V_i$  with one vertex in  $V_j$  that can be split into linking paths  $L_1, L_2 \in \mathcal{L}(i, j)$ . Similarly, the other has both endpoints in  $V_j$  with one vertex in  $V_i$  that can also



be split into the linking paths  $L_3, L_4 \in \mathcal{L}(i, j)$ . In  $P_3$  of Fig. 9(a),  $L_1$  is  $a \rightsquigarrow b$ ,  $L_2$  is  $b \rightsquigarrow d \rightsquigarrow x \rightsquigarrow c$ ,  $L_3$  is  $d \rightsquigarrow x \rightsquigarrow f \rightsquigarrow g$ , and  $L_4$  is  $g \rightsquigarrow h$ .

For  $P$  to be level nonplanar, a crossing must be forced between these two paths. This can be accomplished by having  $L_2$  or  $L_3$  meet the condition of  $P_3$  of three subpaths  $C_1 \in \mathcal{L}(i, m)$  linking  $V_i$  to  $V_m$ ,  $C_2 \in \mathcal{L}(l, m)$  linking  $V_l$  to  $V_m$ , and  $C_3 \in \mathcal{L}(l, j)$  linking  $V_l$  to  $V_j$ . This is not the case for the  $P_\alpha$  in Fig. 9(a) since the  $x \rightsquigarrow c$  portion of  $L_2$  does not reach level  $V_m$ , and the  $x \rightsquigarrow d$  portion of  $L_3$  does not reach level  $V_l$ . So for  $P$  not to match  $P_3$ , at least one subpath of both  $L_2$  and  $L_3$  from  $x$  to  $V_i$  or  $V_j$  must strictly monotonic as was the case in Fig. 9(a). However, in this case  $P$  can always be drawn without crossings. This leaves  $P_3$  as the only possibility of a MLNP pattern matching  $P_\alpha$  that does not  $P_1$  or  $P_2$ .  $\square$

## 4 Conclusion and Future Work

The sufficiency argument of the MLNP patterns used by Healy *et al.* is flawed in its contention that all MLNP patterns contain a HLNP pattern. Given this flaw, there remains the very likely possibility of the characterization of Healy *et al.* omitting some MLNP patterns with cycles.

We provided two new MLNP patterns for trees and showed that the new set of four was sufficient. We presented a new approach for showing sufficiency based upon pattern augmentation to form HLNP patterns. However, our approach heavily relied on the underlying graph of the pattern forming a tree and avoiding cycles. For future work remains the open problem of finding the remaining set, if any, of MLNP patterns for graphs with cycles and proving they are sufficient to complete the characterization for all level planar graphs.

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## Appendix

*Characterization* of patterns T1 and T2 from Healy *et al.* in Section 3.1 of [3]:

“Let  $i$  and  $j$  be the extreme levels of a pattern and let  $x$  denote a root vertex with degree 3 that is located on one of the levels  $i, \dots, j$ . From the root vertex emerge 3 subtrees that have the following common properties (see Fig. 2 for illustrations of two typical patterns):

- each subtree has at least one vertex on both extreme levels;
- a subtree is either a chain or it has two branches which are chains;
- all the leaf vertices of the subtrees are located on the extreme levels, and if there is a leaf vertex  $v$  of a subtree  $S$  on an extreme level  $l \in \{i, j\}$  then  $v$  is the only vertex of  $S$  on the extreme level  $l$ ;
- those subtrees which are chains have one or more non-leaf vertices on the extreme level opposite to the level of their leaf vertices.

The location of the root vertex distinguishes the two characterizations.

- (T1) The root vertex  $x$  is on an extreme level  $l \in \{i, j\}$  (see Fig. 2(a)):
- at least one of the subtrees is a chain starting from  $x$ , going to the opposite extreme level of  $x$  and finishing on  $x$ 's level;
- (T2) The root vertex  $x$  is on one of the intermediate levels  $l, i < l < j$  (see Fig. 2(b)):
- at least one of the subtrees is a chain that starts from the root vertex, goes to the extreme level  $i$  and finishes on the extreme level  $j$ ;
  - at least one of the subtrees is a chain that starts from the root vertex, goes to the extreme level  $j$  and finishes on the extreme level  $i$ .

*Note that Fig. 2(a) and (b) of [3] correspond to our Figs. 2(a) and (b).*

Next we state Theorem 2 and Lemmas 3, 4, and 5 of [3] with slight rewording to match our own terminology and previous theorems.

**Theorem 7 (Healy *et al.* Theorem 2)** *A subgraph matching either of the two tree characterizations T1 or T2 is MLNP.*

**Lemma 8 (Healy *et al.* Lemma 3)** *If HLNP pattern  $P_A$  of Theorem 1(a) matches a tree then each one of the paths  $L_1, L_2, L_3$  contains only one vertex being the end vertex of a bridge.*

**Lemma 9 (Healy *et al.* Lemma 4)** *If HLNP pattern  $P_A$  of Theorem 1(a) matches a tree then its bridges must form a subgraph homeomorphic to  $K_{1,3}$ .*

**Lemma 10 (Healy *et al.* Lemma 5)** *The only HLNP pattern that can be matched to a tree is  $P_A$  of Theorem 1.*