

Contents

Introduction	9
1. Briefly on Genetic Algorithms	13
History	13
Canonical GA in short.....	14
Generation of initial population	15
Evaluation of population	18
Selection.....	21
Genetic operators	23
Generation of a new population	27
Canonical GA revisited.....	31
Read also.....	38
References.....	39
2. Standard operators.....	41
Bit-flip/Invert a Bit/Bit Substitution (B)	41
Bit Insertion (B)	41
Bit Deletion (B).....	42
Gene Insertion (B).....	43
Gene Deletion (B).....	43
Gene Inversion (B).....	44
Gene Transposition (B)	45
Gene Retro Transposition (B)	46
Random Bit Value (B)	47
Random Bit Value With a Bias (B).....	47
Swap Two Bits (B).....	49
Creep Mutation (B)	49
3. Parameter control – static and dynamic deterministic approach.....	50
De Jong Suggestion & Formula (B, R)(P)	50
Grefenstette Suggestion (B, R)(P).....	50
Schaffer et al. Suggestions & Formula (B, R)(P).....	50
Bäck Formula (B, R)(P).....	51
Mühlenbein Formula (B, R)(P)	51
Fogarty Suggestion & Formulas (B, R)(P).....	51
Hesser and Manner Suggestion & Formula (B, R)(P).....	52
Greenwell et al. Formula (B, R)(P).....	53
Bäck and Schütz Formula (B, R)(P).....	53
Beasley Formula (B, R)(P).....	54
Leite and Topping Formula (B, R)(P).....	54
Seng et al. Formula (B, R)(P).....	55
Nguyen and Wong Formula (B, R)(MS).....	55
Srivastava et al. Formula (B, R)(P).....	56
Madeline Formulas (B, R)(P).....	56
Population Rejuvenation Rule (B, R).....	57
4. Parameter control – dynamic adaptive approach.....	58
Rechenberg Rule (B, R)(P)	58
Bäck Formula (B, R)(P)	59

Fuller et al. Formula (B)(P).....	59
Chen et al. Formula (B, R)(P).....	60
Ochoa et al. Formula for Error Threshold (B, R).....	60
Elhadeif and Ayeb Formula (B, R)(P).....	61
Droste et al. Rule (B, R)(P).....	62
He et al. Formula (B, R)(P).....	62
Cheng et al. Formula (B, R)(P).....	63
Metcalf and Charbonneau Formulas (B, R)(P).....	64
Tan et al. Formula (B, R)(P).....	65
Chan and Liu Formula (B, R)(P).....	66
Minqiang and Jisong Rule (B, R)(P).....	66
Kamoi and Iwai Formula (B, R)(P).....	67
Liu and Feng Formula (B, R)(P).....	68
Quirin and Korczak Formula (B, R)(P).....	68
Triggered Hypermutation (B, R)(P).....	69
Adaptive Probabilities of Crossover and Mutation -1 (B, R)(P).....	71
Zhu & Chang Method (B, R)(P).....	73
Concentration Degree-based Operator Probabilities (B, R)(P).....	75
Zhuang et al. Method (B, R)(P).....	77
Adaptive Operator Probabilities (B, R)(P).....	79
COBRA (B, R)(P).....	81
Fuzzy Logic Controlled Mutation (B, R)(P).....	83
Probabilistic Rule-based Adaptive Model (B, R)(P).....	85
Adaptive Asymmetric Mutation (B, R)(P).....	89
Adaptive Probabilities of Crossover and Mutation -2 (B, R)(P).....	91
Adaptive Probabilities of Crossover and Mutation -3 (B, R)(P).....	94
Adaptive Allelic Mutation (B, R) (P).....	96
Constant Gain & Declining Adaptive Mutation (B, R) (P).....	98
Adaptive Probabilities of Crossover and Mutation -4 (B, R)(P).....	101
Adaptive Probabilities of Crossover and Mutation -5 (B, R)(P).....	103
Adaptive Probabilities of Crossover and Mutation -6 (B)(P).....	105
Adaptive Probabilities of Crossover and Mutation -7 (B, R)(P).....	107
Adaptive Pursuit Strategy (B, R)(P).....	110
Guarding Against Stalling (B, R)(P).....	113
Main Effect Fine Tuning (B, R)(P).....	114
Normalized Fitness-based Mutation (B, R) (P).....	117
Adaptive Number of Mutation Points (B)(MP).....	119
Labeled Chromosome-based Mutation (B, R)(P).....	121
Gene-based Adaptive Mutation (B)(P).....	123
Locus Statistics-based Mutation (B, R, D)(P).....	125
5. Parameter control – dynamic self-adaptive approach.....	128
ES-based Mutation-1 (B, R)(P).....	128
ES-based Mutation-2 (R)(MS).....	130
ES-based Mutations-3 (R)(MS).....	132
6. Binary-coded operators.....	137
Virus Infection Operators (B, R).....	137
Count-preserving Mutation-1 (B).....	140
Local Greedy Mutation (B, R).....	142
Gradient-descent Techniques Approximation (B).....	144
Best Schema Mutation (B).....	146

Gene Extraction (B)	148
Half Sibling and Clone (B)	151
Count-preserving Mutation-2 (B)	152
Self-adaptive Gaussian Mutation (B).....	155
Co-mutation Mijm operator (B)	157
Dynamic Mutation (B, R)	160
Mutation by Differentiation or Imitation (B)	162
Flee Mutation (B).....	166
Rotation Mutation (B).....	169
λ -Mutation (Self-directed Chaos) (B).....	170
Location-based & Number-based Mutation (B).....	172
Gene Diversity-based Mutation (B)(P)	175
Disparity Model-based Mutation (B, R)	177
Dyadic Mutation (B, R)	181
Heuristic Mutation with Final-zero-rate (B) (P).....	183
Softmax Mutation (B).....	185
Specific Part of Chromosome Mutation (B, R).....	187
Jumping Gene/Horizontal Mutation/Transposition (B, R, D).....	189
Guided Mutation (B).....	195
Age-driven 1-bit Mutation (B).....	198
Conditional Mutation (B).....	199
7. Real-coded operators.....	202
Uniform Mutation (R).....	202
Boundary Mutation (R).....	204
Non-uniform Mutation (R).....	205
Time-Variant Mutation (R).....	207
Weighted Gradient Direction-based Mutation (R).....	209
Deb & Goyal Mutation (R)	212
Entropy-based Mutation (R)	214
Operators for Dynamic Optimization Problems (R)	216
Simulated Annealing based Mutation-1 (R).....	219
Simulated Annealing based Mutation-2 (R).....	222
Breeder GA Mutation (R)	224
Macromutational Hillclimbing (B, R).....	226
Min-conflict based Mutation (B, D).....	229
Age-controlled Mutation (B, D, R)	232
Orientated Mutation and Immigration Mutation(R).....	234
Sphere Mutation (R).....	236
Differential Evolution Mutation (R)	238
Reduced Models-based Mutation (B, R).....	240
Bacterial Mutation (B, R).....	241
Improved Non-uniform Mutation (R)	243
Modified Uniform Mutation (R)	245
Logarithmic Mutation (R).....	247
1-D Parabolic Search Mutation (R).....	249
Selection Follower (R)	251
Chaotic Mutation, Annealing Chaotic Mutation (R).....	253
Boundary, Push, and Smooth Mutations (R).....	256
Nonlinear Mutation-1 (R)	259
Lamarckian Mutation (R).....	261

Nonlinear Mutation-2 (R)	262
Imperfect Mutation (R)	264
Modified Non-uniform Mutation (R)	266
Dyadic Floating-Point Mutation (R)	268
Kamal's Adaptive Mutation (B, R)	270
Multi Non-uniform Mutation (R)	271
Improved Crossover and Mutation (B, R)	274
Convex Combination (R)	276
Directional Mutations (R)	277
Mirror & Percentage Mutations (R)	282
Mutation for Continuous Adaptive Culture Model (B, R)	284
Wavelet Mutation (R)	286
Index of keywords, authors and experiment domains	288

Introduction

This book is a continuation of the *Genetic Algorithms Reference* series, the first volume of which was devoted to crossover operators. The current, second volume presents mutation operators destined to solve numerical optimization problems.

The layout of this book follows the layout of the former volume, however, the simple division into operators dedicated to solving problems coded with binary and real numbers was insufficient this time. Research work on the mutation operator does not lead only to development of its new, frequently dedicated form. One of the main questions asked in connection with this operator is about the probability of its application and about the scale of perturbation introduced by this operator. Therefore, three out of seven chapters of this book are devoted to this issue. Moreover, following the readers' opinions as well as suggestions of the reviewer of the first volume, I decided to add a chapter which is an introduction to the genetic algorithms theory. It is directed at everyone who starts *their adventure* involving genetic algorithms with this book series.

Eventually the layout of this book is as follows. The first chapter provides a general introduction to the genetic algorithms theory. The following three chapters present suggestions, formulas and methods applied in determining values of parameters controlling the mutation process. Here I have applied the most popular division¹ into: static and deterministic approach, dynamic adaptive approach and self-adaptive approach. Two of the last chapters present mutation operators developed with problems coded with binary and real numbers in mind.

As in the first volume, the division into methods dedicated to solving problems coded with binary and real numbers is somewhat artificial and most often results from the content of the source material. However, since many of the presented suggestions, rules and methods may be applied to different classes of problems, hence each of them is marked by one or many of the following symbols determining the scope of their application:

- (B) – problems coded with binary numbers;
- (R) – problems coded with real numbers;
- (D) – problems coded with integer numbers;
- (P) – determining the value of probability of mutation;
- (MS) – determining the length of mutation step;
- (MP) – determining the number of mutation points.

With the exception of the first chapter, the applied pattern of presentation is the same as in the first volume. Depending on whether a suggestion, a rule or a full method is presented, the pattern includes all or only some of the following elements:

¹ see: R. Hinterding, Z. Michalewicz, and A. E. Eiben (1997). *Adaptation in evolutionary computation: A survey*.
<http://citeseer.ist.psu.edu/hinterding97adaptation.html>

- Keywords – are supposed to help with searching through the book and also with mutual association of the presented in it operators.
- Motivation – showing the motivation which was the base for development of a given operator. This motivation has been formulated by the authors explicit or has been drawn up arbitrarily.
- Source text – source text pointing to the website from which that text may be downloaded – most of these sites are free of charge.
- Read also – suggested additional texts, the subject matter of which is directly connected with the discussed operator. The choice of these texts, even though it is made arbitrarily, is based mainly on the bibliography list included in the source text or points to the texts describing further development of a given operator or other operators connected with it ideologically. Links to sites where the suggested texts may be downloaded from are also provided.
- See also – other operators that in my opinion it is worth to become acquainted with in connection with a given operator.
- Algorithm – presents the discussed operator in the form of a pseudo-code, often in a couple of options. I decided to choose this form of presentation of an operator because it enables, in most cases, immediate application of that operator in practice. On the other hand I decided against usage of a specific programming language because elements appearing in the code additionally, resulting from grammar could make it difficult to understand the presented operator. A presented algorithm may often differ from its original form presented in the source text, it is often the case when the form of an operator was closely connected with the problem for which a given operator has been developed. However, the key idea of an operator is always presented.
- Comments – commentary or description of the presented operator, depending on whether in my opinion pseudo-code of an algorithm is a sufficient description or not.
- Experiment domains – problems that a given operator has been developed to solve or has been tested on, especially in consideration with standard testing functions.
- Compared to – list of operators or methods the presented operator has been compared to (in the source text).

Even though it may be disapproved of, I treat the following terms as synonyms: “recombination–crossover”, “solution vector–chromosome”, “gene–variable”, “generation–iteration” and use them as such throughout the text. Moreover, if it is not indicated explicit to be otherwise, I use following symbols throughout the text:

t – generation/iteration counter (time)

M – maximum number of generations/iterations

$P()$ – population of solution vectors (chromosomes)

$P(t)$ – current population

$P(t+1)$ – next population

Population_size – number of solution vectors (chromosomes) in $P()$

p_c – crossover probability

$p_c^{(t)}$ – crossover probability in generation t

$p_c^{(t)}(X)$ – crossover probability of vector X in generation t

p_m – mutation probability²

$p_m^{(t)}$ – mutation probability in generation t

$p_m^{(t)}(X)$ – mutation probability of vector X in generation t

n – length of solution vector (chromosome)

$N()$ – Normal/Gaussian probability distribution

$C()$ – Cauchy probability distribution

$U()$ – Uniform probability distribution

$\lfloor a \rfloor$ – integer part of a

Rnd – random real number , $Rnd \sim U(0, 1)$, if Rnd appears in an algorithm loop,

then in every cycle of that loop the value of Rnd is determined again

Binary-coded operators

$A^{(t)} = (a_1^{(t)}, \dots, a_n^{(t)}) \forall i a_i^{(t)} \in \{0, 1\}$ – binary-coded solution vector (chromosome)

$f(A^{(t)})$ – fitness of binary-coded solution vector $A^{(t)}$

$\{A_1^{(t)}, \dots, A_k^{(t)}\} \in P(t)$ – binary-coded solution vectors (chromosomes)

$A_j^{(t)} = (a_{j1}^{(t)}, \dots, a_{jn}^{(t)}) \forall i, j a_{ji}^{(t)} \in \{0, 1\}$

$f(A_j^{(t)})$ – fitness of binary-coded solution vector $A_j^{(t)}$

Real-coded operators

$X^{(t)} = (x_1^{(t)}, \dots, x_n^{(t)}) \in R^n$ – real-coded solution vector (chromosome)

$\forall i x_i^l \leq x_i \leq x_i^u$ where:

x_i^l – lower boundary of i^{th} variable (gene),

x_i^u – upper boundary of i^{th} variable (gene)

$f(X^{(t)})$ – fitness of real-coded solution vector $X^{(t)}$

$\{X_1^{(t)}, \dots, X_k^{(t)}\} \in P(t)$ – real-coded solution vectors (chromosomes)

$\forall i, j X_j^{(t)} = (x_{j1}^{(t)}, \dots, x_{jn}^{(t)}) \in R^n, x_i^l \leq x_{ji} \leq x_i^u$ where:

x_i^l – lower boundary of i^{th} variable (gene)

x_i^u – upper boundary of i^{th} variable (gene)

$f(X_j^{(t)})$ – fitness of real-coded solution vector $X_j^{(t)}$

² The term *probability of mutation* in the GA theory almost always means probability of mutation of a single gene in a chromosome and this will be the approach in the entire book. Cases, where this term will concern the whole chromosome (and not a single gene) will be clearly emphasized in the content of this book.

Upon publishing of whole series of the planned books, I plan to prepare supplements (in e-book format) once every two years which will cover two years from the date that book was published. I plan to send them to all interested readers. Hence, if you wish to receive such a supplement in the future please contact me by e-mail.