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The Excluded 3-minors for Vf-safe Delta-matroids

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THE EXCLUDED 3-MINORS FOR VF-SAFE DELTA-MATROIDS

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ABSTRACT. Vf-safe delta-matroids have the desirable property of behaving well under certain duality operations. Several important classes of delta-matroids are known to be vf-safe, including the class of ribbon-graphic delta-matroids, which is related to the class of ribbon graphs or embedded graphs in the same way that graphic matroids correspond to graphs. In this paper, we characterize vf-safe delta-matroids and ribbon-graphic delta-matroids by finding the minimal obstructions, called 3-minors, to belonging to the class. We find the unique (up to twisted duality) excluded 3-minor within the class of set systems for the class of vf-safe delta-matroids. Geelen and Oum [17] found the 166 (up to twists) excluded minors for ribbon-graphic delta-matroids. By translating Bouchet's characterization of circle graphs to the language of 3-minors, we show that this class can also be characterized amongst delta-matroids by a set of three excluded 3-minors up to twisted duality.

1. Introduction

A set system is a pair $S=(E,\mathcal{F})$, where E, or E(S), is a set, called the *ground set*, and \mathcal{F} , or $\mathcal{F}(S)$, is a collection of subsets of E. (All set systems in this paper have finite ground sets.) The members of \mathcal{F} are the *feasible sets*. We say that S is *proper* if $\mathcal{F} \neq \emptyset$.

A matroid M has many associated set systems with E=E(M). The most important of these from the perspective of this paper has $\mathcal{F}=\mathcal{B}(M)$, the set of bases of M. Recall that the bases of a matroid satisfy the following exchange property: for any $B_1, B_2 \in \mathcal{B}(M)$ and for each element $x \in B_1 - B_2$, there is a $y \in B_2 - B_1$ for which $B_1 \triangle \{x,y\} \in \mathcal{B}(M)$. To get the definition of a delta-matroid, replace set differences by symmetric differences. Thus, as introduced by Bouchet in [2], a delta-matroid is a proper set system $D=(E,\mathcal{F})$ for which \mathcal{F} satisfies the delta-matroid symmetric exchange axiom:

(SE) for all triples
$$(X,Y,u)$$
 with X and Y in \mathcal{F} and $u \in X \triangle Y$, there is a $v \in X \triangle Y$ (perhaps u itself) such that $X \triangle \{u,v\}$ is in \mathcal{F} .

Clearly every matroid $(E(M), \mathcal{B}(M))$ is a delta-matroid.

Just as there is a mutually-enriching interplay between matroid theory and graph theory, the theory of delta-matroids has substantial connections with the theory of embedded graphs or equivalently ribbon graphs; see [13, 14]. Brijder and Hoogeboom [9, 10, 11] introduced the operation of loop complementation, which we define in the next paragraph. This operation is natural for the class of binary delta-matroids and its subclass of ribbon-graphic delta-matroids. These classes are closed under loop complementation, but that is not true for the class of all delta-matroids. We investigate when loop complementation of a delta-matroid yields a delta-matroid.

For a set system $S=(E,\mathcal{F})$ and $e\in E$, we define S+e to be the set system

$$(1.1) S + e = (E, \mathcal{F} \triangle \{F \cup e : e \notin F \in \mathcal{F}\}).$$

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(As in matroid theory, we often omit set braces from singletons.) Note that (S+e)+e=S and that S+e is proper if and only if S is proper. It is straightforward to check that if $e_1,e_2\in E$ then $(S+e_1)+e_2=(S+e_2)+e_1$. Thus if $X=\{e_1,\ldots,e_n\}$ is a subset of E, then the set system S+X is unambiguously defined by

(1.2)
$$S + X = ((S + e_1) + \cdots) + e_n.$$

This operation is called the *loop complementation of* S on X. There is a natural operation of embedded graphs, namely *partial Petriality*, to which loop complementation corresponds. More precisely if two embedded graphs are partial Petrials of each other then their ribbon graphic delta-matroids are related by a loop complementation [14, Section 4].

For a delta-matroid D and element $e \in E(D)$, the set system D+e need not be a delta-matroid. Consider, for example, the delta-matroid $D_3 = (\{a,b,c\}, 2^{\{a,b,c\}} - \{\{a,b,c\}\})$. Then $D_3 + \{a,b,c\}$ is the set system $(\{a,b,c\}, \{\emptyset, \{a,b,c\}\})$. This is not a delta-matroid. In fact, it is an excluded minor for the class of delta-matroids [1].

Another operation on delta-matroids is the twist. For $A \subseteq E$, the *twist of* S *on* A, which is also called the *partial dual of* S *with respect to* A, denoted S * A, is given by

$$S * A = (E, \{F \triangle A : F \in \mathcal{F}\}).$$

Note that (S*A)*A = S. The *dual* S^* of S is S*E. In contrast with loop complementation, each twist of a delta-matroid is a delta-matroid. Apart from the dual, the twists of a matroid $(E(M), \mathcal{B}(M))$ are generally not matroids, as discussed in [14, Theorem 3.4].

Two set systems are said to be *twisted duals* of one another if one may be obtained from the other by a sequence of twists and loop complementations. Following [11], a delta-matroid is said to be *vf-safe* if all of its twisted duals are delta-matroids. (The term vf-safe is short for 'vertex-flip safe'. Both of the terms vf-safe and loop complementation are named for operations on graphs representing binary delta-matroids [9], which we discuss in Section 5.)

Delta-matroids belonging to certain important classes are known to be vf-safe. In fact, every twisted dual of a ribbon-graphic delta-matroid is a ribbon-graphic delta-matroid [14, Theorem 2.1,Theorem 4.1], and every twisted dual of a binary delta-matroid is a binary delta-matroid [11, Theorem 8.2]. Brijder and Hoogeboom showed that quaternary matroids are vf-safe [12], although, as mentioned earlier, matroids are not closed under twists.

In the main result of this paper, Theorem 4.4, we identify D_3 as essentially the unique obstacle for a delta-matroid to be vf-safe. More precisely, we show that the excluded 3-minors for the class of vf-safe delta-matroids within the class of set systems comprise the 28 set systems that are the twisted duals of D_3 . These set systems are given in Tables 2–7. In the final section of the paper, we relate 3-minors to other minor operations that have appeared in the literature, and we apply Theorem 4.4 to recast some known results using short lists of excluded 3-minors.

2. BACKGROUND

Let $S=(E,\mathcal{F})$ be a proper set system. An element $e\in E$ is a *loop* of S if no set in \mathcal{F} contains e. If e is in every set in \mathcal{F} , then e is a *coloop*. If e is not a loop, then the *contraction of e from* S, written S/e, is given by

$$S/e = (E - e, \{F - e : e \in F \in \mathcal{F}\}).$$

If e is not a coloop, then the deletion of e from S, written $S \setminus e$, is given by

$$S \backslash e = (E - e, \{ F \subseteq E - e : F \in \mathcal{F} \}).$$

If e is a loop or a coloop, then one of S/e and $S\backslash e$ has already been defined, so we can set $S/e = S\backslash e$. Any sequence of deletions and contractions, starting from S, gives another set system S', called a *minor* of S. Each minor of S is a proper set system.

The order in which elements are deleted or contracted can matter. See [1] for an example. However, for disjoint subsets X and Y of E, if some set in \mathcal{F} is disjoint from X and contains Y, then the deletions and contractions in $S \setminus X/Y$ can be done in any order, and

$$S \setminus X/Y = (E - (X \cup Y), \{F - Y : F \in \mathcal{F} \text{ and } Y \subseteq F \subseteq E - X\}).$$

The following lemma, which is [1, Lemma 2.1], shows that all minors of a proper set system are of this type.

Lemma 2.1. For any minor S' of a proper set system $S = (E, \mathcal{F})$, there are disjoint subsets X and Y of E such that

$$S' = S \setminus X/Y = (E - (X \cup Y), \{F - Y : F \in \mathcal{F} \text{ and } Y \subseteq F \subseteq E - X\}).$$

Bouchet and Duchamp [3] showed that, if S is a delta-matroid and $S' = S \setminus X/Y$, then S' is a delta-matroid and S' is independent of the order of the deletions and contractions.

The following definition from [9] is equivalent to that given in equations (1.1)–(1.2). Equivalence can be shown by a routine induction on |A|.

Definition 2.2. If $S = (E, \mathcal{F})$ is a set system and A is a subset of E, then the loop complementation of S by A, denoted by S+A, is the set system on E such that F is feasible in S+A if and only if S has an odd number of feasible sets F' with $F-A \subseteq F' \subseteq F$.

Note that if $A = \{e\}$, then the feasible sets of S + e that do not contain e are the same as those of S, and a set F containing e is feasible in S + e if and only if one but not both of F and F - e is feasible in S. That is, so long as e is not a loop or coloop,

$$\mathcal{F}(S+e) = \mathcal{F}(S \backslash e) \cup \{F \cup e : F \in \mathcal{F}(S \backslash e) \triangle \mathcal{F}(S/e)\}.$$

If e is a loop, then $\mathcal{F}(S+e) = \mathcal{F} \cup \{F \cup e : F \in \mathcal{F}\}$. If e is a coloop, then S+e=S.

The twist and loop complementation operations interact in the following way. If A and B are disjoint subsets of E then (S+A)*B=(S*B)+A (a two-element case check and routine induction suffice to verify this), but in general $(S*A)+A\neq (S+A)*A$. However ((S+A)*A)+A=((S*A)+A)*A (see [9]). It follows that there are at most six twisted duals of S with respect to a fixed set A. These relations ensure that any twisted dual of S is of the form ((S*X)+Y)*Z for suitably chosen subsets S, S and S of S with S is of the form in the proof of the following result.

Lemma 2.3. Let $S = (E, \mathcal{F})$ be a proper set system, and let a and b be distinct elements of E. Then

- (i) $S + a \backslash a = S \backslash a$,
- (ii) $S + a \backslash b = S \backslash b + a$, and
- (iii) S + a/b = S/b + a.

Proof. If a is a coloop of S, then S + a = S, so statement (i) follows. Also, a is not a coloop of S if and only if it is not a coloop of S + a, in which case the feasible sets avoiding a are the same in S and S + a by the definition.

For statement (ii), observe that b is a coloop of S+a if and only if it is a coloop of S. When b is not a coloop of S, statement (ii) holds since for each side, the feasible sets are the sets F with $b \notin F$ for which an odd number of the sets X with $F-a \subseteq X \subseteq F$ are in F. When b is a coloop of S, we need to show that S+a/b=S/b+a. This holds since

for each side, the feasible sets are the sets F with $b \notin F$ for which an odd number of the sets X with $(F - a) \cup b \subseteq X \subseteq F \cup b$ are in \mathcal{F} .

It is easy to check that $S'/e = S' * e \setminus e$, so, using statement (ii), we get statement (iii):

$$S + a/b = ((S+a)*b)\backslash b = ((S*b)+a)\backslash b = ((S*b)\backslash b) + a = S/b + a. \quad \Box$$

The counterpart, for contractions, of statement (i) is false, as taking $S=D_3$ shows.

3. 3-MINORS

We introduce a third minor operation on set systems. For a proper set system S, we define $S \ddagger e$ to be the set system (S+e)/e. This minor operation was first defined by Ellis–Monaghan and Moffatt [15] for ribbon graphs and in an equivalent way by Brijder and Hoogeboom [10] for delta-matroids. The notation \ddagger is new, but it seems appropriate to shorten the unwieldy +e/e notation. Motivation for this definition comes from two directions. First, one way to define the Penrose polynomial of a ribbon graph is by specifying a recursive relation analogous to the deletion-contraction recurrence of the chromatic polynomial with this minor operation replacing contraction. For this reason, following a suggestion of Iain Moffatt [18], we propose calling the operation *Penrose contraction*. Second, there is a class of combinatorial objects called multimatroids [6, 7, 8], of which tight 3-matroids are a particular subclass. Brijder and Hoogeboom [10] showed that tight 3-matroids are equivalent (in a sense that we do not make precise here) to vf-safe deltamatroids. Tight 3-matroids have three minor operations corresponding to deletion, contraction, and Penrose contraction in vf-safe delta-matroids.

Any sequence of the three minor operations, starting from S, gives another proper set system S', called a 3-minor of S. A collection $\mathcal C$ of proper set systems is 3-minor closed if every 3-minor of every member of $\mathcal C$ is in $\mathcal C$. Given such a collection $\mathcal C$, a proper set system S is an excluded 3-minor for $\mathcal C$ if $S \notin \mathcal C$ and all other 3-minors of S are in $\mathcal C$. A proper set system belongs to $\mathcal C$ if and only if none of its 3-minors is an excluded 3-minor for $\mathcal C$. Thus, the excluded 3-minors determine $\mathcal C$; they are the 3-minor-minimal obstructions to membership in $\mathcal C$.

For a given class \mathcal{C} , there may be substantially fewer excluded 3-minors than excluded minors. For instance, in [17], Geelen and Oum found 166 delta-matroids that, up to twists, are the excluded minors for ribbon-graphic delta-matroids within the class of binary delta-matroids. In contrast, in Theorem 5.8, we show that every binary matroid that does not have a twisted dual of one of three delta-matroids as a 3-minor is ribbon-graphic.

An element e is called a *pseudo-loop* of S if e is a loop of S+e. The next lemma characterizes these elements.

Lemma 3.1. For an element e in a proper set system S, the following statements are equivalent:

- (i) e is a loop of S + e, that is, a pseudo-loop of S,
- (ii) $F \cup e \in \mathcal{F}(S)$ if and only if $F \in \mathcal{F}(S)$, and
- (iii) S * e = S.

Pseudo-loops of S are neither loops nor coloops of S. Furthermore, $S \ddagger e = S \setminus e = S/e$ if and only if e is a loop, a coloop, or a pseudo-loop of S.

Proof. The equivalence of statements (i)–(iii) is immediate from the definitions. Statement (ii) implies that pseudo-loops are neither loops nor coloops. If e is a loop of S, then $S \ddagger e = S \setminus e$ since $\mathcal{F}(S+e) = \mathcal{F}(S) \cup \{F \cup e : F \in \mathcal{F}(S)\}$; also, $S \setminus e = S/e$ by definition. If e is a coloop of S, then $S \ddagger e = S/e$ since S + e = S; also, $S \setminus e = S/e$ by

definition. If e is a pseudo-loop of S, then statements (i) and (ii) gives the equality. If e is not a loop, a coloop, or a pseudo-loop of S, then $S \setminus e \neq S/e$ by the failure of statement (ii) and the fact that some, but not all, sets in $\mathcal{F}(S)$ contain e.

The following two results show that one may choose the operations used to form a 3-minor in such a way that they commute.

Lemma 3.2. Let $S = (E, \mathcal{F})$ be a proper set system, and let X, Y, and Z be pairwise disjoint subsets of E. If there is a set F with

(3.1) $F \subseteq E - (X \cup Y \cup Z)$ and $|\mathcal{F} \cap \{F' : F \cup Y \subseteq F' \subseteq F \cup Y \cup Z\}|$ is odd, then the minor operations in $S \setminus X/Y \ddagger Z$ can be done in any order and a set F is feasible in $S \setminus X/Y \ddagger Z$ if and only if it satisfies Condition (3.1).

Proof. A set F meets Condition (3.1) if and only if $F \subseteq E - (X \cup Y \cup Z)$ and $F \cup Y \cup Z$ is in $\mathcal{F}(S+Z)$. If there is at least one set satisfying Condition (3.1), the remarks preceding Lemma 2.1 imply that the deletions and contractions in forming $(S+Z) \setminus X/(Y \cup Z)$ from S+Z may be done in any order and a set F is feasible in $(S+Z) \setminus X/(Y \cup Z)$ if and only if it satisfies Condition (3.1). Lemma 2.3 implies that we may defer taking a loop complementation of an element in Z until just before it is contracted. The result follows.

We next show that for every 3-minor of a proper set system, there are pairwise disjoint sets X, Y and Z satisfying Condition (3.1).

Lemma 3.3. Let S' be a 3-minor of a proper set system $S = (E, \mathcal{F})$. Then there are pairwise disjoint subsets X, Y, and Z of E such that $S' = S \setminus X/Y \ddagger Z$ and there is a set E satisfying Condition (3.1).

Proof. Suppose we get S' from S by, for each of e_1, e_2, \ldots, e_k in turn, performing one the three minor operations, giving the sequence of minors $S_0 = S, S_1, \ldots, S_k = S'$. Let X be the set of elements e_i in $\{e_1, \ldots, e_k\}$ that satisfy at least one of the following conditions:

- (1) e_i is a loop or a pseudo-loop of S_{i-1} , so $S_i = S_{i-1} \setminus e_i$, or
- (2) e_i is not a coloop of S_{i-1} and $S_i = S_{i-1} \setminus e_i$.

Let Y be the set of elements e_i in $\{e_1,\ldots,e_k\}-X$ such that e_i is either a coloop of S_{i-1} or $S_i=S_{i-1}/e_i$. Note that if $e_i\in Y$ then it is not a loop in S_{i-1} . Finally let $Z=\{e_1,\ldots,e_k\}-(X\cup Y)$, so that Z comprises the elements e_i in $\{e_1,\ldots,e_k\}$ for which $S_i=S_{i-1}\ddagger e_i$ but e_i is not a loop, pseudo-loop or coloop. Then there is always at least one set F satisfying Condition (3.1).

Table 1 shows the result of applying one of the three minor operations that remove e after taking one of the six twisted duals, with respect to e, of a proper set system. If instead the minor operation removes a different element from that used for the twisted dual, then these operations commute.

We next show that any 3-minor of a twisted dual of a proper set system S is a twisted dual of some 3-minor of S. It is easy to see that the converse is also true.

Lemma 3.4. Suppose S is a proper set system and S' is a twisted dual of S. If S'' is a 3-minor of S', then S has a 3-minor that is a twisted dual of S''.

Proof. There are subsets A and B of E(S) such that we obtain S'' from S by first forming a twisted dual for each element of A and then performing one of the three minor operations for each element of B. The remarks before this lemma imply that one may reorder these

	/e	$\setminus e$	$\ddagger e$
\overline{S}	S/e	$S \setminus e$	$S \ddagger e$
S * e	$S \setminus e$	S/e	$S \ddagger e$
S + e	$S \ddagger e$	$S \setminus e$	S/e
(S+e)*e	$S \setminus e$	$S \ddagger e$	S/e
(S*e)+e	$S \ddagger e$	S/e	$S \setminus e$
((S*e) + e) * e	S/e	$S \ddagger e$	$S \setminus e$

TABLE 1. Interaction of minor operations and twisted duality.

operations to first deal with the elements of $A \cap B$, one by one, forming a twisted dual for an element and then a 3-minor before moving on to the next element. According to Table 1 each of these pairs of operations may be replaced by a single 3-minor operation. Next a 3-minor is formed for each element of B-A. The resulting set system is a twisted dual of S'' with respect to the elements of A - B.

4. Characterizations by excluded 3-minors

Brijder and Hoogeboom [11] showed that the class of vf-safe delta-matroids is minorclosed. A computer search for excluded minors for this class turns up many examples with apparently little structure. The class of vf-safe delta-matroids is defined using both the twist and loop complementation operations, so it is natural to try to characterize this class using 3-minors. By Lemma 4.1 below, the class of vf-safe delta-matroids is closed under Penrose contraction, so, with the result in [11], it is closed under 3-minors. The main result of this section, Theorem 4.4, gives the excluded 3-minors for the class of vf-safe delta-matroids within the class of set systems.

Lemma 4.1. If S is vf-safe and $e \in E(S)$, then $S \ddagger e$ is vf-safe.

Proof. If S is vf-safe, then all of its twisted duals are vf-safe by definition, so S + e is vf-safe. Theorem 8.3 in [11] states that every minor of a vf-safe delta-matroid is vf-safe. Thus $S \ddagger e = S + e/e$ is vf-safe.

Let

$$S_i = (\{e_1, e_2, \dots, e_i\}, \{\emptyset, \{e_1, e_2, \dots, e_i\}\}).$$

Let S be the set of all twists of the set systems in $\{S_3, S_4, \dots\}$. Let

- $T_1 = (\{a, b, c\}, \{\emptyset, \{a, b\}, \{a, b, c\}\});$
- $T_2 = (\{a, b, c\}, \{\emptyset, \{a, b\}, \{a, c\}, \{a, b, c\}\});$
- $T_3 = (\{a, b, c\}, \{\emptyset, \{a\}, \{a, b\}, \{a, b, c\}\});$
- $T_4 = (\{a, b, c\}, \{\emptyset, \{a\}, \{a, b\}, \{a, c\}, \{a, b, c\}\});$
- $T_5 = (\{a, b, c, d\}, \{\emptyset, \{a, b\}, \{a, b, c, d\}\});$
- $T_6 = (\{a, b, c, d\}, \{\emptyset, \{a, b\}, \{a, c\}, \{a, b, c, d\}\});$ $T_7 = (\{a, b, c, d\}, \{\emptyset, \{a, b\}, \{a, c\}, \{a, d\}, \{a, b, c, d\}\});$
- $T_8 = (\{a, b, c, d\}, \{\emptyset, \{a\}, \{a, b\}, \{a, c\}, \{a, d\}, \{a, b, c, d\}\}).$

Let \mathcal{T} be the set of all twists of the set systems in $\{T_1, T_2, \dots, T_8\}$. By the following result from [1, Theorem 5.1], these are all of the excluded minors for delta-matroids within the class of set systems.

Theorem 4.2. A proper set system S is a delta-matroid if and only if S has no minor isomorphic to a set system in $S \cup T$.

The following lemma is key for finding the excluded 3-minors for vf-safe delta-matroids within the class of set systems.

Lemma 4.3. Let S be an excluded 3-minor for the class of vf-safe delta-matroids. Then S has a twisted dual that is isomorphic to a set system in $S \cup T$.

Proof. Such an excluded 3-minor S either is not a delta-matroid and all of its other minors are delta-matroids, or it is a delta-matroid and has a twisted dual S' that is not a delta-matroid. In the former case S is isomorphic to a set system in $S \cup T$ and the lemma holds. In the latter case S' has a minor S'' isomorphic to a member of $S \cup T$. By Lemma 3.4, S has a 3-minor S''' that is a twisted dual of S''. Therefore S''' is not a vf-safe delta-matroid. The only 3-minor of S that is not a vf-safe delta-matroid is S itself. Hence S = S''' and the lemma holds.

To connect the next result with the remarks in Section 1, note that $D_3 + \{a, b, c\} = S_3$.

Theorem 4.4. A proper set system is a vf-safe delta-matroid if and only if it has no 3-minor that is isomorphic to a twisted dual of S_3 .

Proof. All proper set systems with two elements are delta-matroids, and therefore each one is vf-safe, so the twisted duals of S_3 are excluded 3-minors for the class of vf-safe delta-matroids. By Lemma 4.3 every excluded 3-minor for the class of vf-safe delta-matroids must be a twisted dual of a set system in $S \cup T$. We first consider the set systems with three-element ground sets. We have $T_1^* + c = S_3$ and $T_2^* + \{b,c\} \simeq T_3 + a = T_1$ and $T_4 + a = T_2$, so every excluded 3-minor of size three is a twisted dual of S_3 .

Lastly, we show that no other set system in $\mathcal{S} \cup \mathcal{T}$ is an excluded 3-minor. Lemma 3.4 implies that each twisted dual of an excluded 3-minor is an excluded 3-minor, so it suffices to show that each of T_5 , T_6 , T_7 , T_8 , and S_n , for $n \geq 4$, has a smaller member of $\mathcal{S} \cup \mathcal{T}$ as a 3-minor. Indeed, $S_n \ddagger e_n = S_{n-1}$, for $n \geq 4$, $T_5 \ddagger d = T_1$, $T_6 \ddagger d = T_8 \ddagger d = T_2$, and $T_7 \ddagger d = T_4$.

As stated in the introduction, there are 28 twisted duals of S_3 , up to isomorphism. These excluded 3-minors are listed in Tables 2-7.

5. 3-MINORS AND VERTEX MINORS

We now explain the link between 3-minors and vertex minors in binary delta-matroids. Vertex minors are well-studied, but are only defined for binary delta-matroids. In contrast, the concept of a 3-minor is relatively unstudied, but is important due to its direct correlation with ribbon-graph operations and its applicability beyond binary delta-matroids. For this reason, and for completeness, we give a full explanation here. Although the key ideas presented here are not new, the link between vertex minors and 3-minors has not previously been fully described.

A delta-matroid is *normal* if the empty set is feasible. A delta-matroid is *even* if for every pair F_1 and F_2 of its feasible sets $|F_1 \triangle F_2|$ is even. Equivalently, the sizes of all its feasible sets are of the same parity. Let M denote a symmetric binary matrix with rows and columns indexed by $[n] = \{1, \ldots, n\}$. Take E = [n] and $\mathcal F$ to be the collection of subsets S of [n] for which the principal submatrix of M comprising the rows and columns indexed by elements of S is non-singular. Bouchet [3] showed that $D(M) = (E, \mathcal F)$ is a delta-matroid. We call such delta-matroids *basic binary*. (In the literature, what we have called basic binary delta-matroids are often called graphic, but we prefer to avoid this term to prevent confusion with ribbon-graphic delta-matroids.) A delta-matroid is *binary* [3] if it is a twist of a basic binary delta-matroid.

It follows immediately from the definition that every basic binary delta-matroid is normal and that a basic binary delta-matroid is uniquely determined by its feasible sets of size at most two. A well-known result of linear algebra states that a symmetric matrix with an odd number of rows (and columns) and zero diagonal is singular. Consequently a basic binary delta-matroid is even if and only if it has no feasible sets of size one.

Let A be a matrix over an arbitrary field with rows and columns indexed by [n], and let X be a subset of [n] such that the principal sub-matrix P = A[X] is non-singular. Suppose

without loss of generality that $A=\begin{pmatrix}P&Q\\R&S\end{pmatrix}$. Then the matrix A*X is defined by $A*X=\begin{pmatrix}P^{-1}&-P^{-1}Q\\RP^{-1}&S-RP^{-1}Q\end{pmatrix}.$

$$A*X = \begin{pmatrix} P^{-1} & -P^{-1}Q \\ RP^{-1} & S - RP^{-1}Q \end{pmatrix}.$$

Note that if A is a symmetric binary matrix then A * X is symmetric. The following result is due to Tucker [20].

Theorem 5.1. Let A be a matrix over an arbitrary field with rows and columns indexed by [n], and let X be a subset of [n] such that the principal sub-matrix P = A[X] is nonsingular. Then for every subset Y of [n], we have

$$\det\bigl((A*X)[Y]\bigr) = \frac{\det(A[X\bigtriangleup Y])}{\det(A[X])}.$$

In particular for any subset Y of [n], the principal submatrix (A*X)[Y] is non-singular if and only if the principal submatrix $A[X \triangle Y]$ is non-singular.

The following corollary is immediate.

Corollary 5.2. Suppose that A is a binary matrix, and X is a feasible set of D(A). Then D(A) * X = D(A * X).

See [3] for an alternative proof of this result that holds for arbitrary fields. A consequence of this corollary is that every normal twist of a basic binary delta-matroid is basic

A looped simple graph is a graph without parallel edges but in which each vertex is allowed to have up to one loop. Much of the time we will forbid loops; we call such graphs loopless simple graphs. Recall that basic binary delta-matroids are completely determined by their feasible sets with size two or fewer. Clearly basic binary delta-matroids on the set [n] are in one-to-one correspondence with looped simple graphs with vertex set [n]; likewise, even basic binary delta-matroids on [n] are in one-to-one correspondence with loopless simple graphs with vertex set [n].

We take adjacency matrices to always be binary. Given a looped simple graph G and its adjacency matrix A, we let D(G) denote the basic binary delta-matroid D(A). If X is a subset of the edges of G, then X labels a subset of the rows and columns of A, and we define G * X to be the looped simple graph with adjacency matrix A * X.

We now consider various transformations that may be applied to G and their effect on D(G).

The loop complementation operation of Brijder and Hoogeboom was first defined in terms of basic binary delta-matroids. If G is a looped simple graph and v is a vertex of G, then the loop complementation G+v is formed by toggling the loop at v, that is, removing a loop if there is one at v and adding one at v if there is no loop there.

The following lemma from [9] is straightforward.

Lemma 5.3. Let G be a looped simple graph with vertex v. Then D(G+v) = D(G) + v.

Our next operation is local complementation. There are several variations in the definition of local complementation: see, for instance, [19]. We will only require certain cases of what is defined there. For a looped simple graph G with vertex v, let $N_G(v)$ denote the *open neighbourhood* of v, that is, the set of vertices, excluding v, that are adjacent to v in G. We will generally write N instead of N_G when there is no possibility of confusion. The *local complementation* of G at v, denoted by G^v , is formed by toggling the adjacencies between pairs of neighbours of v, that is, for every distinct pair x, y from the neighbourhood of v, delete edge xy if x and y are adjacent in G and add edge xy if x and y are not adjacent in G. Additionally, if there is a loop at v, then the loop status of every vertex in the open neighbourhood of v is toggled. In both cases, adjacencies involving one or more non-neighbours of v or v itself are unchanged and the presence or not of a loop at v is unaffected. To distinguish the two cases, it will be helpful to refer to local complementation at v as simple local complementation when v is loopless, and non-simple local complementation when there is a loop at v.

For delta-matroid D and subset $A \subseteq E(D)$, let $D \overline{*} A$ denote the *dual pivot on A*, which is equal to D + A * A + A. The following result is implicit in the results of [19], but is not expressed in this form.

Proposition 5.4. Let G be a loopless simple graph with vertex v. Then $D(G^v) = (D(G) \overline{*} v) + N(v)$.

Proof. Let A be the adjacency matrix of G. Then A is symmetric and all of its diagonal entries are zero. Notice that the simple local complementation G^v can be formed by adding a loop at v, performing the non-simple local complementation at v and then removing the loops added at v and all of its neighbours.

We have D(G+v)=D(G)+v. Assume without loss of generality that v=1 and let Z=[n]-1. Then the adjacency matrix of G+v is $\begin{pmatrix} 1 & c \\ c^t & A[Z] \end{pmatrix}$ for some vector c. Then it follows from Corollary 5.2 that (D(G)+v)*v=D((G+v)*v)=D(A') where $A'=\begin{pmatrix} 1 & c \\ c^t & A[Z]+c^tc \end{pmatrix}$.

A diagonal entry of c^tc is non-zero if it corresponds to a neighbour of v and an off-diagonal entry of c^tc is non-zero if both the row and column correspond to neighbours of v. Thus (D(G) + v) * v = D(G') where G' is formed from G by adding a loop at v and performing the non-simple local complementation at v. Now G' has loops at v and at all neighbours of v, so

$$D(G^{v}) = D(G' + v + N(v)) = D(G') + v + N(v) = (D(G)\overline{*}v) + N(v).$$

The corollary below is well-known and follows from the previous result.

Corollary 5.5. Let G be a loopless simple graph with adjacent vertices v and w. Then $D(((G^v)^w)^v) = D(G) * \{v, w\}.$

Proof. We have

$$D(((G^v)^w)^v) = ((D(G)\overline{*}v + N(v))\overline{*}w + N_{G^v}(w))\overline{*}v + N_{(G^v)^w}(v).$$

It follows from the discussion before Lemma 2.3 that one may reorder the loop complement and twist operations so that those involving a particular vertex of G are done consecutively. The result follows by considering the effect of the operations involving each vertex of G separately and noting that

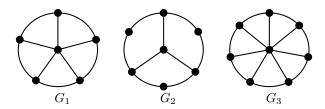


FIGURE 1. A complete set of circle graph obstructions.

- (1) a common neighbour of v and w in G is a neighbour of v but not w in both G^v and $(G^v)^w$,
- (2) a vertex other than w that is a neighbour of v but not w in G is a neighbour of both v and w in G^v and of w but not v in $(G^v)^w$, and
- (3) a vertex other than v that is a neighbour of w but not v in G is a neighbour of both v and w in $(G^v)^w$ and of w but not v in G^v .

A *vertex minor* of a looped simple graph G is formed from G by a sequence of local complementations and deletions of vertices. It is easy to check that if v and w are different vertices of an unlooped simple graph, then $(G^v) \setminus w = (G \setminus w)^v$ and thus one may assume that all the local complementations are done first.

Perhaps the most important use of vertex minors is Bouchet's characterization of circle graphs. A *chord diagram* is a collection of chords of a circle. Chord diagrams are in one-to-one correspondence with orientable ribbon graphs with one vertex. (For more information on ribbon graphs, see [16] or [14].) To see this think of the circle and its interior as the vertex of a ribbon graph and for each chord attach a ribbon to the vertex at the points corresponding to the endpoints of the chord. Clearly two chords intersect if and only if the corresponding ribbons e_1 and e_2 are interlaced, that is, as one traverses the vertex one meets an end of e_1 , then an end of e_2 , then the other end of e_1 , and finally the other end of e_2 . An unlooped simple graph is a *circle graph* if it is the intersection graph of the chords in a chord diagram, that is, there is a vertex corresponding to each chord and they are adjacent if and only if the chords cross. Equivalently a circle graph is the interlacement graph of an orientable ribbon graph with one vertex: it has a vertex for each ribbon and two vertices are adjacent if the corresponding ribbons are interlaced. Bouchet established the following result [5].

Theorem 5.6. An unlooped simple graph is a circle graph if and only if it has no vertex minor isomorphic to the graphs G_1 , G_2 or G_3 depicted in Figure 1.

We are now ready to state the link between 3-minors and vertex minors.

Theorem 5.7. (1) Let G be a unlooped simple graph and let H be a vertex minor of G. Then D(H) is a 3-minor of D(G).

(2) Let D be a twisted dual of a basic binary delta-matroid and let D' be a 3-minor of D. Then there are graphs G and G' such that D(G) and D(G') are twisted duals of D and D' respectively, and G' is a vertex minor of G.

Proof. For part (1), note that a vertex minor of an unlooped simple graph is obtained by a sequence of local complementations and vertex deletions. The result follows from Proposition 5.4 and the fact that if v is a vertex of G then $D(G \setminus v) = D(G) \setminus v$.

For part (2), let F be a feasible set of D and let

$$B = \{ e \in E(D) : \{ e \} \in \mathcal{F}(D * F) \}.$$

The remark following Corollary 5.2 implies that D*F is basic binary, so (D*F)+B is an even basic binary delta-matroid, so (D*F)+B=D(G) for some unlooped simple graph G. It follows from Lemma 3.4 that there is a delta-matroid D'' that is a 3-minor of D(G) and a twisted dual of D'. We shall prove by induction on K that if K is an unlooped simple graph and K is a 3-minor of K of K is a unlooped simple graph K that is a vertex minor of K and such that K is a twisted dual of K. The result then follows.

If k=0, then take G'=G. Otherwise D'' is obtained from D(G) by a sequence of k deletions, contractions and Penrose contractions. Suppose that the first operation is the deletion of v. Then take $G''=G\setminus v$, which is a vertex minor of G. Furthermore $D(G)\setminus v=D(G'')$ and D'' is a 3-minor of D(G'') with k-1 fewer edges. Hence, by induction, there is an unlooped simple graph G' that is a vertex minor of G'' and hence of G, and such that D(G') is a twisted dual of D''. Suppose next that the first operation is the Penrose contraction of v. Then take $G''=(G^v)\setminus v$. We have

$$\begin{split} D(G'') &= D(G^v \setminus v) \\ &= \left(\left(\left((D(G) + v) * v) + v \right) + N(v) \right) \setminus v \\ &= \left(\left(\left((D(G) * v) + v \right) * v \right) \setminus v \right) + N(v) \\ &= \left(\left((D(G) * v) + v \right) / v \right) + N(v) \\ &= \left(D(G) \ddagger v \right) + N(v). \end{split}$$

(The last equality uses Table 1.) Now D(G'') is a twisted dual of $D(G)\ddagger v$, so it has a 3-minor D''' with k-1 fewer elements that is a twisted dual of D''. Hence, by induction, there is an unlooped simple graph G' that is a vertex minor of G'' such that D(G') is a twisted dual of D''' and consequently of D''. In the final case the first operation is the contraction of v. If v is an isolated vertex of G then v appears in no feasible set of D(G) of size at most two and consequently in no feasible set of D(G) of any size. Thus v is a loop of D(G) and $D(G)/v = D(G) \setminus v = D(G \setminus v)$. If v is not an isolated vertex of v then let w be a neighbour of v. We have

$$D(((G^v)^w)^v \setminus v) = D(((G^v)^w)^v) \setminus v$$
$$= (D(G) * \{v, w\}) \setminus v$$
$$= (D(G)/v) * w.$$

The proof of this case is completed in a similar way to the case of Penrose contraction. \Box

From the preceding result we obtain the following restatement of Bouchet's result, determining the three binary delta-matroids that are the excluded 3-minors for ribbon-graphic delta-matroids.

Theorem 5.8. A binary delta-matroid is ribbon-graphic if and only if it has no 3-minor that is a twisted dual of $D(G_1)$, $D(G_2)$ or $D(G_3)$.

Proof. If D is a binary delta-matroid and v is an element of D then D is ribbon-graphic if and only if D+v is ribbon graphic, because it follows from Theorem 4.1 of [14] that if R is a ribbon graph with D=D(R) then D+v is the delta-matroid corresponding to the ribbon graph formed from R by applying a half-twist to v. Let

$$B = \{e \in E(D) : \{e\} \in \mathcal{F}(D)\}.$$

Then D+B is even and, furthermore, D+B is ribbon-graphic if and only if D is ribbon-graphic. Now D+B=D(G) where G is an unlooped simple graph. Bouchet's Theorem 5.6 states that G is a circle graph if and only if G has no vertex minor isomorphic to G_1 , G_2 or G_3 . Equivalently D+B is ribbon-graphic if and only if it has no 3-minor that is a twisted dual of $D(G_1)$, $D(G_2)$ or $D(G_3)$. As D+B is a twisted dual of D, the result follows.

We close by presenting excluded 3-minor results for the classes of binary delta-matroids and ribbon graphic delta-matroids that follow from Theorem 4.4. Bouchet [4] proved that every minor of a binary delta-matroid is binary and gave the following excluded-minor characterization of binary delta-matroids.

Theorem 5.9. A delta-matroid is binary if and only if it does not have a minor isomorphic to any of the following five delta-matroids or their twists.

```
(1) B_1 = (\{a, b, c\}, \{\emptyset, \{a, b\}, \{a, c\}, \{b, c\}, \{a, b, c\}\});

(2) B_2 = S_3 + \{a, b, c\};

(3) B_3 = (\{a, b, c\}, \{\emptyset, \{b\}, \{c\}, \{a, b\}, \{a, c\}, \{a, b, c\}\});

(4) B_4 = (\{a, b, c, d\}, \{\emptyset, \{a, b\}, \{a, c\}, \{a, d\}, \{b, c\}, \{b, d\}, \{c, d\}\});

(5) B_5 = (\{a, b, c, d\}, \{\emptyset, \{a, b\}, \{a, d\}, \{b, c\}, \{c, d\}, \{a, b, c, d\}\}).
```

 $(3) \ D_5 = (\{u, v, c, u\}, \{v, \{u, v\}, \{u, u\}, \{v, c\}, \{c, u\}, \{u, v, c, u\}\}).$

We obtain corollaries of this result characterizing binary delta-matroids in terms excluded 3-minors.

Corollary 5.10. A vf-safe delta-matroid is binary if and only if it has no 3-minor that is a twisted dual of B_1 .

Proof. Theorem 8.2 of [11] states that every twisted dual of a binary delta-matroid is a binary delta-matroid. In particular every binary delta-matroid is vf-safe. Moreover, every 3-minor of a binary delta-matroid is binary. The delta-matroid B_1 is vf-safe and all of its 3-minors are binary. Thus all of its twisted duals are excluded 3-minors for the class of binary delta-matroids.

Suppose that D is a vf-safe delta-matroid that is not binary. Then Theorem 5.9 implies that D has a minor isomorphic to a twist of B_i for $1 \le i \le 5$. The delta-matroid B_2 is not vf-safe and $B_4 \ddagger d = B_2$, so D has no minor isomorphic to a twist of B_2 or of B_4 . Furthermore $(B_3 + a)^* = B_1$, and $B_5 \ddagger d \simeq B_3$. Thus D has a 3-minor that is isomorphic to a twisted dual of B_1 .

By combining this result with Theorem 4.4, we obtain the following.

Corollary 5.11. A proper set system is a binary delta-matroid if and only if it has no 3-minor that is a twisted dual of B_1 or S_3 .

Finally we combine the last two results with Theorem 5.8.

Corollary 5.12. A proper set system is a ribbon graphic delta-matroid if and only if it has no 3-minor that is a twisted dual of B_1 , S_3 , $D(G_1)$, $D(G_2)$ or $D(G_3)$.

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6. Appendix: The Twisted duals of S_3
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As proved in Theorem 4.4, these twisted duals of S_3 are the excluded 3-minors for vf-safe delta-matroids.

$$S_3$$
 \emptyset $\{a,b,c\}$ $S_3*\{a\}$ $\{a\}$ $\{b,c\}$

TABLE 2. All twists of S_3 up to isomorphism.

Ø	$\{a\}$	$\{a,b,c\}$	Ø		$\{b,c\}$	$\{a,b,c\}$
	S_3 +	$\{a\}$		(5	$G_3 + \{a\}$)*
Ø	$\{a\}$ $\{b, a\}$	c}		<i>{a}</i>	$\{b,c\}$	$\{a,b,c\}$
	$(S_3 + \{a$	$) * \{a\}$		$(S_3 +$	<i>(a)</i> *	$\{b,c\}$
	$\{b\}$ $\begin{cases} a, \\ a, \end{cases}$	$b\}$ $c\}$		$\{b\}$ $\{c\}$	$\{a,c\}$	
	$(S_3 + \{a$	}) * {b}		$(S_3 +$	{a}) *	$\overline{\{a,c\}}$

TABLE 3. All twists of $S_3 + \{a\}$ up to isomorphism. Dual pairs are side by side.

$$\begin{bmatrix} \emptyset & \{a\} \\ \{b\} & \{a,b\} & \{a,b,c\} & \emptyset & \{c\} & \{a,c\} \\ \{b,c\} & \{b,c\} & \{b,c\} & \{a,b,c\} \end{bmatrix}$$

$$S_3 + \{a,b\} & (S_3 + \{a,b\})^*$$

$$\begin{bmatrix} \emptyset & \{a\} & \{a,b\} & \{a\} & \{a,c\} \\ \{b\} & \{b,c\} & \{c\} & \{b,c\} & \{a,b,c\} \end{bmatrix}$$

$$(S_3 + \{a,b\}) * \{a\} & (S_3 + \{a,b\}) * \{b,c\}$$

$$\{c\} & \{a,c\} & \{a,b,c\} & \emptyset & \{b\} & \{a,b\} \\ \{c\} & \{b,c\} & \{c\} & \{c\}$$

TABLE 4. All twists of $S_3+\{a,b\}$ up to isomorphism. Dual pairs are side by side.

Ø		
	$S_3 + \{a, b, c\}$	$(S_3 + \{a, b, c\})^*$
Ø	$ \begin{array}{ccc} \{a\} & \{a,b\} \\ \{b\} & \{a,c\} \end{array} \ \{a,b,c\} $ $ \{c\} \ \ \{a,b,c\} \ \ \{a,b,c\} $	
	$S_3 + \{a, b, c\} * \{a\}$	$S_3 + \{a, b, c\} * \{b, c\}$

TABLE 5. All twists of $S_3 + \{a, b, c\}$ up to isomorphism. Dual pairs are side by side.

TABLE 6. All twists of $(S_3*\{a\})+\{a,b\}$ up to isomorphism. Dual pairs are side by side.

	$ \begin{cases} \{a\} \\ \{b\} \{b,c\} \\ \{c\} \end{cases} $
$(S_3 * \{a\}) + \{a, b, c\}$	$((S_3 * \{a\}) + \{a, b, c\})^*$
$ \emptyset \begin{cases} b \\ \{c \} \end{cases} \qquad \{a,b,c \} $	$\emptyset \qquad \begin{cases} \{a,b\} \\ \{a,c\} \end{cases} \qquad \{a,b,c\}$
$((S_3 * \{a\}) + \{a,b,c\}) * \{a\}$	$((S_3 * \{a\}) + \{a, b, c\}) * \{b, c\}$
	$\emptyset \{c\} \begin{cases} a, b \\ \{b, c\} \end{cases}$
$((S_3 * \{a\}) + \{a, b, c\}) * \{b\}$	$((S_3 * \{a\}) + \{a, b, c\}) * \{a, c\}$

TABLE 7. All twists of $(S_3*\{a\})+\{a,b,c\}$ up to isomorphism. Dual pairs are side by side.

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