

# The golden ratio and normality in two-machine routing open shop

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84th Workshop on Algorithms and Complexity  
6.03.2023

*The research was supported by  
Russian Science Foundation grant N 22-71-10015*

$O_m || C_{\max}$ :

- Machines  $\{M_1, \dots, M_m\}$ ;
- Jobs  $\{J_1, \dots, J_n\}$ ;
- Each job has to be processed by each machine in arbitrary order;
- Processing times  $P = \begin{pmatrix} p_{11} & p_{12} & \dots & p_{1n} \\ \vdots & & & \vdots \\ p_{m1} & p_{m2} & \dots & p_{mn} \end{pmatrix}$ ;
- Objective function  $C_{\max}$ : the makespan.

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## Short review

- $O_2 || C_{\max}$  is solvable in  $O(n)$  [Gonzalez, Sahni 1976];
- $O_3 || C_{\max}$  is NP-hard (but is it strongly NP-hard?) [Gonzalez, Sahni 1976];
- $O || C_{\max}$  is strongly NP-hard, can't be approximated better than  $\frac{5}{4}$  [Williamson *et al* 1997].

# A special case

## Proportionate setting

Restriction on processing times:  $p_{ij} = p_j$ ,  $P = \begin{pmatrix} p_1 & p_2 & \cdots & p_n \\ \vdots & \vdots & \vdots & \vdots \\ p_1 & p_2 & \cdots & p_n \end{pmatrix}$

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Better notation (suggested by [Sevastyanov, 2019]):  $j\text{-}prpt$   $m\text{-}prpt$

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$m-prpt$

- $O_3|j-prpt|C_{\max}$  is NP-hard [Lui, Bulfin 1987];
- $O_3|j-prpt|C_{\max}$  is pseudopolynomially solvable [Sevastyanov 2019].

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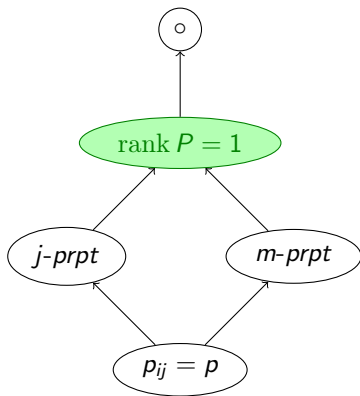


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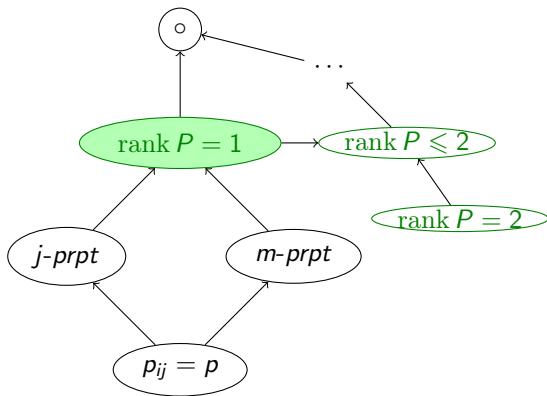


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# Standard lower bound

	$J_1$	$J_2$	$\dots$	$J_n$
$M_1$	$p_{11}$	$p_{21}$	$\dots$	$p_{n1}$
$\vdots$				$\vdots$
$M_m$	$p_{1m}$	$p_{2m}$	$\dots$	$p_{nm}$

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## Definition

- A feasible schedule  $S$  is **normal**, if  $C_{\max}(S) = \bar{C}$ . Instances admitting construction of a normal schedule are also called **normal**.
- **Abnormality** of instance  $I$  is  $\alpha(I) = \frac{C_{\max}^*(I)}{\bar{C}(I)}$ .
- If  $\mathcal{K}$  is a set of instances,

$$\alpha(\mathcal{K}) = \sup_{I \in \mathcal{K}} \alpha(I).$$

## Notation

- $\mathcal{I}_m$  is the class of non-trivial instances for  $Om||C_{\max}$ .
- $\mathcal{I}_m(\mathbb{P}) = \{I \in \mathcal{I}_m | \mathbb{P}\}$ , where  $\mathbb{P}$  — some property/properties.



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## Examples of normal classes of instances

- $\mathcal{I}_2$  [Gonzalez, Sahni 1976]
- $\mathcal{I}_3(\ell_{\max} \geq 7p_{\max})$  [Sevastyanov 1996]
- $\mathcal{I}_m(\ell_1 \geq \max_{i=2, \dots, m} \ell_i + mp_{\max})$  [Sevastyanov, Ch 1996]
- $\mathcal{I}_3(\ell_1 \geq \ell_2 \geq \ell_3 + 2p_{\max})$  [Kononov *et al* 1999]
- $\mathcal{I}_3(\ell_{\max} \geq 3p_{\max}, \nu = 2)$  [Kashirskikh *et al* 2001]
- $\mathcal{I}_m(j\text{-prpt}, \ell_{\max} \leq (m - 1)p_{\max})$  [Sevastyanov 2019]
- $\mathcal{I}_3(j\text{-prpt}, \ell_{\max} \leq 2.5p_{\max})$  [Sevastyanov 2019]
- ...

- $\alpha(\mathcal{I}_2) = 1$  [Gonzalez, Sahni 1976]
- $\alpha(\mathcal{I}_3) = \frac{4}{3}$  [Sevastyanov, Ch 1998]
- $\alpha(\mathcal{I}_3(\nu = 2)) = \frac{5}{4}$  [Lisitsyna, 2008]
- $\alpha(\mathcal{I}_3(j\text{-}prpt)) = \frac{10}{9}$  [Sevastyanov 2019]
- $\alpha(\mathcal{I}_3(\text{superoverloaded})) = \frac{7}{6}$  [Ch, Pyatkin 2021]
- $\alpha(\mathcal{I}_m(\Delta \leq 2\bar{C})) = 1$  [Sevastyanov, Ch]
- $\alpha(\mathcal{I}_m) < 2$  [dense schedules]
- ...

# The routing open shop problem

Open Shop ( $Om||C_{\max}$ )...

Machines  $M_1$  ...  $M_m$

Jobs  $J_1$  ...  $J_n$

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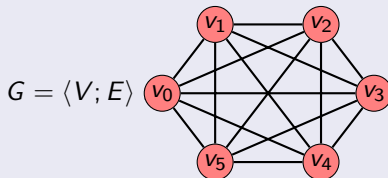
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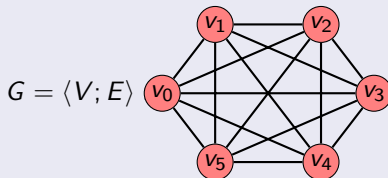
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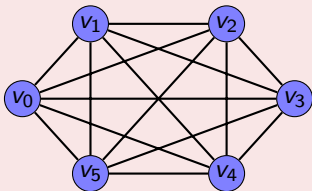
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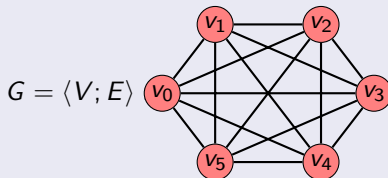
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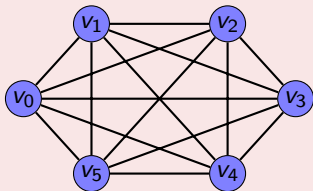
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$\{J_1, \dots, J_n\}$

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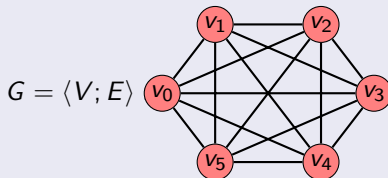
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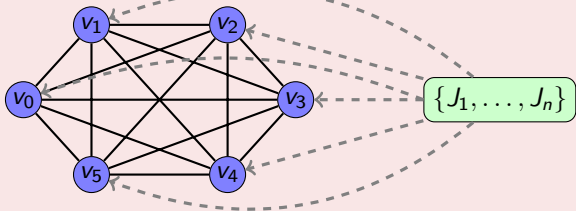
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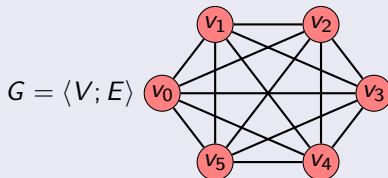
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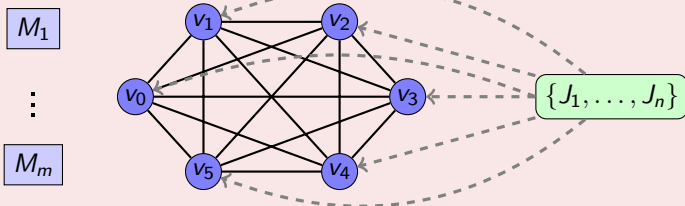
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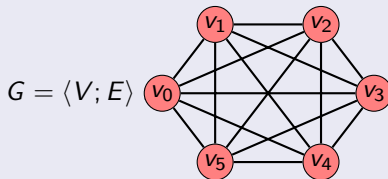
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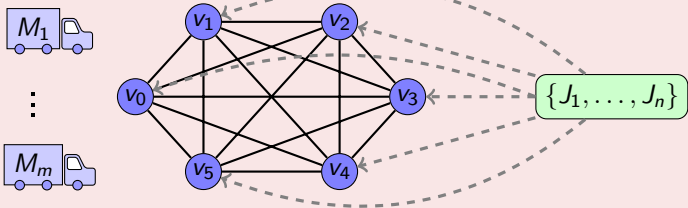
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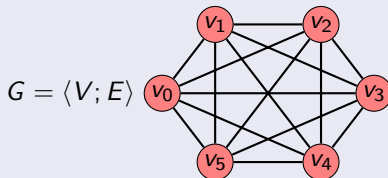
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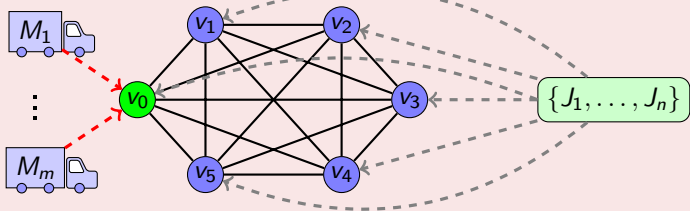
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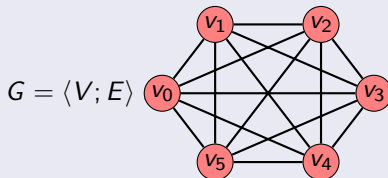
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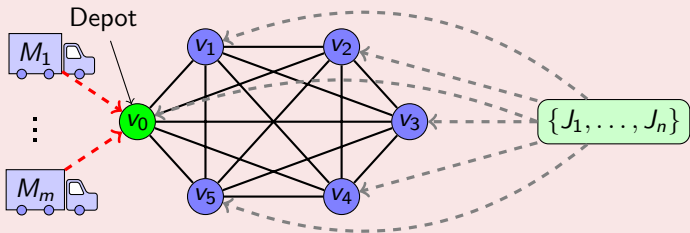
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## Notation

- The problem:  $ROm||R_{\max}$  or  $ROm|G = X|R_{\max}$
- Class of instances of  $ROm||R_{\max}$ :  $\mathcal{I}_m^R$

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- $\text{dist}(u, v)$  — machine travel time between  $u$  and  $v$ ,
- $d_{\max}(v) = \max_{J_j \in \mathcal{J}(v)} d_j$  — maximum job duration in  $v$ ,
- $T^*$  — optimal route weight  $G$ .

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## Standard lower bound for $ROm||R_{\max}$

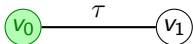
$$\bar{R} = \max \left\{ \ell_{\max} + T^*, \max_{v \in V} \left( d_{\max}(v) + 2\text{dist}(v_0, v) \right) \right\}$$

- $RO1||R_{\max}$  is equivalent to the metric TSP;
- $ROm|G = K_1|R_{\max}$  is equivalent to  $Om||C_{\max}$ ;
- $RO2|G = K_2|R_{\max}$  is NP-hard [Averbakh et al 2006]
- For  $RO2|G = K_2|R_{\max}$  FPTAS exists [Kononov 2012]
- $RO2|j\text{-prpt}, G = K_2|R_{\max}$  is NP-hard [Pyatkin, Ch 2022]
- $\alpha(\mathcal{I}_2^R(G = K_2)) = \frac{6}{5}$  [Averbakh et al 2005]
- $\alpha(\mathcal{I}_2^R(G = K_3)) = \frac{6}{5}$  [Ch, Lgotina 2016]
- $\alpha(\mathcal{I}_2^R(G = tree)) = \frac{6}{5}$  [Ch, Krivonogova 2019]
- $\alpha(\mathcal{I}_2^R(j\text{-prpt}, G = K_3)) = \frac{7}{6}$  [Pyatkin, Ch 2022]
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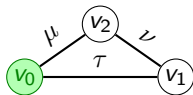


# The object of investigation

$RO2 | \text{rank } P = 1, G = K_2 | R_{\max}$ .



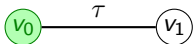
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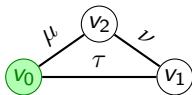
Processing times:  $P = \begin{pmatrix} a_1 & \dots & a_n \\ b_1 & \dots & b_n \end{pmatrix} = \begin{pmatrix} kp_1 & \dots & kp_n \\ p_1 & \dots & p_n \end{pmatrix}$ , without loss of generality  $k \geq 1$ .

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Questions:

- 1 Which values of  $k$  guarantee normality?
- 2 Abnormality  $\alpha(\mathcal{I}_2^R(\text{rank } P = 1, G = K_2))$  as function of  $k$ .
- 3 Abnormality  $\alpha(\mathcal{I}_2^R(\text{rank } P = 1, G = K_3))$  as function of  $k$ .

## Lemma 1

Let  $I \in \mathcal{I}_2^R(\text{rank } P = 1, G = K_2)$  is an instance with  $k \geq \Phi$ , where  $\Phi$  is the golden ratio. When  $I$  is normal.

# The boundary on normality

## Lemma 1

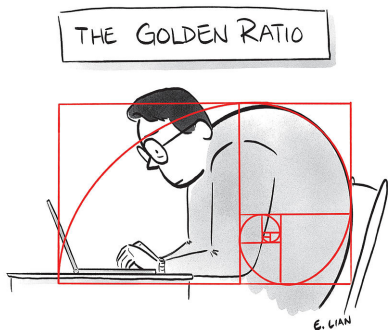
Let  $I \in \mathcal{I}_2^R$  ( $\text{rank } P = 1, G = K_2$ ) is an instance with  $k \geq \Phi$ , where  $\Phi$  is the golden ratio. When  $I$  is normal.

$\Phi$  — positive root of  $x^2 - x = 1$ ;

$$\Phi = \frac{\sqrt{5} + 1}{2} \approx 1,618\dots$$

$$k \geq \Phi \Rightarrow k^2 - k \geq 1,$$

$$k \in [1, \Phi) \Rightarrow k^2 - k < 1.$$



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## Lemma 2

$\forall k \in [1, \Phi)$  class  $\mathcal{I}_2^R(\text{rank } P = 1, G = K_2)$  contains an instance with proportionality factor  $k$ , which is not normal.

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## Lemma 3

Let  $I \in \mathcal{I}_2^R(\text{rank } P = 1, G = K_2)$  be an instance with proportionality factor  $k \in [1, \Phi)$ . When

$$R_{\max}^*(I) \leq \frac{4k^2 + 3k}{5k^2 + 2k - 1} \bar{R}.$$

## Theorem 1

$$\alpha(\mathcal{I}_2^R(\text{rank } P = 1, G = K_2)) = F(k) = \begin{cases} \frac{4k^2+3k}{5k^2+2k-1}, & k \in [1, \Phi), \\ 1, & k \geq \Phi. \end{cases}$$

For each  $I \in \mathcal{I}_2^R(\text{rank } P = 1, G = K_2)$  a feasible schedule with makespan  $\leq F(k)\bar{R}$  can be built in linear time.

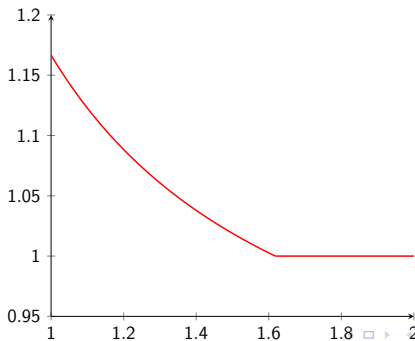
## Proof

Straightforward from Lemmas 1,2,3.

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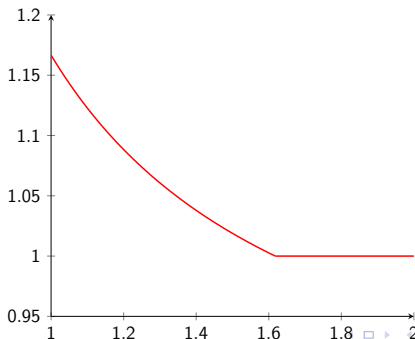




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$$F(k) = \begin{cases} \frac{4k^2+3k}{5k^2+2k-1}, & k \in [1, \Phi), \\ 1, & k \geq \Phi. \end{cases}$$

- 1 Does similar result hold for  $G = K_4$ ,  $G = tree$ ,  $G = cycle$ , etc?
- 2 How does algorithmic complexity of the routing open shop on class  $\mathcal{I}_2^R(\text{rank } P = 1, G = K_2)$  depend on  $k$ :
  - $k = 1$ : NP-hard problem  $RO2|j\text{-prpt}, G = K_2|R_{\max}$ ,
  - $k \geq \Phi$ : solvable in linear time,
  - $k \in (1, \Phi)$ : ???
- 3 Investigate  $O3|\text{rank } P = 1|C_{\max}$  and other shop scheduling problems with  $\text{rank } P = 1$ .

Thank you for your attention!

Thanks!

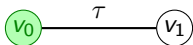
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Thanks!

Questions?

# The idea of proof for $G = K_2$

$$RO2 | \text{rank } P = 1, G = K_2 | R_{\max}.$$

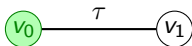


Processing times:  $P = \begin{pmatrix} a_1 & \dots & a_n \\ b_1 & \dots & b_n \end{pmatrix} = \begin{pmatrix} kp_1 & \dots & kp_n \\ p_1 & \dots & p_n \end{pmatrix}$ , without loss of generality  $k \geq 1$ .

$$\bar{R} = \max\{\ell_1 + 2\tau, d_{\max}(v_0), d_{\max}(v_1) + 2\tau\}.$$

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The approach:

- 1 Preprocessing (instance reduction preserving  $\bar{R}$ )
- 2 Investigation of the simplified (reduced) instance

## 1 Job aggregation (or grouping) preserving $\bar{R}$ :

- Grouping of jobs only from the same node  $v$  is allowed;
- $\bar{R}$  is preserved, if total duration of jobs aggregated doesn't exceed  $\bar{R} - 2\text{dist}(v_0, v)$ ;
- Using  $\sum d_j = \ell_1 + \ell_2 \leq 2(\bar{R} - T^*)$  it is possible to group jobs in at most 3 groups per node;
- Grouping doesn't violate machine loads, mode loads and proportionality factor  $k$ ;
- Any feasible schedule for the reduced instance can be treated as feasible schedule with same makespan for the initial instance.

## 2 Overloaded and superoverloaded nodes:

- Node  $v$  is **overloaded**, if its load (total duration of jobs) is greater than  $\bar{R} - 2\text{dist}(v_0, v)$ ;
- Any two-machine instance contains at most one overloaded node;
- An instance is **irreducible**, if any possible job aggregation enlarges  $\bar{R}$ ;
- A node in a irreducible instance, containing three jobs, is **superoverloaded**.

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## 3 Some known facts:

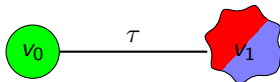
- Any instance of  $RO2|G = K_2|R_{\max}$  without overloaded nodes is normal [trivial]
- Any instance of  $RO2|G = K_2|R_{\max}$  with a superoverloaded node is normal [Ch, Pyatkin 2020]
- Any instance of  $RO2||R_{\max}$  with overloaded depot is normal [Ch 2021]



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### 4 It is sufficient to consider instances of the following type:

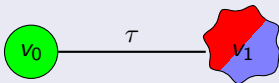


Node  $v_0$  contains a single job  $J_1$ , node  $v_1$  is overloaded and contains jobs  $J_2$  and  $J_3$ .

## Lemma 1

Let  $I \in \mathcal{I}_2^R$  ( $\text{rank } P = 1, G = K_2$ ) is an instance with  $k \geq \Phi$ , where  $\Phi$  is the golden ratio. When  $I$  is normal.

## Proof



Node  $v_0$  contains a single job  $J_1$ , node  $v_1$  is overloaded and contains jobs  $J_2$  and  $J_3$ .

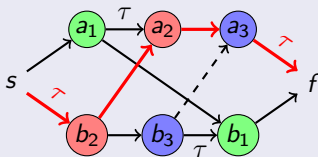
Consider an irreducible instance with processing times

$$P = \left( \begin{array}{c|cc} a_1 & a_2 & a_3 \\ b_1 & b_2 & b_3 \end{array} \right) = \left( \begin{array}{c|cc} kp_1 & kp_2 & kp_3 \\ p_1 & p_2 & p_3 \end{array} \right).$$

Without loss of generality assume  $p_2 \geq p_3$ .

# Proof (continued)

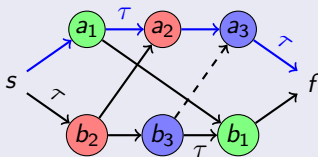
Consider schedule  $S_1$ :



$$R_1 = R_{\max}(S_1) = b_2 + a_2 + a_3 + 2\tau = (1+k)p_2 + kp_3 + 2\tau.$$

# Proof (continued)

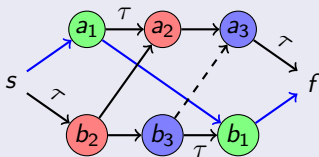
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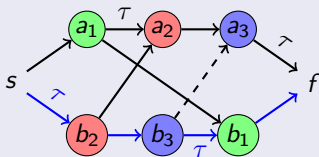
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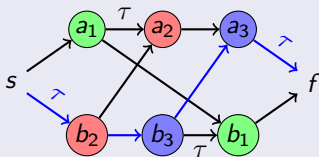
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$$R_1 = R_{\max}(S_1) = b_2 + a_2 + a_3 + 2\tau = (1+k)p_2 + kp_3 + 2\tau.$$

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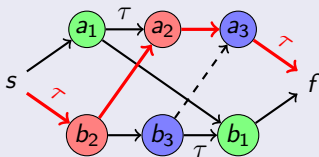
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# Proof (continued)

Consider schedule  $S_1$ :

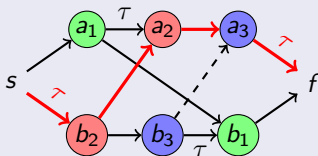


$$R_1 = R_{\max}(S_1) = b_2 + a_2 + a_3 + 2\tau = (1+k)p_2 + kp_3 + 2\tau.$$



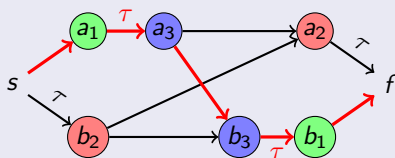
# Proof (continued)

Consider schedule  $S_1$ :



$$R_1 = R_{\max}(S_1) = b_2 + a_2 + a_3 + 2\tau = (1+k)p_2 + kp_3 + 2\tau.$$

Consider schedule  $S_2$ :



$$R_2 = R_{\max}(S_2) = a_1 + a_3 + b_3 + b_1 + 2\tau = (1+k)p_1 + (1+k)p_3 + 2\tau.$$

# Proof (continued)

Let's prove, that at least one of schedules  $S_1$  and  $S_2$  is normal (for any instance complying with Lemma), or

$$\min\{R_1, R_2\} \leq \bar{R}.$$

Note that  $\forall \lambda \in [0, 1]$

$$\min\{R_1, R_2\} \leq \lambda R_1 + (1 - \lambda)R_2.$$

On the other hand,

$$LB_1 = \ell_1 + 2\tau = k(p_1 + p_2 + p_3) + 2\tau \leq \bar{R},$$

$$LB_2 = k(p_1 + 2p_3) + 2\tau \leq LB_1 \leq \bar{R},$$

therefore  $\forall \mu \in [0, 1]$   $\mu LB_1 + (1 - \mu)LB_2 \leq \bar{R}$ .

It is sufficient to find such  $\lambda, \mu \in [0, 1]$ , that

$$\lambda R_1 + (1 - \lambda)R_2 \leq \mu LB_1 + (1 - \mu)LB_2.$$

$$R_1 = (1 + k)p_2 + kp_3 + 2\tau,$$

$$R_2 = (1 + k)(p_1 + p_3) + 2\tau,$$

$$LB_1 = k(p_1 + p_2 + p_3) + 2\tau,$$

$$LB_2 = k(p_1 + 2p_3) + 2\tau.$$

Consider  $\lambda = \frac{k-1}{k}$ ,  $\mu = 1 - \frac{1}{k^2}$ .

$$\lambda R_1 + (1 - \lambda)R_2 = \frac{k+1}{k}p_1 + \frac{k^2-1}{k}p_2 + \frac{k^2+1}{k}p_3 + 2\tau,$$

$$\mu LB_1 + (1 - \mu)LB_2 = kp_1 + \frac{k^2-1}{k}p_2 + \frac{k^2+1}{k}p_3 + 2\tau,$$

$$\lambda R_1 + (1 - \lambda)R_2 \leq \mu LB_1 + (1 - \mu)LB_2 \iff 1 + \frac{1}{k} \leq k \iff k^2 - k \geq 1.$$

# The golden ratio: tight normality boundary

## Lemma 2

$\forall k \in [1, \Phi)$  class  $\mathcal{I}_2^R(\text{rank } P = 1, G = K_2)$  contains an instance with proportionality factor  $k$ , which is not normal.

## Proof

Consider instance  $p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1$ .

For this instance we have

$$\bar{R} = k(p_1 + p_2 + p_3) + 2\tau = 5k^2 + 2k - 1 < 4k^2 + 3k.$$

Assume there exists a feasible schedule  $S$  with makespan

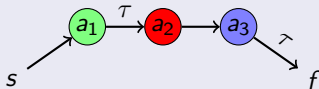
$$R_{\max}(S) < 4k^2 + 3k = p_1 + p_2 + p_3 + 4\tau.$$

Note that each machine travels once from  $v_0$  to  $v_1$  and back in  $S$ .

Without loss of generality  $M_1$  performs operations in order  $a_1 \rightarrow a_2 \rightarrow a_3$ .

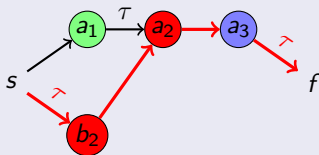
# Proof (continued and finished)

$$p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1.$$



# Proof (continued and finished)

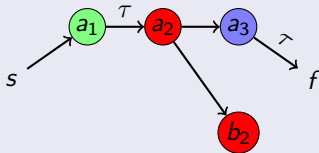
$$p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1.$$



$$R_{\max}(S) \geq b_2 + a_2 + a_3 + 2\tau = k + 1 + k(k + 1) + k(k + 1) + 2k^2 - 1 = 4k^2 + 3k.$$

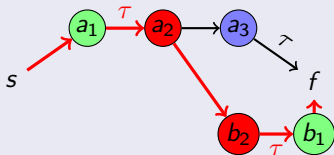
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$$p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1.$$



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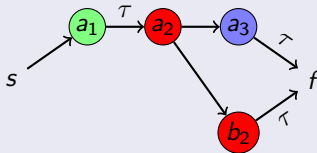


$$R_{\max}(S) \geq a_1 + a_2 + b_2 + b_1 + 2\tau = (k+1)k + (k+1)^2 + 2k^2 - 1 = 4k^2 + 3k.$$



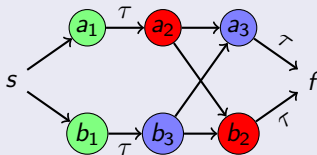
# Proof (continued and finished)

$$p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1.$$



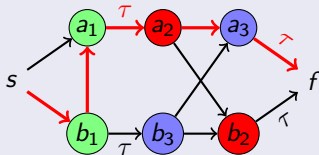
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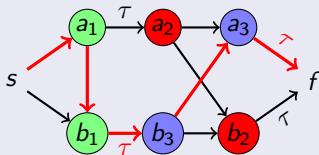
$$p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1.$$



$$R_{\max}(S) \geq k + k \cdot (3k + 2) + 2k^2 - 1 = 5k^2 + 3k - 1 \geq 4k^2 + 3k.$$

# Proof (continued and finished)

$$p_1 = k, p_2 = p_3 = k + 1, 2\tau = 2k^2 - 1.$$



$$R_{\max}(S) \geq a_1 + b_1 + b_3 + a_3 + 2\tau = k^2 + k + k + 1 + k(k+1) + 2k^2 - 1 = 4k^2 + 3k.$$

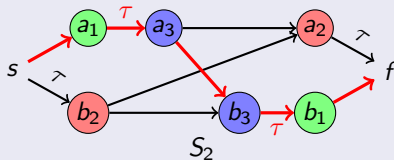
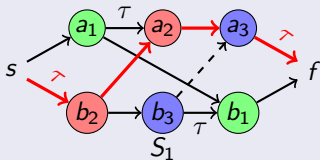
## Lemma 3

Let  $I \in \mathcal{I}_2^R$  ( $\text{rank } P = 1, G = K_2$ ) be an instance with proportionality factor  $k \in [1, \Phi)$ . When

$$R_{\max}^*(I) \leq \frac{4k^2 + 3k}{5k^2 + 2k - 1} \bar{R}.$$

## Proof

Consider the following three schedules:

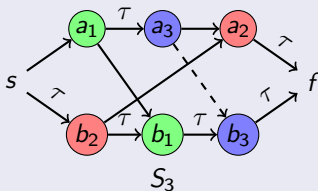


$$R_1 = R_{\max}(S_1) = b_2 + a_2 + a_3 + 2\tau = (1+k)p_2 + kp_3 + 2\tau.$$

$$R_2 = R_{\max}(S_2) = a_1 + a_3 + b_3 + b_1 + 2\tau = (1+k)p_1 + (1+k)p_3 + 2\tau.$$

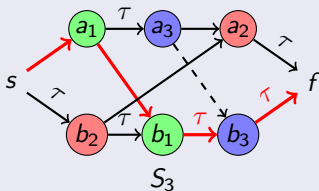
# Proof (continued)

$$R_1 = (1 + k)p_2 + kp_3 + 2\tau, R_2 = (1 + k)p_1 + (1 + k)p_3 + 2\tau.$$



# Proof (continued)

$$R_1 = (1+k)p_2 + kp_3 + 2\tau, R_2 = (1+k)p_1 + (1+k)p_3 + 2\tau.$$



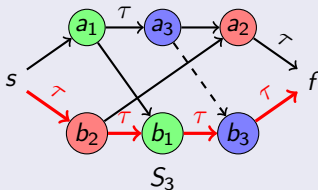
Case 1:

$$R_3 = R_{\max}(S_3) = a_1 + b_1 + b_3 + 2\tau = (k+1)p_1 + p_3 + 2\tau,$$

$$R_1 + R_3 = (k+1)(p_1 + p_2 + p_3) + 4\tau = l_1 + l_2 + 4\tau \leq 2\bar{R}.$$

# Proof (continued)

$$R_1 = (1+k)p_2 + kp_3 + 2\tau, R_2 = (1+k)p_1 + (1+k)p_3 + 2\tau.$$



Case 2:

$$R_3 = R_{\max}(S_3) = b_2 + b_1 + b_3 + 4\tau = p_1 + p_2 + p_3 + 4\tau.$$



$$R_1 = (1 + k)p_2 + kp_3 + 2\tau,$$

$$R_2 = (1 + k)p_1 + (1 + k)p_3 + 2\tau,$$

$$R_3 = R_{\max}(S_3) = b_2 + b_1 + b_3 + 4\tau = p_1 + p_2 + p_3 + 4\tau.$$

Let's prove that  $\min\{R_1, R_2, R_3\} \leq \frac{4k^2+3k}{5k^2+2k-1} \bar{R}$ .

$$R_1 = (1 + k)p_2 + kp_3 + 2\tau,$$

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$$LB_1 = k(p_1 + p_2 + p_3) + 2\tau, \quad LB_2 = k(p_1 + 2p_3) + 2\tau.$$

It is sufficient to find such  $\lambda_1, \lambda_2, \lambda_3, \mu_1, \mu_2$ , that

- 1  $\lambda_1 R_1 + \lambda_2 R_2 + \lambda_3 R_3 \leq \mu_1 LB_1 + \mu_2 LB_2,$
- 2  $(\lambda_1 + \lambda_2 + \lambda_3)(4k^2 + 3k) \leq (\mu_1 + \mu_2)(5k^2 + 2k - 1).$

$$R_1 = (1+k)p_2 + kp_3 + 2\tau,$$

$$R_2 = (1+k)p_1 + (1+k)p_3 + 2\tau,$$

$$R_3 = R_{\max}(S_3) = b_2 + b_1 + b_3 + 4\tau = p_1 + p_2 + p_3 + 4\tau.$$

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- 2  $(\lambda_1 + \lambda_2 + \lambda_3)(4k^2 + 3k) \leq (\mu_1 + \mu_2)(5k^2 + 2k - 1).$

$$\lambda_1 = \frac{2k^2 + k - 1}{k^2}, \quad \lambda_2 = \frac{4k^2 - 1}{k^2}, \quad \lambda_3 = \frac{-k^2 + k + 1}{k^2},$$

$$\mu_1 = \lambda_2 + 2\lambda_3 = \frac{2k^2 + 2k + 1}{k^2}, \quad \mu_2 = \lambda_1 = \frac{2k^2 + k - 1}{k^2}.$$