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Innovative Applications of O.R.

A multi-objective combinatorial model of casualty processing in major incident response

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Abstract

During the emergency response to mass casualty incidents decisions relating to the extrication, treatment and transporting of casualties are made in a real-time, sequential manner. In this paper we describe a novel combinatorial optimization model of this problem which acknowledges its temporal nature by employing a scheduling approach. The model is of a multi-objective nature, utilizing a lexicographic view to combine objectives in a manner which capitalizes on their natural ordering of priority. The model includes pertinent details regarding the stochastic nature of casualty health, the spatial nature of multi-site emergencies and the dynamic capacity of hospitals. A Variable Neighborhood Descent metaheuristic is employed in order to solve the model. The model is evaluated over a range of potential problems, with results confirming its effective and robust nature.

1. Introduction

Of the four phases of disaster management described in [1] and illustrated in Fig. 1, the response phase has received comparatively little attention from the OR research community, as noted in recent surveys of the field [2,3].

This gap is not due to a lack of demand. Calls for better decision making in terms of the coordination of organizations and distribution of resources during the response to mass casualty incidents (MCIs) can be found in reports on such recent disasters as the Madrid terrorist bombings of March 11th 2004 [4] and the London terrorist bombings of July 7th 2005 [5]. In this study, we seek to help satisfy this demand by identifying a specific and previously untreated decision problem met in MCI response, designing a mathematical model of this problem and specifying a solution methodology which can generate high quality solutions in a timely manner.

1.1. Casualty processing in MCI response

A significant component of any MCI response operation is the delivery of casualties to a hospital where they can undergo comprehensive treatment for their injuries. In order to complete such a delivery for any one casualty, several tasks may be required. In the case where the casualty is trapped (for example, under fallen debris), then time must be spent on their extrication. If the casualty is in an unstable condition, before this extrication can take place they will require stabilizing treatment to ensure the process can be carried out safely. Following their extrication, the casualty will be taken to a nearby safe area denoted the Casualty Clearing Station (CCS), where they will receive any necessary treatment required to ensure their safe subsequent transportation to a hospital, which must be specified from a number of candidates. This sequence of events, which we will refer to as casualty processing, is illustrated in Fig. 2.

In the UK the thirteen objectives shown in Table 1, which are “in no particular order of prominence” [7], are held during the response to any disaster. The importance of effective casualty processing in terms of achieving objectives (i) and (ii) is clear, with an effective casualty processing operation ensuring the timely delivery of casualties to hospitals in a manner which reflects the injury profiles of casualties and the capabilities and capacities of hospitals.

1.2. Resource management models for major incident response

Decision support tools aimed at assisting in some area of resource management in disaster response have covered a broad range of objectives and decision variables. We now review these tools with the aim of identifying to what extent they cover casualty processing, i.e. to what degree they provide support for the relevant decisions and the associated objectives of saving lives and relieving suffering.

Several examples of models which give no explicit consideration to the processing of casualties exist in the literature. Such

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work has generally focussed on either the distribution of emergency responder units to areas which require their attention, or on the distribution of some vital commodities such as food and medicine around the affected area. Of the former type\cite{8–12}, a varying degree of detail in the modeling of casualties is present. Only\cite{9} considers casualties explicitly in their model, providing a means with which to forecast the number of fatalities resulting from any proposed responder assignment which they use as an objective function. The proposed method considers the overall changes on the entire casualty group incurred due to factors such as delayed rescuing or delayed transportation to hospital. In contrast,\cite{8,10–12} all employ objectives relating to how long the response operation takes and do not consider casualties explicitly.

Due to the abstract nature of the tasks to which responders are assigned, it may be possible to interpret them as the tasks required when processing casualties. However, no details regarding how this could be implemented are given.

Considering models focussing on the distribution of vital goods\cite{13–23}, common objectives used in the models include the minimization of transportation cost and unsatisfied demand. The models described in\cite{17,21} are notable for their inclusion of objectives designed to maximize the “fairness” of the distribution by examining the largest difference between the unsatisfied demand at all locations in their problem environment. In all of these models, casualties are at best present in an implicit manner, assumed to be generating demand for the goods in question at various points in the problem environment but not being modeled explicitly.

A further set of models which address the distribution of vital goods incorporate the transportation of casualties into the same model. That is, the same vehicles used to distribute emergency supplies are used to transport casualties to hospitals or other appropriate treatment facilities. The model proposed in\cite{15} is extended in this fashion in\cite{24–26}. These models consider casualties as another good or commodity which requires transportation from supply points to demand points, and as such the same commodity flow objectives of minimizing transportation cost and unsatisfied demand as used above are employed, albeit with weights used to differentiate between casualties and goods. In\cite{27} the authors describe a model based upon the vehicle routing problem which includes the specification of the routes to be taken by response helicopters and at which point on these routes they should collect casualties to return them to base. In\cite{28} the problem of evacuating civilians in an urban environment whilst simultaneously directing responders into the environment is modeled, where the objective is to minimize the total travel time with different groups being assigned different priorities. The problem of assigning ambulances to clusters of casualties is described in\cite{29} and developed in\cite{30}, where a model for online (i.e. making decision sequentially rather than simultaneously) use is described. The model advises where an ambulance should be sent once it becomes free, and then to which hospital it should transport its charge. The model does not account for other parts of casualty processing, nor does it approach the problem in a holistic manner.

The decision problem of assigning patients to operating rooms is addressed in\cite{31}, although not in the context of major incident...
response. Rather, the authors propose an optimization model based around a bulk service queuing model to assist in the allocation of operating theater slots to patients who have been categorized as requiring the attention of a specific medical discipline. Although the model is designed to assist decision making over a much larger time-period and at a coarser grain than that which would be required in major incident response, the categorization of patients into separate classes could be beneficial in such a setting where some casualties may require the attention of specialist staff and facilities (for example, burns units). Only two pieces of work have been found to address the treatment of casualties in the major incident response environment [32,33]. Survival time distributions are employed in [33] in a model designed to suggest from which of a number of health classes a casualty should be selected whenever an operating room becomes free, with the aim of minimizing the expected number of fatalities. In contrast, the model detailed in [32] considers the treatment of casualties taking place at the disaster scene, attempting to prescribe optimal sequences of patients to medical teams with the same aim of minimizing expected fatalities. However, in both cases the related decisions of how casualties should be rescued and how they should be transported to hospital are not incorporated.

1.3. Contribution of this paper

Whereas a number of models have been developed to give decision support to a tactical decision maker during disaster response (see Table 2), there has yet to be any comprehensive treatment of the entire casualty processing procedure. We hypothesize that a model which incorporates a high level of detail with regards to this area, allowing for control at the level of individual casualties and spanning the entire processing time-line, will lead to significant efficiencies in response operations and a corresponding contribution towards objectives (i) and (ii) as listed in Table 1. Furthermore, we propose that a task scheduling framework, such as that provided by the Flexible Job-Shop Problem (FJSP), would provide an appropriate foundation for such a model to be built upon.

In Section 2 we will describe how the standard FJSP formulation can be adapted to accommodate the unique characteristics of the casualty processing problem, resulting in a new variant of this combinatorial optimization problem. A corresponding solution methodology will then be described in Section 3. In Section 4 the proposed model will be evaluated across a range of problem types. Finally, concluding remarks and suggestions for further research are given in Section 5.

2. Model

2.1. The flexible job-shop scheduling problem

The flexible job shop scheduling problem is a variant of the Job Shop Scheduling Problem (JSP), and is defined in [34] as follows.

We are given a set of machines \( M = \{ M_k \}, 1 \leq k \leq m \) and a set of jobs \( j = \{ j \}, 1 \leq i \leq n \). Each job \( j \) consists of a sequence of \( n_i \) ordered operations \( O_{ij}, 1 \leq j \leq n_i \). Each operation may be processed by a subset of machines \( M_j \subseteq M \), with machine \( M_k \in M_j \) having a fixed and predetermined processing time \( P_{ik} \). It is assumed that all machines are available from time zero, that a machine can process at most one operation at a time, and that preemption is not allowed.

The objective of the standard FJSP is to minimize the makespan, that is, the latest completion time of all jobs, by finding the optimal allocation of operations to machines and the correct ordering of operations on these machines.

2.2. Casualty processing as a FJSP variant

The FJSP model requires some alterations before it can be considered an adequate representation of the casualty processing problem faced in MCI response. Before we give the details of these alterations, we first note the problem elements which can be directly mapped:

1. Jobs \( \rightarrow \) Casualties, \( c_i \in C, 1 \leq i \leq n_c \), where \( n_c \) is the total number of casualties;
2. Operations \( \rightarrow \) Tasks, \( t_{ij} \in T, 1 \leq j \leq n_{ti} \), where \( n_{ti} \) is the total number of tasks associated with casualty \( c_i \);
3. Machines \( \rightarrow \) Responder units, \( r_k \in R, 1 \leq k \leq n_r \), where \( n_r \) is the total number of responder units.

Details of which tasks and responder units are included in our model are given in Table 3. The relationships between tasks, responders and casualties is illustrated in Fig. 3, showing which tasks are required for a casualty in a specific state, ordered from left to right in terms of the dependency relations, together with the responder units capable of performing each of these tasks.

In addition to a set of responders, casualties and associated tasks, the model also requires a number of further components and details. Firstly, a set of hospitals \( H = \{ h_l \}, 1 \leq l \leq n_h \), to which casualties may be transported is needed. Secondly, an undirected graph \( G \) representing the transport network which spans all geographical areas of interest must be specified. This network will include the nodes specifying the locations of hospitals, disaster sites and emergency service stations. We also require some detail regarding each casualty within the model, specifically a binary stability variable indicating whether stabilizing treatment is required \( c^s \), a binary ‘trapped’ variable indicating whether or not the casualty requires extrication \( c^e \), and a triage level associated with their initial health \( c^t \). Triage is a procedure carried out in MCIs where the health of each casualty is briefly assessed in order to estimate the extent of their injuries. The result of this procedure is a designated triage level, which can take one of the four values shown in Table 4 [35]. In the UK, following a major incident, it is standard policy to require a full triage operation be completed before any treatment.
Table 3
The tasks and responders considered in the model.

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tasks</td>
<td>All casualties require transportation to a hospital</td>
</tr>
<tr>
<td>Pre-transport</td>
<td>Those casualties whose condition is unstable require a period of treatment/stabilization to be carried out to ensure their safe transportation</td>
</tr>
<tr>
<td>treatment</td>
<td></td>
</tr>
<tr>
<td>Rescue</td>
<td>Casualties may be trapped by debris at the disaster site, in which case a Rescue task must be completed to ensure their extrication</td>
</tr>
<tr>
<td>Pre-rescue</td>
<td>Of those casualties who are trapped, some may require a period of treatment/stabilization before the Rescue operation commences in order to ensure their safety</td>
</tr>
<tr>
<td>treatment</td>
<td></td>
</tr>
<tr>
<td>Responders</td>
<td></td>
</tr>
<tr>
<td>Ambulance</td>
<td>An Ambulance unit includes a paramedic team, and can both administer treatment at a CCS and transport casualties to hospital</td>
</tr>
<tr>
<td>MERIT</td>
<td>A Medical Emergency Response Incident Team is a mobile team of clinicians who can travel to any mass casualty incident and administer treatment to the wounded at the CCS</td>
</tr>
<tr>
<td>HART</td>
<td>A Hazardous Area Response Team consists of paramedics equipped with the necessary equipment and training to allow them to administer stabilizing care to casualties in high risk environments, i.e. those who are trapped</td>
</tr>
<tr>
<td>SAR</td>
<td>A Search And Rescue team can rescue trapped casualties from disaster sites and deliver them to the associated CCS</td>
</tr>
</tbody>
</table>

Fig. 3. The relationships between casualties, tasks and resources.

is administered to any casualty. As such, we note that it is reasonable to assume that the proposed model can be initialized after this triage operation has been completed and will therefore have access to all relevant information including the number of casualties and their health, stability and need or otherwise of extrication.

A solution to the casualty processing problem must include an ordered list of tasks to be allocated to each responder, as is the case with the basic FJSP, together with an assignment of each casualty to a hospital. Specifically, a solution can be defined by a mapping \( s: T \rightarrow R \times N \times H \cup \{0\} \), so that every task \( t_{ij} \in T \) has an associated responder \( r_{ij} \in R \), priority level \( p_{ij} \in N \) and hospital \( h_{ij} \in H \cup \{0\} \), where \( h = 0 \) for all tasks other than transportation tasks.

2.3. Translating solutions to schedules

In order to evaluate the casualty processing of a solution as defined above we must first combine the solution information with knowledge of the problem environment in order to create a schedule; that is, to predict when each task will start and finish. As illustrated in Fig. 4 the tasks within our model are distributed across a geographical area and as such we must account for the time needed for responder units to travel from the end location of one to the start location of the other. By applying Dijkstra’s algorithm to the transport network \( G \) we can determine the route to be taken by responders on such journeys. The distance traveled on this route, \( d \) kilometers, can then be fed into the model described in [36] to generate a median transportation time. The model is of the form

\[
\hat{m}(d) = \begin{cases} 
2.42 \sqrt{d}, & d \leq 4.13\text{ kilometers} \\
2.46 + 0.596d, & d > 4.13\text{ kilometers}
\end{cases}
\]

where the time is given in minutes. The model was fitted to data describing the travel times of the ambulance service in Calgary, Canada. In the absence of emergency service travel time data for the UK, this was taken to be a sufficient approximation. The times given are then built into the scheduling process, transforming our basic FJSP into a FJSP with sequence dependent setup time [37]. This same method is employed when calculating the duration of transportation tasks, which varies according to which hospital the casualty in question has been allocated to. All other task durations are supplied as problem input. Using all task duration and travel time information, a solution of the form given in Section 2.2 can be translated into a work schedule specifying the start and finish times of each task by using the standard left-shift method, where tasks begin as soon as possible in a manner which respects both dependency relations and priority level.

2.4. Evaluating schedules

The standard FJSP objective function of makespan is not an appropriate measure of quality for the casualty processing problem, where the time taken to finish a response operation is incidental when compared with the resulting number of fatalities and the level of suffering endured by survivors. We propose a multi-objective approach to evaluating solutions, considering the following five objectives:

- \( f_1(s) \) = the expected number of fatalities,
- \( f_2(s) \) = measure of how quickly casualties are delivered to hospital,
- \( f_3(s) \) = measure of how appropriate the hospital allocation choice is,
We group the above objectives into three classes: fatalities, consisting of \( f_1 \) alone; suffering, consisting of \( f_2 \) and \( f_3 \); and finally efficiency, consisting of the final two objectives. In what follows we will describe each \( f_i \) individually, after which we will discuss how to combine them in a multi-objective framework.

### 2.4.1. \( f_1 \) – fatalities

In order to predict the number of fatalities resulting from a response operation \( s \), we first note which casualties \( c \in C \) are in a dangerous environment at any point. As illustrated in Fig. 2, a casualty can be in one of four environments during a response operation: trapped at the disaster site; at a Casualty Clearing Station; in an ambulance; or at a hospital. We assume that the latter three environments are of a relatively stable nature and casualties will not deteriorate in health over the course of the operation when in them. For casualties trapped at the scene, however, we acknowledge the risk of further injury and the deterioration of health.

Given the discrete nature of triage classification we propose a discrete state Markov chain model of casualty health in a similar fashion as in [38], with a state space \( L = \{T1, T2, T3, D\} \) denoting the four triage levels described in Table 4 (where \( D \) corresponds to dead). This approach allows the calculation of the probability that casualty \( c_i \) will be in state \( T \in L \) at time \( \tau \) under the proposed solution, which we shall denote by \( p_i^T(\tau) \). The parameters used in the Markov chain are given in Fig. 5.

Two health states are linked if it is possible to move from one to the other in any given time step, where a time step represents 1 minute. As can be see from Fig. 5, only negative health progression is possible when a casualty is trapped at the scene. This methodology is attractive since it can provide not only an estimated probability that any trapped casualty will be deceased before they reach a Casualty Clearing Station, but also the probabilities of the casualty being in all other health states at any time which in turn leads to more accuracy when prioritizing casualties according to their health. However, a limitation of this approach is the necessary assumption of the Markovian property, which states that the stochastic process must be memoryless. In the context of our problem, this translates to assuming that the probability of a casualty’s health deteriorating from one level to the next is dependent only on their current state, not on how long they have occupied it. Without sufficient data it is difficult to determine whether or not this assumption holds. Further discussion of this limitation is provided in Section 5.1.

Denoting by \( \tau^c_i \) the time at which casualty \( c_i \) arrives at a Casualty Clearing Station (possibly after being extricated), the Markov chain model is used to calculate \( p_i^T(\tau^c_i) \) for each casualty. We can therefore define the fatality component of the objective function to be

\[
f_1(s) = \sum_{i=1}^{n_c} w_T p_i^D(\tau^c_i).
\]

### 2.4.2. \( f_2 \) – hospital arrival time

Firstly, we note that the prioritization of casualties in a way which respects their triage level is essential to a high-quality response, by the very definition of triage. This can be achieved through the use of a weighted total flowtime measure. Here, we sum the completion times of each casualty’s processing, i.e. the time at which they are delivered to a hospital, denoted \( \tau^H_i \) for casualty \( c_i \). Each time is weighted by the parameter \( w_T \), where \( T \in L = \{T1, T2, T3, D\} \). This defines the second objective function component,

\[
f_2(s) = \sum_{T \in L} \sum_{i=1}^{n_c} w_T p_i^T(\tau^H_i).
\]

The weights used have been set in accordance with the description of triage levels given in Table 4, where we set a 24 hour delay in the treatment of a T3 casualty to be equivalent to a 4 hour delay in the treatment of a T2 casualty. This in turn is set to be equivalent to a 15 minute delay in the treatment of a T1 casualty. That is, taking \( w_{T3} = 1 \), we calculate \( w_{T2} = \frac{4}{15} \times w_{T3} = 6 \) and \( w_{T1} = \frac{4}{15} \times w_{T2} = 96 \). The weight corresponding to the dead is set at \( w_D = 0.1 \) in order to ensure the model places only limited value on the prompt transportation of fatalities to hospital in comparison to the transportation of injured survivors.

### 2.4.3. \( f_3 \) – hospital allocation

In order to quantify how well casualties have been allocated to hospitals, we must consider two factors: the dynamic capacity of
each hospital and the effect of oversubscription; and the pairing of specific injuries of individual casualties to the corresponding specialist treatment facilities. An initial treatment of this problem can be found in [39], which we build upon in this paper.

Hospital capacity. We consider two factors which will result in a dynamic variation of a hospital’s available capacity. Firstly, the effect of a hospital enacting its major incident plan. Secondly, the effect of casualties autonomously leaving the disaster scene and transporting themselves to self-present at a hospital of their choosing.

The result of a hospital’s major incident plan being enacted is a steady increase in its capacity. We characterize this process using the following parameters:

\[ h_t^0; \text{ Initial free capacity} \]
\[ h_t^1; \text{ Maximum capacity} \]
\[ h_t^2; \text{ Constant rate at which hospital } h_t \text{ can increase capacity until } h_t^1 \text{ is reached} \]

Given these values, the capacity of the hospital in question is modeled as increasing at the constant rate of \( h_t^2 \) from time \( \tau = 0 \) to time \( \tau = (h_t - h_t^0)/h_t^2 \).

In order to forecast the effects of self-presentation we must estimate the number of casualties at each disaster site who will self-present, which hospitals they will choose, and how long they will wait before leaving the scene. We recognize that the severity of casualty injury plays an important role in determining whether or not self-presentation is an option. Accordingly, our model allows self-presentation only for casualties \( c_i \) such that \( c_i^2 = T3 \). Under this assumption, the following parameters are required:

\[ sp^0; \text{ Probability of a T3 casualty self-presenting} \]
\[ sp^1; \text{ Parameter describing how the attractiveness of a hospital varies with distance} \]
\[ sp^0; \text{ Length of the interval over which self-presenters’ waiting times will be uniformly distributed} \]

To determine a measure of the attractiveness of a given hospital \( h \) to a self-presenting casualty at site \( d \) we compute the function \( g(d, h_i) = \exp(-sp^0 \|d, h_i\|) \) where \( \|d, h_i\| \) is the estimated travel time from site \( d \) to hospital \( h_i \). This measure is computed for each \( h_i \), after which all values are normalized to give the proportion of self presenting casualties at site \( d \) expected to travel to each hospital \( h_i \), denoted \( N(d, h_i) \). These values are then used to create arrival distributions for each casualty-hospital pair, where casualties begin to arrive at time \( \|d, h_i\| \) and continue arriving at the constant rate \( N(d, h_i)/sp^0 \) until time \( \tau = \|d, h_i\| + sp^0 \).

For each hospital considered part of the model, we now have: a list of scheduled arrival times of casualties of each triage level; a list of anticipated arrival times of T3 casualties self-presenting; and an anticipated rise in capacity due to major incident plans. This information is combined to predict the total waiting time of casualties of each triage level at the hospital. In order to do so, we make the following assumptions:

(i) a casualty arriving at a hospital with free capacity is immediately admitted to a bed, thus consuming a capacity unit, regardless of their triage level;
(ii) once a casualty has been admitted, they will occupy it for the duration of the response operation;
(iii) when there is a queue of casualties at a hospital awaiting admittance, they will be allocated in an order which reflects their triage level irrespective of their time of arrival at the hospital.

While assumptions (i) and (iii) are not controversial, assumption (ii) may not be realistic for casualties with light injuries when the response operation continues for several hours. This assumption could be easily rectified given data regarding the length of stay of such lightly injured casualties. In the absence of such data, we restrict our attention to MCIs where the response operation is anticipated to take 1–3 hours, thereby reducing the impact of this assumption.

An illustration of a hospital finding itself over-subscribed is given in Fig. 6, where the cumulative casualty arrivals exceed the available capacity over a period of time. The shaded areas denote the proportion of those waiting for treatment of each triage level. The information we take from this are the areas \( Q^1, Q^2 \) and \( Q^3 \), representing the total untreated waiting time of casualties as grouped by triage level. For a specific hospital \( h_i \) we denote these values as \( Q^T_t \) for \( T \in L \).

Hospital capability. Given a specific injury type (e.g. severe burns or spinal injury) denoted \( I \), we wish to include in the model sufficient detail to ensure an allocation matching injury types to treatment facilities is preferred. In order to do so, we define a set of penalty terms \( pen_{I,T} \). Each value can be interpreted as ‘the maximum delay in the treatment of a casualty with injury \( I \) and health state \( T \) which could be tolerated in order to ensure they are treated at an appropriate specialist facility’. This interpretation ensures the practitioner using the model as an aid in decision making will have a clear understanding of the parameters involved. Given this set of terms, we calculate for each casualty \( c_i \) the value \( \beta_i \), where \( \beta_i = pen_{I,T} \) if casualty \( c_i \) has injury of type \( I \) and triage level \( T \) but is not taken to a hospital with the corresponding treatment facilities, and 0 otherwise.

Combining the above terms gives a total measure of how well casualties have been allocated to hospitals, accounting for both dynamic capacity levels and heterogeneous treatment facilities:

\[ f_3(s) = \left( \sum_{t=1}^{n} W_t Q_t^I \right) + \left( \sum_{i=1}^{n} \beta_i \right), \] (3)

2.4.4. \( f_4 \) – idleness

We wish to include a measure of how much time is spent by responders in an idle state, neither completing a task nor traveling to their next location. In addition to an expected correlation between idleness and the other objectives (that is, a solution where all responders are constantly busy is likely to be of high quality in other respects), we also note that any perceived idleness can have a negative impact on the public’s impression of the quality of the response operation. Total idleness can be calculated easily from any given schedule by summing all intervals between the end of one task and the time where the responder either leaves to travel to the site of their next task (or, if the next task is at the same location, begins work on this task).

2.4.5. \( f_5 \) – makespan

As noted previously, the makespan of a solution is not an appropriate measure of solution quality when considered in isolation. However, when complemented by the objectives previously discussed, it is desirable to give some consideration to makespan since a low value corresponds to an early finish of the response operation. This is particularly desirable in terms of objective (xii) as listed in Table 1, the ‘time taken to return to normality’. While several other factors must be considered in defining what is necessary to return to normality after an MCI, an early completion of the response operation will clearly contribute towards the general goal.
2.5. The casualty processing model

As previously mentioned, the five objectives considered in our model can be partitioned into three categories:

1. fatalities – \(f_1\),
2. suffering – \(f_2\), \(f_3\),
3. efficiency – \(f_4\), \(f_5\).

We view the optimization of these three categories in a lexicographic [40] sense, assuming that the minimization of fatalities is infinitely more important to the emergency response decision maker than the minimization of suffering, which in turn is infinitely more important than the minimization of (inverse) efficiency. This approach takes advantage of the clear natural ordering of the objective classes, although we note that in practice it may lead to the efficiency measures being overlooked, particularly when only a short period of time is available in which to search for solutions.

Within each category we employ a method of weighted metrics [41] to convert the multi-objective sub-problem into a single objective one. Specifically, for any set of objectives \(K\), our problem takes the form

\[
\min_{s \in \mathcal{S}} g_k(s) = \left( \sum_{i \in K} w_i|f_i(s) - z_i^*|^2 \right)^{1/2},
\]

the method of least squares.\(^1\) In order to employ this method we must set the utopia point \(z^*\), an infeasible point in the objective space used to provide guidance to the search. For objectives \(f_1\), \(f_2\) and \(f_4\) we simply set \(z_i^* = 0\). For objective \(f_2\), hospital arrival time, we obtain an infeasible guidance by supposing each casualty arrives at hospital at the earliest possible time (i.e. all relevant tasks must be completed) and at the same triage state as at time \(\tau = 0\). For objective \(f_5\), the makespan, we use the latest of such idealized hospital arrival times. As described in [42] the use of a weighted metric method to aggregate separate objective measures will only be capable of finding points in all parts of the corresponding Pareto set when the Pareto curve is convex, which may not always be the case in our model. However, due to the limited time available in which to search for high quality solutions we note that this shortcoming will rarely be felt.

In addition to defining the utopia point, we must also set the relevant weights \(w_i\). In the case of suffering, we set \(w_2 = 1\) and \(w_3 = 0.5\), corresponding to a belief that a fixed time spent waiting at a hospital is twice as preferable as the same time spent waiting at a disaster scene. All other weights \(w_i\) have been set as 1.

The full multi-objective model can now be defined as

\[
\min_{s \in \mathcal{S}} g_{(1)}(s), g_{(2)}, g_{(3)}(s), g_{(4,5)}(s).
\]

Regarding model fitting, we note that the lexicographic approach employed helps to minimize the need for setting weights. What weights are required by our model have been estimated through a mixture of common sense and ad hoc experimental evaluation. Clearly there is a need to consult with appropriate practitioners and seek relevant data in order to refine and validate the choice of parameters if the model is to be considered for practical use. However, the goal of this paper is to take the first step in evaluating the potential of the proposed model, and so this is left to future work. We will return to this point in Section 5.1.

3. Solution methodology

In order to evaluate the utility of the casualty processing model described in Section 2, we must implement a solution methodology in order to solve it. For the purpose of this paper, a variant of the popular Variable Neighborhood Search (VNS) procedure, Variable Neighborhood Descent (VND), will be used. The metaheuristic VNS [43] has been shown to perform well over a range of combinatorial optimization problems including vehicle routing [44], timetabling [45] and scheduling [46]. Moreover, it can be implemented quickly and easily. We note that the proposed routine is designed purely for the purpose of enabling model evaluation – the design and implementation of a more detailed, powerful solution methodology will be the focus of future work. We also note that a VNS was implemented on a FJSP in [46] with results comparable to any others published. In addition to the VND algorithm, we also describe a constructive heuristic \(\Phi\). This will be used both to provide the VND algorithm with an initial solution, and to allow for comparison between the proposed model and a non-temporal decision making methodology.

3.1. Constructive heuristic

The proposed constructive heuristic \(\Phi\) has been designed to give an approximation of decision making in casualty processing in practice. Whereas the model described in this paper makes use of the temporal nature of the problem, forecasting over the whole of the response operation in order to better ‘plan ahead’, this is not achievable to any great extent under the current decision making structure. Rather, each decision is made in a ‘greedy’ fashion, selecting the option which gives the maximum benefit at that point in time.

Decision making occurs at two points, when a responder finishes a task and when a transportation task is issued. In the former case, we must decide which task the responder in question should next complete, whereas in the latter we decide to which hospital the casualty in question should be taken to.

3.1.1. Selecting a task

Given a set of \(n\) criteria which can be applied to any task \(t\), \(g_i(t), i = 1, \ldots, n\), we apply an evaluation process based on a lexicographic [40] approach and described in Algorithm 1. This approach allows for several criteria to be considered and requires only an ordering of these criteria, as opposed to a weighting. Lexicographic

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\(^1\) Other weighted metric methods were implemented for comparison, with no difference in performance observed.
approaches to multi-criteria decision making are common [47], and can be considered appropriate in this situation due to their ease of interpretation. We will return to discuss the potential shortcomings of this approach in Section 5.1.

Algorithm 1. Constructive heuristic $\Phi$

1: set measure functions $g_{1\ldots n}$
2: set initial task $best$
3: for all tasks $t \in T$ do
4: if $r$ can do $t$ & all tasks $t$ depends on are issued then
5: done -- false, $i -- 1$
6: while done = false and $i < n + 1$ do
7: if $g(t) > g(best)$ then
8: done -- true
9: else if $g(t) = g(best)$ then
10: $i++$
11: else
12: best -- $t$
13: done -- true
14: end if
15: end while
16: end if
17: end for
18: issue task $best$ to $r$

In order to employ the general approach, we must first specify a set of criteria which can be applied. These are:

1. Priority – corresponding to the triage level of the casualty;
2. Time – how soon the task can start;
3. Dependancy – the number of other tasks dependent on the completion of this one;
4. Location – the distance from the responders current location to the start location of the task.

Criteria P, D and L all take a naturally discrete form. We impose a discrete form on T by categorizing each time $t$ as one of $\{0, 0 < t \leq 0.5, 0.5 < t \leq 1, 1 < t \leq 2, 2 < t \leq 5, 5 < t\}$, where the units are in minutes. By assigning an order to each of the measures, i.e. mapping each $g_i$ to one of P, T, D or L, the algorithm is fully specified. Rather than pre-specified the preference order of the proposed measures, we will empirically analyze the performance of each possible ordering in Section 4 in order to determine the optimal configuration.

3.2.1. Selecting a hospital

The selection of a hospital is carried out in the same manner as the selection of a task. In this case, there are three measures used in making the choice: the distance of the hospital from the current location; the capacity level of the hospital; and the presence of treatment facilities appropriate to a casualty's injury profile. The decision is made by first restricting the choice of hospitals to those with the correct treatment facilities. Following this, if there are hospitals with free capacity then the closest of these is chosen. If not, the hospital least over capacity is chosen.

3.2.2. Local search framework

As discussed in Section 2, a solution to our model can be defined by an association $s : T \rightarrow R \times N \times H \{\emptyset\}$, so that every task $t \in T$ has an associated responder $r \in R$, priority level $p \in N$ and hospital $h \in H \{\emptyset\}$, where $h = 0$ for all tasks other than transportation tasks. Four neighborhood structures were implemented.

3.2.3. Variable neighborhood descent

Each of the neighborhood structures listed above can be generalized to capture a notion of size in an intuitive manner. Namely, a neighborhood of size $i = 1$ consists of 100 random samples from the neighborhood structure as defined above. We limit ourselves to a finite sample due to the potentially large size of these combinatorial neighborhoods. To generate a neighborhood of size $i = 2$, we first generate a neighborhood of size $i = 1$ before generating a further 100 neighbors of size 2 by selecting random pairs of size 1 neighbors and composing them in the natural way. Similarly, for a neighborhood of size $i = 3$ a further stage is carried out, where 100 random triples of size 1 neighbors are composed. This routine can be carried out for any desired neighborhood size $i$.

The VNDS algorithm is given in Algorithm 2, and is an adapted version of the VNS presented in [46]. Specifically, the ‘shaking’ procedure of the VNS is not carried out.

Algorithm 2. VNDS

1: generate initial solution $s$
2: define nbrhds $\leftarrow \{P,R,H,Sw\}$
3: let $i -- 0$
4: while time $< 5$ minutes do
5: let $N -- nbrhds[i]$
6: set $k -- 0$
7: while $k < 50$ do
8: compute $s^* -- \text{arg min} N(s)$
9: if $f(s^*) < f(s)$ then
10: $s -- s^*$
11: $N_{\text{size}} -- 1$
12: $k++$
13: else
14: $N_{\text{size}} ++$
15: $i -- (i + 1)$ mod 4
16: end if
17: end while
18: $end$
The algorithm continues to use a neighborhood structure until that same structure fails to return an improving solution (i.e. we reach a local minimum) or \( k = 50 \) successful iterations are performed, at which point the next neighborhood structure in the list \( \text{nbrhds} \) is selected. In the case where a local minimum was found, the size of the neighborhood structure used to find it is increased for when it is returned to later. The termination criteria used is that of a real-time threshold. This is a practical measure for the problem domain in question, since emergency response decision makers will only wait a short time for decision support.

4. Application and evaluation

In order to gain a better understanding of the proposed model, in this section we apply the model to a range of problems and analyze the resulting performance of the solution methodologies given above and the solutions they produce.

4.1. Problem instance generation

We vary three problem characteristics. The total number of casualties are kept the same, and the topography, in terms of hospitals and potential disaster sites, is shared. Casualties are distributed over one (S1), two (S2) or three (S3) sites. We also vary the ‘dependency’ of the problem across three levels, by varying the proportion of casualties who are trapped (the ‘crush proportion’) and the proportion who require pre-transportation stabilizing treatment (the ‘treatment proportion’):

- High (D3) results in a 0.5 crush proportion and 0.9 treatment proportion;
- Medium (D2) gives a 0.25 crush proportion and 0.6 treatment proportion;
- Low (D1) gives a 0.1 crush proportion and 0.3 treatment proportion.

HART treatment is set to be required by 0.5 of the crushed victims. Varying responder levels is again done over a discrete set of low, medium and high levels, with the corresponding values \( R_1 = 12, R_2 = 24 \) and \( R_3 = 36 \) responders.

Given these three characteristics, each of which can take three values, we are left with a total of \( 3^3 = 27 \) distinct problem types. For each problem type, an instance is randomly generated by determining through random sampling which casualties require which tasks.

4.2. Performance evaluation

In addition to evaluating the improvement resulting from our model when compared to the constructive heuristic \( \Phi \), we also wish to determine to what extent the components of our model are required in order to achieve such improvements. In particular, we are interested in answering the following questions:

1. Is it beneficial to include hospital allocation decisions within the local search framework, as opposed to leaving them to be decided via \( \Phi \)?
2. Is it beneficial to include the hospital allocation term, \( f_3 \), in the objective function?
3. Is it beneficial to include task sequencing decisions within the local search framework, as opposed to leaving them to be decided via \( \Phi \)?

In order to answer these questions, a series of modified models were constructed. Letting \( M_4 \) denote the full model described in this paper, in \( M_3 \) we remove the hospital allocation neighborhood from the VND algorithm. Decisions regarding to which hospital each casualty are to be sent are instead made using the hospital selection rule of the constructive heuristic \( \Phi \).

Model \( M_2 \) is identical to \( M_3 \) except in the objective function, where the term associated with hospital allocation, \( f_3 \) is omitted. Finally, in model \( M_1 \) we remove one further element, namely the neighborhood used to alter tasks sequencing. Instead, the VND procedure only has control over allocating tasks to responders – the sequencing of each responder’s set of assigned tasks is decided via the constructor \( \Phi \).

For each problem type, the best performing heuristic configuration for \( \Phi \) was found empirically by applying each option to the problem 25 times and selecting the configuration which delivered best average performance. Using the appropriate \( \Phi \) configuration to give initial solutions, the models \( M_1, M_2, M_3 \) and \( M_4 \) were employed under the VND algorithm to generate a solution.

In analyzing the results of these experiments, we first compare the distributions of each objective category (fatalities, suffering and efficiency) obtained by each of the four models. These distributions are summarized in Figs. 7–9.

Several interesting points can be taken from these results. Regarding the fatalities objective, we see that models 2, 3 and 4 all produce comparable results with median values \(-12.3\%\), \(-13.0\%\) and \(-11.8\%\) respectively. Model 1, on the other hand, shows markedly worse performance with a median value of \(-9.9\%\). Moreover, this difference in performance is statistically significant in all cases (that is, when compared to \( M_2, M_3 \) and \( M_4 \)) with a \( p \) value of less than \( 2.2 \times 10^{-16} \) in all cases returned under a Wilcoxon test for equal medians. We conclude that, in terms of
reducing the number of fatalities in our model, it is of benefit to include task sequencing within the optimization framework while the addition of hospital allocation details provides no significant value. This is to be expected, since a reduction in fatalities can be achieved primarily through improved casualty processing of those in a ‘trapped’ environment (see Fig. 2), where hospital allocation decisions have little influence.

In terms of the suffering objective category, Fig. 8 shows that Model M4 attains generally favorable performance in comparison to the other models. Specifically, the median % change in the case of M4 is -15.2%, a statistically significant improvement when compared with 1.7% (M3), -4.0% (M2) and 0.3% (M1) ($p < 2.2 \times 10^{-16}$ in all cases). Finally, it is clear from Fig. 9 that performance in the efficiency objective category is erratic and largely similar for each of the models, indicating that the lexicographic approach described in Section 2.4 has resulted in this objective category receiving little attention during the search process.

Taken together, these results support our hypothesis that a detailed scheduling model accounting for the temporal nature of the problem can deliver improvement in efficiency when compared with sequential decision making processes. In addition, they help answer the questions posed at the start of this section, confirming that each of the modeling features described does indeed contribute to improved performance.

We now focus on how the performance of model M4 varies according to characteristics of the problem type being solved. Tables 5–7 provide the average % change in each objective category across the various levels of resources, dependency and the number of disaster sites respectively. It is clear that differences in each factor have an effect on the performance of the model in at least one of the objective categories. Moreover, a Wilcoxon test of equal medians returned a significant result ($p < 0.05$) in all comparisons within each table except for when comparing S1 fatalities and S2 fatalities, S2 fatalities and S3 fatalities, S1 efficiency and S2 efficiency, and R2 efficiency and R3 efficiency. For example, the average % change in the suffering category differs by 13.2% when we compare problems based at one site (-18.3%) with problems based at three (-5.1%) ($p < 2.2 \times 10^{-16}$). This suggests that a greater spatial distribution of the MCI leads to less scope for improvement.

### 4.3. Detailed solution comparison

In order to further our understanding of the improvements made by VND to the heuristic starting solution, a comparison of one run on a problem of type [R2,D3,S3] is given in Fig. 10.

Comparing these two solutions leads to a number of observations. Firstly, we note that the makespan of ϕ’s solution is less than that of VND’s, with a corresponding higher level of responder utilization. However, the associated distribution of casualty arrival times seems intuitively sub-optimal, with a period of time from around 30–60 minute where no transportation tasks are completed. In contrast, the arrival time distributions obtained by VND are smoother, progressing at a steady rate from start to finish and resulting in an increase in the total number of arrivals during the first hour of the response. Moreover, the final predicted triage level distribution is slightly favorable in the case of VND, where 38% of all casualties are expected to reach hospital in a T1 state compared with 53% in the case of ϕ.

Considering the networks shown in Fig. 10, we see that the solution proposed by VND results in many more transfers of responders from one site to another, either directly (black lines) or indirectly via a hospital (gray lines). This suggests an increase in the inter-site coordination of responders during a multi-site MCI can lead to improved performance.

### 4.4. Objective trajectory

The final component of our analysis of the model proposed in this paper focuses on the trajectory of the three objective categories (fatalities, suffering and efficiency) over the course of an optimization run. The variation in each of these categories over the course of a single run is illustrated in Fig. 11. The lexicographic nature of the formulation ensures a monotonic decrease in the fatalities objective, which occurs at a steady rate over the course of the search. In contrast, fluctuations in the suffering category can be seen throughout, with particularly large increases observed at the early stages. In terms of efficiency, behavior is largely erratic with no discernable pattern.
From this analysis we can conclude that the lexicographic approach can lead to a significant level of uncertainty in performance in the suffering and efficiency categories. While an infinite preference of fatalities over suffering has a strong practical basis, it may be beneficial to relax this constraint for the purposes of performing optimization, specifying an acceptable trade-off ratio which would prevent situations where a large increase in suffering in exchange for a small decrease in fatalities is deemed acceptable.

All experiments reported in this paper used a real-time stopping criterion, set to 5 minutes. This limit was extended to 10 minutes in order to observe the resulting gains in each objective category. The improvement observed in the fatalities objective progressed from $12.3\%$ at 5 minutes to $14.7\%$ at ten. For suffering, the corresponding values were $47.0\%$ and $54.1\%$, while for efficiency they were $6.4\%$ and $19.2\%$. This suggests the optimization problem is far from being solved under the current time constraints, with solutions of significantly higher quality being left unfound.

5. Conclusion

This paper has detailed a novel approach to delivering decision support to the emergency services during mass casualty incidents. The specific problem of resource allocation in casualty processing has not been previously addressed by the OR community. A combinatorial multi-objective optimization model of this problem has been proposed, accounting for several key problem features including the uncertain health levels of casualties, the spatial nature of the problem and the importance of appropriate choice of hospital for any casualty. The model is of a temporal nature, using estimates of task durations and travel times to build a predicted schedule covering the course of the response operation, thus avoiding the myopic decision making which could result from the use of a sequential, heuristic decision making process.

5.1. Future work

Firstly, we note that the parameters of the model used in this paper should be adjusted over a sensitivity analysis. These parameters include weights for triage levels, task duration estimates and health progression probabilities. The issues noted in Section 4.4, where the lexicographic approach was shown to lead to large
losses in suffering being accepted in exchange for very small gains in fatalities, could be addressed through relaxing the priority levels employed when separating the objective classes in a manner similar to that described in [48].

Given the temporal nature of the model, its performance will be dependent on the accuracy of any predicted values. In the current model, these include task durations, travel times, casualty health and autonomous casualty actions. As noted in Section 2.2, our model assumes that a full triage operation has been completed and as a result all information required to build the model is known with certainty upon initialization. In reality, it may be difficult to obtain such accurate values of these quantities, many of which may change as the response operation proceeds. A potential solution to this problem is to modify the model to be of a dynamic nature, receiving information from the problem environment in real time and updating the necessary variables. The task of effectively processing information in a disaster response environment is, however, a challenging one, and it would be wrong to assume that a supply of regular and accurate information would be available. Some potential difficulties arising from the quality and quantity of information available are discussed in [49].

In addition to a dynamic model mitigating the effect of poor parameter setting, it would also facilitate the application to incidents whose problem structure is of a dynamic nature. This would be the case when, for example, a further MCI occurs locally while the response to an initial MCI is ongoing, resulting in a new set of casualties which must be considered. Were such a model to be implemented in conjunction with a Monte Carlo simulation of the uncertainties present in MCI response, it would enable analysis of the value of regular information updates, a finding which could be useful to emergency response practitioners. Some preliminary work in this direction has been reported in [50].

Finally, the algorithm employed in this paper is open to further improvements both in the underlying heuristics (i.e. new neighborhoods) and in the metaheuristic which controls their use (e.g. tabu search or genetic algorithms). Noting the variation in performance of both the constructive heuristic $\Phi$ and the VND algorithm over the range of problems considered in this paper, we also suggest examining the application of hyper-heuristics [51], a methodology designed to provide more robust and adaptive performance over a range of potential scenarios.

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