

**The Practical
Handbook of**

***GENETIC
ALGORITHMS***

Applications

SECOND EDITION

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Preface

Bob Stern of CRC Press, to whom I am indebted, approached me in late 1999 asking if I was interested in developing a second edition of volume I of the *Practical Handbook of Genetic Algorithms*. My immediate response was an unequivocal “Yes!” This is the fourth book I have edited in the series and each time I have learned more about GAs and people working in the field. I am proud to be associated with each and every person with whom I have dealt with over the years. Each is dedicated to his or her work, committed to the spread of knowledge and has something of significant value to contribute.

This second edition of the first volume comes a number of years after the publication of the first. The reasons for this new edition arose because of the popularity of the first edition and the need to perform a number of functions for the GA community. These “functions” fall into two main categories: the need to keep practitioners abreast of recent discoveries/learning in the field and to very specifically update some of the best chapters from the first volume.

The book leads off with chapter 0, which is the same chapter as the first edition by Jim Everett on model building, model testing and model fitting. An excellent “How and Why.” This chapter offers an excellent lead into the whole area of models and offers some sensible discussion of the use of genetic algorithms, which depends on a clear view of the nature of quantitative model building and testing. It considers the formulation of such models and the various approaches that might be taken to fit model parameters. Available optimization methods are discussed, ranging from analytical methods, through various types of hill-climbing, randomized search and genetic algorithms. A number of examples illustrate that modeling problems do not fall neatly into this clear-cut hierarchy. Consequently, a judicious selection of hybrid methods, selected according to the model context, is preferred to any pure method alone in designing efficient and effective methods for fitting parameters to quantitative models.

Chapter 1 by Roubos and Setnes deals with the automatic design of fuzzy rule-based models and classifiers from data. It is recognized that both accuracy and transparency are of major importance and we seek to keep the rule-based models small and comprehensible. An iterative approach for developing such fuzzy rule-based models is proposed. First, an initial model is derived from the data. Subsequently, a real-coded GA is applied in an iterative fashion, together with a rule-based simplification algorithm to optimize and simplify the model, respectively. The proposed modeling approach is demonstrated for a system identification and a classification problem. Results are compared to other

approaches in the literature. The proposed modeling approach is more compact and interpretable.

Goldberg and Hammerham in Chapter 2, have extended their contribution to Volume III of the series (Chapter 6, pp 119–238) by describing their current research, which applies this technology to a different problem area, designing automata that can recognize languages given a list of representative words in the language and a list of other words not in the language. The experimentation carried out indicates that in this problem domain also, smaller machine solutions are obtained by the MTF operator than the benchmark. Due to the small variation of machine sizes in the solution spaces of the languages tested (obtained empirically by Monte Carlo methods), MTF is expected to find solutions in a similar number of iterations as the other methods. While SFS obtained faster convergence on more languages than any other method, MTF has the overall best performance based on a more comprehensive set of evaluation criteria.

Taplin and Qiu, in Chapter 3, have contibuted material that very firmly grounds GA in solving real-world problems by employing GAs to solve the very complex problems associated with the staging of road construction projects. The task of selecting and scheduling a sequence of road construction and improvement projects is complicated by two characteristics of the road network. The first is that the impacts and benefits of previous projects are modified by succeeding ones because each changes some part of what is a highly interactive network. The change in benefits results from the choices made by road users to take advantage of whatever routes seem best to them as links are modified. The second problem is that some projects generate benefits as they are constructed, whereas others generate no benefits until they are completed.

There are three general ways of determining a schedule of road projects. The default method has been used to evaluate each project as if its impacts and benefits would be independent of all other projects and then to use the resulting cost-benefit ratios to rank the projects. This is far from optimal because the interactions are ignored. An improved method is to use rolling or sequential assessment. In this case, the first year's projects are selected, as before, by independent evaluation. Then all remaining projects are reevaluated, taking account of the impacts of the first-year projects, and so on through successive years. The resulting schedule is still sub-optimal but better than the simple ranking.

Another option is to construct a mathematical program. This can take account of some of the interactions between projects. In a linear program, it is easy to specify relationships such as a particular project not starting before another specific project or a cost reduction if two projects are scheduled in succession. Fairly simple traffic interactions can also be handled but network-wide traffic effects have to be analysed by a traffic assignment model (itself a complex programming task). Also, it is difficult to cope with deferred project benefits. Nevertheless,

mathematical programming has been used to some extent for road project scheduling.

The novel option, introduced in this chapter, is to employ a GA which offers a convenient way of handling a scheduling problem closely allied to the travelling salesman problem while coping with a series of extraneous constraints and an objective function which has at its core a substantial optimising algorithm to allocate traffic.

The authors from City University of Hong Kong are Zhang, Chung, Lo, Hui, and Wu. Their contribution, Chapter 4, deals with the optimization of electronic circuits. It presents an implementation of a decoupled optimization technique for the design of switching regulators. The optimization process entails selection of the component values in the regulator to meet the static and dynamic requirements. Although the proposed approach inherits characteristics of evolutionary computations that involve randomness, recombination, and survival of the fittest, it does not perform a whole-circuit optimization. Consequently, intensive computations that are usually found in stochastic optimization techniques can be avoided. In the proposed optimization scheme, a regulator is decoupled into two components, namely, the power conversion stage (PCS) and the feedback network (FN). The PCS is optimized with the required static characteristics such as the input voltage and output load range, whilst the FN is optimized with the required static characteristics of the whole system and the dynamic responses during the input and output disturbances. Systematic procedures for optimizing circuit components are described. The proposed technique is illustrated with the design of a buck regulator with overcurrent protection. The predicted results are compared with the published results available in the literature and are verified with experimental measurements.

Chapter 5 by Hallinan discusses the problems of feature selection and classification in the diagnosis of cervical cancer. Cervical cancer is one of the most common cancers, accounting for 6% of all malignancies in women. The standard screening test for cervical cancer is the Papanicolaou (or “Pap”) smear, which involves visual examination of cervical cells under a microscope for evidence of abnormality.

Pap smear screening is labour-intensive and boring, but requires high precision, and thus appears on the surface to be extremely suitable for automation. Research has been done in this area since the late 1950s; it is one of the “classical” problems in automated image analysis.

In the last four decades or so, with the advent of powerful, reasonably priced computers and sophisticated algorithms, an alternative to the identification of malignant cells on a slide has become possible.

The approach to detection generally used is to capture digital images of visually normal cells from patients of known diagnosis (cancerous/precancerous condition or normal). A variety of features such as nuclear area, optical density, shape and

texture features are then calculated from the images, and linear discriminant analysis is used to classify individual cells as either “normal” or “abnormal.” An individual is then given a diagnosis on the basis of the proportion of abnormal cells detected on her Pap smear slide.

The problem with this approach is that while all visually normal cells from “normal” (i.e., cancer-free) patients may be assumed to be normal, not all such cells from “abnormal” patients will, in fact, be abnormal. The proportion of affected cells from an abnormal patient is not known *a priori*, and probably varies with the stage of the cancer, its rate of progression, and possibly other factors. This means that the “abnormal” cells used for establishing the canonical discriminant function are not, in fact, all abnormal, which reduces the accuracy of the classifier. Further noise is introduced into the classification procedure by the existence of two more-or-less arbitrary cutoff values – the value of the discriminant score at which individual cells are classified as “normal” or “abnormal,” and the proportion of “abnormal” cells used to classify a patient as “normal” or “abnormal.”

GAs are employed to improve the ability of the system to discriminate and therefore enhance classification.

Chapter 6, dealing with “Algorithms for Multidimensional Scaling,” offers insights into looking at the potential for using GAs to map a set of objects in a multidimensional space. GAs have a couple of advantages over the standard multidimensional scaling procedures that appear in many commercial computer packages. The most frequently cited advantage of Gas – the ability to avoid being trapped in a local optimum – applies in the case of multidimensional scaling. Using a GA or at least a hybrid GA, offers the opportunity to freely choose an appropriate objective function. This avoids the restrictions of the commercial packages, where the objective function is usually a standard function chosen for its stability of convergence rather than for its applicability to the user’s particular research problem. The chapter details genetic operators appropriate to this class of problem, and uses them to build a GA for multidimensional scaling with fitness functions that can be chosen by the user. The algorithm is tested on a realistic problem, which shows that it converges to the global optimum in cases where a systematic hill-descending method becomes entrapped at a local optimum. The chapter also looks at how considerable computation effort can be saved with no loss of accuracy by using a hybrid method. For hybrid methods, the GA is brought in to “fine-tune” a solution, which has first been obtained using standard multidimensional scaling methods.

Chapter 7 by Lam and Yin describes various applications of GAs to transportation optimization problems. In the first section, GAs are employed as solution algorithms for advanced transport models; while in the second section, GAs are used as calibration tools for complex transport models. Both sections show that, similar to other fields, GAs provide an alternative powerful tool to a wide variety

of problems in the transportation domain.

It is well-known that many decision-making problems in transportation planning and management could be formulated as bilevel programming models (single-objective or multi-objectives), that are intrinsically non-convex and it is thus difficult to find the global optimum. In the first example, a genetic-algorithms-based (GAB) approach is proposed to solve the single-objective models. Compared with the previous heuristic algorithms, the GAB approach is much simpler in principle and more efficient in applications. In the second example, the GAB approach to accommodate multi-objective bilevel programming models is extended. It is shown that this approach can capture a number of Pareto solutions efficiently and simultaneously which can be attributed to the parallelism and globality of GAs.

Varela, Vela, Puente, Gomez and Vidal in Chapter 8 describe an approach to solve job shop scheduling problems by means of a GA which is adapted to the problem in various ways. First, a number of adjustments of the evaluation function are suggested; and then it is proposed that a strategy to generate a number of chromosomes of the initial population allows the introduction of heuristic knowledge from the problem domain. In order to do that, the variable and value ordering heuristics proposed by Norman Sadeh are exploited. These are a class of probability-based heuristics which are, in principle, set to guide a backtracking search strategy. The chapter validates all of the refinements introduced on well known benchmarks and reports experimental results showing that the introduction of the proposed refinements has an accumulative and positive effect on the performance of the GA.

Chapter 9, developed by Raich and Ghaboussi, discusses an evolutionary-based method called the implicit redundant representation genetic algorithm (IRR GA) is applied to evolve synthesis design solutions for an unstructured, multi-objective frame problem domain. The synthesis of frame structures presents a design problem that is difficult, if not impossible, for current design and optimization methods to formulate, let alone search. Searching for synthesis design solutions requires the optimization of structures with diverse structural topology and geometry. The topology and geometry define the number and the location of beams and columns in the frame structure. As the topology and geometry change during the search process, the number of design variables also change. To support the search for synthesis design solutions, an unstructured problem formulation that removes constraints that specify the number of design variables is used. Current optimization methods, including the simple genetic algorithm (SGA), are not able to model unstructured problem domains since these methods are not flexible enough to change the number of design variables optimized. The unstructured domain can be modeled successfully using the location-independent and redundant IRR GA representation.

The IRR GA uses redundancy to encode a variable number of location-independent design variables in the representation of the problem domain. During evolution, the number and locations of the encoded variables dynamically change within each individual and across the population. The IRR GA provides several benefits: redundant segments protect existing encoded design variables from the disruption of crossover and mutation; new design variables may be designated within previously redundant segments; and the dimensions of the search space dynamically change as the number of design variables represented changes. The IRR GA synthesis design method is capable of generating novel frame designs that compare favorably with solutions obtained using a trial-and-error design process.

Craenen, Eiben and Marchiori in Chapter 10 develop a contribution that describes evolutionary algorithms (EAs) for constraint handling. Constraint handling is not straightforward in an EA because the search operators mutation and recombination are “blind” to constraints. Hence, there is no guarantee that if the parents satisfy some constraints the offspring will satisfy them as well. This suggests that the presence of constraints in a problem makes EAs intrinsically unsuited to solve this problem. This should especially hold when the problem does not contain an objective function to be optimized, but only constraints – the category of constraint satisfaction problems. A survey of related literature, however, indicates that there are quite a few successful attempts to evolutionary constraint satisfaction. Based on this survey, the authors identify a number of common features in these approaches and arrive at the conclusion that EAs can be effective constraint solvers when knowledge about the constraints is incorporated either into the genetic operators, in the fitness function, or in repair mechanisms. The chapter concludes by considering a number of key questions on research methodology.

Chapter 11 provides a very valuable approach to fine-tuning fuzzy rules. The chapter presents the design of a fuzzy logic controller (FLC) for a boost-type power factor corrector. A systematic offline design approach using the genetic algorithm to optimize the input and output fuzzy subsets in the FLC is proposed. Apart from avoiding complexities associated with nonlinear mathematical modeling of switching converters, circuit designers do not have to perform time-consuming procedures of fine-tuning the fuzzy rules, which require sophisticated experience and intuitive reasoning as in many classical fuzzy-logic-controlled applications. Optimized by a multi-objective fitness function, the proposed control scheme integrates the FLC into the feedback path and a linear programming rule on controlling the duty time of the switch for shaping the input current waveform, making it unnecessary to sense the rectified input voltage. A 200-W experimental prototype has been built. The steady-state and transient responses of the converter under a large-signal change in the supply voltage and in the output load are investigated.

In Chapter 12, Grundler, from the University of Zagreb describes a new method of complex process control with the coordinating control unit based upon a genetic algorithm. The algorithm for the control of complex processes controlled by PID and fuzzy regulators at the first level and coordinating unit at the second level has been theoretically laid out. A genetic algorithm and its application to the proposed control method have been described in detail. The idea has been verified experimentally and by simulation in a two-stage laboratory plant. Minimal energy consumption criteria limited by given process response constraints have been applied, and improvements in relation to other known optimizing methods have been made. Independent and non-coordinating PID and fuzzy regulator parameter tuning have been performed using a genetic algorithm and the results achieved are the same or better than those obtained from traditional optimizing methods while at the same time the method proposed can be easily automated. Multilevel coordinated control using a genetic algorithm applied to a PID and a fuzzy regulator has been researched. The results of various traditional optimizing methods have been compared with an independent non-coordinating control and multilevel coordinating control using a genetic algorithm.

Chapter 13 discusses GA approaches to cancer treatment. The aim of radiation therapy is to cure the patient of malignant disease by irradiating tumours and infected tissue, whilst minimising the risk of complications by avoiding irradiation of normal tissue. To achieve this, a *treatment plan*, specifying a number of variables, including beam directions, energies and other factors, must be devised. At present, plans are developed by radiotherapy physicists, employing a time-consuming iterative approach. However, with advances in treatment technology which will make higher demands on planning soon to be available in clinical centres, computer optimisation of treatment plan parameters is being actively researched. These optimisation systems can provide treatment solutions that better approach the aims of therapy. However, direct optimisation of treatment goals by computer remains a time-consuming and computationally expensive process. With the increases in the demand for patient throughput, a more efficient means of planning treatments would be beneficial. Previous work by Knowles (1997) described a system which employs artificial neural networks to devise treatment plans for abdominal cancers. Plan parameters are produced instantly upon input of seven simple values, easily measured from the CT-scan of the patient. The neural network used in Knowles (1997) was trained with fairly standard backpropagation (Rumelhart et al., 1986) coupled with an adaptive momentum scheme. This chapter focuses on later work in which the neural network is trained using evolutionary algorithms. Results show that the neural network employing evolutionary training exhibits significantly better generalisation performance than the original system developed. Testing of the evolutionary neural network on clinical planning tasks at Royal Berkshire Hospital in Reading, UK, has been carried out. It was found that the system can readily produce clinically useful treatment plans, considerably quicker than the

human-based iterative method. Finally, a new neural network system for breast cancer treatment planning was developed. As plans for breast cancer treatments differ greatly from plans for abdominal cancer treatments, a new network architecture was required. The system developed has again been tested on clinical planning tasks at Royal Berkshire Hospital and results show that, in some cases, plans which improve on those produced by the hospital are generated.

For those of you who are well-entrenched in the field, there are authors that you will recognise as being some of the best; and for those of you who are new to Gas, the same will apply – these are names you will certainly come to know and respect. The contributors to this edition come from a cross-section of academia and industry – theoreticians and practitioners. All make a significant contribution to our understanding of and ability to use GAs.

One of the main objectives of the series has been to develop a work that will allow practitioners to take the material offered and use it productively in their own work. This edition maintains that objective. To that end, some contributors have also included computer code so that their work can be duplicated and used productively in your own endeavours. I will willingly e-mail the code to you if you send a request to lcchambers@transport.wa.gov.au or it may be found on the CRC Press web site at www.crcpress.com.

The science and art of GA programming and application has come a long way in the last 5 years since the publication of the first edition. However, I consider GAs as still being a “new science” that has a long way to go before the bounds of the effects are well-defined and their ability to contribute in a meaningful manner to many fields of human endeavour are exhausted. We are, metaphorically, still “scratching the surface” of our understanding and applications of GAs. This book is designed to help scratch that surface just a little bit deeper and a little bit more.

As in the previous volumes, authors have come from countries around the world. In a world, which we are told is continually shrinking, it is pleasing to obtain first hand evidence of this shrinkage. As in the earlier volumes all communications were by e-mail which has dramatically sped up the whole process. But even so, a work of this nature invariably takes time.

The development of a chapter contribution to any field of serious endeavour is a task that must, of need, be taken on only after serious consideration and contemplation. I am happy to say that I believe all the authors contributing to this volume have gone through those processes and I believe that because of the manifest quality of the work presented.

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Note: I have not Americanised (sic) the spelling of English spelling contributors. So, as you read, you will find a number of words with s's where you may expect z's, and you may find a large number of u's where you might least expect them as in the word, "colour" and "behaviour." Please do not be perturbed. I believe the authors have the right to see their work in a form each recognises. I also have not altered the referencing forms used (we all understand the various forms and this should not detract from the book, but hopefully add some individuality) by the authors.

Ultimately, however, I am responsible for all alterations, errors and omissions.

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