科技部補助專題研究計畫成果報告

期末報告

聚氯乙烯膠皮工廠中總延遲時間最小化之排程問題

計畫主持人: 李政雄

計畫參與人員:大專生-兼任助理人員:賴昱筑 大專生-兼任助理人員:趙庭岳

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- 中 文 摘 要 : 本計書研究一個實務的等效平行機生產排程問題,此排程問 題是由一座生產聚氯乙烯膠皮產品的工廠中衍生而來。在這 個實務的生產排程問題中,每一件聚氯乙烯膠皮產品具有某 些特定的屬性,且每個屬性具有一些不同的規格。由於在機 器上任兩個相鄰的聚氯乙烯膠皮產品之間,至少會有一個屬 性具有不同的規格,因此當某個聚氯乙烯膠皮產品完成生產 而切換到生產另一種產品時,在機器上必須調整規格而導致 整備時間的發生。由於延遲時間在聚氯乙烯膠皮產品的生產 上會導致額外的懲罰成本與機會損失,因此,在這個個案工 廠中的排程經理將總延遲時間最小化視為最重要的任務之 一。這個問題可歸類為具有多重屬性整備時間之等效平行機 生產排程問題,目標是總延遲時間最小化。本計畫會發展一 個派工法則來求解此問題,並且會與個案工廠現有的排程方 法以及一個現有知名的派工法則作比較。此外,也會提出一 個混合整數規畫模型來評估本計畫所提出之方法的效果。最 後,將會進行一個統計分析以便驗證本計畫所提出之方法的 整體績效。
- 中文關鍵詞: 排程;總延遲時間;等效平行機;多重屬性整備時間;派工 法則
- 英 文 摘 要 : This proposal addresses a real-life production scheduling problem with identical parallel machines, originating from a manufacturing plant producing polyvinyl chloride (PVC) leather products. In the considered practical production scheduling problem, PVC leather has some specific attributes and each attribute has several different levels. As there is at least one different level of attribute between two PVC leather products, it is necessary to make a setup adjustment on each machine whenever a switch occurs from processing one PVC leather product to a different type of PVC leather product. As tardiness in the production of PVC leather products leads to extra penalty costs and opportunity losses, the objective of minimizing total tardiness has become one of the most important tasks for the schedule manager in the case study plant. The problem can be classified as a production scheduling problem to minimize the total tardiness on identical parallel machines with multi-attribute setup times. A dispatching rule will be developed for this problem

and evaluated by comparing it with the current scheduling method in the case plant and a current dispatching rule. Moreover, a mixed integer programming model will be used to evaluate the effectiveness of the proposed constructive heuristic. Finally, a statistical analysis will be conducted to verify the performance of the proposed constructive heuristic.

英文關鍵詞: Scheduling; Total tardiness; Identical parallel machines; Multi-attribute setup times; Dispatching rule

Scheduling problem for minimizing total tardiness in a polyvinyl chloride leather plant

Cheng-Hsiung Lee

Department of International Trade Chihlee Institute of Technology, New Taipei City, Taiwan 220

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Cheng-Hsiung Lee, Department of International Trade, Chihlee Institute of Technology, No. 313, Section 1, Wunhua Road, Banciao District, New Taipei City, Taiwan 220

Abstract

This paper addresses a real-life production scheduling problem with identical parallel machines, originating from a manufacturing plant producing polyvinyl chloride (PVC) leather products. In the considered practical production scheduling problem, PVC leather has some specific attributes and each attribute has several different levels. As there is at least one different level of attribute between two PVC leather products, it is necessary to make a setup adjustment on each machine whenever a switch occurs from processing one PVC leather product to a different type of PVC leather product. As tardiness in the production of PVC leather products leads to extra penalty costs and opportunity losses, the objective of minimizing total tardiness has become one of the most important tasks for the schedule manager in the case study plant. The problem can be classified as a production scheduling problem to minimize the total tardiness on identical parallel machines with multi-attribute setup times. A dispatching rule is developed for this problem and evaluated by comparing it with the current scheduling method and the apparent tardiness cost with setups (ATCS) dispatching rule. Moreover, a mixed integer programming model is used to evaluate the effectiveness of the proposed constructive heuristic. Based on a statistical analysis, the proposed constructive heuristic outperforms the ATCS with a significant improvement.

Keywords: Scheduling; Total tardiness; Identical parallel machines; Multi-attribute setup times; Dispatching rule

1. Introduction

In this research we address a real-life scheduling problem related to the production of Polyvinyl Chloride leather (hereafter referred to as PVC leather), a typical continuous process industry. PVC leather is a thermoplastic material used for shoes, furniture, interiors for boats and vehicles, bikes, and accessories for baggage, etc. PVC leather production is a highly capital intensive industry, which includes a main machine, called a leather calender, and some peripheral equipment. To maximize the utilization of the equipment, the plant runs three shifts; eight hours per shift, and seven days a week. The capacity of the PVC leather production system is determined by the leather calendar, which becomes the bottleneck in such a system.

A PVC leather plant receives purchase orders from different clients. Each purchase order contains the number of required PVC leather products, each of which has five attributes: marking, hardness, width, color, and thickness. Each attribute has several levels and has a corresponding attribute setup time. A PVC leather product of a particular purchase order can be regarded as a job on the scheduling operation. Those PVC leather products that all have the same levels of the five attributes are always grouped into a single job, such that no additional setup time is incurred. Because there is at least one different level of attribute between two sequential jobs, it is necessary to make a setup adjustment whenever there is a switch from processing one job to another on the leather calender. For example, if the levels of marking and width are different between two sequential jobs, there is the need to adjust the levels of marking and width on the leather calender. This results in a setup time equal to the sum of the attribute setup times of marking and width. Therefore, the setup time between two sequential jobs is determined by adding up those attribute setup times of the different levels of attributes. The processing time of each PVC leather product normally takes three to fifteen hours. Each product has a due date specified by the client, and must be delivered to the client before its due date.

There are four leather calenders in the plant under consideration, in general, each

producing a different PVC leather product. However, clients always place many purchase orders for those PVC leather products with common specifications in peak season and thus, the production lines of the products are usually overloaded. Therefore, the schedule manager in the plant has to allocate some other leather calenders to share the load of an overloaded leather calender, which then creates an identical parallel machine environment. The clients always pay more attention to the due dates that they have requested during peak season. Tardiness will be incurred when the completion time of a job is later than its due date. With respect to the tardiness incurred, the sales representative in the plant has to spend additional time negotiating with the client in order to postpone the due date of the job. Generally, the client might accept a slight change to the due date, but if the completion time of a job exceeds its due date by too long, a penalty cost associated with the tardiness is usually incurred. The usual situation is that the client accepts the delay of delivery time, but asks to get a discount on the unit price of the tardy job, or cuts the payment directly. The worst situation is that the client cancels the purchase order and turns to other competitors who can meet the requested due date. These situations lead to a significant loss of revenue for the PVC leather plant. The schedule manager in the plant has to have strict control over tardiness in order to reduce extra penalty costs and opportunity losses. Therefore, the objective of minimizing total tardiness has become one of the most important tasks for the schedule manager in the plant. Our interest in this research focuses on the tardiness of the identical parallel machine environment. This problem can be classified as an identical parallel machine scheduling problem with multi-attribute setup times for minimizing total tardiness.

In this paper, we develop an effective dispatching rule to fit the requirements of the PVC leather plant. To evaluate its performance, the proposed dispatching rule will be compared with the current scheduling method of the plant and an existing scheduling approach. Moreover, a mixed integer programming (MIP) model is used to evaluate the effectiveness of the proposed dispatching rule.

2. Literature review

Related works in the literature are briefly reviewed in this section. Many authors have much effort in solving parallel machine scheduling problems with sequencedependent setup times for minimizing the due date related objectives. A complete review can be found in Allahverdi et al. (2008). Radhakrishnan and Ventura (2000) addressed a parallel machine earliness-tardiness non-common due date sequencedependent setup time scheduling problem. The objective was to minimize the sum of the absolute deviations of job completion times from their corresponding due dates, i.e., $\sum E_i + \sum T_i$. They presented a mathematical programming formulation that can be used for solving limited-sized problems to optimality, and proposed a simulated annealing algorithm for large-sized problems to improve further the solutions obtained by a local search heuristic. Feng and Lau (2005) addressed the more general problem, i.e., $\sum w_i E_i + \sum w_i T_i$, and proposed a meta-heuristic, called squeaky wheel optimization, to solve the presented problem. Computational results showed that their meta-heuristic outperforms that of Radhakrishnan and Ventura (2000). Kim and Shin (2003) presented a restricted tabu search algorithm on either identical or non-identical parallel machines in order to minimize the maximum lateness (L_{max}) of the jobs. The jobs had release times and due dates, and sequence-dependent setup times existed between the jobs. The experimental results showed that the proposed algorithm obtained much better solutions more quickly than other heuristic algorithms, such as the basic tabu search and simulated annealing. For problems with the total (weighted) tardiness objectives ($\sum T_i$ or $\sum w_i T_i$), Bilge et al. (2004) presented a tabu search algorithm for the total tardiness problem. They investigated several key components of tabu search and identified the best values for these components. They compared their meta-heuristic with the genetic algorithm of Sivrikaya-Serifoglu and Ulusoy (1999) for the case of zero weight for earliness, and the computational results showed that their meta-heuristic outperforms the genetic algorithm. Tavakkoli-Moghaddam et al. (2009) addressed a parallel machine problem to minimize bi-objectives, namely the number of tardy jobs $(\sum U_i)$ and the total completion time $(\sum C_i)$. They presented a two-level mixed integer programming model and an efficient genetic algorithm (GA) to solve the bi-objective scheduling problem. The performance of the presented model and the proposed GA was verified by a number of numerical experiments. The related results showed the effectiveness of the proposed model and GA for small- and large-sized problems.

There is some research in the scheduling literature that discusses industrial applications of parallel machine for minimizing due date related objectives. Chen (2006) proposed a scheduling problem on unrelated parallel machines with process restrictions and setups to minimize maximum tardiness (T_{max}) in a die-casting environment. A setup for dies was incurred if the type of job scheduled was different from the previous one on that particular machine. An efficient heuristic based on guided search, record-to-record travel, and tabu lists was presented for the problem. Kim et al. (2002) presented a parallel machine scheduling problem with sequencedependent setup times in compound semiconductor manufacturing. A simulated annealing (SA) meta-heuristic was employed in the research to determine a scheduling policy in order to minimize total tardiness $(\sum T_i)$. Chen and Wu (2006) dealt with a scheduling problem on unrelated parallel machines with auxiliary equipment constraints. Such a production environment could be found in the diecasting and injection-molding industries. A setup for dies was incurred if there was a switch from processing one type of job to another. An effective heuristic based on threshold-accepting methods, tabu lists, and improvement procedures was proposed to minimize total tardiness $(\sum T_i)$. Computational experiences demonstrated that the proposed heuristic was capable of obtaining optimal solutions for small-sized problems, and significantly outperformed an existing algorithm and a simulated annealing method for problems of larger sizes.

Many studies have applied or modified the apparent tardiness cost (ATC) dispatching rule for total weighted tardiness scheduling problems on parallel machines $(Pm // \sum w_i T_i)$. The ATC was developed earlier by Vepsalainen and

Morton (1987). For the same problems with setup considerations $(Pm / s_{ij} / \sum w_i T_i)$, Lee and Pinedo (1997) built upon the ATC and developed a three-phase approach consisting of identifying problem instance characteristics, finding an initial schedule using the apparent tardiness cost with setups (ATCS) rule, followed by simulated annealing to improve the solution. Eom et al. (2002) presented a three-phase heuristic to minimize total weighted tardiness. In the heuristic, jobs were listed by earliest due date, grouping jobs by ATCS, and sequencing jobs according to setup types improved by tabu search and allocating jobs to machines. Park et al. (2000) proposed an extension of the ATCS rule that utilized some look-ahead parameters for the calculation the priority index of each job for the total weighted tardiness problem. Their computational results showed that their proposed algorithm was better than an earlier approach. Based on the ATCS rule, Pfund et al. (2008) developed an apparent tardiness cost with setups and ready times (ATCSR) index to be used in their proposed approach. Their experiments indicated that the ATCSR-based approach provided better performance than some other algorithms that were extended from ATCS.

3. Problem formulation

Without loss of generality, in the following, we will use "job" and "machine" to represent the PVC leather product and the leather calender, respectively. The following notations will be used throughout this paper:

- *m* number of machines
- M_k machine $k, k = 1, \ldots, m$
- *n* number of jobs
- J_i job $i, i = 1,...,n$
- p_i processing time of J_i , $i = 1,...,n$
- C_i completion time of J_i , $i = 1,...,n$
- *w_i* weight of J_i , $i = 1,...,n$
- d_i due date of J_i , $i = 1,...,n$
- T_i tardiness of J_i , $i = 1,...,n$
- A_a attribute *a*, $a=1,...,5$ (A_1 to A_5 stands for marking, hardness, width, color and thickness, respectively)
- NL_a number of different levels of A_a throughout the job set, $a = 1, \ldots, 5$
- $N_a(J_i)$ number of jobs with the same level of attribute *a* as J_i , $a=1,...,5$
- s_{ij} sequence-dependent setup time whenever J_i is processed immediately after J_i , $i, j = 1, ..., n, i \neq j$
- S_a the *a th* attribute setup time, $a = 1, \ldots, 5$

The scheduling problem addressed in this paper consists of *n* jobs processed on *m* identical parallel machines. Each J_i ($i = 1,...,n$) has a specified processing time p_i and due date d_i , and can be processed on each machine arbitrarily. A setup time must occur between any two sequential jobs. All machines are available to process jobs at time zero, at which time all jobs are ready to be processed. No interruptions and preemptions in the processing of a job are allowed, and there is no priority for any jobs. The machine can process at most one job at a time, and no job can be processed on more than one machine simultaneously. The objective is to find a schedule that minimizes the total tardiness of all jobs. The tardiness is one of the important performance measures for a production system, especially during the peak season. Another reason for choosing total tardiness as the criterion to be minimized is that it is less likely that the wait of any given job will be unacceptably long (Pinedo, 2002). The tardiness of J_i is defined as $T_i = \max\{C_i - d_i, 0\}$. Moreover, there is no priority among the jobs in the case plant (i.e., $w_i = 1$, $i = 1,...,n$); therefore, the objective is as follows:

Minimize
$$
\sum_{i=1}^{n} T_i
$$
 (1)

Following the three-field notation, the problem can be denoted by $Pm / s_{ij} / \sum T_i$, where *Pm* designates *m* identical parallel machines, s_{ij} represents the sequence-

dependent setup time, and $\sum T_i$ denotes the total tardiness for all jobs. A sequencedependent setup time $s_{ij} > 0$ is incurred whenever a machine switches the production from J_i to J_j . Because a schedule is computed for a given horizon, no setup time is necessary before the job scheduled at the beginning of the schedule.

Du and Leung (1990) prove that minimizing the sum of the tardiness on a single machine (i.e., $1//\sum T_i$) is NP-hard. Hence, $1/\sqrt{s_{ij}}/\sum T_i$ is also NP-hard, because the sequence-dependent setup times between the jobs further complicates the problem. Moreover, the single machine problem reduces to the parallel machine problem, such that the considered problem $Pm / s_{ij} / \sum T_i$, is also NP-hard. According to the related literature review, although there has been some research that has dealt with parallel machine problems with sequence-dependent setup times for minimizing total tardiness, no previous work has addressed directly the total tardiness scheduling problem with multi-attribute setup times in a parallel machine environment. Because the schedule manager in the plant can easily pay more attention to the attributes with longer attribute setup times, it is advantageous to preserve the characteristic of multiattribute setup times in the scheduling. Because the schedule manager does not want to lose the characteristic of multi-attribute, from the viewpoint of practical applications, we need to develop an effective method that can directly solve the total tardiness problem with the characteristic of multi-attribute setup times.

In general, an optimal way to solve the $Pm / s_{ij} / \sum T_i$ problem is to formulate it into a mathematical program and solve it for small-sized problems by commercial optimization software (such as ILOG CPLEX). In the following, we present a mixed integer programming (MIP) model for the scheduling problem, based in part on the formulation given by Balakrishnan et al. (1999) for the uniform parallel machine case. The decision variables are introduced as follows, and *L* , a very large number, will be used in the MIP model.

1 job i is processed on machine $e^{ik} = \begin{cases} 0 & \text{otherwise} \end{cases}$ i is processed on machine k $y_{ik} = \bigg\{$ $\overline{\mathcal{L}}$

1 job i precedes job j on the same machine $\hat{y} = \begin{cases} 0 & \text{otherwise} \end{cases}$ *i* precedes job *j* $x_{ij} = \begin{cases}$ $\overline{\mathcal{L}}$

The problem $Pm / s_{ij} / \sum T_i$ can be formulated as follows:

Minimize
$$
\sum_{i=1}^{n} T_i
$$
 (2)

subject to

$$
\sum_{k=1}^{m} y_{ik} = 1,
$$
\n
$$
i = 1,...,n
$$
\n
$$
y_{ik} + \sum_{k' \neq k} y_{jk'} + x_{ij} \le 2,
$$
\n
$$
i = 1,...,n-1; \quad j = i+1,...,n; \quad k = 1,...,m \ (4)
$$

$$
C_j - C_i + L(3 - x_{ij} - y_{ik} - y_{jk}) \ge p_j + s_{ij}, \quad i = 1,...,n-1; \quad j = i+1,...,n; \quad k = 1,...,m
$$
 (5)

$$
C_i - C_j + L(2 + x_{ij} - y_{ik} - y_{jk}) \ge p_i + s_{ji}, \quad i = 1,...,n-1; \quad j = i+1,...,n; \quad k = 1,...,m
$$
 (6)

$$
C_i \ge p_i y_{ik}, \qquad i = 1,...,n; \quad k = 1,...,m \tag{7}
$$

$$
T_i \geq C_i - d_i, \qquad i = 1, \ldots, n \tag{8}
$$

$$
T_i \geq 0, \qquad i = 1, \ldots, n \tag{9}
$$

The objective (2) is to minimize the total tardiness of the problem. Constraint (3) ensures that each job is scheduled exactly on one machine. Constraint (4) ensures that the job precedence between jobs *i* and *j* is relevant only if both jobs are assigned to the same machine, i.e., where x_{ij} might equal zero (implying job j before job i) or one (implying job i before job j) if both jobs i and j are assigned to the same machine. x_{ij} must equal zero if these jobs are assigned to different machines. Constraints (5) and (6) establish the relationship between the completion times of jobs *i* and *j* as long as both jobs are assigned to the same machine. Constraint (7) is relevant only if y_{ij} equals one (i.e., job *i* is processed on machine *k*) and it determines their completion times. If $y_{ij} = 0$, constraint (7) becomes redundant. Finally, constraints (7) and (9) determine the objective value.

Solving the MIP is one of the best ways for small-sized problems, but the largersized problems are difficult to solve practically by common commercial software such as CPLEX. Therefore, it is necessary to propose an efficient constructive heuristic for solving large-size problems.

4. Current scheduling method

The addressed scheduling problem with multi-attribute setup times in PVC leather production involves processing jobs on identical parallel leather calenders to minimize the total tardiness. The standard attribute setup times proclaimed by the case study PVC leather plant are shown in Table 1.

[Insert Table 1 here.]

For the scheduling manager of the case plant, there are two main considerations in dealing with the proposed parallel machine problem during peak season. The first is to determine those jobs to be assigned to which leather calender for balancing of the loads. The second is to re-sequence the jobs in order to reduce the tardiness of the jobs on each of the leather calenders. Based on those considerations, here we introduce the scheduling method currently employed in the PVC leather plant:

- *Step 1* Choose J_i with the longest processing times and assign J_i to the leather calenders just freed. Repeat the step until all jobs are assigned.
- *Step 2* For each of the leather calenders, re-sequence the jobs in increasing order of due dates.

Now we briefly explain the current scheduling method of the plant. In Step 1, the schedule manager uses the longest processing time first (LPT) rule to assign the *m* longest jobs to the *m* leather calenders, respectively. After that, whenever a leather calender is available, the longest job among those not yet processed is assigned on the leather calender. The LPT rule tries to place the shorter jobs towards the end of the schedule where they can be used for balancing the loads. In a *Pm* environment, it makes sense to use the LPT rule to obtain a good solution without due date and setup time considerations. Then, the earliest due date first (EDD) rule is applied to resequence the jobs for reducing the tardiness on each of the machines in Step 2.

Example 1

A real-life case from the considered PVC leather plant with 10 jobs is given in Table 2. We use this real case to explain the current scheduling method.

[Insert Table 2 here.]

In Step 1, a schedule $M_1 = (J_8, J_3, J_9, J_{10}, J_6)$, $M_2 = (J_5, J_7, J_1, J_4, J_2)$ is obtained by using the LPT rule in terms of p_i . In Step 2, the EDD rule is applied to re-sequence the jobs on each machine and leads to the final schedule $M_1 = (J_{10}, J_3, J_8, J_9, J_6)$ and $M_2 = (J_5, J_2, J_7, J_1, J_4)$ with $\sum T = 447$ minutes. We can solve the case problem by the MIP model and the optimal schedule is $M_1 = (J_9, J_7, J_5, J_1)$ and $M_2 = (J_8, J_3, J_{10}, J_2, J_6, J_4)$ with $\sum T = 52$ minutes. The corresponding Gantt charts of the both schedules are shown in Fig. 1 and Fig. 2, respectively. Hence, developing an efficient algorithm to improve the schedule further is very important in the considered PVC leather plant. In the following section, an algorithm is represented to improve the current method.

5. Dispatching rule

In this section, we will propose a dispatching rule for the considered parallel machine scheduling problem with multi-attribute setup times. The objective is to determine a schedule for parallel machines to minimize the total tardiness. The dispatching rule combines an index developed by Lee et al. (2012) and the ATCS by Lee and Pinedo (1997).

5.1. Adjacent processing time and due date index

Three critical considerations are relevant for minimizing the total tardiness in parallel machine scheduling problems with sequence-dependent setup times. They are balancing the loads on machines, reducing the setup times, and the total tardiness for each machine. For the purpose of balancing the loads and reducing the setup times and total tardiness, we introduce an index for the development of a heuristic. The index, called the adjacent processing time and due date index (APD_i) , comprises the least flexibility index first principle (Liao et al., 2009), processing times, and due dates. The index is calculated as follows:

$$
APD_i = \frac{\ln\left\{\sum_{a=1}^{5} [S_a \times N_a(J_i) \times d_i] \right\}}{p_i}
$$
\n(10)

where p_i is the processing time of J_i , S_a denotes the a -th attribute setup time, and $N_a(J_i)$ stands for the number of jobs with the same level of attribute *a* as J_i . Following the real case in Table 2, for example, to compute the value of $APD₁$, there are: three jobs with the same level of marking (i.e., 270), one job with the same level of width (i.e., 30), two jobs with the same level of thickness (i.e., 0.8), three jobs with the same level of hardness (i.e., 7), and four jobs with the same level of color (i.e., 1). Therefore, *APD*₁ is computed as:

$$
APD_1 = \frac{\ln[(60 \times 3 + 15 \times 1 + 20 \times 2 + 15 \times 3 + 10 \times 4) \times 2315]}{444} = 0.030
$$

The adjacent processing time and due date index considers processing times, job flexibility, setup times, and due dates simultaneously. In a parallel machines environment, the consideration of balancing the loads is quite important for assigning jobs on machines. For balancing the loads on parallel machines, the longest processing time (LPT) first rule always yields a reasonable solution. To emphasize the characteristic of the LPT rule, we use processing time directly in the index without modification. Then, for minimizing the total tardiness, the earliest due date (EDD)

first rule is also involved in the index equation formula. Based on the characteristics of the LPT rule, the least flexibility first principle, and the EDD rule, a job with large processing time or small adjacent index and due date should be sequenced towards the beginning of the schedule. Therefore, if a job possesses a small adjacent processing time and due date index, it should be sequenced towards the beginning of the schedule.

5.2. Apparent tardiness cost with setups (ATCS) index

As the proposed constructive heuristic is based on the apparent tardiness cost with setups (ATCS) dispatching rule given by Lee and Pinedo (1997), a brief introduction of the ATCS will be described first. The ATCS rule is a very famous dispatching rule and is used extensively in production scheduling problems to minimize the total tardiness. The basic idea of the rule is to calculate the ATCS for each of the unprocessed jobs ready whenever a machine becomes available. Then, the job with the highest ATCS index is chosen to be assigned next on the freed machine. The ATCS combines the weighted shortest processing time (WSPT) first rule, the minimum slack (MS) first rule, and the shortest setup time (SST) first rule in a single ranking index. The index of J_i at time t when J_i has completed its processing on the machine is determined by multiplying the corresponding terms as:

$$
I_i(t, j) = \frac{w_i}{p_i} \exp\left(-\frac{\max\left(d_i - p_i - t, 0\right)}{K_1 \overline{p}}\right) \exp\left(-\frac{s_{ji}}{K_2 \overline{s}}\right) \tag{11}
$$

where \bar{s} and \bar{p} are the average of the setup times and the average of the processing times, respectively. K_1 and K_2 are two important parameters for determining this dispatching rule. In this paper, the values of both parameters for the considered problem are estimated according to the function developed by Lee and Pinedo (1997). The function used for the selection of proper values for K_1 and K_2 is computed as:

$$
K_1 = 1.2 \ln(\frac{n}{m}) - R, \qquad \begin{cases} K_1 = K_1 - 0.5 & \tau < 0.5 \\ K_1 = K_1 - 0.5 & \eta < 0.5, \mu > 5 \end{cases} \tag{12}
$$

$$
K_2 = \frac{\tau}{A_2 \sqrt{\overline{s}/\overline{p}}}, \qquad \begin{cases} A_2 = 1.8 & \tau < 0.8 \\ A_2 = 2.0 & \tau \ge 0.8 \end{cases}
$$
 (13)

where τ and *R* are the factors associated with the due date. τ is the due date tightness factor and *R* is the due date range factor.

Example 2

Referring to the data in the case plant (see Table 2), the ATCS dispatching rule leads to the final schedule $M_1 = (J_{10}, J_3, J_9, J_6, J_1)$ and $M_2 = (J_3, J_2, J_7, J_5, J_4)$ with $\Sigma T = 115$ minutes. The corresponding Gantt charts of both schedules are shown in Fig. 3. It is obvious that the ATCS generates a better schedule. However, it is possible to improve the schedule further by involving the adjacent processing time and due date index in the ATCS, as the optimal solution is 52. The remainder of this section describes the ATCS involving the adjacent processing time and due date index.

5.3 ATCS with the adjacent processing time and due date (ATCS_APD) index

The ATCS_APD index is given by:

$$
I_{ATCS_APDi}(t,j) = \frac{w_i}{p_i} \exp\left(-\frac{\max\left(d_i - p_i - t, 0\right)}{K_1 \overline{p}}\right) \exp\left(-\frac{s_{ji}}{K_2 \overline{s}}\right) \exp\left(-\frac{1}{APD_i \overline{s}}\right)
$$
(14)

where $I_{ATCS_APDi}(t, j)$ is the index for job *i* at time *t*, given that job *j* is the last one completed on the machine just freed. The ATCS_APD is also used to estimate the urgency of scheduling that job as ATCS. The job with the highest ATCS_APD index is considered to have the highest priority. The values of K_1 and K_2 are also obtained from equations (12) and (13), respectively, and APD_i is computed from equation (10). A job possessing a smaller *APDi* should be assigned towards the beginning of the schedule; therefore, the APD_i is added in the denominator of the last term. The detailed steps of implementing the ATCS_APD dispatching rule are given below:

- *Step 1.* For each job *i* calculate the APD_i index and set $t = 0$.
- *Step 2.* Choose the machine *k* that is available at time *t* and compute the $I_{ATCS_APDi}(t, j)$ for each job *i* that is unscheduled. If more than one machine is available at time *t* , then choose one arbitrarily.
- *Step 3.* The job *i* with the highest $I_{ATCS_APDi}(t, j)$ is assigned to machine *k* and set the time t as the loading time of machine k . If there are still unscheduled jobs, then go to *Step 2*; otherwise, stop.

Example 3

Also, referring to the data in the case plant (see Table 2), the ATCS_APD dispatching rule leads to the final schedule $M_1 = (J_{10}, J_2, J_7, J_5, J_1)$ and $M_2 = (J_3, J_8, J_9, J_6, J_4)$ with $\sum T = 81$ minutes. The corresponding Gantt charts of both schedules are shown in Fig. 4. The objective value obtained from ATCS_APD is quite close to the objective value of the optimal schedule. Many computational experiments and statistical analyzes will be conducted in the next section, such that the performance of the ATCS_APD can be demonstrated.

6. Computational results

To evaluate the performance of the proposed dispatching rule and the current method, extensive computational experiments are conducted. The current scheduling method, ATCS dispatching rule and the proposed ATCS_APD dispatching rule were coded in JAVA and executed on an Intel Core 2 Quad CPU Q8300 2.5 GHz PC with 2.00 GB RAM. The MIP was coded in commercial software ILOG CPLEX solver on the same computer. The considered parallel machine problem can be solved optimally by the MIP. Therefore, two sets of experiments are conducted: the first experiment is to evaluate the effectiveness of the current method (CM), ATCS, and ATCS_APD with the optimal solutions from the MIP for small-sized problems ($n=10$); the second is to compare the ATCS and CM with the ATCS_APD for demonstrating the performance of the ATCS_APD.

6.1 Problem instance data generation

All the problem instances were randomly generated from discrete uniform distributions but with four different parameters. The number of machines is set to between two and four ($m = 2, 3, 4$), and the number of jobs is set to between 10 and 100 ($n = 10, 20, 50, 100$). The processing times of all test instances are generated from the discrete uniform distribution [180, 680], which is adjusted based on the case plant. The number of attributes is five: marking, hardness, width, color, and thickness. The attribute setup times are set to $S_1 = 60$, $S_2 = 15$, $S_3 = 20$, $S_4 = 15$, and $S_5 = 10$. The due date tightness factor is set to $\tau = (0.5, 0.7, 0.9)$ and the due date range factor is set to $R = (0.2, 0.5, 0.8)$. Furthermore, the number of different levels of attribute (N_{L_a}) are generated from discrete uniform distributions [2, 7], which are also set according to the case plant. With regard to setting the due dates, the makespan should first be estimated by $\hat{C}_{\text{max}} = (\beta \overline{s} + \overline{p})\mu$, where β is the coefficient accounting for the increase in makespan due to setup times, which is given by $\beta = 0.4 + 10 / \mu^2 - \eta / 7$ (Lee and Pinedo, 1997). The average due date is calculated using $\overline{d} = \hat{C}_{\text{max}}(1-\tau)$, such that the due dates can be generated from discrete uniform distributions: $[(1-R)\overline{d}, \overline{d}]$ with probability τ , and $[\overline{d}, \overline{d} + (\hat{C}_{\max} - \overline{d})R]$ with probability $1-\tau$.

Therefore, 108 different combinations of four factors: m, n, τ , and R , are generated. For each combination, ten replications are generated randomly.

6.2. Experiment 1: Comparisons with the optimal solutions from MIP

In the first experiment, the MIP from Section 3 is conducted in commercial software ILOG CPLEX solver to obtain the optimal solutions for small-sized problems (i.e., $n = 10$). Then, the ATCS, ATCS_APD, and CM are implemented for each test instance. A measure called Normalized Relative Error (NRE), developed by Lee and Pinedo (1997), is used to evaluate the three heuristics. The NRE is calculated as

$$
NRE = \frac{T(heuristic) - T(OPT)}{n\overline{w}\tau^2 \hat{C}_{\text{max}}/2},
$$
\n(15)

where T (*heuristic*) and T (*OPT*) denote the total tardiness obtained from one of the three heuristics and the optimal solution from the MIP, respectively. The CPU time (in seconds) from the MIP and the average NRE of each combination are both shown in Table 3. Note that the CPU times of executing the three heuristics are not represented in this table, because these three heuristics take only one second to solve each instance. The italic and bold values of the average NRE in Table 3 show the equally good and better solutions among the three algorithms, respectively. From this table we observe that the average NER of the ATCS and ATCS_APD are both obviously better than that of CM in all combinations. Also, the average NRE (0.049) of ATCS is better than that (0.060) of ATCS_APD when the number of machines is two. However, the average NREs (0.044, 0.037) of ATCS_APD are better than that (0.046, 0.046) of ATCS when the number of machine is three and four. Furthermore, almost all the instances (217 from 270) can be solved by the MIP with a reasonable computational time; within 570.50 seconds on average.

6.3. Experiment 2: Comparison of three heuristics

To investigate the effectiveness and efficiency of the proposed ATCS_APD, it is compared with ATCS and CM. In this experiment, the test problem sizes are generated with the number of jobs $n = 10, 25, 50, 100$. The measure is also adopted by equation (15), which is calculated as:

$$
NRE = \frac{T(ATCS \text{ or } CM) - T(ATCS \text{ } APD)}{n\overline{w}\tau^2 \widehat{C}_{\text{max}}/2},
$$
\n(16)

where *T*(ATCS or CM) and *T*(ATCS_APD) denote the total tardiness obtained from one of either ATCS and CM and from the proposed ATCS_APD, respectively. The

average NREs of each combination are summarized in Tables 4 and 5, and the italic and bold values also show the equally good and better solutions between the both heuristics, respectively. From Table 4, it is very significant that ATCS_APD outperforms the CM in each combination, as all the values of average NRE are positive. The average NREs are from 12.034% to 40.063%, which means that the ATCS_APD can improve the current method by at least 12.034% in dealing with the total tardiness. If the case plant applies the ATCS_APD for scheduling the jobs, the total tardiness penalties in the case plant could decreases at most by 40.063%. With regard to the CPU time, both ATCS_APD and CM take almost no time due to their simplicity.

Furthermore, although ATCS is widely used for solving the $Pm / s_{ij} / \sum T_i$ problem, the index does not involve the adjacent processing time and due date index, which is only calculated for the case problem. In Table 5, the comparison between ATCS and ATCS_APD is conducted. The experimental results show that ATCS_APD is better than ATCS especially in solving large-sized problems (i.e., $n = 20,50,100$). Moreover, to evaluate statistically the gap between the proposed ATCS_APD and the ATCS, a hypothesis test (*z*-test) is also conducted. Let μ_{ATCS_APD} and μ_{ATCS} be the average of the total tardiness and set null hypothesis $H_0: \mu_{ATCSAPD} - \mu_{ATCS} \geq 0$, alternative hypothesis $H_1: \mu_{ATCSAPD} - \mu_{ATCS} < 0$, and significance level $\alpha = 0.01$. Table 5 also summarizes the computational results for all the problems. The *z*-value in Tables 5 means the test statistic. The test is to reject the hypothesis that the proposed ATCS_APD is worse than the ATCS, if and only if, the *z*value is less than -2.33 for $\alpha = 0.01$. As almost all the *z*-values are less than -2.33 in Table 5, there is sufficient evidence to support the claim that the proposed dispatching rule is better than the ATCS. Therefore, we can conclude that the proposed ATCS_APD produces better quality solutions than the ATCS.

7. Conclusions and future research

In this paper, we have addressed an identical parallel machines scheduling problem with multi-attribute setup times for minimizing total tardiness originating from a plant producing PVC leather. As tardiness of the PVC leather products will lead to extra penalty costs and opportunity losses during peak season, the schedule manager in the plant has to have strict control over the tardiness in order to reduce the loss of revenue. No previous work has dealt with the total tardiness scheduling problem with multi-attribute setup times on parallel machines. In addition, the current method is basically an intuitive procedure, and there is a lack of well-defined sequencing rules to be used to improve the schedule systematically. Therefore, it is necessary to develop a heuristic to provide a near-optimal solution for the problem.

We have proposed a constructive heuristic based on the main concept of the apparent tardiness cost with setups (ATCS) dispatching rule (Lee and Pinedo, 1997) for the real-life problem, called ATCS_APD. The proposed heuristic considers simultaneously the least flexibility first rule, processing times, due dates, and the ATCS. The experimental results show that ATCS_APD outperforms the CM by a significant margin. The average improvements are from 12.034% to 40.063%, which means that the ATCS_APD could improve the current method by at least 12.034% and at most by 40.063% in dealing with the total tardiness. Furthermore, the statistical evaluation indicates that the proposed ATCS_APD can perform better than the ATCS, especially in solving large-sized problems. In summary, the proposed ATCS_APD heuristic has a conceptually easy design and can solve large problems with very short computation time. The ATCS_APD heuristic is more effective and efficient than the CM and the ATCS.

The actual capacity of the case PVC leather plant is about 14.4 million yards per year (i.e., about 1.2 million yards per month on average) with approximately 55.2 million U.S. dollars in annual revenue. In general, the output during peak season is estimated as probably 1/5 of the annual capacity with a total value of about 11 million U.S. dollars. According to the past experience of the schedule manager, the relevant losses related to tardiness can be estimated as 4% of the total value during peak season, i.e., about 440 thousand U.S. dollars. From an application viewpoint, if the proposed ATCS_APD heuristic was applied in the case plant, it might be predicted that the plant could reduce losses of annual revenue from between approximately 53 to 176 thousand U.S. dollars. This will be a significant performance improvement for the schedule manager in the plant. Because the management is satisfied with the results of the proposed heuristic, it will be arranged to be tested in the scheduling system of the case plant in the near future.

Further research might be conducted to consider some other factors in the practical production system, such as machine breakdowns. It is also worthwhile to develop a scheduling method for identical or unrelated parallel machine problems with variable multi-attribute setup times.

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Attribute		Marking Hardness	Width	Color	Thickness
Setup time (min.)	60				

Table 1. Standard attribute setup times in the PVC leather plant

Job											Attribute
Attribute		$\mathcal{D}_{\mathcal{L}}$	\mathcal{R}	$\overline{4}$	5	6	7	8	9	10	setup time
Marking (no.)	270	002	002	270	270	270	002	002	-191-	002	60
Width (inch)	30	52	42	52	52	30	52	70	52	42	15
Thickness (mm) 0.8		1.0	0.9	1.8	0.8	0.9	0.8	0.9	0.9	1.0	10
Hardness (no.)		8	9	8	7	9		9	9		20
Color (no.)		1	2	2	2	$\mathbf{1}$	9				15
p_i (min.)	444	189	474	313	644	253	578	645	459		361 lin minutes
d_i (min.)		2315 2087 1614 2463 2037 2275 2142 1693 1754 1596									

Table 2. A real case with 10 jobs

			NRE		CPU Time		NRE		CPU Time		NRE		CPU Time
T_{-}	\boldsymbol{R}		ATCS ATCS_APD	CM	MIP		ATCS ATCS_APD	CM	MIP		ATCS ATCS_APD	CM	MIP
	0.2	0.109	0.114	0.392	938.31^{7}	0.105	0.070	0.124	206.78	0.171	0.068	0.096	241.31
0.5	0.5	0.080	0.110	0.221	777.15 ¹	0.053	0.081	0.153	33.61	0.026	0.048	0.129	257.65
	0.8	0.049	0.076	0.269	173.52 ¹	0.040	0.024	0.151	84.81	0.030	0.038	0.194	157.62
	Avg.	0.079	0.100	0.294	629.66	0.066	0.058	0.143	108.40	0.076	0.051	0.140	218.86
	0.2	0.047	0.055	0.219	1234.06^7	0.067	0.070	0.202	514.25	0.060	0.046	0.164	1249.20^5
0.7	0.5	0.063	0.053	0.286	1010.66^3	0.043	0.042	0.218	434.43	0.032	0.039	0.173	839.56^2
	0.8	0.032	0.040	0.221	697.22^2	0.033	0.043	0.297	315.66	0.036	0.033	0.201	743.61^2
	Avg.	0.047	0.049	0.242	980.65	0.048	0.052	0.239	421.45	0.043	0.039	0.179	944.12
	0.2	0.019	0.027	0.258	956.30^{2}	0.027	0.027	0.208	520.81 ¹	0.021	0.021	0.205	1308.27^6
0.9	0.5	0.023	0.034	0.234	1298.06 ¹	0.025	0.017	0.213	624.26 ¹	0.027	0.024	0.212	1187.46'
	0.8	0.019	0.031	0.217	951.90	0.022	0.025	0.198	505.24	0.010	0.012	0.121	339.22^5
	Avg.	0.020	0.031	0.236	1068.75	0.025	0.023	0.206	550.10	0.019	0.019	0.179	944.98
	Agg.	0.049	0.060	0.257	893.02	0.046	0.044	0.196	359.98	0.046	0.037	0.166	702.66

Table 3. Comparative results for the solution of three heuristics with optimal solution for small-size problem (i.e., $n = 10$)

Note: The superscript denotes the number of problems unsolved in 1,800 seconds from MIP by the ILOG CPLEX.

		2 \mathfrak{m}					3					4					
T	R_{\parallel}	\boldsymbol{n}	10	20	50	100	Avg.	10	20	50	100	Avg.	10	20	50	100	Avg.
	0.2			28.302 21.699		26.028 42.866	46.625	1.941		11.163 24.180 42.306		47.552 -7.485			1.818 16.894 38.204		43.468
0.5	0.5				14.065 13.298 32.119 34.009			39.214 10.055			5.330 28.552 31.082 39.845 10.312					9.630 13.879 27.195	52.312
	0.8					22.030 18.399 24.164 35.702					26.335 11.160 25.314 32.989 27.579 27.572 16.402 21.410 20.430 38.709						53.244
	Avg.					21.465 17.799 27.437 37.525					37.391 7.719 13.936 28.573 33.656 38.323 6.410 10.953 17.067 34.703						49.675
	0.2		17.262			19.491 26.268 35.510										35.658 13.480 17.792 28.341 35.956 40.951 10.390 14.447 26.536 35.254	35.550
0.7	0.5					22.337 20.402 30.152 30.354					37.869 17.482 17.453 21.621 28.793					35.999 14.065 18.541 19.529 32.894	38.406
	0.8					18.894 27.975 27.962 32.000					27.098 26.399 20.448 27.262 29.403 34.864 16.560 15.185 17.317 33.953						42.062
	Avg.				19.498 22.623 28.127 32.621						33.542 19.120 18.564 25.741 31.384 37.271 13.672 16.058 21.127 34.033						38.673
	0.2		23.931		20.328 28.852 30.233						29.971 18.092 18.365 22.205 27.843					30.836 18.453 17.681 20.720 28.746	34.194
0.9	0.5					21.150 16.452 22.417 31.286					28.768 18.779 23.545 22.007 31.027					31.082 18.435 14.905 26.453 29.178	28.388
	0.8				19.769 17.384 21.975 29.171						27.219 17.550 14.575 24.266 26.338 30.285 11.171 12.921 23.661 31.459						32.946
	Avg.					21.617 18.055 24.415 30.230					28.653 18.140 18.828 22.826 28.403					30.735 16.020 15.169 23.612 29.794	31.843
	Agg.					20.860 19.492 26.660 33.459					33.195 14.993 17.110 25.714 31.148 35.443 12.034 14.060 20.602 32.843						40.063

Table 4. Comparative results with ATCS_APD approach and current method

		m		$\overline{2}$					3					$\overline{4}$		
T	\boldsymbol{R}	10 \boldsymbol{n}	20	50	100	Avg.	10	20	50	100	Avg.	10	20	50	100	Avg.
	0.2	0.558	-0.101	2.463	0.853	0.491	-3.460	0.499	2.196	-0.429		$-1.571 - 10.234$	0.626	0.693	1.289	-2.774
0.5	0.5	2.952	0.151	1.487	1.580	1.731	2.828	0.535	0.029	0.777	-0.323	2.185	-0.600	-0.103	0.122	0.538
	0.8	2.785	1.922	0.481	0.780		$0.757 - 1.570$	4.505	0.787	0.282	0.938	0.791	2.259	0.527	2.508	1.174
	z -value		-3.952^{+} -1.831	-5.803^{+}	-5.661 ⁺			$1.368 -3.262^{+} -4.275^{+} -1.083$				2.628	-1.425		-1.754 -5.624 ⁺	
	Avg.	2.098	0.657	1.477	1.071	0.993	-0.734	1.846	1.004	0.210	-0.319	-2.419	0.762	0.372	1.306	-0.354
	0.2	0.812	1.884	2.708	0.330	1.562	0.251	1.220	1.765	1.660	0.694	-1.423	-0.972	1.635	0.082	0.593
0.7	0.5	-1.051	1.095	-0.020	1.248	0.753	-0.136	1.487	1.022	0.853	0.283	0.759	-1.084	2.100	1.485	1.035
	0.8	0.853	1.236	0.337	0.627	0.475	0.994	2.078	0.377	1.124	0.880	-0.250	-0.126	0.629	1.205	0.499
	z -value	-0.809		-5.447° -5.285°	-6.586^{+}		-1.517			-5.721^{+} -5.602^{+} -8.981^{+}		1.173	3.212	-7.227 ⁺	-5.374 ⁺	
	Avg.	0.205	1.405	1.008	0.735	0.930	0.370	1.595	1.055	1.212	0.619	-0.305	-0.727	1.454	0.924	0.709
	0.2	0.812	0.150	0.613	0.545	0.724	-0.094	0.930	0.129	0.257	0.423	0.030	0.434	-0.050	0.115	0.070
0.9	0.5	1.103	1.446	0.572	0.540		$0.858 - 0.803$	0.319	0.513	0.416	0.239	-0.343	1.362	-0.129	0.007	0.133
	0.8	1.180	0.236	0.329	0.460	0.556	0.306	-0.054	0.253	0.530	0.137	0.235	0.535	0.117	0.214	0.178
	z -value	-5.598^{+}			-3.693^{+} -5.817^{+} -10.280^{+}					$1.816 - 2.915^{+} -3.718^{+} -5.396^{+}$		-0.029	-7.426^{+}	0.341	-1.543	
	Avg.	1.032	0.611	0.505	0.515	0.713	-0.197	0.398	0.299	0.401	0.266	-0.026	0.777	-0.021	0.112	0.127
	z -value	-3.354^{+}	-3.746^{+}	-5.560^{+}	-7.293 ⁺			$0.409 - 3.989^{+}$		-4.560° -5.170°		1.572	-1.289		-3.297° -4.212°	
	Agg.	1.112	0.891	0.997	0.774	0.878	-0.187	1.280	0.786	0.608	0.189	-0.917	0.270	0.602	0.781	0.161

Table 5. Comparative results with the proposed ATCS_APD approach and ATCS approach

Note: The z-value with the + symbol means rejecting the hypothesis with the significance level $\alpha = 0.01$.

Figure 1. Production flow line of PVC leather plant

Figure 2. The schedule obtained by the current method with $\Sigma T = 447$.

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Figure 3. The optimal schedule from MIP with $\Sigma T = 52$.

Figure 4. The schedule obtained by the ATCS approach with $\Sigma T = 115$.

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Figure 5. The schedule obtained by the ATCS_APD approach with $\Sigma T = 81$.

科技部補助計畫衍生研發成果推廣資料表

日期:2014/04/15

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