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Determining capacity of shunting yards by combining graph classification with local search

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Keywords: Planning and Scheduling, Machine Learning, Convolutional Neural Networks, Classification, Local Search

Abstract: Dutch Railways (NS) uses a shunt plan simulator to determine capacities of shunting yards. Central to this simulator is a local search heuristic. Solving this capacity determination problem is very time consuming, as it requires to solve an NP-hard shunting planning problem, and furthermore, the capacity has to determined for a large number of possible scenarios at over 30 shunting yards in The Netherlands. In this paper, we propose to combine machine learning with local search in order to speed up finding shunting plans in the capacity determination problem. The local search heuristic models the activities that take place on the shunting yard as nodes in an activity graph with precedence relations. Consequently, we apply the Deep Graph Convolutional Neural Network, which is a graph classification method, to predict whether local search will find a feasible shunt plan given an initial solution. Our experimental results show our approach can significantly reduce the simulation time in determining the capacity of a given shunting yard. This study demonstrates how machine learning can be used to boost optimization algorithms in an industrial application.

1 INTRODUCTION

The Dutch Railways (NS) operates a daily amount of 4,800 domestic trains serving more than 1.2 million passengers each day. When trains are temporarily not needed to operate a given timetable they are maintained and cleaned at dedicated shunting yards. Here, NS is dealing with the so-called shunting activities (Boysen et al., 2012). An example of a shunting yard is shown in Figure 1.

Figure 1: shunting yard with specific tracks for inspection and cleaning activities. Source: www.sporenplan.nl

NS is expanding their fleet of train units by 37% in the next five years. The management team questions if the capacity of existing shunting yards is sufficient to handle the expansion. A shunt plan simulator has been developed to help solve this capacity determination problem. The simulator is used to both determine the capacity of shunting yards as well as analyze different scenarios on each shunting yard. Central to the simulator is a local search heuristic (or LS) (van den Broek, 2016; van den Broek et al., 2018). LS requires an initial solution as a starting point, which is created by a simple sequential algorithm that contains all important features to be able to apply search operators. After a predefined running time, LS either returns a feasible plan, or cannot find any feasible plan.

LS is much more computationally efficient than the previously formulated mathematical optimization model (Kroon et al., 2008). However, given that there are over 30 shunting yards in The Netherlands, and more than 50 possible scenarios to be evaluated for each shunting yard, NS has been looking for solutions to speeding up capacity determination. In this paper, we propose to use machine learning to approximate the local search heuristic, that is, we learn the relation between the input instances and the corresponding outputs of LS. Given any initial solution, a constructed classification model predicts whether LS can find a feasible solution before actually applying LS. In this way, LS does not have to evaluate every generated initial solution, and hence its computation time on determining the maximum capacity of a given shunting yard is greatly reduced.
Essential to any local search algorithm is a solution representation that properly captures all important aspects of the solution. The local search heuristic by (van den Broek, 2016; van den Broek et al., 2018) models the activities that take place on the shunting yards as nodes in an activity graph. Representing shunt plans as activity graphs enables us to use graph classification. Recent research on graph classification has proven to achieve high accuracy in predicting the class labels of an arbitrary graph, see e.g., (Zhang et al., 2018), (Niepert et al., 2016) and (Kipf and Welling, 2016). Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset. Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset. Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset. Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset. Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset. Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset. Therefore, in this paper, we use a Deep Graph Convolutional Neural Network (DGCNN) (Zhang et al., 2018) to train a model that predicts the class label, i.e., feasible or infeasible, of each graph in the dataset.

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The rest of our paper is organized as follows. In Section 2, we describe background information, related work and clarify the position of our work within the simulation process. Section 3 shows how we use DGCNN to approximate LS. Section 4 describes the experiment setup and results in terms of prediction accuracy and decreased computation time.

2 BACKGROUND AND RELATED WORKS

2.1 Shunt plan simulator

The shunt plan simulator at NS consists of three sequential stages: (1) generating an instance of a given shunting yard, (2) generating an initial solution, and (3) finding a feasible solution using a local search heuristic. The maximum capacity of a given shunting yard is then determined by repeatedly running the local search heuristic with different instances of different scenarios. After a sufficient number of runs, the simulation converges towards a number of train units for which the heuristic can solve at least 95% of the instances. This number is used to determine the capacity of the given shunting yard. The capacity is defined as the number of train units a shunting yard can serve during a 24-hour time period.

Figure 2 shows a diagram explaining the software structure of the simulator. The instance generator is a parameterizable program, developed by NS, which derives instances for the Train Unit Shunting Problem automatically. Instances can be generated for each shunting yard individually with parameters specifically based on a day-to-day schedule at that shunting yard. Examples of parameters are number of train units, arrival/departure distribution and the set of service tasks that can be performed. Parameters can be changed to test different scenarios.

The output of the instance generator is a set of arriving trains (AT), a set of departing trains (DT) and a set of service tasks for each train unit that has to be performed. For both (AT) and (DT), train composition, train units and arrival/departure time are specified. The set of service tasks contains a list of service tasks for each train unit that has to be done in the time that the train unit is present on the service site. Trains can be composed of one or more train units of the same type, which are a set of carriages that form a self-propelling vehicle that can drive in both directions. Of the same train unit type, there exist multiple subtypes, where the subtype indicates how many carriages the train unit consists of. Figure 3 shows a train unit type and corresponding subtypes. Train composition, train units and arrival/departure time are specified for both AT and DT. The set of service tasks contains a list of service tasks for each train unit that has to be done in the time that the train unit is present on the shunting yard.

The output of the instance generator serves as input for the initial solution generator. The algorithm of Hopcroft-Karp (Hopcroft and Karp, 1973) is used to produce a matching between arriving and departing train units. Next, a service task schedule is constructed in a greedy way, which forms an initial solution of the given instance. Note that generally initial solutions are not feasible, that is, an initial solution
may violate the temporal or routing constraints. The purpose of an initial solution is that it contains all important features to serve as a starting point for the local search heuristic to find a feasible solution. In earlier work (van den Broek, 2016; van den Broek et al., 2018), 11 operators in LS have been defined to move through the search space. LS ends when a feasible solution has been found or when the predefined maximum runtime has been reached. In the latter case, no feasible solutions are found. Experiments in (van den Broek, 2016) show that LS is capable to find feasible shunt plans in both artificial and real-world scenarios. The performance of LS has been compared to a mathematical optimization model developed at NS that tries to find the optimal solution, and LS is capable of planning more train units in most experiments. As it is computationally expensive to use LS to evaluate every instance, in this work, we approximate LS using a machine learning model.

2.2 Optimization methods with machine learning

In recent years, many studies have investigated boosting optimization using machine learning, see e.g. (Meisel and Mattfeld, 2010; Lombardi and Milano, 2018). For instance, in (Verwer et al., 2017), the authors use regression models and decision trees to predict outcomes of auctions, and such predictive models are consequently used to evaluate and design optimal auction parameters. In (Defourny et al., 2012), the authors combine the estimation of statistical models to return a decision rule given a state with scenario tree techniques from multi-stage stochastic programming. In the context of planning and scheduling (Peer et al., 2018) develop a Deep Reinforcement Learning (DRL) solution to decide the best strategy of parking trains. In their work, the existing optimization model is completely replaced by a machine learning model.

In our work, we use machine learning techniques to learn the relation between the input instances and the corresponding outcomes of local search. Our work is also similar to the research line of simulation optimization. The idea of simulation optimization is to combine meta-heuristic search algorithms with function approximation models for fitness approximation in order to reduce the time on determining the capacity (Carson and Maria, 1997; Amaran et al., 2016).

The position of our work in the shunt plan simulator is between the initial solution generation and applying initial solutions to local search (Figure 2). After generating an initial solution, a trained classification model (DGCNN) predicts whether LS can find a feasible solution. If the outcome is positive, LS is applied to find a feasible solution. Otherwise, the negative outcome leads to discarding the initial solution and drawing a new instance from the instance generator. Therefore, accurately predicting feasibility leads to a decrease in computation time since less time is wasted on instances that may turn out to be infeasible (see Section 4).

3 APPROXIMATING LS USING DGCNN

A shunt plan can be modelled as an activity graph. Figure 4 shows an example of an activity graph. The activities nodes, including arrival (A), service (S), parking (P), movement (M) and departure (D), are connected by edges indicating the precedence relations. The solid, black arcs represent the order of operations of one or more train units. The corresponding train units of the nodes are between parentheses. The blue edges determine the order of the movements, and the green edge indicates which service task is completed first. The assigned track for each parking node is shown in subscript. The specific service task for each service node is shown in subscript.

In this paper, we aim to predict whether an initial solution that is represented by a given activity graph can lead to a feasible solution. To this end, we treat the prediction problem as a graph classification problem. Given a graph \( G = (V,E) \) where \( V \) is a finite set of nodes and \( E \) is a finite set of edges. Node features encode information about tracks, train units, duration and activities. Each graph \( G_i \in G \) has a corresponding class \( y_i \in C \) where \( C \) is the set of class labels given as \( C = \{0, 1\} \). The accuracy of the derived model is assessed by comparing the predicted label \( y'_i \) with the actual label \( y_i \).

There are many successful machine learning algorithms that could be used to predict feasibility of initial solutions. However, most algorithms involve heavy feature engineering on problem instances. Recently, a Deep Graph Convolutional Neural Network (DGCNN) has been proposed in (Zhang et al., 2018) for graph classification, which accepts graphs of arbitrary structure. The proposed architecture addresses two main challenges: (1) how to extract useful features characterizing the rich information encoded in graph classification and (2) how to sequentially read a graph in a meaningful and consistent order.

To tackle the first challenge, graph convolution layers are used to extract local substructure features from nodes and define a consistent node ordering.
Their graph convolution model effectively mimics two popular kernels, the Weisfeiler-Lehman Subtree Kernel (Shervashidze et al., 2011b) and the Propagation Kernel (Neumann et al., 2016), explaining its graph-level classification performance. To address the second challenge, a SortPooling layer is introduced, which sorts the node features under the previously defined order and unifies input sizes. This is done because in contrast to images graphs lack a tensor defined order and unifies input sizes. This is done because in contrast to images graphs lack a tensor defined order and unifies input sizes. Finally, traditional convolutional and dense layers are added to read the sort graph representations and make predictions. The authors of (Zhang et al., 2018) show DGCNN can achieve good performance on several graphs such as social networks. In this paper, we apply a modified DGCNN, which is described as follows.

The second localized graph convolution step involves appending node labels of neighbouring nodes to original node labels. The variety of original node labels defines how many new node labels will be created after appending neighbouring node labels. Local search specifies eight different activities in shunt graphs. This original representation can be modified to include more information in the graphs. The amount of original node labels can be increased by including specific types of activities to effectively exploit the graph structure for a classification task.

In our problem, shunt graphs contain, among others, Parking (P) and Service (S) activity nodes. Instead of just using P and S as original node labels, both can be encoded with more information. The specific parking track can be appended to get Pi, where i = 1, ..., T and T is the number of parking tracks on a shunting yard. The specific service task can be appended to get Si, where i = 1, ..., ST and ST is the number of service tasks that can be performed on a shunting yard. Experiments showed that including both Pi and Si is beneficial.

As the train unit shunting problem is a scheduling problem, the activity nodes in an shunt graph are encoded with starting and ending times. Therefore, the nodes in an activity graph are implicitly sorted based on the starting time. Thus, the sorting function of Sortpooling in DGCNN is redundant, and therefore is
removed from our model. Figure 5 shows the network structure that we use in our problem. It is slightly modified from DGCNN in (Zhang et al., 2018).

4 EXPERIMENTS

We evaluate how much running time can be reduced in determining capacity in shunting yards with our approach. To this end, we first generate and analyze data from the simulator. Then we report the performance of the DGCNN model on predicting whether initial plans would lead to feasible plans. From the performance of DGCNN, we can finally estimate the difference of running time with or without using DGCNN feasibility prediction in the simulator (illustrated in Figure 2).

4.1 Data generation

In order to evaluate our method, we generate data instances from the instance generator in the shunt plan simulator. The instance generator can be specified according to a set of input parameters based on the day-to-day schedule at the given service site. The most important parameters include: (1) number of train units, (2) different train unit types and subtypes, (3) probability distributions of arrivals per train unit type, and (4) set of service tasks including duration.

We generated 10,000 instances with 21 train units based on one of the service sites operated by NS. The amount of 21 train units has been purposely chosen. An increasing number of train unit increases the difficulty in finding feasible solutions. The preliminary experiments have shown that the instances with fewer train units are rather easy for the local search algorithm to find feasible solutions and hence, less insightful and valuable to the business. For the shunting yard that we used in the experiments, the instances with 20 to 22 train units are most interesting for NS, as they are neither easy nor too difficult for LS. Among them, initial solutions generated for 21 train units are the hardest to be correctly classified, and therefore they are considered the most suitable data to explore the usefulness of our approach to NS.

Initial solutions were created for all instances and LS was applied to solve them. The maximum running time for LS to solve each instance is set to 300 seconds. Among 10,000 instances, LS was not able to find feasible solutions for 2,750 instances. The outcomes (feasible, infeasible) were recorded as classification labels, where feasible instances (class 1) are initial solutions leading to feasible plans using LS within 300 seconds, while infeasible ones (class 0) are those LS could not find feasible plans within the time limit.
feasible solutions, the minimum and maximum numbers of iterations in local search are 108 and 2599 respectively with an average of 733 iterations. The minimum and maximum number of iterations for infeasible solutions are 1057 and 2939 with an average of 1962 iterations. Clearly, the number of iterations for infeasible solutions are much higher because local search ran for the maximum time of 300 seconds and was not able to find a feasible solution. Figure 7 shows a scatterplot with the number of iterations on the x-axis and runtime on the y-axis. The runtime of feasible instances increases as the number of iterations increases. The spread in the beginning is small, meaning that the time per iteration is quite similar. As the runtime increases, the spread becomes larger. Figure 8 shows a histogram of the runtime for all feasible instances. Infeasible instances are omitted for clarity because their runtime is always around 300 seconds. Considering feasible instances, the minimum runtime is 1 second, while the maximum runtime is 300 seconds. The average runtime is 96 seconds. ±80% of all feasible instances has been found within 150 seconds.

In addition, we use T-distributed Stochastic Neighbor Embedding (t-SNE) (van der Maaten and Hinton, 2008) to visualize the generated data instances. It models each high-dimensional object by a two-dimensional point in such a way that similar objects are modeled by nearby points and dissimilar objects are modeled by distant points with high probability. t-SNE can be useful in visualizing patterns in data as well as the separability of classes. Clearly separable clusters indicate good classification can be achieved, while mixed clusters indicate the opposite. Figure 9 shows a visualization of the node feature data after passing graphs through multiple convolution layers. The figure indicates these two classes of graphs are highly overlapped and thus form a difficult classification problem.

### 4.2 Predicting feasibility by DGCNN

The PyTorch (0.4.0) implementation of DGCNN is used with Python (3.6.4) for the experiments. Training was done on an 1.7 GHz Intel Core i7 MacBook Air. The DGCNN implementation is not parallelized, thus only 1 CPU core is used. Every time a new epoch begins, training data is randomly shuffled and processed in batches of several graphs to enable faster learning.

When applying DGCNN, we need to determine the level of details, or node representation, on the node labels in the graph. We apply the Weisfeiler-Lehman subtree kernel (Shervashidze et al., 2011a) to append node labels of the neighbouring nodes to the original node labels. The appended labels are sorted alphabetically and compressed into new, shorter labels. At the end of an iteration, the counts of the original node labels and the counts of the compressed node labels are represented as a feature vector. Neural networks are trained on these feature vectors. The original node labels define how many new node labels will be created after appending neighbouring node labels. The length of the feature vector depends on the amount of different node labels in the initial solution. Figure 10 visualizes how the length of the feature vector changes if node labels differ for the same graphs. In the left graph, originally, all nodes have the same node label. The right graph originally contains three different node labels. The appended and compressed labels after one iteration of the Weisfeiler-Lehman subtree kernel are visualized below both graphs. The feature vectors of both graphs contain the counts of the compressed node labels after one iteration. As can be seen, the length of the feature vector gets bigger when the level of detail (variety of node labels in the original graph) increases.

![Figure 10: Different feature vectors for different amounts of node labels](image-url)

Too many node labels may result in very dissimilar feature vectors. In both cases, neural networks may not be able to distinguish between feasible and infeasible instances. Hence it is important to select the best amount of the original node labels. Based on the data associated to the nodes (Figure 4) the level of detail can be determined in the following three ways: (1) regular labels, (2) regular labels and service tasks, (3) regular labels, service tasks, and parking locations. Regular labels are the labels of the 8 node types (7 illustrated in Figure 4 and one additional activity called “Saw Move”). This level of detail would result in the smallest feature vectors. One step further is to specify the service task as a node type. On the chosen service site, five different service tasks are avail-
able: internal cleaning, soap external cleaning, oxalic external cleaning, technical checkup A, and technical checkup B. Either one would replace the regular service task node (S) resulting in 12 different node labels. The most detailed representation specifies both parking locations and service tasks, which results in 24 different node labels given 13 different tracks in the service site.

4.2.1 Sampling

The generated instances are not balanced, with 7205 samples in class 1, and 2795 in class 0. Under-sampling and oversampling are two commonly used methods dealing with class imbalance problems. The risk of undersampling is loss of information due to removing potentially important instances. Whereas oversampling increases the possibility of overfitting. We create three datasets with different balancing strategies: (1) only undersampling, with 2795 samples for both classes, (2) only oversampling, with 7205 samples for both classes, (3) both under- and oversampling, with 5000 samples for both classes.

Together with the three different node representation strategies, we end up with nine datasets. DGCNN is applied on all nine datasets to find the best combination of methods dealing with class imbalance and the level of detail of node labels. We use 5-fold cross validation. Table 1 shows the classification performance. It shows that the performance increases as we add more detailed information about the planning instances on the nodes in the graph. The three datasets with the highest level of detail are highlighted in the table. In addition, the results show that using undersampling is the best of the methods dealing with class imbalance. The runtime for undersampled datasets is also significantly lower than when (a combination with) oversampling is used, which is logical as the undersampled dataset is smaller.

4.2.2 Hyperparameter Tuning

We use the best performing dataset to tune the hyperparameters of DGCNN using grid search. The following combination of parameter values has achieved the best performance and is used to generate the final prediction model: (1) unifying nodes in graph: 0.7; (2) learning rate: $1 \times 10^{-5}$; (3) number of convolution layers: 3; (4) number of nodes in convolution layers: 64; (5) number of training epochs: 120; (6) batch size: 100.

Table 2 shows the confusion matrix of the final classification model DGCNN. Each column of the matrix represents the instances in a predicted class while each row represents the instances in an actual class. Each cell counts the number of instances that corresponds to the row and column value. Correctly predicted classes are true negatives (TN; top left cell) and true positives (TP; bottom right cell). Incorrectly predicted classes are false negatives (FN; bottom left cell) and false positives (FP; top right cell). The final classification model of DGCNN is able to predict feasibility of an initial solution with 65.1% accuracy. It has been shown to be a difficult classification problem. A previous study (Dai, 2018) applied heavy feature engineering and tested various classifiers for this classification task, which resulted in a highest accuracy of 66.3%. However, to derive features, that approach assumes extensive domain knowledge on the shunting services planning problem. In comparison, DGCNN takes initial solutions directly as inputs.

Despite the difficulty of the classification problem, in the next section, we show the value of our approach in speeding up finding feasible solutions for capacity determination.

4.3 Accelerating simulations to determine capacities

Being able to predict feasibility of an initial solution before applying local search may lead to a decrease in computation time when determining the maximum capacity of a service site. We measure the effect of our approach by calculating the expected difference in running time with and without using DGCNN. As every instance was solved by the local search heuristic and its running time was recorded, we derive in Table 3 the running time of LS without DGCNN for all four types of instances (TN, FP, FN, and TP), as well as the average running time of feasible and infeasible instances.

The total running time on the testing data without applying DGCNN in Table 3 is 221,710 seconds, roughly 62 hours. This is the existing situation, where the local search algorithm has to evaluate every generated instance. We call our approach where DGCNN
is applied to predict the feasibility of instances before applying LS “the new situation”.

We use the following process to estimate the running time in the new situation. For each instance in the test set, DGCNN is used to predict whether it is feasible or infeasible. If feasible, the local search heuristic is applied to find a feasible solution (or terminate if it turns out to be infeasible given the predefined time limit). If, however, the predicted outcome is infeasible, this instance is discarded immediately and a new instance is drawn from the instance generator. This new instance is again fed to DGCNN, and the prediction of feasibility leads to either applying LS, or discarding this instance. This process continues until all instances have been classified as feasible. Figure 11 shows a Markov Transition Diagram to visualize this process, where the probabilities of transitions are obtained from Table 2.

Figure 11 shows that if an instance is classified as feasible, it will never leave that state. Note that being classified as feasible can either be correct (true) or incorrect (false). Since no new instances will be generated for instances classified as FP or TP, those runtimes remain the same in the new situation. If an instance is classified as infeasible, a new instance is drawn. This new instance can be transferred to any other state based on the probabilities. The runtime for TN and FN will change in the new situation.

The total runtime for the TN instances without DGCNN is 110,877 seconds. The total runtime decreases to 62,123 seconds when using DGCNN. A decrease of 44.0%. The runtime for FN without DGCNN is 24,362 seconds. The total runtime increases to 34,259 seconds when using DGCNN. This is because the instances are actually feasible, but incorrectly classified as infeasible. Therefore, new instances will be generated and some of those will turn out to be infeasible, causing a longer running time. While the runtime for FN instances increased with 40.6%, the total runtime of all instances decreased with 38,857 seconds to a total of 182,853 seconds. This decrease in runtime will save 17.5% when determining the capacity of a service site.

We have shown that using our approach, roughly 51 hours can be saved in determining whether one given shunting yard has sufficient capacity in handling 21 train units with one particular scenario. Such tests have to be done for more than 50 scenarios. Hence, our approach will save about 100 days on determining whether 21 train units can be handled in the testing yard. Furthermore, if it is concluded that the site has sufficient capacity for 21 trains units, the scenarios with 22 or more train units will be generated and tested in order to find out the maximum number of the units that the given shunting yard can deal with. With 35 service sites in the Netherlands, the time reduction using our approach has a great impact.

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<table>
<thead>
<tr>
<th>Quadrant</th>
<th>Time (sec)</th>
</tr>
</thead>
<tbody>
<tr>
<td>True negatives</td>
<td>110,877</td>
</tr>
<tr>
<td>False positives</td>
<td>56,037</td>
</tr>
<tr>
<td>False negatives</td>
<td>24,362</td>
</tr>
<tr>
<td>True positives</td>
<td>30,434</td>
</tr>
</tbody>
</table>

Table 3: Runtime per quadrant and average runtimes

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5 CONCLUSION

In this work we have shown that combining a Deep Graph Convolutional Neural Network with local search leads to a decrease in computation time in determining capacities in shunting yards. The computation time was decreased by 17.5% determining the capacity of one shunting yard if DGCNN is used to predict whether an initial solution will become feasible after applying local search.

Our results demonstrate how existing research in graph classification can be used to boost optimization algorithms in an industrial application. It shows the value of using machine learning models as approximation functions of optimization algorithms in finding solutions. As future work, we may increase the performance of our approach by collecting data in a more robust way. Since there are a lot of randomness in creating initial solutions and in the process of finding feasible solutions, it could be beneficial to apply local search multiple times on one initial solution.

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REFERENCES


