

# Single-machine Scheduling with Tool Changes: A Constraint-based Approach

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## Abstract

We address the scheduling of a single machine with tool changes in order to minimize total completion time. We propose a constraint-based model that makes use of global constraints and also incorporates various dominance rules. With these techniques, our constraint-based approach is outperforms previous exact solution methods.

## Introduction

This paper addresses the problem of scheduling a single machine with tool changes, in order to minimize the total completion time of the activities. The regular replacement of the tool is necessary due to wear, which results in a limited, deterministic tool life. We note that this problem is mathematically equivalent to scheduling with periodic preventive maintenance, where there is an upper bound on the continuous running time of the machine. After that, a fixed-duration maintenance activity has to be performed.

Our main intention is to demonstrate the applicability of constraint programming (CP) to an optimization problem that requires complex reasoning with constraints on sum-type expressions, a field were CP is generally thought to be in a handicap. We show that indeed, when appropriate global constraints are available to deal with such expressions, CP outperforms other exact optimization techniques. In particular, we would like to illustrate the efficiency of the global COMPLETION constraint (Kovács & Beck 2007), which has been proposed recently for propagating the total weighted completion time of activities on a single unary resource.

For this purpose, we define a constraint model of the scheduling problem. The model makes use of global constraints, and also incorporates various dominance properties described as constraints. A simple branch and bound search is used for solving the problem. We show in computational experiments that the proposed approach can outperform all previous exact optimization methods known for this problem.

The paper is organized as follows. After reviewing the related literature, we give a formal definition of the problem and outline some of its basic characteristics. Then, we propose a constraint-based model of

the problem. The algorithms used for propagating the global constraints that are crucial for the performance of our solver are presented. Afterwards, the branch and bound search procedure we used is introduced. Finally, experimental results are presented and conclusions are drawn.

## Related Work

The problem studied in this paper has been introduced independently in the periodic maintenance context by Qi, Chen, & Tu (1999) and in the tool changes context by Akturk, Ghosh, & Gunes (2003). Its practical relevance is underlined in (Gray, Seidmann, & Stecke 1993), where it is pointed out that in many industries tool change induced by wear is ten times more frequent than change due to the different requirements of subsequent activities. Also, in some industries, e.g. in metal working, tool change times can dominate actual processing times (Tang & Denardo 1988).

Akturk, Ghosh, & Gunes (2003) proposed a mixed-integer programming (MIP) approach and compared the performance of various heuristics on this problem. The basic properties of the scheduling problem have been analyzed and the performance of the Shortest Processing Time (SPT) schedules evaluated in (Akturk, Ghosh, & Gunes 2004). Three different heuristics have been analyzed and a branch and bound algorithm proposed by Qi, Chen, & Tu (1999). The performance of four different MIP models have been compared in (Chen 2006a).

The same problem has been considered with different objective criteria, including makespan (Chen 2007b; Ji, He, & Cheng 2007), maximum tardiness (Liao & Chen 2003), and total tardiness (Chen 2007a). In (Akturk, Ghosh, & Kayan 2007), the model is extended to controllable activity durations, where there are several execution modes available for each activity to balance between manufacturing speed and tool wear. The basic model with several tool types has been investigated by Karakayali & Azizoğlu (2006). A slightly different problem, in which maintenance periods are strict, i.e. the machine has to wait idle if activities complete earlier than the end of the period, has been investigated in (Chen 2006b).

A brief introduction to constraint-based scheduling is given in (Barták 2003), while an in-depth presentation of the modeling and solution techniques can be found in (Baptiste, Le Pape, & Nuijten 2001).

## Problem Definition and Notation

There are  $n$  non-preemptive activities  $A_i$  to be scheduled on a single machine. Activities are characterized by their durations  $p_i$ , and are available from time 0. Processing the activities requires a type of tool that is available in an unlimited number, but has a limited tool life,  $TL$ . Worn tools can be replaced with a new one, but only without interrupting activities. This change requires  $TC$  time. It is assumed that  $\forall i p_i \leq TL$ , because otherwise the problem would have no solution. The objective is to determine the start times  $S_i$  of the activities and start times  $t_j$  of tool changes such that the total completion time of the activities is minimal.

Constraint programming uses inference during search on the current domains of the variables. The minimum and maximum values in the current domain of a variable  $X$  will be denoted by  $\check{X}$  and  $\hat{X}$ , respectively. Hence,  $\check{S}_i$  will stand for the earliest start time of activity  $A_i$ , and  $\hat{C}_i$  for its latest finish time.

The above parameters and the additional notation used in the paper is summarized in Fig. 1. We assume that all data are integral. A sample schedule is presented in Fig. 2.

$n$	- Number of activities
$p_i$	- Duration of activity $A_i$
$p_{min}$	Minimum duration of activities $A_i$
$TL$	Tool life
$TC$	Tool change time
$S_i$	Start time of activity $A_i$
$C_i$	End (completion) time of activity $A_i$
$t_j$	(Start) time of the $j$ th tool change
$a_j$	Number of activities processed after the $j$ th tool change
$b_j$	Number of activities processed before the $j$ th tool change
$\check{X}$	Minimum value in the domain of variable $X$
$\hat{X}$	Maximum value in the domain of variable $X$

Figure 1: Notation

## Basic Properties

The single-machine scheduling problem with tool changes, denoted as  $1|tool\_changes|\sum_i C_i$ , has been proven to be NP-hard in the strong sense in (Akturk, Ghosh, & Gunes 2004). The same paper and (Qi, Chen, & Tu 1999) also investigated properties of optimal solutions. Below we outline these properties, in conjunction with a symmetry breaking rule that can also be exploited to increase the efficiency of solution algorithms.

**Property 1** (No-wait schedule) Activities must be scheduled without any waiting time between them, apart from the tool change times.

**Property 2** (SPT within tool) Activities executed with the same tool must be sequenced in the SPT order.

**Property 3** (Tool utilization) The total duration of activities processed with the  $j$ th tool is at least  $TL - p_j^{minalter} + 1$ , where  $p_j^{minalter}$  is the minimal duration of activities processed with tools  $j' > j$ .

**Consequence** Every tool, except for the last one, is utilized during at least  $U_{min} = TL - p_{min} + 1$  time, where  $p_{min}$  is the shortest activity duration. Hence, the number of tools required is at most  $\sum_{i=1}^n p_i / U_{min}$ .

**Property 4** (Activities per tool) The number of activities processed using the  $j$ th tool is a non-increasing function of  $j$ .

**Property 5** (Symmetry breaking) There exists an optimal schedule in which for any two activities  $A_i$  and  $A_j$  such that  $p_i = p_j$  and  $i < j$ ,  $A_i$  precedes  $A_j$ .

## Modeling the Problem

In our constraint model we apply a so-called *machine time* representation, which considers only the active periods of the machine. It exploits that the optimal solution is a no-wait schedule (see Property 1), and contracts each tool change into a single point in time, as shown in Fig. 3. Then, a solution corresponds to a sequencing of the activities, with the last activity ending at  $\sum_i p_i$ , and instantaneous tool changes between them.

The objective value of a schedule in the machine time representation takes the form

$$\sum_{i=1}^n C_i + TC \sum_{j=1}^m a_j.$$

Technically it will be easier to work with  $b_j$  than with  $a_j$ , hence, we rewrite the objective function to the equivalent form

$$\sum_{i=1}^n C_i + TC \sum_{j=1}^m (n - b_j).$$

We decompose this function to  $K_1 = \sum_{i=1}^n C_i$  and  $K_2 = TC \sum_{j=1}^m (n - b_j)$ . Note that  $K_1$  corresponds to the total completion time without tool changes, while  $K_2$  represents the effect of introducing tool changes.

The variables in the model are the start times  $S_i$  of the activities, the times  $t_j$  of the tool changes, and the number of activities processed before the  $j$ th tool change,  $b_j$ . The two cost components  $K_1$  and  $K_2$  are also handled as model variables. For the sake of brevity,

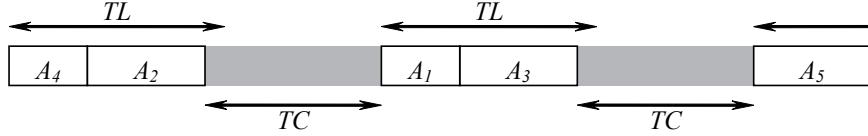


Figure 2: A sample schedule. Wall clock time representation.

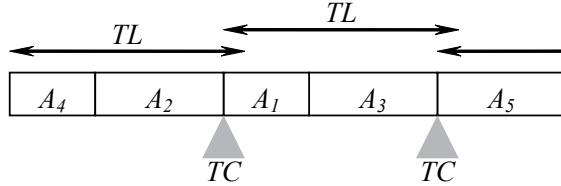


Figure 3: Machine time representation of the sample schedule.

we also use  $C_i = S_i + p_i$  to denote the end time of activity  $A_i$ .

Then, the problem consists of minimizing  $K_1 + K_2$  subject to

- (c1) Time window constraints, stating  $\forall i : S_i \geq 0$  and  $C_i \leq \sum_i p_i$ ;
- (c2) Resource capacity constraint: at most one activity can be processed at any point in time;
- (c3) Activities are not interrupted by tool changes:  $\forall i, j : C_i \leq t_j \vee S_i \geq t_j$ ;
- (c4) Limited tool life:  $\forall j : t_{j+1} - t_j \leq TL$ ;
- (c5) Property 3 holds:  $\forall j : t_{j+1} - t_j \geq TL - p_{min} + 1$ ;
- (c6) Property 4 holds:  $\forall j : b_j - b_{j-1} \geq b_{j+1} - b_j$ ;
- (c7) Property 5 holds:  $\forall i_1, i_2$  such that  $i_1 < i_2$  and  $p_{i1} = p_{i2}$ :  $C_{i1} \leq S_{i2}$ ;
- (c8) The total completion time of activities  $A_i$  is  $K_1$ ;
- (c9) The number of activities that end before  $t_j$  is  $b_j$ ;
- (c10)  $K_2 = TC \sum_{j=1}^m (n - b_j)$ .

Note that while constraints c1-c4 and c8-c10 are fundamental elements of our model, c5-c7 incorporate dominance rules to facilitate stronger pruning of the search space. All the ten constraint can be expressed by languages of common constraint solvers. However, significant improvement in performance can be achieved by applying dedicated global constraints for propagating c8 and c9. We discuss those global constraints in detail in the next section.

## Propagation Algorithms for Global Constraints

Below, both for c8 and c9, we first present how the constraint can be expressed in typical constraint languages. Then, we introduce a dedicated global constraint and a

corresponding propagation algorithm for either of them, in order to strengthen pruning.

### Total Completion Time

The typical way of expressing the total completion time of a set of activities in constraint-based scheduling is posting a sum constraint on their end times:  $K = \sum C_i$ . However, the sum constraint, ignoring the fact that the activities require the same unary resource, assumes that all of them can start at their earliest start times. This leads to very loose initial lower bounds on  $K$ ; in the present application  $\bar{K} = \sum_i p_i$ .<sup>1</sup>

In order to achieve tight lower bounds on  $K$  and strong back propagation to the start time variables  $S_i$ , the COMPLETION constraint has been introduced in (Kovács & Beck 2007) for the total weighted completion time of activities on a unary capacity resource. Formally, it is defined as

$$\text{COMPLETION}([S_1, \dots, S_n], [p_1, \dots, p_n], [w_1, \dots, w_n], K)$$

and enforces  $K = \sum_i w_i(S_i + p_i)$ . Checking generalized bounds consistency on the constraint requires solving  $1|r_i, d_i| \sum w_i C_i$ , a single machine scheduling problem with release times and deadlines and upper bound on the total weighted completion time. This problem is NP-hard, hence, cannot be solved efficiently each time the COMPLETION constraint has to be propagated. Instead, our propagation algorithm filters domains with respect to the following *relaxation* of the above problem.

The *preemptive mean busy time* relaxation (Goemans *et al.* 2002), denoted by  $1|r_i, pmtn| \sum w_i M_i$ , involves scheduling preemptive activities on a single machine with release times respected, but deadlines disregarded.

<sup>1</sup>The lower bound is a little tighter if symmetry breaking constraints (c7) are present to increase the earliest start times of some activities.

It minimizes the total weighted mean busy times  $M_i$  of the activities, where  $M_i$  is the average point in time at which the machine is busy processing  $A_i$ . This is easily calculated by finding the mean of each time point at which activity  $A_i$  is executed. This relaxed problem can be solved to optimality in  $O(n \log n)$  time.

The COMPLETION constraint filters the domains of the start time variables by computing the cost of the optimal preemptive mean-busy time relaxation *for each activity  $A_i$  and each possible start time  $t$*  of activity  $A_i$ , with the added constraint that activity  $A_i$  must start at time  $t$ . If the cost of the relaxation is greater than the current upper bound, then  $t$  is removed from the domain of  $S_i$ . Clearly, the naive computation of all these relaxed solutions would be computationally intractable. The main contribution of (Kovács & Beck 2007) is showing that for each activity it is sufficient to compute relaxed solutions for a limited number of different values of  $t$ , and that subsequent relaxed solutions can be computed iteratively by a permutation of the activity fragments in previous solutions. For a detailed presentation of this algorithm and the COMPLETION constraint, in general, readers are referred to the above paper.

### Number of Activities before a Tool Change

Constraint c8 describes a complex global property of the schedule. Standard CP languages make it possible to express this property with the help of binary logical variables indicating whether a given activity ends before a point in time, i.e.

$$y_{i,j} = \begin{cases} 1 & \text{if } C_i \leq t_j \\ 0 & \text{otherwise.} \end{cases}$$

Then,  $b_j$  can be computed as  $b_j = \sum_i y_{i,j}$ . This representation would be very inefficient, but implementing a global constraint for this purpose is rather straightforward.

The NBEFORE global constraint states that given activities  $A_i$  that have to be executed on the same unary resource, the number of activities that can be completed before time  $t_j$  is exactly  $b_j$ :

$$\text{NBEFORE}([S_1, \dots, S_n], t_j, b_j)$$

The propagation algorithm for this global constraint is presented in Fig. 4. It first determines the set of activities  $M$  that *must be* executed before  $t_j$ , and the set of activities  $P$  that are *possibly* executed before  $t_j$ . Computing the minimal (maximal) number of activities scheduled before  $t_j$  is performed by sorting  $P$  by non-decreasing duration, and then selecting the activities that have the highest (lowest) durations. The algorithm completes by updating  $\check{b}_j$ ,  $\hat{b}_j$ , and  $\check{t}_j$ . The time complexity of the propagator is  $O(n \log n)$ , which is the time needed for sorting  $P$ .

We note that it is straightforward to extend this algorithm with propagation from  $m_j$  and  $t_j$  to  $S_i$ , and also to  $\hat{t}_j$ . This extension has been implemented, but

did not achieve additional pruning, and therefore it has been later omitted.

### A Branch and Bound Search

We apply a branch and bound search that exploits the dominance properties identified for the problem. It constructs a schedule chronologically, by fixing the start times of activities and the times of tool changes. In each node it selects, according to the SPT rule, the minimal duration unscheduled activity  $A^*$  that can be scheduled next. The algorithm first checks if one of the following dominance rules can be applied at this phase of the search.

- If the remaining activities can all be scheduled without any tool changes, then  $A^*$  must be scheduled immediately, because all the unscheduled activities must be scheduled according to the SPT rule. See Property 2 and lines 4-5 of the algorithm.
- If  $A^*$  cannot be performed before the next tool change, then no unscheduled activities can be performed before the next tool change, since none of them have shorter durations than  $A^*$ . Therefore the next tool change must be performed immediately. See Property 1 and lines 6-7 of the algorithm.

If one of the dominance rules can be applied, then the algorithm adds the inferred constraint, which may trigger further propagation, and then reselects  $A^*$  w.r.t. the new variable domains. Otherwise, it creates two children of the current search node, according to whether

- $A^*$  is scheduled immediately and the next tool change is performed after (but not necessarily immediately after)  $A^*$ ; or
- $A^*$  is scheduled after the next tool change.

In the latter case, it also adds the constraint that another activity must be scheduled before the next tool change. Hence, the next tool change must be performed after  $C_{min}$ , which is the lowest among the end times of unscheduled activities (see line 9). Note that  $C_{min}$  exists because if there is an unscheduled activity ( $A^*$ ), then there are at least two unscheduled activities.

Also observe that the initial solution found by this branch and bound is the SPT schedule.

### Experimental Result

We ran computational experiments to evaluate the performance of the proposed CP approach from two aspects. First, we compared it to previous exact solution methods. Second, we addressed understanding how much the COMPLETION and NBEFORE global constraints improve the performance of our CP model compared to models using only tools of standard CP solvers.

All models and algorithms have been implemented in Ilog Solver and Scheduler version 6.1. The experiments were run on a 2.53 GHz Pentium IV computer with 760 MB of RAM.

```

1 PROCEDURE Propagate()
2    $M = \{A_i \mid \hat{S}_i < \check{t}_j\}$ 
3    $P = \{A_i \mid \check{C}_i < \check{t}_j\} \setminus M$ 
4   Sort  $P$  by non-decreasing duration
5    $k_{min} = \min$  number of activities in  $P$  with total duration  $\geq \check{t}_j - \sum_{A_i \in M} p_i$ 
6    $k_{max} = \max$  number of activities in  $P$  with total duration  $\leq \check{t}_j - \sum_{A_i \in M} p_i$ 
7    $\check{b}_j = |M| + k_{min}$ 
8    $\hat{b}_j = |M| + k_{max}$ 
9    $\check{t}_j = \sum_{A_i \in M} p_i + \text{total duration of the } \check{b}_j \text{ shortest activities in } |P|$ 

```

Figure 4: Algorithm for propagating the NBEFORE constraint.

```

1 WHILE there are unscheduled activities
2    $A^* = \text{Unscheduled activity with min } \check{S}_{A^*}, \min p_{A^*}$ 
3    $T = \text{Earliest tool change time with } \hat{T} > \check{S}_{A^*}$ 
4   IF there is no such  $T$ 
5     ADD  $S_{A^*} = \check{S}_{A^*}$  (Property 2)
6   ELSE IF  $\hat{T} < \check{C}_{A^*}$ 
7     ADD  $T = \check{S}_{A^*}$  (Property 1)
8   ELSE
9      $C_{min} = \min \check{C}_i$  of unscheduled activities  $A_i \neq A^*$ 
10    BRANCH:
11      -  $S_A = \check{S}_A$  and  $C_A \leq T$ 
           -  $S_A \geq T$  and  $T \geq C_{min}$ 

```

Figure 5: Pseudo-code of the search algorithm.

Two different problem sets were used for the experiments. The first was generated as instances in (Qi, Chen, & Tu 1999), the second as in (Akturk, Ghosh, & Gunes 2003). Qi, Chen, & Tu (1999) took activity durations randomly from the interval [1, 30] and fixed the value of  $TC$  to 10. Values of  $n$  have been taken from {15, 20, 25, 30}, and  $TL$  from {50, 60, 70, 80}. We generated ten instances with each combination of  $n$  and  $TL$ , which resulted in 160 problem instances. The time limit for these problems was set to 120 seconds.

In (Akturk, Ghosh, & Gunes 2003), in order to obtain instances with different characteristics, four parameters of the generator were varied, each having a low and a high value. These parameters were the mean and the range of the durations ( $MD$  and  $RD$ ), the tool life ( $TL$ ), and the tool change time ( $TC$ ). Generating ten 20-activity instances with each combination of the parameters resulted in  $2^4 \cdot 10 = 160$  instances. Since this set contains harder instances, and we used this set for experiments with naive models, we set the time limit to two hours.

We did not perform comparisons with the MIP models proposed in (Chen 2006a), because that paper presents experimental results only on very easy instances containing few (in most cases only one) tool changes over the scheduling horizon.

## Results on Qi's Instances

The results achieved on the first problem set are displayed in Table 1. Each row contains cumulated results for ten instances with a given value of  $n$  and  $TL$ . Column  $Opt$  shows the number of instances for which the optimal solution has been found and optimality has been proven, column  $Nodes$  contains the average number of search nodes, and  $Time$  the average search time in seconds.  $Nodes$  and  $Time$  also contain the effort needed for proving optimality.

The results show that our CP approach can solve instances with up to 30 activities to optimality. Instances with a short tool life and hence, many tool changes are more challenging. This is due to the poorer performance of the SPT heuristic, and higher importance of the bin packing aspect of the problem with low  $TL$ . In contrast, Qi, Chen, & Tu (1999) report that their algorithm achieved an average solution time of 55.94 - 3.57 seconds on the 20-activity instances, depending on the value of  $TL$ , and their algorithm could not cope with larger problems.

## Results on Akturk's Instances and Comparison to Naive Models

Experimental results on the instances from (Akturk, Ghosh, & Gunes 2003) are presented in Table 2. The results on the l.h.s. have been achieved by a naive model

<i>n</i>	<i>TL</i>	Opt	Nodes	Time
15	50	10	49	0.0
	60	10	76	0.0
	70	10	17	0.0
	80	10	19	0.0
20	50	10	7183	3.7
	60	10	133	0.0
	70	10	84	0.0
	80	10	46	0.0
25	50	10	99239	78.0
	60	10	1126	0.4
	70	10	979	0.2
	80	10	1082	0.6
30	50	9	230088	212.5
	60	10	55374	46.9
	70	10	7877	6.6
	80	10	1721	1.1

Table 1: Experimental results on instances from (Qi, Chen, & Tu 1999): number of instances where optimality has been proven (Opt), average number of search nodes (Nodes), and average solution time in seconds (Time).

with sum back propagation instead of the COMPLETION constraint, the results on the r.h.s. by the complete CP model. We did not investigate the models without the NBEFORE constraint, since they seemed to be beyond remedy.

Each row displays data belonging to a given choice of parameters *RD*, *MD*, *TL*, and *TC*, as shown in the leftmost columns. While the COMPLETION model managed to solve all instances to optimality and also proved optimality, the sum model missed finding the optimum for 2 instances and proving optimality in 5 cases. The COMPLETION model was 10 times faster on average than the sum model.

These results confirm that short tool life implies many tool changes and renders problems more complicated for our model. Low mean duration makes things easier, which is probably due to the higher number of symmetric activities, since these activities can be ordered a priori. Although a low range of durations has a similar effect, it also has a negative impact on the performance of the SPT heuristic, among which the latter seems to be the stronger.

Compared to the MIP approach presented in (Akturk, Ghosh, & Gunes 2003) our CP model solves more instances, and does this more quickly: the MIP model achieved an average solution time of 1904 seconds, it was not able to solve all instances, and for the 15% of the instances it found worse solutions than one of the heuristics.

## Conclusion

A constraint-based approach has been presented to single machine scheduling with tool changes. The pro-

posed model outperforms previous exact optimization methods known for this problem. This result is significant especially because the problem requires complex reasoning with sum-type formulas, which does not belong to the traditional strengths of constraint programming. This was made possible by two algorithmic techniques: global constraints and dominance rules. Specifically, we applied the recently introduced COMPLETION constraint to propagate total completion time, and defined a new global constraint, NBEFORE, to compute the number of activities that complete before a given point in time. Furthermore, we could formulate the known dominance properties as constraints in the model.

The introduced model can be easily extended with constraints on the number of tools and with weighted activities. It can be adapted to other regular optimization criteria, such as minimizing makespan, or maximum or total tardiness. However, it seems to be impractical to apply this model to multiple-machine problems with precedence constraints between machines, because the time scales would differ machine by machine.

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MD	RD	TL	TC	Sum				COMPLETION			
				Opt	MRE	Nodes	Time	Opt	MRE	Nodes	Time
L	L	L	L	10	0	1891018	529.9	10	0	38128	23.3
L	L	L	H	10	0	968087	205.9	10	0	102237	52.1
L	L	H	L	10	0	79344	11.9	10	0	237	0.1
L	L	H	H	10	0	12269	1.6	10	0	73	0.0
L	H	L	L	10	0	667659	171.8	10	0	3692	2.3
L	H	L	H	10	0	127866	23.7	10	0	78955	25.7
L	H	H	L	10	0	78775	13.2	10	0	27	0.0
L	H	H	H	10	0	6664	0.7	10	0	29	0.0
H	L	L	L	7	1.71	16430139	3548.8	10	0	1614494	596.4
H	L	L	H	10	0	5606737	1018.0	10	0	47902	25.1
H	L	H	L	10	0	2170750	357.9	10	0	895	0.3
H	L	H	H	10	0	222435	40.6	10	0	9023	3.6
H	H	L	L	8	0	6020041	2102.8	10	0	81249	43.9
H	H	L	H	10	0	186735	35.7	10	0	23214	11.3
H	H	H	L	10	0	86856	12.5	10	0	20	0.0
H	H	H	H	10	0	154639	19.2	10	0	1648	0.8

Table 2: Experimental results on instances from (Akturk, Ghosh, & Gunes 2003), for models using sum and COMPLETION back propagation: number of instances where optimality has been proven (Opt), mean relative error in percents (MRE), average number of search nodes (Nodes), and average solution time in seconds (Time).

Chen, J.-S. 2007b. Scheduling of nonresumable jobs and flexible maintenance activities on a single machine to minimize makespan. *European Journal of Operational Research* (to appear).

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