

# Remarks on the coloring number of graphs <sup>†</sup>

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## Abstract

We give two characterizations of graphs with coloring number  $\leq \kappa$  in terms of elementary submodels; one under ZFC and another under SSH and the version of very weak square principle of [8].

These characterizations suggest that the graphs with coloring number  $\leq \kappa$  behave very much like the Boolean algebras with  $\kappa$ -Freese-Nation property (see [5], [8]).

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# 1 Introduction

A graph  $G = \langle G, K \rangle$  ( $K \subseteq [G]^2$ ) has *coloring number*  $\leq \kappa$  (notation:  $\text{col}(G) \leq \kappa$ ) if there is a well ordering  $\in$  on  $G$  such that  $K_{\in}^a = \{b \in G : b \in a \text{ and } \{a, b\} \in K\}$  has cardinality  $< \kappa$  for all  $a \in G$  ([3]). The *coloring number*  $\text{col}(G)$  of  $G$  is then defined as the minimum of such  $\kappa$ 's. It is easy to see that the chromatic number  $\chi(G)$  of  $G$  is less or equal to  $\text{col}(G)$ .

The purpose of this note is to show that the graphs with coloring number  $\leq \kappa$  behave quite similarly to the Boolean algebras with  $\kappa$ -Freese-Nation property (see e.g. [5], [8]).

In Section 2 we give a characterization of graphs with coloring number  $\leq \kappa$  in terms of elementary submodels (Theorem 2.4). As an application of the characterization, we present in Section 3 a short proof of the countability of the coloring number of the plane.

In Section 4, we show that the characterization of Section 2 can be yet sharpened under SSH and the version of the very weak square principle introduced in [8] (Theorem 4.2).

Both Theorems 2.4 and 4.2 find their parallels in the theory of Boolean algebras with  $\kappa$ -Freese-Nation property (see PROPOSITION 3 and THEOREM 10 in [8]).

The following theorem also underlines the analogy between the Boolean algebras with the  $\kappa$ -Freese-Nation property and the graphs with coloring number  $\leq \kappa$  in the case of  $\kappa = \aleph_0$ . Note that Boolean algebras with  $\aleph_0$ -Freese Nation property are also called *openly generated*.

If  $G = \langle G, K \rangle$  is graph then we identify any subset  $H$  of  $G$  with the graph  $G \upharpoonright H = \langle H, K \cap [H]^2 \rangle$ .

**Theorem 1.1** ([6] and [7]). *The following assertions are equivalent over ZFC:*

- ( $\alpha$ ) *For any Boolean algebra  $B$  if there are club many subalgebras of  $B$  of cardinality  $\aleph_1$  which are openly generated then  $B$  is openly generated.*
- ( $\beta$ ) *For any graph  $G$  if  $\text{col}(H) \leq \aleph_0$  for every  $H \in [G]^{\aleph_1}$  then  $\text{col}(G) \leq \aleph_0$ .*

□

Theorem 1.1 in this formulation is a sort of bluff since we actually proved that each of the assertions ( $\alpha$ ) and ( $\beta$ ) is equivalent to the set-theoretic principle FRP introduced in [4].

## 2 A characterization of graphs with coloring number $\leq \kappa$

We use here the following notations. The first one was already used in the introduction:

For a linear ordering  $\in$  on a graph  $G = \langle G, K \rangle$  we denote

$$(2.1) \quad K_{\in}^a = \{b \in G : b \in a \text{ and } \{a, b\} \in K\}.$$

If  $H \subseteq G$  then we write

$$(2.2) \quad K_{\in}^{H,a} = \{b \in H : b \in a \text{ and } \{a, b\} \in K\}$$

For a graph  $G = \langle G, K \rangle$ ,  $H \subseteq G$  and  $a \in G$ , let

$$(2.3) \quad K_H^a = \{b \in H : \{a, b\} \in K\}.$$

We write  $H \sqsubseteq_{\kappa} G$  if  $|K_H^a| < \kappa$  for all  $a \in G \setminus H$ .

A mapping  $f : G \rightarrow [G]^{<\kappa}$  is a  $\kappa$ -coloring mapping on  $G$  if for any  $a, b \in G$  with  $\{a, b\} \in K$ , at least one of  $a \in f(b)$  or  $b \in f(a)$  holds.

**Lemma 2.1** (Erdős and Hajnal [3]). *For any graph  $G$  and any infinite cardinal  $\kappa$ , the following are equivalent:*

- (a)  $col(G) \leq \kappa$ .
- (b) *There is a  $\kappa$ -coloring mapping on  $G$ .*

**Proof.** (a)  $\Rightarrow$  (b): Suppose that  $col(G) \leq \kappa$  and let  $\in$  be a well-ordering on  $G$  such that  $|K_{\in}^a| < \kappa$  for all  $a \in G$ . Then  $f : G \rightarrow [G]^{<\kappa}$  defined by  $f(a) = K_{\in}^a$  for  $a \in G$  is a  $\kappa$ -coloring mapping.

(b)  $\Rightarrow$  (a): Suppose that  $f : G \rightarrow [G]^{<\kappa}$  is a  $\kappa$ -coloring mapping on  $G$ . Let  $\in$  be a well-ordering on  $G$  such that all initial segments of  $G$  of order-type of the form  $\kappa \cdot \alpha$  with respect to  $\in$  are closed with respect to  $f$ . Then  $\in$  is as desired:

**Claim 2.1.1.**  $|K_{\in}^a| < \kappa$  for all  $a \in G$ .

⊢ Suppose that  $a \in G$  is the  $\kappa \cdot \alpha + \beta$ 'th element with respect to  $\in$  where  $\beta < \kappa$ . Then the first  $\kappa \cdot \alpha$  elements of  $G$  are closed with respect to  $f$  and hence if  $b$  is among them and  $\{a, b\} \in K$  then we have  $b \in f(a)$ . Thus

$$K_{\in}^a \subseteq \{b \in G : b \text{ is the } \gamma\text{'th element for some } \kappa \cdot \alpha \leq \gamma < \kappa \cdot \alpha + \beta\} \cup f(a).$$

The right side of the inclusion has size  $< \kappa$  (note that we need here the infinity of  $\kappa$ ). Hence  $|K_{\in}^a| < \kappa$ . — (Claim 2.1.1)

□ (Lemma 2.1)

**Lemma 2.2.** *Suppose that  $\langle G_\alpha : \alpha < \delta \rangle$  is a filtration of a graph  $G = \langle G, K \rangle$  and  $\kappa$  is an infinite cardinal. If  $G_\alpha \sqsubseteq_\kappa G$  and  $\text{col}(G_{\alpha+1}) \leq \kappa$  for all  $\alpha < \delta$ , then we have  $\text{col}(G) \leq \kappa$ .*

**Proof.** For  $a \in G$  let  $o(a) = \min\{\alpha < \delta : a \in G_{\alpha+1}\}$ . For  $\alpha < \delta$ , let  $\in_{\alpha+1}$  be a well-ordering of  $G_{\alpha+1}$  witnessing  $\text{col}(G_{\alpha+1}) \leq \kappa$ . Let  $\in$  be the ordering on  $G$  defined by:

$$(2.4) \quad a \in b \iff o(a) < o(b) \text{ or } \left( o(a) = o(b) \text{ and } a \in_{o(a)+1} b \right).$$

Then  $\in$  is a well ordering on  $G$ . The following claim shows that  $\in$  witnesses that  $G$  has coloring number  $< \kappa$ .

**Claim 2.2.1.**  $|K_{\in}^a| < \kappa$  for all  $a \in G$ .

— For  $a \in G$ , we have  $K_{\in}^a \subseteq K_{G_{o(a)}}^a \cup K_{\in_{o(a)+1}}^{G_{o(a)+1}, a}$ . Since the right side of the inclusion is of cardinality  $< \kappa$ , it follows that  $|K_{\in}^a| < \kappa$ . — (Claim 2.2.1)

□ (Lemma 2.2)

**Lemma 2.3.** *Suppose that  $H_0$  and  $H_1$  are subsets of  $G$  with  $H_0 \sqsubseteq_\kappa G$  and  $H_1 \sqsubseteq_\kappa G$ . Then we have  $H_0 \cap H_1 \sqsubseteq_\kappa G$ .*

**Proof.** Suppose that  $a \in G \setminus (H_0 \cap H_1)$ . Then we have  $a \in G \setminus H_0$  or  $a \in G \setminus H_1$ . If  $a \in G \setminus H_0$ , then  $K_{H_0 \cap H_1}^a \subseteq K_{H_0}^a$ . And hence  $|K_{H_0 \cap H_1}^a| < \kappa$ . If  $a \in G \setminus H_1$ , then  $K_{H_0 \cap H_1}^a \subseteq K_{H_1}^a$ . And hence again we have  $|K_{H_0 \cap H_1}^a| < \kappa$ .

This shows  $H_0 \cap H_1 \sqsubseteq_\kappa G$ . □ (Lemma 2.3)

**Theorem 2.4.** *For any graph  $G = \langle G, K \rangle$  and an infinite cardinal  $\kappa$ , the following are equivalent:*

- (a)  $\text{col}(G) \leq \kappa$ .
- (a') *There is a well-ordering  $\in$  of  $G$  of order-type  $|G|$  such that  $|K_{\in}^a| < \kappa$  for all  $a \in G$ .*
- (b)  *$G$  has a  $\kappa$ -coloring mapping.*
- (c) *For all sufficiently large regular  $\chi$  and for all  $M \prec \mathcal{H}(\chi)$  such that  $\langle G, K \rangle \in M$  and  $\kappa + 1 \subseteq M$  we have  $G \cap M \sqsubseteq_\kappa G$ .*

**Proof.** (a)  $\Rightarrow$  (b) was already proved in Lemma 2.1. (a')  $\Rightarrow$  (a) is trivial. The proof of (b)  $\Rightarrow$  (a) in Lemma 2.1 actually proves (b)  $\Rightarrow$  (a').

For (a)  $\Rightarrow$  (c), suppose that  $G = \langle G, K \rangle$  has coloring number  $\leq \kappa$ . Let  $\chi$  be a sufficiently large regular cardinal and  $M \prec \mathcal{H}(\chi)$  be such that  $G \in M$  and  $\kappa + 1 \subseteq M$ . By elementarity and (a)  $\Leftrightarrow$  (b), there is  $f \in M$  such that  $f$  is a  $\kappa$ -coloring mapping on  $G$ . Note that by  $\kappa + 1 \subseteq M$  and by elementarity,  $G \cap M$  is closed with respect to  $f$ . For  $a \in G \setminus M$  and  $b \in K_{G \cap M}^a$ , since  $a \notin f(b) \subseteq M$ , we have  $b \in f(a)$ . Thus  $K_{G \cap M}^a \subseteq f(a)$  and hence  $|K_{G \cap M}^a| < \kappa$ . This shows that  $G \cap M \sqsubseteq_{\kappa} G$ .

Now we prove (c)  $\Rightarrow$  (a) by induction on  $|G|$ .

If  $|G| \leq \kappa$ , then (c)  $\Rightarrow$  (a) holds since  $G$  then has coloring number  $\leq \kappa$  anyway — any well-ordering of  $G$  of order-type  $|G|$  will witness this.

Suppose that  $|G| > \kappa$  and we have shown the implication (c)  $\Rightarrow$  (a) for all graphs of cardinality  $< |G|$ . Let  $\lambda = |G|$ ,  $\lambda^* = \text{cf}(\lambda)$  and  $\langle M_{\alpha} : \alpha < \lambda^* \rangle$  a continuously increasing chain of elementary submodels of  $\mathcal{H}(\chi)$  such that

$$(2.5) \quad G \in M_0; \kappa + 1 \subseteq M_0;$$

$$(2.6) \quad |M_{\alpha}| < \lambda \text{ for all } \alpha < \lambda^*; \text{ and}$$

$$(2.7) \quad G \subseteq \bigcup_{\alpha < \lambda^*} M_{\alpha}.$$

For  $\alpha < \lambda^*$ , let  $G_{\alpha} = G \cap M_{\alpha}$ . Then  $\langle G_{\alpha} : \alpha < \lambda^* \rangle$  is a filtration of  $G$  by (2.6) and (2.7).  $G_{\alpha} \sqsubseteq_{\kappa} G$  for all  $\alpha < \kappa$  by (2.5) and by the assumption of (c). By Lemma 2.3,  $G_{\alpha}$  also satisfies (c) for  $\alpha < \lambda^*$ . Since  $|G_{\alpha}| < \lambda$ , it follows that  $\text{col}(G_{\alpha}) \leq \kappa$  for all  $\alpha < \lambda^*$  by the induction hypothesis. Hence we have  $\text{col}(G) \leq \kappa$  by Lemma 2.2.  $\square$  (Theorem 2.4)

### 3 Coloring number of the plane

The *plane*, or the *unit distance graph of the plane*, is the graph  $G^1(\mathbb{R}^2)$  defined by  $G^1(\mathbb{R}^2) = \langle \mathbb{R}^2, K_{\mathbb{R}^2}^1 \rangle$  where  $K^1 = \{\{x, y\} \in [\mathbb{R}^2]^2 : d(x, y) = 1\}$ . Applying Theorem 2.4, we can show easily that the coloring number of the plane is equal to  $\aleph_0$ .

**Theorem 3.1.**  $\text{col}(G^1(\mathbb{R}^2)) = \aleph_0$ .

**Proof.** In [2] it is noted that the list-chromatic number  $\text{list}(G^1(\mathbb{R}^2))$  of  $G^1(\mathbb{R}^2)$  is infinite since finite regular graph of arbitrarily large degree  $d$  can be embedded in  $G^1(\mathbb{R}^2)$  (e.g., throwing down of  $n$ -dimensional cube onto the plane) and

the list-chromatic number of such finite graph is  $d$  (see [1]). Thus we have  $\aleph_0 \leq \text{list}(G^1(\mathbb{R}^2)) \leq \text{col}(G^1(\mathbb{R}^2))$ .

To prove the inequality  $\text{col}(G^1(\mathbb{R}^2)) \leq \aleph_0$ , let  $\chi$  be sufficiently large and  $N \prec \mathcal{H}(\chi)$ . Note that we have  $G^1(\mathbb{R}^2) \in N$  since the plane is definable. Suppose  $x \in \mathbb{R}^2 \setminus N$ . Let us write simply  $K$  for  $K_{\mathbb{R}^2}^1$ . By Theorem 2.4, it is enough to show that  $K_{\mathbb{R}^2 \cap N}^x$  is finite. Actually, we can show that  $|K_{\mathbb{R}^2 \cap N}^x| \leq 1$ :

Toward a contradiction, suppose that  $|K_{\mathbb{R}^2 \cap N}^x| > 1$ . Then there are two distinct  $y, z \in G \cap N$  such that  $d(x, y) = d(x, z) = 1$ . But then  $X = \{u \in \mathbb{R}^2 : d(u, y) = d(u, z) = 1\}$  is a two element set definable with parameters from  $N$ . It follows that  $x \in X \subseteq N$ . This is a contradiction to the choice of  $x$ .

□ (Theorem 3.1)

With the same proof we can also show:

$$\begin{aligned} \text{col}(G^{\text{Odd}}(\mathbb{R}^2)) &= \text{col}(G^{\aleph}(\mathbb{R}^2)) = \text{col}(G^{\mathbb{Q}}(\mathbb{R}^2)) = \text{col}(G^{\text{algebraic}}(\mathbb{R}^2)) = \\ &\dots = \aleph_0. \end{aligned}$$

Theorem 3.1 may be already known. However I could not find any direct mention or proof of the theorem in the literature. Also, in [2] the authors prove  $\text{list}(G^{\text{Odd}}(\mathbb{R}^2)) \leq \aleph_0$  directly and it seems that idea of the proof cannot be extended to a proof of  $\text{col}(G^{\text{Odd}}(\mathbb{R}^2)) \leq \aleph_0$ .

I first learned a proof of  $\text{col}(G^1(\mathbb{R}^2)) \leq \aleph_0$  from Hiroshi Sakai in November 2009 who proved the inequality straightforwardly.

Theorem 2.4 is often quite useful to decide the coloring number of infinite graphs. For example,  $\text{col}(K(\kappa, \kappa)) = \kappa$  and  $\text{col}(K(\kappa, \lambda)) = \kappa^+$  for any  $\aleph_0 \leq \kappa < \lambda$ ;  $\text{col}(G^{\text{Odd}}(\mathbb{R}^3)) = \aleph_1$  etc. can be seen immediately by this theorem.

## 4 Coloring number under very weak square

The following version of the very weak square was introduced in [8].

For a regular cardinal  $\kappa$  and  $\mu > \kappa$ , let  $\square_{\kappa, \mu}^{***}$  be the following assertion: there exists a sequence  $\langle C_\alpha : \alpha < \mu^+ \rangle$  and a club set  $D \subseteq \mu^+$  such that, for all  $\alpha \in D$  with  $\text{cf}(\alpha) \geq \kappa$ , we have

$$(4.1) \quad C_\alpha \subseteq \alpha, C_\alpha \text{ is unbounded in } \alpha; \text{ and}$$

$$(4.2) \quad [\alpha]^{<\kappa} \cap \{C_{\alpha'} : \alpha' < \alpha\} \text{ dominates } [C_\alpha]^{<\kappa} \text{ (with respect to } \subseteq \text{)}.$$

For a (sufficiently large regular) cardinal  $\chi$  and  $M \prec \mathcal{H}(\chi)$ ,  $M$  is  $\kappa$ -internally cofinal if  $[M]^{<\kappa} \cap M$  is cofinal in  $[M]^{<\kappa}$  with respect to  $\subseteq$ . For  $\mathcal{D} \subseteq [\mathcal{H}(\chi)]^{<\kappa}$ ,  $M$  is  $\mathcal{D}$ -internally cofinal if  $\mathcal{D} \cap M$  is cofinal in  $[M]^{<\kappa}$  with respect to  $\subseteq$ .

Suppose now that  $\kappa$  is a regular cardinal and  $\mu > \kappa$  is such that  $\text{cf}(\mu) < \kappa$ . Let  $\mu^* = \text{cf}(\mu)$ . For a sufficiently large  $\chi$  and  $x \in \mathcal{H}(\chi)$ , let us call a sequence  $\langle M_{\alpha,\beta} : \alpha < \mu^+, \beta < \mu^* \rangle$  a  $(\kappa, \mu)$ -dominating matrix (of elementary submodels of  $\mathcal{H}(\chi)$ ) over  $x$  if the following conditions (4.3) – (4.6) hold:

$$(4.3) \quad M_{\alpha,\beta} \prec \mathcal{H}(\chi), x \in M_{\alpha,\beta}, \kappa + 1 \subseteq M_{\alpha,\beta} \text{ and } |M_{\alpha,\beta}| < \mu \text{ for all } \alpha < \mu^+ \text{ and } \beta < \mu^* ;$$

$$(4.4) \quad \langle M_{\alpha,\beta} : \beta < \mu^* \rangle \text{ is an increasing sequence for each fixed } \alpha < \mu^+ ;$$

$$(4.5) \quad \text{if } \alpha < \mu^+ \text{ is such that } \text{cf}(\alpha) \geq \kappa, \text{ then there is } \beta^* < \mu^* \text{ such that, for every } \beta^* \leq \beta < \mu^*, M_{\alpha,\beta} \text{ is } \kappa\text{-internally cofinal.}$$

For  $\alpha < \mu^+$ , let  $M_\alpha = \bigcup_{\beta < \mu^*} M_{\alpha,\beta}$ . By (4.3) and (4.4), we have  $M_\alpha \prec \mathcal{H}(\chi)$ .

$$(4.6) \quad \langle M_\alpha : \alpha < \mu^+ \rangle \text{ is continuously increasing and } \mu^+ \subseteq \bigcup_{\alpha < \mu^+} M_\alpha.$$

**Theorem 4.1** (THEOREM 7 in [8]). *Suppose that  $\kappa$  is a regular cardinal and  $\mu > \kappa$  is such that  $\text{cf}(\mu) < \kappa$ . If we have  $\text{cf}([\lambda]^{<\kappa}, \subseteq) = \lambda$  for cofinally many  $\lambda < \mu$  and  $\square_{\kappa,\mu}^{***}$  holds, then, for any sufficiently large  $\chi$  and  $x \in \mathcal{H}(\chi)$ , there is a  $(\kappa, \mu)$ -dominating matrix over  $x$ .*

**Theorem 4.2.** *Assume SSH and  $\square_{\kappa,\mu}^{***}$  for a regular uncountable  $\kappa$  and all singular cardinal  $\mu$  with  $\text{cf}(\mu) < \kappa < \mu$ .*

*Then, for any graph  $G = \langle G, K \rangle$  the following are equivalent:*

- (a)  $\text{col}(G) \leq \kappa$ .
- (d) *For a/all sufficiently large regular  $\chi$  and  $\kappa$ -internally cofinal  $M \prec \mathcal{H}(\chi)$  with  $G \in M$  we have  $G \cap M \sqsubseteq_\kappa G$ .*
- (e) *For a/all sufficiently large regular  $\chi$  there is  $\mathcal{D} \subseteq [\mathcal{H}(\chi)]^{<\kappa}$  such that  $\mathcal{D}$  is cofinal in  $[\mathcal{H}(\chi)]^{<\kappa}$  and, for any  $\mathcal{D}$ -internally cofinal  $M \prec \mathcal{H}(\chi)$ , we have  $G \cap M \sqsubseteq_\kappa G$ .*

**Proof.** (a)  $\Rightarrow$  (d) follows from Theorem 2.4, (d)  $\Rightarrow$  (e) is trivial (just put  $\mathcal{D} = [\mathcal{H}(\chi)]^{<\kappa}$ ).

For (e)  $\Rightarrow$  (a), we proceed with induction on  $|G|$ . If  $|G| \leq \kappa$  then the implication (e)  $\Rightarrow$  (a) is trivial since  $\text{col}(G) \leq \kappa$  holds always for any graph of size  $\leq \kappa$ . Suppose now that  $|G| > \kappa$  and we have shown the implication (e)  $\Rightarrow$  (a) for all graphs of cardinality  $< |G|$ .

Assume that  $G$  satisfies (e) with  $\chi$  and  $\mathcal{D}$ . Let  $\chi^*$  be sufficiently large above  $\chi$  such that we have in particular  $\mathcal{H}(\chi) \in \mathcal{H}(\chi^*)$ .

**Claim 4.2.1.** *If  $M$  is a  $\kappa$ -internal cofinal elementary submodel of  $\mathcal{H}(\chi^*)$  such that*

$$(4.7) \quad G, \chi, \mathcal{D} \in M \text{ and } \kappa + 1 \subseteq M,$$

*then we have  $G \cap M \sqsubseteq_\kappa G$ .*

⊢ Suppose not. Then there is  $a \in G \setminus M$  such that  $|K_{G \cap M}^a| \geq \kappa$ . Let  $N = \mathcal{H}(\chi) \cap M$ . By elementarity we have  $N \prec \mathcal{H}(\chi)$ . Let  $\langle N_\alpha : \alpha < \kappa \rangle$  be an increasing sequence such that, for all  $\alpha < \kappa$ , we have

$$(4.8) \quad N_\alpha \in \mathcal{D} \cap M;$$

$$(4.9) \quad N_\alpha \in N_{\alpha+1};$$

$$(4.10) \quad \text{there is } N_\alpha^* \in [N]^{<\kappa} \cap M \text{ such that } N_\alpha^* \prec N \text{ and } N_\alpha \subseteq N_\alpha^* \subseteq N_{\alpha+1}; \text{ and}$$

$$(4.11) \quad K_{G \cap M}^a \cap (N_{\alpha+1} \setminus N_\alpha) \neq \emptyset.$$

The construction is possible by elementarity of  $M$  and since  $\mathcal{D}$  is cofinal in  $[\mathcal{H}(\chi)]^{<\kappa}$ .

Let  $N^* = \bigcup_{\alpha < \kappa} N_\alpha$ . By (4.10) we have  $N^* \prec N \prec \mathcal{H}(\chi)$ . By (4.8) and (4.9)  $N^*$  is  $\mathcal{D}$ -internally cofinal. On the other hand, we have  $|K_{G \cap N^*}^a| \geq \kappa$  by (4.11). This is a contradiction to the assumption of (e).  $\dashv$  (Claim 4.2.1)

**Claim 4.2.2.** *If  $H \sqsubseteq_\kappa G$  then for every  $\mathcal{D}$ -internally cofinal  $M \prec \mathcal{H}(\chi)$  we have  $H \cap M \sqsubseteq_\kappa H$ . In particular,  $H$  also satisfies the condition (e).*

**Proof.** Suppose that  $M \prec \mathcal{H}(\chi)$  is  $\mathcal{D}$ -internally approachable. For  $a \in H \setminus (H \cap M)$ , since  $a \in G \setminus (G \cap M)$ , we have  $K_{H \cap M}^a \subseteq K_{G \cap M}^a$ . The right side of the inclusion is of cardinality  $< \kappa$  by the assumption of (e) on  $G$ . This shows that  $H \cap M \sqsubseteq_\kappa H$ .  $\dashv$  (Claim 4.2.2)

Now we finish the induction step for the proof of (e)  $\Rightarrow$  (a) in two cases. Let  $\nu = |G|$ .

**Case I.**  $\nu$  is a limit cardinal or  $\nu = \delta^+$  with  $\text{cf}(\delta) \geq \kappa$ .

Let  $\nu^* = \text{cf}(\nu)$ . Note that, in this case, we have that

$$(4.12) \quad \text{the cardinals } \lambda < \nu \text{ such that } \text{cf}([\lambda]^{<\kappa}) = \lambda \text{ are cofinal among cardinals below } \nu$$

by SSH.

Let  $\langle M_\alpha : \alpha < \nu^* \rangle$  be an increasing sequence of elementary submodels of  $\mathcal{H}(\chi^*)$  of cardinality  $< \nu$  satisfying (4.7) and  $G \subseteq \bigcup_{\alpha < \nu^*} M_\alpha$ . We can find such a sequence by (4.12).

Let



$$G_\alpha = \begin{cases} G \cap M_\alpha & \text{if } \alpha = 0 \text{ or } \alpha \text{ is a successor ordinal;} \\ G \cap \left( \bigcup_{\beta < \alpha} M_\beta \right) & \text{otherwise} \end{cases}$$

for  $\alpha < \nu^*$ . Then  $\langle G_\alpha : \alpha < \nu^* \rangle$  is a filtration of  $G$ .

**Claim 4.2.3.**  $G_\alpha \sqsubseteq_\kappa G$  for all  $\alpha < \nu^*$ .

**Proof.** If  $\alpha < \nu^*$  is 0 or a successor ordinal, this follows from Claim 4.2.1.

If  $\alpha < \nu^*$  is a limit and  $\text{cf}(\alpha) < \kappa$ , Then  $G_\alpha$  is a union of less than  $\kappa$  many  $G_\beta$ 's where  $\beta < \alpha$  may be chosen to be a successor ordinal and hence  $G_\beta \sqsubseteq_\kappa G$ . It follows that we have  $G_\alpha \sqsubseteq_\kappa G$  also in this case.

If  $\text{cf}(\alpha) \geq \kappa$ , then  $\bigcup_{\beta < \alpha} M_\beta$  is  $\kappa$ -internally cofinal and hence we have  $G_\beta \sqsubseteq_\kappa G$  again by Claim 4.2.1.  $\dashv$  (Claim 4.2.3)

Now by Claim 4.2.2 and by the induction hypothesis, all of  $G_\alpha$ ,  $\alpha < \nu^*$  are of coloring number  $\leq \kappa$ . By Lemma 2.2, it follows that  $G$  also has coloring number  $\leq \kappa$ .

**Case II.**  $\nu = \mu^+$  with  $\text{cf}(\mu) < \kappa$ . Let  $\mu^* = \text{cf}(\mu)$ .

By Theorem 4.1, there is a  $(\kappa, \mu)$ -dominating matrix  $\langle M_{\alpha, \beta} : \alpha < \nu, \beta < \mu^* \rangle$  of submodels of  $\mathcal{H}(\chi^*)$  over  $x = \langle G, \mathcal{H}(\chi) \rangle$ .

For  $\alpha < \nu$  and  $\beta < \mu^*$ , let  $G_{\alpha, \beta} = G \cap M_{\alpha, \beta}$  and  $G_\alpha = \bigcup_{\beta < \mu^*} G_{\alpha, \beta} = G \cap \left( \bigcup_{\beta < \mu^*} M_{\alpha, \beta} \right)$ . By (4.6), the sequence  $\langle G_\alpha : \alpha < \nu \rangle$  is continuously increasing and  $\bigcup_{\alpha < \nu} G_\alpha = G$ . By (4.3), we have  $|G_\alpha| \leq \mu < \nu$ . Thus  $\langle G_\alpha : \alpha < \nu \rangle$  is a filtration of  $G$ .

Let

$$(4.13) \quad C = \{ \alpha < \nu : \text{cf}(\alpha) \geq \kappa \text{ or } \{ \alpha' < \alpha : \text{cf}(\alpha') \geq \kappa \} \text{ is cofinal in } \alpha \}.$$

$C$  is a club subset of  $\nu$ .

**Claim 4.2.4.**  $G_\alpha \sqsubseteq_\kappa G$  for all  $\alpha \in C$ .

$\vdash$  Suppose  $\alpha \in C$ . If  $\text{cf}(\alpha) \geq \kappa$ ,  $M_{\alpha, \beta}$  is  $\kappa$ -internally cofinal for all sufficiently large  $\beta < \mu^*$  by (4.5). Hence by Claim 4.2.1, we have  $G_{\alpha, \beta} \sqsubseteq_\kappa G$  for all such  $\beta$ . Since  $\mu^* < \kappa$ , it follows that  $G_\alpha \sqsubseteq_\kappa G$ .

If  $\text{cf}(\alpha) < \kappa$ , then let  $X \subseteq \alpha$  be a cofinal subset of  $\alpha$  with  $|X| < \kappa$  such that all  $\alpha' \in X$  have cofinality  $\geq \kappa$ . Since  $G_\alpha = \bigcup_{\alpha' \in X} G_{\alpha'}$  and  $G_{\alpha'} \sqsubseteq_\kappa G$  for all  $\alpha' \in X$  by the first part of the proof, it follows that  $G_\alpha \sqsubseteq_\kappa G$ .  $\dashv$  (Claim 4.2.4)

By Claim 4.2.2 and by the induction hypothesis, we have  $\text{col}(G_\alpha) \leq \kappa$  for all  $\alpha \in C$ . Hence by Lemma 2.2 we can conclude that  $\text{col}(G) \leq \kappa$ .

$\square$  (Theorem 4.2)

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