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## Abstract

We study energy-efficient scheduling across multiple homogeneous processors with a power-down mechanism. In this setting a set of  $n$  jobs with individual release times, deadlines, and processing volumes has to be scheduled across  $m$  homogeneous processors while minimizing the consumed energy. Idle processors can be turned off at no cost to save energy, while turning them on requires a fixed amount of energy. For the special case of a single processor, the greedy Left-to-Right algorithm guarantees an approximation factor of 2. We generalize this simple greedy policy to the case of multiple processors and show that the energy costs are still bounded by  $2\text{OPT} + P$ , where  $P$  is the total processing volume. Our algorithm has a running time of  $\mathcal{O}(Fn \log d)$ , where  $d$  is the difference between the largest deadline and the earliest release time, and  $F$  is the running time required by a maximum-flow calculation for checking feasibility of an instance.

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# 1 Introduction

We study a scheduling setting with a *power-down mechanism* and processors working in parallel. In this setting, a system consisting of multiple homogeneous processors has to process a set of jobs while minimizing the energy consumed. Each job has an individual time interval during which it has to be processed. Idle processors can be turned off so as to save energy, while turning them on requires a fixed amount of energy. Intuitively one aims for few but long idle periods during which it is worthwhile to turn a processor off.

Formally, a problem instance consists of a set  $J$  of jobs with a release time  $r_j$ , deadline  $d_j$ , and processing volume  $p_j$  for every job  $j \in J$ . Each job  $j \in J$  has to be scheduled across  $m \geq 1$  processors for  $p_j$  units of time in the execution interval  $E_j := [r_j, d_j]$  between its release time and its deadline. Preemption of jobs and migration between processors is allowed at discrete times and occurs without delay, but no more than one processor may process any given job at the same time. Without loss of generality, we assume the earliest release time  $r_{\min}$  to be 0 and denote the last deadline by  $d^*$ . The set of discrete time slots is denoted by  $T := \{0, \dots, d^*\}$ . The total amount of processing volume is  $P := \sum_{j \in J} p_j$ .

Every processor is either completely off or completely on in every discrete time slot  $t \in T$ . A processor can only work on some job in the time slot  $t$  if it is in the on-state. A processor can be turned on and off at discrete times without delay. All processors start in the off-state. The objective now is to find a feasible schedule which minimizes the expended energy  $E$ , which is defined as follows. Each processor consumes 1 unit of energy for every timeslot it is in the on-state and 0 units of energy if it is in the off-state. Turning a processor on consumes a constant amount of energy  $q \geq 0$ , which is fixed by the problem instance. In Graham's notation (Graham et al., 1979), this setting can be denoted with  $m \mid r_j; \bar{d}_j; \text{pmtn} \mid E$ .

## 1.1 Busy and Idle Intervals

We say a processor is *busy* at time  $t$  if some job is scheduled on this processor at time  $t$ . Otherwise, the processor is *idle*. Clearly a processor cannot be busy and off at the same time. An interval  $I \subseteq T$  is a (full) *busy interval* on processor  $k \in [m]$  if  $I$  is inclusion maximal on condition that processor  $k$  is busy in every  $t \in I$ . Correspondingly, an interval  $I \subseteq T$  is a *partial busy interval* on processor  $k$  if  $I$  is not inclusion maximal on condition that processor  $k$  is busy in every  $t \in I$ . We define (partial and full) *idle intervals*, *on intervals*, and *off intervals* of a processor analogously via inclusion maximality.

Observe that if a processor is idle for more than  $q$  units of time, it is worth turning the processor off during the corresponding idle interval. Our algorithm will specify for each processor when it is busy and when it is idle. Each processor is then defined to be in the off-state during idle intervals of length greater than  $q$  and otherwise in the on-state.

## 1.2 Lower and Upper Bounds for the Amount of Busy Processors

We specify a generalization of our problem which we call *power-down scheduling with lower and upper bounds*. Where in the original problem, for each time slot  $t$ , between 0 and  $m$  processors were allowed to be working on jobs, i.e. being busy, we now specify a lower bound  $l_t \geq 0$  and an upper bound  $m_t \leq m$ . For a feasible solution to *power-down scheduling with lower and upper bounds*, we require that in every time slot  $t$ , the number of busy processors, which we denote with  $\text{vol}(t)$ , lies within the lower and upper bounds, i.e.  $l_t \leq \text{vol}(t) \leq m_t$ . This generalizes the problem of *deadline-scheduling-on-intervals* introduced by Antoniadis et al. (2020) by additionally introducing lower bounds.

## 1.3 Properties of an Optimal Schedule

**Definition 1.** *Given some arbitrary but fixed order on the number of processors, a schedule  $S$  fulfills the stair-property if it uses the lower numbered processors first, i.e. for every  $t \in T$ , if processor  $k \in [m]$  is busy at  $t$ , then every processor  $k' \leq k$  is busy at  $t$ . This symmetrically implies that if processor  $k \in [m]$  is idle at  $t$ , then every processor  $k' \geq k$  is idle at  $t$ .*

**Lemma 2.** *For every feasible problem instance, there exists an optimal schedule  $S_{\text{opt}}$  which fulfills the stair-property.*

*Proof.* Let  $S$  be an optimal schedule. We transform  $S$  such that it fulfills the stair-property without increasing its costs and while maintaining feasibility. Let  $k, k' \in [m]$  be two processors with  $k' < k$ ,

job  $j \in J$  scheduled on processor  $k$  in time slot  $t \in T$  while  $k'$  is idle in  $t$ . Let  $I$  be the idle interval on processor  $k'$  containing  $t$ . We now move all jobs scheduled on processor  $k$  during  $I$  to be scheduled on processor  $k'$  instead. Since  $I$  is a maximal interval for which processor  $k'$  is idle, this modification does not increase the combined costs of processors  $k'$  and  $k$ . The modification also moves at least job  $j$  from processor  $k$  down to  $k'$  while not moving any job from processor  $k'$  to  $k$ . Jobs are only moved between processor at the same time slot and only to slots of processor  $k'$  which are idle, hence the resulting schedule is still feasible. This modification can be repeated until the schedule has the desired property.  $\square$

From now on, when considering an optimal schedule, we will silently assume that it fulfills the stair property based on Lemma 2.

## 2 Algorithm

The following *Parallel Left-to-Right* (PLTR) algorithm iterates through the processors in some arbitrary but fixed order and keeps the current processor idle for as long as possible such that the scheduling instance remains feasible. Once the current processor cannot be kept idle for any longer, it becomes busy and PLTR keeps it and all lower-numbered processors busy for as long as possible while again maintaining feasibility. The algorithm enforces these restrictions on the busy processors by iteratively making the upper and lower bounds  $m_t, l_t$  of the corresponding instance of *power-down scheduling with lower and upper bounds* more restrictive. Visually, when considering the time slots on an axis from left to right and when stacking the schedules of the individual processors on top of each other, this generalization of the single processor *Left-to-Right* algorithm hence proceeds *Top-Left-to-Bottom-Right*.

Once the algorithm returns, an actual schedule can easily be constructed by running the flow-calculation used for the feasibility check depicted in Figure 1 or just taking the result of the last flow-calculation performed during PLTR. The mapping from this flow to an actual assignment of jobs to processors and time slots can then be defined as described in Lemma 3, which also ensures that the resulting schedule fulfills the stair-property from Definition 1, i.e. that it always uses the lower-numbered processors first.

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### Algorithm 1 Parallel Left-to-Right

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 $m_t \leftarrow m$  for all  $t \in T$ 
 $l_t \leftarrow 0$  for all  $t \in T$ 
for  $k \leftarrow m$  to 1 do
   $t \leftarrow 0$ 
  while  $t \leq d^*$  do
     $t \leftarrow \text{keepIdle}(k, t)$ 
     $t \leftarrow \text{keepBusy}(k, t)$ 

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### Algorithm 2 Subroutines for PLTR

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function keepIdle( $k, t$ )
  search for maximal  $t' > t$  s.t. exists feasible schedule with  $m_{t''} \leftarrow k - 1$  for all  $t'' \in [t, t')$ 
   $m_{t''} \leftarrow k - 1$  for all  $t'' \in [t, t')$ 
  return  $t'$ 

function keepBusy( $k, t$ )
  search for maximal  $t' > t$  s.t. exists feasible schedule with  $l_{t''} \leftarrow \max\{k, l_{t''}\}$  for all  $t'' \in [t, t')$ 
   $l_{t''} \leftarrow \max\{k, l_{t''}\}$  for all  $t'' \in [t, t')$ 
  return  $t'$ 

```

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Is it possible to formulate and format keepBusy and keepIdle nicer?

As we will show in Lemma 3, the feasibility check in subroutines keepIdle and keepBusy can be performed by calculating a maximum  $\alpha$ - $\omega$  flow in the flow network given in Figure 1.

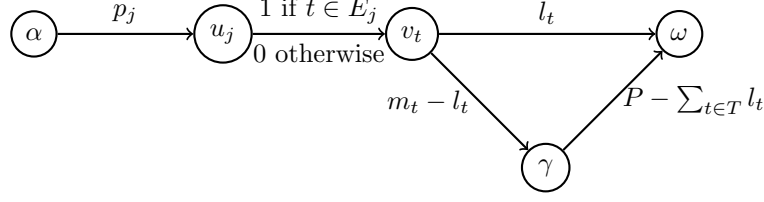


Figure 1: The Flow-Network for checking feasibility of a scheduling instance with lower and upper bounds  $l_t$  and  $m_t$  for the number of busy processors at  $t \in T$ . There is a corresponding node  $u_j$  for every job  $j \in J$  and a node  $v_t$  for every time slot  $t \in T$ .

**Lemma 3.** *There exists a feasible solution to a scheduling instance with lower and upper bounds  $l_t, m_t$  if and only if the maximum  $\alpha$ - $\omega$  flow in the corresponding flow network depicted in Figure 1 has value  $P$ .*

*Proof.* Let  $f$  be an  $\alpha$ - $\omega$  flow of value  $|f| = P$ . We construct a feasible schedule from  $f$  respecting the lower and upper bounds given by  $l_t$  and  $m_t$ . For every  $j \in J$  and  $t \in T$ , if  $f(u_j, v_t) = 1$ , then schedule  $j$  at slot  $t$  on the lowest-numbered processor not scheduling some other job. Since  $|f| = P$  and the capacity  $c(\{\alpha\}, V \setminus \{\alpha\}) = P$ , we have  $f_{in}(u_j) = p_j$  for every  $j \in J$ . Hence  $f_{out}(u_j) = \sum_{t \in E_j} f_{in}(v_t) = p_j$ . Hence every job  $j$  is scheduled in  $p_j$  distinct time slots within its execution interval.

The schedule respects the upper bounds  $m_t$ , since  $c(v_t, \gamma) + c(v_t, \omega) \leq m_t - l_t + l_t$  and hence for every  $t$  at most  $m_t$  jobs are scheduled at  $t$ . The schedule respects the lower bounds  $l_t$ , since  $c(V \setminus \{\omega\}, \{\omega\}) = P$  and hence  $f(v_t, \omega) = l_t$  for every slot  $t \in T$ . By flow conservation we then have  $f_{in}(v_t) \geq l_t$ , which implies that at least  $l_t$  jobs are scheduled at every slot  $t$ .

For the other direction consider a feasible schedule respecting the lower and upper bounds  $l_t, m_t$ . We construct a flow  $f$  of value  $P$  and show that it is maximal. If  $j$  is scheduled at slot  $t$  and hence  $t \in E_j$ , define  $f(u_j, v_t) = 1$ , otherwise  $f(u_j, v_t) = 0$ . Define  $f(\alpha, u_j) = p_j$  for every  $j \in J$ . Hence we have  $f_{in}(u_j) = p_j$  and  $f_{out}(u_j)$  must be  $p_j$  since this corresponds to the number of distinct time slots in which  $j$  is scheduled. Define  $f(v_t, \omega) = l_t$  for every slot  $t \in T$ . Define  $f(v_t, \gamma) = f_{in}(v_t) - l_t$ . We have  $f(v_t, \gamma) \leq m_t - l_t$  since  $f_{in}(v_t)$  corresponds to the number  $\text{vol}(t)$  of jobs scheduled at  $t$ , which is at most  $m_t$ . We also have  $f_{out}(v_t) = f_{in}(v_t) - l_t + l_t = f_{in}(v_t)$ .

Define  $f(\gamma, \omega) = P - \sum_{t \in T} l_t$ . Then  $f_{in}(\gamma) = \sum_{t \in T} f_{in}(v_t) - l_t = \sum_{t \in T} \text{vol}(t) - \sum_{t \in T} l_t$ . Since the schedule is feasible, we have  $\sum_{t \in T} \text{vol}(t) = P$  and finally the flow conservation  $f_{in}(\gamma) = P - \sum_{t \in T} l_t = f_{out}(\gamma)$ . □

**Theorem 4.** *Given a feasible problem instance, algorithm PLTR constructs a feasible schedule.*

*Proof.* By definition of subroutines keepIdle and keepBusy, PLTR only modifies the upper and lower bounds  $m_t, l_t$  for the number of busy processors such that the resulting instance of *power-down scheduling with lower and upper bounds* remains feasible. The correctness of the algorithm then follows from the correctness of the flow-calculation for checking feasibility, which is implied by Lemma 3. □

## 3 Structure of the PLTR-Schedule

### 3.1 Types of Volume

**Definition 5.** *For a schedule  $S$ , a job  $j \in J$ , a set  $Q \subseteq T$  of time slots, we define*

1. the volume  $\text{vol}_S(j, Q)$  as the number of time slots of  $Q$  for which  $j$  is scheduled by  $S$ ,
2. the forced volume  $\text{fv}(j, Q)$  as the minimum number of time slots of  $Q$  for which  $j$  has to be scheduled in every feasible schedule, i.e.  $\text{fv}(j, Q) := \max\{0; p_j - |E_j \setminus Q|\}$ ,
3. the unnecessary volume  $\text{uv}_S(j, Q)$  as the amount of volume which does not have to be scheduled during  $Q$ , i.e.  $\text{uv}_S(j, Q) := \text{vol}_S(j, Q) - \text{fv}(j, Q)$ ,
4. the possible volume  $\text{pv}(j, Q)$  as the maximum amount of volume which  $j$  can be feasibly scheduled in  $Q$ , i.e.  $\text{pv}(j, Q) := \min\{p_j, |E_j \cap Q|\}$ .

Since the corresponding schedule  $S$  will always be clear from context, we drop the subscript for  $\text{vol}$  and  $\text{uv}$ . We extend our volume definitions to single timeslots  $t \in T$  and to sets  $J' \subseteq J$  of jobs by summing over all  $j \in J'$ , i.e.  $\text{vol}(J', Q) := \sum_{j \in J'} \text{vol}(j, Q)$  and  $\text{vol}(t) := \text{vol}(J, \{t\})$ . If the first parameter is dropped, we refer to the whole set  $J$ , i.e.  $\text{vol}(Q) := \text{vol}(J, Q)$ . Clearly we have for every feasible schedule, every  $Q \subseteq T, j \in J$  that  $\text{fv}(j, Q) \leq \text{vol}(j, Q) \leq \text{pv}(j, Q)$ . The following definitions are closely related to these types of volume.

**Definition 6.** Let  $Q \subseteq T$  be a set of time slots. We define

1. the density  $\phi(Q) := \text{fv}(J, Q)/|Q|$  as the average amount of processing volume which has to be completed in every slot of  $Q$ ,
2. the peak density  $\hat{\phi}(Q) := \max_{Q' \subseteq Q} \phi(Q')$ ,
3. the deficiency  $\text{def}(Q) := \text{fv}(Q) - \sum_{t \in Q} m_t$  as the difference between the amount of volume which has to be completed in  $Q$  and the processing capacity available in  $Q$ ,
4. the excess  $\text{exc}(Q) := \sum_{t \in Q} l_t - \text{pv}(Q)$  as the difference between the processor utilization required in  $Q$  and the amount of work available in  $Q$ .

If  $\hat{\phi}(Q) > k - 1$ , then clearly at least  $k$  processors are required in some time slot  $t \in Q$  for every feasible schedule. If  $\text{def}(Q) > 0$  or  $\text{exc}(Q) > 0$  for some  $Q \subseteq T$ , then the problem instance is clearly infeasible.

### 3.2 Critical Sets of Time Slots

The following Lemma 10 provides the crucial structure required for the proof of the approximation guarantee. Intuitively, it states that for every activation  $t$  of processor  $k$  in the schedule  $S_{\text{pltr}}$  returned by PLTR, there must be some set  $Q$  of timeslots during which only the minimum amount of volume is scheduled by PLTR. This in turn implies that an activation of processor  $k$  is necessary in every feasible schedule during  $Q$ . The auxiliary Lemmas 7 and 8 provide a necessary and more importantly also sufficient condition for the feasibility of an instance of *power-down scheduling with lower and upper bounds* based on the excess  $\text{exc}(Q)$  and the deficiency  $\text{def}(Q)$  of sets  $Q \subseteq T$ .

Also mention here that this is a generalization of the feasibility characterization of Antoniadis et al. (2020)?

**Lemma 7.** For every  $\alpha$ - $\omega$  cut  $(S, \bar{S})$  in the network given in Figure 1 we have at least one of the following two lower bounds for the capacity  $c(S)$  of the cut:  $c(S) \geq P - \text{def}(Q(S))$  or  $c(S) \geq P - \text{exc}(Q(\bar{S}))$ , where  $Q(S) := \{t \mid v_t \in S\}$ .

*Proof.* Let  $(S, \bar{S})$  be an  $\alpha$ - $\omega$  cut, let  $J(S) := \{j \mid u_j \in S\}$ . We consider the contribution of every node of  $S$  to the capacity  $c(S)$  of the cut. First consider the case that  $\gamma \notin S$ .

- Node  $\alpha$ :  $\sum_{j \in J(\bar{S})} p_j$
- Node  $u_j$ :  $|\{v_t \in \bar{S} \mid t \in E_j\}| = |E_j \setminus Q(S)| \geq p_j - \text{fv}(j, Q(S))$
- Node  $v_t$ :  $l_t + m_t - l_t = m_t$

The inequality for node  $u_j$  follows since  $\text{fv}(j, Q(S)) = \max\{0, p_j - |E_j \setminus Q(S)|\}$ . In total, we can bound the capacity from below with

$$\begin{aligned} c(S) &\geq \sum_{j \in J(\bar{S})} p_j + \sum_{j \in J(S)} p_j - \text{fv}(j, Q(S)) + \sum_{t \in Q(S)} m_t \\ &= P - \text{fv}(J(S), Q(S)) + \sum_{t \in Q(S)} m_t \\ &\geq P - \text{def}(Q(S)). \end{aligned}$$

If  $\gamma \in S$ , we have the following contributions of nodes in  $S$  to the capacity of the cut:

- Node  $\alpha$ :  $\sum_{j \in J(\bar{S})} p_j \geq \text{pv}(J(\bar{S}), Q(\bar{S}))$
- Node  $u_j$ :  $|E_j \setminus Q(S)| = |E_j \cap Q(\bar{S})| \geq \text{pv}(j, Q(\bar{S}))$

- Node  $v_t$ :  $l_t$
- Node  $\gamma$ :  $P - \sum_{t \in T} l_t$

In total, we obtain the alternative lower bound

$$\begin{aligned} c(S) &\geq P + \text{pv}(Q(\bar{S})) - \sum_{t \in Q(\bar{S})} l_t \\ &= P - \text{exc}(Q(\bar{S})). \end{aligned}$$

□

**Lemma 8.** *An instance of power-down scheduling with lower and upper bounds is feasible if and only if  $\text{def}(Q) \leq 0$  and  $\text{exc}(Q) \leq 0$  for every  $Q \subseteq T$ .*

*Proof.* If  $\text{def}(Q) > 0$  for some  $Q$ , then some upper bound  $m_t$  cannot be met. If  $\text{exc}(Q) > 0$  for some  $Q$ , then some lower bound  $l_t$  cannot be met. For the direction from right to left, consider an infeasible scheduling instance with lower and upper bounds. By Lemma 3 we have that the maximum flow  $f$  for this instance has value  $|f| < P$ . Hence, there must be an  $\alpha$ - $\omega$  cut  $(S, \bar{S})$  of capacity  $c(S) < P$ . Lemma 7 now implies that  $\text{def}(Q(S)) > 0$  or  $\text{exc}(Q(\bar{S})) > 0$ . □

**Definition 9.** *A time slot  $t \in T$  is called activation of processor  $k \in [m]$  if  $t = \min A$  for some active interval  $A$  on processor  $k$ . A time slot  $t \in T$  is just called activation if it is an activation of processor  $k$  for some  $k \in [m]$ .*

How to replace the term *activation* (Antoniadis et al. (2020) uses *active* synonymous with *on*)? Candidates: *start-of-work*.

**Lemma 10.** *Let  $Q \subseteq T$  be a set of time slots and  $t \in T$  an activation of processor  $k \in [m]$ . We call  $Q$  is a tight set for activation  $t$  of processor  $k$  if  $t \in Q$  and*

$$\begin{aligned} \text{fv}(Q) &= \text{vol}(Q), \\ \text{vol}(t') &\geq k - 1 && \text{for all } t' \in Q, \text{ and} \\ \text{vol}(t') &\geq k && \text{for all } t' \in Q \text{ with } t' \geq t. \end{aligned}$$

*For every activation  $t$  of some processor  $k \in [m]$  in  $S_{\text{pltr}}$ , there exists a tight set  $Q_t \subseteq T$  for activation  $t$  of processor  $k$ .*

*Proof.* Suppose for contradiction that there is some activation  $t \in T$  of processor  $k \in [m]$  and no such  $Q$  exists for  $t$ . We show that PLTR would have extended the idle interval on processor  $k$  which ends at  $t$ . Consider the step in PLTR when  $t$  was the result of `keepIdle` on processor  $k$  and the corresponding lower and upper bounds  $m_{t'}, l_{t'}$  for  $t' \in T$  right after the calculation of  $t$  with the corresponding update of the bounds by `keepIdle`. We modify the bounds by decreasing  $m_t$  by 1. Note that at this point  $m_{t'} \geq k$  for every  $t' > t$  and  $m_{t'} \geq k - 1$  for every  $t'$ .

Consider  $Q \subseteq T$  such that  $t \in Q$  and  $\text{fv}(Q) < \text{vol}(Q)$ . Before our decrement of  $m_t$  we had  $m_Q := \sum_{t' \in Q} m_{t'} \geq \text{vol}(Q) > \text{fv}(Q)$ . The inequality  $m_Q \geq \text{vol}(Q)$  here follows since the upper bounds  $m_{t'}$  are monotonically decreasing during PLTR. Since our modification decreases  $m_Q$  by at most 1, we hence still have  $m_Q \geq \text{fv}(Q)$  after the decrement of  $m_t$ .

Consider  $Q \subseteq T$  such that  $t \in Q$  and  $\text{vol}(t') < k - 1$  for some  $t'$ . At the step in PLTR considered by us, we hence have  $m_{t'} \geq k - 1 > \text{vol}(t')$ . Before our decrement of  $m_t$  we therefore have  $m_Q > \text{vol}(Q) \geq \text{fv}(Q)$ , which implies  $m_Q \geq \text{fv}(Q)$  after the decrement.

Finally, consider  $Q \subseteq T$  such that  $t \in Q$  and  $\text{vol}(t') < k$  for some  $t' > t$ . At the step in PLTR considered by us, we again have  $m_{t'} \geq k > \text{vol}(t')$ , which implies  $m_Q \geq \text{fv}(Q)$  after our decrement of  $m_t$ . In summary, if for  $t$  no  $Q$  exists as characterized in the proposition, the activation of processor  $k$  at  $t$  could not have been the result of `keepIdle` on processor  $k$ . □

**Lemma 11.** *We call a set  $C_k \subseteq T$  critical set for processor  $k$ , if  $C_k$  fulfills that*

- $C_k \supseteq C_{k'}$  for every critical set for processor  $k' > k$ ,
- $t \in C_k$  for every activation  $t$  of processor  $k$ ,

- $\text{fv}(C_k) = \text{vol}(C_k)$ ,
- $\text{vol}(t) \geq k - 1$  for every  $t \in C_k$ , and
- $\phi(Q_k)$  is maximal.

For every processor  $k \in [m]$  of  $S_{\text{pltr}}$  which is not completely idle, there exists a critical set  $C_k$  for processor  $k$ .

*Proof.* We show the existence by induction over the processors  $m, \dots, 1$ . For processor  $m$ , consider the union of all tight sets over activations of processor  $m$ . This set fulfills all conditions necessary except for the maximality in regard to  $\phi$ . Suppose that the critical sets  $C_m, \dots, C_{k+1}$  exist. Take  $Q_k \subseteq T$  as the union of  $C_{k+1}$  and all tight sets over activations of processor  $k$ . By definition of  $C_{k+1}$ , we have  $Q_k \supseteq C_{k'}$  for all  $k' > k$ . By construction of  $Q_k$ , every activation  $t$  of processor  $k$  is contained in  $Q_k$ . Finally, we have  $\text{fv}(Q_k) = \text{vol}(Q_k)$  and  $\text{vol}(t) \geq t - 1$  for every  $t \in Q_k$  since all sets in the union fulfill these properties.  $\square$

### 3.3 Definitions based on critical sets

**Definition 12.** For the critical set  $C_k$  of some processor  $k \in [m]$ , we define  $\text{crit}(C_k) := k$ . Let  $\succeq$  be the total order on the set of critical sets  $C$  across all processors which corresponds to  $\text{crit}$ , i.e.  $C \succeq C'$  if and only if  $\text{crit}(C) \geq \text{crit}(C')$ . Equality in regard to  $\succeq$  is denoted with  $\sim$ . We extend the definition of  $\text{crit}$  to general time slots  $t \in T$  and intervals  $D \subseteq T$  as follows. We also take the order  $\succeq$  to be correspondingly extended based on this extension of  $\text{crit}$ .

$$\text{crit}(t) := \begin{cases} \max\{\text{crit}(C) \mid C \text{ is critical set, } t \in C\} & \text{if } t \in C \text{ for some critical set } C \\ 0 & \text{otherwise} \end{cases}$$

$$\text{crit}(D) := \max\{\text{crit}(t) \mid t \in D\}$$

**Definition 13.** A nonempty interval  $V \subseteq T$  is a valley if  $V$  is inclusion maximal on condition that  $C \sim V$  for some fixed critical set  $C$ . Let  $D_1, \dots, D_l$  be the maximal intervals contained in a critical set  $C$ . A nonempty interval  $V$  is a valley of  $C$  if  $V$  is exactly the valley between  $D_a$  and  $D_{a+1}$  for some  $a < l$ , i.e.  $V = [\max D_a + 1, \min D_{a+1} - 1]$ . By choice of  $C$  as critical set (property 1), a valley of  $C$  is indeed a valley. We define the jobs  $J(V) \subseteq J$  for a valley  $V$  as all jobs which are scheduled by  $S_{\text{pltr}}$  in every  $t \in V$ .

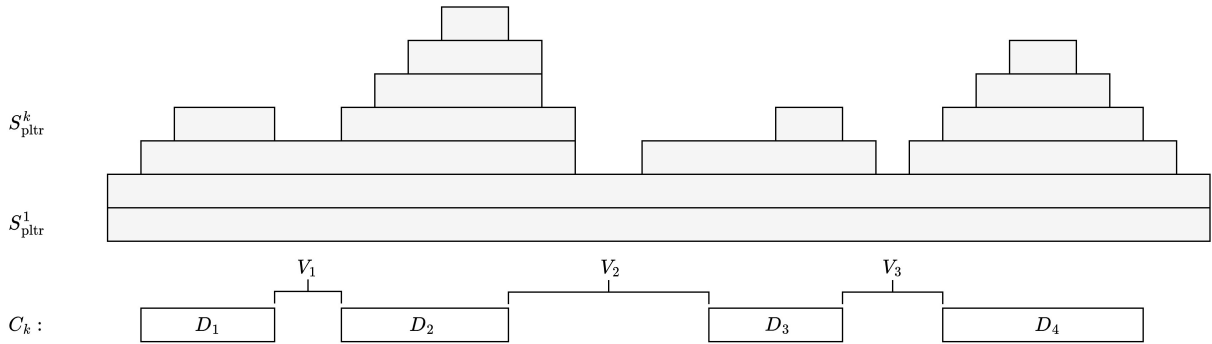


Figure 2: The valleys  $V_1, V_2, V_3$  of the critical set  $C_k$  for processor  $k$

**Definition 14.** For a critical set  $C$ , an interval  $D \subseteq T$  spans  $C$  if  $D \cap C$  contains only full subintervals of  $C$  and at least one subinterval of  $C$ . The left valley  $V_l$  of  $C$  and an interval  $D$  spanning  $C$  is the valley of  $C$  ending at  $\min(C \cap D) - 1$  if such a valley of  $C$  exists. Symmetrically, the right valley  $V_r$  of  $C$  and an interval  $D$  spanning  $C$  is the valley of  $C$  starting at  $\max(C \cap D) + 1$  if such a valley of  $C$  exists.

Think about using a different term than *to span* here, e.g. *to partially span* or *is a section of*  $C$ .



**Lemma 15.** *For every critical set  $C$ , every interval  $D \subseteq T$  spanning  $C$ : if  $\phi(C \cap D) \leq \text{crit}(C) - \delta$  for some  $\delta \in \mathbb{N}$ , then the left valley  $V_l$  or the right valley  $V_r$  of  $C$  and  $D$  is defined and  $|J(V_l)| + |J(V_r)| \geq \delta$ . Here, we take  $|J(V)| := 0$  if  $V$  is not defined.*

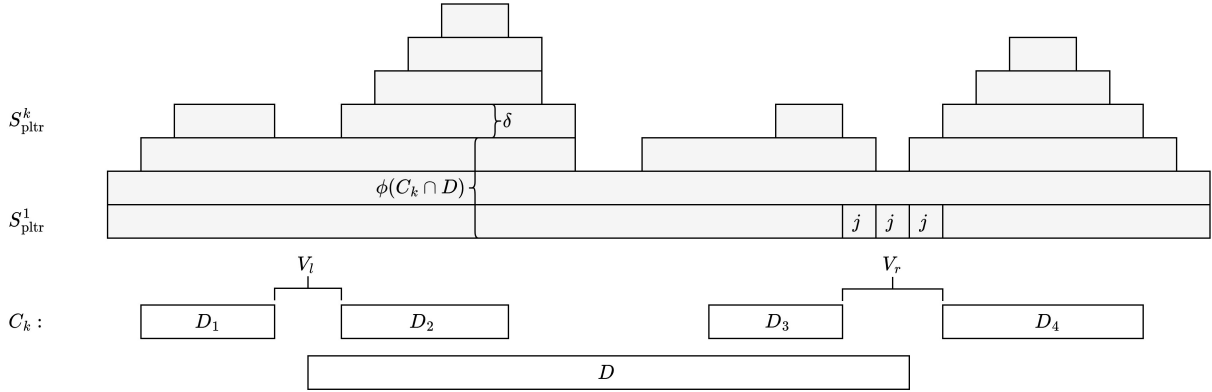


Figure 3: The left and right valley  $V_l$  and  $V_r$  of the critical set  $C_k$  for processor  $k$  and an interval  $D$  spanning  $C_k$ . Lemma 15 guarantees that  $\delta$  jobs are scheduled at every slot of  $V_l$  or  $V_r$ .

*Proof.* By choice of  $C$  as critical set with  $c := \text{crit}(C)$ , we have  $\text{vol}(C \cap D) \geq (c - 1) \cdot |C \cap D|$ . If this inequality is fulfilled strictly, i.e. if  $\text{vol}(C \cap D) > (c - 1) \cdot |C \cap D|$ , then with the premise  $\text{fv}(C \cap D)/|C \cap D| \leq c - \delta$  we directly get  $\text{uv}(C \cap D)/|C \cap D| > \delta - 1$ . This implies that there are at least  $\delta$  jobs  $j$  scheduled in  $C \cap D$  with  $\text{uv}(j, C \cap D) > 0$ . Such jobs can be scheduled in the part of  $C$  not contained in  $D$ , i.e. we must have  $E_j \cap (C \setminus D) \neq \emptyset$  and hence the left valley  $V_l$  or the right valley  $V_r$  of  $C$  and  $D$  must be defined. Since these jobs  $j$  are scheduled in  $C$  only for the minimum amount possible, i.e.  $\text{vol}(j, C) = \text{fv}(j, C) > 0$ , they must be scheduled in every  $t \in E_j \setminus C$  and are therefore contained in  $J(V_l)$  or  $J(V_r)$ .

If on the other hand we have equality, i.e.  $\text{vol}(C \cap D) = (c - 1) \cdot |C \cap D|$ , then let  $t$  be an activation of processor  $c$ . Since  $\text{vol}(t) > c - 1$ , we must have  $t \notin C \cap D$ . By the same argument as before, we have that if  $\text{fv}(C \cap D)/|C \cap D| \leq c - \delta$ , then  $\text{uv}(C \cap D)/|C \cap D| \geq \delta - 1$ . Let  $J' := \{j \in J \mid \text{uv}(j, C \cap D) > 0\}$ . Since  $\text{uv}(j, C \cap D) \leq |C \cap D|$  for every  $j \in J$ , we have  $|J'| \geq \delta - 1$ . If this lower bound is fulfilled with equality, then every  $j \in J'$  must be scheduled in every time slot of  $C \cap D$  and hence  $\text{fv}(J', C \setminus D) = \text{vol}(J', C \setminus D)$ . Now suppose for contradiction that all jobs  $j$  scheduled during  $C \setminus D$  which are not contained in  $J'$  have  $E_j \cap C \cap D = \emptyset$ . Then  $\text{fv}(C \setminus D) = \text{vol}(C \setminus D)$  and we get  $\phi(C \setminus D) > \phi(C)$  since by case assumption  $\text{vol}(C \cap D)/|C \cap D| = (c - 1) < \phi(C)$ . With  $\text{vol}(t) \leq c - 1$  for every  $t \in C \cap D$ , we know that  $\text{crit}(C \cap D) \leq k$  and therefore  $C \setminus D$  is still a critical set for processor  $c$  but has higher density than  $C$ , contradicting the choice of  $C$ . Therefore, there must exist a job  $j \notin J'$  scheduled in  $C \setminus D$  with an execution interval intersecting  $C \cap D$ .

In any case, we have at least  $\delta$  jobs scheduled in  $C$  with an execution interval intersecting both  $C \setminus D$  and  $C \cap D$ . This implies that the left valley  $V_l$  or the right valley  $V_r$  of  $C$  and  $D$  exists and that at least  $\delta$  jobs are contained in  $J(V_l)$  or  $J(V_r)$ .  $\square$

## 4 Modification of the PLTR-Schedule for Analysis

We modify the schedule  $S_{\text{pltr}}$  returned by PLTR in two steps. The first step augments specific processors with auxiliary busy slots such that in every critical set  $C$  at least the first  $\text{crit}(C)$  processors are busy all the time. For the single processor Left-to-Right algorithm, the crucial property for the approximation guarantee is that every idle interval of  $S_{\text{opt}}$  can intersect at most 2 distinct idle intervals of the schedule returned by Left-to-Right. The second modification step of  $S_{\text{pltr}}$  is more involved and establishes this crucial property on every processor  $k \in [m]$  by making use of Lemma 15. More specifically, it will establish the stronger property that  $\hat{\phi}(A) > k - 1$  for every busy interval  $A$  on processor  $k$  with  $\text{crit}(A) \geq 2$ , i.e. that every feasible schedule requires  $k$  busy processors at some point during  $A$ . Idle intervals surrounded by only busy intervals  $A$  with  $\text{crit}(A) \leq 1$  are then handled in Lemma 21 with essentially the same argument as for the original Left-to-Right algorithm.

These modification steps are only done for the sake of the analysis of the original schedule  $S_{\text{pltr}}$  and are not part of the algorithm. By making sure that the modifications cannot decrease the costs of our schedule, we get an upper bound for the costs of  $S_{\text{pltr}}$ .

## 4.1 Augmentation

We transform  $S_{\text{pltr}}$  into the *augmented schedule*  $S_{\text{aug}}$  by adding for every  $t$  with  $k := \text{crit}(t) \geq 2$  and  $\text{vol}(t) = k - 1$  an auxiliary busy slot on processor  $k$ . No job is scheduled in this auxiliary busy slot on processor  $k$  and it does also not count towards the volume of this slot. It merely forces processor  $k$  to be in the on-state at time  $k$  and allows us to keep thinking in terms of idle and busy intervals in our analysis of the costs.

**Lemma 16.** *In  $S_{\text{aug}}$  processors  $1, \dots, \text{crit}(t)$  are busy in every slot  $t \in T$  with  $\text{crit}(t) \geq 2$ .*

*Proof.* The property directly follows from our choice of the critical sets, the definition of  $\text{crit}(t)$  and the construction of  $S_{\text{aug}}$ .  $\square$

## 4.2 Realignment

The intuition of the realignment of  $S_{\text{aug}}$  is the following. Lemma 16 guarantees us that every busy interval  $A$  on processor  $k$  spans the critical set  $C$  with  $C \sim A$ . It also guarantees that the left and right valley  $V_l, V_r$  of  $C$  and  $A$  do not end within an idle interval on processor  $k$ , provided that they are defined. Lemma 15 in turn guarantees us that if the density of  $A$  is too small to guarantee that  $S_{\text{opt}}$  has to use processor  $k$  during  $A$ , i.e. if  $\hat{\phi}(A) \leq k - 1$ , then  $V_l$  or  $V_r$  is defined and there is some  $j$  scheduled in every slot of  $V_l$  or  $V_r$ . Let  $V$  be the corresponding left or right valley of  $C$  and  $D$  for which such a job  $j$  exists. Instead of scheduling  $j$  on the processors below  $k$ , we can schedule  $j$  on processor  $k$  in idle time slots during  $V$ . This merges the busy interval  $A$  with at least one neighbouring busy interval on processor  $k$ . In the definition of the realignment, we will call this process of filling the idle slots during  $V$  on processor  $k$  *closing of valley  $V$  on processor  $k$* . The corresponding subroutine is called  $\text{close}(k, V)$ .

The crucial part is ensuring that this realignment continues to be possible whenever we have a busy interval with a density which is too small. For this purpose, we go through the busy intervals on each processor in the order of their criticality, i.e. in the order of  $\succeq$ . We also allow every job to be used twice for the realignment by introducing further auxiliary busy slots (for an interval  $D$  spanning the critical set  $C$ , both the right and the left valley might be closed in the worst case). This allows us to maintain the invariants stated in Lemma 17 during the realignment process, which correspond to the properties of Lemma 15 and 16.

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### Algorithm 3 Realignment of $S_{\text{aug}}$

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```

Sup(V)  $\leftarrow$   $2|J(V)|$  for every valley  $V$ 
for  $k \leftarrow m$  to 1 do
    fill( $k, T$ )
    Sup(V)  $\leftarrow$  Sup(V)  $-$  1 for every valley  $V$  s.t. some  $V'$  with  $V' \cap V \neq \emptyset$  was closed on processor  $k$ 

```

---



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### Algorithm 4 Subroutines for the Realignment of $S_{\text{aug}}$

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```

function fill( $k, V$ )
    if  $\text{crit}(V) \leq 1$  then
        return
    let  $C$  be the critical set s.t.  $C \sim V$ 
    while exists busy interval  $A \subseteq V$  on processor  $k$  with  $A \sim V$  and  $\hat{\phi}(A) \leq k - 1$  do
        let  $V_l, V_r$  be the left and right valley for  $C$  and interval  $A$  (if  $A$  spans  $C$ )
        if  $V_l$  exists and Sup( $V_l$ )  $>$  0 then
            close( $k, V_l$ )
        else if  $V_r$  exists and Sup( $V_r$ )  $>$  0 then
            close( $k, V_r$ )
    for every valley  $V' \subseteq V$  of  $C$  which has not been closed on  $k$  do
        fill( $k, V'$ )
function close( $k, V$ )
    for every  $t \in V$  which is idle on processor  $k$  do
        if processors  $1, \dots, k - 1$  are idle at  $t$  then
            introduce new auxiliary busy slot on processor  $k$  at time  $t$ 
        else
            move busy slot at time  $t$  of highest processor among  $1, \dots, k - 1$  to processor  $k$  at  $t$ 

```

---

### 4.3 Invariants for Realignment

**Lemma 17.** *For an arbitrary step during the realignment of  $S_{\text{aug}}$  and a valley  $V \subseteq T$ , let the critical processor  $k_V$  for  $V$  be the highest processor such that*

- *processor  $k_V$  is not fully filled yet, i.e.  $\text{fill}(k_V, T)$  has not yet returned,*
- *no  $V' \supseteq V$  has been closed on  $k_V$  so far, and*
- *there is a (full) busy interval  $A \subseteq V$  on processor  $k_V$ .*

*We take  $k_V := 0$  if no such processor exists. At every step in the realignment of  $S_{\text{aug}}$  the following invariants holds for every valley  $V$ , where  $C$  denotes the critical set with  $C \sim V$ .*

1. *If  $\phi(C \cap D) \leq k_V - \delta$  for some  $\delta \in \mathbb{N}$ , some interval  $D \subseteq V$  spanning  $C$ , then the left valley  $V_l$  or the right valley  $V_r$  of  $C, D$  exists and  $\text{Sup}(V_l) + \text{Sup}(V_r) \geq 2\delta$ .*
2. *For every  $t \in C \cap V$ , processors  $1, \dots, k_V$  are busy at  $t$ .*
3. *Every busy interval  $A \subseteq V$  on processor  $k_V$  with  $A \sim V$  spans  $C$ .*

*Proof.* We show Invariants 1 and 2 via structural induction on the realigned schedule  $S_{\text{real}}$ . Then we show that Invariant 2 implies Invariant 3. For the induction base, consider  $S_{\text{aug}}$ , let  $V$  be an arbitrary valley in  $S_{\text{aug}}$  with  $c := \text{crit}(V) \geq 2$  and let  $C$  be the critical set with  $C \sim V$ .

We must have  $k_V \leq c$ , otherwise  $V$  would contain a full busy interval on processor  $k_V > c$  and hence also an activation  $t \in V$  of processor  $k_V$ , which by construction of  $S_{\text{aug}}$  would have  $\text{crit}(t) = k_V > c$ . This is a direct contradiction to  $\text{crit}(V) = \max_{t \in V} \text{crit}(t) = c$ .

Invariant 2 now follows since by construction of  $S_{\text{aug}}$  and our choice of  $C$  we have for every  $t \in C$  that processors  $1, \dots, k_V, \dots, c$  are busy at  $t$ . For Invariant 1, let  $D$  be an interval spanning  $C$  with  $\phi(C \cap D) \leq k_V - \delta$  for some  $\delta \in \mathbb{N}$ . With  $k_V \leq c$  we get  $\phi(C \cap D) \leq c - \delta$  and hence by Lemma 15, we have that the left valley  $V_l$  or the right valley  $V_r$  of  $C$  and  $D$  exists and  $|J(V_l)| + |J(V_r)| \geq \delta$ . With the initial definition of the supply  $\text{Sup}(V)$  of a valley, we get the desired lower bound of  $\text{Sup}(V_l) + \text{Sup}(V_r) \geq 2\delta$ .

Now suppose that Invariants 1 and 2 hold at all steps of the realignment up to a specific next step. Let  $V$  again be an arbitrary valley of  $\text{crit}(V) \geq 2$  and let  $k$  be the processor currently being filled. Let furthermore  $k_V, k'_V$  be the critical processor for  $V$  before and after, respectively, the next step in the realignment. There are four cases to consider for this next step.

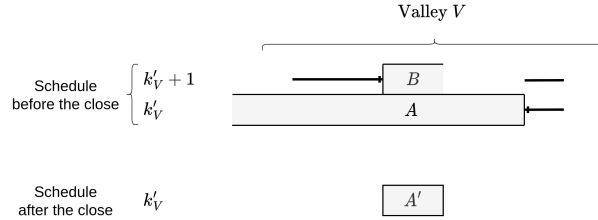
**Case 1:** Some  $V' \supseteq V$  is closed on processor  $k$ . Then no valley  $W$  intersecting  $V$  has been closed so far on  $k$ . Also, since  $\text{close}(k, \cdot)$  only moves the busy slot of the highest busy processor below  $k$ , we know that the stair property holds within  $V$  on processors  $1, \dots, k$ . We show that the closing of  $V'$  on  $k$  reduces the critical processor of  $V$  by at least 1, i.e.  $k'_V \leq k_V - 1$ . If  $k_V = k$ , then  $V' \supseteq V$  is closed on processor  $k_V$  and hence by definition we have  $k'_V \leq k_V - 1$ . If  $k_V < k$ , suppose for contradiction that  $k_V \leq k'_V \leq k$ , where  $k'_V \leq k$  again holds by definition of  $k'$  since  $V' \subseteq V$  is closed on processor  $k$ .

Let  $A \subseteq V$  be a full busy interval on  $k_V$  before the close of  $V'$ . We show that  $A \subset V$ , i.e. that there must be some  $t \in V$  idle on  $k_V$  before the close. The stair-property then implies that processors  $k_V, \dots, k$  are idle at  $t$  before the close. Since some  $V' \supseteq V$  is closed, clearly  $V \subset T$  by the choice of  $V'$  as valley of some critical set in the realignment definition. Therefore we have  $\min V - 1 \in T$  or  $\max V + 1 \in T$ , without loss of generality we assume the former. We show that  $t := \min V - 1$  must be busy on processor  $k_V$  before the close. Let  $W$  be the valley with  $W \sim t$  and  $t \in W$ . We know that  $W \supseteq V$  since  $V$  is a valley and hence  $V \prec t \sim W$ . By our case assumption and the definition of the realignment, no  $W' \supseteq W$  can have been closed on processor  $k$  so far. With  $W \supseteq V$  and the definition of  $k_W$  we get  $k_W \geq k_V$ , where  $k_W$  is the critical processor of  $W$  before the close. Our induction hypothesis now implies that processors  $1, \dots, k_V, \dots, k_W$  are busy at  $t$  before the close. For  $A \subseteq V$  to be a (full) busy interval on  $k_V$  before the close, we hence must have  $\min V \notin A$ . We know by definition of the realignment and the subroutine  $\text{close}$  that for every  $k'$  with  $k_V \leq k' < k$  and every  $t \in V$ :

- If  $t$  was idle on  $k'$  before the close, then  $t$  is still idle on  $k'$  after the close (definition of  $\text{close}$ ,  $k' < k$ ).
- If  $t$  was idle on  $k_V$  before the close, then  $t$  was idle on  $k'$  before (stair-property with  $k_V \leq k'$ ) and hence  $t$  is still idle on  $k'$  after the close.

- If  $t$  was part of a full busy interval  $A \subseteq V$  on  $k_V$  before the close, then  $t$  was idle on  $k_V + 1$  before the close. Otherwise, by the stair property there would have been a full busy interval  $A' \subseteq A \subseteq V$  on processor  $k_V + 1 \leq k$  before the close, contradicting the definition of  $k_V$ . Hence  $t$  was idle on  $k$  before (by stair-property) and therefore  $t$  is idle on  $k_V$  after the close (definition of close).

Taken together, for  $t \in V$  to be busy on  $k'$  after the close,  $t$  must have been busy on  $k'$  before the close (definition close,  $k' < k$ ) and  $t$  cannot have been part of a full busy interval  $A \subseteq V$ . Hence  $t \in A$  for some *partial* busy interval  $A \subseteq V$  on  $k'$  before the close. For  $A' \subseteq V$  to be a full busy interval on  $k'_V$  after the close (with  $k_V \leq k'_V < k$ ), we must have  $A' \subseteq A$ , as shown in the following figure.



Hence there must have been a busy interval  $B \subseteq [\min A', \max A]$  on processor  $k'_V + 1 > k_V$  before the close, which contradicts the choice of  $k_V < k$ . In conclusion, we have  $k'_V \leq k_V - 1$ , which allows us to prove Invariants 1 and 2. If  $\phi(C \cap D) \leq k'_V - \delta$  for some  $\delta \in \mathbb{N}$  and some interval  $D$  spanning  $C$ , then  $\phi(C \cap D) \leq k_V - (\delta + 1)$  and hence by induction hypothesis the left valley  $V_l$  or the right valley  $V_r$  for  $C, D$  exists and  $\text{Sup}(V_l) + \text{Sup}(V_r) \leq 2(\delta + 1)$  both before and after the close. Our induction hypothesis also implies that for every  $t \in C \cap V$ , processors  $1, \dots, k_V$  are busy before the close. Since at most the uppermost busy slot is moved by close, after the close of  $V'$  we still have processors  $1, \dots, k_V - 1 \geq k'_V$  busy.

**Case 2:** Some  $V' \subset V$  is closed on processor  $k$ . Again, no  $V'' \supseteq V$  can have been closed on processor  $k$  so far. We show that  $k_V = k \geq k'_V$ , i.e. that the critical processor of  $V$  before the close of  $V'$  is the processor currently being filled. Let  $W$  be the valley for which  $V'$  is closed, i.e.  $V'$  is closed during  $\text{fill}(k, W)$ . We must have  $W \supset V'$  and therefore no  $W' \supseteq W$  has been closed on  $k$  so far. Also, for  $V'$  to be closed in  $\text{fill}(k, W)$ , there must be some busy interval  $A \subseteq W$  on  $k$  before the close, hence  $k_W = k$ . Since  $V' \subset V$  and  $V' \subset W$ ,  $V$  and  $W$  intersect ( $V' \neq \emptyset$  by definition of  $V'$  as valley). Let  $C_W$  be the critical set with  $C_W \sim W$ . If  $V \prec W$ , then by choice of  $V'$  as valley of  $C_W$  we must have  $V \subseteq V'$ , which contradicts our case assumption. Therefore  $V \succeq W$  and  $V \supseteq W$ , which in turn implies  $k_V \leq k_W = k$ . Since processor  $k + 1$  is already completely filled before the close, we have  $k_V = k \geq k'_V$ .

For Invariant 1, again let  $\phi(C \cap D) \leq k'_V - \delta$  and hence  $\phi(C \cap D) \leq k_V - \delta$  for some  $\delta \in \mathbb{N}$  and some interval  $D$  spanning  $C$ . Our induction hypothesis implies that the left valley  $V_l$  or the right valley  $V_r$  of  $C, D$  exists and that both before and after the close we have  $\text{Sup}(V_l) + \text{Sup}(V_r) \geq 2\delta$ . For Invariant 2, observe that  $V' \cap C = \emptyset$  since our case assumption  $V' \subset V$  implies  $V' \prec C$ . Therefore, no slots of  $C$  are modified when  $V'$  is closed. Invariant 2 now directly follows from the induction hypothesis and  $k'_V \leq k_V$ .

**Case 3:** Some  $V'$  with  $V' \cap V = \emptyset$  is closed on processor  $k$ . We first show that  $\min V - 1 \notin V'$  and symmetrically  $\max V + 1 \notin V'$ . Consider  $t := \min V - 1$  and assume  $t \in T$ . By choice of  $V$  and  $t$  we must have  $t \succ V$ . If  $t \in V'$ , we would have  $V' \succ V$  and hence  $V' \supseteq V$ , which contradicts our case assumption. Symmetrically, we know that  $\max V + 1 \notin V'$ . Therefore the close of  $V'$  does not modify the schedule within  $[\min V - 1, \max V + 1]$ , implying that no partial busy interval in  $V$  before the close can become a full busy interval. Hence we have  $k_V = k'_V$  and Invariants 1 and 2 follow as in Case 2.

**Case 4:** The call to  $\text{fill}(k, T)$  returns and  $\text{Sup}(V')$  is decreased by 1 for every valley  $V'$  such that some valley intersecting  $V'$  has been closed during  $\text{fill}(k, T)$ . First observe that the schedule itself does not change by this step but processor  $k$  is now fully filled, which implies  $k'_V \leq k_V$ . Invariant 2 then follows directly from the induction hypothesis.

We consider two subcases. If during  $\text{fill}(k, T)$ , no valley  $V'$  intersecting  $V$  was closed on  $k$ , then  $\text{Sup}(V)$  does not change and Invariant 1 follows from the induction hypothesis and  $k'_V \leq k_V$ . If on the other hand some valley  $V'$  intersecting  $V$  was closed on  $k$  during  $\text{fill}(k, T)$ , then  $\text{Sup}(V)$  is decreased by 1 to  $\text{Sup}'(V) := \text{Sup}(V) - 1$ . As argued in Cases 1 to 3, the critical processor of  $V$  decreases monotonically

during  $\text{fill}(k, T)$ . Consider the schedule right before the first valley  $V'$  intersecting  $V$  is closed on  $k$ . Let  $k_V^0$  be the critical processor for  $V$  at this point of the realignment and  $k_V^1$  the critical processor right after  $V'$  is closed.

We have  $k_V' \leq k_V^0 - 1$ : If  $V' \supseteq V$ , then as argued in Case 1, we have  $k_V^1 \leq k_V^0 - 1$  and hence  $k_V' \leq k_V \leq k_V^1 \leq k_V^0 - 1$ . If  $V' \subset V$ , then as argued in Case 2 we have  $k_V^0 = k$ . Since by our case assumption  $\text{fill}(k, T)$  returns in the next step, we have  $k_V' \leq k - 1$  and hence  $k_V' \leq k_V^0 - 1$ . Invariant 2 now follows by our induction hypothesis. If  $\phi(C \cap D) \leq k_V' - \delta$  then  $\phi(C \cap D) \leq k_V^0 - (\delta + 1)$  and hence by our induction hypothesis the left valley  $V_l$  or the right valley  $V_r$  of  $C, D$  exists and before the close we have  $\text{Sup}(V_l) + \text{Sup}(V_r) \geq 2(\delta + 1)$ . Since  $\text{Sup}$  is decreased for every valley by at most 1, we have after the close that  $\text{Sup}'(V_l) + \text{Sup}'(V_r) \geq 2\delta$ .

We conclude by showing that Invariant 2 implies Invariant 3. Let  $V$  be an arbitrary valley during the realignment of  $S_{\text{aug}}$  and  $A \subseteq V$  a busy interval on processor  $k_V$  with  $A \sim V$ . Let  $C$  be the critical set with  $C \sim V$ . Note that  $A \sim V$  implies that  $A$  intersects  $C$ . Assume for contradiction that  $A$  does not span  $C$ . Then  $\min A$  lies strictly within a subinterval of  $C$  or symmetrically  $\max A$  lies strictly within a subinterval of  $C$ . We assume the first case, i.e.  $t := \min A - 1 \in C$  and  $\min A \in C$ . The second case follows by symmetry. If  $t \in V$ , then time slot  $t$  is busy on processor  $k_V$  by Invariant 2. Therefore,  $A$  cannot be a (full) busy interval on processor  $k_V$ , contradicting the choice of  $A$ . If  $t = \min V - 1$ , then consider the valley  $W$  with  $t \in W$  and  $t \sim W$  and let  $C_W$  be the critical set with  $C_W \sim W$ . We must have  $W \supset V$ ,  $W \succ V$  and  $t \in C_W$ . Therefore  $k_W \geq k_V$  and Invariant 2 implies that  $t = \min A - 1$  is busy on processor  $k_V$ , again contradicting the choice of  $A$  as full busy interval on processor  $k_V$ .  $\square$

**Lemma 18.** *The result  $S_{\text{real}}$  of the realignment of  $S_{\text{aug}}$  is defined.*

*Proof.* Since in the while-loop of  $\text{fill}(k, V)$  the busy interval  $A \subseteq V$  on  $k_V$  always spans  $C$  if  $V \sim C$  (Invariant 3), the left valley  $V_l$  and the right valley  $V_r$  of the critical set  $C$  and interval  $A$  are properly defined. Also since  $\hat{\phi}(A) \leq k - 1$ , Invariant 1 implies that  $V_l$  or  $V_r$  exists and that there is sufficient  $\text{Sup}$  such that one of the two valleys of  $C$  is closed in this iteration. This reduces the number of idle intervals on processor  $k$  by at least 1, since Invariant 2 implies that  $V_l$  or  $V_r$  cannot end strictly within an idle interval on  $k$ . Hence all terms in the realignment are well defined and the realignment terminates.  $\square$

**Lemma 19.** *For every processor  $k \in [m]$  and every busy interval  $A$  on processor  $k$  in  $S_{\text{real}}$  with  $\text{crit}(A) \geq 2$ , we have  $\hat{\phi}(A) > k - 1$ .*

*Proof.* We show that  $\text{fill}(k, T)$  establishes the property on processor  $k$ . The claim then follows since  $\text{fill}(k, T)$  does not change the schedules of processors above  $k$ . Since in  $\text{fill}(k, T)$ , we always close valleys for busy intervals  $A$  on  $k$  spanning a corresponding critical set  $C$ , we know that on processor  $k$ , busy intervals are only extended. Let  $A \subseteq V$  be a busy interval on processor  $k$  in  $S_{\text{real}}$  with  $A \sim V$  and  $\text{crit}(A) \geq 2$ . No valley  $W \supseteq V$  can have been closed on  $k$  since otherwise there would be no  $A \subseteq V$  in  $S_{\text{real}}$ . Therefore, at some point  $\text{fill}(k, V)$  must be called. Consider the point in  $\text{fill}(k, V)$  when the while-loop terminates. Clearly at this point all busy intervals  $A' \subseteq V$  with  $A' \sim V$  on processor  $k$  have  $\hat{\phi}(A') > k - 1$ . At this point there must also be at least one such  $A'$  for  $A$  to be a busy interval on  $k$  in  $S_{\text{real}}$  with  $A \sim V$  and  $A \subseteq V$ . In particular, one such  $A'$  must have  $A' \subseteq A$ , which directly implies  $\hat{\phi}(A) \geq \hat{\phi}(A') > k - 1$ .  $\square$

While with Lemma 19 we have our desired property for busy intervals  $A$  of  $\text{crit}(A) \geq 2$ , we still have to handle busy intervals of  $\text{crit}(A) \leq 1$ . To be precise, we have to handle idle intervals which are surrounded only by busy intervals  $A$  of  $\text{crit}(A) \leq 1$ . We will show that this constellation can only occur in  $S_{\text{real}}$  on processor 1 and that the realignment has not done any modifications in these intervals, i.e.  $S_{\text{pltr}}$  and  $S_{\text{real}}$  do not differ for these intervals. With the same argument as for the original single-processor Left-to-Right algorithm, we then get that at least one processor has to be busy in any schedule during these intervals.

**Lemma 20.** *The realignment of  $S_{\text{aug}}$  does not create new activation times but may only change the corresponding processor being activated, i.e. if  $t \in T$  is an activation of some processor  $k$  in  $S_{\text{real}}$ , then  $t$  is also an activation of some processor  $k'$  in  $S_{\text{aug}}$ .*

*Proof.* Consider the first step in the realignment of  $S_{\text{aug}}$  in which some  $t \in T$  becomes an activation of some processor  $k'$  where  $t$  was no activation of any processor before this step. This step must be the closing of some valley  $V$  on some processor  $k > k'$ : On processor  $k$ , we have seen that closing of some valley can only merge busy intervals. On processors above  $k$ , the schedule does not change. Busy slots on

Explicitly make this into a separate lemma?

processors  $k'' < k$  are only removed (definition close), therefore  $t - 1$  must have been busy on processor  $k'$  and idle on  $k' + 1, \dots, k$  before the close. Refer to Figure 4 for a visual sketch of the situation.

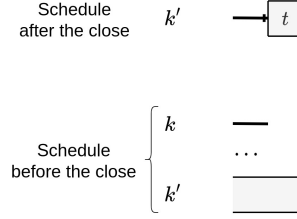
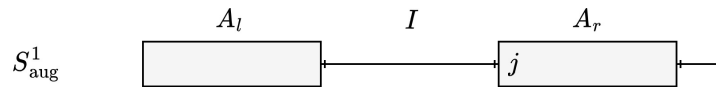


Figure 4:

If  $t \in V$ , then processor  $k' + 1$  (or  $k$ ) must have been busy before at  $t$ . Hence  $t$  was already an activation before the close, contradicting our initial choice of  $t$ . If  $t \notin V$ , then  $t \succ V$ . Let  $W$  be the valley such that  $V$  is closed during  $\text{fill}(k, W)$ , hence  $W \supset V$ . If  $t \in W$ , then  $t \sim C_W$  and  $t \in C_W$ . By Invariant 2, processors  $1, \dots, k_W = k$  are busy at  $t$  before the close. Again, this implies that  $t$  was an activation before the close already, contradicting our choice of  $t$ . If  $t \notin W$ , then let  $W'$  be the valley with  $t \sim W$  and  $t \in W'$ . We have  $W \prec t \sim W'$  and  $W' \supset W$  and  $t \in C_{W'}$ . Therefore  $k_{W'} \geq k_W = k$  and Invariant 2 implies that processors  $1, \dots, k$  are busy at  $t$  before the close. Hence,  $t$  was activation before the close already, again contradicting our initial choice of  $t$ .  $\square$

**Lemma 21.** *Let  $I$  be an idle interval in  $S_{\text{real}}$  on some processor  $k$  and let  $A_l, A_r$  be the busy intervals directly to the left and right of  $I$  with  $\text{crit}(A_l) \leq 1$  and  $\text{crit}(A_r) \leq 1$ . Allow  $A_l$  to be empty, i.e. we might have  $\min I = 0$ , but  $A_r$  must be nonempty, i.e.  $\max I < d^*$ . Then we must have  $k = 1$  and  $\hat{\phi}(A_l \cup I \cup A_r) > 0$ .*

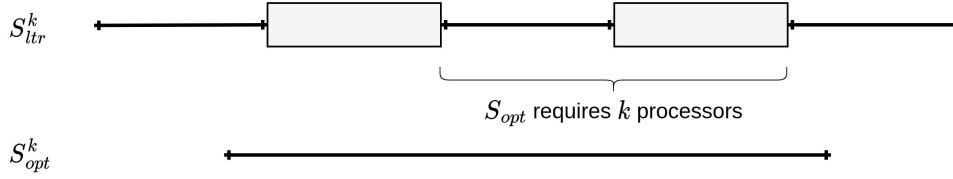
*Proof.* By Lemma 20 and  $\text{crit}(A_r) \leq 1$ , we know that  $\min A_r$  is an activation of processor 1 in  $S_{\text{aug}}$ . Hence  $\max I$  is idle in  $S_{\text{aug}}$  on processor 1 and hence on all processors (stair-property in  $S_{\text{aug}}$ ). Since no jobs are scheduled at  $\max I$ , we know that  $\text{crit}(\max I) \leq 1$  and  $J(V) = \emptyset$  for all valleys  $V$  containing the slot  $\max I$ , and hence also  $\text{Sup}(V) = 0$  at all times during the realignment. Therefore, no  $V$  intersecting  $[\max I, \max A_r]$  was closed during the realignment on any processor, since this  $V$  would contain  $\max I$ . Since  $A_r$  is a busy interval with  $\text{crit}(A_r) \leq 1$  (i.e. not containing activations of processors above 1 in  $S_{\text{aug}}$ ), we must then have  $k = 1$ . For  $I$  to be idle on processor  $k = 1$  in  $S_{\text{real}}$  and  $\text{crit}(I) \geq 2$ , some  $V \succeq I$  with  $V \cap I \neq \emptyset$  and hence  $V \supseteq \max I$  would have to been closed, which contradicts what we have just shown. Therefore  $\text{crit}(I) \leq 1$  and no valley  $V$  with  $V \cap [\min A_l - 1, \max A_r + 1] \neq \emptyset$  can have been closed during the realignment. Therefore, the constellation occurs exactly in the same way in  $S_{\text{aug}}$  and  $S_{\text{pltr}}$  on processor 1, i.e. on processor 1 in  $S_{\text{aug}}$  and  $S_{\text{pltr}}$ ,  $A_l, A_r$  are busy intervals and  $I$  is an idle interval, see the following figure.



Let  $j$  be the single job scheduled at time slot  $\min A_r$ . We conclude by showing that  $E_j \subseteq I \cup A_r$  and therefore  $\hat{\phi}(I \cup A_r) > 0$ . Otherwise,  $j$  could be scheduled at  $\min I$  or  $\max A_r + 1$ . In the first case, PLTR would have extended  $A_l$  by scheduling  $j$  at time  $\min I$  instead of at  $\min A_r$ . In the second case, PLTR would have extended the idle interval  $I$  by scheduling  $j$  at  $\max A_r + 1$  instead of at  $\min A_r$ .  $\square$

**Lemma 22.** *For every processor  $k$ , every idle interval on processor  $k$  in  $S_{\text{opt}}$  intersects at most two distinct idle intervals of processor  $k$  in  $S_{\text{real}}$ .*

*Proof.* Let  $I_{\text{opt}}$  be an idle interval in  $S_{\text{opt}}$  on processor  $k$  intersecting three distinct idle intervals of processor  $k$  in  $S_{\text{real}}$ . Let  $I$  be the middle of these idle intervals. Lemma 21 and Lemma 19 imply that  $k$  busy processors are required during  $I$  and its neighboring busy intervals. This makes it impossible for  $S_{\text{opt}}$  to be idle on processor  $k$  during the whole interval  $I_{\text{opt}}$ , see the following figure.



□

## 4.4 Approximation Guarantee

Define busy-, idle-, off-, and on-costs as in my thesis.

**Lemma 23.**  $\text{costs}(S_{\text{real}}) \leq 2 \text{OPT} + P$

*Proof.* We first show that  $\text{idle}(S_{\text{real}}^k) \leq 2 \text{off}(S_{\text{opt}}^k) + \text{on}(S_{\text{opt}}^k)$  for every processor  $k \in [m]$ . Let  $\mathcal{I}_1$  be the set of idle intervals on  $S_{\text{real}}^k$  (ending before  $d^*$ ) and intersecting some off-interval of  $S_{\text{opt}}^k$ . Lemma 22 implies that  $\mathcal{I}_1$  contains at most twice as many intervals as there are off-intervals in  $S_{\text{opt}}^k$ . Since the costs of each idle interval are at most  $q$ , and the costs of each off interval are exactly  $q$ , the costs of all idle intervals in  $\mathcal{I}_1$  is bounded by  $2 \text{off}(S_{\text{opt}}^k)$ . Let  $\mathcal{I}_2$  be the set of idle intervals on  $S_{\text{real}}^k$  (ending before  $d^*$ ) not intersecting any off-interval in  $S_{\text{opt}}^k$ . The total length of these intervals is bounded by  $\text{on}(S_{\text{opt}}^k)$ .

We continue by showing that  $\text{busy}(S_{\text{real}}) \leq 2P$ . By construction of  $S_{\text{aug}}$  and the definition of  $\text{Sup}$  and  $\text{close}$ , we introduce at most as many auxiliary busy slots at every slot  $t \in T$  as there are jobs scheduled at  $t$  in  $S_{\text{pltr}}$ : For  $S_{\text{aug}}$ , an auxiliary busy slot is only added for  $t$  with  $\text{crit}(t) \geq 2$  and hence  $\text{vol}(t) \geq 1$ . Furthermore, initially  $\text{Sup}(V) = 2|J(V)|$  for every valley  $V$  and  $\text{Sup}(V)$  is decremented if some  $V'$  intersecting  $V$  is closed during  $\text{fill}(k, T)$ . During  $\text{fill}(k, T)$  every  $t \in T$  is at most closed once (or rather one  $V'$  containing  $t$  is closed). Finally, auxiliary busy slots introduced by  $S_{\text{aug}}$  are used in the subroutine  $\text{close}$ . In conclusion, we have  $\text{costs}(S_{\text{real}}) \leq 2 \text{off}(S_{\text{opt}}) + \text{on}(S_{\text{opt}}) + 2P \leq 2 \text{OPT} + P$ . □

**Theorem 24.**  $\text{costs}(S_{\text{pltr}}) \leq 2 \text{OPT} + P$

*Proof.* We argue that  $\text{costs}(S_{\text{pltr}}) \leq \text{costs}(S_{\text{real}})$ . The theorem then follows from Lemma 23. We do this by transforming  $S_{\text{real}}$  back into  $S_{\text{pltr}}$  without increasing the costs of the schedule. Removing the auxiliary busy slots clearly cannot increase the costs. Since the realignment of  $S_{\text{aug}}$  only moves busy slots between processors, but not between different time slots, we can easily restore  $S_{\text{pltr}}$  (up to permutations of the jobs scheduled on the busy processors at the same time slot) by moving all busy slots back down to the lower numbered processors. By the same argument as in Lemma 2, this does not increase the total costs of the schedule. □

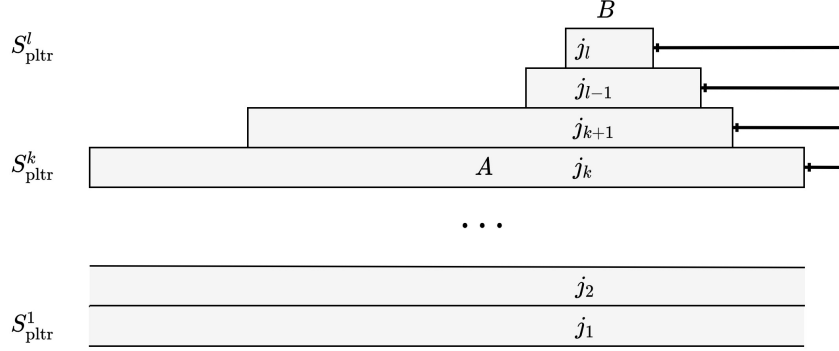
## 5 Running Time

**Theorem 25.** Algorithm PLTR has a running time of  $\mathcal{O}(Fn \log d)$ , where  $F$  is the time needed for the flow calculation in Figure 1.

*Proof.* First observe that every busy interval is created by a pair of calls to  $\text{keepIdle}$  and  $\text{keepBusy}$ , respectively. Every call to  $\text{keepIdle}$  searches for the maximal slot  $t \in T$  after the current time slot such that the maximum-flow calculation in Figure 1 returns a flow of value  $P$ . Using binary search this can be done in  $\mathcal{O}(F \log(d^*))$  with  $F$  denoting the time required for finding the maximum flow.

We bound the number of busy intervals across all processors in  $S_{\text{pltr}}$  by  $n$ . Note that if  $\text{keepIdle}$  returns  $d^*$ , then we do not have to calculate  $\text{keepBusy}$  from  $d^*$  on. Therefore, the total number of calls to  $\text{keepIdle}$  and  $\text{keepBusy}$  is then bounded by  $n + m$ . If  $m > n$  we can restrict our algorithm to use the first  $n$  processors only, as there cannot be more than  $n$  processors scheduling jobs at the same time. We derive the upper bound of  $n$  for the number of busy intervals across all processors by constructing an injective mapping  $f$  from the set of busy intervals to the jobs  $J$ . For this construction of  $f$  we consider the busy intervals in the same order as the algorithm, i.e. from Top-Left to Bottom-Right. We construct  $f$  such that  $f(A) = j$  only if  $d_j \in A$ .

Suppose we have constructed such a mapping for busy intervals on processors  $m, \dots, k$  up to some busy interval  $A$  on  $k$ . We call a busy interval  $B$  in  $S_{\text{pltr}}$  on processor  $l \in [m]$  a *plateau on processor  $l$* , if all slots of  $B$  are idle for all processors above  $l$ . Observe that plateaus (even across different processors) cannot intersect, which implies an ordering of the plateaus from left to right. Let  $B$  be the last plateau with  $B \subseteq A$  and let  $l \geq k$  be the processor for which this busy interval  $B$  is a plateau. By construction of  $f$  and the choice of  $B$ , there are at most  $l - k$  distinct jobs  $j$  with  $d_j \in [\min B, \max A]$  already mapped to by  $f$ . This is since at most  $l - k$  busy intervals on processors  $k + 1, \dots, m$  intersect the interval  $[\min B, \max A]$ . Refer to the following figure for a visual sketch.



Let  $Q_t \subseteq T$  be a tight set over activation  $t := \min B$  of processor  $l$ . Let  $J' := \{j_1, \dots, j_l\}$  be the  $l$  distinct jobs scheduled at  $t$ . We know that  $\max A + 1 \notin C_t$  since  $\text{vol}(\max A + 1) < k \leq l$  and  $\max A + 1 > t$ . With  $\text{vol}(j, Q_t) = \text{fv}(j, Q_t) > 0$  for every  $j \in J'$ , we know that every job  $j \in J'$  with  $d_j > \max A$  is scheduled at slot  $\max A + 1$ . Hence there are at least  $l - (k - 1)$  distinct jobs  $j \in J'$  with  $d_j \in [\min B, \max A]$  and there must be at least one such job  $j^*$  which is not mapped to by  $f$  so far and which we therefore can assign to  $A$ .  $\square$

Use tikz for all figures?

## Todo list

Is it possible to formulate and format keepBusy and keepIdle nicer? . . . . .	4
Also mention here that this is a generalization of the feasibility characterization of Antoniadis et al. (2020)? . . . . .	6
How to replace the term <i>activation</i> (Antoniadis et al. (2020) uses <i>active</i> synonymous with <i>on</i> )? Candidates: <i>start-of-work</i> . . . . .	7
Think about using a different term than <i>to span</i> here, e.g. <i>to partially span</i> or <i>is a section of <math>C</math></i> . . . . .	8
Explicitly make this into a separate lemma? . . . . .	13
Define busy-, idle-, off-, and on-costs as in my thesis. . . . .	15
Use tikz for all figures? . . . . .	16

## References

- A. Antoniadis, N. Garg, G. Kumar, and N. Kumar. Parallel machine scheduling to minimize energy consumption. In *Proceedings of the Thirty-First Annual ACM-SIAM Symposium on Discrete Algorithms, SODA '20*, page 2758–2769, USA, 2020. Society for Industrial and Applied Mathematics.
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