

EXACT COVERINGS OF TRIPLES WITH SPECIFIED LONGEST BLOCK LENGTH

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Abstract

A minimal $(1, 3; v)$ covering occurs when we have a family of proper subsets selected from v elements with the property that every triple occurs exactly once in the family and no family of smaller cardinality possesses this property. Woodall developed a lower bound W for the quantity $g^{(k)}(1, 3; v)$ which represents the cardinality of a minimal family with longest block of length k . The Woodall bound is only accurate in the region when $k \geq v/2$. We develop an expression for the excess of the true value over the Woodall bound and apply this to show that, when $k \geq v/2$, the value of $g(1, 3; v) = W + 1$ when k is even and $W + 1 + \binom{v-k}{2}$ when k is odd.

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1. Introduction

A minimal $(\lambda, t; v)$ covering occurs when we have a family of proper subsets selected from v elements with the property that every t -set occurs exactly λ times in the family and no family of smaller cardinality possesses this property. Occasionally, this covering can be achieved by using a family of k -sets; in this case, the covering is called a Steiner System $S_\lambda(t, k, v)$. However, Steiner systems are rare, and the sets of a $(\lambda, t; v)$ covering are usually of unequal sizes; we use $g(\lambda, t; v)$ to denote the cardinality of a minimal covering.

In [8], we introduced $g^{(k)}(\lambda, t; v)$; this was the covering number under the restriction that there was a block of size k but no block of size greater than k . Clearly,

$$g(\lambda, t; v) = \min_{t \leq k \leq v-1} g^{(k)}(\lambda, t; v).$$

It thus appears that the behaviour of $g^{(k)}(\lambda, t; v)$ is more fundamental than that of $g(\lambda, t; v)$. In [8], [4], and [15], we have studied $g^{(k)}(1, 2; v)$; this function decreases as k goes from 2 to a value in the vicinity of $v^{1/2}$, and then increases to a maximum in the neighbourhood of $k = 2v/3$. Thereafter the function decreases to v for $k = v - 1$ and becomes unity for $k = v$.

We thus see that the value of $g(1, 2; v)$ is almost an accident; it depends on whether the minimum in the neighbourhood of $k = v^{1/2}$ is less than the functional value for $k = v - 1$. For a complete discussion, including a diagram, we refer to [6]. Of course, the Erdős-de Bruijn Theorem $g(1, 2; v) \geq v$, proved in [1], can be easily deduced from the behaviour of $g^{(k)}(1, 2; v)$; cf. [10], [11].

2. The behaviour of $g(1, 3; v)$ for large k

Three general bounds for $g(1, 3; v)$ are known (see [11] and [6]). These are as follows (in any case that a bound is non-integral, we must take the next integer above).

The Combinatorial Bound is

$$(2.1) \quad C = \frac{v(v-1)(v-2)}{k(k-1)(k-2)}.$$

The Stanton–Kalbfleisch Bound (cf. [13] and [11]) is

$$(2.2) \quad SK = 1 + \frac{k-1}{v-2} \binom{k}{2} (v-k).$$

The Woodall Bound (cf. [17] and [11]) is

$$(2.3) \quad W = 1 + (v-k) \binom{k}{2} \left(1 - \frac{v-k-1}{2(k-1)} \right).$$

It is useful to write W in the form

$$(2.4) \quad W = 1 + \frac{(v-k)k(3k-v-1)}{4}.$$

Just as in the case $t = 2$, the bound C predominates for small k . Then the SK bound takes over, and finally the W bound predominates. We give a table for the case $v = 16$ (this is a value of v large enough to be typical).

In addition, there is a bound due to D. R. Stinson which improves (2.3). For this bound, one needs to determine $s = [(v-2)/(k-1)]$. The bound then takes the form (cf. [16])

$$(2.5) \quad S = 1 + \frac{(v-k)}{s(s+1)} \binom{k}{2} \left(2s + 1 - \frac{v-2}{k-1} \right).$$

TABLE I: Lower bounds for $g^{(k)}(1, 3; 16)$

k	C	SK	W	S
3	560			
4	140			
5	56	27		28
6	28	55	16	56
7		82	64	85
8		113	113	113
9			159	
10			196	
11			221	
12			229	
13			216	
14			176	
15			106	
16			1	

It is easy to deduce from (2.3) and (2.4) that $W \geq SK$ so long as

$$v/2 \leq k \leq v - 1$$

(the equality occurs if and only if $v/2 = k$ or $k = v - 1$). In this paper, we show that, with the exception of small perturbations, $g^{(k)}(1, 3; v)$ is equal to the bound W in this range; a more precise statement will be given later.

3. An improvement on the bound W

We first note that there are three trivial cases in which the bound W is exact.

- (a) Clearly, if $k = v$, then $W = 1$ and the bound is exact (usually we exclude $k = v$ as a possibility).
- (b) If $k = v - 1$, then

$$W = 1 + \frac{(v - 1)(v - 2)}{2}.$$

But, if $k = v - 1$, then we need this single long block plus all triples made up of the remaining element taken with every pair from the long block. So the value is

$$g^{(k-1)}(1, 3; v) = 1 + \binom{v - 1}{2} = W.$$

- (c) If $k = v - 2$, and if v is even, then

$$W = 1 + \frac{2(v - 2)(2v - 7)}{4}.$$

We need to take the single long block and make quadruples consisting of the two elements not in the long block together with a set of disjoint pairs from the long block; we also need triples consisting of an element not from the long block together with all pairs from the long block not previously used. Thus we have

$$g^{(k-1)}(1, 3; v) = 1 + \frac{v-2}{2} + 2\frac{v-2}{2}(v-4),$$

where we employ the well known fact that the elements of the long block have $(v-3)$ 1-factors. Simplifying, we find that, in this case,

$$g^{(k-2)}(1, 3; v) = 1 + \frac{v-2}{2}(2v-7) = W.$$

Henceforth, we exclude cases (a), (b), and (c). We now refer to [11] and quote the result

$$\sum_j \binom{j}{x} \sum_{A(j)} \binom{k_i-j}{t-x} = \lambda \binom{k}{x} \binom{v-k}{t-x}$$

proved there in Theorem 1 (the k_i are the various block lengths). By placing $\lambda = 1$, writing $x = t - 1$ and $x = t - 2$, and combining the equations, it was shown there that

$$\begin{aligned} (t-1) \sum_{A(t-1)} \frac{(k_i-t+1)(k_i-t-2)}{2} + \sum_{A(t-2)} \binom{k_i-t+2}{2} \\ + (t-1)(v-k) \binom{k}{t-1} \left(1 - \frac{v-k-1}{2(k-t+2)} \right) = 0. \end{aligned}$$

Here $\sum_{A(n)}$ denotes the summation over all blocks which meet the longest block in n elements. This equation can be written as

$$\begin{aligned} (3.1) \quad (t-1) \sum_{A(t-1)} \frac{(k_i-t+1)(k_i-t-2)}{2} \\ + \sum_{A(t-2)} \binom{k_i-t+2}{2} + (t-1)(W-1) = 0. \end{aligned}$$

Now put $t = 3$ to give

$$(3.2) \quad 2 \sum_{A(2)} \frac{(k_i-2)(k_i-5)}{2} + \sum_{A(1)} \binom{k_i-1}{2} + 2(W-1) = 0.$$

The first term can be written as

$$(3.3) \quad 2 \left\{ \sum_{A(2)} \binom{k_i-3}{2} - \sum_{A(2)} 1 \right\} = 2 \sum_{A(2)} \binom{k_i-3}{2} - 2\alpha_2$$

where we write α_i to denote the number of blocks which meet the long block in i elements.

Also, since W is a bound, we can write

$$(3.4) \quad g^{(k)}(1, 3; v) = 1 + \alpha_0 + \alpha_1 + \alpha_2 = W + \varepsilon,$$

where ε denotes the excess over the bound W . When we substitute (3.3) and (3.4) into (3.2), we obtain

$$(3.5) \quad 2 \sum_{A(2)} \binom{k_i - 3}{2} - 2\alpha_2 + \sum_{A(1)} \binom{k_i - 1}{2} + 2(\alpha_0 + \alpha_1 + \alpha_2 - \varepsilon) = 0.$$

Divide by 2 and simplify to obtain

$$(3.6) \quad \varepsilon = \alpha_0 + \alpha_1 + \sum_{A(2)} \binom{k_i - 3}{2} + \frac{1}{2} \sum_{A(1)} \binom{k_i - 1}{2}.$$

We might remark that analogous formulae hold for $t = 2$ and $t = 4$. For reference, we record these as

$$(3.7) \quad \varepsilon = \alpha_0 + \sum_{A(0)} \binom{k_i}{2} + \sum_{A(1)} \binom{k_i - 2}{2}$$

and

$$(3.8) \quad \varepsilon = \alpha_0 + \alpha_1 + \alpha_2 + \sum_{A(3)} \binom{k_i - 4}{2} + \frac{1}{3} \sum_{A(2)} \binom{k_i - 2}{2}.$$

Now, suppose that there are 3 or more elements not in the long block; they must occur in a block, and it will meet the long block in 0, 1, or 2 elements. If it meets the long block in 0 elements, then $\alpha_0 > 0$; if it meets the long block in 1 element, then $\alpha_1 > 0$; if it meets the long block 2 elements, then $k_i = 5$ and $\sum_{A(2)} \binom{k_i - 3}{2} > 0$. In any case, we have $\varepsilon > 0$.

If there are 2 elements not in the long block and if $k = v - 2$ is odd, then there must be a triple which meets the long block in exactly one element; again $\alpha_1 > 0$, and so $\varepsilon > 0$.

On conclusions can be stated as

THEOREM 1. *For $g^{(k)}(1, 3; v)$, we have*

$$\varepsilon = \alpha_0 + \alpha_1 + \sum_{A(2)} \binom{k_i - 3}{2} + \frac{1}{2} \sum_{A(1)} \binom{k_i - 1}{2}.$$

Furthermore, if $k = v$ or $k = v - 1$ or $k = v - 2$ (v even), then

$$g^{(k)}(1, 3; v) = W.$$

In all other cases, we have $\varepsilon > 0$ and $g^{(k)}(1, 3; v) \geq W + 1$.

We shall see that this result cannot be sharpened, since the bound $W + 1$ is attained in many cases.

4. The case of a long block of even length

We first recall the well known fact that a graph K_{2a} possesses $(2a - 1)$ disjoint 1-factors (cf., for example, [12]). Thus the pairs from K_6 can be split into K_2 's as follows.

$$\begin{array}{ll} 12, 34, 56 & 13, 25, 46 \\ 16, 23, 45 & 15, 24, 36 \\ 14, 26, 35 & \end{array}$$

This splitting is called a 1-factorization. It is useful to consider 1-factorizations of K_{2a-1} as well. In this case, a 1-factor consists of K_2 's and a single K_1 ; no K_1 can be repeated. Thus, K_{2a-1} has $(2a - 1)$ 1-factors (again, cf. [12]); for example, the splitting for K_5 is simply

$$\begin{array}{lll} 12, 34, 5 & 13, 25, 4 & 23, 45, 1 \\ 15, 24, 3 & 14, 35, 2 & \end{array}$$

These results on 1-factors will be useful in our next constructions.

First consider the case that k is even. The remaining points form a set of $v - k$ elements. Suppose first that $v - k$ is also even. Form a block of length $v - k$ which is disjoint from the long block (clearly, $v - k \leq k$, that is, $k \leq v/2$ for this to be possible). We also take $v - k > 2$, by virtue of the result of Theorem 1 when $v - k = 2$.

Form quadruples by taking the Cartesian product of all one-factors from the $(v - k)$ points with $(v - k - 1)$ 1-factors from the k points. The number of these is

$$\frac{k}{2} \frac{v - k}{2} (v - k - 1),$$

Now form triples by taking the elements from the set of $(v - k)$ points with the remaining $(k - 1) - (v - k - 1)$ 1-factors from the k points. The number of these is

$$(v - k) \frac{k}{2} (2k - v).$$

All triples have now been accounted for, and the number of blocks is

$$2 + \frac{k}{4} (v - k)(v - k - 1 + 4k - 2v) = 2 + \frac{k(v - k)(3k - v - 1)}{4} = W + 1.$$

Since, by Theorem 1, we cannot do better, we obtain

THEOREM 2. *If $v/2 \leq k \leq v - 2$, and if k and $v - k$ are even, then*

$$(4.1) \quad g^{(k)}(1, 3; v) = W + 1 = 2 + \frac{k(v - k)(3k - v - 1)}{4}.$$

COROLLARY 2.1. *The bound $W + 1$ can only be achieved in the way indicated ($v - k$ elements in a single disjoint block).*

PROOF. This is immediate from (2.10), since α_1 must be zero (otherwise $\alpha_1 + \frac{1}{2}\sum_{A(1)}\binom{k_i-1}{2} > 1$), and α_2 must be zero (otherwise, since $v - k \geq 4$, $k_i \geq 6$ and we would have $\sum_{A(2)}\binom{k_i-3}{2} > 1$). Then $\alpha_0 = 1$, and we have our result.

We now consider the case that k is even and $v - k$ is odd, and we employ a similar construction. The number of quadruples formed by taking all 1-factors from the $(v - k)$ points with $(v - k)$ 1-factors from the k points is

$$\frac{k}{2} \frac{v - k + 1}{2} (v - k).$$

The number of triples formed by taking elements from the $(v - k)$ points with the remaining $(k - 1) - (v - k) = 2k - v - 1$ 1-factors is

$$\frac{k}{2} (v - k)(2k - v - 1).$$

So the total number of blocks is

$$2 + \frac{k}{4} (v - k)(v - k + 1 + 2(2k - v - 1)) = 2 + \frac{k(v - k)(3k - v - 1)}{4} = W + 1.$$

This gives us

THEOREM 3. *If $v/2 \leq k \leq v - 2$, and if k is even and $v - k$ is odd, then*

$$g^{(k)}(1, 3; v) = W + 1.$$

COROLLARY 3.1. *The bound $W + 1$ can only be achieved by placing all $v - k$ elements not in the long block in a single disjoint block.*

PROOF. This follows as for Corollary 2.1.

5. The case of a long block of odd length

The situation when k is odd is somewhat different in that, whereas $\epsilon = 1$ for k even, we find that $\epsilon > 1$ for k odd. This basically stems from the result of the following lemma.

LEMMA 5.1. *If AB represents any pair of points from the $v - k$ points not in the long block and if k is odd, then there is at least one block containing AB that intersects the long block in a single point.*

PROOF. AB must occur with each element from the long block; the intersections of blocks containing AB with the long block can contain only 1 element or 2 elements; and the intersections cannot all contain 2 elements, since k is odd.

Now let us illustrate what happens in a couple of cases. Suppose that $v - k = 3$. If the pairs AB, AC, BC , all appear in separate blocks (triples), then they contribute $\epsilon = 3(1.5) = 4.5$. On the other hand, if there is a single block ABC meeting the long block in a point, then $\epsilon = 1 + 1.5 = 2.5$.

As a more complicated illustration, let $v - k = 10$ and suppose that the blocks $ABCD, ACFG, AHKL, BEH, CFK, DGL, DEK, BFL, CGH, CEL, DFH, BGH$, all meet the long block in single points. Their contribution to ϵ is

$$12 + \frac{3}{2}(6) + \frac{9}{2}(3) = \frac{69}{2},$$

as opposed to $45 + 45/2 = 135/2$ if the pairs had all been in separate blocks. However, one block $ABCDEFGHIKL$ only contributes $1 + 45/2 = 47/2$ to the excess. We are thus led to

LEMMA 5.2. *The minimal contribution to the excess from the fact that every pair of points not in the long block must occur in a block meeting the long block in a single point is $1 + \frac{1}{2} \binom{v-k}{2}$.*

PROOF. As in the last example, let the $v - k$ points be pair-covered by a set of blocks of lengths m_1, m_2, \dots, m_r . Then

$$\sum \binom{m_i}{2} = \binom{v-k}{2}.$$

Each block of length m_i extends to a block of length $m_i + 1$ by meeting the long block in a single point; so the total contribution to the excess is

$$r + \frac{1}{2} \sum \binom{m_i}{2} = r + \frac{1}{2} \binom{v-k}{2}.$$

On the other hand, if all $v - k$ points are put in a block of length $(v - k + 1)$, then the contribution to the excess is only

$$1 + \frac{1}{2} \binom{v-k}{2}.$$

Clearly, this is the best we can do. Also, we need $v - k + 1 \leq k$, that is, $k \geq (v + 1)/2$. Lemma 5.2 immediately gives us

THEOREM 4. *If $(v + 1)/2 \leq k \leq v - 2$, and if k is odd, then*

$$g^{(k)}(1, 3; v) \leq W + 1 + \frac{1}{2} \binom{v - k}{2}.$$

COROLLARY 4.1. *Under these conditions,*

$$g^{(k)}(1, 3; v) \leq 2 + \frac{(v - k)(k - 1)(3k - v + 1)}{4}.$$

We shall now show that this bound is actually attained for k odd in the range $(v + 1)/2 \leq k \leq v - 2$.

First, let k be odd and let $v - k$ be even. In addition to the two blocks of lengths k and $v - k + 1$, we require the following.

- (a) $(k - 1)(v - k)$ triples containing the point A which lies on both blocks and also containing one point from each block.
- (b) $\frac{1}{2}(v - k)\frac{1}{2}(k - 1)(v - k - 1)$ quadruples formed by taking the Cartesian product of all one-factors from the $(v - k)$ elements with $(v - k - 1)$ 1-factors from the $(k - 1)$ points (less A) in the long block.
- (c) $(v - k)\frac{1}{2}(k - 1)(2k - v - 1)$ triples formed by combining the $v - k$ points not in the long block with the remaining 1-factors of the $(k - 1)$ points (less A) in the long block.

The total number of these blocks, which cover all triples on the v points, is

$$\begin{aligned} & 2 + \frac{(v - k)(k - 1)}{4} \{4 + (v - k - 1) + (4k - 2v - 2)\} \\ & = 2 + \frac{(v - k)(k - 1)(3k - v + 1)}{4}. \end{aligned}$$

Since this is the bound in Corollary 4.1, we can do no better and thus have shown that the bound is attained.

The construction for k odd and $v - k$ odd is similar, although the counts differ. We have two blocks intersecting in (A) , together with the following blocks:

- (a) $(k - 1)(v - k)$ triples as before.
- (b) $\frac{1}{2}(v - k - 1)\frac{1}{2}(k - 1)(v - k)$ blocks (some are quadruples and some are triples) formed by taking the Cartesian product of 1-factors.
- (c) $(v - k)\binom{k - 1}{2}(2k - v - 2)$ triples formed by taking single elements with 1-factors from the $k - 1$ points different from A on the long block.

The total number of blocks then is given by

$$2 + \frac{(k-1)(v-k)}{4} \{4 + (v-k+1) + 2(2k-v-2)\}$$

$$= 2 + \frac{(v-k)(k-1)(3k-v+1)}{4},$$

as before. These two calculations establish

THEOREM 5. *If $(v+1)/2 \leq k \leq v-2$, and if k is odd, then*

$$(5.1) \quad g^{(k)}(1, 3; v) = 2 + \frac{(v-k)(k-1)(3k-v+1)}{4}.$$

COROLLARY 5.1. *For the minimal configuration giving*

$$g^{(k)}(1, 3; v) = 2 + \frac{(v-k)(k-1)(3k-v+1)}{4},$$

we must have two blocks of lengths k and $v-k+1$ intersecting in a single point, the other blocks are triples or quadruples.

PROOF. Any other configuration would give (by Lemma 5.2) a contribution to the excess that would push the value over the stated lower bound.

6. Table for small values of v

In this section, we make use of the results obtained to tabulate $g^{(k)}(1, 3; v)$ for v up to 12. In forming Table II, we have used the obvious fact that, for $k = 4$, we take $D(3, 4, v)$ quadruples plus as many triples as are needed. Since the packing number $D(3, 4, v)$ is known for all v in our table (cf. [14], [2], [5]), the second row is merely

$$D(3, 4, v) + \left\{ \binom{v}{3} - 4D(3, 4, v) \right\}.$$

TABLE II. $g^{(k)}(1, 3; v)$ for $3 \leq v \leq 12$.

k	v	3	4	5	6	7	8	9	10	11	12
3		1	4	10	20	35	56	84	120	165	220
4			1	7	11	14	14	30	30	35	51
5				1	11	20	26	30	42*	*	*
6					1	16	28	38	44	47	47
7						1	22	41	56	68	77
8							1	29	53	74	90
9								1	37	87	98
10									1	46	86
11										1	56
12											1

This fact, with the results of the earlier sections, gives all entries except the three marked with an asterisk.

LEMMA 6.1. $g^{(5)}(1, 3; 10) = 42$.

PROOF. Clearly 42 is a lower bound since we can take two disjoint blocks of length 5. Each has five 1-factors, and the Cartesian product of the 1-factors contains $3(3) - 1 = 8$ blocks (drop the block of length 2). Thus

$$g^{(5)}(1, 3; 10) \leq 2 + 5(8) = 42.$$

Now let the long block be 12345 and the other points be A, B, C, D, E . We must cover A, B, C, D, E , by 10 blocks, 7 blocks, or 1 block (see the table). We have already dealt with one block $ABCDE$ (it must be disjoint).

If the cover is 10 triples of the form ABC , they meet the long block in 0, 1, or 2 elements. An intersection of 0 or 2 contributes 1 to the value of E , whereas an intersection of 1 contributes 2.5. However, Lemma 5.1 and the fact that a pair-covering of 5 elements contains at least 4 triples (such as ABC, ADE, BDE, CDE) guarantee that E is at least $6(1) + 4(2.5) = 16$. Hence, since $W = 26$, we cannot obtain a value less than 42 in this way.

If the cover is $ABCD, EAB, EAC, EAD, EBC, EBD, ECD$, and if the pair-covering is made up of the six triples, then these contribute a minimum of $6(2.5)$, and $ABCD$ contributes a minimum of 1. Again, we cannot get a value less than 42.

Finally, let the cover be $ABCD, EAB, EAC, EAD, EBC, EBD, ECD$, and suppose the pair covering is $ABCD, EAB, ECD$. Then these blocks contribute to E an amount at least $4 + 2(2.5) + 4(1) = 13$. However, Lemma 5.1 guarantees that AB and CD meet the long block in an odd number of unit intersections; hence there are two triples ABX and CDX at least, and they contribute another $2(1.5) = 3$ units to E . Hence, again, in this case, we can do no better than 42. This completes the demonstration of the lemma.

We leave the values of $g^{(5)}(1, 3; 11)$ and $g^{(5)}(1, 3; 12)$ to another paper, since they are longer and are closely connected with a difficult problem (cf. [13], [10], [7], [9], [3]). However, the same sort of arguments apply.

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