

On the performance of Smith's rule in  
single-machine scheduling with nonlinear cost



Wiebke Höhn

Technische Universität Berlin

**NEC** Tobias Jacobs

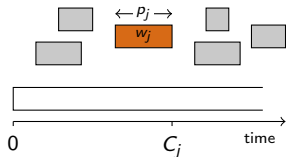
NEC Laboratories Europe

18th Combinatorial Optimization Workshop  
Aussois 2014



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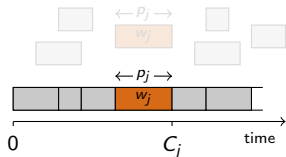
- weight  $w_j > 0$
- processing time  $p_j > 0$





**Given:** jobs  $j = 1, \dots, n$  with

- weight  $w_j > 0$
- processing time  $p_j > 0$



**Task:** compute sequence with minimum cost  $\sum_j w_j f(C_j)$

- $C_j$  completion time of job  $j$
- non-decreasing, non-negative cost function  $f$



- priorities and fairness

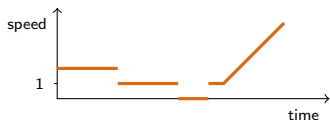
↪  $L_k$ -norms/monomials compromise on worst and average case



- priorities and fairness  
     $\rightsquigarrow L_k$ -norms/monomials compromise on worst and average case
- linear cost  $\sum_j w_j C_j^{(s)}$  but non-uniform speed  $s$

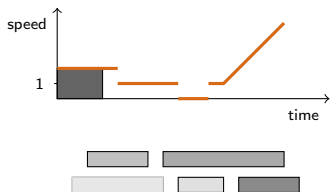


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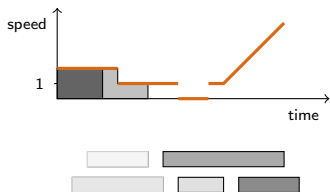


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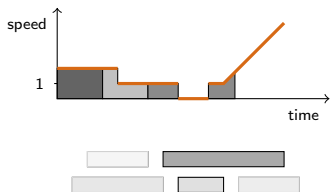
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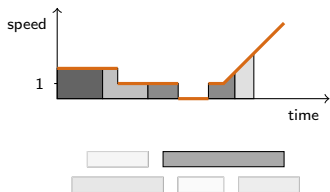


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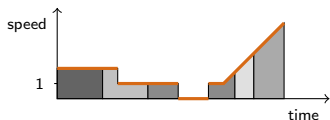


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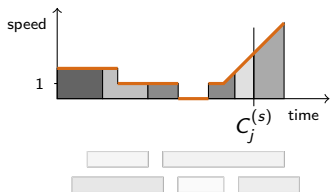


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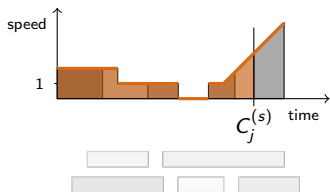


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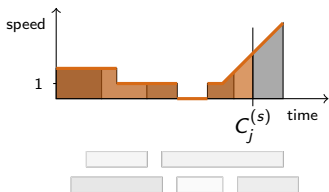
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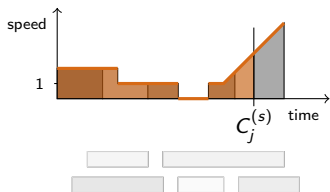
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$$\int_0^{C_j^{(s)}} s(t) dt = \sum_{i \leq j} p_i = C_j^{(1)}$$



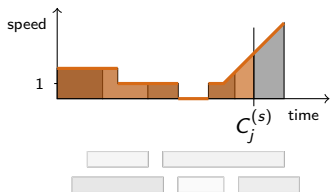
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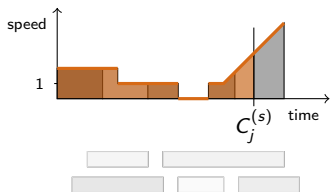
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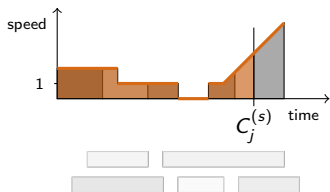
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increasing speed  $s \Leftrightarrow$  concave cost  $f$   
 decreasing speed  $s \Leftrightarrow$  convex cost  $f$



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*Our main focus: convex / concave cost functions*



- 1 Analysis of Smith's rule for convex (and concave) cost
- 2 Exact algorithms for monomials



linear

in  $\mathcal{P}$  [Smith 1956]



linear

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exponential

in  $\mathcal{P}$  [Rothkopf 1966]



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monomials $t^k$		in P / FPTAS ?	(strongly) NP-hard ?

# Related work & complexity status



linear	in P [Smith 1956]		
exponential	in P [Rothkopf 1966]		
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concave		in P / FPTAS ?	(strongly) NP-hard ?
monomials $t^k$		in P / FPTAS ?	(strongly) NP-hard ?
piece-wise linear, const. # pieces	FPTAS [Megow, Verschae '12]	weakly NP-hard [Yuan '92]	



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Schedule jobs in non-increasing order of their density  $\frac{w_j}{p_j}$ .



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## Theorem

The tight approximation ratio of Smith's rule for fixed convex  $f$  is

$$\sup_{0 < q, p} \frac{\int_0^q f(t) dt + p \cdot f(q+p)}{p \cdot f(p) + \int_p^{p+q} f(t) dt} \cdot$$





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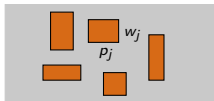
↪ holds with inverse ratio for concave cost function



**Narrow space of worst-case instances for convex cost:**



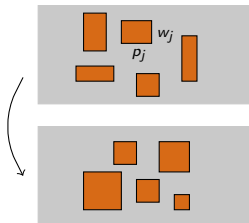
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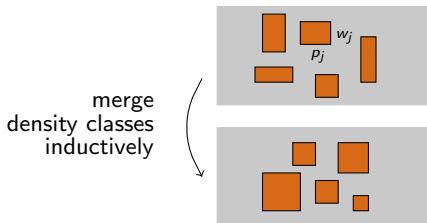


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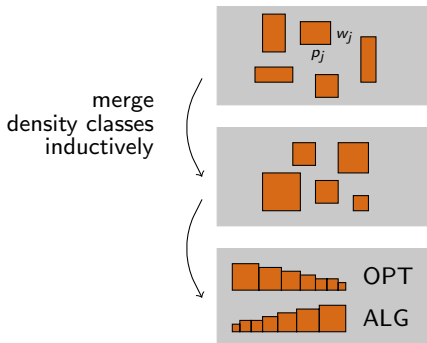


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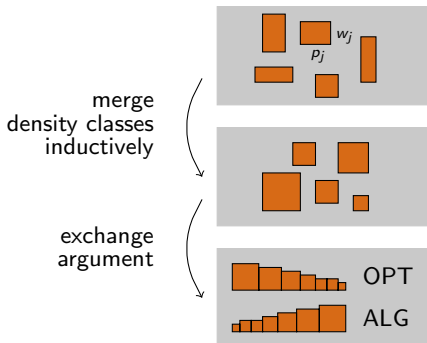


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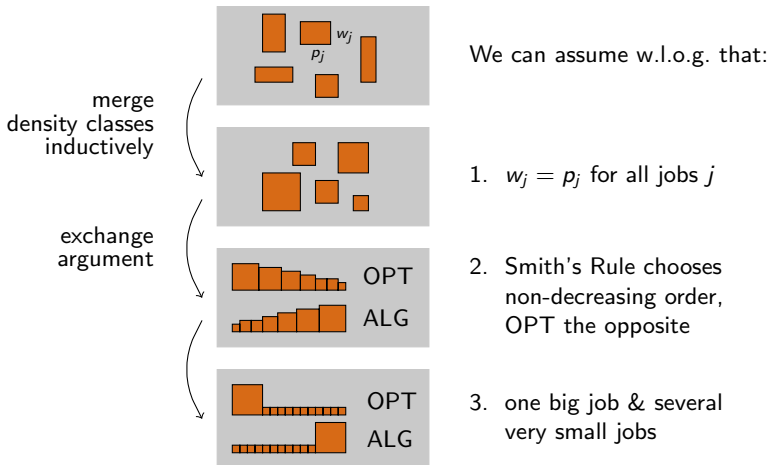


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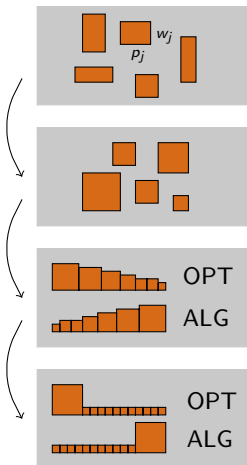
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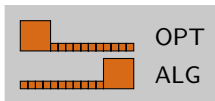
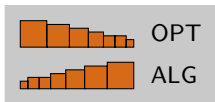
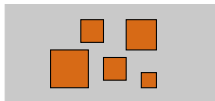
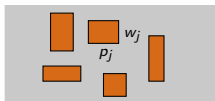
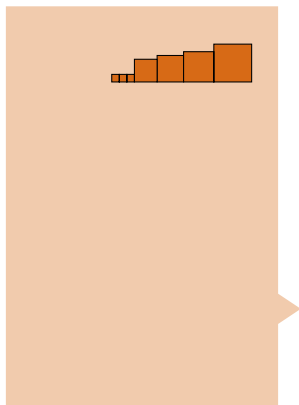


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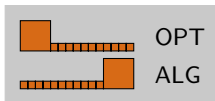
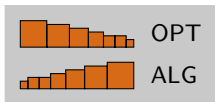
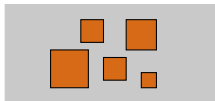
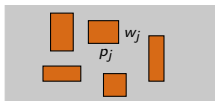
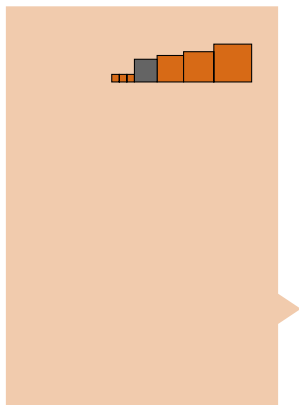


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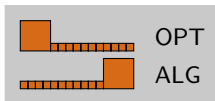
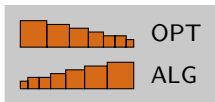
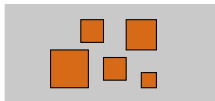
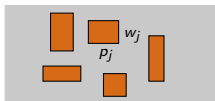
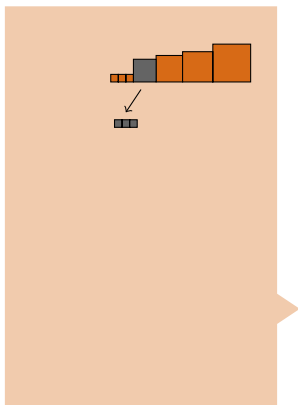


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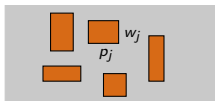
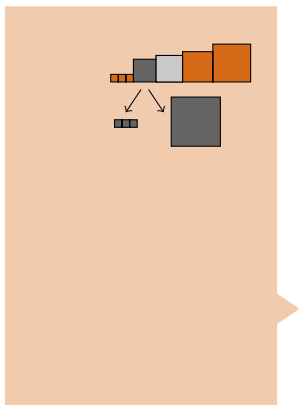


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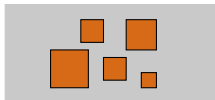
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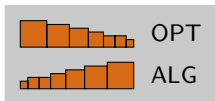
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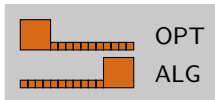
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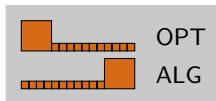
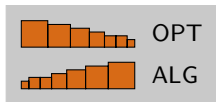
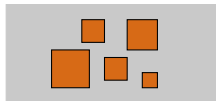
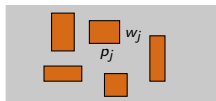
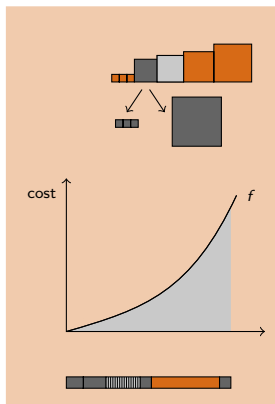
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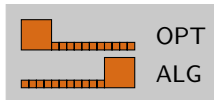
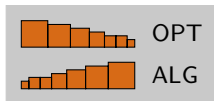
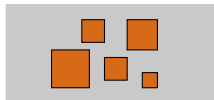
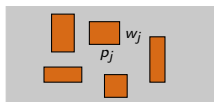
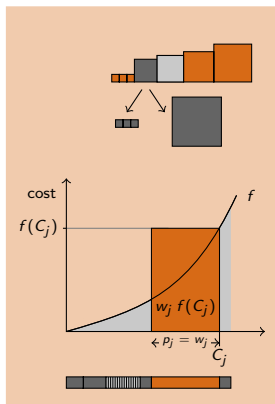


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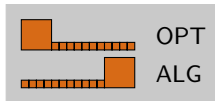
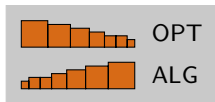
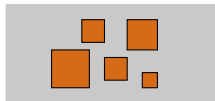
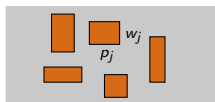
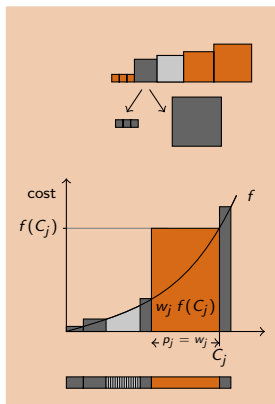


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## Narrow space of worst-case instances for convex cost:



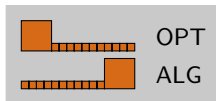
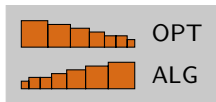
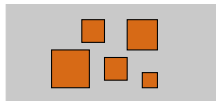
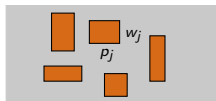
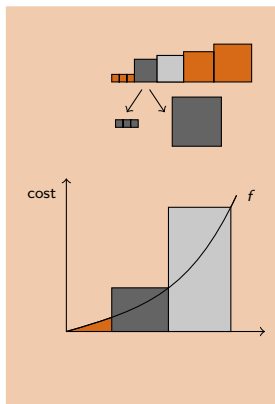
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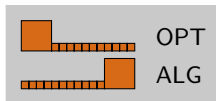
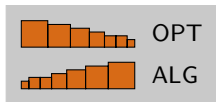
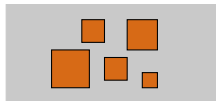
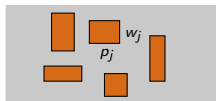
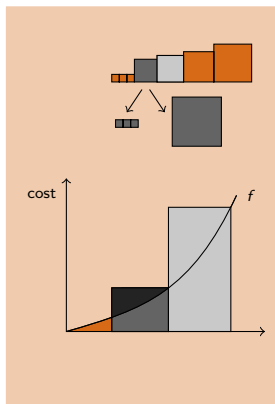


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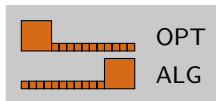
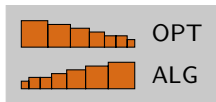
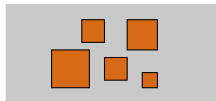
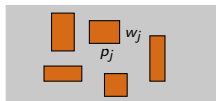
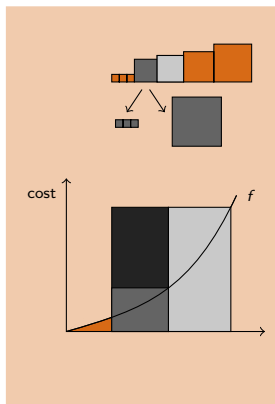


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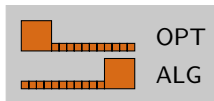
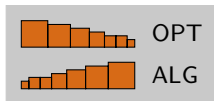
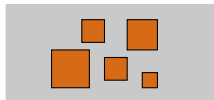
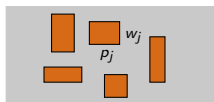
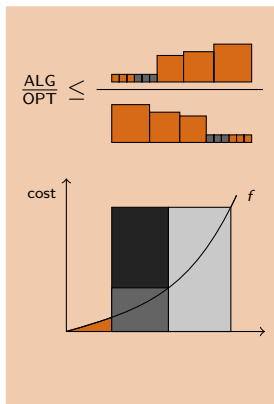


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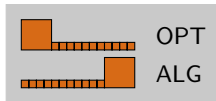
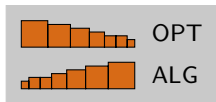
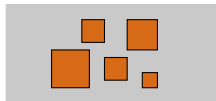
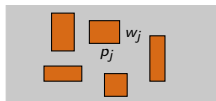
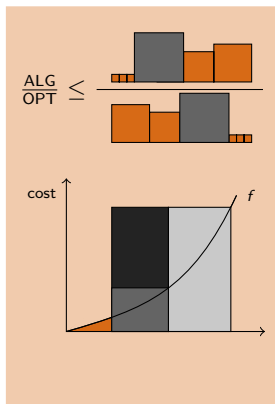


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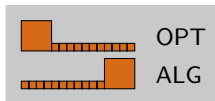
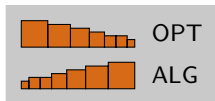
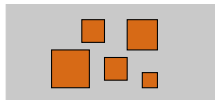
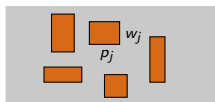
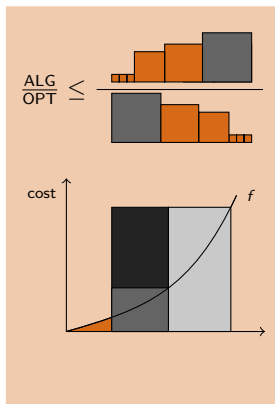


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## Theorem

The tight approximation ratio of Smith's rule for fixed convex  $f$  is

$$\sup_{0 < q, p} \frac{\int_0^q f(t) dt + p \cdot f(q+p)}{p \cdot f(p) + \int_p^{p+q} f(t) dt} \cdot$$



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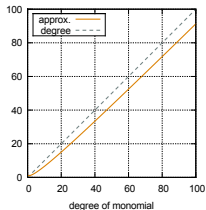
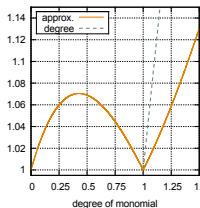
## Corollary

If  $f$  is a polynomial of degree  $k$  with non-negative coefficients then the tight approximation ratio is

$$\alpha_k := \max_{0.5 \leq p < 1} \frac{(1-p)^{k+1} + (k+1)p}{kp^{k+1} + 1} .$$

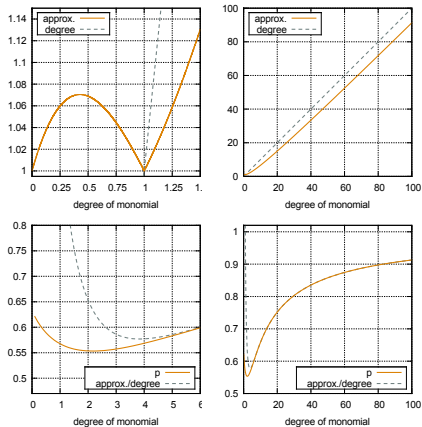


# Tight approximation ratios for polynomials



cost function	ratio
square root	1.07
degree 2 polynomials	1.31
degree 3 polynomials	1.76
degree 4 polynomials	2.31
degree 5 polynomials	2.93
degree 6 polynomials	3.60
degree 10 polynomials	6.58
degree 20 polynomials	15.04
exponential	$\infty$

# Tight approximation ratios for polynomials



**Observation:**  $\frac{\alpha_k}{k} \approx p_k$  (length of big job corresponding to  $\alpha_k$ )



## Theorem

For cost function  $f(t) = t^k$ , the tight approximation factor  $\alpha_k$  of Smith's ruler observes the following for  $k \geq 4$ :

- $\lim_{k \rightarrow \infty} \left( p_k - \sqrt[k+1]{\frac{1}{k^2}} \right) = 0,$



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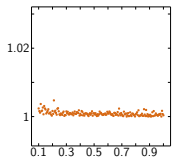
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- $k - \alpha_k \geq \ln k - \frac{1}{2k}.$



**Approximation ratio in experiments:**

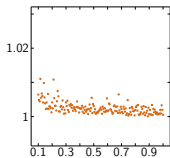


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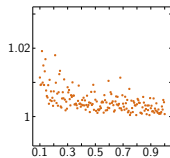
$t^2$

tight ratio 1.31



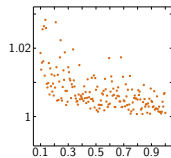
$t^3$

tight ratio 1.76



$t^4$

tight ratio 2.31



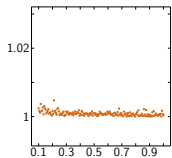
$t^5$

tight ratio 2.93

x-value  $\rightsquigarrow$  correlation of  $w_j$  and  $\rho_j$

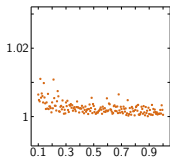


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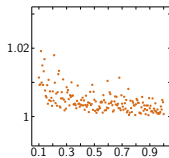
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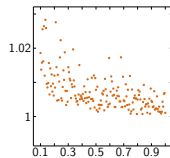
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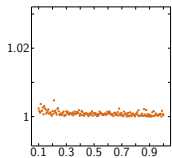
x-value  $\rightsquigarrow$  correlation of  $w_j$  and  $\rho_j$

$\rightsquigarrow$  experimental performance much better than worst-case



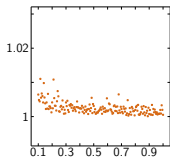


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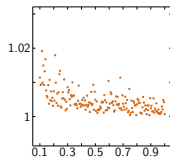
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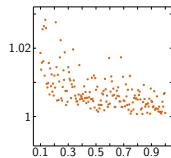
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$x$ -value  $\rightsquigarrow$  correlation of  $w_j$  and  $p_j$

$\rightsquigarrow$  experimental performance much better than worst-case

$\rightsquigarrow$  more realistic analysis for processing times  $1, 2, \dots, p_{\max}$   
and given  $\sum p_j$



## Theorem

The tight approximation ratio of Smith's rule for convex  $f$  and fixed parameters  $p_{\max}$  and  $\sum_j p_j$  is

$$\sup \left\{ \frac{\text{INC}(p, p_{\max}, \sum_j p_j)}{\text{DEC}(p, p_{\max}, \sum_j p_j)} \mid p = 0, 1, 2, \dots, \sum_j p_j \right\} .$$



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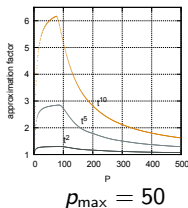
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valuable lower bound for  
exact computations





## Approach proposed for quadratic cost:

- best first graph search based on  $A^*$  [Sen et al. '96, Kaindl et al. '01]



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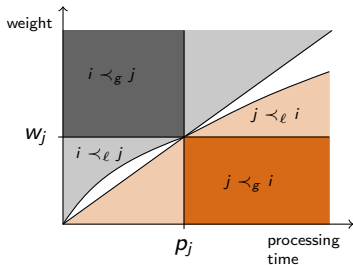
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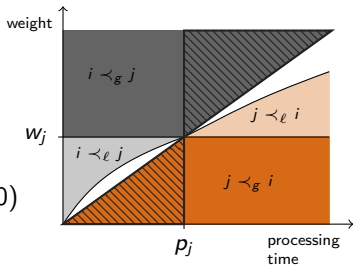




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Conjecture Mondal, Sen (2000)

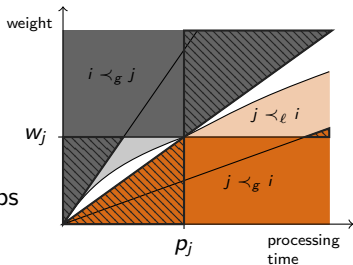




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H., Jacobs

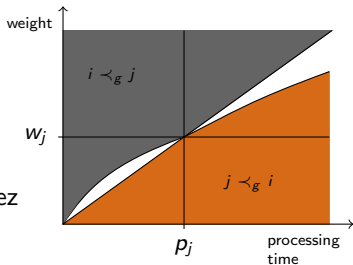




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Dürr, Vasquez

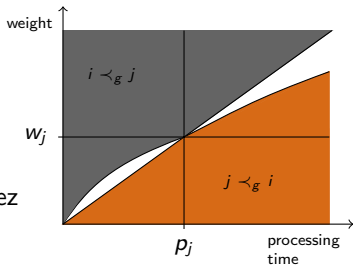




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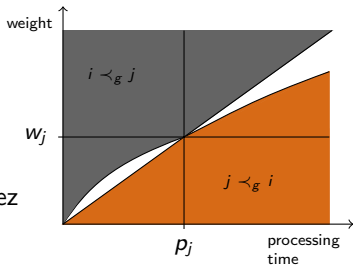
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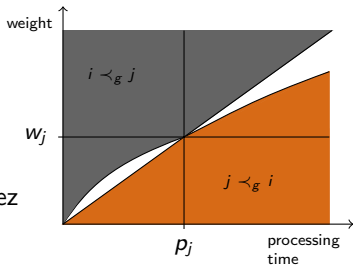
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Dürr, Vasquez



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↪ major numerical problems



**Feasible for monomial cost  $t^k$ :**

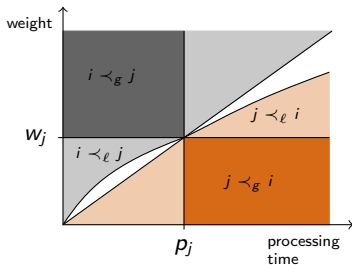
- best first graph search based on  $A^*$





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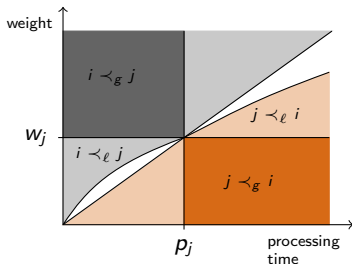
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Constraint programming approach:

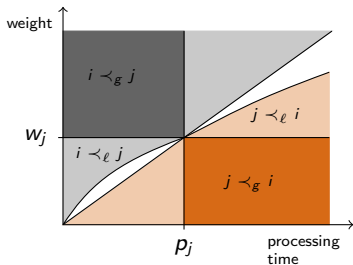
(joint work with Jens Schulz & Daniela Luft)

- start time based formulations with disjunctive constraint and domain propagation (SCIP 2.1.1)



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↳ again major numerical problems (for  $t^2$ ,  $t^3$ ,  $t^4$ )



**Single machine scheduling with weighted convex/concave cost:**



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**Approximation algorithms:**

- tight (parametrized) analysis of Smith's rule



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Thank you!