# Collaborative transmission in wireless sensor networks

Randomised search approaches

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#### **Overview and Structure**

- Introduction to context aware computing
- Wireless sensor networks
- Wireless communications
- Basics of probability theory
- Evolutionary algorithms
- Cooperative transmission schemes
- Distributed adaptive beamforming
  - Feedback based approaches
  - Asymptotic bounds on the synchronisation time
  - Algorithmic improvements
  - Alternative Optimisation environments
  - A numeric approach for synchronisation
  - Consideration of node mobility

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## **Outline**

#### Randomised search approaches

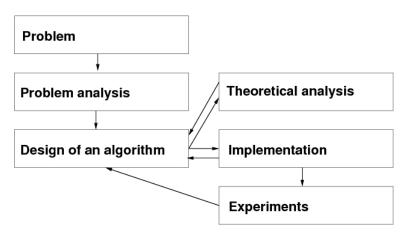
- Randomised search approaches
  - Local random search heuristics
  - Metropolis algorithms
  - Simulated annealing
  - Tabu search
- Evolutionary algorithms
  - Restrictions of evolutionary approaches
  - Design aspects of evolutionary algorithms
- Asymptotic bounds and approximation techniques
  - A simple upper bound
  - A simple lower bound
  - Method of the expected progress

#### Introduction

- Randomised search approaches
  - Combine methods that utilise random variables to guide search for optimum search point
  - Not necessarily designed for a specific problem
  - Find search point that is considered the optimum regarding a scoring function (fitness function)
  - Problem specific modelling of search space not necessarily required

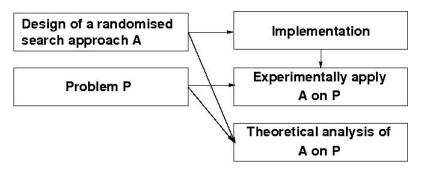
#### Introduction

• Classical approach to solve an optimisation problem:



#### Introduction

Random approach to solve an optimisation problem:



#### Introduction

- We distinguish between
  - A search space (Genotype)
  - A feature space (Phenotype)
  - A Genotype-Phenotype-Mapping
  - A scoring function (Fitness function)
- Example
  - Genotype (binary string): 0110010
  - Phenotype (Real valued): 12

#### **Black-box optimisation**

- Black-box optimisation:
  - Genotype-Phenotype-Mapping not known
  - Method to obtain Phenotype-outputs from Genotype-inputs (the black box) available
  - Algorithm iteratively requests Phenotype outputs for Genotype values

## **Optimisation problem**

- Problem formulation either maximisation or minimisation (here max):
  - Problem to solve:  $\max_{x} \{F(x) | x \in \mathbb{R}^n \}$
  - Column vector at optimum position required:  $(X_1^*, x_2^*, \dots, x_n^*)^T$
  - As well as Optimum value  $F^* = F(x^*)$

**Optima** 

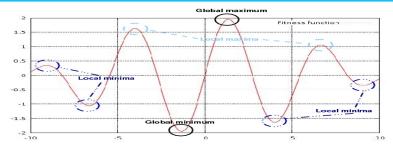
## Optima

Let  $f: G \to P$  be a real valued fitness function.  $x^* \in G$  is an optimum point of for  $\varepsilon > 0$  with  $|x - x^*| < \varepsilon$  the inequality  $f(x^*) \ge f(x)$  ( $f(x^*) \le f(x)$ ) holds.

Global optimum An optimum point  $x^*$  is called global optimum, if  $f(x^*) \ge f(x)$  ( $f(x^*) \le f(x)$ ) for all  $x \in G$ .

Local optimum An optimum point which is not globally optimal is called local optimum.

Various types of optima



- Various types of minima (maxima) can be distinguished between:
  - Local
  - Global
  - Weak
  - Strong

Local maximum

#### Local maximum

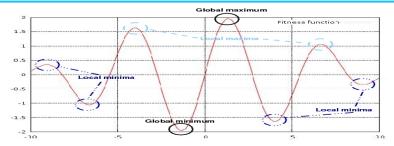
For a local maximum the following conditions hold:

$$F(x^*) \ge F(x)$$

$$0 \le ||x - x^*|| = \sqrt{\sum_{i=1}^{n} (x_i - x_i^*)^2} \le \varepsilon$$

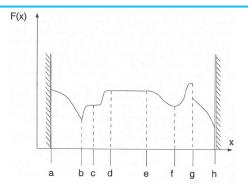
$$x \in \mathbb{R}^n$$

#### Local maximum



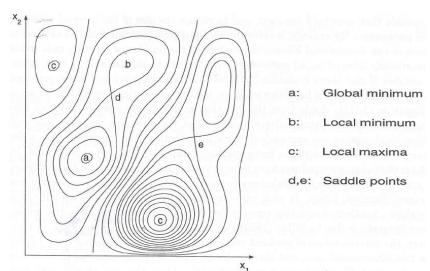
- The Maximum is called strong, if  $F(x^*) < F(x)$  for  $x \neq x^*$ .
- If the objective function has only one maximum it is called unimodal
- The highest local maximum of an objective function is called the global maximum.

One-dimensional search problem



- Local maxima/minima: a, b, d, e, f, g, h
- Saddle point: c
- Weak local maxima: d, e
- Global maximum: g

Multi-dimensional search problem



Multi-dimensional search problem

- The curse of dimensionality
  - When the dimension of the search space increases linearly,
  - The number of possible solutions increases exponentially.
  - A sequential program has therefore a WC-Runtime of  $O(c^n)$ 
    - The constant c depends on the accuracy required

Multi-dimensional search problem

## Pareto optimality

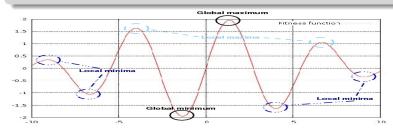
Let  $\overrightarrow{x}=(x_1,\ldots,x_n)^T$  be a search point in a multi-dimensional search problem and  $F_i:\mathbb{R}\to\mathbb{R}, \forall i$  the objective functions for the respective dimensions. A search point  $\overrightarrow{x}$  is said to be Pareto optimal with respect to a set of search points  $\overrightarrow{x'}\in S$ , if for at least one objective function  $F_i$  the equation  $F_i(x_i)>F_i(x_i'), \forall x'\in S$  holds.

Multimodality and unimodality

## Multimodality and Unimodality

A function f is called unimodal when only one global optimum exists. Otherwise it is called multimodal.

An unimodal or multimodal function f with no local optima is called strong multimodal (unimodal). Otherwise it is called weak multimodal (unimodal).



Local random search heuristics

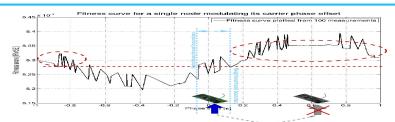
- Hillclimber
- Metropolis algorithm
- Simulated annealing
- Tabu search

#### Local random search

#### Local random search strategies

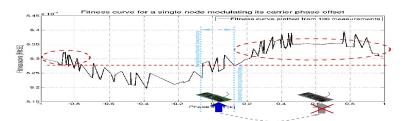
- Intuitive way to climb a mountain (by a sightless climber)
- Most frequently applied in engineering design
  - Assumptions to state extrema are not fulfilled (e.g. unfriendly/unknown conditions)
  - Difficulties to carry out necessary differentiations
  - Solution to the equations describing all conditions does not always lead to optimum point in the search space
  - Equations to describe conditions are not immediately solvable

Local random search



#### Local random search

For every point x in a search space S, a non-empty neighbourhood  $N(x) \subseteq S$  is defined. The local random search approach iteratively draws one sample  $x' \in N(x)$ . When the fitness of the new value is better than the old one (F(x) < F(x')), the new value is utilised as the new best search point. Otherwise it is discarded.



- In principle, N(x) = x or N(x) = S is valid, but the original idea is that N(x) is a relatively small set of search points.
- The points  $x' \in N(x)$  are expected to be nearer to x than those points  $x'' \notin N(x)$
- Typically,  $x \in N(x)$

#### Local random search

• Example:  $S = \{0,1\}^n$  and  $N_d(x)$  are all points y with Hamming distance smaller than d  $(H(x,y) \le d)$ 

$$|N_d(x)| = \binom{n}{d} + \binom{n}{d-1} + \cdots + \binom{n}{1} + \binom{n}{0}$$

• For constant d we obtain:  $|N_d(x)| = \Theta(n^d) \ll |S| = 2^n$ 

- Local search belongs to the class of hill climbing search methods since the next search point is never chosen to decrease the fitness function.
- For deterministic local search:
  - $x' = max_{y}(N(x))$
  - This implies that always the highest slope is propagated

- Problems with local search heuristics:
  - When neighbourhood too small, easy conversion to local optima
  - When neighbourhood too big, method approximates random search
  - Therefore: Beneficial to change neighbourhood radius during optimisation
    - Initially, big neighbourhood to allow huge steps
    - Later, decrease neighbourhood size
    - Challenging: Not to decrease neighbourhood size too fast

- Alternative to avoid local optima: Multistart strategies
  - Local search approach applied t times on the problem domain
  - Probability amplification results in respectable search result also when single success probability is low.
    - $\bullet$  Assume a success probability of  $\delta>0$  for one iteration of the algorithm
    - When the algorithm is applied t times, the overall probability of success is  $1-(1-\delta)^t$
    - Small polynomial success probabilities are enough for the multistart strategy to obtain very good overall success probabilities

## Metropolis algorithms

- For the local random search heuristic, only multistart strategies are able to avoid the termination in local optima.
- A Metropolis approach allows to accept also new search points that decrease the fitness value
- If F(x') < F(x) the search point x' is discarded only with probability

$$1 - \frac{1}{e^{(F(x)-F(x'))/T}}$$

#### Metropolis algorithms

- Probability to accept search points with decreasing fitness value dependent on degree by which fitness decreased
- For  $T \rightarrow 0$  the Metropolis approach becomes a random search
- For  $T \to \infty$  the Metropolis approach becomes an uncontrolled local search
- Choice of T impacts the performance
- Knowledge on the problem or the fitness function might impact the choice of T

#### Simulated annealing

- Choice of optimal T not easy: Change parameter in the pace of the optimisation
- Initially: T should allow to 'jump' to other regions of the search space with increased fitness value
- Finally: Process should gradually 'freeze' until local search approach propagates the local optimum in the neighbourhood.
- Name chosen in analogy to natural cooling processes in the creation of crystals
  - In this process, the temperature is gradually decreased so that Molecules that could move freely at the beginning are slowly put into their place

#### Simulated annealing

- Optimal choice of the cooling schedule for T?
- Non-Adaptive approaches
  - Fixed temperature function T(t)
  - $\bullet$  Every few steps the original value is multiplied with a factor  $\alpha < 1$
- Adaptive approaches
  - React on the optimisation process
  - Probably dependent on the frequency of accepted iterations.

#### Random search heuristics

#### Simulated annealing

- Problem: No natural problem known for which it has been proved that Simulated Annealing is sufficiently more effective than the Metropolis algorithm with optimum stationary temperature.
- However, artificially constructed problems exist, for which it could be shown that Simulated Annealing is superior to the Metropolis algorithm

#### Random search heuristics

#### Tabu search

- The algorithms discussed so far only store the actual search point
- For Simulated Annealing and the Metropolis algorithm, also the search point with the best fitness value achieved so far is stored typically.
- However, knowledge about all other points is typically lost
- The algorithms might therefore access suboptimal points in the search space several times
- This increases the optimisation time

#### Random search heuristics

#### Tabu search

- Tabu-search approaches also store a list of search points that have recently been accessed.
- Due to memory restrictions the list is typically of finite length
- When the size of the list is as least of the size of the neighbourhood N(x) the method can terminate when the best point in the neighbourhood has been found.

## **Outline**

#### Randomised search approaches

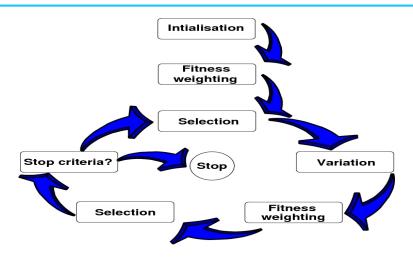
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# **Evolutionary algorithms**

#### Introduction

- Several researchers have studied the use of evolutionary approaches for optimisation purposes
- To-date, evolutionary algorithms combine these different approaches so that no clear distinction can be made
- An overview on various approaches is given in the following

#### Introduction



### Genetic algorithms

- Proposed by John Holland <sup>1</sup>
- Binary discrete search spaces:  $\{0,1\}^n$
- Fitnessproportional selection
  - For m individuals  $x_1, \ldots, x_m$  the probability to choose  $x_i$  is  $\frac{f(x_i)}{f(x_1) + \cdots + f(x_m)}.$
- Main evolution operator is crossover
  - Originally One-point crossover
- The main goal was not optimisation but the adaptation of an environment

<sup>&</sup>lt;sup>1</sup>J. Holland, *Adaptation in Natural and Artificial Systems*, University of Michigan Press, 1975.

Genetic algorithms

 The hope associated with genetic algorithms was that they are able to solve some functions especially well

### Separable function

A function is called separable, if the input variables can be divided into disjoint sets  $X_1, \ldots, X_k$  with  $f(x) = f_1(X_1) + \cdots + f_k(X_k)$ 

 Since genetic algorithms utilise crossover, it was expected that they are therefore well suited to quickly find the optimum on separable functions

Genetic algorithms

### Royal road functions

k blocks of variables of length l are formed. On each block  $X_l$  the identical function  $f_l$  is implemented with

$$f_l(X_l) = \begin{cases} 1 & \text{All variables in } X_l \text{ equal } 1 \\ 0 & \textit{else}. \end{cases}$$
 (1)

- It was shown that genetic algorithms do NOT perform well on these functions.<sup>2</sup>
- The reason is that it is highly unlikely to perform crossover exactly at the border of the variable blocks.
- It is better to optimise the single blocks on their own separately by mutation.

<sup>&</sup>lt;sup>2</sup>T. Jansen and I. Wegener, *Real royal road functions – where crossover provably is essential*, Discrete applied mathematics, Vol. 149, Issue 1-3, 2005.

### **Evolution strategies**

- Proposed by Bienert, Rechenberg and Schwefel<sup>3 4</sup>
- ullet At first only steady search spaces as  $\mathbb{R}^n$
- No Crossover
- Only mutation
  - First mutation operator: Each component  $x_i$  is replaced by  $x_i + \sigma Z_i$  ( $Z_i$  normally distributed,  $\sigma^2$  Variance)

<sup>&</sup>lt;sup>3</sup>I. Rechenberg, Evolutionsstrategie: Optimierung technischer Systeme nach Prinzipien der biologischen Evolution, 1973.

<sup>4</sup> H.P. Schwefel, Evolution and optimum seeking, 1993

**Evolution strategies** 

### 1/5 rule

After 10n iterations, the variance is adopted every n iterations. When the number of accepted mutations in the last 10n steps is greater than 1/5,  $\sigma$  is divided by 0.85 and else multiplied by 0.85.

• This heuristic is based on an analysis of the fitness function  $x_1^2, \dots, x_n^2$  – the sphere model.

### **Evolutionary programming**

- The approach was proposed by Lawrence J. Fogel<sup>56</sup>
- Various similarities to evolution strategies
- Search Space: Space of deterministic finite automata that well adapt to their environment.

<sup>&</sup>lt;sup>5</sup>L.J. Fogel, *Autonomous automata*, Industrial Research, Vol. 4, 1962.

<sup>&</sup>lt;sup>6</sup>L.J. Fogel *Biotechnology: Concepts and Applications*, Prentice-Hall, 1963

Genetic programming

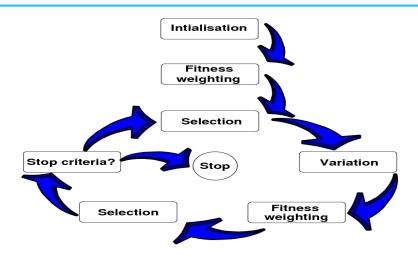
- Proposed by John Koza<sup>7</sup>
- Search space: Syntactically correct programs
- Crossover more important than mutation

<sup>&</sup>lt;sup>7</sup> John Koza Genetic Programming: On the Programming of Computers by Means of Natural Selection, MIT Press, 1992

### Hybrid approaches

- Since evolutionary approaches are typically slow to initially find a search point with a reasonable fitness value,
- Approaches are combined with fast heuristics that initially search for a good starting point.
- Afterwards the evolutionary approach is applied

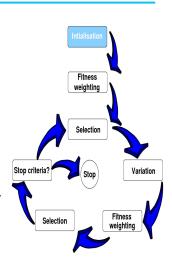
#### Modules



#### Modules

#### Initialisation

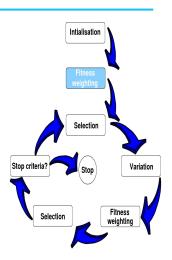
- Initialise  $\mu$  individuals from the search space S
- Typically uniformly at random
- Typical search spaces:  $S = \mathbb{R}^n$  or  $S = \mathbb{R}^n$
- Achieve sufficient coverage:
  - Distance measure d
  - distance ≥ d
- Improve optimisation time and quality of solution:
  - fast heuristics for individual population



#### Modules

### Fitness weighting of the population

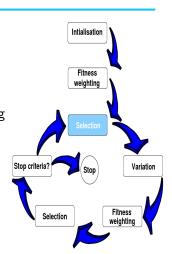
- Individuals of population weighted for their fitness value.
- Fitness function  $f: S \to \mathbb{R}$ .
- Monotonous function



#### Modules

### Selection for reproduction

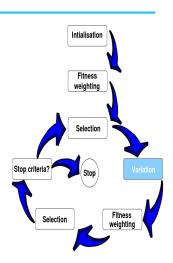
- Dependent on fitness values reached by individuals
- individuals chosen to produce offspring population
- Intuition:
  - Individuals with good fitness value: Higher probability to produce high-rated individuals for offspring population



#### Modules

#### Variation

- Offspring population created by mutation and/or crossover.
- Mutation is typically local search operator
- Crossover allows to find search points in currently not populated regions
- Adaptive implementations possible



Modules

#### Mutation

- Produces individuals that differ only slightly from the parent-individuals.
- One parent individual produces one offspring individual
- Mutation operators differ between search spaces.

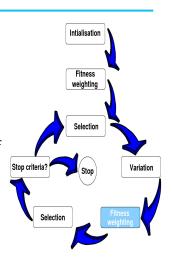
Modules

#### Crossover

Crossover is a variation technique that produces one or more offspring individuals from two or more parent individuals

#### Modules

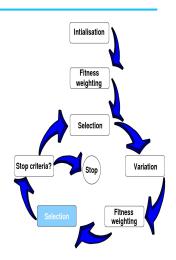
- All newly generated offspring individuals are weighted by a fitness function f.
- Structure of f impacts performance of random search approach
  - Weak multimodal vs. strong multimodal



#### Modules

#### Selection for substitution

- Population size increased due to variation
- Reduce population size to  $\mu$
- Typically: Individuals with higher fitness values more probable



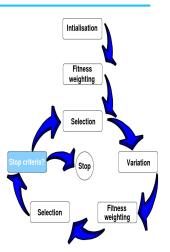
#### Modules

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- $(\mu + \lambda)$  strategies: Offspring population chosen from  $\mu$  old individuals '+'  $\lambda$  offspring individuals
- $(\mu, \lambda)$  strategies:  $\mu$  individuals drawn from  $\lambda$  offspring individuals while  $\mu$  old individuals are discarded
  - Comma-strageties try to avoid local optima

Modules

Since global optimum not known, stop criteria required

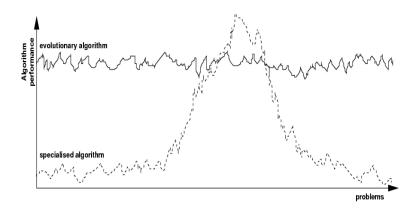


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- In the early days of evolutionary algorithm it has been argued that
  - Problem specific algorithms are better than evolutionary algorithms on a very small subset of problems
  - Evolutionary algorithms perform better on average over all problems
- Therefore, evolutionary algorithms have been proposed as a good choice for a general purpose optimisation scheme



- Can an algorithm be suited for 'all' problems?
  - Distinct coding of the search space
  - Various fitness functions
- What does 'all problems' mean?
  - For all possible representations and sizes of the search space
  - All possible fitness functions on the feature space
  - For a given search space and feature space, all possible fitness functions
  - Every single point in the search space is the optimum point in several of these problems
- Can one algorithm be better on average than another algorithm on 'all' problems?

- To understand this scenario, Wolpert and Macready formalised the assertion<sup>8</sup>
- Assumptions:
  - The set of all functions  $f: S \to W$  considered is given by F
  - S and W are finite (as every computation on physical computers can only have finite resources)
  - The fitness function is evaluated only once for each search point
  - A(f) is the number of search points requested until the optimum is found

<sup>&</sup>lt;sup>8</sup> D.H. Wolpert and W.G. Macready, *No Free Lunch Theorems for Optimisation*, IEEE Transactions on Evolutionary Computation 1. 67. 1997.

The No-free-lunch theorem

### No free lunch theorem

Assume that the average performance of an algorithm in the No Free Lunch Scenario for S and W is given by  $A_{S,W}$ , the average over all  $A(f), f \in F$ . Given two algorithms A and A', we obtain  $A_{S,W} = A'_{S,W}$ 

 This means that two arbitrary algorithms perform equally well on average on all problems

The No-free-lunch theorem

### Proof of the No Free Lunch Theorem

Proof by induction over s := |S|.

W.l.o.g.:  $W = \{1, ..., N\}$ 

We consider sets  $F_{s,i,N}$  of all functions f on a search space of non-visited search points of size s with at least one x with f(x) > i Observe that for every function f and every permutation  $\pi$  also  $f_{\pi}$  belongs to  $F_{s,i,N}$ 

The No-free-lunch theorem

#### Proof of the No Free Lunch Theorem

Induction start: s = 1

Every algorithm has to choose the single optimum search point with its first request.

The No-free-lunch theorem

#### Proof of the No Free Lunch Theorem

Induction:  $s - 1 \rightarrow s$ 

We define a function  $a: S \to \mathbb{N}$  so that for every  $x \in S$  the share of functions with f(x) = j is exactly a(j).

This is independent of x, since all permutations  $f_{\pi}$  of a function f also belong to  $F_{s,i,N}$ ,

a(j) is therefore the probability to choose a search point with fitness value j – Independent of the concrete algorithm A

The No-free-lunch theorem

#### Proof of the No Free Lunch Theorem

Induction:  $s - 1 \rightarrow s$ 

With probability a(j) an algorithm A finds a search point with fitness value j.

If j > i, the number of functions f(x) = j is equal to the number of functions  $f_{\pi}(y) = j$ , since all permutations of f are also in  $F_{s,i,N}$ . The probability to achieve a fitness value j > i is therefore independent of the algorithm.

The No-free-lunch theorem

### Proof of the No Free Lunch Theorem

Induction:  $s - 1 \rightarrow s$ 

With probability a(j) an algorithm A finds a search point with

fitness value j.

If  $j \leq i$ , x is not optimal in scenario  $F_{s,i,N}$  and the new scenario is  $F_{s-1,i,N}$ 

The No-free-lunch theorem

### Proof of the No Free Lunch Theorem

Summary – in other words:

For any two algorithms we can state a suitable permutation of the Problem-function for one problem (i.e. state another problem), so that both algorithms in each iteration request identical search points.

Especially, since every search point could be optimal, there
are always algorithms that request the optimal search point
right from the start.

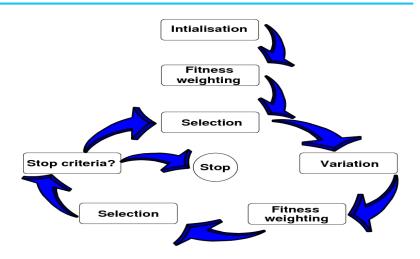
An almost-no-free-lunch-theorem

- The NFL is possible, since ALL algorithms and ALL problems are considered
- It is a reasonable question if an NFL is also valid in smaller, more realistic scenarios.
- In <sup>9</sup> is was proved, that a similar theorem can be stated also for more realistic problem scenarios.

<sup>&</sup>lt;sup>9</sup> S. Droste, T. Jansen and I. Wegener, *Perhaps not a free lunch but at least a free appetizer*, Proceedings of the 1st Genetic and Evolutionary Computation Conference, 1999.

# Design aspects of evolutionary algorithms

Overview



## Design aspects of evolutionary algorithms

#### Search space

- Design of search space has great impact on the performance of an algorithm
- Which parameters impact the fitness by what amount
- Parameters might depend on each other so that not all have to be modelled

## Design aspects of evolutionary algorithms

### Search space

- Often natural to represent search points as vectors
  - Components of the same set  $(\mathbb{R}, \mathbb{Z}, \mathbb{N}, \{0, 1\})$
  - Leads to search spaces of the type  $S = X^n$
  - Also vectors with components of distinct type possible (multi-type)
- Mutation and crossover operators have to respect these properties of the search space.
- Mutation and crossover often assume that neighbouring search points are related to each other.
- Important to choose a representation that well reflects the characteristics of the problem at hand.

Search space

### Hamming cliff

- The hamming distance between  $2^n$  and  $2^n + 1$  is 1
- The hamming distance between  $2^n$  and  $2^n 1$  is n + 1!!!
- A possible solution are Gray Codes
- The hamming distance between neighbouring numbers is always one

### Search space

### Gray codes

- For the numbers 0 and 1, the representation is 0 and 1
- When  $0, ..., 2^n 1$  are correctly represented by the bitvectors  $a_0, ..., a_{N-1}$  with  $N = 2^n$ 
  - Represent  $0, \ldots, 2^{n+1} 1$  by  $0a_0, \ldots, 0a_{N-1}, 1a_{N-1}, \ldots, 1a_0$
- The hamming distance of neighbouring numbers is then 1
- The drawback of this approach is that numbers with greater numerical distance have also to distance 1
- $0a_0$  and  $1a_0$  also have hamming distance 1

- Selection principles rule which individuals are the basis for the next generation.
- The selection is based on the fitness function
- Often: Survival of the fittest

- Selection strategies
  - Try to optimise the overall fitness of individuals
    - Assume: Individuals with similar fitness values are neighbours in the search space
  - Try to prevail diversity in the search space
- Both strategies are contradictory

Selection principles

### Uniform selection

Individuals chosen uniformly at random

#### Deterministic selection

Deterministically choose the highest rated individuals for the selection

### Threshold selection

Candidates for offspring population drawn uniformly at random from the t highest rated individuals

Selection principles

### Fitnessproportional selection

• For population  $x_i, \ldots, x_n$  individual  $x_i$  chosen with

$$p(x_i) = \frac{f(x_i)}{f(x_1) + \cdots + f(x_n)}$$

• Draw random variable u from [0,1] and consider  $x_i$  if

$$p(x_1) + \cdots + p(x_{i-1}) < u \le p(x_1) + \cdots + p(x_i)$$

• Frequently applied for evolutionary approaches

- Problems with Fitnessproportional selection
  - Linear modification of the fitness function  $(f \rightarrow f + c)$  results in different behaviour
  - When fitness values sufficiently separated, selection is nearly deterministic
  - When deviation in fitness values is small relative to absolute values, similar to uniform selection

Selection principles

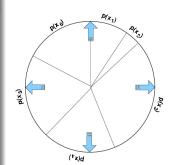
#### Tournament selection

- A tournament size of  $q \in \{1, ..., n\}$  is defined.
- A set of q individuals is then drawn uniformly at random from the population
- The best individual from this set is considered for the offspring population.
- For q=1 the tournament selection is a random selection
- For q = n it implements a deterministic choice
- Also individuals with non-optimal fitness values are considered

### **Selection principles**

### SUS - Stochastic Universal Sampling

- Uniformly distributed variable u in  $[0,1/\lambda)$
- $x_i$  ordered according to  $p(x_i) = \frac{f(x_i)}{f(x_1) + \dots + f(x_n)}$
- Control variable  $s = p(x_i)$  with i = 1
- When u < s, select  $x_i$  and increase u by  $1/\lambda$
- When  $u \ge s$ , increase s by  $p(x_{i+1})$  and i by 1.



- SUS especially proposed for evolutionary algorithms
- $\bullet$   $\lambda$  candidates for the offspring population are created

- Some selection approaches have problems with the scaling of the fitness function (e.g. fitness proportional selection)
- The  $(\mu + \lambda)$  and  $(\mu, \lambda)$  strategies fall into this category.
- Also: Threshold selection

- Lifetime of individuals
  - Some strategies define a maximum lifetime of individuals
  - An individual is then replaced when its maximum lifetime is reached
- Most approaches implement unlimited lifetime
- For comma strategies the lifetime is 1 for every individual

Selection principles

• Since a great number of distinct selection strategies exists, a quality measure for selection strategies is desired.