UPPER BOUNDS FOR PARTIAL SPREADS

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ABSTRACT. A partial t-spread in \mathbb{F}_q^n is a collection of t-dimensional subspaces with trivial intersection such that each non-zero vector is covered at most once. We present some improved upper bounds on the maximum sizes.

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1. Introduction

Let q>1 be a prime power and n a positive integer. A vector space partition $\mathcal P$ of $\mathbb F_q^n$ is a collection of subspaces with the property that every non-zero vector is contained in a unique member of $\mathcal P$. If $\mathcal P$ contains m_d subspaces of dimension d, then $\mathcal P$ is of type $k^{m_k}\dots 1^{m_1}$. We may leave out some of the cases with $m_d=0$. Subspaces of dimension 1 are called *holes*. If there is at least one non-hole, then $\mathcal P$ is called non-trivial.

A partial t-spread in \mathbb{F}_q^n is a collection of t-dimensional subspaces such that the non-zero vectors are covered at most once, i.e., a vector space partition of type $t^{m_t}1^{m_1}$. By $A_q(n,2t;t)$ we denote the maximum value of m_t^{-1} . Writing n=kt+r, with $k,r\in\mathbb{N}_0$ and $r\le t-1$, we can state that for $r\le 1$ or $n\le 2t$ the exact value of $A_q(n,2t;t)$ was known for more than forty years [1]. Via a computer search the cases $A_2(3k+2,6;3)$ were settled in 2010 by El-Zanati et al. [5]. In 2015 the case q=r=2 was resolved by continuing the original approach of Beutelspacher [13], i.e., by considering the set of holes in (n-2)-dimensional subspaces and some averaging arguments. Very recently, Năstase and Sissokho found a very clear generalized averaging method for the number of holes in (n-j)-dimensional subspaces, where $j\le t-2$, and general q, see [14]. Their Theorem 5 determines the exact values of $A_q(kt+r,2t;t)$ in all cases where $t> {r \brack 1}_q:=\frac{q^r-1}{q-1}$. Here, we streamline and generalize their approach leading to improved upper bounds on $A_q(n,2t;t)$, c.f. [15].

2. Subspaces with the minimum number of holes

Definition 2.1. A vector space partition \mathcal{P} of \mathbb{F}_q^n has *hole-type* (t,s,m_1) , if it is of type $t^{m_t} \dots s^{m_s} 1^{m_1}$, for some integers $n > t \geq s \geq 2$, $m_i \in \mathbb{N}_0$ for $i \in \{1, s, \dots, t\}$, and \mathcal{P} is non-trivial.

Lemma 2.2. (C.f. [14, Proof of Lemma 9].) Let \mathcal{P} be a non-trivial vector space partition of \mathbb{F}_q^n of hole-type (t,s,m_1) and $l,x\in\mathbb{N}_0$ with $\sum_{i=s}^t m_i=lq^s+x$. $\mathcal{P}_H=\{U\cap H:U\in\mathcal{P}\}$ is a vector space partition of type $t^{m'_t}\dots(s-1)^{m'_{s-1}}1^{m'_1}$, for a hyperplane H with \widehat{m}_1 holes (of \mathcal{P}). We have $\widehat{m}_1\equiv\frac{m_1+x-1}{q}\pmod{q^{s-1}}$. If s>2, then \mathcal{P}_H is non-trivial and $m'_1=\widehat{m}_1$.

PROOF. If $U \in \mathcal{P}$, then $\dim(U) - \dim(U \cap H) \in \{0,1\}$ for an arbitrary hyperplane H. Since \mathcal{P} is non-trivial, we have $n \geq s$. For s > 2, counting the 1-dimensional subspaces of \mathbb{F}_q^n and H, via \mathcal{P} and \mathcal{P}_H , yields

$$(lq^s+x)\cdot \begin{bmatrix} s\\1 \end{bmatrix}_a + aq^s + m_1 = \begin{bmatrix} n\\1 \end{bmatrix}_a \quad \text{and} \quad (lq^s+x)\cdot \begin{bmatrix} s-1\\1 \end{bmatrix}_a + a'q^{s-1} + \widehat{m}_1 = \begin{bmatrix} n-1\\1 \end{bmatrix}_a$$

for some $a,a'\in\mathbb{N}_0$. Since $1+q\cdot {n-1\brack 1}_q-{n\brack 1}_q=0$ we conclude $1+q\widehat{m}_1-m_1-x\equiv 0\pmod {q^s}$. Thus, $\mathbb{Z}\ni\widehat{m}_1\equiv \frac{m_1+x-1}{q}\pmod {q^{s-1}}$. For s=2 we have

$$\left(lq^2+x\right)\cdot(q+1)+aq^2+m_1=\begin{bmatrix}n\\1\end{bmatrix}_q\quad\text{and}\quad \left(lq^2+x\right)\cdot 1+a'q+\widehat{m}_1=\begin{bmatrix}n-1\\1\end{bmatrix}_q$$

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¹The more general notation $A_q(n, 2t-2w; t)$ denotes the maximum cardinality of a collection of t-dimensional subspaces, whose pairwise intersections have a dimension of at most w. Those objects are called *constant dimension codes*, see e.g. [6]. For known bounds, we refer to http://subspacecodes.uni-bayreuth.de [10] containing also the generalization to *subspace codes* of mixed dimension.

2 SASCHA KURZ

leading to the same conclusion $\widehat{m}_1 \equiv \frac{m_1 + x - 1}{q} \pmod{q^{s-1}}$.

Lemma 2.3. (C.f. [14, Proof of Lemma 9].) Let \mathcal{P} be a vector space partition of \mathbb{F}_q^n of hole-type (t, s, m_1) , $l, x \in \mathbb{N}_0$ with $\sum_{i=s}^t m_i = lq^s + x$, and $b, c \in \mathbb{Z}$ with $m_1 = bq^s + c \ge 1$. If $x \ge 1$, then there exists a hyperplane \widehat{H} with $\widehat{m}_1 = \widehat{b}q^{s-1} + \widehat{c}$ holes, where $\widehat{c} := \frac{c+s-1}{q} \in \mathbb{Z}$ and $b > \widehat{b} \in \mathbb{Z}$.

PROOF. Apply Lemma 2.2 and observe $m_1 \equiv c \pmod{q^s}$. Let the number of holes in \widehat{H} be minimal. Then,

$$\widehat{m}_1 \leq \text{average number of holes per hyperplane} = m_1 \cdot \begin{bmatrix} n-1 \\ 1 \end{bmatrix}_q / \begin{bmatrix} n \\ 1 \end{bmatrix}_q < \frac{m_1}{q}. \tag{1}$$

Assuming $\hat{b} \ge b$ yields $q \hat{m}_1 \ge q \cdot (bq^{s-1} + \hat{c}) = bq^s + c + x - 1 \ge m_1$, which contradicts Inequality (1). \Box

Corollary 2.4. Using the notation from Lemma 2.3, let \mathcal{P} be a non-trivial vector space partition with $x \geq 1$ and f be the largest integer such that q^f divides c. For each $0 \leq j \leq s - \max\{1, f\}$ there exists an (n-j)-dimensional subspace U containing \widehat{m}_1 holes with $\widehat{m}_1 \equiv \widehat{c} \pmod{q^{s-j}}$ and $\widehat{m}_1 \leq (b-j) \cdot q^{s-j} + \widehat{c}$, where $\widehat{c} = \frac{c + {j \choose 2}_q \cdot (x-1)}{q^j}$.

Proof. Observe $\widehat{m}_1 \equiv c \not\equiv 0 \pmod{q^{s-j}}$, i.e., $\widehat{m}_1 \geq 1$, for all j < s - f.

Lemma 2.5. Let \mathcal{P} be a non-trivial vector space partition of type $t^{m_t}1^{m_1}$ of \mathbb{F}_q^n with $m_t = lq^t + x$, where $l = \frac{q^{n-t}-q^r}{q^t-1}$, $x \geq 2$, $t = \begin{bmatrix} r \\ 1 \end{bmatrix}_q + 1 - z + u > r$, $q^f|x-1$, $q^{f+1} \nmid x-1$, and $f, u, z, r, x \in \mathbb{N}_0$. For $\max\{1, f\} \leq y \leq t$ there exists a (n-t+y)-dimensional subspace U with $L \leq (z+y-1)q^y+w$ holes, where $w = -(x-1)\begin{bmatrix} y \\ 1 \end{bmatrix}_q$ and $L \equiv w \pmod{q^y}$.

PROOF. Apply Corollary 2.4 with $s=t, j=t-y, b=\begin{bmatrix}r\\1\end{bmatrix}_q$, and $m_1=\begin{bmatrix}r\\1\end{bmatrix}_q q^t-\begin{bmatrix}t\\1\end{bmatrix}_q (x-1)$.

Lemma 2.6. Let \mathcal{P} be a vector space partition of \mathbb{F}_q^n with $c \geq 1$ holes and a_i denote the number of hyperplanes containing i holes. Then, $\sum_{i=0}^c a_i = {n \brack 1}_q$, $\sum_{i=0}^c ia_i = c \cdot {n-1 \brack 1}_q$ and $\sum_{i=0}^c i(i-1)a_i = c(c-1) \cdot {n-2 \brack 1}_q$.

PROOF. Double-count the incidences of the tuples (H), (B_1, H) , and (B_1, B_2, H) , where H is a hyperplane and $B_1 \neq B_2$ are points contained in H.

Lemma 2.7. Let $\Delta = q^{s-1}$, $m \in \mathbb{Z}$, and \mathcal{P} be a vector space partition of \mathbb{F}_q^n of hole-type (t, s, c). Then, $\tau_q(c, \Delta, m) \cdot \frac{q^{n-2}}{\Delta^2} - m(m-1) \geq 0$, where

$$\tau_q(c, \Delta, m) = m(m-1)\Delta^2 q^2 - c(2m-1)(q-1)\Delta q + c(q-1)\Big(c(q-1) + 1\Big).$$

PROOF. Consider the three equations from Lemma 2.6. $(c-m\Delta)\Big(c-(m-1)\Delta\Big)$ times the first minus $\Big(2c-(2m-1)\Delta-1\Big)$ times the second plus the third equation, and then divided by $\Delta^2/(q-1)$, gives

$$(q-1) \cdot \sum_{h=0}^{\lfloor c/\Delta \rfloor} (m-h)(m-h-1)a_{c-h\Delta} = \tau_q(c,\Delta,m) \cdot \frac{q^{n-2}}{\Delta^2} - m(m-1)$$

due to Lemma 2.2. Finally, we observe $a_i \geq 0$ and $(m-h)(m-h-1) \geq 0$ for all $m, h \in \mathbb{Z}$.

Lemma 2.8. For integers $n>t\geq s\geq 2$ and $1\leq i\leq s-1$, there exists no vector space partition $\mathcal P$ of $\mathbb F_q^n$ of hole-type (t,s,c), where $c=i\cdot q^s-{s\brack 1}_q+s-1.^2$

PROOF. Assume the contrary and apply Lemma 2.7 with m=i(q-1). Setting y=s-1-i and $\Delta=q^{s-1}$ we compute

$$\tau_q(c, \Delta, m) = -q\Delta(y(q-1)+2) + (s-1)^2q^2 - q(s-1)(2s-5) + (s-2)(s-3).$$

Using $y\geq 0$ we obtain $\tau_2(c,\Delta,m)\leq s^2+s-2^{s+1}<0$. For s=2, we have $\tau_q(c,\Delta,m)=-q^2+q<0$ and for q,s>2 we have $\tau_q(c,\Delta,m)\leq -2q^s+(s-1)^2q^2<0$. Thus, Lemma 2.7 yields a contradiction. \square

²For more general non-existence results of vector space partitions see e.g. [9, Theorem 1] and the related literature.

Theorem 2.9. (C.f. [14, Lemma 10].) For integers $r \geq 1$, $k \geq 2$, $u \geq 0$, and $0 \leq z \leq {r \brack 1}_a/2$ with t = $\begin{bmatrix} r \\ 1 \end{bmatrix}_q + 1 - z + u > r$ we have $A_q(n, 2t; t) \leq lq^t + 1 + z(q-1)$, where $l = \frac{q^{n-t} - q^r}{q^t - 1}$ and n = kt + r.

PROOF. Apply Lemma 2.5 with x=2+z(q-1) and y=z+1. If z=0, then L<0. For $z\geq 1$, apply Lemma 2.8. Thus, $A_q(n, 2t; t) \leq lq^t + x - 1$.

The known constructions for partial t-spreads give $A_q(kt+r,2t;t) \ge lq^t+1$, see e.g. [1] (or [13] for an interpretation using the more general multilevel construction for subspace codes). Thus, Theorem 2.9 is tight for $t \ge {r \brack 1}_q + 1$, c.f. [14, Theorem 5].

Theorem 2.10. (C.f. [15, Theorem 6,7].) For integers $r \ge 1$, $k \ge 2$, $y \ge \max\{r, 2\}$, $z \ge 0$ with $\lambda = q^y$, $y \le t$, $t = \left[{r \atop 1} \right]_q + 1 - z > r$, n = kt + r, and $l = \frac{q^{n-t} - q^r}{q^t - 1}$, we have

$$A_q(n,2t;t) \leq lq^t + \left\lceil \lambda - \frac{1}{2} - \frac{1}{2}\sqrt{1 + 4\lambda\left(\lambda - (z+y-1)(q-1) - 1\right)} \right\rceil.$$

PROOF. From Lemma 2.5 we conclude $L \leq (z+y-1)q^y-(x-1){y\brack 1}_q$ and $L\equiv -(x-1){y\brack 1}_q\pmod {q^y}$ for the number of holes of a certain (n-t+y)-dimensional subspace U of \mathbb{F}_q^n . $\mathcal{P}_U:=\{P\cap U\mid P\in \mathcal{P}\}$ is of holestonian to the number of holestonian \mathbb{F}_q^n . type (t,y,L) if $y \ge 2$. Next, we will show that $\tau_q(c,\Delta,m) \le 0$, where $\Delta = q^{y-1}$ and $c = iq^y - (x-1) {y \brack 1}_q$ with $1 \le i \le z+y-1$, for suitable integers x and m. Note that, in order to apply Lemma 2.5, we have to satisfy $x \ge 2$ and $y \ge f$ for all integers f with $q^f|x-1$. Applying Lemma 2.7 then gives the desired contradiction, so that $A_q(n, 2t; t) \leq lq^t + x - 1$.

We choose $^{3}m = i(q-1) - (x-1) + 1$, so that $\tau_{q}(c, \Delta, m) = x^{2} - (2\lambda + 1)x + \lambda(i(q-1) + 2)$. Solving $\tau_q(c,\Delta,m)=0$ for x gives $x_0=\lambda+\frac{1}{2}\pm\frac{1}{2}\theta(i)$, where $\theta(i)=\sqrt{1-4i\lambda(q-1)+4\lambda(\lambda-1)}$. We have $\tau_q(c,\Delta,m) \leq 0$ for $|2x-2\lambda-1| \leq \theta(i)$. We need to find an integer $x \geq 2$ such that this inequality is satisfied for all $1 \le i \le z+y-1$. The strongest restriction is attained for i=z+y-1. Since $z+y-1 \le {r \brack 1}_q$ and $u=q^y\geq q^r$, we have $\theta(i)\geq \theta(z+y-1)\geq 1$, so that $\tau_q(c,\Delta,m)\leq 0$ for $x=\left\lceil u+\frac{1}{2}-\frac{1}{2}\theta(z+y-1)
ight
ceil$. (Observe $x\leq \lambda+\frac{1}{2}+\frac{1}{2}\theta(z+y-1)$ due to $\theta(z+y-1)\geq 1$.) Since $x\leq \lambda+1$, we have $x-1\leq \lambda=q^y$, so that $\sqrt{1+4\lambda(\lambda-2)}$ < $2(\lambda-1)$, which implies $x \geq \left\lceil \frac{3}{2} \right\rceil = 2$.

So far we have constructed a suitable $m \in \mathbb{Z}$ such that $\tau_q(c,\Delta,m) \leq 0$ for $x = \left\lceil \lambda + \frac{1}{2} - \frac{1}{2}\theta(z+y-1) \right\rceil$. If $\tau_q(c,\Delta,m) < 0$, then Lemma 2.7 gives a contradiction, so that we assume $\tau_q(c,\Delta,m) = 0$ in the following. If i < z + y - 1 we have $\tau_q(c, \Delta, m) < 0$ due to $\theta(i) > \theta(z + y - 1)$, so that we assume i = z + y - 1. Thus, $\theta(z + y - 1) \in \mathbb{N}_0$. However, we can write $\theta(z + y - 1)^2 = 1 + 4\lambda \left(\lambda - (z + y - 1)(q - 1) - 1\right) = 1$ $(2w-1)^2=1+4w(w-1)$ for some integer w. If $w\notin\{0,1\}$, then $\gcd(w,w-1)=1$, so that either $\lambda=q^y\mid w$ or $\lambda=q^y\mid w-1$. Thus, in any case, $w\geq q^y$, which is impossible since $(z+y-1)(q-1)\geq 1$. Finally, $w\in\{0,1\}$ implies w(w-1)=0, so that $\lambda-(z+y-1)(q-1)-1=0$. Thus, $z+y-1={y\brack 1}_q\geq {r\brack 1}_q$ since $y\geq r$. The assumptions $y\leq t$ and $t={r\brack 1}_q+1-z$ imply $z+y-1={r\brack 1}_q$ and y=r. This gives t=r, which is excluded.

Setting y = t in Theorem 2.10 yields [4, Corollary 8], which is based on [3, Theorem 1B]. And indeed, our analysis is very similar to the technique⁴ used in [3]. Compared to [3, 4], the new ingredients essentially are lemmas 2.2 and 2.3, see also [14, Proof of Lemma 9]. [4, Corollary 8], e.g., gives $A_2(15, 12; 6) \leq 516$, $A_2(17,14;7) \leq 1028$, and $A_9(18,16;8) \leq 3486784442$, while Theorem 2.10 gives $A_2(15,12;6) \leq 515$, $A_2(17, 14; 7) \le 1026$, and $A_9(18, 16; 8) \le 3486784420$. Postponing the details and proofs to a more extensive and technical paper [12], we state:

³ Solving $\frac{\partial \tau_q(c,\Delta,m)}{\partial m} = 0$, i.e., minimizing $\tau_q(c,\Delta,m)$, yields $m = i(q-1) - (x-1) + \frac{1}{2} + \frac{x-1}{q^y}$. For $y \ge r$ we can assume $x-1 < q^y$ due the known constructions for partial spreads, so that up-rounding yields the optimum integer choice. For y < r the interval $\left[u+\frac{1}{2}-\frac{1}{2}\theta(i),u+\frac{1}{2}+\frac{1}{2}\theta(i)\right]$ may contain no integer.

 $^{^4}$ Actually, their analysis grounds on [16] and is strongly related to the classical second-order Bonferroni Inequality [2, 7, 8] in Probability Theory, see e.g. [11, Section 2.5] for another application for bounds on subspace codes.

SASCHA KURZ 4

- $3^5l+1 \le A_3(5k+3,10;5) \le 3^5l+13$, where $l = \frac{3^{5k-2}-3^5}{3^3-1}$ and $k \ge 2$, e.g., $A_3(13,10;5) \le 6574$; $3^5l+1 \le A_3(5k+4,10;5) \le 3^5l+44$, where $l = \frac{3^{5k-1}-3^4}{3^5-1}$ and $k \ge 2$, e.g., $A_3(14,10;5) \le 19727$; $3^6l+1 \le A_3(6k+4,12;6) \le 3^6l+41$, where $l = \frac{3^{6k-2}-3^4}{3^6-1}$ and $k \ge 2$, e.g., $A_3(16,12;6) \le 59090$; $3^6l+1 \le A_3(6k+5,12;6) \le 3^6l+133$, where $l = \frac{3^{6k-1}-3^5}{3^6-1}$ and $k \ge 2$, e.g., $A_3(17,12;6) \le 177280$; $3^7l+1 \le A_3(7k+4,14;7) \le 3^7l+40$, where $l = \frac{3^{7k-3}-3^4}{3^7-1}$ and $k \ge 2$, e.g., $A_3(18,14;7) \le 177187$; $4^5l+1 \le A_4(5k+3,10;5) \le 4^5l+32$, where $l = \frac{4^{5k-2}-4^3}{4^5-1}$ and $k \ge 2$, e.g., $A_4(13,10;5) \le 65568$; $4^6l+1 \le A_4(6k+3,12;6) \le 4^6l+30$, where $l = \frac{4^{6k-3}-4^3}{4^6-1}$ and $k \ge 2$, e.g., $A_4(15,12;6) \le 262174$; $4^6l+1 \le A_4(6k+5,12;6) \le 4^6l+548$, where $l = \frac{4^{6k-1}-4^5}{4^6-1}$ and $k \ge 2$, e.g., $A_4(17,12;6) \le 4194852$; $4^7l+1 \le A_4(7k+4,14;7) \le 4^7l+128$, where $l = \frac{4^{7k-3}-4^4}{4^7-1}$ and $k \ge 2$, e.g., $A_4(18,14;7) \le 4194432$; $5^5l+1 \le A_5(5k+2,10;5) \le 5^5l+7$, where $l = \frac{5^{5k-3}-5^2}{5^5-1}$ and $k \ge 2$, e.g., $A_5(12,10;5) \le 78132$; $5^5l+1 \le A_5(5k+4,10;5) \le 5^5l+329$, where $l = \frac{5^{5k-3}-5^2}{5^5-1}$ and $k \ge 2$, e.g., $A_5(14,10;5) \le 1953454$; $7^5l+1 \le A_7(5k+4,10;5) \le 7^5l+1246$, where $l = \frac{7^{5k-1}-7^2}{7^5-1}$ and $k \ge 2$, e.g., $A_7(14,10;5) \le 40354853$; 40354853;

- $9^5l+1 \le A_9(5k+3,10;5) \le 9^5l+365$, where $l=\frac{9^{5k-2}-9^3}{9^5-1}$ and $k \ge 2$, e.g., $A_9(13,10;5) \le 10^{5k-2}$ 43047086;

c.f. the web-page mentioned in footnote 1 for more numerical values and comparisons of the different upper bounds.

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