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ON MULTIPLE DELETION CODES

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ABSTRACT. In 1965 Levenshtein introduced the deletion correcting codes and found an asymptotically optimal family of 1-deletion correcting codes. During the years there has been a little or no research on t-deletion correcting codes for larger values of t. In this paper, we consider the problem of finding the maximal cardinality $L_2(n,t)$ of a binary t-deletion correcting code of length n. We construct an infinite family of binary t-deletion correcting codes. By computer search, we construct t-deletion codes for t = 2, 3, 4, 5with lengths $n \leq 30$. Some of these codes improve on earlier results by Hirschberg-Fereira and Swart-Fereira. Finally, we prove a recursive upper bound on $L_2(n, t)$ which is asymptotically worse than the best known bounds, but gives better estimates for small values of n.

1. Introduction. Let $F = \{0, 1, ..., q - 1\}$ be a q-letter alphabet. A finite sequence of length n over F is called a q-ary word of length n. The set of all words of length n is denoted by F^n . A block code of length n over F is any subset C of F^n .

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Given $\boldsymbol{x} \in F^n$, we denote by $D_t(\boldsymbol{x})$ the set of all words from F^{n-t} obtained if any t letters are deleted from \boldsymbol{x} . In other words, $D_t(\boldsymbol{x})$ contains all subsequences of \boldsymbol{x} of length n-t. Similarly, $I_t(\boldsymbol{x})$ denotes the set of all supersequences of length n+t, i.e. all words from F^{n+t} obtained if t letters are inserted in \boldsymbol{x} .

Definition 1.1. The Levenshtein distance $d_L(x, y)$ between two words x, y from F^n is defined as the minimum number of deletions and insertions needed to transform x into y.

Clearly, $d(\boldsymbol{x}, \boldsymbol{y}) = 2(n - \ell(\boldsymbol{x}, \boldsymbol{y}))$, where $\ell(\boldsymbol{x}, \boldsymbol{y})$ is the length of the longest common subsequence of \boldsymbol{x} and \boldsymbol{y} . Clearly $d_L(\boldsymbol{x}, \boldsymbol{y})$ is a metric on F^n .

Definition 1.2. A code $C \subseteq F^n$ is called a t-deletion correcting code if $D_t(\boldsymbol{x}) \cap D_t(\boldsymbol{y}) = \emptyset$ for any $\boldsymbol{x}, \boldsymbol{y} \in C, \ \boldsymbol{x} \neq \boldsymbol{y}$.

Definition 1.3. A code $C \subseteq F^n$ is called a t-insertion correcting code if $I_t(\boldsymbol{x}) \cap I_t(\boldsymbol{y}) = \emptyset$ for any $\boldsymbol{x}, \boldsymbol{y} \in C, \ \boldsymbol{x} \neq \boldsymbol{y}$.

Definition 1.4. A code $C \subseteq F^n$ is called a t-insertion/deletion correcting code if $d_L(x, y) > 2t$ for any $x, y \in C$, $x \neq y$.

It has been proved in [4] that t-deletion correcting codes, t-insertion correcting codes and t-insertion/deletion codes are essentially the same objects. In what follows we formulate all our results for t-deletion codes. A central problem about deletion codes is the following:

Given the integers $n, t, 1 \leq t < n$, find the maximal cardinality $L_q(n, t)$ of a t-deletion correcting code over F.

A q-ary code C of length n correcting t deletions with $|C| = L_q(n,t)$ is called *optimal*. In this paper, we focus on *binary* t-deletion correcting codes. This is by far the most investigated family of deletion codes. The following asymptotic bounds have been proved by Levenshtein in [4].

Theorem 1.5. For any fixed positive integer t and $n \to \infty$

$$\frac{2^{t}(t!)^{2}2^{n}}{n^{2t}} \lesssim L_{2}(n,t) \lesssim \frac{t!2^{n}}{n^{t}},$$

where $f(n) \leq g(n)$ means that $\lim_{n \to \infty} f(n)/g(n) \leq 1$.

In the same paper, Levenshtein proved that $L_2(n,1) \geq \frac{2^n}{n+1}$ which implies that $L_2(n,1) \sim \frac{2^n}{n}$. He noticed that the so-called Varshamov-Tenengolts codes $VT_a(n)$ discovered in [13] are 1-deletion correcting codes. The Varshamov-Tenengolts code $VT_a(n)$, $0 \le a \le n$, consists of all binary vectors (x_1, \ldots, x_n) satisfying

$$\sum_{i=1}^{n} ix_i \equiv a \pmod{n+1}.$$

The cardinality of these codes has been determined by Varshamov for a = 0 [12], by Ginzburg for a = 1 [1] and by Martirosyan [8] for any a (cf. also [9]).

Theorem 1.6.

$$|VT_a(n)| = \frac{1}{2n+1} \sum_{d|n, d \text{ odd}} \phi(d) \frac{\mu\left(\frac{d}{(d,a)}\right)}{\phi\left(\frac{d}{(d,a)}\right)} 2^{(n+1)/d},$$

where ϕ is the Euler function, $\mu(n)$ is the Möbius function and (d, a) is the greatest common divisor of d and a.

This implies the following corollary.

Corollary 1.7 [9].

(i)
$$|VT_0(n)| = \frac{1}{2(n+1)} \sum_{\substack{d|n+1\\d \ odd}} \phi(d) 2^{(n+1)/d};$$

(*ii*)
$$|VT_1(n)| = \frac{1}{2(n+1)} \sum_{\substack{d|n+1 \\ d \text{ odd}}} \mu(d) 2^{(n+1)/d};$$

(*iii*)
$$|VT_0(n)| \ge |VT_a(n)| \ge |VT_1(a)|$$
.

The codes $VT_0(n)$ are optimal for all $n \leq 8$ [9] and very close to being optimal for large n. Due to the asymptotic estimate by Levenshtein (Theorem 1.5), one has $|VT_0(n)| \geq 2^n/(n+1)$, a result which is not transparent from Corollary 1.7. It is conjectured that $VT_0(n)$ are optimal for every n.

A code C is called *perfect* t-deletion correcting code if the balls $D_t(\boldsymbol{x})$, $\boldsymbol{x} \in C$, partition the set F^{n-t} . Remarkably, all the codes $VT_a(n)$, $a = 0, \ldots, n$, are perfect codes.

The question about the value of $L_2(n,t)$ for $t \ge 2$, i.e. about the maximal cardinalities of binary codes of length n correcting more than one deletion, is

far less clear. Multiple deletion correcting codes were constructed in [2] (for $t = 2, 3, 4, 5, n \leq 14$) and in [10] (for $t = 2, n \leq 12$). The codes in the first paper are obtained in an attempted generalization of the Varshamov-Tenengolts codes. The codes in the second paper are obtained as a result of a greedy search performed on $5 \cdot 10^4$ random permutations of the 2^n binary words of length n. No infinite classes of multiple deletion correcting codes have been proposed so far.

The aim of this paper is to present constructions and upper bounds that improve on the results of [2] and [10] for codes that correct $t \ge 2$ deletions. In section 2, we give constructions for multiple deletion codes. We present the results of a computer search that was performed for t = 2, 3, 4, 5 and $n \le 30$. Some of the constructed codes have larger cardinality than the largest codes known previously. In section 3, we start by proving some exact values for $L_2(n, t)$. Then we present a recursive upper bound which gives better estimates for small n than the best known upper bound on $L_2(n, t)$.

2. Constructions for *t*-deletion codes. We start with a cascade construction for multiple deletion codes.

Theorem 2.1. Let C be a t-deletion correcting code of length n. Then the code

$$C^{(s)} = \{(\underbrace{c_1 \dots c_1}_{s}, \underbrace{c_2 \dots c_2}_{s}, \dots, \underbrace{c_n \dots c_n}_{s}) \mid (c_1, c_2, \dots, c_n) \in C\}$$

is a code of length sn correcting st + s - 1 deletions.

Proof. Let \boldsymbol{u} be a word of length sn - st - s + 1 and assume that there exist two words \boldsymbol{c}' and \boldsymbol{c}'' from $C^{(s)}$ such that \boldsymbol{u} can be obtained from either of them by deleting st + s - 1 symbols. There exist runs in \boldsymbol{u} that are not a multiple of s. Denote by $\tilde{\boldsymbol{u}}$ the word obtained from \boldsymbol{u} by completing each run with symbols to the nearest length which is a multiple of s. Since every run in a codeword from $C^{(s)}$ is a multiple of s, $\tilde{\boldsymbol{u}}$ is obtained from either \boldsymbol{c}' and \boldsymbol{c}'' by deleting at most st symbols. Clearly, there exist two words in C that give rise to the same sequence of length n - t after deletion of t symbols. This contradicts the fact that C is a t-deletion correcting code. \Box

Remark 2.2. This theorem can be modified in order to obtain codes of lengths that are not a multiple of s. If we need a code of length sn + r we just repeat the last symbol in any codeword s + r times instead of s times.

Corollary 2.3. Let C be a binary single deletion correcting code of length n. Then the code

$$C^{(s)} = \{(\underbrace{c_1 \dots c_1}_{s}, \underbrace{c_2 \dots c_2}_{s}, \dots, \underbrace{c_n \dots c_n}_{s}) \mid (c_1, c_2, \dots, c_n) \in C\}$$

has length sn and corrects 2s - 1 deletions. There exist binary (2s - 1)-deletions correcting codes of length n = sm and cardinality $\geq 2^m/(m+1)$, for any $s \geq 1$.

These codes are poor for large values of n since they lie below the lower bound in Theorem 1.5. On the other hand, there exists an obvious decoding algorithm for $C^{(s)}$ that has the complexity of the decoding algorithm for C.

The codes defined in Theorem 2.1 and Corollary 2.3 are not maximal in the sense that there exist words from F^{sn} that can be added to $C^{(s)}$ without destroying the *t*-deletion correcting property. The number of runs in a word obtained from Theorem 2.1 does not exceed *n* while the code $C^{(s)}$ has length *sn*. This gives the possibility of extending the code *C* by taking words with more than *n* runs. Let *x* and *y* be two words of length *n* having r(x) and r(y) runs, respectively. It is easily checked that if r(x) - r(y) = 2d + 1 then $d_L(x, y) \ge 2d$. This follows by the fact that the deletion of a single symbol reduces the number of runs by at most 2.

In [10] a greedy search was performed in order to construct insertion/ deletion codes with Levenshtein distance s > 2. Starting from an arbitrary permutation of all 2^n words the authors pick up a word which is at Levenshtein distance at least 6 from all chosen words. This procedure is repeated for $5 \cdot 10^4$ starting permutations and the largest code is selected.

In the table that follows we present our results for 2-deletion correcting codes of length up to 14 compared with the codes obtained by Helberg-Fereira and Swart-Fereira. We used several different approaches to constructing such codes.

- (A) Construction of a 2-deletion code as a subset of $VT_0(n)$, i.e. backtrack on the words of $VT_0(n)$.
- (B) Given $C = VT_0(\frac{n}{2})$ we consider $C^{(2)}$ and try to add words to it by a greedy search on the words from $F^n \setminus C^{(2)}$.
- (C) The same as in (B) but repeating the greedy search on 5.10^4 permutations of the words outside $C^{(2)}$.
- (D) Greedy search performed on 5.10^4 random permutations of all words from F^n .
- (E) Greedy search performed on various Gray codes.

(F) Exhaustive search (backtrack). For n = 10, 11, 12 the program has been terminated after 24 hours of computation. This is indicated by a question mark in the last column of the table below.

Surprisingly, the largest codes for n = 13, 14 have been produced by strategy (E).

n	[2]	[10]	(A)	(B)	(C)	(D)	(E)	(\mathbf{F})
4	2	2	2	2	2	2	2	2
5	2	2	2	2	2	2	2	2
6	3	4	4	2	2	4	4	4
7	4	5	4	4	4	5	5	5
8	5	7	5	5	5	7	6	7
9	6	10	7	8	9	10	10	11
10	8	14	12	10	12	14	14	(?)16
11	9	20	17	17	20	20	21	(?)20
12	11	29	26	25	28	29	31	(?)29
13	15		38	40	43	43	49	
14	18		59	63	63	65	72	

Below we list the 2-deletion correcting codes with parameters (n, M) = (9, 11), (10, 16), (13, 47), (14, 72) that were previously unknown.

The (9,11)-code.

000000000	111111111	000000111	000101100
000111111	001100010	011111000	101001001
110110110	111000000	111000111	

The (10,16)-code.

0000000000	11111111111	0000000111	0000101010
0000111111	0001111000	0101010111	0110010001
0111110011	1000110011	1001010000	1100111101
1110000111	1110101010	1111000000	1111111000

The (11,21)-code.

01000011010	01000000011	11000000000	11000001111
11000110001	11001101110	11011010000	11011110011
11110001011	11111111000	111111111111	10101010101
10001111111	00001100111	00001111000	00010100100
00110100011	00111000000	00101110110	01110101111
01110110010			

The next table contains the cardinalities for the best t-deletion codes generated by us with t = 2, 3, 4, 5. The entries given with bold letters indicate the cardinalities of the optimal codes. The codes obtained by Helberg and Fereira [2] are given in the second, third and fourth column.

	Helberg-Fereira[2]			improved lower bounds			
n	t = 3	t = 4	t = 5	t = 2	t = 3	t = 4	t = 5
4	2			2	2		
5	2	2		2	2	2	
6	2	2	2	4	2	2	2
7	2	2	2	5	2	2	2
8	3	2	2	7	4	2	2
9	4	2	2	11	5	2	2
10	4	3	2	16	6	4	2
11	5	4	2	21	7	5	2
12	6	4	3	31	10	5	4
13	8	4	4	49	12	5	5
14	8	5	4	75	15	7	5
15				109	24	9	5
16				176	31	12	7
17				286	48	15	7
18				485	71	21	9
19				813	103	26	12
20				1358	154	38	15
21				2299	242	49	18
22				3949	368	72	24
23				6787	579	100	32
24				11754	913	145	42
25				20491	1459	216	57
26				35858	2348	316	72
27				63035	3792	470	101
28				111176	6182	695	141
29				196932	10185	1057	193
30				350172	16776	1608	276

3. Upper bounds. In this section we prove several exact values and derive some upper bounds for the numbers $L_2(n,t)$.

Theorem 3.1. $L_2(n,t) = 2$ for every t = 1, 2, ... and every n = t + 1, ..., 2t + 1.

This result is straightforward and does not require a proof.

Theorem 3.2. $L_2(2t+2,t) = 4$ for every t = 1, 2, ...

Proof. Let C an t-deletion correcting code of length 2t + 2 and maximal cardinality. Denote by a_i the number the of words of (Hamming) weight i in C. Then $\sum_{j=0}^{t} a_j \leq 1$ and $\sum_{j=t+2}^{2t+2} a_j \leq 1$. Assume $a_{t+1} \geq 3$. Then there exist two words of weight t+1 having the same symbol in the first position, say 1. The Levenshtein distance between these words is obviously at most 2t since they share the common subsequence 10^{t+1} , a contradiction. Hence $a_{t+1} = 2$ and $L_2(2t+2,t) \leq 4$.

The code

$$C = \{(\underbrace{0, 0, \dots, 0}_{2t+2}), (\underbrace{0, \dots, 0}_{t+1}, \underbrace{1, \dots, 1}_{t+1}), (\underbrace{1, \dots, 1}_{t+1}, \underbrace{0, \dots, 0}_{t+1}), (\underbrace{1, 1, \dots, 1}_{2t+2})\}$$

is a *t*-deletion correcting code, which gives $L_2(2t+2,t) = 4$. \Box

Theorem 3.3. For every t = 1, 2, ..., we have $5 \le L_2(2t+3, t) \le 6$. Proof. The code

$$C = \{(\underbrace{0, 0 \dots, 0}_{2t+3}), (\underbrace{0, \dots, 0}_{t+1}, \underbrace{1, \dots, 1}_{t+2}), (\underbrace{1, \dots, 1}_{t+1}, \underbrace{0, \dots, 0}_{t+2}), (1, 0, 1, \dots, 0, 1), (\underbrace{1, 1, \dots, 1}_{2t+3})\}$$

is a *t*-deletion correcting code.

Assume $L_2(2t+3,t) \ge 7$ and let C be a binary t-deletion correcting code of length 2t+3 and cardinality 7. Without loss of generality, we can assume that C contains the all-zero and the all-one words. The remaining five words are of weight t+1 and t+2.

Let us note first that C has at most one word of weight t+1 beginning with 1. If we assume that two such words exist then C is not a t-deletion correcting code since these words share the common subsequence 10^{t+2} . Similarly, there exist at most one word of each of the following types:

- weight s + 1 and beginning with 00;

- weight s + 1 and beginning with 01;

- weight s + 2 and beginning with 0;

- weight s + 2 and beginning with 10;
- weight s + 2 and beginning with 11.

Without loss of generality we can assume that apart from 0^{2s+3} and 1^{2s+3} , C contains three words of weight s + 1 and two words of weight s + 2. Up to equivalence, we have three possibilities:

Case 1	Case 2	$Case \ 3$
$\boldsymbol{u}_1=(1,*,*,\ldots,*,*)$	$\boldsymbol{u}_1=(1,*,*,\ldots,*,*)$	$\boldsymbol{u}_1=(1,*,*,\ldots,*,*)$
$oldsymbol{u}_2=(0,0,*,\ldots,*,*)$	$\boldsymbol{u}_2 = (0,0,*,\ldots,*,*)$	$oldsymbol{u}_2=(0,0,*,\ldots,*,*)$
$\boldsymbol{u}_3 = (0, 1, *, \ldots, *, *)$	$\boldsymbol{u}_3 = (0, 1, *, \dots, *, *)$	$\boldsymbol{u}_3 = (0, 1, *, \ldots, *, *)$
$oldsymbol{u}_4=(0,*,*,\ldots,*,*)$	$\boldsymbol{u}_4 = (1, 0, *, \ldots, *, *)$	$\boldsymbol{u}_4 = (0, *, *, \ldots, *, *)$
	$\boldsymbol{u}_5 = (1, 1, *, \dots, *, *)$	

In all three cases, the words u_1 , u_2 , u_3 are of weight s + 1 and u_4 , u_5 are of weight s + 2.

We are going to rule out Case 1. First note that the second symbol of u_1 is 0 (since otherwise $d_L(u_1, u_5) \leq 2t$) and that the second symbol of u_4 is 1 (since otherwise $d_L(u_3, u_4) \leq 2t$). Moreover, the third symbols of u_3 and u_4 are different. Hence C contains the words:

$$\begin{array}{rcl} \boldsymbol{u}_1 &=& (1,0,*,*,\ldots,*) \\ \boldsymbol{u}_2 &=& (0,0,*,*,\ldots,*) \\ \boldsymbol{u}_3 &=& (0,1,x,*,\ldots,*) \\ \boldsymbol{u}_4 &=& (0,1,\overline{x},*,\ldots,*) \\ \boldsymbol{u}_5 &=& (1,1,*,*,\ldots,*) \end{array}$$

Now $\overline{x} \neq 0$ since otherwise u_2, u_4 contain the subsequence $0^2 1^{t+1}$ and $d_L(u_1, u_2) \leq 2t$. Further the third symbol in u_1 is 0 (compare u_1 and u_5). Hence the five words have the form

$$u_1 = (1, 0, 0, x, \dots, *)$$

$$u_2 = (0, 0, y, *, \dots, *)$$

$$u_3 = (0, 1, 0, z, \dots, *)$$

$$u_4 = (0, 1, 1, *, \dots, *)$$

$$u_5 = (1, 1, *, *, \dots, *)$$

Two of the symbols x, y, z are the same. This corresponding words are at Levenshtein distance $\leq 2t$, a contradiction. Case 2 and case 3 are ruled out in a similar way. \Box

The exhaustive search performed for n = 7, t = 2 and n = 9, t = 3 gives $L_2(7,2) = L_2(9,3) = 5$ which suggests that we have generally $L_2(2t + 3, t) = 5$ for $t \ge 2$. In case of t = 1, we have Varshamov-Tenengolts codes that have length 5, cardinality 6 and correct 1 deletion.

Now we describe several upper bounds on $L_2(n,t)$. First we give a trivial recursive upper bound which is true for arbitrary alphabets.

Theorem 3.4. $L_q(n + 1, t) \leq qL_q(n, t)$ for every t = 1, 2, ... In particular, $L_2(n + 1, t) \leq 2L_2(n, t)$.

The next upper bound was proved by Tolhuizen for any alphabet size q and any t [11]. It is a generalization of an earlier result by Levenshtein [7].

Theorem 3.5 [11]. For any integer r with $1 \le t \le r+1 \le n$,

$$L_q(n,t) \le \frac{q^{n-t}}{\sum\limits_{i=0}^t {\binom{r-t+1}{i}}} + \frac{q \sum\limits_{i=0}^{r+2t-1} {\binom{n+t-1}{i}} (q-1)^i}{\sum\limits_{i=0}^t {\binom{n+t}{i}} (q-1)^i}.$$

While the bound from Theorem 3.5 is the best bound asymptically, the simple bound from Theorem 3.4 gives much better estimates for small n. For example, Tolhuizen's bound gives:

$$L_2(10,2) \le 58, \ L_2(11,2) \le 100, \ L_2(12,2) \le 172,$$

while by Theorem 3.4 in conjunction with the exact value $L_2(9,2) = 11$, we get

$$L_2(10,2) \le 22, \ L_2(11,2) \le 44, \ L_2(12,2) \le 88.$$

Theorem 3.4 can be improved further. Asymptotically, the improvement is still worse than Tolhuizen's result, but for small lengths it yields estimates that are better than those obtained by Theorem 3.4 and Theorem 3.5.

Theorem 3.6. For every $s = 0, 1, ..., \lfloor n/2 \rfloor$,

$$L_2(n,t) \le 2L_2(n-2s-1,t-s).$$

Proof. Let C be a t-deletion correcting code of length n and cardinality $L_2(n,t)$. The code C can be represented as $C = D_1 \cup D_2$ where D_1 is the set of codewords that have at most s 1's in the first 2s + 1 positions and D_2 is the set of codewords with at least s + 1 1's in the first 2s + 1 positions. The codes D_i must be (t - s)-deletion correcting codes. Hence

$$|C| = |D_1| + |D_2| \le 2L_2(n - 2s - 1, t - s).$$

The table below compares the upper bounds for t-deletion correcting codes with t = 2, 3, 4, 5 and $10 \le n \le 20$ obtained from Theorem 3.5 on one side and Theorems 3.3 and 3.6 on the other.

n	t = 2		t = 3		t = 4		t = 5	
	T 3.5	T 3.6						
10	58	22	23	10		_		
11	100	44	37	14	18	6		
12	172	88	60	22	27	10		
13	301	176	99	44	42	14	21	6
14	530	352	165	88	67	22	32	10
15	940	704	279	176	107	44	49	14
16	1678	1408	473	352	174	88	77	22
17	3015	2816	811	704	285	176	120	44
18	5447	5632	1399	1408	471	352	191	88
19	9890	11264	2431	2816	786	704	307	176
20	18037	22528	4253	5632	1321	1408	497	352

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