

Markus Stumptner  
Dan Corbett  
Mike Brooks (Eds.)

LNAI 2256

# AI 2001: Advances in Artificial Intelligence

**14th Australian Joint Conference on Artificial Intelligence  
Adelaide, Australia, December 2001  
Proceedings**



Springer

TP18-53  
A791.9  
2001

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E200402011



Springer

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Cataloging-in-Publication Data applied for

Die Deutsche Bibliothek - CIP-Einheitsaufnahme

Advances in artificial intelligence : proceedings / AI 2001, 14th Australian  
Joint Conference on Artificial Intelligence, Adelaide, Australia, December  
10 - 14, 2001. Markus Stumptner ... (ed.). - Berlin ; Heidelberg ; New York ;  
Barcelona ; Hong Kong ; London ; Milan ; Paris ; Tokyo : Springer, 2001  
(Lecture notes in computer science ; 2256 : Lecture notes in artificial  
intelligence)

ISBN 3-540-42960-3

CR Subject Classification (1998): I.2, F.1, F.4.1

ISBN 3-540-42960-3 Springer-Verlag Berlin Heidelberg New York

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Printed in Germany

Typesetting: Camera-ready by author  
Printed on acid-free paper SPIN: 10846026 06/3142 5 4 3 2 1 0

# Lecture Notes in Artificial Intelligence

2256

Subseries of Lecture Notes in Computer Science

Edited by J. G. Carbonell and J. Siekmann

Lecture Notes in Computer Science

Edited by G. Goos, J. Hartmanis, and J. van Leeuwen

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## Preface

This volume contains the proceedings of AI 2001, the 14th Australian Joint Conference on Artificial Intelligence. The aim of this conference series is to support the Australian artificial intelligence community with a forum for discussion and presentation. As before, this conference not only brought together a great deal of Australian AI research, but also attracted widespread international interest.

The conference this year saw an impressive array of about 110 submitted papers from no fewer than 16 countries. Full-length versions of all submitted papers were refereed by the international program committee. As a result, these proceedings contain 55 papers not just from Australia, but also Canada, France, Germany, The Netherlands, Japan, Korea, New Zealand, and the UK and USA.

The conference also comprised a tutorial program and several workshops, and featured five invited speakers on theoretical, philosophical, and applied topics: Didier Dubois of the Université Paul Sabatier, James Hendler of the University of Maryland, Liz Sonenberg of the University of Melbourne, Peter Struss of OCC'M Software and TU Munich, and Alex Zelinsky of the Australian National University.

We extend our thanks to the members of the program committee who processed a large review workload under tight time constraints. We especially thank our host, Professor Robin King, Pro Vice Chancellor of the Division of Information Technology, Engineering, and the Environment at UniSA, for providing infrastructure and financial support. We are also grateful to the US Air Force Office of Scientific Research, Asian Office of Aerospace Research and Development, and the Commonwealth Defence Science and Technology Organisation for their financial support. Finally we would like to thank all those who contributed to the conference organization, without their help the conference could not have taken place.

December 2001

Dan Corbett  
Markus Stumptner

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# Table of Contents

## Papers

A Memetic Pareto Evolutionary Approach to Artificial Neural Networks <i>Hussein A. Abbass</i> .....	1
Relating Defeasible and Default Logic <i>Grigoris Antoniou, David Billington</i> .....	13
Resolving Minsky's Paradox: The $d$ -Dimensional Normal Distribution Case <i>Luis Rueda, B. John Oommen</i> .....	25
Solving Overconstrained Temporal Reasoning Problems <i>Matthew Beaumont, Abdul Sattar, Michael Maher, John Thornton</i> .....	37
How the Level of Interchangeability Embedded in a Finite Constraint Satisfaction Problem Affects the Performance of Search <i>Amy M. Beckwith, Berthe Y. Choueiry, Hui Zou</i> .....	50
Towards Learning Naive Physics by Visual Observation: Qualitative Spatial Representations <i>Paul A. Boxer</i> .....	62
Phased Array Sub-beam Optimisation <i>N. J. Bracken, R. I. McKay</i> .....	71
Generation of Facial Expressions from Emotion Using a Fuzzy Rule-Based System <i>The Duy Bui, Dirk Heylen, Mannes Poel, Anton Nijholt</i> .....	83
An Efficient Form Classification Method Using Partial Matching <i>Yungcheol Byun, Sungsoo Yoon, Yeongwoo Choi, Gyeonghwan Kim, Yillbyung Lee</i> .	95
Gradient Descent Style Leveraging of Decision Trees and Stumps for Misclassification Cost Performance <i>Mike Cameron-Jones</i> .....	107
Postdiction problems in Dynamic Logic <i>Samir Chopra, Dongmo Zhang</i> .....	119
A Method for Reasoning with Ontologies Represented as Conceptual Graphs <i>Dan Corbett</i> .....	130
Selection of Tasks and Delegation of Responsibility in a Multiagent System for Emergent Process Management <i>John Debenham</i> .....	142
State Minimization Re-visited <i>Norman Foo, Abhaya Nayak, Maurice Pagnucco, Dongmo Zhang</i> .....	153

Decidability of Quantified Propositional Branching Time Logics <i>Tim French</i> .....	165
Improved Techniques for an Iris Recognition System with High Performance <i>Gyundo Kee, Yungcheol Byun, Kwanyong Lee, Yillbyung Lee</i> .....	177
An Investigation of an Adaptive Poker Player <i>Graham Kendall, Mark Willdig</i> .....	189
Acquiring Adaptation Knowledge for CBR with MIKAS <i>Abdus Salam Khan, Achim Hoffmann</i> .....	201
A Real-Time Region-Based Motion Segmentation and Tracking Using Adaptive Thresholding and K-means Clustering <i>Jong Bae Kim, Hye Sun Park, Min Ho Park, Hang Joon Kim</i> .....	213
Automatic Cell Classification in Human's Peripheral Blood Images Based on Morphological Image Processing <i>Kyungsu Kim, Jeonghee Jeon, Wankyoo Choi, Pankoo Kim, Yo-Sung Ho</i> .....	225
Formal Concept Analysis for Domain-Specific Document Retrieval Systems <i>Mihye Kim, Paul Compton</i> .....	237
Learner's Self-Assessment: A Case Study of SVM for Information Retrieval <i>Adam Kowalczyk, Bhavani Raskutti</i> .....	249
A Semiotic Model of Communication and Its Implications for the Digital City Development <i>Victor V. Kryssanov, Masayuki Okabe, Koh Kakusho, Michihiko Minoh</i> .....	261
Simulations for Comparing Knowledge Acquisition and Machine Learning <i>Achim Hoffmann, Rex Kwok, Paul Compton</i> .....	273
Application of Genetic Algorithms to the Optimisation of Neural Network Configuration for Stock Market Forecasting <i>Daniel Hulme, Shuxiang Xu</i> .....	285
Updating Epistemic States <i>Jérôme Lang, Pierre Marquis, Mary-Anne Williams</i> .....	297
Fast Text Classification Using Sequential Sampling Processes <i>Michael D. Lee</i> .....	309
Agents in a Multi-cultural World: Towards Ontological Reconciliation <i>Kendall Lister, Leon Sterling</i> .....	321
Logical Foundations for Reasoning about Trust in Secure Digital Communication <i>Chuchang Liu</i> .....	333
Phe-Q : A Pheromone Based Q-Learning <i>Ndedi Monekosso, Paolo Remagnino</i> .....	345

Specification of Kansei Patterns in an Adaptive Perceptual Space <i>Tomoko Murakami, Ryohei Orihara, Naomichi Sueda</i> .....	356
Embodying the JACK Agent Architecture <i>Emma Norling, Frank E. Ritter</i> .....	368
Towards an Ontology of Part-of <i>Chris Nowak, Richard Raban</i> .....	378
Actions Made Explicit in BDI <i>Vineet Padmanabhan, Guido Governatori, Abdul Sattar</i> .....	390
Wrapping Boosters against Noise <i>Bernhard Pfahringer, Geoffrey Holmes, Gabi Schmidberger</i> .....	402
Continuous Temporal Models <i>Mark Reynolds</i> .....	414
Language and Commonsense Knowledge <i>Walid S. Saba</i> .....	426
Simulation of Network Security with Collaboration among IDS Models <i>Hee Suk Seo, Tae Ho Cho</i> .....	438
Programming Spoken Dialogs Using Grammatical Inference <i>Bradford Starkie</i> .....	449
Towards Genetic Programming for Texture Classification <i>Andy Song, Thomas Loveard, Vic Ciesielski</i> .....	461
Using Design Information to Identify Structural Software Faults <i>Markus Stumptner</i> .....	473
The Application of AI to Automatically Generated Animation <i>Adam Szarowicz, Juan Amiguet-Vercher, Peter Forte, Jonathon Briggs Petros Gelepithis, Paolo Remagnino</i> .....	487
Planning with Noisy Actions (Preliminary Report) <i>Michael Thielscher</i> .....	495
Getting the Job Done in a Hostile Environment <i>Steven Versteeg, Alan Blair</i> .....	507
Solving the Qualification Problem (In the Presence of the Frame Problem) <i>Quoc Bao Vo, Norman Y. Foo</i> .....	519
Dialogue Modeling for a Conversational Agent <i>Peter Wallis, Helen Mitchard, Jyotsna Das, Damian O'Dea</i> .....	532
Candidate Elimination Criteria for Lazy Bayesian Rules <i>Geoffrey I. Webb</i> .....	545

Simplifying the Development of Intelligent Agents <i>Michael Winikoff, Lin Padgham, James Harland</i> .....	557
An Operational Semantics for a PRS-like Agent Architecture <i>Wayne Wobcke</i> .....	569
A Model for Unconstrained Digit Recognition Based on Hypothesis Testing and Data Reconstruction <i>Sungsoo Yoon, Yungcheol Byun, Gyeonghwan Kim, Yeongwoo Choi</i> <i>Yillbyung Lee</i> .....	581
Collecting Quality Data for Database Mining <i>Chengqi Zhang, Shichao Zhang</i> .....	593
Further Pruning for Efficient Association Rule Discovery <i>Songmao Zhang, Geoffrey I. Webb</i> .....	605
Pattern Discovery in Probabilistic Databases <i>Shichao Zhang, Chengqi Zhang</i> .....	619
The Complexity of Logic Program Updates <i>Yan Zhang</i> .....	631
Reasoning with Multimedia Information Using Symbolic Projection <i>Zili Zhang, Chengqi Zhang</i> .....	643
<b>Invited Contribution</b>	
Confidence Relations as a Basis for Uncertainty Modeling, Plausible Reasoning, and Belief Revision <i>Didier Dubois</i> .....	655
<b>Author Index</b> .....	665

# A Memetic Pareto Evolutionary Approach to Artificial Neural Networks

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**Abstract.** *Evolutionary Artificial Neural Networks* (EANN) have been a focus of research in the areas of *Evolutionary Algorithms* (EA) and *Artificial Neural Networks* (ANN) for the last decade. In this paper, we present an EANN approach based on pareto multi-objective optimization and differential evolution augmented with local search. We call the approach *Memetic Pareto Artificial Neural Networks* (MPANN). We show empirically that MPANN is capable to overcome the slow training of traditional EANN with equivalent or better generalization.

**Keywords:** neural networks, genetic algorithms

## 1 Introduction

*Evolutionary Artificial Neural Networks* (EANNs) have been a key research area for the last decade. On the one hand, methods and techniques have been developed to find better approaches for evolving *Artificial Neural Networks* and more precisely - for the sake of our paper - Multi-layer feed-forward *Artificial Neural Networks* (ANNs). On the other hand, finding a good ANNs' architecture has been an issue as well in the field of ANNs. Methods for network growing (such as Cascade Correlation [4]) and for network pruning (such as Optimal Brain Damage [14]) have been used to overcome the long process for determining a good network architecture. However, all these methods still suffer from their slow convergence and long training time. In addition, they are based on gradient-based techniques and therefore can easily stuck in a local minimum. EANNs provide a better platform for optimizing both the network performance and architecture simultaneously. Unfortunately, all of the research undertaken in the EANN literature ignores the fact that there is always a trade-off between the architecture and the generalization ability of the network. A network with more hidden units may perform better on the training set, but may not generalize well on the test set. This trade-off is a well known problem in *Optimization* known as the Multi-objective Optimization Problem (MOP).

With the trade-off between the network architecture - taken in this paper to be the number of hidden units - and the generalization error, the EANN problem is in effect a MOP. It is, therefore, natural to raise the question of why not applying a multi-objective approach to EANN.

The objective of this paper is to present a *Memetic (ie. evolutionary algorithms)* (EAs) augmented with local search [18]) Pareto Artificial Neural Networks (MPANN). The rest of the paper is organized as follows: In Section 2, background materials are covered followed by an explanation of the methods in Section 3. Results are discussed in Section 4 and conclusions are drawn in Section 5.

## 2 Background Materials

In this section, we introduce necessary background materials for Multi-objective Optimization, ANNs, *Differential Evolution* (DEs), Evolutionary Multi-objective, and EANN.

### 2.1 Multi-objective Optimization

Consider a *Multi-Objective Optimization Problem* (MOP) model as presented below:-

$$\begin{aligned} & \text{Optimize } F(\mathbf{x}) \\ & \text{subject to: } \Omega = \{\mathbf{x} \in R^n | G(\mathbf{x}) \leq 0\} \end{aligned}$$

Where  $\mathbf{x}$  is a vector of decision variables  $(x_1, \dots, x_n)$  and  $F(\mathbf{x})$  is a vector of objective functions  $(f_1(\mathbf{x}), \dots, f_K(\mathbf{x}))$ . Here  $f_1(\mathbf{x}), \dots, f_K(\mathbf{x})$ , are functions on  $R^n$  and  $\Omega$  is a nonempty set in  $R^n$ . The vector  $G(\mathbf{x})$  represents a set of constraints.

In MOPs, the aim is to find the optimal solution  $\mathbf{x}^* \in \Omega$  which optimize  $F(\mathbf{x})$ . Each objective function,  $f_i(\mathbf{x})$ , is either maximization or minimization. Without any loss of generality, we assume that all objectives are to be minimized for clarity purposes. We may note that any maximization objective can be transformed to a minimization one by multiplying the former by -1.

To define the concept of non-dominated solutions in MOPs, we need to define two operators,  $\not\approx$  and  $\lesssim$  and then assume two vectors,  $\mathbf{x}$  and  $\mathbf{y}$ . We define the first operator as  $\mathbf{x} \not\approx \mathbf{y}$  iff  $\exists x_i \in \mathbf{x}$  and  $y_i \in \mathbf{y}$  such that  $x_i \neq y_i$ . And,  $\mathbf{x} \lesssim \mathbf{y}$  iff  $\forall x_i \in \mathbf{x}$  and  $y_i \in \mathbf{y}, x_i \leq y_i$ , and  $\mathbf{x} \not\approx \mathbf{y}$ . The operators  $\not\approx$  and  $\lesssim$  can be seen as the “not equal to” and “less than or equal to” operators respectively, between two vectors. We can now define the concepts of local and global optimality in MOPs.

**Definition 1: Neighborhood or open ball** The open ball (*ie.* a neighborhood centered on  $\mathbf{x}^*$  and defined by the Euclidean distance)  $B_\delta(\mathbf{x}^*) = \{\mathbf{x} \in R^n | \|\mathbf{x} - \mathbf{x}^*\| < \delta\}$ .

**Definition 2: Local efficient (non-inferior/ pareto-optimal) solution** A vector  $\mathbf{x}^* \in \Omega$  is said to be a local efficient solution of MOP iff  $\nexists \mathbf{x} \in (B_\delta(\mathbf{x}^*) \cap \Omega)$  such that  $F(\mathbf{x}) \lesssim F(\mathbf{x}^*)$  for some positive  $\delta$ .

**Definition 3: Global efficient (non-inferior/ pareto-optimal) solution** A vector  $\mathbf{x}^* \in \Omega$  is said to be a global efficient solution of MOP iff  $\nexists \mathbf{x} \in \Omega$  such that  $F(\mathbf{x}) \lesssim F(\mathbf{x}^*)$ .



**Definition 4: Local non-dominated solution** A vector  $\mathbf{y}^* \in F(\mathbf{x})$  is said to be local non-dominated solution of MOP iff its projection onto the decision space,  $\mathbf{x}^*$ , is a local efficient solution of MOP.

**Definition 5: Global non-dominated solution** A vector  $\mathbf{y}^* \in F(\mathbf{x})$  is said to be global non-dominated solution of MOP iff its projection onto the decision space,  $\mathbf{x}^*$ , is a global efficient solution of MOP.

In this paper, the term “non-dominated solution” is used as a shortcut for the term “local non-dominated solution”.

## 2.2 Artificial Neural Networks

We may define an ANN by a graph:  $G(N, A, \psi)$ , where  $N$  is a set of neurons (also called nodes),  $A$  denotes the connections (also called arcs or synapses) between the neurons, and  $\psi$  represents the learning rule whereby neurons are able to adjust the strengths of their interconnections. A neuron receives its inputs (also called activation) from an external source or from other neurons in the network. It then undertakes some processing on this input and sends the result as an output. The underlying function of a neuron is called the activation function. The activation,  $a$ , is calculated as a weighted sum of the inputs to the node in addition to a constant value called the bias. The bias can be easily augmented to the input set and considered as a constant input. From herein, the following notations will be used for a single hidden layer MLP:

- $I$  and  $H$  are the number of input and hidden units respectively.
- $\mathbf{X}^p \in \mathbf{X} = (x_1^p, x_2^p, \dots, x_I^p), p = 1, \dots, P$ , is the  $p^{\text{th}}$  pattern in the input feature space  $\mathbf{X}$  of dimension  $I$ , and  $P$  is the total number of patterns.
- Without any loss of generality,  $\mathbf{Y}_o^p \in \mathbf{Y}_o$  is the corresponding scalar of pattern  $\mathbf{X}^p$  in the hypothesis space  $\mathbf{Y}_o$ .
- $w_{ih}$  and  $w_{ho}$ , are the weights connecting input unit  $i$ ,  $i = 1 \dots I$ , to hidden unit  $h$ ,  $h = 1 \dots H$ , and hidden unit  $h$  to the output unit  $o$  (where  $o$  is assumed to be 1 in this paper) respectively.
- $\Theta_h(\mathbf{X}^p) = \sigma(a_h)$ ;  $a_h = \sum_{i=0}^I w_{ih}x_i^p$ ,  $h = 1 \dots H$ , is the  $h^{\text{th}}$  hidden unit's output corresponding to the input pattern  $\mathbf{X}^p$ , where  $a_h$  is the activation of hidden unit  $h$ , and  $\sigma(\cdot)$  is the activation function that is taken in this paper to be the logistic function  $\sigma(z) = \frac{1}{1+e^{-Dz}}$ , with  $D$  the function's sharpness or steepness and is taken to be 1 unless it is mentioned otherwise.
- $\hat{Y}_o^p = \sigma(a_o)$ ;  $a_o = \sum_{h=0}^H w_{ho}\Theta_h(\mathbf{X}^p)$  is the network output and  $a_o$  is the activation of output unit  $o$  corresponding to the input pattern  $\mathbf{X}^p$ .

MLPs are in essence non-parametric regression methods which approximate underlying functionality in data by minimizing a risk function. The data are presented to the network and the risk function is approximated empirically  $R_{emp}$  by summing over all data instances as follows:

$$R_{emp}(\alpha) = \sum_{p=1}^P (Y_o^p - \hat{Y}_o^p)^2 \quad (1)$$