

# An Improvement of Genetic Algorithm based on Dynamic Operators Rates Controlled by the Population Performance

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**Keywords:** Genetic Algorithm, Genetic Operators, Dynamic Rates, Hybrid Approach.

**Abstract:** This work presents a hybrid approach of genetic algorithm with dynamic operators rates that adapt to the phases of the evolutionary process. The operator's rates are controlled by the amplitude variation and standard deviation of the objective function. Besides, a new stopping criterion is presented to be used in conjunction with the proposed algorithm. The developed approach is tested with six optimization benchmark functions from the literature. The results are compared to the genetic algorithm with constant rates in terms of the number of function evaluations, the number of iterations, execution time and optimum solution analysis.

## 1 INTRODUCTION

Optimization is a mathematics field that studies the identification of functions' extreme points, either maximal or minimal. In the last decade, the use of optimization methods has become an essential tool for management, decision making, as well as improving and developing technologies as it allows gaining competitive advantages (Mitchell, 1998; Haupt and Haupt, 2004).

Inspired by Darwin natural selection theory, optimization techniques had considerable progress in the area of population algorithms. J. H. Holland (Holland, 1992) and his collaborators tightly studied the natural optimization mechanisms and mathematically formalized the natural process of evolution and adaptation of living beings. These researchers developed artificial systems inspired in natural optimization mechanisms (Mitchell, 1998), that can be used to solve real optimization problems that arise from industrial fields. Genetic Algorithms (GA) are the most famous example of this methodology and they are used in wide fields, such as image processing, pattern recognition, financial analysis, industrial optimization, etc (Ghaheri et al., 2015; Haupt and Haupt, 2004; Xu et al., 2018).

The several applications of GA led to numerous computational implementations and algorithm variations. Many works propose strategies to improve the GA and consequently the optimization problem solution. However, in most works, these improvements are restricted to specific applications that cannot be extended to optimization problems in general.

Knowing that GA performance depends on the optimization problem, this work consists of exploring strategies to automatically adapt the GA to the optimization problem and proposes a variation of the Genetic Algorithm to be used in general optimization problems.

The traditional version of GA uses constant values in the genetic operator's rates for the evolutionary process. In this paper is presented a dynamic GA that considers three phases, where different operators rates are used and they are dynamically controlled by the amplitude and standard deviation of the objective function. Besides this, a new stopping criterion is proposed that depends on the algorithm behavior in the last phase. This approach is tested by six optimization test function and the results are compared with the Genetic Algorithm with constant rates.

This paper is organized as follows: in Section 2, GA concepts are introduced, highlighting the behavior of the genetic operators. In Section 3 some studies and variations of GA are presented. In Section 4 the dynamic GA proposed in this work is described,

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while the numerical results are presented in Section 5. Finally, the conclusion and future work proposed are presented in Section 6.

## 2 GENETIC ALGORITHM

The Genetic Algorithm is composed of a set of individuals, usually named as chromosomes, that are considered solutions for the optimization problem. This set of individuals is known as the population, and they have a fixed number of individuals in each generation (iteration). The population is represented by  $N_{pop}$  individuals distributed in the feasible region, which is the space where each variable can have values (Sivanandam and Deepa, 2008).

Thereby, the basic idea of GA is to create an initial population  $\mathcal{P}^0$  of feasible solutions, to evaluate each individual using the objective function and to select some individuals to define the optimum subset of individuals  $N_{keep}$ , and to modify them by the crossover and mutation operators, in order to create new individuals (offspring).

The value provided by the objective function defines how adapted an individual is to solve the optimization problem. The most adapted individuals have a greater chance of surviving for the next generation, while the less adapted are eliminated; similar to what is proposed by Darwin's theory. This is an iterative process in which at the end of each iteration all individuals are evaluated and ordered according to the objective function value until a stopping criterion is achieved (Haupt and Haupt, 2004; Sivanandam and Deepa, 2008).

Some genetic algorithms variants are combined with a local search method to present the global solution with better precision. These algorithms are considered hybrid genetic algorithms. In this work, the Nelder Mead method (Nelder and Mead, 1965) is used to improve the solution precision. The Hybrid Genetic Algorithm is represented in the Algorithm 1.

A Genetic Algorithm depends substantially on the efficiency of genetic operators. These operators are responsible for new individuals creation, diversification and maintenance of adaptation characteristics acquired in previous generations (Sivanandam and Deepa, 2008). The most useful operators are the selection, crossover and mutation which are used in this work and described below.

The selection operator selects elements of the current population in order to produce more individuals (offspring). It has the mission to guide the algorithm for promising areas, where the probability to find the optimum solution is higher (Pham and Karaboga,

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Algorithm 1 : Hybrid Genetic Algorithm with Constant Rates Operators.

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Generates a randomly population of individuals,  $\mathcal{P}^0$ , with dimension  $N_{pop}$ .

Set  $k = 0$ .

Set the operators rates.

**while** stopping criterion is not met **do**

    Set  $k = k + 1$ .

$\mathcal{P}' =$  Apply selection procedure in  $N_{pop}$ .

$\mathcal{P}'' =$  Apply crossover procedure in  $N_{keep}$ .

$\mathcal{P}''' =$  Apply mutation procedure in  $N_{keep}$ .

$\mathcal{P}^{k+1} = N_{pop}$  best individuals of  $\{\mathcal{P}^k \cup \mathcal{P}'' \cup \mathcal{P}'''\}$ .

Apply the local search method in the best solution obtained by genetic algorithm.

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2000; Sivanandam and Deepa, 2008). This procedure is based on the survival probability that depends on the objective function value for each individual.

The crossover operator is used to create new individuals from surviving individuals selected through the selection operator. The crossover procedure is responsible for recombining the individuals characteristic during the reproduction process, with this process it is possible for the offspring to inherit characteristics of previous generations (Pham and Karaboga, 2000; Sivanandam and Deepa, 2008).

The mutation operator is responsible for diversifying the existing population allowing the search for the solution in promising areas and avoiding premature convergence in local points. This process helps the algorithm to escape from local optimum points because it slightly modifies the search direction and introduces new genetic structures in the population (Pham and Karaboga, 2000; Sivanandam and Deepa, 2008).

Each genetic operator has a specific rate that determined how many individuals will be used and generated in each genetic procedure. In the traditional GA the rates are constant values for all evolutionary process. However, there is not a consensus in the literature about which value should be used on each operator. On the other hand, many works in literature assert the intuitive idea that crossover and mutation rates should not be constant throughout the evolutionary process (Vannucci and Colla, 2015), but should rather vary in the different phases of the search. Once again there is no consensus on the values of the rates and how to calculated them. For these reasons the determination of operators rates is normally defined by individual problem analysis or they are calculated by means of trial-and-error (Lin et al., 2003).

### 3 RELATED WORKS

Several versions of genetic operators are described in the literature and many studies have been done to improve these operators' performance, see for example (Jánošíková et al., 2017; Xu et al., 2018; Das and Pratihari, 2019). The problem of operator rates calculation is considered a challenging problem in the literature either for constant rates or dynamic approaches. The optimal rates setting is likely to vary for different problems (Pham and Karaboga, 2000), but it is a time consuming task. For these reasons, some studies focused on determining good control rates values for the genetic operators.

For constants rates and binary individuals representation, (De Jong, 1975) recommends a range of [50,100] individuals in the population size, 60% for crossover rate and 0.1% for mutation rate. The (Schaffer et al., 1989) suggests a range of [20-30] individuals in the population, [75% - 95%] for crossover rate and [0.5% - 1%] for mutation rate, while (Grefenstette, 1986) uses a population of 30 individual, 95% for crossover and 1% for mutation. As it is possible to see, these ranges have large variations, being inconclusive and strongly dependent on the research knowledge and the problem variations.

On the other hand, some studies concentrate efforts on adapting the control parameters during the optimization process. These techniques involve adjusting the operators' rates according to problems characteristic as the search process, the trend of the fitness, stability (Vannucci and Colla, 2015), fitness value (Priya and Sivaraj, 2017; Pham and Karaboga, 2000), or based on experiments and domain expert opinions (Li et al., 2006).

In order to adjust the mutation and crossover rates, (Vannucci and Colla, 2015) uses a fuzzy inference system to control the operators' variation. According to the authors, this method also accelerates the attainment of the optimal solution and avoid premature stopping in a local optimum through a synergic effect of mutation and crossover.

Another approach is presented in (Xu et al., 2018), which uses the GA method to solve the traveling salesman problem optimizing the mutation characters. In this case, a random cross mapping method and a dynamic mutation probability are used to improve the algorithm. In the approach, the crossover operation varies according to the randomly determined crossover point and the mutation rate is dynamically changed according to population stability.

In (Das and Pratihari, 2019) the crossover operator guided by the prior knowledge about the most promising areas in the search region is presented. In this

approach four parameters are defined to control the crossover operator: crossover probability, variable-wise crossover probability, multiplying factor, directional probability. It was noted the use of the directional information helps the algorithm to search in more potential regions of the variable space.

In (Whitley and Hanson, 1989) is proposed an adaptive mutation through monitoring the homogeneity of the solution population by measuring the Hamming distance between the parents' individuals during the reproduction. Thereby, the more similar the parents, the higher mutation probability.

In study of (Fogarty, 1989) adopts the same mutation probability for all parts of an individual and then decreased to a constant level after a given number of generations. Another strategy is presented in (Pham and Karaboga, 2000), upper and lower limits are chosen for the mutation rate and within those limits the mutation rate is calculated for each individual, according to the objective function value.

According to (Pham and Karaboga, 2000) in the first 50 generations there are few good solutions in the population, so in the initial stage high mutation rate is preferable to accelerate the search. In contrast, (Shimodaira, 1996) supports high mutation rates at the end of the process, in order to come out from local optima where the algorithm can be stuck. For the references presented is possible to verify that there is no consensus on the values of the rates. For this reason, in this work the rates are dynamically established by the analysis of population performance throughout the evolutionary process.

### 4 DYNAMIC GENETIC ALGORITHM

This study presents a dynamic Genetic Algorithm with continuous variable individual representation that is initially randomly generated (Haupt and Haupt, 2004). Through analysis of the GA behavior, it was noted that the objective function standard deviation of the beginning evolutionary process is higher, as expected because the generation of the initial population is random. For this reason, the individuals are very dispersed in the search region. For the same reason, in the first iterations, the population amplitude is also very higher. As the search process evolves, the population tends to concentrate in specific feasible regions, in which the chance to find the optimum solution is higher (promising regions). This causes a decrease in the standard deviation and amplitude of the objective function value. At the end of the evolutionary process, both amplitude and standard deviation tend to

zero, due to the population convergence to the optimum solution point. An example of this behavior is presented in Figure 1, for the Branin function, considering an approximation in the initial interactions.

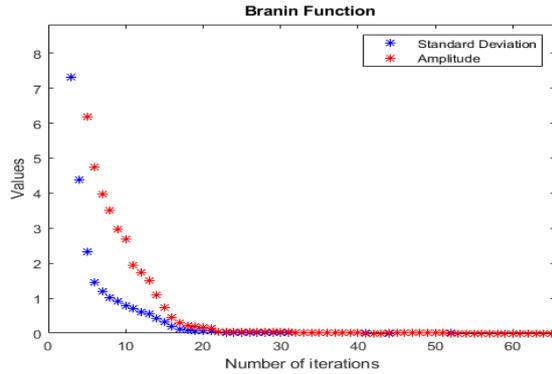


Figure 1: Standard deviation and amplitude of Branin function.

In this work the individuals are randomly selected for the crossover and mutation procedures. The two-point crossover and continue mutation procedures are used, similar as in (Bento et al., 2013). The rates variations are controlled by the amplitude and the standard deviation of each generation and the amplitude differences between successive populations. Besides, a new stopping criterion is also proposed to be used in conjunction with the traditional ones.

The results of the proposed algorithm are compared with the executions of a hybrid Genetic Algorithm presented in (Bento et al., 2013), considering the Nelder Mead method, as local search. In (Bento et al., 2013) the continuous representation is used, and the follow constants rates are suggested: population size equal 100 individuals,  $0.5 \times N_{pop}$  individuals in selection procedure and  $0.25 \times N_{pop}$  individuals for crossover and mutation procedures.

#### 4.1 Determination and Control of the Operators Rates

By the algorithm analysis is easy to note that the algorithm has different properties throughout the evolutionary process. For this reason, three different phases were identified according to the amplitude and standard deviation patterns observed in the algorithm and by literature review and described in the following condition

$$|f(x^1) - f(x^{N_{pop}})| \leq \epsilon \wedge s_f \leq \epsilon,$$

where  $f(x^1)$  and  $f(x^{N_{pop}})$  are the best and the worst objective values in the current population,  $s_f$  is the standard deviation of the current population and  $\epsilon \in$

$\{\epsilon_i, \epsilon_d\}$ . The three search phases are described in detail as follows.

- Phase 1 - Initial: in this phase the population amplitude and standard deviation are higher and there are few good solutions in the population. For these reasons, higher rates are considered to accelerate the search. This phase initiates when the algorithm starts and stops when the population standard deviation and amplitude be smaller than  $\epsilon_i$ , and a condition of  $k_i$  iterations be exceeded.
- Phase 2 - Development: the Development phase starts immediately after Phase 1 and ends when the population amplitude and standard deviation are smaller than  $\epsilon_d$  and exceed at least  $k_d$  iterations. The condition of  $k_d$  iteration was defined to avoid the algorithm remain too short time at this phase, because depending on the problem the  $\epsilon_d$  value is quickly reached and consequently the possible solutions are not so well explored. In this second phase the operator parameters should not be so higher as in the initial phase because the search is concentrated in the promising areas obtained in the first phase. At the end of this phase the algorithm has already found the optimum region, but needs to refine the optimum solution.
- Phase 3 - Refinement: this phase has the aim to refine the solution. The amplitude and standard deviation are small, that is possible to conclude that the optimum solution is very close to being achieved. The rates used in this phase are smaller than in the other phases because few modifications are needed. This phase starts immediately after Phase 2, and continues until a stopping criterion be achieved.

This work not established constants parameters in the different phases. Thus, an initial value for each operator rate is determined in the beginning of each phase as presented in Table 1.

Table 1: Initial operator rates for each phase.

Genetic Operator	Phase 1	Phase 2	Phase 3
Selection	$0.7 \times N_{pop}$	$0.6 \times N_{pop}$	$0.5 \times N_{pop}$
Crossover	$0.5 \times N_{pop}$	$0.4 \times N_{pop}$	$0.3 \times N_{pop}$
Mutation	$0.4 \times N_{pop}$	$0.3 \times N_{pop}$	$0.2 \times N_{pop}$

In the second and third phases, the rate values can vary 10% considering the initial value. This decision is based on the amplitude difference between successive populations. Thereby, if the amplitude difference between  $k$  and  $k - 1$  iterations is smaller than  $\epsilon_{ph2}$  in the second phase, or smaller than  $\epsilon_{ph3}$  in the third phase, the rates increase 1%, otherwise decrease 1%.

This strategy is designed to stimulate small modifications in the algorithm search and prevent it from getting stuck at local points. The codification of the proposed algorithm is shown in the algorithm 2.

Algorithm 2: Hybrid Genetic Algorithm with Dynamic Operators Rates.

Generates a randomly population of individuals,  $\mathcal{P}^0$ , with dimension  $N_{pop}$ .  
 Set  $k = 0$ .  
**while** stopping criterion is not met **do**  
     Set  $k = k + 1$ .  
     Identify the Phase and update the operator rates if necessary  
      $\mathcal{P}' =$  Apply selection procedure in  $N_{pop}$ .  
      $\mathcal{P}'' =$  Apply crossover procedure in  $N_{keep}$ .  
      $\mathcal{P}''' =$  Apply mutation procedure in  $N_{keep}$ .  
      $\mathcal{P}^{k+1} = N_{pop}$  best individuals of  $\{\mathcal{P}^k \cup \mathcal{P}'' \cup \mathcal{P}'''\}$ .  
 Apply the local search method in the best solution obtained by genetic algorithm.

### 4.2 Stopping Criterion

In the third phase, the algorithm is very close to the optimum solution and few modifications are done at each iteration in order to preserve the good results already found. For this reason, it not useful to waste exceeding time in this phase. In this sense, the following criterion is proposed that can be used in conjunction with the other criterion already used, as the maximum number of generation, time limit, number of function evaluation, minimum error, etc.

This proposed stopping criterion consists of analyzing the population evolution in the *Phase 3*. Therefore, if the standard deviation and amplitude differences are smaller than  $10^{-10}$  in a  $N_{pop} \times n$  in successive iterations, the algorithm stops. With this strategy, the stopping criterion adapts to different optimization problems.

## 5 NUMERICAL RESULTS

The dynamic Genetic Algorithm variant and the stopping criterion proposed in this study are validated using six benchmark functions defined in the literature: Branin function (dimension 2), Easom function (dimension 2), Ackley Function (dimension 3), Rosenbrock function (dimension 3), Sum Squares function (dimension 4) and Levy function (dimension 5) (Gramacy and Lee, 2012; Jamil and Yang, 2013; Surjanovic and Bingham, ).

These benchmark functions have several properties that can be truly useful to test the algorithm performance in an unbiased way (Jamil and Yang, 2013). Besides, the results are compared with the Genetic Algorithm with constant rates proposed in (Bento et al., 2013).

The numerical results were obtained using a Intel(R) Core (TM) i3 CPU M920 @2.67GHz with 6 GB of RAM. It was considered the following parameters  $k_i = 50$ ,  $\epsilon_i = 1$ ,  $k_d = 150$ ,  $\epsilon_d = 10^{-3}$ ,  $\epsilon_{ph2} = 10^{-3}$ ,  $\epsilon_{ph3} = 10^{-6}$ ,  $N_{pop} = 100$  individuals at each generation, and each problem was executed 100 times, since the Genetic Algorithm is a stochastic method.

The average of the objective function value,  $f^*$ , the number of iterations needed,  $k$ , the number of function evaluation  $fun.eval$  and the time needed in seconds,  $T$ , are presented in the Tables 2 and 3 for the Genetic Algorithm with constants rates and dynamic rates, respectively.

Table 2: GA with constant rates algorithm results.

Function	$f^*$	$k$	$fun.eval$	$T$
Branin	$3.9789 \times 10^{-1}$	1040	54131	2.18
Easom	$-9.9900 \times 10^{-1}$	1080	56191	2.29
Ackley	$1.5100 \times 10^{-4}$	2765	143848	5.88
Rosenbrock	$1.5120 \times 10^{-9}$	5404	281145	11.28
S. Squares	$1.7937 \times 10^{-6}$	1526	79397	3.31
Levy	$4.6310 \times 10^{-10}$	872	45499	2.34

Table 3: GA with dynamic rates algorithm results.

Function	$f^*$	$k$	$fun.eval$	$T$
Branin	$3.9789 \times 10^{-1}$	410	36439	1.36
Easom	$-9.9900 \times 10^{-1}$	415	36789	1.39
Ackley	$1.0500 \times 10^{-4}$	881	75030	2.80
Rosenbrock	$1.5945 \times 10^{-9}$	1936	161748	5.88
S. Squares	$2.1476 \times 10^{-6}$	803	68618	2.59
Levy	$4.5925 \times 10^{-10}$	448	39389	1.87

Analyzing Tables 2 and 3 is possible to conclude that the optimum solution obtained by both algorithms is very similar. However, the performance of the GA with dynamic rates is higher because the optimum solution for all problems tested was found using fewer iterations, function evaluations in a short time than the Genetic Algorithm with constant rates.

In order to compare the accuracy of the proposed approach, the Euclidean distance was evaluated and compared between the results obtained and the optimum solution presented in the literature (Literature). Table 4 presents the numerical results.

It is possible to observe in Table 4 that the optimum solution obtained by both algorithms is very

Table 4: Average of euclidean distances comparison.

Function	Method	Optimum Solution	Euclidean Distance
Branin	Literature	$3.9789 \times 10^{-1}$	0
	Constant rates	$3.9789 \times 10^{-1}$	$1 \times 10^{-3}$
	Dynamic rates	$3.9789 \times 10^{-1}$	$1 \times 10^{-3}$
Easom	Literature	-1	0
	Constant rates	$-9.9900 \times 10^{-1}$	$3 \times 10^{-2}$
	Dynamic rates	$-9.9900 \times 10^{-1}$	$3 \times 10^{-2}$
Ackley	Literature	0	0
	Constant rates	$1.5100 \times 10^{-4}$	$3 \times 10^{-4}$
	Dynamic rates	$1.0500 \times 10^{-4}$	$2 \times 10^{-4}$
Rosenbrock	Literature	0	0
	Constant rates	$1.5120 \times 10^{-9}$	$3 \times 10^{-5}$
	Dynamic rates	$1.5945 \times 10^{-9}$	$3 \times 10^{-5}$
S. Squares	Literature	0	0
	Constant rates	$1.7937 \times 10^{-6}$	$9 \times 10^{-4}$
	Dynamic rates	$2.1476 \times 10^{-6}$	$8 \times 10^{-4}$
Levy	Literature	0	0
	Constant rates	$4.6310 \times 10^{-10}$	$5 \times 10^{-5}$
	Dynamic rates	$4.5925 \times 10^{-10}$	$5 \times 10^{-5}$

close to the optimum solution presented in the literature, which proves the efficiency of the proposed approach.

## 6 CONCLUSION AND FUTURE WORK

This work presents a new variation of hybrid Genetic Algorithm considering dynamic operators rates. The obtained results were very satisfactory since the Genetic Algorithm combined with dynamic rates demonstrated excellent ability to found the optimal solution and when compared to the Genetic Algorithm with constant rates, the approach stands out since it requires less computational effort. Since it was used benchmark functions with different properties, the Genetic Algorithm with dynamic rates can be applied to different optimization problems. As future work, it is intended to use machine learning, as Fuzzy Systems and Artificial Neural Networks, to identify patterns in the Genetic Algorithm and use this information to improve the dynamic rates.

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