

# Application of a Compact Genetic Algorithm to Pipe Network Optimization Problems

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**Abstract.** *This paper presents the application of a compact Genetic Algorithm (cGA) to pipe network optimization problems. A compact genetic algorithm is proposed to reduce the storage and computational requirements of population-based genetic algorithms. A compact GA acts like a standard GA, with a binary chromosome and uniform crossover, but does not use a population. Instead, the cGA represents a virtual population for a binary GA by a vector of probabilities representing the chance that the optimal solution has a one at each bit position. The application of the cGA to pipe network optimization problems is considered in this paper and the results are presented for two benchmark examples and compared with existing solutions in the literature. The results show the ability of the cGA to locate the optimal solution of problems, considered with a computational effort, comparable to improved population-based GAs and with much fewer storage requirements.*

**Keywords:** *Pipe networks; Optimal design; Compact genetic algorithm.*

## INTRODUCTION

Genetic Algorithms (GAs) are a class of optimization algorithms motivated by the theory of natural selection and genetic recombination. They have been successfully used in a wide variety of applications in business, engineering and science [1,2]. A GA tries to find better solutions by the selection and recombination of promising solutions. It works well in wide varieties of problem domains. However, sometimes, simple selection and crossover operators are not effective enough to get an optimum solution, as they might not effectively preserve important patterns (known as building blocks or partial solutions) in chromosomes. This often happens in problem domains where the building blocks are loosely distributed. The search for techniques to preserve building blocks has led to the emergence of a new class of algorithms called Probabilistic Model Building Genetic Algorithms (PMBGA) [3], also known as Estimation of Distribution Algorithms (EDA) [4]. The principle concept in this new technique is to prevent the disruption of partial solutions contained in a chromosome by giving them a high probability of being presented in the child chromosome. This can be

achieved by building a probabilistic model to represent a correlation between variables in a chromosome and by using a built model to generate the next population. PMBGA is a developing area in the field of evolutionary and genetic algorithms.

The PMBGAs are often categorized into three different classes by their used probability models, i.e. Univariate, Bivariate and Multivariate [5,6]. Univariate algorithms do not consider any dependencies among variables in an individual, i.e. they consider building blocks of order one. Due to its simplicity, the algorithms in this category are computationally very efficient and perform excellently in linear problems, such as function optimization, where the variables are not significantly interdependent. However, these algorithms fail in complex problems, where variables interact with each other. Population Based Incremental Learning (PBIL) [7], Univariate Marginal Distribution Algorithms (UMDA) [4] and compact Genetic Algorithms (cGA) [8] use the univariate model of a probability distribution. Recently, Rastgar and Hariri [9] developed a theoretical framework for studying the cGA from the convergence point of view, in which they modeled the cGA by a Markov process and approximated its behavior using an Ordinary Differential Equation (ODE).

Bivariate algorithms consider pair wise dependencies among variables in a chromosome, i.e. they consider the building blocks of order two. Similarly,

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the probability model becomes more complex than that of the univariate model and takes the form of a probabilistic network between variables. This class of algorithm performs better in problems with a pair wise interaction among the variable, however, it fails in problems with multiple variable interactions. Mutual Information Maximization for Input Clustering (MIMIC) [10], Combining Optimizers with Mutual Information Trees (COMIT) [11] and Bivariate Marginal Distribution Algorithms (BMDA) [12] use the bivariate model of probability distribution.

Multivariate algorithms are those algorithms which take into account the interdependency between variables of an order of more than two. The probability network representing the interdependency of variables obviously becomes more complex and the computation time to construct such a network hugely increases, making it almost impossible to search through all possible models. Due to its simplicity, most of the algorithms in this class use a greedy heuristic to search a good model; however, greedy heuristics does not always guarantee accuracy. Some other complex search algorithms have also been successfully used for this purpose and much current research in PMBGAs is focused on finding good heuristics. Extended Compact Genetic Algorithms (ECGA) [13], Factorised Distribution Algorithms (FDA) [14,15], Bayesian Optimization Algorithms (BOA) [6], Learning Factorised Distribution Algorithms (LFDA) [14] and the Estimation of a Bayesian Network Algorithms (EBNA) [16] use a multivariate model of the probability distribution.

This paper describes the application of one of the promising univariate PMBGA models, known as the compact Genetic Algorithm (cGA) [8], to pipe network optimization problems. In what follows, the basics of the cGA are first described. The problems of pipe network optimization are then formulated and presented in the next section. The application of the cGA to two benchmark examples in the literature is illustrated in the third section and the results are compared with the existing solutions in the literature. The paper ends with the concluding remarks.

### COMPACT GENETIC ALGORITHM (CGA)

A Compact Genetic Algorithm is motivated by previous works done in the field of random walk models [8] and assumes no overlapping building blocks are contained in the chromosomes, i.e. considers only building blocks of order 1. A Compact GA acts like a standard GA (sGA) with a binary chromosome and uniform crossover, but does not use a population. Instead, the cGA represents a virtual population for a binary GA by a vector of probabilities,  $P = [p_1, p_2, \dots, p_i, \dots]$ , representing the chance that the optimal solution has a one in position  $i$ . To begin the cGA, all entries of the

probability vector are initialized to one half. Because this vector represents the probability that each gene has a value of 1, it can be used to randomly generate  $\sigma_{\text{tourn}}$  candidate solutions or chromosomes,  $b^j = \{b_i^j | j = 1, \dots, \sigma_{\text{tourn}}, i = 1, \dots, N_{\text{bits}}, b_i^j \in [0, 1]\}$ , where  $N_{\text{bits}}$  is the number of bits in a chromosome. These solutions are then decoded, evaluated and compared, very much as in the tournament selection of a standard GA. The best candidate solution (winner) generated (call it  $b^1$  without loss of generality) is then compared, bit by bit, to all other candidate solutions to update the probability vector. For each of the  $\sigma_{\text{tourn}} - 1$  loser chromosomes,  $b_j$ ,  $j = 2, \dots, \sigma_{\text{tourn}}$ , the probability vector is updated in those positions  $i$ , where  $b_i^j \neq b_i^1$  according to the following rule:

$$\begin{aligned} p_i &\longrightarrow p_i - 1/N_{\text{pop}}, & \text{if } b_i^1 = 0, \\ p_i &\longrightarrow p_i + 1/N_{\text{pop}}, & \text{if } b_i^1 = 1, \end{aligned} \quad (1)$$

where  $N_{\text{pop}}$  is an integer that simulates the population size. The updated probability vector is then used to generate  $\sigma_{\text{tourn}}$  new candidate solutions, and the process continues iteratively. If any of the  $p_i$  becomes less than 0 or greater than 1 during the search, it is assumed to be 0 or 1, respectively, for the purpose of generating new candidates. The algorithm converges when either  $p_i \leq 0$  or  $p_i \geq 1$  for all  $N_{\text{bits}}$  entries of the probability vector. This algorithm has been shown to be a simple, low-memory alternative to the sGA in its own right, but it can also be used to determine the resilience of a given problem to GA optimization [8]. A note has to be added regarding the role of the population size,  $N_{\text{pop}}$ . Population size  $N_{\text{pop}}$  plays an important role in balancing the explorative and exploitative features of the method. For small values of the population size, it is highly likely that the method converges faster without giving the method enough chance to explore the search space. For big values of population size, on the other hand, exploration dominates the search, leading to a random walk in the search space. A proper value of the population size is, therefore, vital for the best performance of the method. It can be expected, however, for the proper value of the population size to be proportional to the tournament size, as Equation 1 is used  $\sigma_{\text{tourn}} - 1$  times at each iteration of the method. Here, a modified form of Equation 1 is used, where  $N_{\text{pop}}$  is replaced by the product  $N_{\text{pop}}^* \sigma_{\text{tourn}}$  to reduce the computational efforts required for tuning purposes.

### PIPE NETWORK OPTIMIZATION

The problem of network optimization requires the determination of pipe sizes from a set of commercially available diameters ensuring a feasible least-cost

solution. Various methods with different degrees of success have been devised by different researchers to solve this problem. These methods can be grouped into three classes: Enumeration, mathematical programming and random search methods. Enumeration methods, capable of finding a global optimum solution to a pipe network design problem, are very costly and cannot be used for the optimization of real-world networks [17,18]. On the other hand, mathematical programming methods are very efficient from a computational point of view, but are often trapped in saddle points in their search for the global optimum of the pipe network design problem. The computational efficiency of mathematical programming methods is, of course, limited to continuous solutions, which are not favored from an engineering point of view [19-25]. Stochastic search methods have shown to logically balance between computational efficiency and the capability of approaching a global optimum. Among the stochastic search methods, GA has gained more popularity for pipe network optimization in recent years. The early research was primarily concentrated on developing a methodology for applying GA to pipe network optimization problems using simple genetic algorithms [26-30]. More recent investigations on the application of GA to pipe network optimization have focused on the development of new genetic algorithms to yield less costly solutions than those of already existing algorithms. These improvements are mostly achieved via modifications of the simple genetic algorithm or introducing new operators and features to the basic algorithms [31-37].

The optimal design of a pipe network with a pre-specified layout in its standard form can be described as:

$$\min C_o = \sum_{i=1}^N C_i L_i, \tag{2}$$

in which  $N$  is the number of existing pipes;  $L_i$  and  $C_i$  are length and per unit cost of the  $i$ th pipe, respectively, and  $C_o$  represents the total cost of the pipes in the network.

subject to:

1. Hydraulic constraints:

$$\sum_{i \in \text{in}(k)} q_i - \sum_{i \in \text{out}(k)} q_i = Q_k, \quad k = 1, \dots, K, \tag{3}$$

$$\sum_{i \in p} J_i = 0, \quad p = 1, \dots, P, \tag{4}$$

$$J_i = \mu L_i \left( \frac{q_i}{ch_i} \right)^\lambda d_i^{-\gamma}, \tag{5}$$

where  $K$  and  $P$  are the number of existing nodes and loops in the network, respectively;  $q_i$  is the flow rate in pipe  $i$ ;  $Q_k$  is the required demand at consumption node  $k$ ;  $J_i$  is the head loss in the  $i$ th pipe;  $d_i$  is the diameter of pipe  $i$  and  $ch_i$  is the Hazen-Williams coefficient for the  $i$ th pipe;  $\lambda = 1.852$ ,  $\gamma = 4.871$  and  $\mu = 10.667$  for  $q$  in cubic meter per hour and  $d$  in inches (equivalent to  $\mu = 4.727$  for  $D$  in feet and  $Q$  in cubic feet per second) are Hazen-Williams constants as used in EPANET 2.0.

2. Nodal head and pipe flow velocity constraints:

$$H_{\min} \leq H_k \leq H_{\max}, \quad k = 1, \dots, K, \tag{6}$$

$$V_{\min} \leq V_i \leq V_{\max}, \quad i = 1, \dots, N, \tag{7}$$

in which  $H_k$  is the nodal head;  $H_{\min}$  and  $H_{\max}$  are minimum and maximum allowable nodal head;  $V_i$  is the pipe flow velocity; and  $V_{\min}$  and  $V_{\max}$  are minimum and maximum allowable flow velocity.

3. Pipe size availability constraints:

$$d_i \in \mathbf{d}, \quad i = 1, \dots, N, \tag{8}$$

in which  $d_i$  is the diameter of pipe  $i$ ; and  $\mathbf{d}$  denotes the set of commercially available pipe diameters.

A penalty method is often used to formulate the optimal design of a pipe network as an unconstrained optimization problem, in which head and velocity constraints are included in the objective function, leading to a new problem defined by minimization of the following penalized objective function, subject to the constraints defined in Equation 8.

$$C_p = \sum_{i=1}^N C_i L_i + \alpha_p \text{ CSV},$$

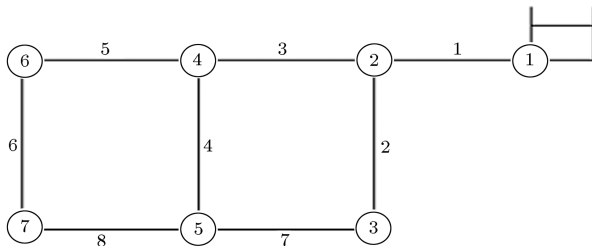
$$\text{CSV} = \left\{ \sum_{i=1}^N \left( 1 - \frac{V_i}{V_{\min}} \right)^2 + \sum_{i=1}^N \left( \frac{V_i}{V_{\max}} - 1 \right)^2 + \sum_{k=1}^K \left( 1 - \frac{H_k}{H_{\min}} \right)^2 + \sum_{k=1}^K \left( \frac{H_k}{H_{\max}} - 1 \right)^2 \right\}, \tag{9}$$

where CSV represents a measure of the head and velocity constraint violation of the trial solution and  $\alpha_p$  is the penalty parameter, with a large enough value to ensure that any infeasible solution will have a higher total cost than any feasible solution. It should be noted that in calculating the CSV, the summation ranges over those nodes and pipes at which a violation of constraints 6-7 occurs, i.e. the terms in parenthesis are positive. Here, the penalty parameter is taken as the cost of the most expensive network, i.e. a network with

all its pipes having the largest possible diameter. The hydraulic constraints (constraints 3-5) are satisfied, via the use of a simulation program, which explicitly solves the set of hydraulic constraints for nodal heads [38]. It should be remarked here that the formulation of the pipe size design of pipe networks defined by Equations 2-9, is valid for gravitational systems under single loading. The extension of the formulation to real world networks with pumping systems and dynamic loading requires the modification of Equation 2, by including the pumping system and corresponding energy cost, the modification of Equation 4 via including the pumping head and, finally, enforcing constraints 3-7 for each loading pattern.

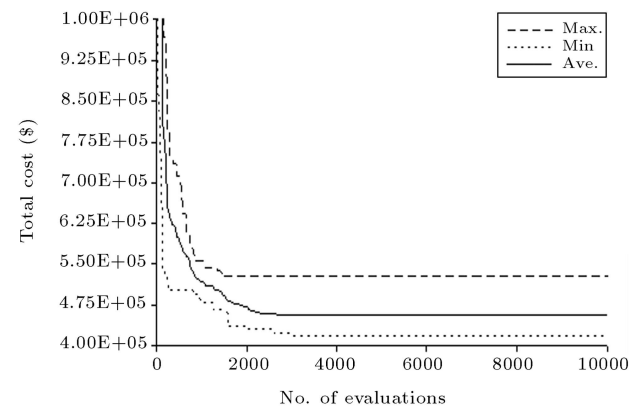
**TEST PROBLEMS**

The first problem to be considered is a two-loop network with 8 pipes, 7 nodes and one reservoir, as shown in Figure 1 [39]. All the pipes are 1,000-m long and the Hazen-Williams coefficient is assumed to be 130 for all the pipes. The minimum nodal head requirement for all demand nodes is 30 m. There are



**Figure 1.** Two loop network.

14 commercially available pipe diameters as listed in Table 1. Figure 2 shows the maximum, minimum and average solution cost of ten runs using different initial populations against the amount of network analysis required. These solutions are obtained with a tournament size of 10 and a population size of 60. The best ever solution of 419,000 units is obtained at the expense of 3,000 evaluations. This compares favorably with ~ 250,000 evaluations required by the method of Savic and Walters [33], ~ 53,000 evaluations required by the method of Cuncha and Sousa [40], 9,201 evaluations required by the Fast Messy Genetic Algorithm of Boulos et al. [35], and 7,467 evaluations required by the Fast Messy Genetic Algorithm of Wu et al. [37], in order to get the least cost solution of 419,000 units. Table 2 compares



**Figure 2.** Maximum, minimum and average solution costs versus the number of network evaluations for two loop networks.

**Table 1.** Cost data for the two-loop network.

<b>Diameter (inch)</b>	1	2	3	4	6	8	10	12	14	16	18	20	22
<b>Cost (units/m)</b>	2	5	8	11	16	23	32	50	60	90	130	170	300

**Table 2.** Optimal pipe diameters along with some of the available discrete results for a two loop network.

Pipe	Present Work	Abebe and Solomatine [39]	Wu et al. [37]	Savic and Walters [33]*	
	cGA	GA	FMGA	GA2	GA1
1	18	18	18	20	18
2	10	14	10	10	10
3	16	14	16	16	16
4	4	1	4	1	4
5	16	14	16	14	16
6	10	1	10	10	10
7	10	14	10	10	10
8	1	12	1	1	1
Cost (units)	419000	424000	419000	420000	419000
Evaluations	3000	—	7467	250000	250000

\* These solutions are obtained using different numerical conversion constants for head loss equations.

the results produced by the presented method to some of the stochastic search results available in the literature.

The second test problem concerns the rehabilitation of the New York City water supply network, with 21 pipes, 20 demand nodes and one reservoir as shown in Figure 3 [31]. The commercially available pipe diameters and their respective costs are listed in Table 3, while the pipe and nodal data of the existing network are shown in Table 4. A more thorough study was carried out on this problem to assess the effect of the tournament size and population size on the quality of the solutions obtained. Table 5 shows the minimum and average solutions obtained during ten runs using different initial populations for a range of tournament and population sizes. It is clearly seen that the method was able to locate the optimal solution of 38.64 \$M ten times out of twelve runs using different tournament and population sizes. The method shows its best performance for a tournament size of 20 using different population sizes of 35, 45 and 55. Figures 4 to 6 show the convergence curves of the method for a tournament size of 20 and population size of 35, 45 and 55. It is clearly seen that the convergence of the method is slower for increasing values of population

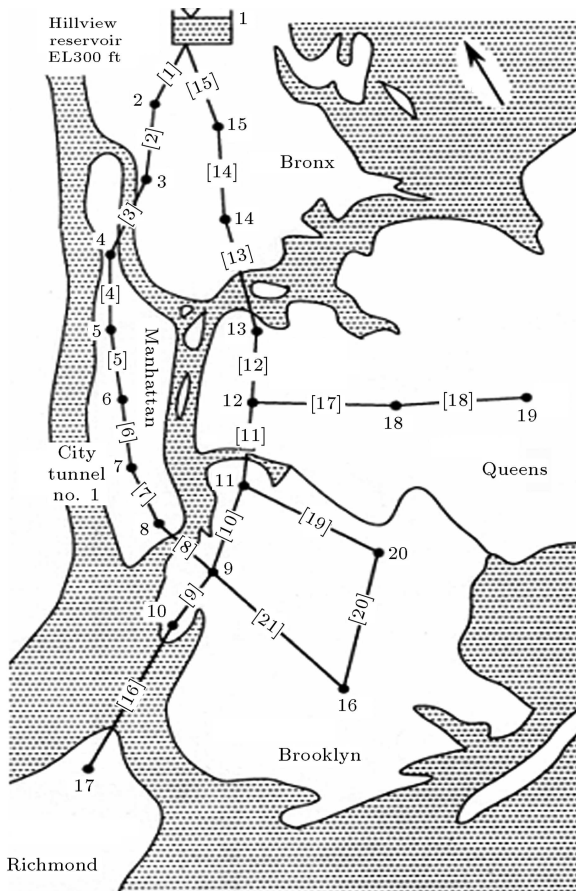


Figure 3. New York tunnel network.

size. The method is able to find the optimal solution of 38.64 \$M in just 7,760 network evaluations using the tournament and population sizes of 20 and 35, respectively. This compares favorably with ~ 200,000 evaluations required by the method of Murphy et al. [27] to get the solution of 38.80 \$M, ~ 46,000 evaluations required by Lippai et al. [41] to get their

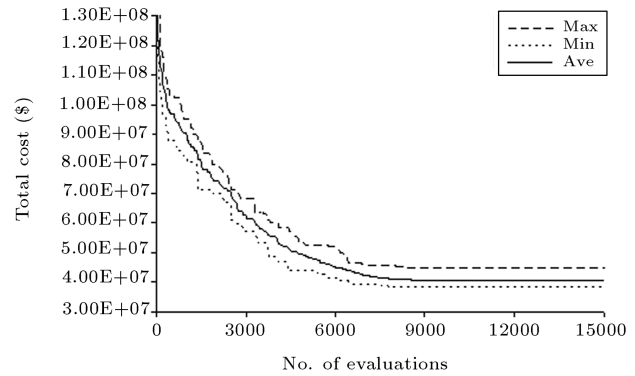


Figure 4. Maximum, minimum and average solution costs versus the number of network evaluations for New York network (tournament size of 20, population size of 35).

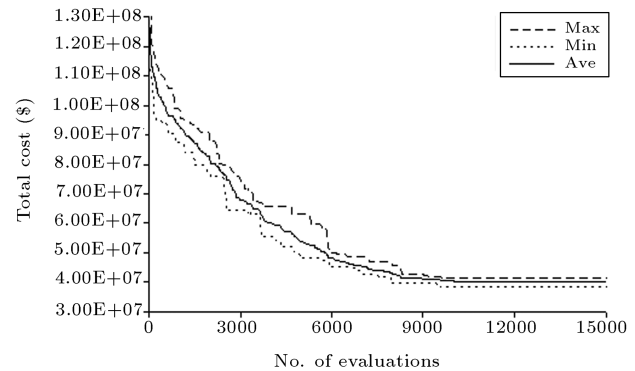


Figure 5. Maximum, minimum and average solution costs versus the number of network evaluations for New York network (tournament size of 20, population size of 45).

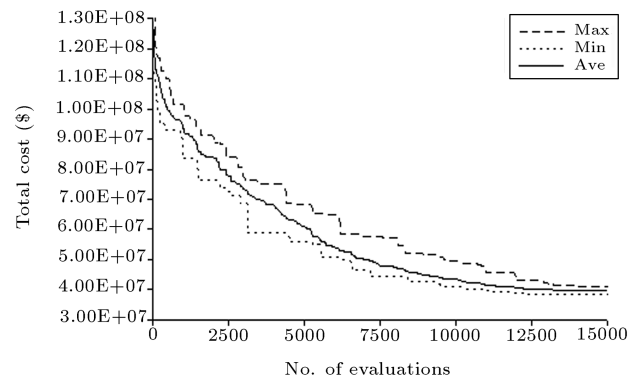


Figure 6. Maximum, minimum and average solution costs versus the number of network evaluations for New York network (tournament size of 20, population size of 35).

**Table 3.** Pipe cost data for New York network.

<b>Diameter (inch)</b>	0	36	48	60	72	84	96	108
<b>Cost (\$/ft)</b>	0	93.5	134.0	176.0	221.0	267.0	316.0	365.0
<b>Diameter (inch)</b>	120	132	144	156	168	180	192	204
<b>Cost (\$/ft)</b>	417.0	469.0	522.0	577.0	632.0	689.0	746.0	804.0

**Table 4.** Pipe and nodal data for New York tunnel network.

Pipe Data					Nodal Data		
Pipe	Start Node	End Node	Length (ft)	Existing Diameter (inch)	Node	Demand (Cft/s)	Min Total Head (ft)
1	1	2	11600	180	1	Reservoir	300
2	2	3	19800	180	2	92.4	255
3	3	4	7300	180	3	92.4	255
4	4	5	8300	180	4	88.2	255
5	5	6	8600	180	5	88.2	255
6	6	7	19100	180	6	88.2	255
7	7	8	9600	132	7	88.2	255
8	8	9	12500	132	8	88.2	255
9	9	10	9600	180	9	170	255
10	11	9	11200	204	10	1	255
11	12	11	14500	204	11	170	255
12	13	12	12200	204	12	117.1	255
13	14	13	24100	204	13	117.1	255
14	15	14	21100	204	14	92.4	255
15	1	15	15500	204	15	92.4	255
16	10	17	26400	72	16	170	260
17	12	18	31200	72	17	57.5	272.8
18	18	19	24000	60	18	117.1	255
19	11	20	14400	60	19	117.1	255
20	20	16	38400	60	20	170	255
21	9	16	26400	72			

**Table 5.** Maximum, minimum and average solutions of ten runs using different values of tournament and population sizes for New York network.

Tournament	10			20			30			40		
<b>Population</b>	65	75	85	35	45	55	25	35	45	15	25	35
<b>Maximum (\$M)</b>	42.77	43.32	42.28	44.98	41.64	41.13	45.51	42.69	44.15	50.51	45.49	43.94
<b>Average (\$M)</b>	40.58	40.51	40.94	40.72	40.08	39.89	41.13	39.96	40.39	42.16	41.29	40.33
<b>Minimum (\$M)</b>	38.64	38.64	39.19	38.64	38.64	38.64	38.64	38.64	38.64	39.63	38.64	38.64
<b>Evaluations</b>	10,210	12,770	11,170	7,760	9,540	12,240	8,220	10,500	12,660	4,640	9,480	12,080

solution of 37.83 \$M, ~ 1,000,000 evaluations required by the method of Savic and Walters [33] to get the solutions of 40.42 \$M and 37.13 \$M, 37,186 evaluations required by the Fast Messy genetic algorithm of Boulos et al. [35] and Wu et al. [37] to get the solutions of

37.83 \$M and 37.13 \$M and finally 13,928 evaluations required by the ACOA of Maier et al. [42] to get the solution of 38.64 \$M. The solution to this problem is shown in Table 6, along with some of the available GA solutions.

**Table 6.** Optimal duplicate pipe diameters by different methods for New York network.

Pipe	Present	Lippai et al.	Savic and Walters	Wu et al.	Wu et al.	Maier et al.
	Work	[41]	[33]	[37]	[37]	[42]
	cGA	NYD1	GA1	fmGA2	fmGA1	ACOA
7	144	132	108	108	124	144
15	0	0	0	0	0	0
16	96	96	96	96	96	96
17	96	96	96	96	96	96
18	84	84	84	84	84	84
19	72	72	72	72	72	72
20	0	0	0	0	0	0
21	72	72	72	72	72	72
Cost (\$M)	38.64	38.13*	37.13*	37.13*	37.83*	38.64
Evaluations	7,760	46,016	1,000,000	37,186	37,186	13,928

\* Infeasible solution due to the use of different numerical conversion constant for the head loss equations.

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