

Local Search for Flowshops with Setup Times and Blocking Constraints

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Abstract

Permutation flowshop scheduling problem (PFSP) is a classical combinatorial optimisation problem. There exist variants of PFSP to capture different realistic scenarios, but the modelling gaps still remain when considering real-world industrial applications such as the cider production line. In this paper, we propose a new PFSP variant that adequately models both overlappable sequence-dependent setup times (SDST) and mixed blocking constraints. We propose a computational model for makespan minimisation of the PFSP variant and show that the time complexity is NP Hard. We then develop a parameter-free constraint guided local search algorithm that uses knowledge-based construction and variable neighbourhood search with greedy selection. The experimental study indicates that the proposed algorithm significantly outperforms the state-of-the-art search algorithms for PFSP on a set of well-known benchmark instances.

Introduction

Permutation Flowshop Scheduling Problems (PFSP) are one of the most well-known machine scheduling problems. A PFSP has a sequence of m machines. Each machine i has a buffer i of a given capacity c_i before the machine to hold the arriving jobs. Each buffer is a first-come-first-serve queuing system. When the current job at machine i being completed, the next job j from a buffer i is removed from the buffer and is then processed by machine i taking given processing time p_{ij} . Each processed job j from machine i then goes to buffer $i + 1$. The PFSP problem is to find a permutation π of a given set of n jobs such that when the jobs are placed in buffer 1 exactly in the permutation order and the flowshop starts running, then the resulting makespan of processing all jobs by all machines is minimised. Assuming $[k]$ denotes the k th job in the permutation π , the *makespan* is the time point when the last job leaves the last machine. In a typical PFSP, each buffer has an infinite capacity and jobs can stay in each buffer for an unlimited period of time. There exist variants of PFSP to capture different realistic scenarios, where each variant poses its own scheduling challenges.

In one PFSP variant, a machine i after processing job $[k]$ needs sequence dependent $s_{i[k][k+1]}$ time to be set up before processing next job $[k + 1]$. Note that the *sequence dependent setup time* (SDST) $s_{i[k][k+1]}$ is neither part of $p_{i[k]}$ nor

of $p_{i[k+1]}$, since it depends on two successive jobs in the permutation. SDSTs are important because these are present in about 70% of industrial activities (Dudek, Smith, and Panwalkar 1974). For example, in the paper cutting industry, the cutting machines need adjustment before starting a different type of cutting batch. In the painting industry, cleaning must be performed before changing the painting colors. More examples could be found in the survey by (Allahverdi 2015).

In another PFSP variant known as *limited-buffer* PFSP, each buffer has a limited capacity. In yet another variant known as *blocking* PFSP, the buffer capacity is zero. This means a job can stay at the machine that processed it and can thus block the machine. Formally, a machine $i < m$ cannot start processing an available job $[k]$ until machine $i + 1$ starts processing job $[k - 1]$. The constraint in the blocking PFSP is known as *Release when Starting Blocking* (RSb). Blocking PFSPs have been studied by (Ribas and Companys 2015; Tasgetiren et al. 2017a).

Besides the *traditional* RSb blocking, there exists a *special* blocking named *Release when Completing Blocking* (RCb)¹ (Martinez de La Piedra 2005) where a machine $i < m$ cannot start processing an available job $[k]$ until job $[k - 1]$ leaves machine $i + 1$. RCb blocking is seen in real-life industries such as waste treatment and aeronautics parts fabrication industries (Martinez de La Piedra 2005). In waste treatment industries, wastes from each cargo is unloaded to a tank and then the wastes flow to the blender. The tank is not available for further unloading until the blending is finished and the blended wastes completely leave the blender.

Despite existence of various PFSP variants, modelling gaps still exist when real-world industrial applications are considered. In this research, we study PFSPs with both SDSTs and mixed blocking constraints (RSb and RCb) considering makespan minimisation as the objective. For each machine, our model allows SDST for the next job to be overlapping with the blocking or idle time of the machine for the current job. Our motivation comes from real-life applications of this PFSP variant, for example, from the cider industry. The cider production process consists of seven stages that include pressing and fermentation. Workers must set up a machine with the right setting and ingredients before starting processing for a specific type of apple juice (thus SD-

¹Should be renamed as *Release when Leaving Blocking* (RLb)

STs). Moreover, apples of a job must stay in the stock until the washing machine is available (RSb constraint) and the next job must stay at the pressing stage until the current job leaves the fermentation stage (RCb constraint).

To the best of our knowledge, there is no available research on PFSPs with both overlapable SDSTs and mixed blocking constraints, although this variant has real-world industrial applications. In this paper, we propose a computational model for PFSPs with overlapable SDSTs and mixed blocking constraints (RSb and RCb) and next show that minimisation of the makespan of the PFSP variant is NP Hard.

In order to solve the studied problem, we present a very efficient parameter-free constraint guided local search algorithm that comprises solution initialisation using knowledge based construction and variable neighbourhood search using greedy selection. To improve the efficiency of the proposed algorithm, we provide a speed-up method that is similar to the one developed by (Li, Wang, and Wu 2009). The proposed algorithm is implemented and tested on a set of benchmark instances. According the experimental results, the proposed algorithm significantly outperforms adapted state-of-the-art local search algorithms for closely related problems.

In the rest of the paper, we first propose the PFSP variant with overlapable SDSTs and blocking constraints RSb and RCb. We then review the related literature. Next, we describe our proposed search algorithm and present the experimental results. Finally, the conclusions is presented.

Proposed Problem Model

Under RSb, a machine cannot start processing a job until the next machine starts processing the previous job. In Figure 1 top, machine 1 starts job 2 and job 3 when machine 2 starts job 1 and job 2 respectively. Under RCb, a machine cannot start processing a job until the previous job leaves the next. In Figure 1 top, machine 2 starts jobs 2 and job 3 when jobs 1 and job 2 leave machine 3 respectively. RCb constraints are more complex and more stringent than RSb constraints. In terms of optimisation search, RSb thus in general requires exploration of more potential solutions than that RCb does.

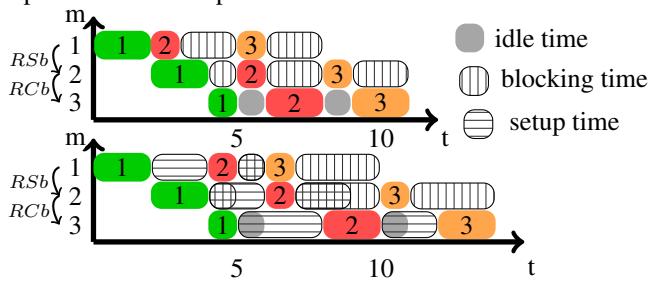


Figure 1: PFSPs with top) RSb and RCb constraints bottom) overlapable SDSTs, and RSb and RCb constraints

In typical PFSPs, machine setup times are either zero or are included in the job processing times. While the former case is not very practical, the latter case is not sequence dependent. In this paper, we will consider the SDST (Sequence Dependent Setup Time). Nevertheless, SDST² for the next

²Should be called Sequence Dependent Switching Time rather than Sequence Dependent Setup Time as is called in the literature, because setup time for the first job is traditionally taken to be zero.

job could be overlapable or not overlapable with the blocking or idle state of the machine holding the current job. Considering our motivation from the cider industry, in this paper, we adopt overlapable SDSTs. We will include the non-overlapable case in a detailed report in future.

In our proposed model for PFSPs with overlapable SDSTs and mixed RSb and RCb blocking constraints, we make one important assumption: setup operations for the next job can be performed as soon as the machine finish the current job regardless of the state that the current job is still on the machine or not. Clearly, setup operations could be deferred if there is a slack period before starting processing the next job. However, such deferral does not pose any further computational challenge. Figure 1 bottom shows the case when SDSTs are overlapable and blocking constraints are mixed. Sometimes blocking or idle times could be larger than SDSTs and sometimes it is other way around. It is worth noting that in the proposed PFSP variant, all other common flowshop assumptions still apply (Baker 1974): (1) all jobs are independent and available beforehand. (2) machines are always available and never break down. (3) jobs put on machines are processed without interruptions and cannot be taken off until the operations to be performed are completed by the respective machines.

Computational Formulas

Assume p_{ij} be the given processing time for job j on machine i and $s_{ijj'}$ be the SDST of machine i after finishing job j and before starting job $j' \neq j$. Given a permutation π of n jobs, also assume $S_{i[k]}$, $C_{i[k]}$, and $L_{i[k]}$ respectively denote the starting, completion, and leaving time points for processing job $[k]$ on machine i . Moreover, assume $\vec{S}_{i[k]}$ and $\vec{C}_{i[k]}$ respectively denote the SDST starting and completion time points before job $[k]$ on machine i . Finally, assume $B_i \in \{\text{RSb}, \text{RCb}\}$ be the type of blocking constraint between machines i and $i+1$ since c_{i+1} is zero. Given a permutation π of n jobs, the makespan $C_\pi = C_{m[n]}$ is the completion time of job $[n]$ on machine m . Makespan computation for PFSPs with overlapable SDSTs and RSb and RCb blocking constraints is far from being straightforward. We define required formulas below.

1. $C_{i[k]} = S_{i[k]} + p_{i[k]} \quad \forall i \in [1, m], \forall k \in [1, n]$
2. $L_{i[k]} = S_{(i+1)[k]} \quad \forall i \in [1, m-1], \forall k \in [1, n]$
 $L_{m[k]} = C_{m[k]} \quad \forall k \in [1, n]$
3. $\vec{S}_{i[k]} = C_{i[k-1]} \quad \forall i \in [1, m], \forall k \in [2, n]$
4. $\vec{C}_{i[k]} = \vec{S}_{i[k]} + s_{i[k-1][k]} \quad \forall i \in [1, m], k \in [2, n]$
5. $S_{1[1]} = 0, \quad S_{i[1]} = C_{(i-1)[1]} \quad \forall i \in [2, m]$
 $S_{1[k]} = \max(\vec{C}_{1[k]}, S_{2[k-1]}) \quad \text{if } B_1 = \text{RSb} \quad \forall k \in [2, n]$
 $S_{1[k]} = \max(\vec{C}_{1[k]}, L_{2[k-1]}) \quad \text{if } B_1 = \text{RCb} \quad \forall k \in [2, n]$
 $S_{i[k]} = \max(C_{(i-1)[k]}, \vec{C}_{i[k]}, S_{(i+1)[k-1]})$
 $\quad \quad \quad \text{if } B_i = \text{RSb} \quad \forall i \in [2, m-1], \forall k \in [2, n]$
 $S_{i[k]} = \max(C_{(i-1)[k]}, \vec{C}_{i[k]}, L_{(i+1)[k-1]})$
 $\quad \quad \quad \text{if } B_i = \text{RCb} \quad \forall i \in [2, m-1], \forall k \in [2, n]$
 $S_{m[k]} = \max(C_{(m-1)[k]}, \vec{C}_{m[k]}) \quad \forall k \in [2, n]$

Formula 1 above computes completion time point of each job on each machine by adding the processing time period

to the starting time point. Formula 2 computes the leaving time point of each job from each machine. A job leaves the last machine as soon as it is finished; otherwise the leaving time point from the current machine is the same as the starting time point of the job on the next machine. Formula 3 computes SDST starting point for each job on a given machine from the completion time point of the previous job on the same machine. Formula 4 then adds SDST period to the SDST starting time point to obtain SDST completion time point. Formula 5 computes the starting time point of each job on each machine. As mentioned in a footnote before, there is no SDST for the first machine and there is no blocking constraint after the last machine. For other machines, the starting time of a job is computed *i*) from its completion on the previous machine, *ii*) from the completion of the SDST period on the same machine, and *iii*) depending on the RSB or RCB constraint, respectively from the starting or leaving time point of the previous job on the next machine.

Illustrative example

Consider the example shown in Figure 1 bottom, where the PFSP with overlapable SDSTs and mixed blocking constraints has 3 machines and 3 jobs. The processing times for each job j on each machine i are shown in the matrix $|p_{ij}|$ below. Also, the SDSTs for each pair of jobs $j \neq j'$ on machine i are shown in the matrix $|s_{ijj'}|$ below. The blocking constraints are $B = \langle RSB, RCB \rangle$.

$$|p_{ij}| = \begin{vmatrix} 2 & 2 & 1 \\ 1 & 1 & 2 \\ 1 & 1 & 2 \end{vmatrix} \quad |s_{ijj'}| = \begin{vmatrix} - & 2 & 2 \\ 1 & - & 1 \\ 1 & 2 & - \end{vmatrix} \begin{vmatrix} - & 2 & 3 \\ 2 & - & 2 \\ 3 & 2 & - \end{vmatrix} \begin{vmatrix} - & 3 & 2 \\ 2 & - & 2 \\ 1 & 3 & - \end{vmatrix}$$

Below we show S, C, L, \vec{S} , and \vec{C} values for the permutation of jobs $\pi = \langle 1, 2, 3 \rangle$, but, not in the order of computation.

$$\begin{aligned} S_{1[1]} &= 0 & C_{1[1]} &= S_{1[1]} + p_{1[1]} = 2 & L_{1[1]} &= S_{2[1]} = 2 \\ S_{2[1]} &= C_{1[1]} = 2 & C_{2[1]} &= S_{2[1]} + p_{2[1]} = 4 & L_{2[1]} &= S_{3[1]} = 4 \\ S_{3[1]} &= C_{2[1]} = 4 & C_{3[1]} &= S_{3[1]} + p_{3[1]} = 5 & L_{3[1]} &= C_{3[1]} = 5 \\ \vec{S}_{1[2]} &= C_{1[1]} = 2 & \vec{C}_{1[2]} &= \vec{S}_{1[2]} + s_{1[1][2]} = 4 \\ \vec{S}_{2[2]} &= C_{2[1]} = 4 & \vec{C}_{2[2]} &= \vec{S}_{2[2]} + s_{2[1][2]} = 6 \\ \vec{S}_{3[2]} &= C_{3[1]} = 5 & \vec{C}_{3[2]} &= \vec{S}_{3[2]} + s_{3[1][2]} = 8 \\ S_{1[2]} &= \max(\vec{C}_{1[2]}, S_{2[1]}) = 4 & C_{1[2]} &= S_{1[2]} + p_{1[2]} = 5 \\ S_{2[2]} &= \max(C_{1[2]}, \vec{C}_{2[2]}, L_{3[1]}) = 6 & C_{2[2]} &= S_{2[2]} + p_{2[2]} = 7 \\ S_{3[2]} &= \max(C_{2[2]}, \vec{C}_{3[2]}) = 8 & C_{3[2]} &= S_{3[2]} + p_{3[2]} = 10 \\ L_{1[2]} &= S_{2[2]} = 6 & L_{2[2]} &= S_{3[2]} = 8 & L_{3[2]} &= C_{3[2]} = 10 \\ \vec{S}_{1[3]} &= C_{1[2]} = 5 & \vec{C}_{1[3]} &= \vec{S}_{1[3]} + s_{1[2][3]} = 6 \\ \vec{S}_{2[3]} &= C_{2[2]} = 7 & \vec{C}_{2[3]} &= \vec{S}_{2[3]} + s_{2[2][3]} = 9 \\ \vec{S}_{3[3]} &= C_{3[2]} = 10 & \vec{C}_{3[3]} &= \vec{S}_{3[3]} + s_{3[2][3]} = 12 \\ S_{1[3]} &= \max(\vec{C}_{1[3]}, S_{2[2]}) = 6 & C_{1[3]} &= S_{1[3]} + p_{1[3]} = 7 \\ S_{2[3]} &= \max(C_{1[3]}, \vec{C}_{2[3]}, L_{3[2]}) = 10 & C_{2[3]} &= S_{2[3]} + p_{2[3]} = 11 \\ S_{3[3]} &= \max(C_{2[3]}, \vec{C}_{3[3]}) = 12 & C_{3[3]} &= S_{3[3]} + p_{3[3]} = 14 \\ L_{1[3]} &= S_{2[3]} = 10 & L_{2[3]} &= S_{3[3]} = 12 & L_{3[3]} &= C_{3[3]} = 14 \end{aligned}$$

Speed-up method

Given a permutation π of n jobs to be scheduled on m machines, computing C_π from scratch requires $\mathcal{O}(n^3m)$ times. However, considering typical insertion and swapping based operations on permutations, we can speed up the makespan calculation significantly (up to 40-50% time saving), particularly in the large instances having large numbers of jobs (Li, Wang, and Wu 2009). Assume two permutations π and

π' are such that first n' jobs are the same in both π and π' . Therefore, for both π and π' , $C_{i,[k]}$ s are the same for $k \leq n'$. We need not calculate these completion time points for π' , if those are already known for π . We only need to compute the completion time points for the subsequent $n - n'$ jobs in π' . This speedup is crucial for time performance of a local search algorithm. Local search algorithms typically evaluate a large number of potential solutions before moving from the current solution to the next solution and these current and potential solution permutations very often differ from each other by a single insertion or swap move.

Time Complexity

We now provide the following lemma to show the time complexity of the proposed PFSP variant.

Lemma 1 *Makespan minimisation of PSFPs with overlapable SDSTs and mixed RSB and RCB blocking constraints are NP Hard when $m > 4$.*

Proof: The proof is trivial. Consider the particular instance that SDSTs are all set to zero. Thus, the RSB-RCB-SDST-PFSP problem is transformed in an RSB-RCB-PFSP problem that is known as NP Hard when $m > 4$ (Martinez et al. 2006).

Proposed Search Algorithm

For the proposed PFSP variant, we develop an effective constraint-guided local search (CGLS) algorithm. Our algorithm shown in Algorithm 1 in each iteration, constructs an initial solution and improves it by local search.

Algorithm 1: Constraint-Guided Local Search

```

1  $\pi^* \leftarrow$  an empty solution
2 while not timeout do
3   if option is 3 and  $\pi^*$  is not empty
4      $\pi \leftarrow$  LocalSearch(Restart( $\pi^*$ ))
5   else  $\pi \leftarrow$  LocalSearch(Construct())
6   if  $C_\pi < C_{\pi^*}$  then  $\pi^* \leftarrow \pi$  // update best
7 return  $\pi^*$  // best solution so far

```

In this work, we develop two construction heuristics (option 1 and 2), one restarting heuristic (option 3) and one local search algorithm that runs in all three options.

Processing Times in Job Sorting for Construction

NEH (Nawaz, Enscore, and Ham 1983) is a very well-known greedy constructive heuristic for PFSP. Assuming $w_j = \sum_{i=1}^m p_{ij}$, NEH first sorts jobs on the non-increasing order of w_j s to obtain a permutation π^o . Let π_k denote a permutation of k jobs and thus represent a partial solution. Starting from π_0 , in each iteration k , NEH then obtains $k+1$ permutations π_{k+1} by inserting job $[k]$ of π^o in all positions of π_k . NEH then selects the π_{k+1} with the minimum $C_{\pi_{k+1}}$ to be used in the next iteration $k+1$.

Sometimes NEH when adapted to other PFSP variants outperform the original NEH. One such NEH variant (let the name be NEH-Raj) (Rajendran 1993) for typical PFSPs uses the non-decreasing order of $w_j = \sum_{i=1}^m (m - i + 1) \times p_{ij}$

to sort the jobs to obtain π^o and thus gives more priorities to jobs with smaller processing times on earlier machines than jobs with larger processing times. Another variant NEH-WPT (Wang, Pan, and Tasgetiren 2011) uses the non-decreasing order of $w_j = \sum_{i=1}^m p_{ij}$ to sort the jobs in PFSPs with RSB blocking constraints. The intuition is that the jobs with higher total processing times may cause to block the successive jobs and to yield larger blocking times than the jobs with less total processing times. Yet another variant NNEH (Riahi et al. 2017) uses the non-decreasing order of $w_j = \sum_{i=1}^m [\gamma \times (m-i+1) \times p_{ij} + (1-\gamma) \times p_{ij}]$ to sort the jobs in PFSPs with mixed blocking constraints. Thus, NNEH combines NEH-Raj with NEH-WPT but is shown to have performed the best when $\gamma = 0.1$ i.e. when more weight is put on NEH-WPT than NEH-Raj.

In this work, as the first construction option, we use the NNEH variant for PFSPs with overlapable SDSTs and mixed blocking constraints. However, instead of using just $\gamma = 0.1$, in each iteration of Algorithm 1, we use a randomly generated γ . Since NEH heuristics are deterministic, a random γ produces a different initial solution in each iteration and ensures search diversity. Note that this option does not use SDSTs in solution construction.

Setup Times in Job Sorting for Construction

As the second construction option, in this work we develop a new NEH variant named SNEH that incorporates SDSTs with NNEH. For this, we define (sequence independent) average setup time $\bar{s}_{ij} = \sum_{j'=1}^{n,j' \neq j} (s_{ijj'} + s_{ij'j}) / (2n - 2)$ for job j on machine i . Then, we redefine $w_j = \sum_{i=1}^m [\beta \times \bar{s}_{ij} + (1 - \beta) \times p_{ij}]$ and use the non-decreasing order of w_j s to sort the jobs. Notice that β is to balance the relative weight of setup time and processing time associated with job j on machine i . We prefer NEH-WPT than NEH-Raj in redefining w_j since NNEH performs the better with $\gamma = 0.1$, meaning NEH-WPT is more prominent than NEH-Raj. Like NEH-WPT, We choose the non-decreasing order of w_j because scheduling jobs with higher w_j will tend to delay scheduling of subsequent jobs. We will later empirically study the effect of β values, but for now, it is sufficient to mention that no dominating β is observed and hence we choose a random β value in each iteration of Algorithm 1.

Path Relinking in Knowledge Based Restart

The two construction options described before suffer from the limitation that the construction process over iterations does not take into account the knowledge learnt in the previous iterations. As the third construction option, we propose a knowledge-based restarting algorithm. For this we use the *path relinking* procedure (Glover 1997), which is usually used in population based local search algorithms as a solution combination method and to diversify the search. In this work, for the first time, we use it in a restarting strategy.

$$\pi^s \circledcirc 2 \circledcirc 3 \circledcirc 5 \circledcirc 1 \circledcirc 4 \rightarrow \circledcirc 3 \circledcirc 2 \circledcirc 5 \circledcirc 1 \circledcirc 4 \rightarrow \circledcirc 3 \circledcirc 4 \circledcirc 2 \circledcirc 5 \circledcirc 1 \rightarrow \circledcirc 3 \circledcirc 4 \circledcirc 2 \circledcirc 1 \circledcirc 5 \pi^t$$

Figure 2: Path relinking procedure using insertion.

Suppose $\pi^s = \langle 2, 3, 5, 1, 4 \rangle$ and $\pi^t = \langle 3, 4, 2, 1, 5 \rangle$ shown in Figure 2 are starting and target solutions respec-

tively. Notice that when compared lexicographically π^s and π^t differ in the first position. To match at that position, we can remove 3 from π^s and insert before 2 and will thus get $\pi^1 = \langle 3, 2, 5, 1, 4 \rangle$. Next, π^1 and π^t differ at the second position. To match at that position, we can remove 4 from π^1 and insert before 2 to obtain $\pi^2 = \langle 3, 4, 2, 5, 1 \rangle$. Then, π^1 and π^t differ at the fourth position. To match at that position, we can remove 1 from π^2 and insert before 5 to obtain $\pi^t = \langle 3, 4, 2, 5, 1 \rangle$. In this way, the path relinking procedure shown in Algorithm 2 visits the intermediate solutions that share properties with π^s and π^t . Path relinking returns the intermediate solution with the least makespan.

Algorithm 2: Path relinking using insertion

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1 Let  $\pi^s$  and  $\pi^t$  be the starting and target solutions.
2  $C_{\pi^*} = \infty$  where  $\pi^*$  is the best intermediate solution.
3  $\pi^m = \pi^s$  // start from  $\pi^s$  to visit intermediate solutions.
4 for  $k = 1$  to  $n$  do
5   if  $\pi^m$  and  $\pi^t$  differ at position  $k$  then
6     Assume  $j = \text{job } [k]$  in the target solution  $\pi^t$ .
7     Remove  $j$  from  $\pi^m$  and insert at position  $k$ .
8     if  $C_{\pi^m} < C_{\pi^*}$  then let  $\pi^* = \pi^m$ .
9 return  $\pi^*$  as the output solution

```

Selection of π^s and π^t and the operator to use (e.g. insertion) affect the performance of the path relinking procedure. In population based search, two solutions from the current populations are used. In this work, we use the best solution found so far as π^s because path relinking has been observed to be performing better when starts from the better solution (Ribeiro, Uchoa, and Werneck 2002). To ensure search diversity, we completely randomly generate a solution and use it as π^t . As the operator, we could use swap instead of insertion, but to keep the restart procedure somewhat consistent with the two construction algorithms, we use insertion. We use SNEH as our construction method when we opt to run path relinking based restarting as our third option.

Constraint Guided Local Search

Local search moves from one solution to another in quest of a better solution in each iteration. In this process, the neighbourhood operators used to generate the potential solutions from the current solution play a crucial role. Insertion and swap operators have been used widely when solutions are permutations. When using insertion, typically a job is randomly selected and removed from then current solution and then inserted in all possible positions to obtain the potential solutions. When using swap, the randomly selected job is swapped with all jobs in the current solution to obtain the potential solutions. Nevertheless, random job selection is predominant e.g. in algorithms by (Riahi and Kazemi 2016; Ruiz and Stützle 2008). In this paper, we proposed a constraint-guided greedy job selection approach.

Algorithm 3 presents our insertion procedure GI that uses the constraint guided greedy job selection approach. First jobs are arranged in the non-increasing order of the total blocking time each job caused. Under blocking constraints, machines are blocked with the current jobs until subsequent

machines are available. We can associate this blocking period of the machine to the job which it is currently holding. Given a solution π , each job $[k]$ has the total blocking $B[k] = \sum_i^{m-1} (R_{(i+1)[k]} - C_{i[k]})$ where $R_{(i+1)[k]} = S_{(i+1)[k]}$ if $B_i = \text{RSb}$ or $R_{(i+1)[k]} = L_{(i+1)[k]}$ if $B_i = \text{RCb}$. According to our greedy heuristic the job $[k]$ that causes the most total blocking $B[k]$ should be selected for removing and inserting back. Our motivation to do this is to fix the most problematic part of the current solution. For space constraints, we do not show the greedy swap GS, random insert RI, and random swap RS procedures, since these could be obvious given the pseudocode of GI.

Algorithm 3: Greedy Insertion (GI)

- 1 Let π be the current solution.
 - 2 Let π^b be the sequence of all jobs when arranged in the non-increasing order of the total blocking time $B[k]$ each job $[k]$ in the current solution π caused.
 - 3 **for** $k = 1$ to n **do**
 - 4 Let j be the job at the k position of π^b .
 - 5 Let π' be the solution with the lowest makespan when n potential solutions are obtained by removing job j from π and then inserted into all possible positions of π .
 - 6 **if** π' has a lower makespan than π
 - 7 let $\pi = \pi'$ and go to Step 2 // first improvement
-

Notice that in our greedy insertion GI (and so is in GS, RI, and RS), we use the *first improvement* strategy rather than the *best improvement* one as we accept the first potential solution better than the current solution. This is to avoid premature convergence of the search (Resende and Ribeiro 2014) and also to improve the time performance.

Given GI, GS, RI, and RS, we can use these neighbourhood operators one at a time or in a mixed way. In this work, we use one of RI and GI rather than both at the same time. Similarly we use one of RS and GS. Also, we use the variable neighbourhood descent (VND) (Mladenović and Hansen 1997) algorithm shown in Algorithm 4. The VND algorithm uses one operator to improve the solution and if fails then uses the next operator. Once an improving solution is found, the first operator is used again. In the experimental section, we will see that using GS as the first operator and GI as the second operator yields the best performance.

Algorithm 4: Variable Neighbourhood Descent

1. Let π be the current solution and $\langle N_1, \dots, N_N \rangle$ be a sequence of neighbourhood operator procedures.
 2. Let $l = 1$ // to denote operator N_l will be used.
 3. While $l \leq N$ do // we use N to be 1 or 2.
 - (a) Find π' as the best neighbouring solution (in terms of makespan) of π when operator procedure N_l is used.
 - (b) **If** $C_{\pi'} < C_{\pi}$ **then** $\pi = \pi'$, $l = 1$ **else** $l = l + 1$.
 4. Return π as the solution.
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Experimental Results

For empirical evaluation, we use 480 instances generated by (Ruiz, Maroto, and Alcaraz 2005). These instances are based on the 120 PFSP instances by (Taillard 1993) and adding four SDST scenarios for each instance. The 120 PFSP instances are made up of 12 groups each comprising 10 instances of the same problem size. The problem sizes for the groups in terms of $n \times m$ combinations are: $\{20, 50, 100\} \times \{5, 10, 20\}$, $\{200\} \times \{10, 20\}$ and $\{500 \times 20\}$. In those instances, the job processing times p_{ij} s are uniformly distributed in the range of $[1, 100]$. To add SDSTs to the 120 instances, (Ruiz, Maroto, and Alcaraz 2005) obtained four scenarios by generating $s_{ijj'}$ uniformly randomly in the ranges of $[1, 10]$, $[1, 50]$, $[1, 100]$ and $[1, 125]$ and named these scenarios as SDST10, SDST50, SDST100 and SDST125, respectively. These scenarios allow us to see the effect of having SDSTs larger and smaller than processing times. To further add blocking constraints, in this work, we consider three scenarios: RSbOnly scenario where blocking constraints are all RSb, RCbOnly scenario where blocking constraints are all RCb, and RSb-RCb scenario where RSb and RCb are used uniformly randomly. For each solver, we run each instance-SDST-blocking scenario combination 5 times. Using a reference makespan C_* (which will be clearly defined later as needed) for each instance each run, we compute $\text{RPD} = 100 \times (C_{\pi} - C_*)/C_*$ and then compute average RPD (ARPd) for an instance over the 5 runs. For space constraints, a further average of ARPds is computed over all 10 instances in each group or even over all 120 instances in each SDST-blocking scenario combination.

For all experiments, we use three different timeouts of τnm milliseconds where $\tau \in \{30, 60, 90\}$. These timeouts give more times to instances having larger n and m . All algorithms are implemented in programming language C and run on the same high performance computing cluster to-be-named at to-be-named university. Each node of the cluster is equipped with Intel Xeon CPU E5-2670 processors @2.60 GHz, FDR 4x InfiniBand Interconnect, having system peak performance 18,949.2 Gflops.

Effect of SNEH Parameter

SNEH algorithm is run with 11 different β values on RSb-RCb blocking scenario. Table 1 shows the ARPds over 120 instances in each SDST scenario where C_* for each instance is the minimum makespan found by any of these 11 settings. Notice that $\beta = 0$ and 1 produce statistically (t test with $\alpha = 0.05$) significantly worse results than $0.1 \leq \beta \leq 0.9$. This means combining NEH-WPT and SDSTs is useful. The average row in Table 1 shows $\beta = 0.1$ produces the best result, but when we look at each SDST scenarios and perform statistical tests, no dominating β is observed. We therefore select β randomly in each iteration of Algorithm 1. Since SNEH is a constructive heuristic and we do not run any local search, there is no timeout in this experiment.

Knowing the best performance of NNEH with $\gamma = 0.1$ and that of SNEH with $\beta = 0.1$, in Table 2, we compare these on RSb-RCb blocking scenarios on each instance group and in each SDST scenarios. Here, C_* is the minimum makespan obtained from the results of the two settings

Table 1: ARPD of SNEH with varying β values in all SDST scenarios but only in RSb-RCb blocking scenario

β	0	0.1	0.2	0.3	0.4	0.5	0.6	0.7	0.8	0.9	1
SDST10	0.53	0.59	0.62	0.60	0.65	0.62	0.59	0.61	0.59	0.58	0.97
SDST50	0.79	0.66	0.71	0.65	0.68	0.73	0.69	0.65	0.67	0.68	1.03
SDST100	5.07	0.84	0.84	0.79	0.76	0.84	0.78	0.77	0.75	0.83	0.97
SDST125	5.38	0.85	0.87	0.90	0.86	0.84	0.83	0.93	0.85	0.97	1.07
Average	2.35	0.61	0.65	0.65	0.67	0.71	0.70	0.73	0.73	0.79	1.01

compared. We see that in all SDST scenarios, SNEH outperforms NNEH, specially on large instances (when $n \geq 50$). However, t-tests with $\alpha = 0.05$ confirms the better performance of SNEH only in SDST50, SDST100, and SDST50 scenarios. SNEH designed to consider SDSTs is not significantly better in SDST10 scenario, because of the relative distribution of the processing times [1, 100] and SDSTs [1, 10].

Table 2: ARPDs of SNEH with $\beta = 0.1$ and of NNEH with $\gamma = 0.1$ in all SDST but only in RSb-RCb blocking scenario.

Instance	SDST10		SDST50		SDST100		SDST125	
	SNEH	NNEH	SNEH	NNEH	SNEH	NNEH	SNEH	NNEH
20×5	0.48	0.32	0.28	1.55	0.00	3.62	0.00	7.45
20×10	1.09	0.33	0.47	0.16	0.00	2.18	0.00	3.17
20×20	0.50	0.47	0.82	0.52	0.31	0.93	0.12	1.42
50×5	0.06	0.52	0.06	1.29	0.00	4.93	0.00	7.82
50×10	0.18	0.46	0.01	1.01	0.00	4.41	0.00	6.22
50×20	0.38	0.43	0.05	0.52	0.00	2.86	0.00	4.81
100×5	0.08	0.38	0.00	2.16	0.00	6.49	0.00	10.27
100×10	0.16	0.42	0.00	1.25	0.00	4.00	0.00	6.17
100×20	0.09	0.26	0.00	0.97	0.00	3.77	0.00	5.18
200×10	0.07	0.35	0.00	2.20	0.00	6.05	0.00	8.21
200×20	0.05	0.40	0.00	1.32	0.00	4.32	0.00	5.98
500×20	0.01	0.33	0.00	2.03	0.00	5.10	0.00	7.15
Average	0.26	0.39	0.14	1.25	0.03	4.05	0.01	6.15

Effect of Variable Neighbourhood

Performance of the VND in Algorithm 4 depends on $\langle N_1, \dots, N_N \rangle$ the sequence of neighbourhood operators used. Given GI, GS, RI, RS, we consider $\mathcal{N} = 1$ or 2 because we take at most one of two insertions GI and RI, and at most one of two swaps GS and RS. This gives us 12 possible neighbourhood operator sequences as shown in Table 3.

Table 3: Potential neighbourhood sequences

Case	1	2	3	4	5	6	7	8	9	10	11	12
N_1	GI	GS	RI	RS	GI	GI	GS	GS	RI	RI	RS	RS
N_2	-	-	-	-	GS	RS	GI	RI	GS	RS	GI	RI

In these experiments, we consider the first construction option with NNEH as our baseline case and use $\tau = 30$ in obtaining the timeout periods. The reference makespan C_* is the lowest makespan obtained after all experiments performed for this paper (including solver comparison stage with $\tau = 90$). Table 4 shows the results for all 12 neighbourhood sequences. The ARPDs are computed from the 40 instances (10×4 SDST scenarios) in each group in RSb-RCb blocking scenario. We see that cases 1-4 have the worst results. This indicates that using two neighbourhood operators increase the performance. Moreover cases 1-2 being better than cases 3-4 confirms the efficiency of greedy job selection

over random job selection. Cases 10 and 12 comprises operators both having randomness and are found to producing much worse results. Case 7 obtains the best result where the neighbourhood operator sequence is $\langle GS, GI \rangle$ and we use this as our final setting. Statistical significance of the performance differences is confirmed by t tests with $\alpha = 0.05$. Sequence $\langle GS, GI \rangle$ is better than sequence $\langle GI, GS \rangle$ because insertion in construction and swap as the first operator in VND perhaps create a better supplementary combination in terms of the search space explored. We observed that for $\langle GS, GI \rangle$, on an average against every 100 GS invocation in the VND algorithm, GI is invoked about 20-30 times.

Table 4: Effect of variable neighbourhood.

Instances	Neighbourhood structure cases											
	n × m	1	2	3	4	5	6	7	8	9	10	11
20×5	0.42	0.45	0.46	0.45	0.29	0.33	0.26	0.31	0.32	0.37	0.33	0.38
20×10	0.62	0.66	0.77	0.88	0.43	0.48	0.39	0.49	0.49	0.58	0.49	0.54
20×20	0.55	0.63	0.68	0.60	0.36	0.42	0.34	0.44	0.43	0.50	0.45	0.47
50×5	1.94	1.93	2.22	2.28	1.14	1.26	1.14	1.42	1.42	1.83	1.53	1.61
50×10	1.65	1.58	1.72	2.09	1.08	1.25	0.99	1.28	1.19	1.47	1.35	1.48
100×5	1.16	1.34	1.27	1.28	0.79	0.87	0.72	0.83	0.92	1.08	0.98	0.98
100×10	1.49	1.59	1.65	2.02	1.01	1.01	0.91	1.05	1.11	1.29	1.19	1.31
100×20	2.00	2.27	2.41	2.54	1.25	1.38	1.24	1.50	1.55	1.87	1.71	1.82
200×10	1.17	1.34	1.26	1.62	0.73	0.78	0.71	0.91	0.87	1.01	0.89	0.94
200×20	2.08	2.24	2.15	2.79	1.38	1.48	1.27	1.56	1.58	1.93	1.58	1.70
500×20	0.86	0.98	0.91	0.93	0.59	0.66	0.53	0.64	0.69	0.82	0.68	0.72
avg	1.33	1.43	1.49	1.65	0.87	0.96	0.81	0.99	1.01	1.21	1.06	1.14

Comparison of Solvers

Using two construction and one restart heuristic, we obtain three solvers CGLS1, CGLS2, and CGLS3.

CGLS1: NNEH with random γ and VND with $\langle GS, GI \rangle$.

CGLS2: SNEH with random β and VND with $\langle GS, GI \rangle$.

CGLS3: SNEH with random β at the beginning and then PathRelinking based restart and VND with $\langle GS, GI \rangle$.

Since there exists no algorithm for the proposed PFSP variant, we adapt state-of-the-art local search algorithms for related problems and compare our solvers with those. In particular, we adapted Iterated Greedy Algorithm (IGA) (Ruiz and Stützle 2008) for PFSPs with SDSTs, and Greedy Randomised Adaptive Search Procedure (GRASP) (Ribas and Companys 2015) for PFSPs with RSb. Adaptation requires only using the model and the makespan computation while components of the search algorithms remain the same.

IGA: This is a single solution based local search algorithm (Ruiz and Stützle 2008) that uses a greedy perturbation instead of a random one. This algorithm uses NEH algorithm as the initial solution, a random insertion based local search and a simulated annealing based acceptance criterion.

GRASP: This algorithm (Ribas and Companys 2015) uses two heuristics in the construction phase and in the local search phase uses a random insertion and a random swap.

Table 5 shows the ARPD values over 120 instances for each SDST-blocking scenario combinations. We see that CGLS3 outperforms all other solvers in all but 2 cases.

To confirm the statistical significance of the results in Table 5, we show the 99% confidence interval plot in Figure 3.

Table 5: ARPD of algorithms for SDST10 instances.

Blocking scenario	SDST scenario	τ	Algorithm				
			IGA	GRASP	CGLS1	CGLS2	CGLS3
RSb-RCb	SDST10	30	0.67	0.82	0.68	0.59	0.53
		60	0.48	0.57	0.50	0.49	0.39
		90	0.34	0.42	0.36	0.40	0.28
	SDST50	30	0.70	0.93	0.79	0.61	0.59
		60	0.51	0.65	0.57	0.50	0.42
		90	0.37	0.49	0.42	0.41	0.31
	SDST100	30	0.87	1.14	1.00	0.74	0.70
		60	0.67	0.83	0.73	0.63	0.50
		90	0.50	0.60	0.54	0.51	0.37
	SDST125	30	1.15	1.39	1.24	0.87	0.79
		60	0.79	1.03	0.89	0.70	0.59
		90	0.55	0.75	0.65	0.56	0.43
RSb	SDST10	30	0.67	0.93	0.71	0.68	0.48
		60	0.49	0.68	0.52	0.52	0.35
		90	0.36	0.49	0.39	0.38	0.26
	SDST50	30	0.81	1.17	0.95	0.61	0.61
		60	0.60	0.83	0.71	0.57	0.44
		90	0.44	0.62	0.52	0.46	0.31
	SDST100	30	1.09	1.47	1.14	0.81	0.76
		60	0.79	1.05	0.87	0.64	0.56
		90	0.55	0.77	0.63	0.54	0.39
	SDST125	30	1.31	1.88	1.51	0.96	0.94
		60	1.00	1.34	1.09	0.80	0.69
		90	0.71	0.98	0.78	0.65	0.50
RCb	SDST10	30	0.76	0.88	0.72	0.54	0.50
		60	0.51	0.58	0.47	0.43	0.33
		90	0.34	0.39	0.32	0.36	0.22
	SDST50	30	0.94	1.18	0.91	0.63	0.73
		60	0.63	0.80	0.60	0.51	0.49
		90	0.42	0.52	0.42	0.41	0.32
	SDST100	30	1.34	1.36	1.27	0.88	0.98
		60	0.87	0.93	0.86	0.68	0.64
		90	0.58	0.62	0.59	0.56	0.42
	SDST125	30	1.47	1.53	1.54	0.93	0.92
		60	0.95	0.98	0.99	0.79	0.76
		90	0.63	0.67	0.66	0.63	0.50

Overlapping of confidence intervals for two methods means there is no significant different between the two methods. As can be seen, CGLS3 is significantly better than the other algorithms. Moreover, CGLS2 that uses SDSTS in SNEH significantly outperforms other algorithms except CGLS3.

Figure 4 top shows the performance of the algorithms over different timeouts. For space constraints, we only show three representative cases. It is observed that each algorithm improves with larger timeouts. Overall, CGLS3 achieves better performance than other algorithms.

While so far we presented summarise results over groups of instances, Figure 4 middle shows detailed results on each of the 120 instances when RSb-RCb and SDST125 scenario combination is used. Clearly CGLS3 significantly outperforms other algorithms. However, ARPDs of all solvers increases in the large problem instances, particularly when $n \geq 50$. For space constraints, we do not show such instance-wise detailed results for other scenarios.

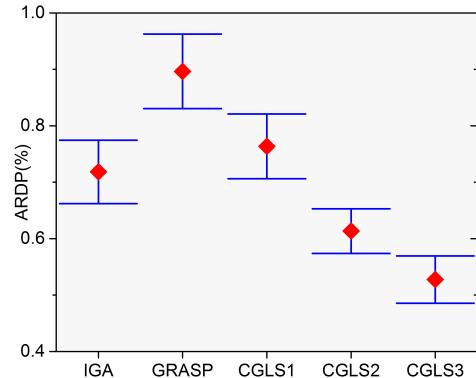


Figure 3: Comparison using 99% confidence interval.

Since there is no lower bound for the studied problem, we compare our results with some lower bounds of makespan obtained by using related problems. When optimal values are not known, lower (or upper) bounds are often obtained by relaxing some constraints and solving the relaxed problems. Assuming no blocking constraints, we can transform our proposed PFSP variant to the PFSP variant only with SDSTS. Then, making further assumption that SDSTS are all zero, we can obtain typical PFSPs. Given the 120 instances by (Taillard 1993), unfortunately, no optimal solution is known either for PFSPs or for PFSPs with SDSTS. Nevertheless, it is obvious that given a problem instance, optimal makespan for the typical PFSP version will be smaller than the optimal makespan for the PFSP variant with SDSTS, which will be smaller than the optimal makespan for the PFSP variant with SDSTS and mixed blocking constraints. In the absence of optimal values for the mentioned PFSP variants, we compare our results with the best known makespan values of the typical PFSPs (Tasgetiren et al. 2017b) and PFSPs with SDSTS (Ruiz and Stützle 2008). However, we note that these comparisons are just indicative and not definitive. Figure 4 bottom shows these results. Notice that the more the SDST periods the wider the gap between the best known makespans for typical PFSPs and that for PFSPs with SDSTS; which is expected. Interestingly, the more the SDST periods, the closer the gap between CGLS3 produced makespans for our proposed variant and the best known makespan for PFSPs with SDSTS. Overlapping of SDSTS and blocking times is behind this.

Related Work

Although the realistic nature, SDST-PFSP have not yet been studied well. (Gupta and Darrow 1986) proposed heuristics for only two machine problems while (Ruiz, Maroto, and Alcaraz 2005) proposed genetic and memetic algorithms, and (Ruiz and Stützle 2008) developed an insertion-based iterated greedy search procedure using the well-known NEH-based algorithm (Nawaz, Enscore, and Ham 1983) in initialisation, insertion operator in local search, and a greedy strategy in perturbation. Recently, (Vanchipura, Sridharan, and Babu 2014) proposed a variable neighbourhood descent (VND) algorithm employing two different heuristics in initialisation while (Sioud and Gagné 2018) proposed an en-

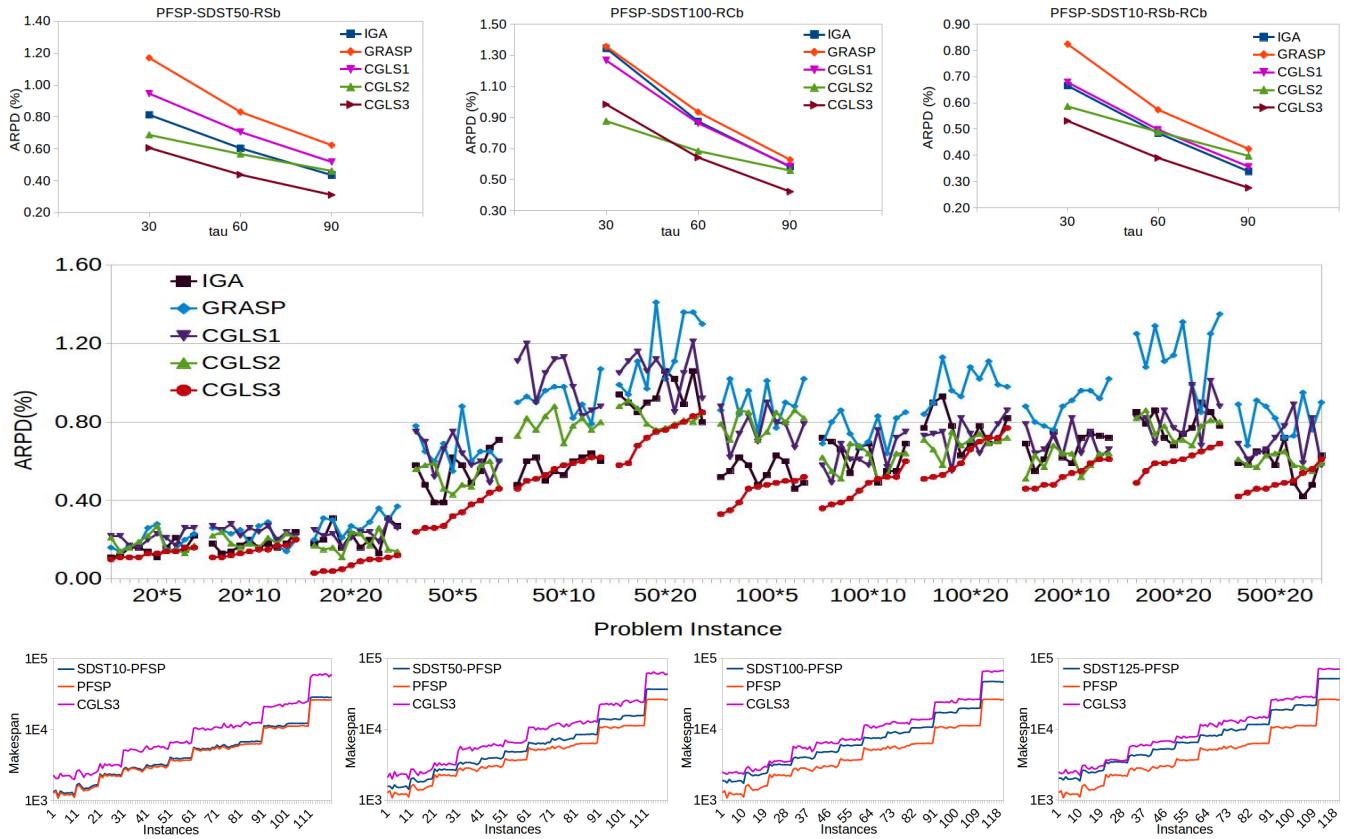


Figure 4: Top: Sample performance of the algorithms over different timeouts; Middle: ARPDs of 120 PFSP instances with SDST125 and RSb-RCb when $\tau = 90$; Bottom: Comparison against lower bounds of makespan obtained from related problem.

hanced migrating bird optimization (MBO) algorithm. A comprehensive review of scheduling research with setup times has been provided by (Allahverdi 2015).

For RSb-PFSP, a number of methods i.e. differential evolution algorithm (Wang et al. 2010), GRASP algorithm (Ribas and Companys 2015), and iterated greedy algorithm (Tasgetiren et al. 2017a) have been presented. On the other hand, for RCb-PFSP, an integer linear programming (ILP) model (Martinez de La Piedra 2005), an electromagnetism like (EM) algorithm (Yuan and Sauer 2007), and a genetic algorithm (Sauvey and Sauer 2012) have been found.

Recently, RSb-RCb-PFSP has attracted much attention as some techniques are developed to solve it e.g. a genetic algorithm (Trabelsi, Sauvey, and Sauer 2012), a bee colony algorithm (Khorramizadeh and Riahi 2015), and a scatter search algorithm (Riahi et al. 2017) have been presented.

A very recent work by (Takano and Nagano 2017) proposed a Mixed Integer Linear Programming (MILP) model for PFSPs with SDSTs and only RSb constraints and presented a branch-bound algorithm for small instances with at most 10 machines and at most 20 jobs. Since PFSPs with overlappable SDSTs and mixed blocking constraints are NP Hard, in this paper we present a constraint guided local search based metaheuristic algorithm.

As we can see, the flowshop with both SDSTs and mixed

RSb-RCb blocking constraints (or even flowshop with both SDSTs and only RCb blocking) has not been studied yet, despite being a realistic problem. Besides the computational model, constraint-guided local search (CGLS) that embed constraints' natures (SDST and blocking constraints) into the search are proposed. Therefore, pursuing three problem-dependent CGLS for the research of the new RSb-RCb-SDST-PFSP, along with the computational model is one of the most logical step.

Conclusions

In this paper, we considered a permutation flowshop scheduling problem (PFSP) with two simultaneous and real constraints: sequence-dependent setup times (SDST) and RSb-RCb blocking constraints. To the best of our knowledge, this is the first attempt to model these two constraints, and we described a computational model for makespan minimisation of the problem. We further developed parameter-free constraint-guided local search algorithms. We conducted a detailed comprehensive experiment with a total of 480 benchmark instances. The results show that the proposed algorithms significantly outperform adapted state-of-the-art methods for related problems. We expect to extend this approach to more complex constraints for a wide range of real world production lines.

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