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Improvements to single-objective constrained predator?prey evolutionary optimization algorithm

Chowdhury · Dulikravich

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9	Corresponding Author	Organization	Florida International University	
10	Author	Division	MAIDROC Laboratory, Department of Mechanical and Materials Eng.	
11		Address	10555 West Flagler St., EC 3474, Miami 33174, FL, USA	
12		e-mail	dulikrav@fiu.edu	
13		Family Name	Chowdhury	
14		Particle		
15		Given Name	Souma	
16		Suffix		
17	Author	Organization	Florida International University	
18		Division	MAIDROC Laboratory, Department of Mechanical and Materials Eng.	
19		Address	10555 West Flagler St., EC 3474, Miami 33174, FL, USA	
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24	Abstract	a much larger numl dimensional lattice torus. The predator objectives, based on eighborhood. A stream of case of constrained additional objective been implemented movement of the probeen made making inequality constrain	gorithm, a relatively small number of predators ("lions") and ber of prey ("antelopes") are randomly placed on a two with connected ends representing an unfolded surface of a sare partially or completely biased towards one or more on which each predator kills the weakest prey in its ronger prey created through evolution replaces this prey. In a problems, the sum of constraint violations serves as an an Modifications of the basic predator—prey algorithm have in this paper regarding the selection procedure, apparent redators, and mutation strategy. Further modifications have the algorithm capable of handling multiple equality and ats. The final modified algorithm was tested on standard disconstrained/unconstrained single-objective optimization	
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RESEARCH PAPER

Improvements to single-objective constrained predator-prey evolutionary optimization algorithm

Souma Chowdhury · George S. Dulikravich

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- Abstract In predator-prey algorithm, a relatively small number of predators ("lions") and a much larger number 2 of prey ("antelopes") are randomly placed on a two dimensional lattice with connected ends representing an unfolded surface of a torus. The predators are partially or completely 5 biased towards one or more objectives, based on which 6 each predator kills the weakest prey in its neighborhood. A stronger prey created through evolution replaces this prey. 8 In case of constrained problems, the sum of constraint 9 violations serves as an additional objective. Modifications 10 of the basic predator-prey algorithm have been imple-
- mented in this paper regarding the selection procedure, 12 apparent movement of the predators, and mutation strategy. 13 14 Further modifications have been made making the algo-
- rithm capable of handling multiple equality and inequal-
- ity constraints. The final modified algorithm was tested 16
- on standard linear/nonlinear and constrained/unconstrained 17
- single-objective optimization problems. 18
- **Keywords** Predator–prey algorithm · Constrained 19
- 20 optimization · Evolutionary algorithms · Crossover ·
- Mutation

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This paper has not been published nor submitted for publication anywhere else besides Structural and Multidisciplinary Optimization.

S. Chowdhury ⋅ G. S. Dulikravich (⋈) MAIDROC Laboratory, Department of Mechanical and Materials Eng., Florida International University, 10555 West Flagler St., EC 3474, Miami, FL 33174, USA e-mail: dulikrav@fiu.edu

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1 Introduction

The last few decades have seen the development of optimization algorithms inspired by the principles of natural evolution. These algorithms, often termed Evolutionary Optimization Algorithms (EOAs), use a set of candidate solutions (population space) and follow an iterative procedure to produce a final set of the best compromise solutions, the graphical representation of which is termed as the Pareto front (Deb 2002). In case of single objective problems the Pareto front reduces to a single optimal solution known as the global minimum or global maximum. Genetic algorithm, differential evolution, particle swarm, and predator-prey algorithms are some of the most prominent EOAs.

Hybrid optimization techniques with automatic switching capability among a number of EOAs and classical gradient-based optimization algorithms have also been developed (Dulikravich et al. 1999; Colaço et al. 2005; Moral and Dulikravich 2008) and successfully implemented in multi-disciplinary problems (Martin and Dulikravich 2002).

In 1998, Hans Paul Schwefel proposed a new EOA to search for Pareto-optimal solutions (Laumanns et al. 1998) from a randomly generated initial population of candidate solutions. This algorithm imitates the natural phenomena that a predator kills the weakest prey in its neighborhood, and the next generations of prey that evolve are relatively stronger and more immune to such predator attacks.

In nature, individual predators have different means of tracking their prey, as a result of which their choice of prey might differ. This algorithm mimics such preferential hunting tactics in associating each predator or a group of predators with different objectives. In course of their random movements in the prey neighborhood, each predator



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tracks down the weakest local prey, that is, the one which is the most vulnerable to their particular hunting tactics. This refers to the prey which has the worst objective value with respect to that predator. The prey, thus killed, is then replaced by a stronger successor or a child.

Such phenomenon repeating itself over generations leads to evolution of the prey population into stronger species that are more immune to the distinct hunting tactics of the different predators. This, in mathematical terms, reflects improvements of the prey population as a whole with respect to all function objectives. In case of a multi-objective optimization problem, natural selection based on such a method ensures convergence of solutions towards the Pareto front without any direct implementation of a dominance based criterion. This is the major contribution of the predator-prey class of evolutionary algorithms.

In this light, application of the predator-prey selection technique to unconstrained single-objective optimization problems does not furnish any unique benefit. Consequently, in case of single-objective optimization problems, this algorithm acts like a typical genetic algorithm.

However, there is one major difference between the predator-prey algorithm and any other evolutionary algorithm. Absence of any global mixing of the population members results in localized improvements of the prey population in the predator-prey algorithm. This is further facilitated by the evolutionary techniques (crossover and mutation) employed in predator-prey algorithm that establish a localized and adaptive search, thereby enhancing the robustness of this optimization algorithm. This proves to be slower, but a more reliable mechanism of progress towards the global optimum in case of complex single-objective functions, like ones with multiple local optima.

In the predator-prey algorithm, prey, which represent members of the population/solution space are randomly placed (unique integer co-ordinates are randomly generated for each prey) on a two dimensional lattice with connected ends, that is, an unfolded surface of a torus. Predators, which are comparatively fewer in number than prey, are placed at the cell centers of the same 2D lattice. Each predator is completely biased towards one of the objectives, which form the quantitative basis of determining the weakest local prey. After the weakest local prey (the local solution candidate with the lowest value of the fitness function) is identified, it is eliminated (this "prey" is "killed") and a new prey is created through mutation of one of the immediate surviving neighboring prey. While the prey remain stationary, the predators move to a random neighboring location after every generation.

However, this original predator-prey optimization algorithm appears to have difficulty in producing well distributed non-dominated solutions along the Pareto front. Since then, several modifications of the above algorithm

have appeared in literature. Deb (2002) suggested an 109 improved version of the algorithm which involved the association of each predator with a weighted sum of objectives instead of one particular objective. Certain new features, 112 namely, the 'elite preservation operator", the 'recombination operator' and the 'diversity preservation operator' were also included. A further modified version of the algorithm 115 was proposed by Li (2003), where a dynamic spatial structure of the predator-prey population was used. It involved 117 the movement of both predators and prey and changing 118 population size of prey. Some other versions of the algorithm have been presented by Grimme and Schmitt (2006) 120 and Silva et al. (2002). The former uses a modified recombination and mutation model. The latter, predominantly a particle swarm optimization algorithm, introduces the concept of predator-prey interactions in the swarm to control the balance between exploration and exploitation, hence improving both diversity and rate of convergence.

Most of the above versions are strictly directed towards unconstrained multiobjective optimization problems. The 128 majority of practical applications of optimization involve constraints. This demands optimization algorithms capable of producing solutions that are both optimum as well 131 as feasible with respect to the problem constraints. There 132 exist very few instances of published applications of any form of the predator-prey algorithm to such real world problems. Nevertheless, since the basic concept of the predator-prey algorithm is significantly different from other 136 standard EOAs, there is sufficient basis to believe that the 137 potentials of this algorithm have not been fully realized.

The fundamental idea of the work presented here is to combine the basic predator-prey algorithm with some advanced features such as the constraint dominance criterion, hypercube sizing and the epidemic operator, to develop a reliable method of solving complex constrained/ unconstrained single-objective optimization problems.

There are two benefits of using a multi-objective approach. The algorithm can be used without changing the basic dynamics of the predator-prey interaction and weighted objective association of predators.

In case of solving constrained single-objective problems, the total constraint violation acts as the third objective. The constraint dominance criterion gives preference to selection based on lower constraint violation. On the other hand, the property that the first two objectives are equal to the actual problem objective function leads to two-thirds biasing of predators towards this objective. Both these factors acting 155 together provide a balance between selections of prey (solutions) based on actual objective value as well as its distance from the feasible domain (constraint violation).

This method is somewhat similar to the filter method 159 of constrained optimization, with the dominance criterion biased towards selection based on total constraint 161

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violation. The weighted function association of predators on the other hand creates a counter effect as explained above. However, the version of the algorithm that was found to perform most satisfactorily when dealing with constrained problems involved selection based on 'constraint dominance' criterion instead of the 'weighted sum of objectives' method which makes SOMPP very similar to NSGA II by Deb et al. (2000) with respect to the selection procedure.

This study presents the development of a constrained single-objective version of the modified predator-prev algorithm which involves new features that are expected to promote dependability in terms of convergence of solutions as well as reduction of the number of function evaluations necessary. This single-objective, modified, predator-prey algorithm (SOMPP) has been derived from the basic predator-prey algorithm. Any unconstrained single-objective optimization problem was treated as a twoobjective optimization problem, where the second objective is just a clone of the first one. In case of the constrained problems, all the equality and inequality constraints were collaged together to form a third objective and the problem was solved as a three-objective optimization problem (Chowdhury et al. 2009, 2010) where the first two are equivalent and different from the third objective (constraint objective).

2 Single objective modified predator-prey algorithm 187

Any general constrained single objective test problem is 188 reformulated as follows. 189

190 Minimize
$$f_1 = f(X)$$
Minimize $f_2 = f_1$
(1)

subject to 191

$$g_{ic} \leq 0, \quad ic = 1, 2, 3, ..., p$$

192 $h_{ic} = 0, \quad ic = p + 1, p + 2, ..., p + q$
 $p, q \in Nc$ (2)

Here, X is the vector of design variables, that is, 193

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$$X = (x_1, x_2, ..., x_v, ..., x_{Nv})$$
 , $x_v \in R$

The inequality and equality constraints are added up to form 195 196 the third objective

197 Minimize
$$f_3 = \sum_{ic=1}^{p} \max (g_{ic}, 0)$$

$$+ \sum_{ic=n+1}^{p+q} \max ((h_{ic} - \varepsilon), 0)$$
(3)

where ε is the tolerance for equality objectives.

In case of unconstrained problems, SOMPP indeed acts 200 as a generic genetic algorithm which selects solutions based on their objective value. However, SOMPP also applies the hypercube technique as a qualification criterion for accepting new/child solutions. This incorporates diversity into the population in the same way as the concept of crowding distance does in case of NSGA II by Deb et al. (2000) and the recently developed Constrained Particle Swarm Optimization by Venter and Haftka (2009).

The initialization and subsequent steps executed by the 209 algorithm in each generation in solving a single-objective optimization problem are sequentially presented below. It 211 should be noted that in case of a maximization problem the 212 function is multiplied by -1, to convert it into a general 213 minimization problem.

First, a population of N candidate solutions (prey) is 215 created using Sobol's (1976) quasi-random sequence gen- 216 erator to generate their vectors of design variables. Using 217 these values of design variables, objective functions for each 218 candidate solution are evaluated. Sobol's algorithm offers 219 significantly more uniform distribution of random numbers 220 than a typical random number generator routine.

Then, the prey are placed at the nodes of a two dimensional grid with connected ends hence having a toroidal 223 nature. The grid is allowed to adjust its size dynamically according to the population size maintaining the dimensions $I \times J$, where we found after numerical experimentation that the most suitable value for J is J = 5. Consequently, I is chosen such that I is the lowest possible integer for which 228 $N < I \times J$. Random members of the prey population are cloned (four or less) if required in order to ensure that all 230 grid points (having integer co-ordinates) are occupied by prey.

Similarly, M predators are placed on the same 2D 233 grid such that they occupy random cell centers (Fig. 1). 234

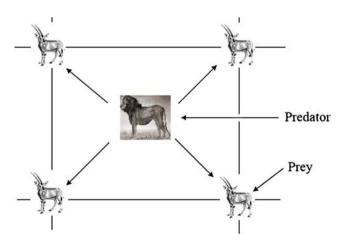


Fig. 1 An active four prey locality/neighborhood on the grid drawn on an unfolded toroidal surface

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The value of M is determined by the following empirical 235 236

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$$M = \max\left(\left(\left[\frac{N}{20}\right] \times N_f\right), 4\right)$$
 (4)

where, [r] is the lowest integer greater than $r, r \in \mathbb{R}^+$, and 238 N_f is the number of objectives. Each predator is associated 239 with a weighted value of the objectives as follows. 240

$$f^{j} = \sum_{i=1}^{2} w_{i}^{j} f_{i}$$
241
$$\sum_{i=1}^{2} w_{i} = 1$$
(5)

Here, f^{j} is the effective objective function value that the ith predator is associated with and w_i^j is respective weight of the ith objective with respect to the jth predator. The weights are distributed uniformly in case of two-objective problems (from (0,1) to (1,0)) and using Sobol's (1976) algorithm in case of problems with more than two objectives (constrained problems).

Thus, the basic SOMPP algorithm was designed to handle problems with more than one objective. The dynamics of the algorithm is also conducive to multi-objective optimization. Hence, an unconstrained single objective optimization problem is treated as a two-objective problem with equal objective values, that is,

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$$f_1(X) = f_2(X)$$

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This allows one to use the same predator-prey dynamics as in a multi-objective problem. However, mathematically the algorithm will be solving the single objective problem, because each predator will be completely biased towards a single objective (5) since $f^j = f_1 = f_2$ for each predator in the grid.

In case of a constrained single-objective problem, the total constraint violation is treated as the third objective.

This is why the number of objectives is defined by the general notation Nf, where Nf = 2 for an unconstrained single-objective problem and Nf = 3 for a constrained single-objective problem. However, the single-objective MPP (SOMPP) algorithm is significantly different from the multi-objective MPP in some other features, such as the mutation operator, the hypercube operator, rank based predator relocation, nine prey neighborhoods and the epidemic operator. By the virtue of the above features, SOMPP acts as a distinct version of the Modified Predator Prev algorithm suitable for handling single-objective optimization problems.

The presence of three objectives, among which the first two are equivalent and different from the third objective

(constraint objective), creates a platform where one can reap substantial benefits from the preferential hunting nature of predators based on their colligation with different objectives. The property that the first two objectives are equal to 281 the actual problem objective function entails a higher probability of prey killings (almost two thirds) based on their weakness with respect to the actual objective. On the other hand, the constraint dominance measure that acts as one of the qualification criterion when accepting new (replacement for the killed) prey, promotes selection based on lower 287 constraint violation.

Notice also that the constraint handling technique used 289 in SOMPP is free of any user-defined constants/coefficients, unlike most penalty function methods (shown in the review by Coello Coello 2002), where the user has to tune different 292 problem specific algorithm coefficients. Consequently, the scope of applying SOMPP universally to any single objective problem with equality and/or inequality constraints seems promising.

Since predators are randomly located at the centers of 297 quadrilateral cells drawn on an unfolded toroidal surface, each neighborhood that contains a predator can be termed as an 'active locality' as shown in Fig. 1. In each of these localities/cells, the value of f as defined by (5) corresponding to the local predator, is calculated for each prey (local fitness of prey). The weakest prey, that is, the prey having the maximum value of f is selected to be killed and replaced by a new prey produced by the crossover of the two strongest neighboring prey and a subsequent mutation of the crossover child.

The blend crossover (BLX- α) (Deb 2002) was used in 308 this case. 309

$$y_{\nu}^{(1,t+1)} = (1 - \gamma_{\nu}) x_{\nu}^{(1,t)} + \gamma_{\nu} x_{\nu}^{(2,t)}$$

$$\gamma_{\nu} = (1 + 2\alpha) u_{\nu} - \alpha$$
(6) 310

Here, $x_v^{(1,t)}$ and $x_v^{(2,t)}$ are the design variables that define 311 parent solutions, $y_v^{(1,t+1)}$ is the design variable that defines 312 the child solution and u_v is a random number between 0 and 313 1. A value of 0.5 was used for α as suggested by Deb (2002). 314

Non-uniform mutation (Deb 2002), as defined below, 315 was used in this algorithm. 316

$$\beta = 10^{-\left(1 + K^t / t_{\text{max}}\right)}$$
 317

$$y_v^{(1,t+1)} = x_v^{(1,t+1)}$$
 318

$$+ \tau \left(x_{\nu}^{(U)} - x_{\nu}^{(L)}\right) \left(1 - r_{\nu}^{\left(1 - t/_{t_{\text{max}}}\right)^{b}}\right) \times \beta$$
 (7) 319

Here, 10^{-K} is the terminal order of magnitude of the extent 320 of mutation, $y_v^{(1,t+1)}$ is the child produced by mutation of 321

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the vth variable, $x_v^{(U)}$ and $x_v^{(L)}$ are upper and lower limits of the vth variable, r_v is a random number between 0 and 1, τ takes a Boolean value -1 or 1, each with a probability of 0.5, t and t_{max} are the number of function evaluations performed until then and maximum allowed number of function evaluations, respectively, while b is the user defined parameter (b = 1.5 determined empirically) and β is the scaling parameter.

The evolutionary operators such as crossover and mutation operator applied in SOMPP are based on the niching strategies used in genetic algorithms. The BLX- α crossover is utilized since it facilitates genetic recombination that is adaptive to the existing diversity in the parent population; a desirable characteristic for Pareto front convergence. Also, non uniform mutation (Michalewicz 1992) is utilized since it provides a uniformly distributed search in the earlier generations and a relatively focused search in the later ones.

The child prey produced by crossover and mutation qualifies to be accepted only if it fulfills the following three criteria:

- 343 The child is stronger than the worst local prey based on f calculated by (2), 344
- The child is non-dominated (Deb 2002) with respect to 2. 345 the other three local prey, and 346
- The child is not within the objective space hypercube 347 (Deb 2002) of the remaining three neighboring prey. 348

Apparently, the treatment of constrained single-objective problems as bi-objective problems with total constraint violation as the second objective is similar to the constrained handling method adopted in other filter algorithms. Nevertheless, the selection criterion is different from the conventional weak dominance criterion used in multi-objective problems. Instead, the constrained dominance criterion as introduced by Deb et al. (2000) is used in SOMPP. The constraint dominance criterion for a minimization problem is defined as follows.

Solution i is said to dominate solution j if:

- Both solutions are infeasible, and solution i has lower 360 value of constraint violation than solution j (i.e., f_3^i < 361 f_3^j 362
- 2. Solution i is feasible and solution j is infeasible. 363
- Both solutions are feasible (or problem is uncon-364 strained) and solution i has a lower objective value than 365 solution j (that is, $f_1^i < f_1^J$). 366

SOMPP, thus, does not follow the actual Pareto approach 367 368 in searching for optimal solutions. Under such circumstances the predator-prey algorithm demonstrates a desir-369

able balance between selection of solutions based on actual 370 objective value and its distance from the feasible domain. 371 This allows one to incorporate the useful genetic traits of 372 strong infeasible solutions, while driving the prey popula- 373 tion towards the feasible domain.

In case of the third criterion, each old local prey is considered to be at the centre of its hypercube, the size of which 376 is dynamically updated with generations and is determined 377 by the following novel equation.

$$\omega = 10^{-\left(2 + L_{\frac{t}{l_{\text{max}}}}\right)}$$

$$\eta_i = \omega \times \min\left(f_i^{\text{new prey}}, f_i^{\text{old prey}}\right)$$
(8)

Here, 10^{-L} is the terminal order of magnitude of relative 379 window size, ω is the window size of the hypercube and 380 η_i is the half side length of the hypercube corresponding to 381 the ith objective. The first two criteria promote convergence towards the global minimum. The third criterion helps in maintaining diversity in the solution space in order to avoid converging to a local minimum. Ten trials were allowed to produce a qualified child that satisfies these three criteria, failing which the worst prey was retained.

Hence, to conclude, selection in SOMPP is chiefly based 388 on constraint dominance. This gives feasibility a preference 389 over optimality, but promotes both simultaneously, which is partially similar to the filter algorithms. At the same time, the mutation operator and the hypercube operator incorporate the traits of niching. Niching has been applied in the 393 field of evolutionary algorithms using various techniques such as dynamic mutation, preselection (Cavicchio 1970), 395 crowding distance concept (Dejong 1975), sharing function model (Goldberg and Richardson 1987), etc. However, SOMPP demonstrates a search radius that is adaptive to the extent of convergence of the population (through adaptive mutation) and a diversity preserving technique (the 400 hypercube operator) adaptive to the current diversity of the population; the simultaneous existence of both is rare in literature. This reinforces SOMPP with the ability to adapt to 403 the complexities of the problem (especially multimodality) at hand.

Thus, we can conclude that the preferential hunting tactics of predators in the predator-prey algorithm do not contribute any unique gain in case of unconstrained singleobjective problems. However, when dealing with con- 409 strained single-objective problems, such characteristic is 410 highly favorable to ensure simultaneous achievement of 411 feasibility and objective optimization.

Upon completion of the above predator–prey interactions 413 in each active locality, the predators were relocated ran- 414 domly. A probability based relocation criterion was intro- 415 duced here, which ensures that each cell is visited, therefore 416 favoring an even distribution of the number of visitations by 417

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a predator to each cell. The predator relocation criterion is defined as follows: 419

if $cellcount(i, j) > cellcount_{avg} + 1$, locate = nolocate = yes

(9)420

Here, *cellcount* (i, j) is the number of times predators have 42.1 visited the cell (i, j) in previous generations, cellcount_{ave} 422 423 is the average of all *cellcount* (i, j) and (i, j) is the randomly generated location on the 2D lattice. This new feature 424 425 ensures that every member of the prey population irrespective of its location in the 2D lattice gets fair opportunity of 426 427 improvement.

At the end of each generation the objective value of the strongest prey (based on dominance criterion) is found and the algorithm checks for termination. The termination criteria are as follows:

- Maximum allowed number of function evaluations 432 (fcallmax) has been exhausted, or 433
- 2. The best objective value searched by the algorithm has 434 not changed during the last 100 generations. 435

The dynamic reduction of the window size of the hyper-436 cube and the mean extent of mutation along the course of 437 438 generations introduces the desirable attribute of 'adaptive shrinkage of the search radii' as solutions converge towards 439 the global optimum. 440

The above steps summarize the basic version of SOMPP which can be termed as SOMPP Version-1. During the course of further development of SOMPP, other alterations/additional features were also implemented causing minor to significant improvements in its performance. These versions of SOMPP are described in detail as follows.

447 2.1 SOMPP version-2: rank based predator relocation

Localities with relatively stronger prey were designed to 448 have a higher affinity of attracting predators. The probabil-449

ity ' $cellprob_{i,j}$ ' of locating a predator in a particular locality 450

(co-ordinates i, j generated by a random number generator) 451

is determined as follows. 452

$$cellrank_{i,j} = \min \begin{pmatrix} rank_{i,j} & rank_{i+1,j} \\ rank_{i+1,j+1} & rank_{i,j+1} \end{pmatrix}$$

$$cellprob_{i,j} = \frac{N - cellrank_{i,j}}{N}$$
(10)

Here, $cellrank_{i,j}$ is the rank of the cell/locality (i, j) and 454 455 $rank_{i,j}$ is the rank of the prey located at the grid point (i, j),

ranking being determined on the basis of dominance. N

is the total number of prey, hence equal to the maximum 457 rank in the population. This feature introduces substantial amount of elitism into the algorithm thereby speeding up convergence. However, in some cases this might limit the domain of search and hence should be applied carefully.

2.2 SOMPP version-3: nine prev neighbourhood

Instead of the predator being located at the center of a fourvertex quadrilateral cell, the predator is now located on the same grid nodes as prey and allowed to have access to all eight preys around it as well as the prey at that very grid 466 location (Fig. 2). This increases the neighbourhood scope of 467 the predator from four to nine. Since prev are not relocated in SOMPP, this modification facilitates faster communication of genetics among prey irrespective of their location on 470 the unfolded toroidal surface grid, which in turn accelerates 471 the rate of improvement of the prey population as a whole.

2.3 SOMPP version-4: global elitist crossover 473

Here, the worst prey in each active neighbourhood is 474 replaced by the crossover of the strongest two prey in the 475 entire prey population, instead of the strongest two local 476 prey. Strength of the prey in this case is determined on the 477 basis of the objective value. This significantly decreased 478 the number of function evaluations necessary, but often led 479 to stalling of solutions at the local minima. This might be 480 avoided by selecting the parents for crossover out of the top 481 'p' percentage of the prey population based on dominance, 482 instead of the two global prey with minimum objective val- 483 ues. Nevertheless, even then the fundamental characteristics 484

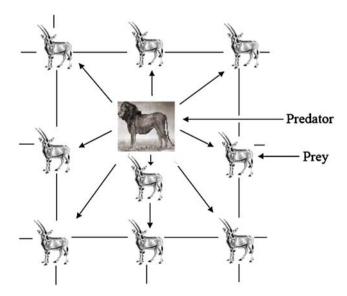


Fig. 2 An active nine prey locality/neighbourhood on the grid drawn on an unfolded toroidal surface

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of predator-prey approach, that is localized evolution of 485 486 solutions, will be lost.

2.4 SOMPP version-5: version-2 and version-3 combined with an epidemical operator

In this version of SOMPP, the concepts of nine-prey active neighborhoods and rank based relocation of predators are implemented simultaneously to promote faster convergence and better communication among the prey. However, the rank for each cell is calculated as the average of the ranks of all the local prey in that cell. In addition to that, to counteract the possibility of convergence to a local minimum, a concept of an epidemic genetic operator was introduced as implemented by Cuco et al. (2008) in the Epidemic Genetic Algorithm. If the objective value of the strongest prey does not change over a certain number of consecutive iterations, a part of the prey population is discarded and replaced with new population generated using Sobol's (1976) quasi-random sequence generator. This is implemented as follows.

If Nchng > 10, 504

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- 505 Rank prey population by dominance.
- Discard weakest $0.0 < f_w < 1.0$ fraction of the prey 506 population. 507
- 3. Set variable limits suitable to the order of magnitude of 508 the remaining prey and generate $N \times f_w$ new prey to 509 replace the discarded ones. 510
- Here, Nchng is the consecutive number of generations with-511 out any change in the objective value of the strongest prey 512 513 by a relative tolerance of 10e-03. Numerical experiments showed that a high value of f_w ($f_w = 0.9$) should be used 514 for all test cases since whenever the above conditions for 515 516 the application of the epidemical operator was satisfied, the existing diversity in the population was significantly below 517
- that required to produce new solutions. As a result of which, 518 retaining a few representative solutions (stongest of the lot) 519
- from the existing population, should be sufficient. 520
 - Table 1 Details of three unconstrained single-objective test cases

Problem	N_{v}	Variable limits	Objective function 1	Analytical solution
Griewank	2	$x_i \in [-600, 600]$	$f(X) = \sum_{i=1}^{m} \frac{x_i^2}{4000} - \prod_{i=1}^{m} \cos\left(\frac{x_i}{\sqrt{i}}\right) + 1$	$f(X) = 0, x_i = 0$
Rosenbrock	2	$x_i \in [-2.048, 2.048]$	$f(X) = 100 (x_2 - x_1^2)^2 + (1 - x_1)^2$	$f(X) = 0, x_i = 1$
Miele-Cantrell	4	$x_i \in [-10, 10]$	$f(X) = (e^{(x_2 - x_1)})^4 + 100(x_2 - x_1)^6$	$f(X) = 0, x_1 = 0,$
			$+\left(\tan^{-1}(x_3-x_4)\right)^4+x_1^2$	$x_2 = x_3 = x_4 = 1$

 N_{ν} number of variables

2.5 SOMPP version-6: version-5 with dominance based selection in active neighbourhoods

Here, the relative strength of the prey in an active locality is 523 determined on the basis of the dominance criterion instead 524 of the weighted f value given by (5). In case of unconstrained problems, this has no additional influence because 526 the dominance is merely based on the actual objective value. However, in case of constrained problems, this modification 528 helps significantly in directing solutions into the feasible 529 region first, before the process of minimization takes over. This is because the dominance criterion (Deb 2002) was 531 designed so that feasibility has a preference over minimiza- 532 tion. This in turn substantially reduces the domain of search 533 at the later stages making the algorithm more robust and 534 efficient.

The final version of SOMPP (version 6) also incorpo- 536 rates rank based relocation of predators. This is a specific 537 attribute of this single-objective version of predator-prey. Single-objective optimization demands more focused search 539 for optimal solutions compared to multi-objective problems. The rank based relocation ensures that the algorithm 541 does not waste too much time searching sections of the 542 domain which are less likely to contain the optimal solution. However, this can prove to be disadvantageous in cases of highly non-convex or discontinuous functions (like delta 545 functions).

It should be noticed that in SOMPP version 5, the 547 weighted sum of objectives determines the strength of prey, 548 each predator being associated with a different distribution of weights. Whereas in SOMPP version 6 selection is guided by the constraint dominance criterion. This proves to be more favorable for faster convergence of solutions.

3 Numerical experiments

All six versions of SOMPP were implemented using a 554 C++ programming language. The objective functions were evaluated by the corresponding external executable files.

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The final version of the algorithm, that is, SOMPP Version-6 was initially tested on three popular unconstrained single-objective test functions namely Griewank function, Rosenbrock function and Miele-Cantrell function as evaluated by Colaco et al. (2008). Details about these functions are given in Table 1.

The user-defined parameters used in the SOMPP Version-6 algorithm in case of the above three test problems are summarized in Table 2.

The prey population size used here is the 'small set' population size defined by Colaco et al. (2008) as equal to 10 N_{ν} . The crossover probability should be maintained at unity (i.e., 100%) since localized recombination is absolutely necessary for evolution of a population which lacks global mixing of solutions. The mutation probability used is also high (around 0.25, i.e., 25%) which is usual for application of evolutionary algorithms to unconstrained problems. However, specific real world problems might demand a higher or lower mutation probability, which may not be possible to predict a priori without some knowledge of the function topology.

The values of K and L reflect the degree of convergence that the user expects to achieve. However, care should be taken to allow a sufficient number of function evaluations to converge. Otherwise, the local search radii would reduce too much and too soon rendering the algorithm incapable of producing substantially better solutions in subsequent generations. In this case, high values of K and L are used because the above test problems are unconstrained and relatively easy to solve.

The test functions were run until the relative error in the computed minima reduced to 10e-09 or the maximum allowed number of function evaluations was exhausted. The relative error was calculated as follows.

$$relative \ error = \begin{cases} \frac{\left|Min_{comp} - Min_{anal}\right|}{Min_{anal}}, & if \ Min_{anal} \neq 0\\ \left|Min_{comp} - Min_{anal}\right|, & if \ Min_{anal} = 0 \end{cases}$$

$$(11)$$

Table 2 SOMPP Version-6 user-defined parameters for three singleobjective test cases

Parameter	Value
Population size (# prey)	10 N _v
Crossover probability	1.0
Mutation probability	0.25
Maximum allowed function evaluations	10,000
K (mutation)	6
L (hypercube)	10
f_w (epidemic operator)	0.9

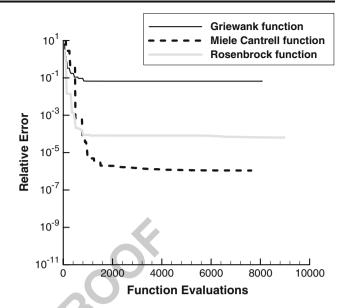


Fig. 3 Convergence history of SOMPP version-1 applied to Griewank, Miele-Cantrell and Rosenbrock functions

The convergence histories of the three test problems are 592 shown in Figs. 3 and 4. It is noticeable that numerous modifications introduced in SOMPP Version-6 made it superior 594 to SOMPP Version-1.

The results for these three test cases for SOMPP Version-1 (Fig. 3) and SOMPP Version-6 (Fig. 4) are shown a priori 597 for ease of latter comparison against results of testing all 598 six version of SOMPP on a much larger set of test functions. Though multiple runs were performed, the outcome 600 of only one of the representative runs is shown here due to obvious constraints in demonstrating convergence histories 602 of multiple runs together on the same graph.

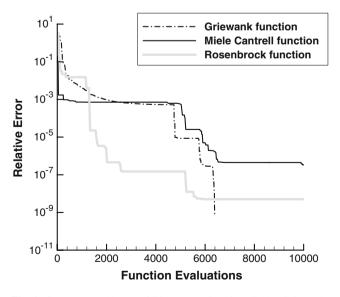


Fig. 4 Convergence history of SOMPP version-6 applied to Griewank, Miele-Cantrell and Rosenbrock functions

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Improvements to single-objective constrained predator-prey evolutionary optimization algorithm

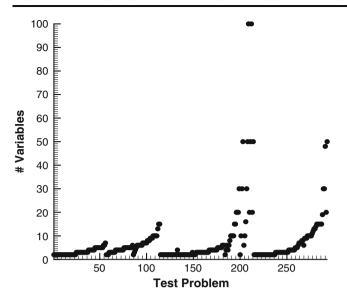


Fig. 5 Number of variables for each of the 293 test cases defined by Hock and Schittkowski (1981)

Figure 4 shows that the SOMPP Version-6 reduced the relative error by ten orders of magnitude in less than 10,000 function evaluations for the Griewank function. However, in case of the Rosenbrock function and the Miele-Cantrell function the algorithm ran for 10,000 function evaluations to reduce the relative error by ten orders and by only three and a half orders of magnitude, respectively.

Further fine calibration of the extent of mutation and the relative hypercube size together with allowing more function evaluations is likely to achieve better accuracy in finding the global minimum.

In order to test the SOMPP thoroughly, the algorithm in its original version (SOMPP Version-1) was tested on the 293 constrained and unconstrained single objective test cases with known analytic solutions that were derived from the collection of 395 linear/nonlinear test cases (actually 295 test problems) formulated by Hock and Schittkowski (1981) and Schittkowski (1987). The number of variables involved in these 293 cases ranges from two to 100 as shown in Fig. 5. The number of inequality and equality constraints range from 0 to 38 and 0 to 6, respectively.

Table 3 SOMPP Version-1 user-defined parameters for the 293 test cases

Parameter	Value
Population size (# prey)	10 N _v
Crossover probability	1.0
Mutation probability	0.1
Maximum allowed function evaluations	20,000
K (mutation)	2
L (hypercube)	4

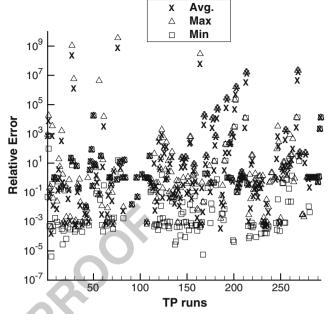


Fig. 6 Relative error of computed minima for the 293 test problems (SOMPP version-1)

The user-defined parameters used in the SOMPP 625 Version-1 algorithm in case of the above 293 test problems 626 are summarized in Table 3.

A lower mutation probability is used in this case, because most of the above test cases are constrained and care should 629 be taken to avoid already feasible solutions (near the boundaries of the feasible domain) from leaving the feasible space. 631 Similarly, lower values of K and L were used to impose stricter restrictions on the rate of decrease of search radii,

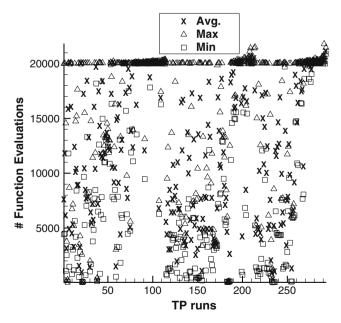


Fig. 7 Number of function evaluations for each of the 293 test problems (SOMPP version-1)

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Table 4 Details of the 13 test problems from the set of 293

#	TP	$N_{ u}$	q	P value
1	1	2	0	0
2	37	3	0	2
3	44	4	0	6
4	55	6	6	0
5	75	4	3	2
6	110	10	0	0
7	112	10	3	0
8	118	15	0	29
9	246	3	0	0
10	251	3	0	1
11	301	50	0	0
12	393	48	2	1
13	395	50	1	0

since a lower degree of convergence is expected for such a set of complex constrained/unconstrained test problems. A relative tolerance of $\varepsilon = 0.001$ was used for equality constraints.

To compensate for performance fluctuations induced by random generators used in creating the initial population and other genetic operators, the algorithm was run five times for each of the 293 test problems resulting in a total of 1,465 test runs. An explicit termination criterion was also implemented when relative error became less than 0.001. The final relative error for the computed minimum and the number of function evaluations exhausted in doing so for each of these test problems can be seen in Figs. 6 and 7. In both of these figures the corresponding maximum, minimum and average (of five runs) are given for each test problem.

It is evident from Fig. 6 that some of the test cases exhibit partial convergence with a relative error of the order of around 1.0. This can be attributed to the presence of either multiple equality or inequality constraints (linear /nonlinear) or both in most of these test problems (Hock and Schittkowski 1981; Schittkowski 1987). Some of the test cases do not converge at all leading to a relative error of orders above unity. This is primarily due to the lack of any

Table 5 SOMPP user-defined parameters for the 13 test cases

Parameter	Value
Population size (# prey)	10 N _v
Crossover probability	1.0
Mutation probability	0.25
Maximum allowed function evaluations	20,000
K (mutation)	3
L (hypercube)	6
f_w (epidemic operator)	0.9

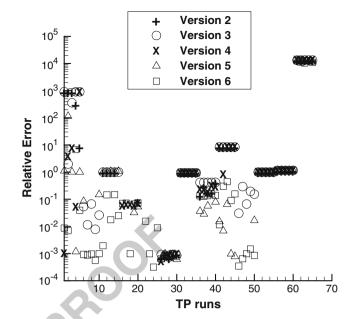


Fig. 8 Relative error of computed minima for the 13 test problems

specified variable limits for some of the variables in the original publications. In such cases, a comprehensive range of -10e10 to +10e10 was assigned for each design variable.

The number of function evaluations varied significantly from problem to problem as seen from Fig. 7. Test problems 661 (TP) from TP-80 onwards till TP-118 (test runs 400-590) 662 have relatively high number of constraints leading to a higher number of function evaluations. Whereas test problems ranging from TP-190 to TP-210 as well as from 665 TP-260 to TP-293 have a relatively high number of design 666

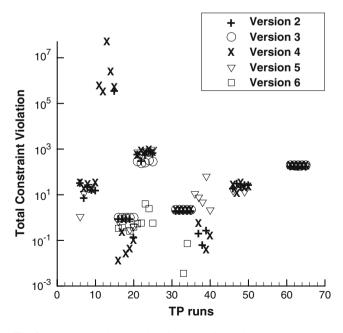


Fig. 9 Total constraint violation for each of the 13 test problems that are constrained

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Improvements to single-objective constrained predator-prey evolutionary optimization algorithm

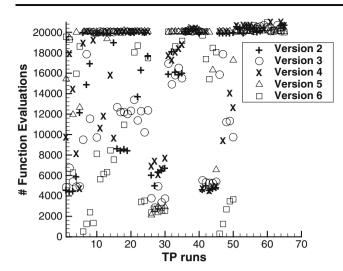


Fig. 10 Number of function evaluations for the 13 test problems

variables leading also to a higher number of the objective function evaluations. Though 20000 function evaluations were allowed, some test cases show total executed number of evaluations to be a little more than that. This is because in SOMPP the number of function evaluations in each generation is not limited to the population size (not predictable either) unlike in other evolutionary algorithms. Consequently, the total number of function evaluations might just exceed that allowed in course of the last executed generation. This is also evident from Table 6 presented later

Running all 293 test problems in series is computationally extremely time consuming. Consequently, a set of 13 test problems were chosen from among these 293 cases. These 13 test cases involve number of variables ranging from two to 50 (with or without specified limits), number of equality constraints ranging from 0 to 6 and number 683 of inequality constraints ranging from 0 to 38, thereby exhibiting varying degree and nature of complexity. Details pertinent to these test problems are given in Table 4. It 686 should be noted that, compared to Table 3, a higher mutation probability was used to prevent intermediate convergence to local minima and subsequent stagnancy in the region of the local minima. Higher values of K and L were used to achieve better accuracy.

Here, p = number of inequality constraints, q = number 692 of equality constraints.

All the latter five versions of SOMPP (versions 2 to 6) were tested on these 13 test problems. Each of these test 695 problems was run five times on a small population size $(10 N_{\rm p})$ as before. The user-defined parameters used in the SOMPP algorithm in case of these 13 test problems are summarized in Table 5.

The relative error of the computed minima, the con-700 straint violation of the computed minima, and the number of function evaluations exhausted for each of the five versions of SOMPP running on each of the 13 test problems thus resulting in 65 runs can be seen in Figs. 8, 9 and 10.

It can be observed from Fig. 8 that SOMPP Version-6 performs better than the other versions of SOMPP in 706 approaching the global minima. It also has the maximum 707 potential in driving solutions into the feasible domain as 708 seen from Fig. 9. In case of some of the constrained problems the data points are not visible in Fig. 9. This is because 710 the constraint violation is zero, that is the final computed 711 minima in these cases are feasible solutions, and hence 712

Table 6 Output for the 13 test problems with SOMPP Version-6

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TP	Computed minima	Actual minima	Relative error	Constraint violation	Number of function evaluations	Computing time (s)
1	0.00701	0.00	0.00701		19,291	989
37	-3,454.06	-3,456	0.00056	0	1,347	69
44	-14.9708	-15.00	0.00195	0	5,635	290
55	6.33959	6.3333	0.00098	0.996963	10,952	568
75	5,176.05	5,174.41	0.00031	2.45536	3,522	182
110	-45.7493	-45.7785	0.00064		2,385	123
112	-0.05151	-0.47761	0.89215	0	20,059	1,045
118	751.617	664.82	0.130556	0	20,031	1,045
246	0.011518	0.00	0.011518		19,696	1,021
251	-3,454.81	-3,456	0.000345	0	294	15
301	0	-50	1.000000		20,052	1,062
393	1.8623	0.86338	1.15699	0	20,712	1,192
395	19,990.6	1.91667	10,428.9	163.789	20,150	1,071



cannot be represented in a logarithmic plot of Fig. 9. The relevant output parameters relating to the most accurate solution (of the five runs for each problem) for SOMPP Version-6 running on the 13 cases are summarized in Table 6.

The significantly low accuracy and inability to find feasible solutions in case of TP-395 can be attributed to the fact that there were no specified variable limits for any of the 50 design variables involved in this problem provided in the original publications (Schittkowski 1987).

SOMPP Version-6 being the most efficient and robust of all the different forms of the SOMPP, was then tested on the entire set of 293 single objective test problems (Hock and Schittkowski 1981; Schittkowski 1987) run five times each. The various user-defined parameters used were the same as given in Table 5. The relative error of the computed minima, the constraint violation of the computed minima and the number of function evaluations exhausted for all the 293 test runs are displayed in Figs. 11, 12 and 13 respectively. In all the three figures, the corresponding maximum, minimum and average (of five runs) are given for each test problem.

It is seen from Fig. 11 that SOMPP Version-6 performs well in achieving relative error of the order of less than 1.0, except for in cases which have a high number of design variables with unspecified variable limits. However, the most prominent improvement of this version of SOMPP is its ability to find the feasible space in case of constrained problems (as shown in Fig.12) irrespective of the number and complexity of the inequality and equality constraints (whether linear or nonlinear). It should be noted that in

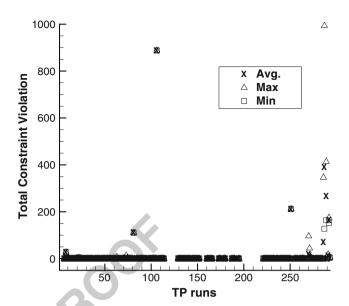


Fig. 12 Total constraint violation for each of the 293 test problems that are constrained (SOMPP version-6)

many of these constrained problems the initial population is 743 completely in the infeasible space. The inability to converge 744 to the feasible space in case of the last few test problems 745 can be attributed to the involvement of relatively high number of design variables (from 20 to 50) as seen from Fig. 5. 747 The number of function evaluations exhausted by SOMPP 748 Version-6 is relatively high as shown in Fig. 13, which 749

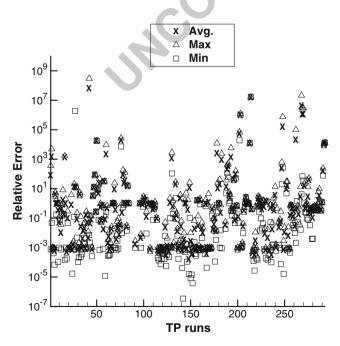


Fig. 11 Relative error of computed minima for the 293 test problems (SOMPP version-6)

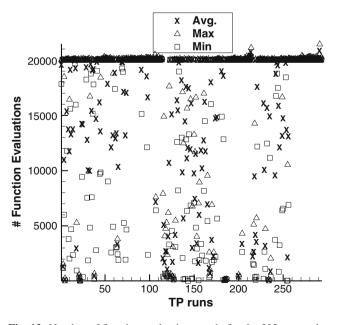


Fig. 13 Number of function evaluations made for the 293 test problems (SOMPP version-6)



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AUTHOR'S PROOF!

Improvements to single-objective constrained predator-prey evolutionary optimization algorithm

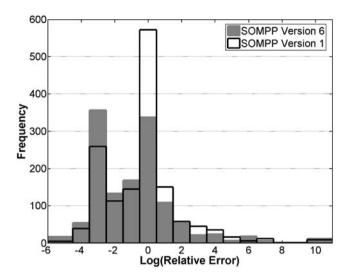


Fig. 14 Comparison of the frequency of occurrence of different orders of magnitude of relative error in the computed minima between SOMPP version-1 and SOMPP version-6. Note: frequency is the number of test runs that converged to that particular order of magnitude of relative error

is expected as a substantial amount of functions evaluations are consumed in successfully searching for the feasible space in case of constrained problems.

The improved performance of SOMPP Version-6 becomes more evident from the histogram presented in Fig. 14.

It is seen from Fig. 14 that in case of SOMPP Version-6, more test cases have converged to relative errors of orders of magnitude less than 1.0 (higher histogram bars for log $(relative error) \leq 0),$

4 Conclusion 760

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All versions of the predator-prey algorithm that exist in literature are mostly suited for unconstrained multiobjective optimization problems. Consequently, the predatorprey algorithm in its modified form (SOMPP) is the first of its kind that specifically deals with constrained singleobjective optimization problems. It performs well on the popular unconstrained test functions, namely Griewank, Rosenbrock and Miele-Cantrell functions. The 293 singleobjective test problems given by Hock and Schittkowski (1981) and Schittkowski (1987) form the most expansive set of single objective test functions (both constrained and unconstrained and linear and nonlinear) available in the literature. SOMPP performs satisfactorily on a large number of these test problems, in driving solutions into the feasible domain and consequently converging to the global minimum, using a relatively frugal population size defined by 776 the 'small set', i.e. ten times the number of design variables 777 Colaco et al. (2008). However, the accuracy of SOMPP 778 is noticeably affected by the absence of specified limits of 779 design variables especially in problems with a large number 780 of design variables.

SOMPP proves expensive in terms of function evalua- 782 tions when dealing with multiple equality/inequality constraints. This can be attributed to the fact that a substantial 784 amount of function calls are consumed in search of the 785 feasible domain. This expense increases significantly with increase in the dimensionality of the problem, which is 787 however a generic problem with any kind of evolutionary algorithm. Another drawback of SOMPP is that the algorithm demands fine tuning of three user-defined parameters 790 namely the mutation probability, the relative hypercube 791 window size L, and the relative extent of mutation K. 792 Depending upon the problem, a value of 0.05 to 0.25 is 793 suggested for the probability of mutation, whereas values of K and L are subject to the convergence expected with 795 $L-K \ge 2$ always. Nevertheless, coupling SOMPP with an 796 efficient response surface model that interpolates both linear and highly non linear functions in multidimensional spaces 798 (Colaco et al. 2008) is expected to improve the robustness and accuracy of the SOMPP algorithm considerably.

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