

Finding One of D Defective Elements in Some Group Testing Models

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Abstract—In contrast to the classical goal of group testing, we consider the problem of finding m defective elements out of D ($m \leq D$). We analyze two different test functions. We give adaptive strategies and present lower bounds for the number of tests and show that our strategy is optimal for $m = 1$.

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1. INTRODUCTION

Group testing is of interest in many applications, for instance, in molecular biology. For an overview of results and applications, we refer the reader to [1, 2].

In [3] the authors considered the problem of finding one defective element in a finite set where an element i is defective with probability p_i . The case where all probabilities are identical appears already in [4].

In [5] the authors considered the problem of finding at least k nondefective elements. Their study was motivated by a practical problem of an electronic company. The production department of the company requires 10^6 nondefective electronic chips for their production process. There is a method for testing a pool of chips. They buy chips of 99% quality (a chip is defective with probability 0.01) and want to find many nondefective elements in a small number of group tests.

We will consider a combinatorial version of this problem. Thus, it is required to find m out of D defective elements. This study was motivated by [6, 7]. We denote by $[N] := \{1, 2, \dots, N\}$ the set of elements, by $\mathcal{D} \subset [N]$ the set of defective elements, by $D = |\mathcal{D}|$ its cardinality, and by $[i, j]$ the set of integers $\{x \in \mathbb{N} : i \leq x \leq j\}$. Throughout the paper we consider the worst case analysis.

The classical group testing problem consists in finding an unknown subset \mathcal{D} of all defective elements in $[N]$.

For a subset $\mathcal{S} \subset [N]$, a test $t_{\mathcal{S}}$ is a function $t_{\mathcal{S}}: 2^{[N]} \rightarrow \{0, 1\}$ defined by

$$t_{\mathcal{S}}(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| = 0, \\ 1 & \text{otherwise.} \end{cases} \quad (1)$$

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We define search strategies as in [8]. In classical group testing, a strategy is called successful if we can *uniquely determine* \mathcal{D} . Here we call a strategy successful if we can find m elements of \mathcal{D} . Recall the concepts of adaptive and nonadaptive strategies.

Strategies are called adaptive if the k th test is determined by results of the first $k - 1$ tests. Strategies where all tests are chosen independently are said to be nonadaptive.

Let f be a function $f: [0, N] \rightarrow \mathbb{R}^+$. We define *general group tests with density* as functions $t_S: 2^{[N]} \rightarrow \{0, 1\}$ of the form

$$t_S(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| < f(|\mathcal{S}|), \\ 1 & \text{if } |\mathcal{S} \cap \mathcal{D}| \geq f(|\mathcal{S}|). \end{cases} \tag{2}$$

In [7] the case $f(|\mathcal{S}|) = \alpha|\mathcal{S}|$ is considered. The authors assume that a lower bound on the cardinality of \mathcal{D} is known. *The goal is finding $m \leq D$ defective elements.*

In *majority group testing* (defined in [9] and, more generally, in [10]), we have two functions

$$f_1, f_2: \{0, 1, \dots, N\} \rightarrow \mathbb{R}^+$$

which define weights on the numbers D of defective elements such that

$$f_1(D) \leq f_2(D) \quad \text{for all } D \in [0, 1, \dots, N].$$

We describe the structure of the tests $t_S: 2^{[N]} \rightarrow \{0, 1, \{0, 1\}\}$ as follows:

$$t_S(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| < f_1(D), \\ 1 & \text{if } |\mathcal{S} \cap \mathcal{D}| \geq f_2(D), \\ \{0, 1\} & \text{otherwise} \end{cases} \tag{3}$$

(meaning that the result can be 0 or 1 arbitrarily).

In [10] it is assumed that the searcher does not know the cardinality of \mathcal{D} but knows some upper bound. In majority group testing *it is not always possible to find the set \mathcal{D} of all defective elements* (see [10, 11]). In general, one can *find a family \mathbb{F} of sets which contains \mathcal{D}* . This family depends on f_1, f_2, \mathcal{D} , and the strategy used. In this case we say that a strategy is successful if we can find a family \mathbb{F} with the smallest possible size.

Now we put ideas of these two models together so that there are two functions

$$f_1, f_2: [0, N] \times [0, N] \rightarrow \mathbb{R}^+$$

with $f_1(D, S) \leq f_2(D, S)$ for all values of D and S .

We define a test $t_S: 2^{[N]} \rightarrow \{0, 1, \{0, 1\}\}$ as follows:

$$t_S(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| < f_1(D, |\mathcal{S}|), \\ 1 & \text{if } |\mathcal{S} \cap \mathcal{D}| \geq f_2(D, |\mathcal{S}|), \\ \{0, 1\} & \text{otherwise} \end{cases} \tag{4}$$

(meaning that the result can be 0 or 1 arbitrarily).

For this test function, denote by $n(N, D, m)$ the minimal number of tests for finding m defective elements.

The following lower bound for the minimal number of test is a generalization of a theorem in [7], where this lower bound is given for the case of

$$f_1(D, |\mathcal{S}|) = f_2(D, |\mathcal{S}|) = \alpha|\mathcal{S}|.$$

This bound is valid for any binary test function (i.e., a test function taking values 0 or 1).

Theorem 1. *We have*

$$n(N, D, 1) \geq \lceil \log(N - D + 1) \rceil.$$

Proof. Let us assume that we have a successful strategy s which finds a defective element with $n = n(N, D, 1)$ tests and $n < \lceil \log(N - D + 1) \rceil$.

Depending on results of n tests, we have at most 2^n different possible results for a defective element; we denote them by \mathcal{E} . We have by assumption that

$$|\mathcal{E}| \leq 2^n < N - D + 1.$$

Therefore, $|\lceil [N] \setminus \mathcal{E} \rceil > D - 1$, and there exists a set $\mathcal{F} \subset \lceil [N] \setminus \mathcal{E} \rceil$ with $|\mathcal{F}| = D$. Now we consider the case of $\mathcal{D} = \mathcal{F}$. Then it is obvious that using strategy s we cannot find any defective element in n tests. \triangle

We consider the following special cases of this test model: $f = f_1 = f_2$, and D is known.

Threshold group testing without gap: $f(D, |\mathcal{S}|) = u$; thus,

$$t_{\mathcal{S}}(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| < u, \\ 1 & \text{if } |\mathcal{S} \cap \mathcal{D}| \geq u. \end{cases} \tag{5}$$

Group testing with density tests: $f(D, |\mathcal{S}|) = \alpha|\mathcal{S}|$ for all values. Thus,

$$t_{\mathcal{S}}(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| < \alpha|\mathcal{S}|, \\ 1 & \text{if } |\mathcal{S} \cap \mathcal{D}| \geq \alpha|\mathcal{S}|. \end{cases} \tag{6}$$

For all these test functions we consider the adaptive model with the goal of finding one defective element.

In Section 1 we consider test function (1) (classical case) and give an optimal strategy for finding one out of D defectives with $\lceil \log(N - D + 1) \rceil$ tests. In Section 2 we give strategies for test function (5) (threshold case) and show that the strategy is optimal for $m = 1$. Furthermore, we combine the strategy with that given in [12] for finding m elements. In Section 3 we give a strategy for test function (6) and give some remarks on nonadaptive group testing.

2. CLASSICAL TEST FUNCTION

In this section we use test function (1). We assume that D ($0 < D < N$) is known. Our goal is finding m defective elements.

We denote by $n_{(\text{Cla})}(N, D, m)$ the minimal number of tests (1) required for finding m defective elements.

Proposition 1. *We have*

$$n_{(\text{Cla})}(N, D, 1) \leq \lceil \log(N - D + 1) \rceil.$$

Proof. We give a strategy which needs $\lceil \log(N - D + 1) \rceil$ tests. We know that the set $\mathcal{S}_0 = \{D, D + 1, \dots, N\}$ contains at least one defective element. Thus, we start with the test set $\mathcal{S}_1 \subset \mathcal{S}_0$ of size $\lfloor \frac{N - D + 1}{2} \rfloor$. If the test is positive, then at least one defective element is in \mathcal{S}_1 ; otherwise, at least one defective element is in $\mathcal{S}_0 \setminus \mathcal{S}_1$. Therefore, depending on the test result, we replace \mathcal{S}_0 by either \mathcal{S}_1 or $\mathcal{S}_0 \setminus \mathcal{S}_1$ and iterate the procedure. With this method we find one defective element in $\lceil \log(N - D + 1) \rceil$ tests. \triangle

Proposition 1 and Theorem 1 imply the following result.

Corollary 1. *We have*

1. $n_{(\text{Cla})}(N, D, 1) = \lceil \log(N - D + 1) \rceil$,
2. $n_{(\text{Cla})}(N, D, m) \leq m \lceil \log(N - D + 1) \rceil$.

Remark 1. If we do not know D but know that $1 \leq D' < D'' < N$ with $D' \leq D \leq D''$, then we need $\lceil \log(N - D' + 1) \rceil$ tests for finding one defective element.

3. THRESHOLD TEST FUNCTION WITHOUT GAP

The threshold testing

$$t_S(\mathcal{D}) = \begin{cases} 0 & \text{if } |\mathcal{S} \cap \mathcal{D}| \leq l, \\ 1 & \text{if } |\mathcal{S} \cap \mathcal{D}| \geq u, \end{cases} \tag{7}$$

was introduced in [11]. The gap between the upper and lower thresholds is defined to be $g = u - l - 1$. Now we will consider test function (5), which corresponds to the case of no gap ($g = 0$). One easily sees that $u = l - 1$ in this case. First we assume that we know D .

We denote by $n_{(\text{Thr})}(N, D, u, m)$ the minimal number of tests (5) for finding m defective elements if we have N elements with D defectives and $f(D, |\mathcal{S}|) = u$.

Our first goal is finding one defective element.

Proposition 2. *If $D \geq u$, then*

$$n_{(\text{Thr})}(N, D, u, 1) \leq \lceil \log(N - D + 1) \rceil;$$

otherwise, finding any defective element is impossible.

Proof. We give a strategy which needs $\lceil \log(N - D + 1) \rceil$ tests. The idea of the proof is to partition the set of N elements into subsets

$$\mathcal{I}_1 = [1, u - 1], \quad \mathcal{I}_2 = [u, N - D + u], \quad \mathcal{I}_3 = [N - D + u + 1, N].$$

In \mathcal{I}_2 there is of course at least one defective element, because the union of the two other subsets has cardinality $D - 1$. We can find a defective element in \mathcal{I}_2 using the following strategy with $\lceil \log(N - D + 1) \rceil$ tests.

We start with the test set

$$\mathcal{S}_1 = \left\{ 1, \dots, u - 1, u, \dots, (u - 1) + \left\lceil \frac{m(1)}{2} (N - D + 1) \right\rceil \right\},$$

where $m(1) = 1$.

Inductively, we set

$$m(j) = \begin{cases} 2m(j - 1) - 1 & \text{if } t_{\mathcal{S}_{j-1}}(\mathcal{D}) = 1, \\ 2m(j - 1) + 1 & \text{if } t_{\mathcal{S}_{j-1}}(\mathcal{D}) = 0, \end{cases}$$

and

$$\mathcal{S}_j = \left\{ 1, \dots, u - 1, u, u + 1, \dots, (u - 1) + \left\lceil \frac{m(j)}{2^j} (N - D + 1) \right\rceil \right\}.$$

After $\lceil \log(N - D + 1) \rceil$ tests we can find an i such that $t_{[1,i]} = 1$ and $t_{[1,i-1]} = 0$, because it is clear that $t_{[1,u-1]} = 0$ and $t_{[1,N-D+u]} = 1$. Thus, using this strategy, we find a defective element at the position i . \triangle

From Theorem 1 and Proposition 2 we get the following result.

Theorem 2. *If $D \geq u$, then*

$$n_{(\text{Thr})}(N, D, u, 1) = \lceil \log(N - D + 1) \rceil.$$

The strategy can be generalized to the case of finding m defective elements.

Proposition 3. *Let $D \geq m$. Then*

$$n_{(\text{Thr})}(N, D, u, m) \leq m \lceil \log(N - D + 1) \rceil.$$

Proof. We apply the strategy used in Proposition 2 for finding one defective element. We use the ordered set $[N]$ and denote by $\pi_j(i)$ the j th position before the i th test. We set $\pi_j(1) = j$. In the first round we apply the strategy of Proposition 2 and find a defective element d_1 . Then we define

$$\pi_j(2) = \begin{cases} d_1 & \text{if } j = 1, \\ 1 & \text{if } j = d_1, \\ j & \text{if } j \notin \{1, d_1\} \end{cases}$$

(i.e., we exchange the elements at the positions d_1 and 1) and apply the same strategy with $\lceil \log(N - D + 1) \rceil$ tests to find a defective element d_2 for the new set $\{\pi_1(2), \pi_2(2), \dots, \pi_N(2)\}$. Now we exchange the elements at the positions d_2 and 2 and iterate this procedure, exchanging after every round the elements at the positions d_j and j , until we find a defective element d_u . From now on we exchange the defective element at the position d_j with the element at the position $N - D + 1 + j$. In total, after m iterations, we find m defectives. \triangle

Remark 2. If we have already found $u - 1$ defective elements, we can use any classical group testing strategy to find the remaining $D - u + 1$ defectives in the set of $N - u + 1$ unknown elements by adding the $u - 1$ defective elements to each test.

We apply this improvement if we want to find all defective elements, using the following result of [12]:

$$n_{(\text{Cla})}(N, D, D) \leq \left\lceil \log \binom{N}{D} \right\rceil + D - 1.$$

We proceed as follows. After $u - 1$ rounds in the proof of Proposition 3, we use the strategy of [12] for the remaining $N - u + 1$ elements with $D - u + 1$ defectives, and then we get a total of

$$T(u) = (u - 1) \lceil \log(N - D + 1) \rceil + \left\lceil \log \binom{N - u + 1}{D - u + 1} \right\rceil + D - u + 1$$

tests. This gives the following upper bound.

Theorem 3. *We have*

$$n_{(\text{Thr})}(N, D, u) \leq T(u).$$

If D is unknown, we can take one test with all elements. Then, if the answer is negative, we cannot find any defective element. If the answer is positive, we know that $D \geq u$.

So we are interesting in the case where we do not know D , but we have $u \leq D \leq N$.

If D is unknown, we denote by $n_{(\text{Thr})}(N, u, m)$ the minimal number of tests (5) required for finding m defective objects in the worst case if we have N elements and $f(|\mathcal{D}|, |\mathcal{S}|) = u$ for all values. In this case there is the following estimate.

Lemma 1. *We have*

$$n_{(\text{Thr})}(N, u, m) \leq m \lceil \log(N - u + 1) \rceil.$$

Proof. If D is unknown, a similar idea works as in the proof of Proposition 3. We give a strategy which needs $m \lceil \log(N - u + 1) \rceil$ tests. We use m adaptive rounds and start with a test set

$$\mathcal{S}_1 = \left\{ 1, \dots, u - 1, u, \dots, (u - 1) + \left\lceil \frac{m(1)}{2} (N - u + 1) \right\rceil \right\},$$

where $m(1) = 1$.

For $j \leq \lceil \log(N - u + 1) \rceil$ we set

$$m(j) = \begin{cases} 2m(j - 1) - 1 & \text{if } t_{\mathcal{S}_{j-1}}(\mathcal{D}) = 1, \\ 2m(j - 1) + 1 & \text{if } t_{\mathcal{S}_{j-1}}(\mathcal{D}) = 0, \end{cases}$$

and

$$\mathcal{S}_j = \left\{ 1, \dots, u - 1, u, \dots, (u - 1) + \left\lceil \frac{m(j)}{2^j} (N - u + 1) \right\rceil \right\}.$$

First we find one defective element d_1 using $\lceil \log(N - u + 1) \rceil$ tests. Now instead of the set $\{1, 2, \dots, N\}$ we use the set $\{\pi_1, \pi_2, \dots, \pi_N\}$, where

$$\pi_j = \begin{cases} d_1 & \text{if } j = 1, \\ 1 & \text{if } j = d_1, \\ j & \text{if } j \notin \{1, d_1\}, \end{cases}$$

and then continue as before with $\lceil \log(N - u + 1) \rceil$ tests and find the defective element d_2 for the new set $\{\pi_1, \pi_2, \dots, \pi_N\}$. Then we iterate this procedure until we find $u - 1$ defectives. Then we know that the remaining $D - u + 1$ defectives objects are in the set $[u, N]$. These defectives can be found in $(m - u + 1)$ rounds with $\lceil \log(N - u + 1) \rceil$ tests. \triangle

4. DENSITY TESTS

Test model (6) was considered in [7].

Let $n_{(\text{Den})}(N, D, m, \alpha)$ be the minimal number of tests (6) required for finding m defective elements if we have N elements with D defectives. In [7] the authors obtain the following bounds for $n_{(\text{Den})}(N, D, m, \alpha)$ assuming that $D \geq \alpha N$:

$$\lceil \log N \rceil + \max_{N' \leq 2m/\alpha} n_{(\text{Den})}(N', m, m, \alpha) \geq n_{(\text{Den})}(N, D, m, \alpha), \tag{8}$$

$$\lceil \log N \rceil \geq n_{(\text{Den})}(N, D, 1, \alpha). \tag{9}$$

In general they show that

$$\log(N - D + 1) \leq n_{(\text{Den})}(N, D, 1, \alpha). \tag{10}$$

Test model (6) gives the same result as test model (1) if the size of the test set is smaller than $1/\alpha$. In the strategy given in the proof of Proposition 1, the biggest test set \mathcal{S}_0 has cardinality $\left\lfloor \frac{N - D + 1}{2} \right\rfloor$. If $|\mathcal{S}_0|$ in test model (6) is smaller than $1/\alpha$, we can apply the strategy and get

$$n_{(\text{Den})}(N, D, 1, \alpha) \leq \lceil \log(N - D + 1) \rceil.$$

This is the case if $D \geq N + 1 - \frac{2}{\alpha}$. Therefore, we obtain the following result.

Proposition 4. *Let $D \geq N + 1 - \frac{2}{\alpha}$. Then*

$$n_{(\text{Den})}(N, D, 1, \alpha) = \lceil \log(N - D + 1) \rceil.$$

Now we will improve the result. We will give a strategy which is optimal for $D \geq \alpha N$ (it needs $\lceil \log(N - D + 1) \rceil$ questions).

We define

$$s_i = \left\lceil \frac{2^{n-i} - 1}{1 - \alpha} \right\rceil,$$

where $i = 1, 2, \dots, n - 1$, and $s_n = 1$. For a given D we choose the largest n such that

$$D > \sum_{i=1}^n s_i - 2^n + 1. \tag{11}$$

We consider test sets

$$\mathcal{S}_i = \{a_i + 1, a_i + 2, \dots, a_i + s_i\}$$

for $i = 1, \dots, n$, where $a_1 = 0$ and

$$a_i = \begin{cases} a_{i-1} + s_{i-1} & \text{if } t_{\mathcal{S}_{i-1}}(\mathcal{D}) = 0, \\ a_{i-1} & \text{if } t_{\mathcal{S}_{i-1}}(\mathcal{D}) = 1. \end{cases} \tag{12}$$

Note that $|\mathcal{S}_i| = s_i$.

Lemma 2. *If $t_{\mathcal{S}_{n-j}}(\mathcal{D}) = 1$, then we can find one defective element after n tests.*

Proof. We proceed by induction on j . The case of $j = 0$ is obvious. Let us also consider the case of $j = 1$ (to show the idea of the strategy). We have $s_{n-1} = \left\lceil \frac{1}{1 - \alpha} \right\rceil$ and $t_{\mathcal{S}_{n-1}}(\mathcal{D}) = 1$. Then

$$s_{n-1} - 2 < \alpha s_{n-1} \leq s_{n-1} - 1.$$

Thus, in the set \mathcal{S}_{n-1} we have no more than one nondefective element. If $t_{\mathcal{S}_n}(\mathcal{D}) = 1$, this gives us a defective element; otherwise ($t_{\mathcal{S}_n}(\mathcal{D}) = 0$), we can take any element from $\mathcal{S}_n \setminus \mathcal{S}_{n-1}$.

We assume that the statement is proved for $j - 1$. Let $t_{\mathcal{S}_{n-j}}(\mathcal{D}) = 1$; then by the induction hypothesis we may assume that $t_{\mathcal{S}_{n-i}}(\mathcal{D}) = 0$ for all $0 \leq i < j$.

Thus, the number of nondefective elements in \mathcal{S}_{n-j} is not greater than $2^j - 1$, since $t_{\mathcal{S}_{n-i}}(\mathcal{D}) = 1$ and

$$s_{n-j} - 2^j < \alpha s_{n-j} \leq s_{n-j} - 2^j + 1.$$

On the other hand, the number of nondefective elements in \mathcal{S}_{n-i} for all $0 \leq i < j$ is greater than or equal to 2^i , since $t_{\mathcal{S}_{n-i}}(\mathcal{D}) = 0$. Thus, all elements in $\mathcal{S}_{n-j} \setminus \bigcup_{i < j} \mathcal{S}_{n-i}$ are defective.

The set $\mathcal{S}_{n-j} \setminus \bigcup_{i < j} \mathcal{S}_{n-i}$ is nonempty, because for any k and α , $0 < \alpha < 1$, we have

$$1 + \sum_{i=1}^k \left\lceil \frac{2^i - 1}{1 - \alpha} \right\rceil < 1 + k + \sum_{i=1}^k \frac{2^i - 1}{1 - \alpha} = 1 + k + \frac{2^{k+1} - k - 2}{1 - \alpha} < \frac{2^{k+1} - 1}{1 - \alpha}. \quad \triangle$$

Theorem 4. *Let (11) be fulfilled, and let $N \leq 2^n + D - 1$. Then after n tests of the strategy given above we find one defective element.*

Proof. Consider the tests sets defined in (12). If for some i we have $t_{S_i}(\mathcal{D}) = 1$, then the theorem follows by Lemma 2. If $t_{S_i}(\mathcal{D}) = 0$ for all $i = 1, 2, \dots, n$, then we denote by c_i the number of nondefective elements in S_i . The number of defectives in S_i is $s_i - c_i$. Thus, we have $s_i - c_i < \alpha s_i$, and hence $c_i \geq 2^i$.

In total, the number of nondefective elements is not less than $2^n - 1$ and, since

$$N - D = 2^n - 1,$$

we can take any element of $[N] \setminus \bigcup_{t=1}^n S_t$. Note that if

$$N < 2^n + D - 1,$$

then there is an i with $t_{S_i}(\mathcal{D}) = 1$. \triangle

Corollary 2. *If $D \geq \alpha N$, then*

$$n_{(\text{Den})}(N, D, 1) = \lceil \log(N - D + 1) \rceil.$$

Proof. By (10) we have

$$D > \sum_{k=0}^{n-1} \left(\left\lceil \frac{2^k - 1}{1 - \alpha} \right\rceil - 2^k \right).$$

Note that

$$n - 1 + \sum_{k=1}^{n-1} \left(\frac{2^k - 1}{1 - \alpha} - 2^k \right) = \frac{\alpha}{1 - \alpha} (2^n - n - 1).$$

If we take

$$D > \frac{\alpha}{1 - \alpha} (2^n - n - 1)$$

and

$$N < 2^n + \frac{\alpha}{1 - \alpha} (2^n - n - 1) - 1,$$

then

$$\frac{N}{D} < \frac{1 - \alpha}{\alpha} + 1 + \frac{(1 - \alpha)n}{\alpha(2^n - n - 1)}.$$

Thus, if $D \geq \alpha N$, we can apply Theorem 4. \triangle

Remarks (nonadaptive case).

In [6] it is shown that for test (1), if D is unknown, one needs N tests for finding one defective element or claiming that there are no defective elements. If D is known, we can test $N - D$ elements to find one defective element or we can use a $(D, 1)$ cover-free code for finding all elements and thereby one element as well.

A nonadaptive model for majority group testing was considered in [9, 10]. The goal in these papers was finding all defective elements.

Results of [13] for row-weighted cover-free codes can be used to get strategies for test (6) if the number of defectives is known.

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