A Simplified Binary Artificial Fish Swarm Algorithm for Uncapacitated Facility Location Problems

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Abstract—Uncapacitated facility location problem (UFLP) is a combinatorial optimization problem, which has many applications. The artificial fish swarm algorithm has recently emerged in continuous optimization problem. In this paper, we present a simplified binary version of the artificial fish swarm algorithm (S-bAFSA) for solving the UFLP. In S-bAFSA, trial points are created by using crossover and mutation. In order to improve the quality of the solutions, a cyclic reinitialization of the population is carried out. To enhance the accuracy of the solution, a local search is applied on a predefined number of points. The presented algorithm is tested on a set of benchmark uncapacitated facility location problems.

Index Terms—Uncapacitated facility location, 0–1 programming, artificial fish swarm algorithm, local search.

I. INTRODUCTION

The artificial fish swarm algorithm (AFSA) is one of the recent population-based stochastic methods that has appeared for solving continuous and engineering design optimization problems [1], [2], [3], [4]. When applying to an optimization problem, a ‘fish’ represents an individual point in a population. The algorithm simulates the behavior of a fish swarm inside water. At each iteration, trial points are generated from the current ones using either a chasing behavior, a swarming behavior, a searching behavior or a random behavior. Each trial point competes with the corresponding current and the one with best fitness is passed to the next iteration as current point. There are different versions and hybridizations of AFSA available in [5], [6], [7].

The most widely studied location problems available in the literature are combinatorial optimization problems and NP-hard. We are interested about the uncapacitated facility location problem (UFLP). The UFLP involves a set of customers with known demands and a set of alternative candidate facility locations. If a candidate location is to be selected for open a facility, a known fixed setup cost will be incurred. Moreover, there is also a fixed known delivery cost from each candidate facility location to each customer. The goal of UFLP is to connect each customer to exactly one opened facility in the way that the sum of all associated costs (setup and delivery) is minimized. It is assumed that the facilities have sufficient capacities to meet all customer demands connected to them. The UFLP is used to model many applications such as bank account allocation, clustering analysis, location of offshore drilling platforms, economic lot sizing, machine scheduling, portfolio management, design of communication networks, etc.

Let in the UFLP, the number of alternative candidate facility locations be \( m \) and the number of customers be \( n \). The mathematical formulation of the UFLP is given as follows:

\[
\begin{align*}
\text{minimize } & \quad z(x, y) = \sum_{i=1}^{m} \sum_{j=1}^{n} c_{ij} x_{ij} + \sum_{i=1}^{m} f_{i} y_{i} \\
\text{subject to } & \quad \sum_{i=1}^{m} x_{ij} = 1, \text{ for all } j \\
& \quad x_{ij} \leq y_{i} \text{ for all } i, j \\
& \quad x_{ij}, y_{i} \in \{0, 1\} \text{ for all } i, j,
\end{align*}
\]

where

\( c_{ij} \) = the delivery cost of meeting customer \( j \)'s demand from facility at location \( i \);

\( f_{i} \) = the setup cost of facility at location \( i \);

\( x_{ij} \) = \( \begin{cases} 1 & \text{if customer } j \text{ is served from location } i, \\ 0 & \text{otherwise}; \end{cases} \)

\( y_{i} \) = \( \begin{cases} 1 & \text{if a facility is opened at location } i, \\ 0 & \text{otherwise.} \end{cases} \)

It is noted that \( x_{ij} \) is a binary variable (0/1 bit) since the demand of customer \( j \), \( j = 1, \ldots, n \), is fulfilled by exactly one facility, (i.e. no partial fulfillment of demand is allowed) say \( k \), in which case \( x_{ij} = 1, x_{ik} = 0, i = 1, \ldots, m, i \neq k \). \( y_{i} \) is also a binary variable since a facility \( i \) is either opened (\( y_{i} = 1 \)), in which case the fixed setup cost \( f_{i} \) is incurred, or it is not opened (\( y_{i} = 0 \)) and no fixed setup cost is incurred.

For solving uncapacitated facility location problem (1), several exact solution methods as well as stochastic solution methods exist. Some well-known exact methods are: a dual approach [8], a branch and bound method [9], and a primal-dual approach [10]. On the other hand, the available stochastic solution methods are: a tabu search [11], [12], [13], a neighborhood search heuristic [14], a genetic algorithm [15], a differential evolution algorithm [16], an artificial bee colony algorithm [17], and a particle swarm optimization algorithm [18]. In [16], Kashan et al. proposed a novel differential evolution algorithm, the DisDE, and in [17], the same authors presented the DisABC, a new artificial bee colony algorithm with local search based on the measurement of dissimilarity between binary vectors in order to handle binary variables. Svekli and Guer presented a transformation technique in order to handle binary variables.
in a continuous particle swarm optimization algorithm, PSO with local search [18].

This paper presents a binary version of AFSA for solving the uncapacitated facility location problem (1). A previous binary version of AFSA, denoted by bAFSA, is presented in [19], where a set of small 0–1 multidimensional knapsack problems were successfully solved. To create the trial points from the current ones in a population, bAFSA chooses each point/fish behavior according to the number of points inside its ‘visual scope’, i.e., inside a closed neighborhood centered at the point. To identify those points, the Hamming distance between pairs of points is used.

For instance, the chasing behavior is chosen when the ‘visual scope’ is assumed to be not crowded. In terms of fish behavior, this happens when a fish, or a group of fish in the swarm, discover food and the others find the food dangling quickly after it. The bAFSA creates the trial point after a uniform crossover between the individual point and the best point inside the ‘visual scope’ is performed.

Alternatively, when swimming, fish naturally assembles in groups which is a living habit in order to guarantee the existence of the swarm and avoid dangers. This is a swimming behavior and the ‘visual scope’ is also assumed to be not crowded. Here, a uniform crossover between the individual point and the central point of the ‘visual scope’ is performed to create the trial point.

The searching behavior occurs when fish discovers a region with more food, by vision or sense, going directly and quickly to that region. This behavior assumes that the ‘visual scope’ is crowded. The trial point is created by performing a uniform crossover between the individual point and a randomly chosen point from the ‘visual scope’.

Finally, in the random behavior, a fish with no other fish in its neighborhood to follow, moves randomly looking for food in another region. This happens when the ‘visual scope’ is empty and the trial point is created by randomly setting a binary string of 0/1 bits.

Past experience has shown that the computational effort of computing the ‘visual scope’ of each individual and checking the points that are inside the ‘visual scope’, along all iterations, increases enormously with the number of variables.

The purpose of the herein presented study is to reduce the computational requirements, in terms of number of iterations and execution time, to reach the optimal solution. The procedures that are used to choose which behavior is to be performed to each current point in order to create the corresponding trial point are simplified. Thus, a simplified binary version of AFSA, henceforth denoted by S-bAFSA, is produced. Briefly, for all points of the population, except the best, random, searching and chasing behavior are randomly chosen using two target probability values $\tau_1 < \tau_2 < 1$, and uniform crossover is performed to create the trial points. A simple 4-flip mutation is performed in the best point of the population to generate the corresponding trial point. To improve the accuracy of the solutions obtained by the algorithm, a swap move local search adapted from [17] and a cyclic reinitialization of the population are implemented. A benchmark set of uncapacitated facility location problems is used to test the performance of the S-bAFSA.

The organization of this paper is as follows. The proposed simplified binary version of AFSA is described in Section II. Section III describes the experimental results and finally we draw the conclusion of this study in Section IV.

II. THE PROPOSED S-bAFSA

In bAFSA [19], each trial point is created from the current one by using the original concept of ‘visual scope’ of a point. To identify the points inside the ‘visual scope’ of each individual point, the Hamming distance is used. For points of equal bits length, this distance is the number of positions at which the corresponding bits are different. The computational requirement of this procedure grows rapidly with problem’s dimension. Furthermore, in some cases the population stagnates and the algorithm converges to a non-optimal solution.

To overcome these drawbacks, the herein presented S-bAFSA will not make use of the concept of ‘visual scope’ of an individual point, will select each fish/point behavior on the basis of two user defined target probability values and will not perform the swarming behavior ever, since the central point may not depict the center of the distribution of solutions. Furthermore, to be able to reach the solution with high accuracy and avoid convergence to a non-optimal solution, a simple local search and a random reinitialization of the population are performed.

Details of the proposed S-bAFSA to solve the uncapacitated facility location problem (1) are described in the following. The first step of S-bAFSA is to design a suitable representation scheme of a current point in a population for solving the UFLP. Since the facilities are to be opened or not at candidate locations, a current point $y = (y_1, y_2, \ldots , y_m)$ is represented by a binary string of 0/1 bits of length $m$. At initial iteration/generation $N$ individual points, $y^l, l = 1, \ldots , N,$ in a population are randomly generated [19], [20]. We note that the maximum population size $N$ of binary strings of 0/1 bits of length $m$ is $2^m$.

When the locations of facilities to be opened are determined, i.e., after initializing a current point $y^l$, the optional connection of customers will be obtained easily. Indeed, each customer $j$ is connected by the facility opened at location $k$ (with bit 1) whose delivery cost $c_{kj}$ is minimal ($k = \arg \min_{i=1,\ldots,m} \{c_{ij}\}$). Then $x^l_{kj} = 1$ and $x^l_{ij} = 0, i = 1, \ldots , m; i \neq k$. Then, the objective function $z(x^l, y^l)$ is evaluated and this is the facility location decision that should be done optimally.

A. Generating Trial Points in S-bAFSA

After initializing current points $y^l, l = 1, \ldots , N$ and connecting customers to opened facilities $x^l$, crossover and mutation are performed to create trial points, $v^l$ based on $y^l$ in successive iterations by using the fish behavior of random, searching and chasing. We introduce the probabilities $0 < \tau_1 < \tau_2 < 1$ in order to perform the movements of random, searching and chasing. The fish behavior in S-bAFSA that create the trial points are outlined as follows.

The random behavior is implemented when a uniformly distributed random number $\text{rand}(0,1)$ is less than or equal to $\tau_1$. In this behavior the trial point $v^l$ is created by randomly setting 0/1 bits of length $m$.

The chasing behavior is implemented when $\text{rand}(0,1) > \tau_2$ and it is related to the movement towards the best point
found so far in the population, \( y^{\text{best}} \). Here, the trial point \( v^l \) is created using a uniform crossover between \( y^l \) and \( y^{\text{best}} \). In uniform crossover, each bit of the trial point is created by copying the corresponding bit from one or the other current point with equal probability.

The searching behavior is related to the movement towards a point \( y^{\text{rand}} \) where ‘rand’ is an index randomly chosen from the set \( \{1, 2, \ldots, N\} \). This behavior is implemented in S-bAFSA when \( \tau_3 < \text{rand}(0,1) < \tau_2 \). A uniform crossover between \( y^l \) and \( y^{\text{rand}} \) is performed to create the trial point \( v^l \).

In S-bAFSA, the three fish behavior previously described are implemented to create \( N - 1 \) trial points; the best point \( y^{\text{best}} \) is treated separately. A mutation is performed in the point \( y^{\text{best}} \) to create the corresponding trial point \( v \). In mutation, a 4-flip bit operation is performed, i.e., four positions are randomly selected and the bits of the corresponding positions are changed from 0 to 1 or vice versa.

After creating the trial point \( v^l \), the optimal connection of customers corresponding to this \( v^l \) (opened facility), \( u^l \), is done according to the procedure described above for \( l = 1, \ldots, N \) and then the objective function is evaluated.

\section*{B. Selection of the New Population}

At each iteration, each trial point \( v^l \) and corresponding \( u^l \) competes with the current point \( y^l \) and corresponding \( x^l \), in order to decide which one should become a member of the population in the next iteration. Hence, if \( z(u^l, v^l) \leq z(x^l, y^l) \), then the trial point becomes a member of the population in the next iteration, otherwise the current point is preserved to the next iteration.

\section*{C. Local Search}

A local search is often important to improve a current solution. It searches for a better solution in the neighborhood of the current solution. If such solution is found then it replaces the current solution. In S-bAFSA, we implement a simple local search based on swap move [17] after the selection procedure. In this local search, the swap move changes the value of a 0 bit of a current point to 1 and simultaneously another 1 bit to 0, so that the total number of opened facilities does not change. Here, the local search method has two parameters: \( N_{\text{loc}} := \max(\tau_3 N, \tau_3 \in (0,1)) \), the number of current points selected randomly from the population to perform local search and \( m_{\text{swap}} := \tau_4 N_{\text{loc}} \) (number of 0 bits in a current point, \( y^l \), \( \tau_4 \in (0,1) \)), the number of positions selected randomly in a point to perform the swap move. After performing the local search, the new optimal connection of customers to the new opened facilities is made.

Then the new points become members of the population if they improve the objective function value with respect to the corresponding current points.

The pseudocode of the local search used in S-bAFSA is shown in Algorithm 1.

\section*{D. Reinitialization of the Population}

While testing bAFSA [19], it was noticed that, in some cases, the points in a population converged to a non-optimal point. To diversify the search, we propose to reinitialize the population randomly, every \( R \) iterations keeping the best solution found so far. In practical terms, this technique has greatly improved the quality of the solutions.

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\begin{algorithm}
\caption{Local search}
\begin{algorithmic}
\Require the values of parameters \( \tau_3 \) and \( \tau_4 \)
\State 1: Compute \( N_{\text{loc}} := \max(\tau_3 N, \tau_3 \in (0,1)) \)
\State 2: Randomly select \( m_{\text{swap}} := \tau_4 N_{\text{loc}} \) from current population
\For {\( r = 1 \) to \( \tau_4 N_{\text{loc}} \)}
\State 3: Set \( y^r := x^r \) and compute \( N_{\text{loc}} \)
\State 4: Compute \( m_{\text{swap}} := \max(\tau_4 N_{\text{loc}}) \)
\State 5: if \( m_{\text{swap}} > 0 \) then
\State 6: for \( i = 1 \) to \( m_{\text{swap}} \) do
\State 7: Perform swap move on \( s^i \) to create \( s^{i'} \)
\State 8: Determine optimal connection of \( s^{i'}, s^{i'} \), and set \( \tau_{gb} := z(s^{i'}, s^{i'}) \)
\State 9: if \( \tau_{gb} < \tau_3 \) then
\State 10: Set \( s^{i'} := s^{i'} \) and replace corresponding connection and objective function value
\State 11: end if
\State 12: end for
\State 13: end if
\State 14: end for
\State 15: end for
\end{algorithmic}
\end{algorithm}

\begin{algorithm}
\caption{S-bAFSA}
\begin{algorithmic}
\Require \( T_{\text{max}} \) and \( z_{\text{opt}} \) and other values of parameters \( l \): \( l := 1 \)
\State 2: Initialize population \( y^l \), \( l = 1, 2, \ldots, N \)
\State 3: Determine optimal connection, evaluate them and identify \( (x^l, y^l) \) and \( z_{\text{best}} \)
\State 4: while ‘termination conditions are not met’ do
\State 5: if \( \text{MOD}(t, R) = 0 \) then
\State 6: Reinitialize population \( y^l \), \( l = 1, 2, \ldots, N - 1 \)
\State 7: Determine optimal connection, evaluate them and identify \( (x^l, y^l) \) and \( z_{\text{best}} \)
\State 8: end if
\State 9: if \( l = 1 \) to \( N \) do
\State 10: Perform 4-flip bit mutation to create trial point \( v^l \)
\State 11: if \( l = \text{best} \) then
\State 12: Perform swap behavior to create trial point \( v^l \)
\State 13: Perform chosing behavior to create trial point \( v^l \)
\State 14: if \( \text{rand}(0,1) > \tau_3 \) then
\State 15: Perform swap behavior to create trial point \( v^l \)
\State 16: end if
\State 17: Perform searching behavior to create trial point \( v^l \)
\State 18: end if
\State 19: end if
\State 20: end for
\State 21: Determine optimal connection \( u^l \) for \( v^l \), \( l = 1, 2, \ldots, N \) and evaluate them
\State 22: Select the population of next iteration \( (x^l, y^l) \), \( l = 1, 2, \ldots, N \)
\State 23: Perform local search
\State 24: Identify \( (x^l, y^l) \) and \( z_{\text{best}} \)
\State 25: Set \( t := t + 1 \)
\State 26: end while
\end{algorithmic}
\end{algorithm}
III. EXPERIMENTAL RESULTS

We code S-bAFSA in C and compile with Microsoft Visual Studio 10.0 compiler in a PC having 2.5 GHz Intel Core 2 Duo processor and 4 GB RAM. We consider 15 benchmark uncapacitated facility location problems available in OR-Library [21]. Among them, Cap71–Cap74 are small size problems, Cap101–Cap104 and Cap131–Cap134 are medium size problems and the other three Capa–Capc are large size problems. It is worth mentioning that the names of the problems are the originally used in OR-Library. We set \( N = 100 \), \( T_{\text{max}} = 1000 \) and \( \epsilon = 10^{-4} \). We set \( R = 100 \) for the reinitialization of the population and \( \tau_1 = 0.1, \tau_2 = 0.9, \tau_3 = 0.1 \) and \( \tau_4 = 0.25 \) after performing several experiments. Thirty independent runs were carried out with each problem.

Firstly, we compare S-bAFSA with two binary versions of the modified differential evolution algorithm (mDE) presented in [22]. The differential evolution algorithm was originally presented in [23] to solve continuous global optimization problems. In [22], a modified mutation is presented. First a linear convex combination of two mutant points is implemented: one comes from the usual DE/rand/1 strategy and the other from a DE/rand/1 case where the base point is found so far cyclically used as the base point to create the best point at those iterations. The two binary versions of the mDE are herein denoted by mDE1 and mDE2. In mDE1, current points in a population are initialized randomly by setting 0/1 bits and mutation is performed according to [22]. After performing mutation, the continuous components of a point are transformed into 0/1 bits of a binary string according to the procedure described in [24]. This procedure determines the probabilities of components in a continuous point. These probabilities are then taken into account to transform a continuous point into a binary string. Suppose, \( g_i, i = 1, \ldots, m \) is a continuous point; then each component \( g_i \) is transformed into \( y_i \) in the following way

\[
y_i = \begin{cases} 
1 & \text{if } \text{rand}(0,1) < \text{sig}(g_i) \\
0 & \text{otherwise},
\end{cases}
\]

where \( \text{sig}(g_i) \) is the sigmoid limiting function expressed by

\[
\text{sig}(g_i) = \frac{1}{1 + e^{-g_i}}.
\]

On the other hand, in mDE2, current points are initialized within the bounds \((0,10.0)\) and mutation is performed accordingly. Then the continuous current points and mutant points are transformed into binary strings of 0/1 bits according to the transformation procedure described in [18]. The therein presented procedure transforms each component \( g_i \) of a continuous point into \( y_i \), for \( i = 1, \ldots, m \) in the following way

\[
y_i = \lfloor |g_i \mod 2| \rfloor
\]

where \( \lfloor \cdot \rfloor \) represents the floor function. All the other steps of the mDE algorithm are performed similarly to those described in [22].

We also code variants mDE1 and mDE2 in C. We also set \( N = 100 \), \( T_{\text{max}} = 1000 \) and \( \epsilon = 10^{-4} \). Other values of the parameters are set according to [22]. Here, 30 independent runs were also carried out. The comparative results are shown in Table I. The performance criteria among 30 runs are:

- the average percentage deviation to optimality, ‘APD’;
- the average computational time (in seconds), ‘AT’;
- the number of successful runs, ‘Nsr’.

In a run if the algorithm finds the optimal solution (or near optimal according to an error tolerance) of a test problem, then the run is considered to be a successful run. The ‘APD’ is defined by

\[
\text{APD} = \frac{1}{30} \sum_{i=1}^{30} \left( \frac{z_i^{\text{best}} - z_{\text{opt}}}{z_{\text{opt}}} \times 100 \right),
\]

where \( z_i^{\text{best}} \) is the \( i \)th best solution among 30 runs. From the table it is observed that the S-bAFSA outperforms mDE1 and mDE2 with respect to all performance criteria. The last column of the table shows the best time (in seconds), ‘BT’, to find the optimal solution among 30 runs of a given test problem by using S-bAFSA.

Finally, we compare S-bAFSA with PSO\(_{LS}\) (PSO with local search), DisDE and DisABC described in [18], [16], [17], respectively. The comparative results of PSO\(_{LS}\), DisDE

<table>
<thead>
<tr>
<th>Prob.</th>
<th>( m \times n )</th>
<th>mDE1</th>
<th>mDE2</th>
<th>S-bAFSA</th>
</tr>
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<tbody>
<tr>
<td>Cap71</td>
<td>16 \times 50</td>
<td>0.00</td>
<td>0.017</td>
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</tr>
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<tr>
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<td>16 \times 50</td>
<td>0.00</td>
<td>0.029</td>
<td>30</td>
</tr>
<tr>
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<td>25 \times 50</td>
<td>0.00</td>
<td>0.117</td>
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</tr>
<tr>
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<td>25 \times 50</td>
<td>0.00</td>
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</tr>
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</tr>
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<tr>
<td>Cap133</td>
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<tr>
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<td>1.664</td>
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</table>
and DisABC are shown in Table II and are taken from respective literatures. The binary version PSO\textsubscript{LS} for solving the UFLP (1) generates continuous initial positions and velocities within the bounds (-10.0, +10.0) and (-4.0, +4.0), respectively. Then the continuous position points are transformed into binary position points according to (3). PSO\textsubscript{LS} also has a local search embedded into PSO to be able to produce more satisfactory solutions [18]. The algorithm performs a maximum of 250 main iterations. However, at each iteration the local search applies a flip operator as long as it gets better solutions. The execution time reported in Table II (adopted directly from [18]) corresponds to the time “...obtained when the best value is got over 250 iterations for PSO\textsubscript{LS}” [18].

Both DisDE and DisABC rely on a measure of dissimilarity between binary vectors to be able to use problem structure-based heuristics to construct a new solution in binary space. They are also hybridized with a local search that uses a neighborhood structure based on swap moves. The results of DisDE and DisABC, reported in Table II, correspond to the scheme where $N_{\text{local}}$ solutions are generated and evaluated during the local search phase that is called with a certain probability $p_{\text{local}}$. In DisDE, $N_{\text{local}} = 50$ and $p_{\text{local}} = 0.01$ and in DisABC $N_{\text{local}} = 100$ and $p_{\text{local}} = 0.02$.

From Table I and Table II, we may conclude that, based on ‘APD’ and ‘Nsr’, S-bAFSA gives competitive performance except with the problems Capb and Capc. Based on ‘AT’, S-bAFSA gives better performance than those of DisDE and DisABC; and based on ‘BT’, S-bAFSA also gives better performance than that of PSO\textsubscript{LS}. However, we observe that PSO\textsubscript{LS} and DisABC show better performances than PSO\textsubscript{LS} and DisABC when comparing ‘APD’. We may conclude from these experiments and Table I that S-bAFSA gives very good minimum computational time to find the optimal solution (or near optimal according to an error tolerance) among 30 runs. It should be noted that the computational time depends on the machine used.

### IV. Conclusion

In this paper, a simplified binary version of the artificial fish swarm algorithm, denoted by S-bAFSA, for solving the uncapacitated facility location problems has been presented. In S-bAFSA, random, searching and chasing behavior are used for the movement of the points according to two target probability values. To create the trial points, crossover and mutation are implemented. To enhance the search for an optimal solution, a swap move local search and a cyclic reinitialization of the population are also implemented. After determining the opened facilities at candidate locations the optimal connection of customers to the opened facilities have been presented. Numerical experiments with a set of well-known benchmark UFLP show that the presented method could be an alternative population-based solution method.

Here, a preliminary study of the presented S-bAFSA has been shown. We did not show the effects of different values of parameters setting. In future, we will address these issues and will focus on techniques to accelerate the algorithm and reduce computational time as well. Then other binary problems will be considered for solving efficiently using S-bAFSA.

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