Algorithms for Freight Train Scheduling

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Abstract: This paper develops train scheduling algorithms for freight railroads using scheduling generation and genetic algorithms. First scheduling generation procedures developed in the realm of job shop manufacturing are tailored for freight railroad applications. The scheduling generation procedures are used to create feasible populations to start genetic algorithms. Next, it suggests a novel representation and encoding mechanism based on random keys and job permutation encoding inspired in flexible job shop scheduling. In freight railroads a common goal is to minimize overall maximum transit time, analogous to minimize the makespan in manufacturing systems. The genetic algorithms whose initial population are produced by the scheduling generation algorithms are compared with the random key-job permutation algorithm developed herein. An example rail line is used to evaluate the performance of the algorithms. The exact optimal solution for the example rail line, found using the OR Tools solver, is used as a baseline. The results suggest that all approaches may produce optimal solutions, but the random key-job permutation algorithm consistently performs best amongst the remaining ones.

1 INTRODUCTION

Freight rail transportation systems are one of the preferred solutions to move raw materials, commodities and goods between warehouses, production and distribution centers, port and airport terminals. To remain competitive in a market with increased pressure for efficiency, sustainability and reliability, continuous improvement is required to keep the railroads attractive. Today railroads are looking for new technologies and restructuring their operation and management practice to better fit market demand and for better transportation services. Advanced train control and planning systems and their associated technologies and algorithms have substantially improved the railroad industry productivity during the last decades (Harker, 1995). Undoubtedly, movement planning of trains in a rail network is a challenge, and the schedules a movement plan produces have a major impact in the operational economics and performance of the network.

Many railroad networks are made of single tracks segments with sidings at intervals along the line. The sidings allow trains running in opposing directions to meet and pass, or trains running in the same direction to overtake each other. Sidings are short stretches of double track, usually long enough to hold one train. The task of train scheduling is to develop a safe, conflict free feasible meet-pass plan, a movement plan in which trains cross or overtake each other at sidings only. Traditionally, movement planning and train control are done by experienced dispatchers who, in addition to safety, must avoid line blocking situations, and attempt to minimize train delays and operating costs.

Train scheduling is a very large, complex, combinatorial problem consisting of tens of thousands of variables. One way to tackle the complexity of the problem is to select an appropriate tool to help the dispatchers in the decision-making process. Decision support systems with automated techniques to generate and optimize train schedules is a tool that has been shown to be effective in practice. Many different approaches can be used to generate train schedules: artificial intelligence, combinatorial optimization, simulation, and their combinations, as it will be discussed in the next section. The approach taken in this paper is based on genetic algorithms because, when endowed with an appropriate representation and encoding mechanism, they can effectively explore the search space and find schedules with satisfactory performance. As is well recognized in evolutionary com-

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putation area, representation and encoding is of ultimate importance in evolutionary computation due to the impact they have in producing feasible schedules using genetic operations efficiently.

The aim of this paper is to address freight train scheduling from the point of view of scheduling generation algorithms, combination of scheduling generation algorithms with genetic algorithms, and a novel approach based on random keys and job permutation encoding. Much of the conceptual inspiration of the approaches addressed here comes from job shop and flexible job shop scheduling theory. It is known that, if trains are viewed as jobs, and tracks as machines, then train scheduling can be modeled as a job shop problem (Liu and Kozan, 2009). However, to the best of the authors knowledge, train scheduling has not yet been approached from the point of view addressed in this paper. In particular, the representation and encoding scheme suggested herein is novel and benefits from the effectiveness of random keys to encode sequences, and from the representation power of permutation schedules. These are important issues because the genetic operators will always produce feasible individuals during generations, which precludes the need of repairing or similar feasibility checking techniques, what considerably increases computational efficiency. The paper also solves a simple example to show how the solutions produced by the scheduling algorithms addressed in the paper compare with the optimal value found by OR-Tools, a state of the art, industry standard solver.

After this introduction, the paper proceeds as follows. Next section gives a brief overview of the main approaches developed for train scheduling. Section 3 details the scheduling generation and the genetic algorithms for train scheduling addressed in this work. Section 4 reports the results for the example rail line, and Section 5 concludes the paper summarizing its contributions and work to be developed in the future.

2 TRAIN SCHEDULING REVIEW

The complexity of rail operations, the current traffic increase trend, and obstacles to expand railroad infrastructure turn train scheduling and management strategies into a key mechanism to improve railroad operation and services. There is an extensive literature on train scheduling. This section focuses mainly on optimization models, genetic algorithms, and heuristic methods to develop optimized train schedules. Further information can be found in e.g. (Harrod, 2012) and the references therein. The first explicit mathematical programming approach to train scheduling was formulated as a linear integer optimization model (Szpigel, 1973). The formulation and the solution algorithm was inspired in the job-shop problem. In this formulation, branching is done dynamically by adding constraints accordingly to the value of the branching decision variable. This scheme speeds up the solution of the candidate problems of each node in the search tree. This formulation eliminates the direct manipulation of binary variables, but at the cost of unrealistic assumptions such as unlimited siding capacity.

In a similar vein, optimal pacing of trains in freight railroads has been studied in (Kraay et al., 1991) using a nonlinear mixed optimization model that outputs meet-pass plans and the speed of trains in each track segment to simultaneously minimize transit time and fuel consumption. A modified branch and bound algorithm has been devised in (Higgins et al., 1996), adopting a modeling scheme similar to (Kraay et al., 1991). The goal is to minimize train delays at the destination station, considering trains priorities, and operating costs.

Using genetic algorithms, taboo search, and their combinations, (Higgins et al., 1997) also solves the single line train scheduling aiming at minimizing delays. A more sophisticated genetic algorithm approach was developed in (Tornos et al., 2008) to minimize the average delay of trains at their destinations. The authors use a sequence of pairs (*train,single_track*) to represent the order in which the trains travel through the tracks, track allocation to trains always occurring at the earliest time allowed. The authors also uses a regret-based biased random sampling technique to generate a population of feasible initial schedules.

Heuristic techniques for single line train scheduling was addressed in (Sahin, 1999) using a procedure that attempts to reduce the difference between the schedule produced and the one expected by a train dispatcher. A fuzzy set-based approach was devised in (Vieira et al., 1999) as well as in (Tazoniero et al., 2007) where it is compared with a heuristic search algorithm. A genetic algorithm is also adopted in (Garrisi and Cristina, 2020) with a heuristic procedure to generate initial populations. The purpose is to minimize train delays with penalties for routes of lower priority.

Multi-objective schemes include (Ghoseiri et al., 2004) under the ε -constraint formulation to generate non-inferior solutions considering fuel consumption and the transit time of trains. Alternatively, (Sun et al., 2014) produces optimal train schedules also using a multi-objective genetic algorithm, but considering the average transit time of each train, the total transit time of trains, and energy consumption as goals.

Recently, advances in decision support, management and communication systems, as well as data technologies opened a range of novel possibilities, such as data-driven movement planning and operations management (Wen, 2019). Train operation data from control and monitoring rooms are an invaluable resource to examine and assess actual operations to improve railroad network performance based on datadriven decisions.

3 SCHEDULING ALGORITHMS

Roughly speaking, train schedules are timetables that identify the arrival and departure time of each train at each rail station or track segment in the train route. This section introduces a class of algorithms for train scheduling. It starts by defining the train schedule problem of interest. Next it details the scheduling generation algorithm and its use in the genetic algorithms addressed in the paper.

3.1 Train Scheduling

A typical train scheduling problem consists of finding a set of arrival and departure times for each train at each track segment of their routes in a rail line, taking into account possible conflicts between trains over the track segments. Routes are specified by a set of contiguous track segments connecting trains' origins to their destinations. In addition to the arrival and departure times for each train at each track segment, a solution of a train scheduling problem must satisfy all the temporal ordering constraints, and avoid track occupation conflicts. Solutions are evaluated according to an objective function. This paper assumes that the objective function is to minimize the maximum transit time of the schedule, which is called the makespan in job shop literature.

The first step to develop train schedules is to characterize the feasible solutions, the ones that make physical sense. In railroads, feasibility means continuity of movement of each train from one track to the immediate next track in its route, which induce temporal ordering constraints. Each track segment in turn has a capacity, which is one train only for single track segments, and a prescribed number of tracks for sidings. Trains meet-pass, that is, crossing and overtaking must occur at the sidings only. This paper assumes that the sidings have enough capacity to accommodate as many trains as needed.

A schedule in which trains move along the tracks

as soon as they are available, that is, in which there are no unnecessary waits, is called semiactive. The set of semiactive schedules is equivalent to the set of all schedules with no superfluous idle time. This set dominates the set of all schedules, which means that it is sufficient to consider only semiactive schedules to optimize any time measure of performance. This is important because the number of semiactive schedules is finite, although it may well be quite large. The exact number is usually difficult to determine. For a *n* trains scheduling problem, in which each train traverses exactly once each of the *m* tracks, each track must process n trains. The number of possible sequences is therefore *n*! for each track. If the sequences on each track were entirely independent, there would be $(n!)^m$ semiactive schedules (French, 1982). However, the precedence structure of the route of each train, as well as the track occupancy constraints usually render some of the potential combinations infeasible which means that the number of feasible schedules is bounded by $(n!)^m$.

Moreover, the transit time of a train can usually be reduced by changing the order of one of the trains in a sequence that orders train movements in the tracks. A schedule in which there are no unnecessary waits, and it is not possible to reorder a movement of one of the trains without increasing the total transit time is called an active schedule. Similarly as in the job shop problem, active schedules are the smallest dominant set of the class of train scheduling problem treated in this paper. It can be shown that an optimal solution is an element of the set of active solutions (French, 1982).

3.2 Generation of Train Schedules

As pointed out earlier, train scheduling is conceptually similar to job-shop scheduling. This similarity suggests the use of the schedule generation algorithm introduced in (Giffler and Thompson, 1960) as a starting point to produce schedules which simultaneously are feasible and active (Yamada and Nakano, 1997). Schedule generation procedures treat trains in an order that is consistent with the precedence relation induced by the train route. In other words, no train is assigned to a track segment until all its predecessors have been scheduled. Generation of active schedules procedures are important because they produce only schedules that are candidates for an optimal solution.

An instance of a systematic approach to generate active train schedules, denoted as GT for short, is summarized by the GT Algorithm below. The GT algorithm sequentially assigns trains to each track, considering the transit times (tt) of the trains in each track segment they must pass through in its route to destination, and solves track occupation conflicts using an appropriate resolution strategy, or randomly. Random conflict resolution generates schedules easily and quickly.

Algorithm 1: GT Algorithm.						
1:	1: for all trains and line track segments do					
2:	identify the shortest transit time ts					
3:	if number of trains with $(tt \ge ts) > 1$ then					
4:	select one randomly (or using a rule)					
5:	end if					
6:	identify next track the trains will move to					
7:	if trains compete for track occupation then					
8:	select one randomly (or using a rule)					
9:	end if					
10:	schedule the selected train					
11:	end for					

It worth to note that the generation of feasible and active solutions for train scheduling may require that multiple trains occupy a siding simultaneously, a fact that does not occur in the classic job-shop models.

Notice that steps 4 and 8 of Algorithm GT allows conflict resolution randomly, but instead of purely random decisions, the algorithm opens possibilities for more efficient conflict resolution mechanisms aiming at minimizing the total transit time e.g. using priority rules.

3.3 Genetic Algorithms

This section briefly explains the idea of genetic algorithm for application oriented readers, and characterizes the class of genetic algorithm adopted in the paper.

A genetic algorithm can be understood as a population-based optimization procedure inspired in the evolutionary process (Eiben and Smith, 2015). Genetic algorithms are iterative procedures that move a population of candidate solutions towards populations whose individuals have higher chance to achieve better fit, that is, toward solutions with better values of the objective function. The canonical genetic algorithm is summarized in Algorithm GA below. The idea is to mimic the selective pressure, inspired by the Darwinian natural selection mechanism, and to apply operators to select (Selection), crossover (Recombination), and mutate (Mutation) individuals of the population, expecting to produce better solutions in future generations than those of the current population.

Solutions are, in general, represented by encoding the original variables of the problem, e.g. using binary, real, alpha numeric strings, or combinations. The fitness (objective function) measures the suitability of each individual of the population, as a candidate solution. Selection is an operation that chooses the individuals which should be part of the population of the next generation (iteration). Often, a random choice criteria that favor higher fitness individuals are used. Crossover is a recombination operation that produces off-springs by splitting and merging the selected individuals. Its purpose is to exchange parts of the individuals that contribute most to improve the objective function. Mutation operator produces variations in the off-springs to promote variability and diversity, enhancing the search process in finding optimal solutions.

This paper uses the binary tournament selection operator, which consists of random choices of two individuals, with replacement, from the population, but selecting only the one with the highest fitness. The genetic algorithm adopted is elitist, namely, the best solutions found are kept in the population of the future generations.

Algorithm 2: GA Algorithm.				
1: $P \leftarrow \text{GT}$ train schedule	▷ initial population			
2: while stop criteria does not h	old do			
3: $S \leftarrow \text{Selection}(P)$				
3: $S \leftarrow \text{Selection}(P)$ 4: $R \leftarrow \text{Recombination}(S)$				
5: $P \leftarrow \text{Mutation}(R)$				
6: end while				
7: return best individual	⊳ optimal solution			
-				

3.4 Random Keys to Set Priority Rules in the GT Algorithm

Random keys is an effective encoding strategy for sequencing problems (Bean, 1994). Sequences are encoded indirectly as lists of random numbers. The sequence implied by a list is the one that aligns the first element of the sequence with the lowest random component, the second element with the next lowest, and so on. Hence, the position in the sequence depends on the position it occupies in the ordered list of elements, not on the value of the variable. Therefore, random keys guarantee feasible off-springs after crossover and mutation operations. Clearly, a genetic algorithm with random keys encoding can be used to evolve conflict resolution rules needed in the steps 4 and 8 of the GT algorithm as an attempt to improve the quality of the schedules generated.

One of the simplest approaches, denoted by GT1, assigns a fixed priority to each train to resolve track occupancy conflicts: the train with highest priority is the one assigned to the track. A second, more flexible approach denoted by GT2, is to set a priority per train per single track line segment, which means that single track assignments to trains will be done according to the train-track priority list when resolving conflicts.

3.5 Genetic Algorithm with Train Activity List Encoding

Differently from the approach suggested in the next section of this paper, the encoding scheme of (Tornos et al., 2008) uses an activity list to represent a solution. In other words, a schedule is encoded as a feasible precedence list of pairs (*train*, *single_track_i*), that is, if (*train*, *single_track_x*) and (*train*, *single_track_y*) are the *j*th and *k*th gene of a chromosome of the same individual and x < y, then j < k.

Specialized crossover and mutation operators are required to keep the precedence constraints feasible during evolution. Crossover is such that, for each pair of parents, the two offspring inherit their first lgenes from one of the parents, the remaining genes sequentially inherited from the other parent, skipping the genes that are the same as those of the first parent. The value of l is chosen randomly. Mutation is done as follows: for each pair (*train*, *single_track_i*) in the sequence, a new position is randomly chosen. This new position must be higher than its predecessor and lower than its successor.

The initial population in (Tornos et al., 2008) is created using an iterative heuristics based on a random sampling methods repeated as many times as the population size. Unfortunately, no further details were reported. However, the activity list encoding and genetic operations can be used with an initial population created as follows: 1) GT algorithm with random conflict resolution, denoted by TRA, 2) GT algorithm with priority rule by train, denoted by TGT1, and 3) GT generation algorithm with priority rules by train and per single track line segment, denoted by TGT2.

3.6 Genetic Algorithm with Random Keys Encoding of the Train Order

A novel alternative, inspired by the flexible job shop literature approaches (Driss et al., 2015), uses an encoding with random keys in a step prior to the encoding schemes used in flexible job shop. In this new encoding scheme, each individual consists of blocks to represent the trains to be scheduled. A train block is represented by a real-valued vector with as many components as the number of single track segments of the rail line. Each value does not specify a specific single track for the train as this will be determined when decoding the individual. This encoding step is shown as step 1 in Fig. 2. The figure refers to the example depicted in Fig. 1, which consists of two trains running in opposing directions in a line with three single tracks segments numbered 1, 2 and 3, a siding of capacity 2 between segments 1 and 2 shown as a hor-

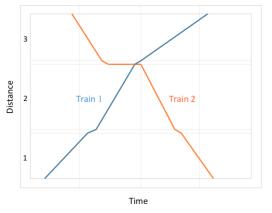


Figure 1: Example for the RDK encoding.

		Train 1			Train 2	
1. Encoding	0.4	0.3	0.6	0.1	0.8	0.5
2. Ordered Vector	0.1	0.3	0.4	0.5	0.6	0.8
3. Train	2	1	1	2	1	2
4. Single Track	3	1	2	2	3	1
5. Encoding Tormos	(2, 3)	(1, 1)	(1, 2)	(2, 2)	(1, 3)	(2, 1)

Figure 2: Interpretation of RKD encoding.

izontal line, and another siding with capacity 2, the horizontal line between segments 2 and 3.

Random keys decoding requires the components of the real vector representation of each individual to be ordered, in ascending order in this paper, illustrated as step 2 in Fig. 2. After ordering, each variable value corresponds a train, as shown in step 3 of Fig. 2. Next, each train is assigned to the sequence of single tracks in the route from its origin to its destination, shown in step 4. Interestingly, as the step 5 shows, this new encoding scheme subsumes the one developed in (Tornos et al., 2008).

Because this novel encoding scheme is based on random keys, simple crossover and mutation operators, such as arithmetic crossover and Gaussian mutation can be readily used, with no need of repairing or any procedure to keep scheduling feasibility. The genetic algorithm with this encoding scheme is denoted by RKD.

4 RESULTS

The performance of the algorithms were evaluated using a six trains, seven tracks scheduling problem instance. Briefly, the case study used here considers a rail line with four single track segments with three sidings between them, each siding with capacity of five tracks. Three trains depart from each end of the line, with the departure time interval between trains limited by track availability, like in typical tonnagebased freight rail operation. Single track segments can be occupied by one train only, which means that there are no signaling blocks in the single tracks between sidings. It is worth to recall that the complexity of a *n* trains and *m* tracks scheduling problem is bounded by $(n!)^m$. For n = 6 and m = 4 the cardinality of the search space is bounded by 10^{11} . Table 1 summarizes the remaining data needed to develop the schedules.

Evaluations were done running the genetic algorithms 100 times each for 100 generations using a population of 100 individuals. The TGT1 and TGT2 algorithms started using the GT1 and GT2 schedule generation and run for a warm-up period of 50 generations before the remaining 100 generations run for comparisons. This give them an extra advantage, but was done purposely to hard check the performance of RKD.

The parameters, namely the crossover and mutation rates, employed by the algorithms were found experimentally. The values of the parameters that produced the best results are given in Table 2.

Evaluation and comparison of the results produced by the algorithms are done against the solution of a mixed-integer optimization train scheduling model formulated similarly as the job shop problem reported in (Rardin, 2017). That is, for benchmark purposes, the optimal solution of the model found by the OR-Tools solver (https://developers.google.com/optimization/ scheduling/job_shop) is used as the baseline. Currently, the OR-Tools job-shop scheduling solver is one of the standards adopted by academia and industry. The objective function value of the optimal solution found by the solver is 8.93 hours. This is the minimum value of the maximum overall transit time achieved.

Fig. 3 shows that GT1 was the only approach that did not produce the optimal solution in any run, while the RKD and TGT2 consistently did it. Fig. 4 and Fig. 5 show that, despite the initial unfavorable initialization, RDK produces superior solutions within few generations. Fig. 4 also suggests that the solutions produced by GT2 and RKD could be improved if more generations were allowed, what is not the case with the remaining algorithms. Fig. 5 further shows that TGT1 and TGT2 improve the initial populations of GT1 and GT2, respectively, but only TGT2 performs better than TRA. Fig. 6 shows the train graph of the optimal schedule.

Table 3 gives the average run time of each algorithm. Notice that, because its efficient encoding approach, the RKD is the fastest. Also notice that GT1, GT2, TGT1 and TGT2 algorithms are considerably

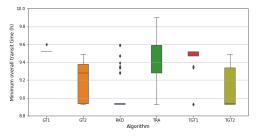


Figure 3: Minimum transit time for 100 runs.

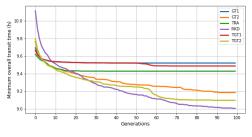


Figure 4: Average best solutions.

slower because of the iterative nature of the scheduling generation algorithm GT. The run times figures are for runs using the Google Colaboratory Intel(R) Xeon(R) CPU @ 2.20GHz, with 12GB of RAM.

Summing up, the novel representation and encoding mechanism based on random keys and job permutation encoding developed herein has shown to be very effective for the class of train scheduling addressed in this paper. It gives a simple and meaningful way to represent sequences and precedence, and allows the use of the efficient genetic operators to speed up the resulting genetic algorithm. The computational experiments also suggest that random keys and job permutation encoding increases the chance of the genetic algorithm to produce optimal schedules, and runs faster than alternative genetic algorithms developed for train scheduling. Currently, mathematical programming-based decision support systems for exact train scheduling remain a challenge for railroads worldwide. There is, however, no doubt that even an imperfect scheduling and movement planning tool is preferable over no tool at all, or manual planning. It is clear that mathematical programming software and computing power have advanced dramatically during

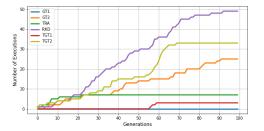


Figure 5: Number of runs to produce the optimal solution.

Train	Origin	Destination	Transit Time on Track (in hours)						
	Track	Track	0	1	2	3	4	5	6
0	0	6	1	0.33	1	0.2	1	0.6	1
1	0	6	1.25	0.5	0.78	0.4	0.8	0.3	1.14
2	0	6	1.43	0.25	1	0.2	0.75	0.4	0.8
3	6	0	1.67	0.5	1.75	0.27	1.09	0.6	1.14
4	6	0	1.11	0.3	0.78	0.4	0.71	0.33	0.8
5	6	0	0.91	0.6	0.78	0.27	0.75	0.2	0.8

Table 1: Train scheduling example data.

Table 2: Parameters of the genetic algorithms.

Algorithm	Crossover	Mutation
	probability	probability
GT1	1.0	0.40
GT2	0.8	0.40
TRA	0.8	0.05
RKD	1.0	0.30

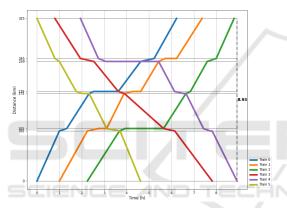
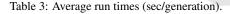


Figure 6: Train graph of the optimal schedule.



Algorithm	Run time
GT1	0.5062
GT2	0.5006
TRA	0.0635
TGT1	0.2915
TGT2	0.3034
RKD	0.0460

last years, but train scheduling and movement planning are computationally demanding enough to warrant precise modeling and exact solutions.

5 CONCLUSION

This paper has introduced a class train scheduling algorithms for freight railroads within the framework of scheduling generation and genetic algorithms. First it suggested an instance of scheduling generation algorithm that constructs feasible active train schedules. Next it developed genetic algorithms that starts with the feasible populations created by the scheduling generation algorithms and maintains feasibility of all individuals during the generations. No repair technique is required to keep populations feasible.

A novel encoding scheme based on random keys and job permutation was suggested in the paper. The genetic algorithm that uses this novel scheme has shown to particularly effective to find the optimal solution, that is, the schedule that minimizes the maximum transit time of the set of trains.

The algorithms were compared against the exact solution found by solving a corresponding mixedinteger optimization model using OR-Tools, currently an academic and industry standard. The results suggest that the genetic algorithm with random keys and job permutation encoding performs best when compared with the remaining ones, and appears to be a promising avenue for further exploration. This is important because in practice many complex operational constraints must be accounted for, which is easier to be handled by genetic algorithms than classic optimization algorithms.

However, more work is needed to measure how the algorithms scale when the number of trains and tracks increase, when sidings capacity are tightened, when there is a need to trade-off transit time against fuel consumption and environment impact, or when uncertainties in transit times, maintenance of the way, re-crew, and track outages are relevant for the operational agenda.

Parallel and multi-threading processing appear to be a potential path to explore, especially when realtime re-scheduling decisions should be undertaken. These are issues to be pursued in the near future.

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