

UNWEIGHTED PARALLEL MACHINE SCHEDULING: A META-HEURISTIC APPROACH

M.O. Adamu
Department of Mathematics, University of Lagos,
Lagos, Nigeria.
madamu@unilag.edu.ng

A. Adewunmi
School of Mathematics, Statistics and Computer
Science, University of Kwazulu-Natal, Durban,
South Africa.
adewumia@ukzn.ac.za

ABSTRACT

This article considers the due window scheduling problem to minimize the number of early and tardy jobs on identical parallel machines ($Pm | \sum(U_j + V_j)$). This problem is known to be NP complete and finding an optimal solution is unlikely. Three meta-heuristics and their hybrids are proposed with extensive computational experiments conducted. The overall best among them is Simulated Annealing hybrid. Detailed comparative tests were also conducted to analyze the different heuristics.

Keywords: Parallel Machine, Heuristics, Just-In-Time, Meta-heuristic, NP Complete

1. Introduction

Due to more emphasis on satisfying customers in service provision, due-date related objectives are becoming important in scheduling. In this article, the objective of minimizing the number of early and tardy jobs is considered; a situation where more jobs are completed between their due windows (due-dates). This objective is practical in real world situation to attain a better customer service rating. A comparative study of several heuristics is considered for solving this problem. In the identical parallel machine problem, n jobs are to be processed on m machines assuming the following facts:

- A job is completed when processed by any of the machines
- A machine can process only one job at a time
- Once a job is being processed, it cannot be interrupted
- All jobs are available from time zero
- The weights of the jobs are equal

- All processed jobs are completed within their due windows

During the past few decades, a considerable amount of work has been done on scheduling on multiple machines to minimize the number of tardy jobs (see Adamu and Adewunmi [1] and on single machine (see Adamu and Adewunmi [2])). Garey and Johnson [3] have shown our problem to be NP-complete and finding an optimal solution appears unlikely. Using the three-field notation of Graham et al [4], the problem is represented as $Pm | \sum(U_j + V_j)$. Scheduling to minimize the (weighted) number of tardy jobs have been considered by Ho and Chang [5], Süer *et al* [6], Süer [7], Süer *et al* [8], Van der Akker [9], Chen and Powell [10], Liu and Wu [11], and M'Hallah and Bulfin [12]. Other articles are Sevaux and Thomine [13], Baptiste *et al* [14], Dauzère-Pérès and Sevaux [15], Sevaux and Sörensen [16], Li [17], Hiraishi *et al* [18], Sung and Vlach [19], Lann and Mosheiov [20], Čepek and Sung [21] and Janiak *et al* [22]. Adamu and Abass [23] proposed four greedy heuristics for the $Pm | \sum w_j (U_j + V_j)$ problem and extensive computational experiments performed. Adamu and Adewunmi [24] proposed some Meta-heuristics and their hybrids to solve the problem considered by Adamu and Abass [23] and found them performing better.

2. Problem Formulation

Let there be an independent set, $N = \{1, 2, \dots, n\}$ of jobs that are to be scheduled on m parallel identical machines, which are immediately available from time zero, each having an interval rather than a point in time, called due window of the job. The left end and the right end of the window are respectively called the earliest due date (i.e. the instant at which a job becomes available for delivery), and the latest due date (i.e. the instant by which processing or delivery of a job must be completed). There is no penalty when a job is completed within the due window, but for earliness or tardiness, penalty is incurred when a job is completed before the earliest due date or after the latest due date. Each job $j \in N$ has a processing time p_j , earliest due date a_j , and latest due date d_j , it is assumed that there is no preemptions and only one job is allowed to be processed on a given machine at any given time. For

any schedule S , let t_{ij} and $C_{ij}(S) = t_{ij} + p_j$ represent the actual start time on a given machine and completion time of job j on machine i , respectively. Job j is said to be early if $C_{ij}(S) < a_j$, tardy if $C_{ij}(S) > d_j$ and on-time if $a_j \leq C_{ij}(S) \leq d_j$. For any job j , the number of early and tardy jobs (Liu and Wu [11])

$$U_j = \text{int} \left\{ \frac{1}{2} \text{sign}[C_{ij}(S) - p_j] + \frac{1}{2} \right\}$$

Where we define that

$$\text{sign}[C_{ij}(S) - p_j] = \begin{cases} 1, & \text{if } a_j > C_{ij}(S) > d_j \\ -1, & a_j \leq C_{ij}(S) \leq d_j \end{cases}$$

and that int is the operation of making an integer.

Obviously,

$$U_j = \begin{cases} 1, & \text{if } a_j > C_{ij}(S) > d_j \\ 0, & a_j \leq C_{ij}(S) \leq d_j \end{cases}$$

Therefore, the problem of scheduling to minimize the number of tardy jobs on identical parallel machines can be formulated as W.

$$W = \sum_{i=1}^m \sum_{j=1}^n U_j = \sum_{i=1}^m \sum_{j=1}^n \text{int} \left\{ \frac{1}{2} \text{sign}[C_{ij}(S) - p_j] + \frac{1}{2} \right\} \quad (1)$$

Min

$$\sum_{i=1}^m \sum_{j=1}^n U_j = \min \sum_{i=1}^m \sum_{j=1}^n \text{int} \left\{ \frac{1}{2} \text{sign}[C_{ij}(S) - p_j] + \frac{1}{2} \right\} \quad (2)$$

3. Heuristic and Meta-heuristics

3.1 Greedy Heuristic

Adamu and Abass [23] have proposed four greedy heuristics which attempt to provide near optimal solutions to the parallel machine scheduling problem. In this paper the fourth heuristic (DO2) would be use. It entails sorting the jobs according to their latest due date (i.e. latest due time - processing time) and ties broken by the highest weighted processing time is used (i.e. weight / processing time).

Results of these greedy heuristics are encouraging; however it will be further investigated whether using

meta-heuristics and their hybrids can achieve better results. Similar codes used in Adamu and Adewunmi [24] shall be used to solve the problem of minimizing the number of early and tardy jobs on parallel machines.

3.2 Genetic Algorithm

Genetic algorithms (GAs) are one of the best known meta-heuristics for solving optimization problems. GAs are loosely based on evolution in nature and use strategies such as survival of the fittest, genetic crossover and mutation. Since GAs usually have a high performance and also use a population based technique, it was decided to investigate their comparative performance with the greedy heuristics.

1) **Problem Representation:** Deciding on a suitable representation is one of the most important aspects of a GA. It was decided that each job would be fixed to a gene in the chromosome - implying that the chromosome has length n (where n is the number of jobs). Each gene would also have a machine number (the number of the machine to which the job will be assigned) and an order (a value between 1 and n representing the order in which jobs assigned to the same machine will be executed). Genetic operators would then need to be applied to both the machine number and the order.

2) **Algorithm:** Below is a basic pseudo code of the genetic algorithm which was used.

```

Generate a population of randomly initialized individuals.
iterations ← 0
repeat
  for i = 1 → popSize do
    Perform crossover with probability crossoverRate.
  end for
  for i = 1 → popSize do
    for j = 1 → numJobs do
      Mutate machine with probability MutationRate.
    end for
  end for
  for i = 1 → popSize do
    for j = 1 → numJobs do
      Mutate order with probability mutationRate.
    end for
  end for
  Use selection to form a new population of individuals.
  iterations ← iterations + 1
until iterations ≥ numIterations
Return the fitness of the best individual.

```

3.3 Particle Swarm Optimization

Particle swarm optimization was chosen to attempt to solve the parallel machine scheduling problem. It is a population based technique derived from the flocking behaviour of birds which relies on both the particle's best position found so far as well as the entire population's best position to get out of local optimums and to find the global optimum. PSO is appropriate to use for parallel machine scheduling because not much is known about the solution landscape and so PSO may be useful to get out local optimums to find the global optimum.

1) *Problem Representation*: The PSO algorithm requires that a representation of the solution (or encoding of the solution) is chosen. Each particle will be instances of the chosen representation. A complication is that PSO works in the continuous space whereas the scheduling problem is a discrete problem. Thus, a method is needed to convert from the continuous space to the discrete space. The representation is as follows:

- Each particle contains a number between 0 (inclusive) and the number of machines (exclusive). This number represents the machine on which the particle is scheduled and is simply truncated to convert to the discrete space.
- Each particle contains a number between 0 (inclusive) and 1 (exclusive). This number represents the order of scheduling relative to the other particles on the same machine where a lower number indicates that that job will be scheduled before the jobs with higher numbers.

2) *Algorithm*: Below is a basic pseudo code of the PSO which was used.

```

for i = 1 → PopSize do
    Construct particle with randomly
    initialized machine number and order.
end for
repeat
    pbest ← 231
    for i = 1 → PopSize do
        fitness ← calcfitness(pop[i])
        if fitness < pbest then
            pbest ← fitness
        end if
        if fitness < fitness(gbest) then
            gbest ← pop[i]
        end if
    end for
    for i = 1 → PopSize do
        v[i + 1] ← wv[i] + r1c1(pbest - pos[i]) +
            r2c2(gbest - pos[i])
        pos[i + 1] ← pos[i] + v[i] (ensuring to
            clamp the position within range)
    end for
    iterations ← iterations + 1
until iterations ≥ numIterations

```

3.4 Simulated Annealing

Simulated annealing (SA) was chosen as a meta-heuristic which could solve the parallel machine scheduling problem. Simulated annealing is based on real-life annealing, where the heating of metals allows for atoms to move from their initial position and the cooling allows for the atoms to settle in new optimal positions. SA is not a population based heuristic - thus only one solution is kept at any one stage. Since SA should result in less operations being performed with respect to a population based technique, execution times may be quicker. It is this reason why SA was chosen for investigation.

It should also be noted that simulated annealing will in all likelihood achieve better results than a simple hill-climbing technique. This is because SA can take downward steps (i.e. accept worse solutions) in order to obtain greater exploration. Thus, it is less likely to become stuck in a local minimum (a very real problem given the complex solution space).

1) *Problem Representation*: The representation is remarkably similar to that used in the GA. A solution consists of n elements (where n is the number of jobs). Each element has a specific job as well as the machine onto which it will be assigned and the order of assignment. Perhaps the major difference between them is that the GA has a population of solutions (chromosomes) whereas SA focuses on a single solution.

2) *Algorithm*: This is the basic algorithm used in the SA technique:

```

Generate a randomly initialized solution sol.
repeat
    for i → 10 do
        find a neighbor of sol and call it solPrime.
        if fitness(solPrime) < fitness(sol) then
            sol ← solPrime
        else
            if efitness(sol) - fitness(solPrime) > rand(0..1) then
                sol ← solPrime
            end if
        end for
        temp ← temp * beta
    until temp ≤ temp1

```

4. Computational Analysis and Result

4.1 Date Generation

The program was written in Java using Eclipse. It actually consists of a number of programs, each one implementing a different type of solution. The output of each of these programs gives the final fitness after the algorithm has been performed and the time in milliseconds that the algorithm took to run.

The heuristics were tested on problems generated with 100, 200, 300 and 400 jobs similar to Adamu and Abass[22], Ho and Chang [5], Baptiste et al [14] and M'Hallah and Bulfin [12]. The number of machines was set at levels of 2, 5, 10, 15 and 20. For each job j , an integer processing time p_j was randomly generated in the interval (1, 99). Two parameters, k_1 and k_2 (levels of Traffic Congestion Ratio) were taken from the set {1, 5, 10, 20}. For the data to depend on the number of jobs n , the integer earliest due date (a_j) was randomly generated in the interval (0, $n / (m * k_1)$), and the integer latest due date (d_j) was randomly generated in the interval ($a_j + p_j, a_j + p_j + (2 * n * p) / (m * k_2)$).

For each combination of n , k_1 and k_2 , 10 instances were generated, i.e., for each value of n , 160 instances were generated for 8000 problems of 50 replications. The meta-heuristics were implemented on a Pentium Dual 1.86 GHz, 782 MHz, and 1.99 GB of Ram. The following meta-heuristics were analyzed GA, PSO, SA, GA Hybrid, PSO Hybrid, PSOGA Hybrid and SA Hybrid.

4.2 Improvements

Genetic algorithms are different from many other meta-heuristics in that they have different genetic operators which can be tried and tested - rather than simply changing parameters. The original GA which was tested used 1-point crossover, random mutation for machines, swap mutation for order and tournament selection. It was decided to try other combinations of operators in order to see if performance could be increased. For this reason, roulette-wheel selection, uniform crossover and insert mutation (for order) were all programmed. A user would then be able to choose any combination of operators to use for their own GA. More information on the optimal combination of genetic operators will be mentioned in the parameters section.

4.3 Greedy Hybrids

Once the meta-heuristics (GA, PSO and SA) had been programmed, it was thought that improvements on them could potentially be made if they somehow included aspects or features from the greedy heuristic used by Adamu and Abass (2010). It was clear from the works of Adamu and Abass (2010) that the key to the greedy heuristics was in the order in which jobs were assigned to machines. So the mechanisms of ordering in DO2 needed to be incorporated in the meta-heuristics (GA, PSO, SA).

To implement the hybridisation in the 3 meta-heuristics, the order field was removed from Gene, Dimension and Element respectively. Also, any code in Chromosome, Particle and Solution which dealt with the order (e.g. swap mutation in Chromosome) was removed.

4.4 Parameters

For each solutions strategy, there are a number of different parameters that affect the performance of the algorithm such as population size, mutation rate, initial temperature, etc. These parameters needed to be experimentally determined and so the algorithms were run manually on a subset of all the testing data in order to determine the optimal parameters. This involved experimenting with the full range of each parameter and recording and tabulating the results achieved. The combination of parameters that gave the best performance was selected as the optimal parameters.

5. Discussion on Results

In this section, the results of the algorithms are shown, including the hybridizations. In the four tables shown in Table 1, each cell consists of two numbers. The top number is the weight of the schedule that is produced, averaged over 50 runs. The bottom number is the average time in milliseconds that the algorithm takes to complete.

Also included are four charts each for the performance of the meta-heuristics in relation to the penalty (see Figure 1) for $N=100, 200, 300$ and 400 . Figure 1 compares the relative performance (penalty) of each of the 6 algorithms compared to the number of machines used.

It should be clear from both the Table 2 and the charts (Figures 1) that the Simulated Annealing Hybrid (SAH) out performed the other meta-heuristics in almost all points. Its average performance time is 0.5 seconds. It was observed the various hybrids performed better than their meta-heuristic without it. It further proves the effectiveness of hybridization on the meta-heuristics.

The Genetic algorithm (GA) performed worst compared to other meta-heuristics in all of the categories considered for all N jobs and M machines. The GA time is averagely less than 2 seconds, far slower than the SAH - notably because it keeps track of a population of individual solutions. Results show it to be in the region of 4 times slower compared to SAH.

The genetic algorithm which is hybridized with DO2 (GAH) achieves better results (see Table 2 and Figure 1) compared to the simple genetic algorithm (GA) on all of the test cases. In all cases considered, the GAH out perform the ordinary GA and as the value of N increases the performance rate of GAH over GA widens. For larger values of N the performance of GAH is almost equivalent if not better than SAH. GAH takes on average about 2.55 seconds. GAH would be ideal for larger values of N where an optimal solution is not readily feasible. It

is observed that averagely the GA takes lesser time to run compared to GAH.

The particle swarm optimization (PSO) and the hybrid PSO (PSOH) produce lower weight compared to the GA. Furthermore, they are far slower than all the meta-heuristics considered (over 33.1 times slower for PSO and 22.9 for PSOH in relation to SA). This is understandable since PSO is a population-based algorithm so there is a lot of work being done at each step. Hybridizing particle swarm optimization with the DO2 greedy heuristic produces results which are better than PSO for all cases. The PSOH is also about 1.45 times faster than PSO. While it is observed for all other meta-heuristics that as the number of machines increase their corresponding penalties reduce, the reverse is the case for PSO and PSOH.

The results for simulated annealing (SA) are far better on the average than those GA, PSO AND PSOH both in performance of penalty and time (see Tables 1 & 2 and Figures 1). On average, SA takes 0.45 seconds to run. However, it is about 4.41, 5.72, 33.1 and 22.9 times quicker than the GA, GAH, PSO and PSOH respectively. SA has the best overall time performance among all the meta-heuristics.

Hybridizing simulated annealing with the DO2 greedy heuristic (SAH) produces results that are slightly better than the SA solution for all cases considered. It produces the over all best results among the meta-heuristics in terms of performance in relation to penalty. The average timing is a little less than 0.5 seconds.

Due to equality of their variances, subsets of homogeneous groups are displayed in Table 2 using Scheffe's method. Three groups are obtained: group 1—SAH, GAH, SA and PSOH, group 2—PSO and group 3 - GA. These groups are arranged in decreasing order of their effectiveness. The worst among them is the GA.

6. Conclusion

We considered an identical machine problem with the objective of minimizing the number of early and tardy jobs. Six meta-heuristics which incorporates a fast greedy heuristic were suggested that gave promising results. Computational experiments and statistical analyses were performed comparing these algorithms. The SAH was the best among the various meta-heuristics. This research can be extended in several directions. First, these results could be compared with an optimal solution. Second, the environment with uniform or unrelated parallel machines can be a practical extension.

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TABLE 1: Homogeneous Subsets

PENALTY

Scheffe^a

HEURIS	N	Subset for alpha = 0.05		
		1	2	3
SAH	20	28.4050		
GAH	20	30.5940		
SA	20	41.6130		
PSOH	20	47.1060		
PSO	20		69.4160	
GA	20			91.58
				40
Sig.		.147	1.000	1.000

Means for groups in homogeneous subsets are displayed.

a. Uses Harmonic Mean Sample Size = 20.000.

Table 2: Performance of Meta-Heuristics for different values of N

	M=2			M=5			M=10			M=15			M=20			
	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	
N=100	GA	113 1937	119.38 2006.86	126 2122	105 1891	110.84 1961.52	116 2266	96 1828	103.14 1909.34	109 1985	92 1890	98.68 1928.72	106 2000	88 1922	93.26 1987.5	101 2094
	GAH	63 2781	76.04 2904.34	85 3063	59 2641	69.52 2770.62	59 2938	52 2484	64.02 2628.76	76 2782	51 2485	59.96 61	67 2750	41 2531	51.8 2648.48	62 2813
	PSO	80 13734	90.42 14069.74	104 14453	80 13359	93.44 13795.38	103 14250	83 13406	92.08 13703.4	99 14141	82 13468	90.54 14622.4	95 20687	80 14187	88 15614.72	95 18344
	PSOH	65 10093	74.96 10771.24	85 11765	68 9625	82.88 10251.9	90 11172	64 9375	85.5 9993.76	95 10922	74 9234	83.82 10029.34	93 10687	72 9531	80.48 10251.54	87 11109
	SA	74 422	81.68 482.36	91 609	69 391	75.84 439.5	81 516	59 375	67.46 425.06	76 485	54 390	62.06 435.64	69 516	47 406	54.36 459.08	64 531
	SAH	67 516	78.58 564.34	93 641	56 484	66.7 506.38	75 562	47 437	58.32 470.62	71 500	41 437	53.54 468.14	61 515	35 453	46.28 476.62	57 532

	M=2			M=5			M=10			M=15			M=20			
	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	
N=200	GA	105 1922	112.74 2014.68	119 2640	94 1844	100.46 1948.48	111 2453	78 1844	89.28 1915.86	96 2297	75 1875	82.8 1922.2	92 1985	72 1890	77.14 1986.2	85 2625
	GAH	32 2797	43 2889.16	53 3031	25 2625	38.1 2751.26	45 2938	22 2484	35.68 2591.58	43 2719	22 2454	31.94 2579.58	39 2734	18 2484	27.86 2606.54	36 2766
	PSO	57 14187	69.68 15639.1	82 17656	54 13953	71.4 15253.88	87 16884	65 13750	73.6 15079.68	83 16750	62 13875	72.36 15277.78	81 17157	62 14218	72.02 15587.76	79 17687
	PSOH	33 9953	42.38 10685.86	54 11672	31 9500	52.34 10410.12	63 20562	46 9359	57.24 10099.74	65 18812	49 9343	57.46 10094.66	65 18422	48 9484	56.64 10341.26	67 19719
	SA	49 421	57.2 470	66 532	36 406	50.02 436.52	58 485	31 375	43.64 424.3	51 500	31 390	38.02 434.74	45 500	24 406	33.68 457.3	41 547
	SAH	32 531	44.12 553.74	52 610	24 468	35.96 500.9	49 547	18 437	31.92 464.44	42 515	17 437	26.88 466.26	34 437	15 453	23.02 479.92	34 547

	M=2			M=5			M=10			M=15			M=20			
	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	
N=300	GA	96 1938	109.28 2031.28	127 3266	85 1844	94.9 1945.92	105 2422	71 1844	82.52 1918.78	95 2391	67 1828	74.3 1962.22	83 2766	60 1891	68.26 2003.44	76 2734
	GAH	13 2765	21.06 2868.62	29 3047	12 2609	18.72 2745.68	30 2938	8 2500	15.94 2579.72	24 2656	8 2500	14.94 2561.46	23 2687	3 2485	11.48 2592.92	21 2688
	PSO	44 14093	57.7 15610.6	69 18469	42 13890	57.38 15334.38	75 17375	50 13765	63.2 15153.82	72 17062	41 13906	61.44 15309.38	70 17969	56 14218	61.96 15566.66	72 18500
	PSOH	13 10125	21 10898.8	32 21672	15 9610	30.74 10250.84	47 14594	18 9266	35.98 9850.64	45 10750	12 9094	38.34 9849.82	51 10610	10 9078	37.78 10079.08	48 11203
	SA	32 422	42.26 479.12	56 563	28 391	34.84 448.86	44 547	19 375	28.36 432.72	36 516	18 390	24.88 435.64	35 485	13 406	20.1 451.26	29 516
	SAH	14 516	21.6 551.54	32 609	13 468	18.04 501.16	29 578	7 437	13.86 459.1	21 500	4 437	11.96 461.88	19 500	2 437	8.4 463.8	16 516

	M=2			M=5			M=10			M=15			M=20			
	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	MIN	AVE	MAX	
N=400	GA	94 1953	106.38 2021.86	118 2312	81 1844	93.22 1974.82	107 3141	63 1875	79.1 1914.62	93 169	62 1844	71.3 1974.86	83 3016	57 1938	64.7 1993.8	74 2625
	GAH	3 2766	8.9 2861	15 2938	2 2640	8.32 2716.32	15 2782	0 2500	6.6 2566.86	18 2672	0 2484	4.84 2560.86	12 2860	0 2515	3.16 2576.74	13 2641
	PSO	42 14157	54.72 15572.48	66 17468	37 13110	52.88 14119.14	71 16953	36 12906	56.24 13153.44	65 13516	30 12953	54.64 13333.5	62 13641	49 13265	54.62 13559.38	61 13906
	PSOH	3 9921	9.46 10640.96	16 11672	10 9437	18.26 10122.72	29 10922	11 9297	23.76 9868.22	37 10579	12 9016	27.26 9887.2	39 11188	1 9437	25.84 10066.84	40 13297
	SA	23 422	43.2 468.78	42 532	18 406	25.88 442.44	33 500	14 375	20.28 417.8	33 484	8 390	15.92 437.8	24 390	6 406	12.58 446.32	22 515
	SAH	3 515	9.32 549.7	16 609	1 468	8.22 496.56	16 532	0 437	5.74 460.06	15 516	0 437	3.64 466.54	10 532	0 437	2 472.78	9 547

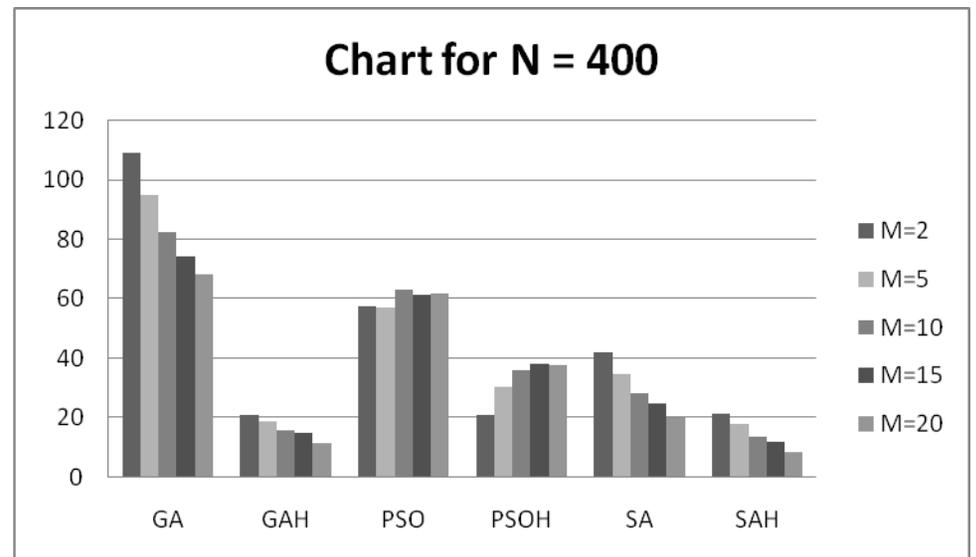
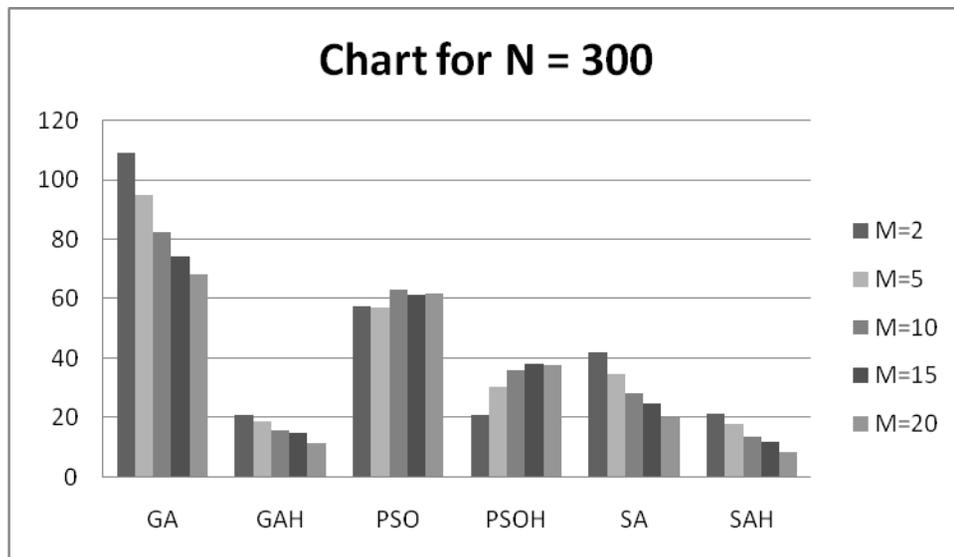
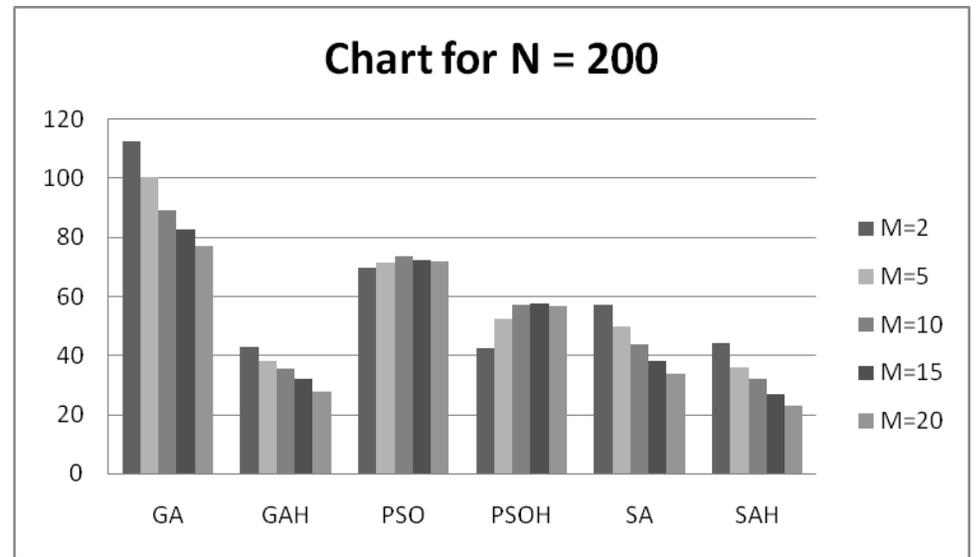
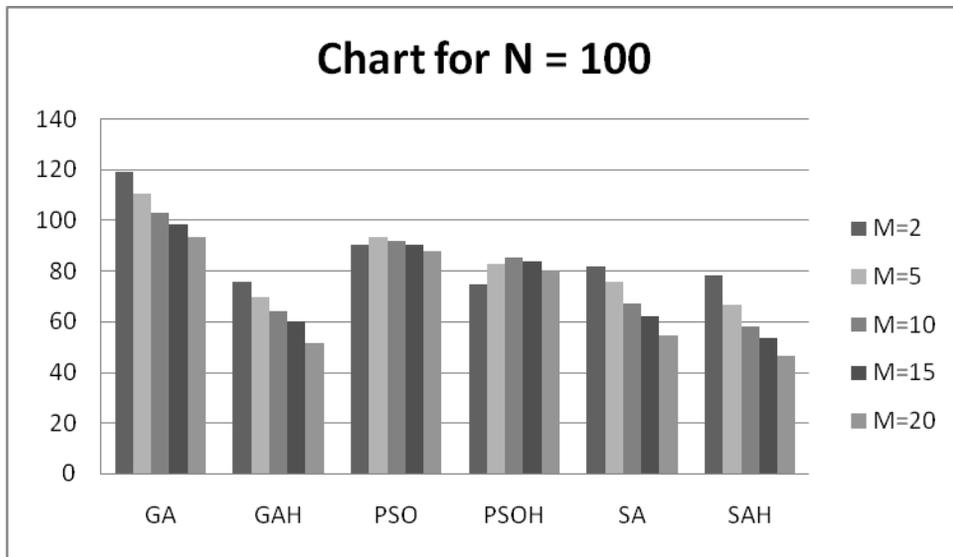


Figure 1: Meta-heuristics Performance in Relation to Penalty