A Study of Genotype and Phenotype Distributions in Hybrid Evolutionary Algorithms to Solve the Flow Shop Scheduling Problem<br>Minetti G., Alfonso H.<br>Proyecto UNLPAM-09/F015 ${ }^{1}$<br>Departamento de Informática - Facultad de Ingeniería<br>Universidad Nacional de La Pampa<br>Calle 110 esq. 9<br>(6360) General Pico - La Pampa - Rep. Argentina<br>e-mail: \{ minettig, alfonsoh \}@ing.unlpam.edu.ar<br>Phone/Fax: +54 02302 422780/422372, Ext. 6302<br>Gallard R.<br>Laboratorio de Investigación y Desarrollo en Inteligencia Computacional (LIDIC) ${ }^{2}$<br>Departamento de Informática<br>Universidad Nacional de San Luis<br>Ejército de los Andes 950 - Local 106<br>(5700) - San Luis - Argentina<br>e-mail: rgallard@unsl.edu.ar<br>Phone: +54 2652420823 Fax : +54 2652430224


#### Abstract

In this preliminary study the Flow Shop Scheduling Problem (FSSP) is solved by hybrid Evolutionary Algorithms. The algorithms are obtained as a combination of an evolutionary algorithm, which uses the Multi-Inver-Over operator, and two conventional heuristics (CDS and a modified NEH) which are applied either before the evolution begins or when it ends. Here we analyze the genotype and phenotype distribution over the final population of individuals trying to establish the algorithm behavior. Although the original Evolutionary Algorithm was created to provide solutions to the Traveling Salesman Problems (TSP), it can be used for this particular kind of scheduling problem because they share a common chromosome representation.


Keywords: flow shop sequencing problem, evolutionary algorithms, heuristics, CDS, NEH.

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## 1. Introduction

The Flow-Shop Sequencing Problem is generally more precisely described as follow: There are $m$ machines and $n$ jobs, each job consists of $m$ operations, and each operation requires a different machine. $n$ jobs have to be processed in the same sequence on $m$ machines. The processing time of job $i$ on machine $j$ is given by $t_{i j}(i=1, \ldots . ., n ; j=1, \ldots . ., m)$. In other words, jobs are to be processed on multiple stages sequentially. There is one machine at each stage. Machines are available continuously. A job is processed on one machine at a time without preemption, and a machine processes no more than one job at a time. The objective is to find a sequence of jobs minimizing the maximum flow time, which is called makespan [5].
Many different Evolutionary Algorithms (EAs), including parallel approaches, have been successfully applied to solve flow-shop sequencing problems [2, 3, 4, 6, 7, 16, 17, 19]. This kind of problem is essentially a permutation schedule problem, and the permutation of jobs can be naturally represented by a sequence of genes. In consequence, the algorithms, that were created to solve the TSP, can also be used for this kind of problems. This is the case of Multi-Inver-Over Evolutionary Algorithm [8, 9, 10].
In this work the conformation of final solutions, which were obtained by EAs and their combinations are studied. Although in a previous paper [14] better results were obtained combining the EA with local search techniques as Simulated Annealing and Tabu Search, an great computational effort was needed. For that reason, the hybridization with other techniques is investigated. These techniques are heuristics which specifically created for solving the FSSP. They are the CDS heuristic [1] and a modified version of the NEH heuristic [15].

## 2. Hybridized Algorithms

The Inver-Over Evolutionary Algorithm (IO) was developed first by Michalewicz [8]. This algorithm is currently considered as one of the best heuristics to solve TSP. In previous works we improved its performance by using a multirecombined method [10]. Further enhancement were achieved by HMEAs (Hybrid Multi-inver-over Evolutionary Algorithms), which consist in hybridizing multirecombined evolutionary algorithms (global search) with simulated annealing and tabu search (local search) [11, 12, 13, 14]. The Hybrid Multi-Inver-Over Evolutionary Algorithms presented here incorporate CDS heuristic and a modified NEH heuristic to the multirecombined $I O$ versions $\left(I O-n_{1}\right)$; where $n_{l}$ is the number of times that the Inver-Over operator is applied.
$I O$ can be seen as a set of $m$-parallel hill climbing procedures. In each procedure, the number of inversions and the segment to be inverted depend on the current population. The algorithm is an evolutionary one, with an adaptive operator, which is a combination of inversion and crossover (e.g. the city to go is selected on the basis of another individual from the population).
The Nawaz, Enscore, and Ham (NEH) heuristic is based on the assumption that a job with a higher total processing time on all machines should be given higher priority than a job with a lower total processing time [15]. The NEH algorithm builds the final sequence in a constructive way, adding a new job at each step and finding the best partial solution. The elimination of the first step in the NEH heuristics is the modification that was made in this algorithm. This change was carried out to find different schedules from distinct sequences of a same instance.
The Campbell, Dudek and Smith (CDS) heuristic is basically an extension of Johnson's algorithm [1]. Its efficiency relies on two properties:
$\checkmark$ Uses Johnson's rule in a heuristic fashion.
$\checkmark$ Then, by solving $m$-1 two machine problems, creates several schedules from which a best schedule can be chosen.

This HMEA includes the above-described heuristics to the $I O-n_{l}$ versions separately. Each heuristic is applied to a percentage of individuals of the initial population and the evolutionary algorithm begins from this improved population. Individuals can be selected randomly ( R ), or they are the best (B) or the worst (W) in the population. In the case of NEH, the heuristic $\dot{\mathrm{s}}$ applied in the final population, too. As a result the following algorithms were designed ( $w$ is a wild card standing for $\mathrm{R}, \mathrm{B}$, or W indistinctly):

- IO- $n_{l}+$ CDS- $w$. Applies CDS in its original version. As CDS produces a unique best schedule from different sequences of the same instance, a number of identical individuals are inserted in the initial population.
- IO- $n_{1}+$ CDS1. This modified heuristic procedure inserts all the schedules created during the different stages of CDS, in the initial population.
- IO- $n_{l}+\mathrm{NEH} 1-w$. Applies the modified NEH version in the initial population.
- IO- $n_{l}+\mathrm{NEH} 2-w$. Applies the modified NEH version in the final population.

CDS and CDS1 heuristics are only applied to the initial population because they always produce the same set of schedules. The modified version of NEH can be applied also in the final population because the schedule created depends on the initial sequence provided by the individual to be hybridized.

## 3. Experiment Description

According to the above described hybrid algorithms, a set of experiments were performed. All of them used the multirecombined inver-over operator. Five different approaches, $I O-1$ to $I O-5$ were conducted applying from 1 to 5 inver-over operations, respectively.
All approaches were tested for fourteen instances, extracted from [18]. They are:

| Instances | ID | Size <br> $\boldsymbol{n} \mathbf{x} \boldsymbol{m}$ | Upper Bound |
| :---: | :---: | :---: | :---: |
| Tail001, Tail003, | T001, T003, |  | $1278,1081,1235,1234, \&$ |
| Tail005, Tail007 \& | T005, T007 \& | $20 \times 5$ | 1230, respectively. |
| Tail009 | T009 |  |  |
| Tail012, Tail014, | T012, T014, |  | $1659,1377,1397,1538, \&$ |
| Tail016, Tail018 \& | T016, T018 \& | $20 \times 10$ | 1591, respectively. |
| Tail020 | T020 |  |  |
| Tail033 \& Tail037 | T033 \& T037 | $50 \times 5$ | $2621 \& 2725$ respectively |
| Tail044 \& Tail049 | T044 \& T049 | $50 \times 10$ | $3063 \& 3897$ respectively |

For each instance a series of fifty runs was performed. All the Multirecombined Evolutionary Algorithms used the following parameter settings. Population size of 100 individuals, probability $p$ set to 0.02 , elitism to retain the best valued individual found so far, maximum number of generations fixed at 4000 and a stop criterion is established as follow: once the first 500 generations are accomplished the algorithm stops if the best individual does not change after 100 consecutive generations. The heuristics are applied over a $5 \%$ of population.

## 4. Results

To evaluate the algorithms the following relevant performance variables were chosen:

- Ebest: It is the percentile error of the best-found individual when compared with the known, or estimated, optimum value opt_val.
- Epop: It is the percentile error of the population mean fitness when compared with opt_val.
- Gbest: Identifies the generation where the best individual (retained by elitism) was found.
- SD: Standard Deviation.

| Algorithm | T001 | T003 | T005 | T007 | T009 | T012 | T014 | T016 | 1018 | T020 | T033 | T037 | T044 | T049 |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| -1 | 1286 | 1098 | 1278 | 1269 | 1245 | 1696 | 1394 | 1423 | 1559 | 1610 | 2655 | 2776 | 3220 | 3087 |
| IO-2 | 1281 | 1096 | 1275 | 1269 | 1236 | 1684 | 1398 | 1412 | 1563 | 1613 | 2647 | 2758 | 3197 | 3039 |
| IO | 78 | 1089 | 1271 | 1269 | 1237 | 1681 | 1392 | 1415 | 1554 | 1612 | 2641 | 2745 | 3170 | 3031 |
| IO-4 | 1278 | 1098 | 1268 | 1269 | 1247 | 1678 | 1393 | 1410 | 1555 | 1610 | 2640 | 2741 | 3165 | 3025 |
| IO | 1278 | 1088 | 1271 | 1269 | 1240 | 1678 | 1389 | 1406 | 1549 | 1603 | 2630 | 2736 | 3158 | 3012 |
| IO-1+CDS1 | 1284 | 109 | 12 | 1239 | 1247 | 1692 | 1410 | 1423 | 1566 | 1614 | 2631 | 2750 | 3144 | 32 |
| IO-2+CDS1 | 1278 | 1087 | 1243 | 1239 | 1240 | 1685 | 1393 | 1416 | 1550 | 1619 | 2626 | 2735 | 3134 | 0 |
| IO-3+CDS1 | 1278 | 1095 | 1243 | 1239 | 1230 | 1678 | 1395 | 1407 | 1558 | 1605 | 2624 | 2746 | 3125 | 2995 |
| IO-4+CDS1 | 1278 | 1096 | 1243 | 1239 | 1230 | 1673 | 1385 | 1412 | 1550 | 1604 | 2625 | 2737 | 3126 | 2976 |
| IO-5+CDS1 | 1278 | 10 | 1236 | 12 | 1233 | 1677 | 13 | 1403 | 1555 | 1610 | 2624 | 2736 | 6 | 9 |
|  |  | 10 |  | 1239 | 1243 |  | 4 | 4 | 8 | 2 |  | 3 |  |  |
| IO | 12 | 1089 | 1244 | 12 | 1240 | 1688 | 1398 | 1410 | 1559 | 1610 | 2624 | 2754 | 3162 | 1 |
| IO | 1278 | 10 | 1236 | 12 | 12 | 1679 | 1392 | 1408 | 1548 | 1608 | 2622 | 2746 | 3135 |  |
| 10 | 1278 | 10 |  | 12 | 1233 | 1676 | 1393 | 1405 | 1549 | 1591 | 2624 | 2746 | 0 |  |
| IO-5+CDS | 1279 | 10 | 1236 | 1239 | 1230 | 1672 | 1394 | 1397 | 1551 | 1599 | 2624 | 2746 | 3106 |  |
| IO-1+CDS | 12 | 10 | 1236 | 12 | 12 | 1692 | 1404 | 14 | 1564 | 1624 | 2 | 5 | 3179 | 3002 |
| IO | 12 | 10 | 1244 | 12 | 12 | 1678 | 13 | 14 | 1556 | 1613 | 2624 | 2755 | 7 | 2989 |
| IO | 12 | 10 | 12 | 12 | 12 | 1690 | 13 | 14 | 1544 | 1609 | 2624 | 2756 | 3149 | 3002 |
| IO | 12 | 10 | 1236 | 12 | 12 | 1660 | 13 | 14 | 1546 | 1608 | 2624 | 2746 | 3129 |  |
| IO | 1278 | 10 | 1235 | 12 | 12 | 1682 | 13 | 1401 | 1553 | 1610 | 2622 | 2736 | 3126 | 2 |
| IO-1+CDS-B | 12 | 10 | 12 | 12 | 12 | 1697 | 13 | 14 | 1559 | 1613 | 2 | 3 |  |  |
| 10 | 1278 | 10 | 1243 | 12 | 12 | 1673 | 1402 | 14 | 1560 | 1620 | 2622 | 2758 | 3141 |  |
| 1 | 1278 | 10 | 1236 | 123 | 1239 | 1678 | 1393 | 1408 | 1546 | 1614 | 2622 | 2750 | 3139 | 2983 |
| 10 | 12 | 10 | 1243 | 12 | 12 | 1685 | 1393 |  | 1554 | 1610 | 2622 | 2746 | 3132 |  |
| IO-5+CDS | 1278 | 1086 | 1235 | 12 | 1230 | 1672 | 13 | 1402 | 1554 | 1611 | 2621 | 2736 | 3126 |  |
| IO | 1278 | 10 | 1236 | 12 | 12 | 6 |  | 14 |  | 5 | 26 | 2 |  |  |
| IO-2+ | 1278 | 1088 | 1235 | 1239 | 1241 | 1674 | 1391 | 1417 | 1556 | 1608 | 2621 | 2732 | 3113 | ) |
| IO-3+ | 1278 | 10 | 1235 | 1239 | 1230 | 1667 | 1387 | 1408 | 1554 | 1596 | 2622 | 2732 | 3106 | 2976 |
| IO | 1278 | 1088 | 1237 | 1239 | 1230 | 1664 | 1383 | 1397 | 1544 | 1606 | 2621 | 2725 | 3118 | 2987 |
| IO-5+NEH | 1278 | 1081 | 1235 | 1239 | 1230 | 1664 | 139 | 1397 | 1553 | 1602 | 2622 | 2732 | 3110 | 298 |
| IO | 1278 | 10 | 1236 | 12 | 1240 |  |  | 7 |  | 1 | 1 | 2732 |  |  |
| IO-2+NEH1 | 1278 | 1088 | 1235 | 1239 | 1235 | 1675 | 1390 | 1400 | 1548 | 1612 | 2626 | 2732 | 3099 | 29 |
| IO-3+NEH | 1278 | 1088 | 1235 | 1239 | 1230 | 1677 | 1386 | 1411 | 1555 | 1598 | 2623 | 2732 | 3114 | 2965 |
| 1 | 1278 | 1088 | 1235 | 1239 | 1230 | 1679 | 1392 | 1407 | 1554 | 1591 | 2621 | 2725 | 311 | 2959 |
| IO-5+NEH | 1278 | 1088 | 1235 | 1239 | 1230 | 1664 | 1377 | 1406 | 1555 | 1604 | 2622 | 2732 | 3105 | 2974 |
| IO-1+NEH1-B | 1278 | 1089 | 1243 | 1239 | 1230 | 1679 | 1392 | 1417 |  | 13 | 2624 | 2725 | 3121 |  |
| IO-2+ | 1278 | 1087 | 1239 | 1239 | 1230 | 1671 | 1392 | 1400 | 1554 | 1609 | 2621 | 2732 | 31 | 29 |
| IO-3+NEH1-B | 1278 | 1088 | 1236 | 1239 | 1233 | 1668 | 1383 | 1411 | 1553 | 1608 | 2621 | 2732 | 3110 | 2981 |
| IO-4+NEH1-B | 1278 | 1081 | 1236 | 123 | 1230 | 1671 | 1387 | 1407 | 1548 | 1604 | 2623 | 2736 | 3104 | 2978 |
| IO-5+NEH1-B | 1278 | 1081 | 1235 | 1239 | 1230 | 1672 | 1383 | 1406 | 1556 | 1608 | 2622 | 2726 | 3110 | 2975 |


| Algorithm | T001 | T003 | T005 | T0 | T0 | 1012 | T0 | T0 | T0 | T020 | T033 | T037 | T044 |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| 2- | 1281 | 1089 | 43 | 1239 | 1253 | 1676 | 14 | 1421 | 1555 | 16 | 2627 | 27 | 3116 |  |
|  |  |  |  |  |  |  |  | 1418 |  |  | 639 | 2746 |  |  |
|  |  |  | 1239 |  | 1238 | 1677 |  | 1415 | 1554 | 1614 | 39 | 2743 |  |  |
|  |  |  |  |  | 1237 | 1670 |  | 1398 |  | 1607 | 34 | 2739 |  |  |
| IO-5+NEH2-R | 1278 |  | 1235 | 12 | 1230 | 1679 | 137 | 1406 | 1550 | 1610 | 2627 | 273 | 3113 |  |
|  | 12 | 1098 | 1246 | 1239 | 1244 | 1689 |  | 1424 |  | 1 | 5 |  |  |  |
|  | 12 |  | 12 | 1239 | 1240 | 1684 |  | 1414 | 62 | 13 | 888 | 27 |  |  |
|  | 12 | 1090 | 1243 |  | 1244 | 1676 | 1393 | 14 | 1551 | 1608 | 2629 | 6 |  |  |
|  | 12 |  | 1235 |  | 1233 | 1684 |  | 1415 | 1553 |  | 7 | 2736 |  |  |
| IO-5+ | 128 |  | 1239 | 12 | 1230 | 1659 |  | 14 | 15 | 1610 | 26 | 27 |  |  |
|  |  |  |  |  |  |  | 1401 | 24 |  | 1618 | 2635 | 2751 |  |  |
| IO-2+NEH2-1 | 1297 | 1091 | 1244 | 1247 | 1253 | 1688 | 1403 | 1442 | 1573 | 1636 | 2640 | 2758 |  |  |
|  |  |  |  |  |  | 1695 |  | 1424 | 1572 | 1641 | 2 | 2738 |  |  |
| IO-4+NEH2-B |  |  |  | 1250 | 1260 | 1686 |  | 1433 | 1553 | 1636 | 7 | 2746 |  |  |
| IO-5+NEH |  |  |  |  | 1253 | 1694 |  |  |  |  | 2636 | 2753 |  | 3025 |

Table 1: The best makespan values found by each algorithmic option
Table 1 shows the lower makespan values obtained by each algorithm in every instance. Boldfaced values indicate that an algorithmic option has reached the upper bound for a particular instance.
Any algorithmic option is quite good for smaller instances ( $20 \times 5$ size), but most hybridized options work better for bigger instances.
Figures 1, 2, 3 and 4 show minimum and mean Ebest and Epop values for representative instances of their respective sizes.


Figure 1: Ebest and Epop values for Tail007 Instance


Figure 2: Ebest and Epop values for Tail012 Instance


Figure 4: Ebest and Epop values for Tail044 Instance

A general overview on Ebest and Epop values, suggests that best individuals in the final population are surrounded by many other individuals. It can be inferred for two reasons:

1. The difference between both performance measures is small.
2. The behavior pattern is very similar for both error values.

The Epop values are lesser than $10 \%$; that means the final population is close to the upper bound values. Besides in most cases Ebest values are equal or next to zero which means that best individuals attains or are very close to the optimum or estimated optimum.
In a more detailed analysis, better Ebest and Epop values are observed when the heuristic is applied to initial populations over random individuals or worst individuals (diversification helps).
In figure 5 the average of Minimum and Mean Gbest values for all instances is shown. Here we can see that the algorithms, which apply the heuristic in the initial population, obtain their best individual in earlier generations and consequently, lesser computational effort is required. Also, these curves follow the pattern showed by the Ebest and Epop values. This indicates that a better performance is reached when the heuristic is applied to initial populations.


Figure 5: Average of Minimum and Mean Gbest Values for all instances.

### 4.1. Genotypic Distribution in the final Population

In this section we discuss on genotype distribution over the final population. The idea is to find a possible pattern of jobs allocation on chromosomes. We show here results for the same four representative instances. The following figures illustrate he number of occurrences where a job appears in a determined position. In the Y-axis, jobs ( $\mathrm{C} 1, \mathrm{C} 2 \ldots$ ) are sequenced in non-decreasing order of processing time. The X -axis represents the positions on chromosomes, and the Z -axis shows the number of occurrences of a job in a determined position.

In figure 6 an almost uniform distribution is observed for Tail007 instance. Some deviations are present in the $20^{\text {th }}$ position, were a short and a medium job predominate. Besides, in this position the absence of some long jobs is almost total. Hardly ever some medium or long job appear in the first locations. These characteristics are repeated for every algorithm with this instance.
In the case of the Tail012 instance, the ten shortest jobs begin by grouping from intermediate positions and then towards one of the borders (endmost position in the chromosome), while in the opposite border they are almost absent. The remaining jobs are distributed in a relative uniform way. These characteristics are given under any algorithmic option.

In Tail033 instance (fig. 8), the job allocation is also quite similar under any algorithmic option. Here, shortest jobs are almost uniformly distributed on the chromosome, while the remaining jobs, are concentrated in one of the borders.

In the last instance (Tail044, fig. 9) a similar job distribution is observed for each algorithm. But there is not a pattern, which does not allow us to describe the job allocation in relation with their length.

Summarising, for each particular instance jobs are distributed following a quite similar pattern under any of the hybrid algorithms used to solve the problem. Consequently, we can infer that the evolutionary algorithm orients the job distribution independently of the heuristic. This happens because heuristics are only applied on some individuals of the initial or final populations. A uniform job distribution means that different schedules are produced; then a high genotypic diversity is obtained.


Figure 6: Jobs Distribution for Tail007 instance


Figure 8: Jobs Distribution for Tail033 instance


Figure 7: Jobs Distribution for Tail012 instance


Figure 9: Jobs Distribution for Tail044 instance

Figures 10 and 11 show the job allocation at best individual chromosomes for two different problem sizes. In general the shortest and longest jobs have a tendency to group in the endmost positions of the chromosomes, while the rest of them are located in the internal positions.


Figure 10: Jobs Distribution for the best indiv. in T007 Figure 11: Jobs Distribution for the best indiv. in T012

### 4.2. Phenotypic distribution in the final population

As the main characteristics of the phenotypic behaviour are quite similar for all different kinds of instances selected in this work, we only illustrate here the behaviour achieved under distinct multiplicity levels $(1,2, \ldots, 5)$ of the $I O-n 1$ plus NEH1 algorithms, for the Tail044 instance. Figure 12. shows the mean makespan value for each of the 50 final populations obtained from the 50 runs of the algorithm under each multiplicity level.

In more detailed analysis it was determined that the standard deviation of individuals in the final population is less than one, for all algorithmic options. Also, the makespan values were decreased (improved) significantly when the multiplicity was augmented. This means that the combination of multiplicity and hybridization features provides better solutions without altering phenotypic diversity. Furthermore, these low standard deviations indicate a not too high variety of makespans values.


Figure 12: Mean Makespan for Tail044 instance under IO-n $1+\mathrm{NEH} 1$
The uniform job distribution, the low standard deviation of makespan values and the small Epop values (less than $10 \%$ ), indicate a big number of schedules, which are built of many different ways
and give high quality solutions. These solutions are close to the known optimum value and in many cases this value is reached.

## 5. Conclusions

We have studied and analyzed the combination of conventional heuristics and evolutionary algorithms, for solving scheduling problems, in particular the Flow Shop Scheduling Problem. The Evolutionary Algorithm searches and drives the search toward lower makespan values for each instance, while the conventional heuristics introduce individuals with problem specific knowledge. Consequently, the AE does a quicker and more efficient search. The hybridization used here provide good solutions without the computational effort required when tabu search or simulated annealing is applied to some individuals of the evolving population.

In our genotypic study we observed that similar patterns are obtained independently of the conventional heuristic used. Therefore, we can conclude that due to the level of hybridization, the heuristics (CDS and NEH) and the type of EA (Multi-inver-over) used, the latter is the main responsible of building the final solutions.

In our phenotypic study we observed low standard deviation of makespan values and low Ebest and Epop values. This ensures to provide a significant number of schedules, which are constructed by different permutations and are close to, or reach, the known optimum value. To have at hand a set of quasi optimal schedules is of utmost importance when the availability of ready jobs can change in the system.

Future work will be devoted to similar studies related with the behaviour of evolutionary approaches by analysing genotypic and phenotypic characteristics of the individuals in the final population.

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