



# 1 Approximation Algorithms for the Airport and 2 Railway Problem

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## 7 — Abstract —

8 In this paper, we present approximation algorithms for the airport and railway problem (AR) on  
9 several classes of graphs. The AR problem, introduced by [?], is a combination of the Capacitated  
10 Facility Location problem (CFL) and the network design problem. An AR instance consists of a  
11 set of points (cities)  $V$  in a metric  $d(., .)$ , each of which is associated with a non-negative cost  $f_v$   
12 and a number  $k$ , which represent respectively the cost of establishing an airport (facility) in the  
13 corresponding point, and the universal airport capacity. A feasible solution is a network of airports  
14 and railways providing services to all cities without violating any capacity, where railways are  
15 edges connecting pairs of points, with their costs equivalent to the distance between the respective  
16 points. The objective is to find such a network with the least cost. In other words, find a forest,  
17 each component having at most  $k$  points and one open facility, minimizing the total cost of edges  
18 and airport opening costs. Adamaszek et al. [?] presented a PTAS for AR in the two-dimensional  
19 Euclidean metric  $\mathbb{R}^2$  with a uniform opening cost. In subsequent work [?] presented a bicriteria  
20  $\frac{4}{3} (2 + \frac{1}{\alpha})$ -approximation algorithm for AR with non-uniform opening costs but violating the airport  
21 capacity by a factor of  $1 + \alpha$ , i.e.  $(1 + \alpha)k$  capacity where  $0 < \alpha \leq 1$ , a  $(2 + \frac{k}{k-1} + \varepsilon)$ -approximation  
22 algorithm and a bicriteria Quasi-Polynomial Time Approximation Scheme (QPPTAS) for the same  
23 problem in the Euclidean plane  $\mathbb{R}^2$ . In this work, we give a 2-approximation for AR with a uniform  
24 opening cost for general metrics and an  $O(\log n)$ -approximation for non-uniform opening costs. We  
25 also give a QPPTAS for AR with a uniform opening cost in graphs of bounded treewidth and a QPPTAS  
26 for a slightly relaxed version in the non-uniform setting. The latter implies  $O(1)$ -approximation on  
27 graphs of bounded doubling dimensions, graphs of bounded highway dimensions and planar graphs  
28 in quasi-polynomial time.

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## 34 **1 Introduction**

35 We study a problem that integrates capacitated facility location and network design problems.  
36 The problem referred to as *Airport and Railway* problem denoted as AR (introduced by [?]  
37 and studied further in [?]) is the following. Suppose we are given a complete weighted graph  
38  $G = (V, E)$  embedded in some metric space (for instance the Euclidean plane), with two  
39 cost functions  $f : V \rightarrow \mathbb{R}_{\geq 0}$  for opening facilities (also known as *airports*) at vertices (also  
40 known as *cities*) and  $c : E \rightarrow \mathbb{R}_{\geq 0}$  for installing railways on the edges in order to connect  
41 cities to airports. We are also given a positive integer  $k \in \mathbb{Z}_+$  as the *capacity* of each airport.  
42 The goal is to partition the vertices into a set of clusters each of size at most  $k$ , find a set of  
43 vertices  $A \subseteq V$  at which we open facilities (airports) so that each cluster has exactly one  
44 airport, and a set of edges  $R \subseteq E$ , such that the edges on each cluster induce a connected



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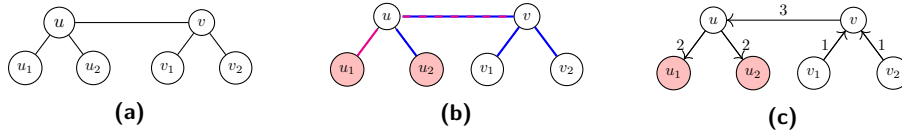
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■ **Figure 1** a) An example tree where we assume the airport capacity is 3 and  $u_1$  and  $u_2$  have an opening cost of zero while other vertices have cost infinity; b) The solution to  $\widetilde{\text{AR}}$ . Pink vertices represent cities with an airport. Each edge is coloured to indicate its cluster. The dashed edge is used by both clusters; c) The solution to  $\text{AR}'$ . Each directed edge is labelled with its flow value.

45 graph, while minimising the total cost of the edges plus the opening of selected facilities.  
 Clearly, the graph induced by each cluster must be a tree. So we have a collection of trees, each of size at most  $k$  and each having an open facility. The idea is each open facility serves as an airport that will serve all the cities in the cluster it belongs to (including the city at that vertex). The goal is to minimise the total cost

$$C = \sum_{v \in A} f_v + \sum_{e \in R} c_e.$$

46 To be more precise, a cluster is an airport and the set of all the cities served by it, together  
 47 with the set of railways connecting the cities to the airport that forms a tree. Adamaszek et  
 48 al. [?] also defined a relaxed version of AR (they called  $\text{AR}'$ ) where in a feasible solution a  
 49 component of the forest might have multiple airports and multiple copies of any edge and  
 50 each component allows routing one unit of flow from all its cities to the airports so that each  
 51 airport receives at most  $k$  flows and each copy of an edge has capacity  $k$ . Note that in this  
 52 version of the problem, the cities belonging to different airports can share the edges of the  
 53 network. So an edge might be used by cities from different clusters but no more than  $k$   
 54 total; in this case, the cost of the edge occurs only once in the objective.

55 When considering special metrics (e.g. shortest path metrics induced by trees or other  
 56 special graph classes) we may not have a feasible solution to AR in the strict setting that  
 57 clusters need to be disjoint. For this reason, we consider a slightly relaxed version of AR,  
 58 denoted by  $\widetilde{\text{AR}}$  where the clusters do not need to be edge-disjoint but each cluster will pay  
 59 for the edges it uses separately. In other words, each edge is allowed to be used by multiple  
 60 clusters but each of them needs to pay the cost of the edges they use separately. Considering  
 61 this relaxed version becomes useful when we are working on specific metrics e.g. shortest  
 62 path metrics of certain graph classes such as trees (e.g. see Figure 1). Note that in  $\widetilde{\text{AR}}$ , each  
 63 connected component in a feasible solution may contain multiple clusters and the total cost  
 64 that we want to minimise is  $\sum_{v \in A} f_v + \sum_{e \in R} c_e \cdot \phi(e)$  where  $\phi(e)$  is the number of clusters  
 65 using the edge  $e$ . We highlight that  $\text{AR}'$  is a strictly more relaxed setting vs.  $\widetilde{\text{AR}}$ . In  $\text{AR}'$   
 66 the cities sending flows to different airports can share the edges of the network and if the  
 67 flow over an edge is  $\leq k$  (even if used to send flow to different airports) the cost of the edge  
 68 is paid for only once. This is not the case in  $\widetilde{\text{AR}}$ . For instance, a feasible solution to  $\widetilde{\text{AR}}$  in  
 69 this Figure 1 has two clusters, one  $u_1, u, v$  and the other  $u_2, v_1, v_2$  and has a total cost of 6  
 70 whereas a feasible solution to  $\text{AR}'$  has one component with cost 5.

71 The AR problem has some characteristics of the Capacitated Facility Location (CFL)  
 72 problem and network design problem. The instance of AR is the same as CFL with uniform  
 73 capacities. However, in CFL one has to open a number of facilities and assign each client/city  
 74 to an open facility (by a direct edge) so that each facility is assigned at most  $k$  clients and  
 75 we minimise the total opening cost and connection cost. The main difference is that in CFL  
 76 each cluster forms a star (with the facility being the centre) while in AR each cluster is a tree,

77 whose cost might be much cheaper than the star. In AR, the clients might share the same  
 78 path to be connected to the facility and hence reduce the total cost of forming the railroad  
 79 network. AR has also similarities to the Capacitated Vehicle Routing Problem (CVRP)  
 80 and Capacitated Minimum Spanning Tree (CMST). In CMST, the goal is to construct a  
 81 minimum-cost collection of trees covering all the input vertices, each tree spanning at most  $k$   
 82 vertices, connected to a single root node. As discussed in [?], AR can be modelled as CMST  
 83 in general weighted (non-metric) graphs.

84 The following variants of AR have been studied [?, ?]. For some constant  $\beta > 1$ ,  $\text{AR}_\beta$   
 85 refers to the bicriteria version of AR, where airport capacity is allowed to be violated by  
 86 a factor of  $\beta$  (also known as resource augmentation).  $\text{AR}^\infty$  is a relaxed version where the  
 87 airport capacity is dropped, or equivalently, set to infinity:  $k = +\infty$ . When airport opening  
 88 costs are uniform we refer to it by  $\mathbb{1}\text{AR}$ . Another special case is  $\text{AR}_P$  where each component  
 89 is a path with both endpoints having an airport.  $\text{AR}_P$  is a relaxation of the capacitated  
 90 vehicle routing problem (CVRP) since not all the paths need to have a common endpoint  
 91 (the centralised *dépôt* in CVRP). The original problem is sometimes denoted as  $\text{AR}_F$  (or  
 92 simply AR) where we have a general forest.

## 93 1.1 Related Work

94 As mentioned above, [?, ?] have studied AR and some variants of it defined above. No true  
 95 (non-trivial) approximation is known for AR in general setting. For the case of uniform  
 96 airport opening cost, for both  $\mathbb{1}\text{AR}$  and  $\mathbb{1}\text{AR}_P$ , [?] show that the problems are NP-hard in  
 97 Euclidean metrics and present PTAS's for them.

98 In [?] the authors consider bicriteria approximations. They present a  $\frac{4}{3} \cdot (2 + \frac{1}{p})$ -approximate  
 99 for  $\text{AR}_{1+p}$ ,  $p \in (0, 1]$  for general metrics. For Euclidean  $\mathbb{R}^2$  they present a QPTAS for  $\text{AR}_{1+\mu}$ ,  
 100 for arbitrary  $\mu > 0$  (i.e. violating the capacities by  $1 + \mu$ ) and a  $(2 + \frac{k}{k-1} + \varepsilon)$ -approximation  
 101 in polynomial time. To obtain the latter result they obtain a PTAS for  $\text{AR}'$  on Euclidean  
 102 metrics and show that a solution to  $\text{AR}'$  implies a solution for AR at a loss of factor  $2 + \frac{k}{k-1}$ .

103 In CFL, we are given a weighted (metric) graph  $G = (V, E)$ , a facility opening cost  
 104 function  $f : V \rightarrow \mathbb{R}_{\geq 0}$ , and edge costs  $c : E \rightarrow \mathbb{R}_{\geq 0}$ , and a capacity  $u_v$ . The goal is to  
 105 open a set of facilities  $F \subseteq V$ , and assign each point  $v \in V$  to an open facility so that each  
 106 open facility  $v$  has at most  $u_v$  points assigned to it while minimizing the total opening costs  
 107 plus the assignment costs of points to open facilities. The only difference between CFL  
 108 and AR is that in CFL the assignment edges in each cluster form a star whereas in AR it  
 109 forms a minimum tree spanning the nodes of that cluster. There are constant approximation  
 110 algorithms for CFL in general as well as uniform settings [?, ?].

111 For CVRP and its variants there are constant-factor approximations in general settings  
 112 and QPTAS for special metrics such as Euclidean and doubling metrics and minor-free  
 113 graphs [?, ?, ?, ?]. Another related problem is the *capacitated cycle cover problem* (CCCP)  
 114 studied in [?]. In this problem, we are given a weighted graph  $G$  and parameters  $k$  and  $\gamma$ .  
 115 The goal is to find a spanning collection of cycles of size at most  $k$  while minimizing the  
 116 cost of the edges of the cycles plus  $\gamma$  times the number of cycles. This problem is related  
 117 to Min-Max Tree Cover and Bounded Tree Cover studied earlier [?, ?]. In [?] the authors  
 118 present a  $(2 + \frac{2}{7})$ -approximation for CCCP. This also implies a  $(4 + \frac{4}{7})$ -approximation for  
 119 uniform AR.

120 For CMST, Jothi and Raghavachari [?] give a 3.15-approximation algorithm for Euclidean  
 121 CMST and a  $(2 + \gamma)$ -approximation for metric CMST, where  $\gamma \leq 2$  is the ratio of minimum-  
 122 cost Steiner tree and minimum spanning tree. As pointed out by [?], AR can be reduced to  
 123 CMST in non-metric setting.

124    We refer to [?] for discussion of other related works such as capacitated-cable facility  
125 location problem (CCFLP) [?] and sink clustering problem [?].

## 126    **1.2 Contributions**

127    Although AR (and  $\widetilde{\text{AR}}$ ) are similar to both CFL and CVRP, the mix of capacitated facility  
128 location and network design components appears to make it significantly more difficult  
129 than both. The approximability of AR for general metrics remains uncertain. Even for  
130 more restricted settings such as special metrics (e.g. trees) or uniform opening costs, the  
131 approximability of the problem is open.

132    In this paper, we make progress on some special cases. First, we consider AR with  
133 uniform opening cost (i.e.  $\mathbb{1}\text{AR}$ ) on various metrics. For general metrics, we present a simple  
134 2-approximation algorithm for this.

135    ► **Theorem 1.** *There is a 2-approximation for uniform AR on general metrics.*

136    We also consider graphs of bounded treewidth and present a QPTAS for  $\widetilde{\text{AR}}$  on such  
137 metrics.

138    ► **Theorem 2.** *There is a QPTAS for uniform  $\widetilde{\text{AR}}$  on graphs of bounded treewidth which  
139 runs in time  $n^{O(\omega^\omega \cdot \log^3 n / (\varepsilon^2 \log^\omega \omega))}$ , where  $\omega$  is the treewidth of the input graph.*

140    Next, we consider  $\text{AR}'$  in the general setting (i.e. with non-uniform facility opening costs).  
141 We propose an exact algorithm for trees and graphs of bounded treewidth.

142    ► **Theorem 3.**  *$\text{AR}'$  can be solved in polynomial time on graphs with bounded treewidth.*

143    Using embedding results for general metrics into tree metrics with  $O(\log n)$  distortion as  
144 well as embedding of graphs of bounded doubling dimension, graphs of bounded highway  
145 dimension, and minor-free graphs into graphs with polylogarithmic treewidth as well as  
146  $O(1)$ -reduction from AR to  $\text{AR}'$  ([?]) we obtain the following corollary.

147    ► **Corollary 4.** *There is a polynomial time  $O(\log n)$ -approximation for AR on general graphs,  
148 a QPTAS for  $\text{AR}'$  and therefore a quasi-polynomial  $O(1)$ -approximation for AR for graphs  
149 with bounded doubling dimension, graphs of bounded highway dimension, and minor-free  
150 graphs.*

151    We also show that at a factor 2 loss, we can reduce the general AR problem to the case  
152 that facilities have cost 0 or  $+\infty$ , we denote this case by  $0/+\infty$  AR. In other words, the  
153 special case of the problem that all facilities (to be opened) are given to us and we simply  
154 have to build clusters of size at most  $k$  each of which has one of the open facilities. Even for  
155 this special case, a good approximation remains elusive.

156    ► **Theorem 5.** *Given an instance  $G$  for AR, we can build an instance  $G'$  for  $0/+\infty$  AR  
157 such that any  $\alpha$ -approximate solution to  $0/+\infty$  AR implies a  $2\alpha$ -approximate solution for  
158 AR on  $G$ .*

159    In the next section, we prove Theorem 1. Then in Section 3 we prove Theorem 2 and in  
160 Section 4 we prove Theorem 3 and Corollary 4. We defer the proof of Theorem 5 to the full  
161 version.

## 2 Algorithm for Uniform AR in General Metric

In this section, we prove Theorem 1. Since each facility (airport) is trivially serving its own city, we refer to the remaining capacity  $k - 1$  (to serve other clients) as  $k$  for simplicity. We assume opening a facility at each vertex costs a uniform value  $f$ . Given an instance  $G$  we first define a modified instance  $\tilde{G}$  for each input graph  $G$ . The graph  $\tilde{G}$  is obtained by adding a dummy node  $r$  to  $G$  and connecting  $r$  to all the vertices  $v \in V$  with an edge of cost  $c_{vr} = f$ . We first define the  $\text{MST}_r^\sigma$  problem and prove the following lower bound.

► **Definition 6.** *In the  $\text{MST}_r^\sigma$  problem, we are given a graph  $G = (V, E)$  with a vertex  $r \in V$ . The task is to find the minimal cost of the spanning tree of the input graph, while ensuring that the degree of vertex  $r$  in the solution is at most  $\sigma$ .*

► **Lemma 7.** *If  $\sigma$  is the number of components in an optimum solution to AR on  $G$  then the cost of an optimal solution to the  $\text{MST}_r^\sigma$  problem on  $\tilde{G}$  is a lower bound on the optimal solution to AR on  $G$ .*

**Proof.** Consider an optimal solution  $\xi$  to AR on  $G$ . Say there are  $\sigma$  components in  $\xi$ . After adding into  $\xi$  a dummy node  $r$  and connecting  $r$  to the vertices that are open facilities with an edge of cost  $f$ , we obtain a spanning tree  $T$  for  $\tilde{G}$  of the same cost, where the vertex  $r$  has a degree of  $\sigma$ . Namely, this is a feasible solution to  $\text{MST}_r^\sigma$ . Therefore, an optimal solution to  $\text{MST}_r^\sigma$  on  $\tilde{G}$  cannot cost more than the optimal solution to AR on  $G$ . ◀

Our algorithm first guesses the number of components in the optimal solution. We do this by enumerating all possibilities. Say there are  $\sigma$  components in the optimal solution for some integer  $\sigma \leq n$ . Note that we know  $\sigma \geq \lceil \frac{n}{k} \rceil$  for certain, as otherwise there must exist some cities that are not getting served. Our algorithm is as follows.

Construct the instance  $\tilde{G}$ . Solve the  $\text{MST}_r^\sigma$  problem on instance  $\tilde{G}$ . After removing the dummy vertex  $r$ , we obtain a set  $\mathcal{T} = \{T_1, T_2, \dots, T_\sigma\}$  of  $\sigma$  connected components (i.e. trees). Note that we can solve the  $\text{MST}_r^\sigma$  problem using the technique of matroid intersection [?].

Let  $M_1 = (\tilde{E}, \mathcal{I}_1)$  represent the graphic matroid of  $\tilde{G}$  (also known as the cycle matroid or polygon matroid), where the ground set  $\tilde{E}$  is the set of edges in  $\tilde{G}$ , and the set of independent sets  $\mathcal{I}_1$  consists of acyclic subgraphs of  $\tilde{G}$ . That is to say, each independent set corresponds to the edges of a forest in the underlying graph  $\tilde{G}$ . Let  $M_2 = (\tilde{E}, \mathcal{I}_2)$  denote the partition matroid, where the set of independent sets  $\mathcal{I}_2$  is defined as follows, where  $N(r)$  represents all the edges incident to the vertex  $r$  and  $\tilde{V}$  is the vertex set of  $\tilde{G}$ ,

$$\mathcal{I}_2 = \left\{ S \subseteq \tilde{E} \mid |S \cap N(r)| \leq \sigma, |S \cap (\tilde{E} \setminus N(r))| \leq |\tilde{V}| - 1 - \sigma \right\}.$$

In other words, each independent set of this partition matroid corresponds to the edge set of a subgraph of  $\tilde{G}$  with at most  $|\tilde{V}| - 1$  edges, where there are at most  $\sigma$  edges incident to the vertex  $r$  and at most  $|\tilde{V}| - 1 - \sigma$  edges not incident to  $r$ .

Note that a feasible solution to  $\text{MST}_r^\sigma$  is an independent set of both matroids. The underlying graph must form a spanning tree, so it is an independent set of  $M_1$ . The set of edges must satisfy the degree requirement for vertex  $r$ , so it is an independent set of  $M_2$ . For each connected component  $T_i \in \mathcal{T}$ , we obtain a cycle  $C_i$  in the following way: double the edges of  $T_i$  and trace them while short-cutting whenever we encounter a vertex that has been visited. We cut each cycle  $C_i$  into a set of disjoint subpaths of fixed length  $k$ , except for at most one subpath per cycle that is strictly shorter than  $k$ . Essentially, we have transformed the trees in  $\mathcal{T}$  into a set of paths. Let  $\mathcal{P}_k$  denote the set of paths with length exactly  $k$ . For each path in  $\mathcal{P}_k$ , we simply open one of its cities as an airport. Note that

206  $|\mathcal{P}_k| \leq \lfloor \frac{n}{k} \rfloor$  since there are at most  $n$  vertices (other than the vertex  $r$ ) in the graph. In  
 207 addition, as we know  $\sigma \geq \lceil \frac{n}{k} \rceil$ , we have  $|\mathcal{P}_k| \leq \lfloor \frac{n}{k} \rfloor \leq \lceil \frac{n}{k} \rceil \leq \sigma$ . Consequently, the cost of  
 208 opening these  $|\mathcal{P}_k|$  airports is  $|\mathcal{P}_k| \cdot f \leq \sigma \cdot f$ . For those subpaths of length less than  $k$ , we  
 209 simply open one of its vertices as the facility. Note that since there are  $|\mathcal{T}| = \sigma$  trees  $T_i$   
 210 (hence there are  $\sigma$  corresponding cycles  $C_i$ ), we have at most  $\sigma$  such short subpaths. The  
 211 current cost is bounded by twice the edge cost of all the trees in  $\mathcal{T}$ , as well as the facility  
 212 cost of all these subpaths, which is at most  $f \cdot \sigma + |\mathcal{P}_k| \cdot f \leq 2\sigma \cdot f$ . Meanwhile, the cost of  
 213 the  $\text{MST}_r^\sigma$  solution is the edge cost of all the trees in  $\mathcal{T}$ , plus the cost of incident edges of  $r$   
 214 in the solution, which is  $f \cdot \sigma$ . Thus, it is obvious that the cost is no more than twice the  
 215 cost of the  $\text{MST}_r^\sigma$  solution.

216 From the analysis above, it should be easy to see that Theorem 1 follows.

### 217 **3 QPTAS for Uniform Case in Graphs of Bounded Treewidth**

218 In this section, our goal is to prove Theorem 2. First, recall the definition of graphs with  
 219 bounded treewidth.

220 ► **Definition 8.** A tree decomposition of a graph  $G = (V, E)$  is a tree  $T = (V', E')$  and a  
 221 mapping  $\Xi : V' \rightarrow 2^V$  where each vertex  $\beta \in V'$  (also known as a bag) corresponds to a set  
 222 of vertices of  $G$ , such that

- 223 ■ For each vertex  $v$  in  $G$ , it must be included in at least one bag of  $T$ .
- 224 ■ For each edge  $uv$  in  $G$ , the pair of vertices  $u, v \in V$  must be included in at least one bag  
 225 of  $T$ .
- 226 ■ For each vertex  $v$  in  $G$ , consider the set of all the bags in  $T$  that include  $v$ . These bags  
 227 induce a connected component in  $T$ .

228 The width of a tree decomposition is defined as the cardinality of its largest bag minus  
 229 one. The treewidth of a graph  $G$  is the smallest  $w$  such that  $G$  has a tree decomposition  
 230 with width  $w$ . Given a graph  $G = (V, E)$  of treewidth  $\omega$ , there is a tree decomposition  
 231  $T = (V', E')$  of  $G$  where  $T$  is binary, with depth  $h \in O(\log n)$  (where  $n = |V|$ ) and treewidth  
 232 not exceeding  $\omega' = 3\omega + 2$ , according to [?]. For simplicity, denote  $\omega'$  as  $\omega$  instead. We  
 233 assume the tree height  $h = \delta \log n$  for some constant  $\delta > 0$ .

234 Our algorithm for uniform  $\overline{\text{AR}}$  on bounded treewidth graph relies on the technique  
 235 developed in [?] for designing QPTAS for CVRP on such metrics. First, we ignore the  
 236 concept of facilities/airports, we simply pay an extra  $f$  for each cluster in our solution (later  
 237 we designate one vertex in each cluster as the facility to be opened). For that, we define a  
 238 new version of the problem which we call UAR (meaning AR with *undetermined* airports).

► **Definition 9.** (UAR) The goal is to find a set  $\mathcal{F}$  of (not necessarily disjoint) clusters  
 (i.e. trees) using edges in the graph. The size of each cluster must not exceed the capacity  
 constraint  $k$ . Each cluster  $\gamma \in \mathcal{F}$  has a cost of  $f$  and we want to minimise the total cost,  
 which is defined as

$$|\mathcal{F}| \cdot f + \sum_{\gamma \in \mathcal{F}} \text{cost}(\gamma)$$

239 where  $\text{cost}(\gamma)$  denotes the railway cost of the cluster  $\gamma$ .

240 Since this is a relaxed version of the original problem (as we do not specify the location of  
 241 the facilities), its cost is a lower bound of that of the original problem. We can think of each  
 242 vertex in  $V$  to have one unit of demand which needs to be sent to an airport to be served. We  
 243 may add dummy demands to a vertex during the algorithm, so a vertex may end up having  
 244 more than one unit of demand. The size of a cluster is defined to be the sum of demands

245 on all its vertices, instead of just the number of vertices. Note that a component may not  
 246 include every vertex that it passes through, as a component may be simply using the edges  
 247 of a vertex to get to somewhere else, which can also be seen as not picking up the demand of  
 248 the vertex. Be mindful that, from the perspective of demands, the size of a component is the  
 249 number of demands it includes, instead of the number of vertices. Therefore the clusters  
 250 in the solution are not necessarily edge-disjoint or vertex-disjoint, but the total number of  
 251 demands in each cluster obeys the capacity constraint.

252 For clarity, we refer to the vertices in  $T$  as *bags*, to differentiate them from the vertices  
 253 in  $G$ . For the notation  $\beta$ , we refer to it as the name of the bag  $\beta \in V(T)$  as well as the  
 254 corresponding set of vertices  $\beta \subseteq V(G)$ . For each bag  $\beta$ , denote the union of vertices in all  
 255 of the bags in the subtree  $T_\beta$  as  $C_\beta$ . Note that  $C_\beta$  also denotes the set of all bags in  $T_\beta$ .

256 Each vertex of  $G$  may appear in multiple bags of  $T$  as tree decomposition generates  
 257 duplicates. In order to make sure the demand of a vertex does not get duplicated in  $T$ , for  
 258 every vertex  $v \in V(G)$ , we assume that the copy/instance of  $v$  in the bag  $\tilde{\beta}$  that is the closest  
 259 to the root bag (we know there is a unique one and we denote this copy of  $v$  as  $\tilde{v}$ ) has a  
 260 demand of one, and the rest of the copies of  $v$  (which resides in other bags) have demand  
 261 zero.

262 Given an optimal solution denoted as OPT, we will demonstrate a process for transforming  
 263 it into a near-optimal solution for UAR and thereby show the existence of such a near-optimal  
 264 solution. This transformation occurs incrementally on  $T$ , moving from the bottom to the  
 265 top, one level at a time. The solution before modifying level  $\ell$  is denoted as  $\text{OPT}_\ell$ , and after  
 266 the modification as  $\text{OPT}_{\ell-1}$ .

267 **Overview of the approach and relation to [?]:** Our goal is to show the existence of  
 268 a near-optimum solution with certain structures. Suppose OPT is an optimum solution for  
 269 UAR and  $\text{OPT}$  is its value. We aim to find a near-optimal solution, of cost  $(1 + O(\varepsilon))\text{OPT}$ ,  
 270 where each vertex has at least one unit of demand, and the size of partial clusters in any  
 271 subtree  $T_\beta$  can only be one of *polylogarithmically* many values. Two concepts are required to  
 272 describe the following data structures, namely, the notions of partial and complete clusters.  
 273 We consider a non-root bag  $\beta \in V(T)$  and the subtree rooted at  $\beta$ ,  $T_\beta$ . A complete cluster in  
 274  $T_\beta$  is a cluster that is entirely in the graph  $C_\beta$ , and a partial cluster is one that uses vertices  
 275 both inside  $C_\beta$  and outside. Similar to [?], we first assume that the number of clusters in  
 276 OPT is sufficiently large, that is, at least  $\lambda \log n$  for some large number  $\lambda$ . Otherwise, if the  
 277 number of clusters in OPT is upper-bounded by  $\Sigma = \lambda \log n$  then a simple DP can solve the  
 278 problem exactly (see [?]). Given an optimal solution OPT, we will demonstrate a process  
 279 for transforming it into a near-optimal solution with certain structural properties that help  
 280 us find one using dynamic programming. This transformation occurs incrementally on  $T$ ,  
 281 moving from the bottom to the top, one level at a time. The solution before modifying level  
 282  $\ell$  is denoted as  $\text{OPT}_\ell$ , and after the modification as  $\text{OPT}_{\ell-1}$ . Looking at how  $\text{OPT}_\ell$  looks  
 283 like, we would like to “approximately” keep the sizes of partial clusters that extend below  $\beta$   
 284 in  $T_\beta$ . A standard approach is to “bucket” the sizes of partial clusters into buckets where  
 285 each bucket contains all those sizes that are within  $(1 + \varepsilon)$  of each other (e.g. bucket  $i$  being  
 286 values in  $(1 + \varepsilon)^i \dots [(1 + \varepsilon)^{i+1} - 1]$ . This will reduce the complexity of the DP table to  
 287 quasi-polynomial: we keep the number of partial clusters of each bucket and try to fill in the  
 288 DP table bottom-up. The problem is that then when we are combining solutions in the DP  
 289 table, since we are keeping the sizes approximately (and sacrificing precision), we may violate  
 290 the capacities unknowingly. The idea developed in [?] was to modify OPT by reducing the  
 291 sizes of the clusters (at a small increase in the number of clusters) so that even if we scale  
 292 the sizes of the new clusters by a small number, they are still capacity-respecting. They

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used a technique that was used later in [?], called *adaptive rounding* that we also use here to round the sizes of partial clusters in  $T_\beta$  for any bag  $\beta \in T$ . At each bag  $\beta$ , for clusters that are in the same “bucket” we swap parts of them with a net effect of reducing their sizes while having only a poly-logarithmic many possible bucket sizes at the end. We formalize this in the following.

► **Definition 10.** Define the *threshold values*  $\{\sigma_1, \dots, \sigma_\tau\}$  where

$$\sigma_i = \begin{cases} i & 1 \leq i \leq \lceil 1/\varepsilon \rceil \\ \lceil \sigma_{i-1} \cdot (1 + \varepsilon) \rceil & i > \lceil 1/\varepsilon \rceil \end{cases}$$

in such a way that the last threshold  $\sigma_\tau = k$ . So  $\tau \in O(\log k/\varepsilon)$ .

We adapted the definitions from [?]. Consider a bag  $\beta$  that is situated at level  $\ell$ . We consider partial clusters that cross  $\beta$  and based on their size in  $C_\beta$  we bucket them. Bucket  $i$  contains those partial clusters whose size is in the range  $[\sigma_i, \sigma_{i+1})$ . Now let’s focus on all (partial) clusters that are in bucket  $i$  of bag  $\beta$ . Each of these clusters has some vertices in  $C_\beta$  and some vertices outside. For a set  $S \subset \beta$  consider all the partial clusters in bucket  $i$  that their intersection with  $\beta$  is  $S$ . So each of them will form a number of connected components in  $C_\beta$  where each component contains some part of  $S$ ; this defines a partition of  $S$ . We consider all those partial clusters that have the same partition of  $S$  together (defined below).

► **Definition 11.** For a bag  $\beta$  at level  $\ell$  in  $T$ , for each set  $S \subseteq \beta$  and partition  $\wp_S$  of  $S$ , consider the set  $b_S^{\wp_S}$  which contains the clusters that use exactly the set of vertices  $S \subseteq \beta$  to span into  $C_\beta$ , where  $\wp_S$  denotes a partition of the set  $S$  based on connectivity of the of those clusters in  $C_\beta$ . Define the  $i$ -th bucket of  $b_S^{\wp_S}$ , denoted as  $b_i$ , to store clusters in  $\text{OPT}_\ell$  that have a size between  $[\sigma_i, \sigma_{i+1})$  inside  $C_\beta$ , where  $\sigma_i$  is the  $i$ -th threshold value. Denote this bucket by a tuple  $(\beta, b_i, S, \wp_S)$ . Denote the number of clusters in bucket  $(\beta, b_i, S, \wp_S)$  as  $n_{\beta,i}^{S,\wp_S}$ .

Essentially, the set  $S$  represents the interface that the clusters in the bucket  $(\beta, b_i, S, \wp_S)$  use to attach to the rest of their parts in  $C_\beta$ , and  $\wp_S$  is a set that describes the connectivity between the vertices of  $S$  in  $C_\beta$ . That is, each part in the partition  $\wp_S$  specifies a subset of vertices of  $S$  that need to be connected below. So if  $u, v \in S$  and there is some set  $P \in \wp_S$  such that  $P \supseteq \{u, v\}$ , then  $u$  and  $v$  need to be connected in  $C_\beta$  by some cluster. For simplicity, we just write  $\wp_S$  as  $\wp$ .

► **Definition 12.** A bucket  $b$  is said to be *small* if it contains no more than  $\alpha \log^2 n/\varepsilon$  clusters and is otherwise said to be *big*, for some constant  $\alpha \geq \max\{1, 20\delta\}$ .

► **Definition 13.** For a big bucket  $(\beta, b_i, S, \wp)$ , define  $g$  groups where  $g = \frac{2\delta \log n}{\varepsilon}$ , denoted as  $G_{i,1}^{\beta,S,\wp}, G_{i,2}^{\beta,S,\wp}, \dots, G_{i,g}^{\beta,S,\wp}$  in the following way (for simplicity assume the size of this bucket is a multiple of  $g$ , if not add some empty clusters to achieve this). Sort the clusters in the (padded) bucket in non-decreasing order, and put the first  $\frac{n_{\beta,i}^{S,\wp}}{g}$  clusters into  $G_{i,1}^{\beta,S,\wp}$ , the second  $\frac{n_{\beta,i}^{S,\wp}}{g}$  into  $G_{i,2}^{\beta,S,\wp}$ , etc. For each group  $G_{i,j}^{\beta,S,\wp}$ , denote the size of its smallest cluster as  $h_{i,j}^{\beta,S,\wp,\min}$  and the size of its biggest cluster as  $h_{i,j}^{\beta,S,\wp,\max}$ .

Suppose we are considering a big bucket of  $\beta$  and a partial cluster  $\Gamma$  is in the group  $j > 1$  of the big bucket. We find its top (that is, the part of the cluster that is outside of  $T_\beta$ ) and reassign it to another partial cluster (that is no bigger than  $\Gamma$ ) with the same order in the previous group (i.e., group  $j - 1$ ) as the order of  $\Gamma$  in group  $j$ . The vertices that were



334 originally covered by the partial clusters in the last group are referred to as *orphans*. This is  
 335 essentially the rounding between groups of a big bucket that was done in [?] for the CVRP  
 336 on bounded treewidth graphs. The idea is that by this operation, the size of each cluster  
 337 goes down enough such that if we “approximate” the sizes by the size of the biggest cluster  
 338 in each group, we are still satisfying the capacity constraints. However, some vertices that  
 339 were covered by the partial clusters of the last group are now left “uncovered” (or orphan).  
 340 We will use some extra clusters to pick up (serve) the now orphan vertices.

341 We come up with a structure theorem that shows the existence of a near-optimal solution  
 342 with certain structures, and then provide a dynamic programming algorithm for the UAR  
 343 problem.

### 3.1 Structure Theorem for Graphs with Bounded Treewidth

344 The steps of modifying OPT to a near-optimal solution (denoted as OPT') are largely the  
 345 same as the ones in [?]. Let's assume we randomly choose clusters from OPT, denoted as  
 346  $C$ , with a probability of  $\varepsilon$ . After selecting these clusters, we duplicate each chosen one and  
 347 assign both duplicates of each chosen cluster to one of the levels  $\ell$  that it visits<sup>1</sup>, with equal  
 348 probability. These duplicated clusters are referred to as the *extra clusters*. We will bound  
 349 their total cost. The proof is very similar to the one in [?] and we only need to show the  
 350 part concerning the facility costs.

351 Recall  $f$  is the (uniform) facility opening cost,  $\varepsilon$  is the probability each cluster  $\gamma$  in OPT  
 352 is selected as the extra cluster,  $k$  is the capacity of each cluster, and  $\omega$  is the treewidth of  $G$ .

353 **► Lemma 14.** *The expected cost of the extra clusters sampled is  $2\varepsilon \cdot \text{OPT}$ .*

354 We make use of the following modified definitions and lemmata from [?]. They apply to  
 355 our problem as the proofs of the lemmata are almost identical.

356 Denote the bags in level  $\ell$  of  $T$  as  $B_\ell$ . Define the set  $X_\ell$  to comprise the extra clusters  
 357 assigned to bags at level  $\ell$ . For every bag  $\beta \in B_\ell$  and its bucket  $(\beta, b_i, S, \wp)$ , let  $X_{\beta,i}^{S,\wp}$   
 358 represent the extra clusters (using vertices in  $S$  to span into  $C_\beta$ , with  $\wp$  depicting connectivity  
 359 downwards) in  $X_\ell$  whose partial clusters inside  $C_\beta$  has a size that falls within the range  
 360 defined by bucket  $b_i$ . For an extra cluster  $\gamma \in X_{\beta,i}^{S,\wp}$ , it covers some partial cluster  $\zeta \in G_{i,g}^{\beta,S,\wp}$   
 361 (which is without its top). That is, the extra cluster  $\gamma$  only picks up demands at the levels  
 362  $\geq \ell$  and acts as the top of  $\zeta$ , in particular, this combined cluster picks up only those demands  
 363 of  $\zeta$ 's vertices (which are all orphans).  
 364

► **Lemma 15.** *At any level  $\ell$ , each bag  $\beta \in B_\ell$  and its big buckets  $(\beta, b_i, S, \wp)$  satisfy, w.h.p.*

$$\left| X_{\beta,i}^{S,\wp} \right| \geq \frac{\varepsilon^2}{\delta \log n} \cdot n_{\beta,i}^{S,\wp}.$$

365 **► Lemma 16.** *For all bags  $\beta$  at level  $\ell$  in  $T$ , their big buckets  $(\beta, b_i, S, \wp)$  and partial clusters  
 366 in  $G_{i,g}^{\beta,S,\wp} \subseteq b_i$ , we can make adjustments to the extra clusters present in  $X_{\beta,i}^{S,\wp}$  without  
 367 incurring any additional cost, and introduce some dummy demands within  $\beta$  when necessary,  
 368 so that:*

- 369 1. *The partial clusters in  $G_{i,g}^{\beta,S,\wp}$  are now incorporated into some clusters in  $X_{\beta,i}^{S,\wp}$ . (That  
 370 is, all the demands that were covered by some partial cluster in  $G_{i,g}^{\beta,S,\wp}$  are picked up by  
 371 some cluster in  $X_{\beta,i}^{S,\wp}$ .)*

<sup>1</sup> If a cluster  $\gamma$  passes crosses bag of level  $\ell$ , we say  $\gamma$  visits or crosses level  $\ell$ .

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- 372 2. The modified partial clusters that cover the orphans (i.e., vertices in  $G_{i,g}^{\beta,S,\varphi}$ ) have precisely  
 373 the size of  $h_{i,g}^{\beta,S,\varphi,\max}$  and all clusters remain underneath the size limit of  $k$  units of demand.  
 374 3. For each modified partial cluster in the set  $X_{\beta,i}^{S,\varphi}$ , its partial clusters at a bag  $\beta' \in B_{\ell'}$  is  
 375 also of one of  $O(\log k \log^2 n / \varepsilon^2)$  many sizes, where  $\ell'$  is any lower levels  $> \ell$ .

376 Note that when we add dummy demands for some cluster  $\gamma$  in some bucket  $(\beta, b_i, S, \varphi)$ ,  
 377 we simply add these dummy demands onto the vertices in  $S$ . Using these lemmata and a very  
 378 similar proof to the one in [?], we can obtain a Structure Theorem for our UAR problem in  
 379 the case of graphs with bounded treewidth.

380 ► **Theorem 17.** (Structure Theorem) Consider an instance  $\mathcal{I}$  for the UAR problem. Denote its  
 381 optimal solution as  $\text{OPT}$ , with cost  $\text{OPT}$ . We can transform  $\text{OPT}$  to another solution  $\text{OPT}'$   
 382 so that, with high probability,  $\text{OPT}'$  is a near-optimal solution of cost at most  $(1 + 2\varepsilon)\text{OPT}$ .  
 383 Additionally, at every  $\beta$  in  $\text{OPT}'$ , all the clusters in  $C_\beta$  have one of  $O(\log k \log^2 n / \varepsilon^2)$   
 384 possible sizes. Consider a bucket  $(\beta, b_i, S, \varphi)$  in  $\text{OPT}'$ . We must have

- 385 ■ If  $b_i$  is small, the number of partial clusters in  $C_\beta$  whose size falls within  $b_i$  is at most  
 386  $\alpha \log^2 n / \varepsilon$ .
- 387 ■ If  $b_i$  is big, it has exactly  $g = 2\delta \log n / \varepsilon$  group sizes which are denoted as

$$\sigma_i \leq h_{i,1}^{\beta,S,\varphi,\max} \leq h_{i,2}^{\beta,S,\varphi,\max} \leq \dots \leq h_{i,g}^{\beta,S,\varphi,\max} < \sigma_{i+1}$$

387 Each cluster in  $b_i$  has a size of one of the  $h$ -values above.

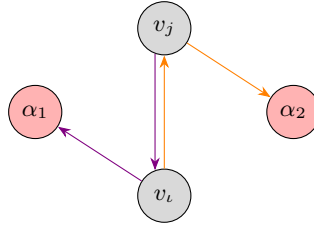
388 Having this structure theorem one can design a (relatively complex) DP to compute a  
 389 near-optimum solution as guaranteed by this structure theorem. This DP builds upon ideas  
 390 of the DP in [?] but has more complexity as the clusters here do not necessarily have a  
 391 common point (like the *dépôt* in the CVRP problem). This will show that we can compute  
 392 a solution such as  $\text{OPT}'$  in Theorem 17 in time  $n^{O(\omega^\omega \cdot \log^3 n / (\varepsilon^2 \log^\omega \omega))}$ .

393 We can transform the approximate solution obtained for the UAR problem into a solution  
 394 to the AR problem, without any increase in the cost. All we need to do is to pick a node in  
 395 each cluster to open a facility at (since we are already paying  $f$  for each cluster, this cost is  
 396 accounted for in the solution to UAR). This can be easily done since in a solution to UAR  
 397 each vertex is “covered” by a unique cluster.

### 398 4 Constant Approximation for Nonuniform-AR

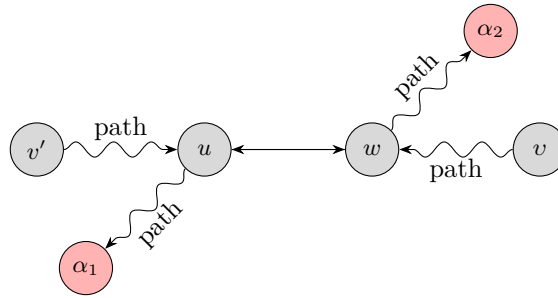
399 In this section, we prove Theorem 3. For ease of exposition, we present the proof for the  
 400 case of trees (the extension to graphs with bounded treewidth appears in the full version).  
 401 Recall that in the relaxation  $\text{AR}'$ , we are given a graph  $G = (V, E)$  where each vertex  $v \in V$   
 402 has a non-negative opening cost  $a_v$  and each edge  $e \in E$  has a non-negative weight  $c_e$ . Every  
 403 edge and vertex has capacity  $k \in \mathbb{N}_+$ . Find a subset of vertices  $\Phi \subseteq V$  as facilities (also  
 404 known as airports), and a multiset  $\Xi$  of edges from  $E$  to get a transportation network that  
 405 ensures one unit of flow from each vertex in  $V$  can be sent to facilities in  $\Phi$ , without violating  
 406 the capacity constraint on any edge or facility. The goal is to find such a network while  
 407 minimising the total cost  $\sum_{v \in \Phi} a_v + \sum_{e \in \Xi} c_e$ . First, we prove some properties in an optimum  
 408 solution to  $\text{AR}'$ .

409 ► **Lemma 18.** In an optimum solution, we can assume there are not any flows of opposite  
 410 directions on the same edge, as we can uncross them by redirecting each flow and attain a  
 411 lower cost.



■ **Figure 2** A simplest example of crossing flows in  $AR'$ . The red vertices are open facilities.

412 Note that it is allowed for multiple clients to use the same edge to send their demands in the  
413 same direction.



■ **Figure 3** The crossing flow is at the edge  $uw$

414 **Proof.** Without loss of generality, assume the vertices  $v'$  and  $v$  caused crossing flow at edge  
415  $uw$ . That is, the demand of  $v'$  travels from  $v'$  to  $u$ , crosses the edge  $uw$  from  $u$  to  $w$ , and  
416 from  $w$  to a facility  $\alpha_2$ ; and the demand of  $v$  travels from  $v$  to  $w$ , crosses the edge  $uw$  from  
417  $w$  to  $u$ , and from  $u$  to a facility  $\alpha_1$ . We can reroute so that the demand of  $v'$  travels from  $v'$   
418 to  $u$ , and then from  $u$  to the facility  $\alpha_1$ ; and similarly, the demand of  $v$  travels from  $v$  to  $w$ ,  
419 and then from  $w$  to the facility  $\alpha_2$ . It is easy to see such a rerouting makes the total cost  
420 decrease, for the demands of both vertices  $v'$  and  $v$  now take a shorter path to be served. ◀

Consider a tree  $T$  as the input graph. A subproblem here is defined on the subtree  $T_v$  for each vertex  $v$ . Since we aim to obtain a flow network in  $T$ , each vertex  $v$ , as the root of the subtree  $T_v$ , will be considered a portal in the corresponding subproblem. There is thus a DP cell for each vertex  $v$  in  $T$ . Note that at each vertex  $v$ , the portal configuration  $\psi_v$  simplifies to the direction and value of the flow at  $v$

$$\psi_v = \pm f_v$$

421 where we use  $-$  (minus sign) to signify the flow is leaving  $T_v$ , and  $+$  (plus sign) to signify the  
422 flow is entering  $T_v$ .  $f_v$  is the absolute value of the signed integer  $\psi_v$  and denotes the value  
423 of the unidirectional (integral) flow passing through the vertex  $v$  and satisfies  $0 \leq f_v \leq n$ ,  
424 where  $n$  is the number of vertices in  $T$ . Note that in  $AR'$ , if an edge needs to carry a flow  
425  $f_v$ , then we need to install  $\left\lceil \frac{f_v}{k} \right\rceil$  parallel edges in the solution. At each vertex  $v$ , we also  
426 consider both of the scenarios where  $v$  is an airport or it is not. We use a Boolean variable  
427  $\pi_v = \text{TRUE}$  (or  $\pi_v = 1$ ) to indicate that the portal  $v$  is opened as an airport.

428 We define the DP table  $\mathbf{D}$  as follows, for each  $v$  in  $T$ , let the entry  $\mathbf{D}[v, \pi_v, \psi_v]$  store  
429 the cost of the optimal solution to  $AR'$  on  $T_v$  with the amount of flow going in/out of  $T_v$   
430 conforming to  $\psi_v$ , with portal  $v$  opened as an airport if and only if  $\pi_v$ .

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431 At each node, we also consider its parent edge and see it as part of the subtree  $T_v$ . For the  
 432 root node  $\vartheta$ , we assume its parent edge has cost 0. The result will be  $\min_{\pi_\vartheta} \{\mathbf{D}[\vartheta, \pi_\vartheta, \psi_\vartheta = 0]\}$   
 433 as there will be no flow entering or leaving  $T$  at the root.

434 Base cases: At a leaf node  $v$ , denote the parent edge of  $v$  as  $e$ . Recall  $f_v = |\psi_v|$ .

$$435 \quad \mathbf{D}[v, \pi_v, \psi_v] = a_v \cdot \pi_v + \begin{cases} c_e & \text{if } \psi_v = -1 \\ c_e \cdot \left\lceil \frac{f_v}{k} \right\rceil & \text{if } 0 \leq \psi_v < +k \text{ and } \pi_v = 1 \\ +\infty & \text{otherwise} \end{cases}$$

436 Here  $\psi_v = -1$  means there is one unit of flow going out of the leaf  $v$  (actually does not need  
 437 to open a facility at  $v$ ). If  $0 \leq \psi_v < +k$ , it means  $v$  does not emit any flow or it is absorbing  
 438 flows, then we have to make sure  $\pi_v = \text{TRUE}$ . Note that in this case,  $\left\lceil \frac{f_v}{k} \right\rceil = 1$  when  
 439  $0 < \psi_v < +k$ , and  $\left\lceil \frac{f_v}{k} \right\rceil = 0$  when  $\psi_v = 0$ . If  $\psi_v \geq +k$  then we know it is not achievable,  
 440 since a facility has capacity  $k$  and cannot absorb more flows. If  $\psi_v < -1$  then it is simply  
 441 impossible, as a vertex only has one unit of demand and cannot emit more than that. For  
 442 these cases, we set the entry to  $+\infty$ .

443 For a node  $v$  with  $z$  children  $w_1, w_2, \dots, w_z$ , similar to the case of uniform facility cost  
 444 on trees in the previous chapter, we define an inner DP table  $\mathbf{B}$ . Assume we have computed  
 445  $\mathbf{D}[w_j, \pi_{w_j}, \psi_{w_j}]$  for all possible  $\pi_{w_j}$  and  $\psi_{w_j}$ , for all  $1 \leq j \leq z$ . Let  $\mathbf{B}[v, \pi_v^j, \psi_v^j, j]$  store the  
 446 cost of the optimal solution to  $\text{AR}'$  on  $T_v$  as if the portal  $v$  only has children  $w_1, w_2, \dots, w_j$ .  
 447 Lastly, we define  $\mathbf{D}[v, \pi_v, \psi_v] = \mathbf{B}[v, \pi_v, \psi_v, z]$ .

Case 1:  $j = 1$ . Only consider the first child of  $v$ .

$$\mathbf{B}[v, \pi_v^1, \psi_v^1, 1] = \min_{\psi_{w_1}} \left\{ \mathbf{D}[w_1, \pi_{w_1}, \psi_{w_1}] + a_v \cdot \pi_v^1 + c_e \cdot \left\lceil \frac{f_v^1}{k} \right\rceil \mid \eta(\pi_v^1, \psi_v^1, \psi_{w_1}) = \text{TRUE} \right\}$$

448 where  $\eta(\pi_v^1, \psi_v^1, \psi_{w_1})$  is a Boolean indicator function that takes into account the flow on  $v$ 's  
 449 parent edge and the edge  $vw_1$ , as well as the decision about whether or not to open the  
 450 portal  $v$  as an airport. It is true if and only if all these parameters are compatible. Recall  
 451 that  $f_v$  is the absolute value of  $\psi_v$ .

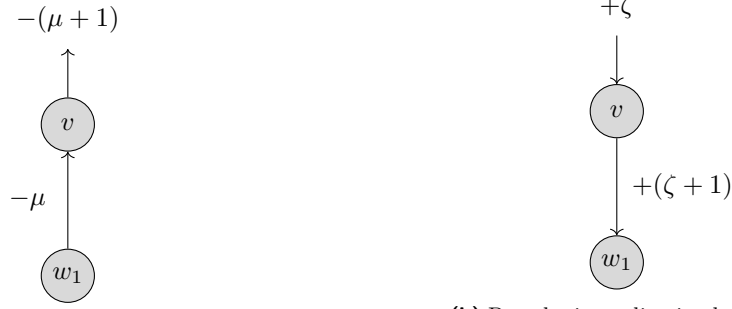
$$452 \quad \eta(\pi_v^1, \psi_v^1, \psi_{w_1}) = \begin{cases} \text{TRUE} & \text{if } 0 \leq \psi_v^1 - \psi_{w_1} < k \wedge \pi_v^1 = \text{TRUE}, \\ & \text{or if } \psi_{w_1} - \psi_v^1 = 1 \\ \text{FALSE} & \text{otherwise} \end{cases}$$

453 The case  $\psi_{w_1} - \psi_v^1 = 1$  means that  $v$  does not act like an airport as it is not absorbing any  
 454 flow, and is sending its own demand elsewhere (hence unnecessary to open an airport there).

455 The case  $0 \leq \psi_v^1 - \psi_{w_1} < k$  means the portal  $v$  is absorbing flows and  $v$  must be opened  
 456 as an airport. The other cases are impossible, either because  $v$  is absorbing too much flow  
 457 which violates its capacity limit, or because  $v$  is sending out more than one unit of flow.

458 Case 2: For  $2 \leq j \leq z$ . Assume all entries of the form  $\mathbf{B}[v, \pi_v^{j-1}, \psi_v^{j-1}, j-1]$  have been  
 459 computed. We define

$$460 \quad \mathbf{B}[v, \pi_v^j, \psi_v^j, j] = \min_{\substack{\pi_{w_j}, \pi_v^{j-1}, \psi_{w_j}, \psi_v^{j-1}: \\ \pi_v^j \geq \pi_v^{j-1}, \\ \eta(\pi_v^j, \psi_v^j, \psi_v^{j-1}, \psi_{w_j}) = \text{TRUE}}} (\Omega)$$

(a) Portal  $v$  is sending its demand outside  $T_v$ (b) Portal  $v$  is sending its demand into  $T_{w_1}$ 

■ **Figure 4** Here  $\mu$  and  $\zeta$  are non-negative integers. The label on edge  $vw_1$  represents  $\psi_{w_1}$  and the label above  $v$  stands for  $\psi_v^1$ .

The expression  $\Omega$  should be

$$\left\{ \mathbf{D}[w_j, \pi_{w_j}, \psi_{w_j}] + \mathbf{B}[v, \pi_v^{j-1}, \psi_v^{j-1}, j-1] + a_v \cdot (\pi_v^j - \pi_v^{j-1}) + c_e \cdot \left\lceil \frac{f_v^j - f_v^{j-1}}{k} \right\rceil \right\}$$

461 where we define the indicator function  $\eta$  as follows:

$$462 \quad \eta(\pi_v^j, \psi_v^j, \psi_v^{j-1}, \psi_{w_j}) = \begin{cases} \text{TRUE} & \text{if } 0 < \psi_v^j - (\psi_v^{j-1} + \psi_{w_j}) \leq k \wedge \pi_v^j = \text{TRUE}, \\ & \text{or if } \psi_v^{j-1} + \psi_{w_j} = \psi_v^j \\ \text{FALSE} & \text{otherwise} \end{cases}$$

463 Let  $e$  denote  $v$ 's parent edge. The case  $\psi_v^{j-1} + \psi_{w_j} = \psi_v^j$  means that after taking  $w_j$  (the  $j$ -th  
464 child of  $v$ ) into consideration, the flow on  $e$  whilst only considering the first  $j-1$  children  
465 (which is  $\psi_v^{j-1}$ ), and the flow on the edge  $vw_j$  adds up to the flow on  $e$  while considering all  
466 the  $j$  children (which is  $\psi_v^j$ ). This means the portal  $v$  is not absorbing any of the flow from  
467  $T_{w_j}$ , and thus there is no need to open it as an airport if it has not been opened. The case  
468  $0 < \psi_v^j - (\psi_v^{j-1} + \psi_{w_j}) \leq k$  means after taking  $w_j$  into consideration, the portal  $v$  is absorbing  
469 flows and needs to be opened, if it has not been opened. Note that  $\left\lceil \frac{f_v^j - f_v^{j-1}}{k} \right\rceil$  can be negative  
470 if  $f_v^j < f_v^{j-1}$ , which means the ‘‘load’’ on the parent edge of  $v$  has decreased and we pay less  
471 on the edge cost. This exact algorithm on trees suggests we have an  $O(\log n)$ -approximation  
472 algorithm for the general metric (using metric approximation, also known as embeddings by  
473 tree metrics).

#### 474 4.1 Algorithm Efficiency

475 We will use a bottom-up approach, assuming that the relevant entries for subproblems have  
476 already been pre-computed. At any step, checking the value for the indicator function  $\eta$  takes  
477  $O(1)$  time. To compute  $\mathbf{B}[v, \pi_v^j, \psi_v^j, j]$ , we need to consider all possible  $\psi_{w_j}$  and  $\psi_v^{j-1}$ , which  
478 is in total  $O(n^2)$  possibilities. Since there are  $n$  nodes in the tree, the time for computing  
479 the table  $\mathbf{D}$  is in  $O(n^4)$ .

#### 480 4.2 Generalisation for AR with Steiner Vertices

481 In this section, we describe how the algorithm above can be generalised for AR' with Steiner  
482 vertices with a few modifications. More generally, this algorithm can apply to the case where

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483 the set of facilities or the set of clients is not the same as the entire vertex set of the input  
 484 graph. If a vertex  $v$  is not part of the set of facilities, it should not be opened as a facility  
 485 (after all, no facility cost has been defined for it). So the  $\Pi$ -vector should not allow any copy  
 486 of  $v$  to be opened. If a vertex  $v$  is not part of the set of clients, it carries no demand, and so  
 487 does any of its copies in the tree decomposition.

488 Note that this will be useful when we try to embed a graph into a graph with bounded  
 489 treewidth where the host graph of the input graph (via graph embedding) may have Steiner  
 490 vertices. If  $\Delta$  is the aspect ratio of  $G$  (ratio of largest to smallest edge cost) then by standard  
 491 scaling (see for e.g. [?]) one can assume that  $\Delta$  is bounded by polynomial in  $n$  at a loss of  
 492  $(1 + \epsilon)$  on optimum solution.

493 We use the following lemma by [?] about embedding graphs of doubling dimension  $D$   
 494 into a graph with treewidth  $\omega \leq 2^{O(D)} \left\lceil \left( \frac{4D \log \Delta}{\epsilon} \right)^D \right\rceil$ .

► **Lemma 19.** (Theorem 9 in [?]) Let  $(X, d)$  be a metric with doubling dimension  $D$  and aspect ratio  $\Delta$ . Given any  $\epsilon > 0$ , the metric  $(X, d)$  can be  $(1 + \epsilon)$  probabilistically approximated by a family of treewidth  $\omega$ -metrics for

$$\omega \leq 2^{O(D)} \left\lceil \left( \frac{4D \log \Delta}{\epsilon} \right)^D \right\rceil.$$

495 We adapt Theorem 8 and its proof from [?] to get the following result.

496 ► **Theorem 20.** For any  $\epsilon > 0$  and  $D > 0$ , given an input graph  $G$  of the AR' problem  
 497 where  $G$  has doubling dimension  $D$ , there is an algorithm that finds a  $(1 + \epsilon)$ -approximate  
 498 solution in time  $n^{O(D^D \log^D n / \epsilon^D)}$ .

499 We introduce the following lemma proposed by [?] about embedding graphs of highway  
 500 dimension  $W$  into a graph with treewidth  $\omega \in (\log \Delta)^{O(\log^2(\frac{W}{\epsilon \lambda})/\lambda)}$ .

► **Lemma 21.** (Theorem 1.3 in [?]) Let  $G$  be a graph with highway dimension  $W$  of violation  $\lambda > 0$ , and aspect ratio  $\Delta$ . For any  $\epsilon > 0$ , there is a polynomial-time computable probabilistic embedding  $H$  of  $G$  with expected distortion  $1 + \epsilon$  and treewidth  $\omega$  where

$$\omega \in (\log \Delta)^{O(\log^2(\frac{W}{\epsilon \lambda})/\lambda)}.$$

501 We adapt Theorem 9 and its proof from [?] to get the following result.

502 ► **Theorem 22.** For any  $\epsilon > 0$ ,  $\lambda > 0$  and  $W > 0$ , given an input graph  $G$  of the AR'  
 503 problem where  $G$  has highway dimension  $W$  and violation  $\lambda$ , there is an algorithm that finds  
 504 a  $(1 + \epsilon)$ -approximate solution in time  $n^{O(\log^{\log^2(\frac{W}{\epsilon \lambda})} \cdot \frac{1}{\lambda} n)}$ .

505 We introduce the following lemma proposed by [?] about embedding minor-free graphs  
 506 (including planar graphs, which is a kind of  $K$ -minor-free graphs) into a graph with treewidth  
 507  $O_K((\ell + \ln n)^6 / \epsilon \cdot \ln^2 n \cdot (\ln n + \ln \ell + \ln(1/\epsilon))^5)$  where  $\ell$  is the logarithm of the aspect ratio  
 508 of the input graph.

► **Lemma 23.** (Theorem 1.1 in [?]) For every fixed graph  $K$ , there exists a randomised polynomial-time algorithm that, given an edge-weighted  $K$ -minor-free graph  $G = (V, E)$  and an accuracy parameter  $\epsilon > 0$ , constructs a probabilistic metric embedding of  $G$  with expected distortion  $(1 + \epsilon)$  into a graph of treedepth (the treedepth of a graph is an upper bound on its treewidth)

$$O_K((\ell + \ln n)^6 / \epsilon \cdot \ln^2 n \cdot (\ln n + \ln \ell + \ln(1/\epsilon))^5)$$

509 where  $n = |V|$  and  $\ell = \log \Delta$  is the logarithm of the aspect ratio  $\Delta$  of the metric induced by  
510  $G$ .

511 ► **Theorem 24.** *For any  $\varepsilon > 0$ , given an input graph  $G$  of the AR' problem where  $G$  is a*  
512 *minor-free graph, there exists an algorithm that finds a  $(1 + \varepsilon)$ -approximate solution in time*  
513  *$n^{O_K(\log^8 n \cdot (\log n + \log(1/\varepsilon))^5 / \varepsilon)}$ .*

514 Theorems 20, 22, and 24 imply Corollary 4.

## 515 **5 Concluding Remarks**

516 The special case of  $0/+\infty$  AR (at a factor 2 loss) is equivalent to the following variant of  
517 CCCP: given a collection  $R$  of dépôts in a metric, find a collection of cycles of size  $\leq k$  each  
518 containing a unique dépôt that together covers all the non-dépôt nodes. Although there are  
519 constant-factor approximations for CVRP, we do not know of a good approximation for this  
520 version.

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