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CONVERGENCE OF THE EVOLUTIONARY ALGORITHMS FOR OPTIMAL SOLUTION WITH BINARY CHOICE RELATIONS

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Abstract. Purpose. To solve problems of mathematical programming, we previously developed one approach to construct algorithms for evolutionary random search. These algorithms in subsequent works were extended to solving generalized mathematical programming problems in which binary relations of choice are used. The convergence of evolutionary algorithms to optimal solutions when using objective functions from the Euclidean space is proved analytically in our papers. The convergence of the search for optimal solutions in the solution of problems of generalized mathematical programming is confirmed by numerous experiments on different problems. Conditions for the convergence of evolutionary algorithms for generalized mathematical programming problems are presented earlier. In this paper we prove the convergence of evolutionary algorithms for finding optimal solutions with binary choice relations. **Methodology.** The solution of optimization problems with the binary relation of nonstrict choice was analyzed. To investigate the convergence of evolutionary search, algorithms were studied whose main functions are the function of generating solutions and the function of the choice of solutions. As a selection function, the preference function is a binary choice relation. **Findings.** The article formulated conditions that ensure convergence of algorithms of evolutionary search. Among them: the condition of non-strict choice for a binary choice relation, the condition for the existence of upper-section binary relations of the choice of a non-zero measure, the condition of non-zero probability of new solutions falling into an arbitrary upper section of the choice relation. **Originality.** Sufficient conditions are formulated that ensure the convergence of the sequences of selected solutions to the R_s - optimal solution with probability 1 under general conditions for the ratio of choice. The formulated conditions leave significant opportunities for constructing specific evolutionary random search algorithms. **Practical value.** The conditions of convergence of evolutionary algorithms allow us to construct effective algorithms for solving generalized mathematical programming problems: with continuous, discrete or mixed variables, in the presence of constraints in the form of equalities or inequalities.

Keywords: evolutionary algorithms; binary choice relation; conditions of convergence; R - optimal solution

ЗБІЖНІСТЬ ЕВОЛЮЦІЙНИХ АЛГОРИТМІВ ПОШУКУ ОПТИМАЛЬНИХ РІШЕНЬ З БІНАРНИМИ ВІДНОШЕННЯМИ ВИБОРУ

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Анотація. Мета. Для рішення задач математичного програмування раніше нами був розроблений один підхід побудови алгоритмів еволюційного випадкового пошуку. Ці алгоритми у наступних працях були поширені на рішення задач узагальненого математичного програмування, у яких використовуються бінарні відношення вибору. Збіжність еволюційних алгоритмів к оптимальним рішенням при використанні цільових функцій у евклідовому просторі доведена аналітично у наших працях. Збіжність пошуку оптимальних рішень для задач узагальненого математичного програмування підтверджена значною кількістю експериментів на різних задачах. Умови збіжності еволюційних алгоритмів для задач узагальненого математичного програмування викладені раніше. У цій роботі наведені докази збіжності еволюційних алгоритмів для вирішення задач пошуку оптимальних рішень з бінарними відношеннями вибору. **Методика.** Розглядалось вирішення задачі оптимізації з бінарними відношеннями нестроого вибору. Для дослідження збіжності еволюційного пошуку досліджувались алгоритми, які складаються з наступних функцій: функція генерації рішень та функція відбору рішень. У якості функції вибору – функція переваги по бінарному відношенню вибору. **Результати.** Сформульовані умови, які забезпечують збіжність алгоритмів еволюційного пошуку. Серед них: умова нестроого вибору для бінарного відношення вибору, умова існування у перетині бінарного відношення не нульової міри, умова не нульової вірогідності влучення нових

рішень у довільний верхній перетин відношення вибору. *Наукова новизна.* Сформульовані та обґрунтовані умови, які забезпечують збіжність послідовностей відібраних рішень у процесі еволюційного пошуку до R_S – оптимального рішення з вірогідністю 1 при достатньо загальних умовах для відношення вибору. *Практична значимість.* Умови збіжності еволюційних алгоритмів дозволяють будувати ефективні алгоритми для вирішення задач узагальненого математичного програмування з безперервними, дискретними або змішаними змінними, при наявності обмежень у вигляді рівнянь або нерівностей.

Ключові слова: еволюційні алгоритми; бінарне відношення вибору; умови збіжності; R – оптимальні рішення

СХОДИМОСТЬ ЭВОЛЮЦИОННЫХ АЛГОРИТМОВ ПОИСКА ОПТИМАЛЬНЫХ РЕШЕНИЙ С БИНАРНЫМИ ОТНОШЕНИЯМИ ВЫБОРА

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Аннотация. Цель. Для решения задач математического программирования ранее нами был разработан один подход построения алгоритмов эволюционного случайного поиска. Эти алгоритмы в последующих работах были распространены на решение задач обобщенного математического программирования, в которых используются бинарные отношения выбора. Сходимость эволюционных алгоритмов к оптимальным решениям при использовании целевых функций из пространства Эвклида доказана аналитически в наших работах. Сходимость поиска оптимальных решений при решении задач обобщенного математического программирования подтверждена многочисленными экспериментами на разных задачах. Условия сходимости эволюционных алгоритмов для задач обобщенного математического программирования изложены ранее. В данной работе приведено доказательство сходимости эволюционных алгоритмов для задач поиска оптимальных решений с бинарными отношениями выбора. **Методика.** Анализировалось решение задач оптимизации с бинарным отношением нестрогого выбора. Для исследования сходимости эволюционного поиска исследовались алгоритмы, основными функциями которых являются: функция генерации решений и функция выбора решений. В качестве функции выбора – функция предпочтения по бинарному отношению выбора. **Результаты.** В статье сформулированы условия, которые обеспечивают сходимость алгоритмов эволюционного поиска. Среди них: условие нестрогого выбора для бинарного отношения выбора, условие существования у верхних сечений бинарного отношения выбора не нулевой меры, условие не нулевой вероятности попадания новых решений в произвольное верхнее сечение отношения выбора. **Научная новизна.** Сформулированы достаточные условия, которые обеспечивают сходимость последовательностей отбираемых решений к R_S – оптимальному решению с вероятностью 1 при общих условиях для отношения выбора. Сформулированные условия оставляют значительные возможности для построения конкретных эволюционных алгоритмов случайного поиска. **Практическая значимость.** Условия сходимости эволюционных алгоритмов позволяют строить эффективные алгоритмы для решения задач обобщенного математического программирования: с непрерывными, дискретными или смешанными переменными, при наличии ограничений в виде равенств или неравенств.

Ключевые слова: эволюционные алгоритмы; бинарное отношение выбора; условия сходимости; R – оптимальное решение

Introduction

The article is devoted to the study of the convergence of evolutionary algorithms [5,8-10], which are based on the ideas of self-organization [2,3], random search [4], evolutionary modelling [1,6], optimization by binary choice relations [7].

It is considered a set Ω of elements (decisions) $x = \{x^1, x^2, \dots, x^n\}$, where x^i – a scalar parameter (continuous or discrete).

It is determined the binary choice relation R_S for elements of the set Ω .

It is meant that there is a rule (algorithm) according to one decision is "better" than another. It is determined that

choice relation R_S is a no strictly order relation and satisfies reflexivity property:

$$\forall x \in \Omega, x R_S x,$$

transitivity property:

$$\forall x, y, z \in \Omega,$$

$$(x R_S y) \wedge (y R_S z) \Rightarrow x R_S z,$$

anti-symmetry property:

$$\forall x, y, z \in \Omega, (x R_S y) \wedge (y R_S x) \Rightarrow x = y.$$

We shall say that every decisions from Ω can be compared according to relation R_S . We denote by $x_0 \in \Omega$, that $\forall x \in \Omega, x_0 R_S x$. The decision x_0 names R_S – optimal.

We shall consider the case when the set Ω is infinite set or it contains a very large number of elements.

Purpose

We shall consider the case when the set Ω is infinite set or it contains a very large number of elements.

This paper presents the globe scheme of evolutionary algorithms according [5,8-10] and describes the analysis of the convergence for search of R_S – optimal solutions.

Methodology

For subset $X, X \subset \Omega$ we denote the function of choice in the form

$$S(X) = \{x \in X | \forall y \in [X \setminus S(X)], xR_S y\} \quad (1)$$

We shall assume that set $S(X)$ contains the concrete number of elements – N_{op} .

We shall that for the set Ω it was determined relation R_G with attachment function $\mu_{R_G}(x, y): \Omega \times \Omega \rightarrow [0,1]$. Relation R_G will be termed generation relation.

For subset $X, X \subset \Omega$ we denote the function of generation in the form

$$G(X) = X \cup G_H(X),$$

$$G_H(X) = \{y \in \Omega | \exists x \in X, yR_G x, \mu_{R_G}(x, y) > 0\} \quad (2)$$

We shall assume that set $G(X)$ contains the concrete number of elements – N_E .

The algorithm to search R_S –optimal solution can be represented as

$$X_k = S(G(X_{k-1})), \quad k = 1, 2, \dots \quad (3)$$

where X_k – the set of preferred solutions according to the binary choice relation R_S at the iterate step k , X_{k-1} – this is the same at the iterate step $k-1$. $G(X)$ - the function of generation with relation of generation R_G . $S(X)$ - the function of choice with the binary choice relation R_S .

The iterate algorithm (3) – is the general form of evolutionary search.

According to [8] we will consider the decomposition

$$X_k = \bigcup_{j=1}^{N_b} X_{jk}, \quad X_{ik} \cap X_{jk} = \emptyset, \quad i \neq j \quad (4)$$

Where: X_{jk} – the set of preferred solutions according to the binary choice relation R_S at the iterate step k for the branch j of evolutionary search, N_b – the number of branches.

The algorithm (3) takes the form

$$X_{jk} = S(G(X_{j(k-1)})), \quad j = \overline{1, N_E}, \quad k = 1, 2, \dots \quad (5)$$

These iterate algorithms (3), (5) – are the general form of evolutionary search.

The convergence of evolutionary algorithms while minimizing the scalar functions

It want to find $\min f(x)$ where $x \in R^n$.

For the function $f(x)$ is assumed: For every $l > 0$ there is the area $S_l, x_0 \in S_l$

such as:

$$\left\{ |f(x) - f(x_0)| \leq \frac{1}{l} \right\} \Leftrightarrow x \in S_l \quad (6)$$

and for every $l > 0$

$$mesS_l > 0. \quad (7)$$

First of all we consider the case $x \in \Omega \subset R^n$.

We construct an auxiliary algorithm as follows. We assume that the search of solution is carried out by the iterate process (3) with (1), (2). New solutions from (2) are generated as a result of stochastic process

$$P\{x \in B\} = mesB / mes\Omega, \quad \forall B \subseteq \Omega \quad (8)$$

It is assumed that the generation of all points has the same probability.

First, it is considered the evolutionary algorithm with $N_{op} = 1$, i.e. the set of preferred solutions contains one solution only, it may be denoted as x_{op} .

If you want to minimize $f(x)$, therefore it is necessary to separate the solution x_{op} from the set $\{x_1, x_2, \dots, x_{N_E}\}$ that satisfies conditions

$$f(x_{op}) \leq f(x_j), \quad \forall j = \overline{1, N_E} \quad (9)$$

According to the property (6) there could be two possibilities. First, if among points x_1, x_2, \dots, x_{N_E} there is a point $x \in S_l$, therefore after selection the “best” solution $x_{op} \in S_l$. Secondly, if after selection $x_{op} \notin S_l$, therefore $x_j \notin S_l, \forall j = \overline{1, N_E}$.

Statement 1. If evolutionary algorithm (3), (1), (2) and the generation of new solutions is produced as (8) and the selection of preferred solutions is produced as (9) therefore for every $l > 0$ will be found the number N such that for everyone $k > N$ it will be satisfy $x_{op}^k \in S_l$ with probability 1, it mines that

$$|f(x_{op}^k) - f(x_0)| \leq \frac{1}{l}.$$

It means that evolutionary algorithm converges to minimum value of entire function with probability 1.

We denote C – an event where after the stochastic experiment (8), the point x does not fall into the region S_l . There is:

$$P(C) = 1 - \frac{mesS_l}{mes\Omega} = p < 1 \quad (10)$$

Since the condition (7) is satisfied.

We denote x_j^1 the possible solutions at the first step of the iteration $j = \overline{1, N_E}$. All of them are obtained as a result of “throwing” into the area. We denote by $A_1 = \{x_j^1 \notin S_l \quad \forall j = \overline{1, N_E}\}$ – an event consisting in the fact that no point x_j^1 at the first step of the iteration does not fall into the region S_l . There is:

$$P(A_1) = p^{N_E}.$$

We denote by $A_2 = \{x_j^2 \in S_l \quad \forall j = \overline{1, N_E}\}$ – an event that none of the points at the second iteration step falls into the region S_l .

We will present

$$A_2 = A_{21} \cap A_{22}, \text{ where}$$

$$A_{21} = \{x_j^1 \in S_l\},$$

$$A_{22} = \{x_j^2 \in S_l \quad \forall j = \overline{2, N_E}\}.$$

Because of the independence of events, we have

$$P(A_2) = P(A_{21} \cap A_{22}) = P(A_{21}) \cdot P(A_{22}) =$$

$$= p^{N_E} \cdot p^{N_E-1} = p(p^{N_E-1})^2.$$

Similarly

$$A_3 = \{x_j^3 \in S_l \quad \forall j = \overline{1, N_E}\},$$

$$P(A_3) = P(A_2) \cdot p^{N_E-1} = p(p^{N_E-1})^3$$

Total

$$A_k = \{x_j^k \in S_l \quad \forall j = \overline{1, N_E}\},$$

$$P(A_k) = p(p^{N_E-1})^k \quad (11)$$

If we consider the series, we obtain

$$\sum_{k=1}^{\infty} P(A_k) = \sum_{k=1}^{\infty} p(p^{N_E-1})^k < \infty, \quad (12)$$

if $p^{N_E-1} < 1$.

The last condition is satisfied when $N_E > 1$.

The convergence of the series (12) by the Borel-Cantelli theorem means that with probability 1 there are only a finite number of events from A_k .

In other words, there is a number N such that for all $k \geq N$ the events of A_k - (11) will not hold, that is, the events of $x_{op}^k \in S_l$ will hold, which proves Statement 1.

Comment. Convergence set (12) is satisfied at $N_E > 1$, that is at $N_E = 2$.

Statement 2. If evolutionary algorithm (1) - (3) has $N_l > 1$ and the generation of new solutions is produced as (2.8) and the selection of preferred solutions $\{x_{op1}, x_{op2}, \dots, x_{opNl}\}$ from $\{x_1, x_2, \dots, x_{N_E}\}$ is produced as:

$$f(x_{opi}) \leq f(x_j) \quad \forall i = \overline{1, N_{op}}; \quad \forall x_j \in S(X) \quad (13)$$

hence it will be found the number N such that for everyone $k \geq N$ it will be satisfy with probability 1

$$x_{opi}^k \in S_l \quad \forall i = \overline{1, N_{op}}$$

$$\left| f(x_{opi}^k) - f(x_0) \right| \leq \frac{1}{l}, \quad \forall i = \overline{1, N_{op}} \quad (14)$$

We transform X_k as

$$X_k = \left\{ \left\{ x_p^k \right\}, \left\{ x_q^k \right\}, \left\{ x_r^k \right\} \right\}, \text{ where}$$

$$x_p^k \in S_l \quad \forall p = \overline{1, m},$$

$$x_q^k \in S_l \quad \forall q = \overline{(m+1), N_{op}},$$

x_r^k - there are new generation solutions,

$$r = \overline{(N_{op} + 1), N_E}.$$

We denote A_{k+1} - an event, that no one from new generation solutions fall into the region S_l at the $(k+1)$ iteration step.

$$P(A_{k+1}) = p^{N_E - N_{op}}$$

Analogically the event A_{k+2} for that

$$P(A_{k+2}) = p^{N_E - N_{op}} \text{ and so on.}$$

We denote B_{k+1} as an event that the number from the set X_{k+1} that's fall into the region S_l did not increase by one at $(k+1)$ iteration step.

$$P(B_{k+1}) = P(A_{k+1}) = p^{N_E - N_{op}}$$

An event B_{k+2} is analogically B_{k+1} but at $(k+2)$ iteration step.

$$P(B_{k+2}) = P(A_{k+2}) \cdot P(B_{k+1}) = p^{2(N_E - N_{op})} \text{ and so on.}$$

If we consider the series, then we can conclude

$$\sum_{n=1}^{\infty} P(B_{k+n}) = \sum_{n=1}^{\infty} p^{n(N_E - N_{op})} < \infty$$

at $N_E \geq N_{op} + 1$.

This proves the statement 2.

Statement 3.

If the evolutionary algorithm has the form (1) - (3) and the generation of new solutions satisfies

$$P(C_j^k) = P\{x_j^k \in S_l\} < p < 1,$$

$$\forall j = \overline{(N_{op} + 1), N_E} \quad (15)$$

and the selection of the best solutions is made (13), hence it will be found the number N such that for everyone $k \geq N$ it will be satisfy with probability 1 (14) for every $l > 0$.

We denote by $R_S^+(x)$ the upper section to the binary choice relation R_S at the set Ω :

$$R_S^+(x) = \{y \in \Omega \mid y R_S x\} \quad (16)$$

We will assume that upper sections have such properties:

$$\forall x \neq x_0 \quad mes R_S^+(x) > 0 \quad (17)$$

Where x_0 - is R_S -optimal solution at the set Ω .

Relatively of generation function we will consider following. If x_H is a new solution $x_H \in G_H(X)$, then

$$\forall x \neq x_0 \quad P\{x_H \in R_S^+(x)\} \geq \delta > 0 \quad (18)$$

Convergence of the sequence X_k to R_S -optimal solution we understand the following. For every $x \in \Omega$, $x \neq x_0$ there is a number K that for each $k \geq K$ with probability 1 that will be satisfied:

$$X_K \subset R_S^+(x).$$

Theorem 1.

If upper sections (16) have the property (17), generation function (2) has the property (18), and choice

relation R_S is a no strictly order relation, then algorithm (3) ensures convergence of the sequence X_k to R_S - optimal solution with probability 1.

Proof. The function of choice at any iteration step consists from N_{op} elements $X_k = \{x_1, x_2, \dots, x_{N_{op}}\}$.

At (k+1) step of iteration we have

$$G(X_k) = X_k \cup G_H(X_k).$$

Then:

$$X_{k+1} = S(G(X_k)) = S(X_k \cup G_H(X_k)).$$

We will show that there is the number of iteration step K , that at $k \geq K$ will be done $X_k \subset R_S^+(x)$.

We represent $G(X)$ in the form

$$G(X) = \{x_1, x_2, \dots, x_m, \dots, x_{N_{op}}, \dots, x_{N_E}\},$$

where the first m elements there are that belong to $R_S^+(x)$.

The elements with number from $m+1$ to N_{op} - there are these elements that occur in selected elements but do not belong to $R_S^+(x)$. And elements from $N_{op}+1$ to N_E are new generation solutions.

We denote by A_{k+1} - an event that none of the points at the (k+1) iteration step falls into the $R_S^+(x)$.

We have

$$P(A_{k+1}) \leq (1-\delta)^{N_E - N_{op}}.$$

Analogically for A_{k+2} :

$$P(A_{k+2}) \leq (1-\delta)^{N_E - N_{op}}$$

We denote by B_{k+1} an event that the number of solutions these belong to $R_S^+(x)$ did not increase by one.

We have:

$$P(B_{k+1}) = P(A_{k+1}) \leq (1-\delta)^{N_E - N_{op}}.$$

Analogically for $B_{k+2}, B_{k+3}, \dots, B_{k+n}$.

$$P(B_{k+2}) = P(A_{k+2}) \cdot P(B_{k+1}) \leq (1-\delta)^{2(N_E - N_{op})},$$

...

$$P(B_{k+n}) = P(A_{k+n}) \cdot P(B_{k+n-1}) \leq (1-\delta)^{n(N_E - N_{op})}.$$

Considering the series,

$$\sum_{n=1}^{\infty} P(B_{k+n}) \leq \sum_{n=1}^{\infty} (1-\delta)^{n(N_E - N_{op})} < \infty \quad (19)$$

we see that it converges at $N_E > N_{op} + 1$.

The convergence of the series (19) by the Borel-Cantelli theorem means that with probability 1 there are only a finite number of events from B_{k+n} .

In other words, there is a number N for that the number solutions that belong to $R_S^+(x)$ will increase by one, which proves Theorem 1.

Findings

The article formulated conditions that there is convergence of algorithms of evolutionary search. Among the conditions there are: the condition of non-strict choice for a binary choice relation, the condition for the existence of a non-zero measure for upper cross-section of binary relation, the condition of non-zero probability of new solutions falling into an arbitrary upper cross-section of the choice relation.

Originality and practical value

Sufficient conditions are formulated that ensure the convergence of the sequences of selected solutions to the R_S - optimal solution with probability 1 under general conditions for the ratio of choice. The formulated conditions leave significant opportunities for constructing specific evolutionary random search algorithms.

The conditions of convergence of evolutionary algorithms allow us to construct effective algorithms for solving generalized mathematical programming problems: with continuous, discrete or mixed variables, in the presence of constraints in the form of equalities or inequalities.

Conclusions

In the article, the convergence of evolutionary random search algorithms in solving optimization problems with binary choice relations is analytically investigated. The conditions for the convergence of the sequence of selected solutions were defined.

It was shown that evolutionary algorithms ensure convergence of search to R_S -optimal solutions with probability 1.

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