

# Vehicle-Based Drowsy Driver Detection: Current Status and Future Prospects

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## ABSTRACT

Driver drowsiness is a major, though elusive, cause of traffic crashes. As part of its IVHS/human factors program, NHTSA is supporting research to develop in-vehicle systems to continuously monitor driver alertness and performance. Scientific support for the feasibility of this countermeasure concept is provided by research showing that:

- Drowsy drivers typically do not “drop off” instantaneously. Instead, there is a preceding period of measurable performance decrement with associated psychophysiological signs.
- Drowsiness can be detected with reasonable accuracy using driving performance measures such as “drift-and-jerk” steering and fluctuations in vehicle lateral lane position.
- The use of direct, unobtrusive driver psychophysiological monitoring (e.g., of eye closure) could potentially enhance drowsiness detection significantly.
- The use of secondary/subsidiary auditory tasks (e.g., auditory recognition tasks presented to the driver via recorded voice) could further enhance detection accuracy.

The envisioned vehicle-based driver drowsiness detection system would continuously and unobtrusively monitor driver performance (and “micro-performance” such as minute steering movements) and driver psychophysiological status (in particular eye closure). The system may be programmed to provide an immediate warning signal when drowsiness is detected with high certainty, or, alternatively, to present a verbal secondary task via recorded voice as a second-stage probe of driver status in situations of possible drowsiness. The key requirements and R&D challenges for a successful countermeasure include low countermeasure cost, true unobtrusiveness, an acceptably-low false alarm rate, non-disruption of the primary driving task, compatibility and synergy with other IVHS crash avoidance countermeasures, and a warning strategy that truly sustains driver wakefulness or convinces him/her to stop for rest.

**INTRODUCTION**

Loss of operator (e.g., driver) alertness is almost always preceded by psychophysiological and/or performance changes (Wierwille, Wreggit, and Mitchell, 1992; Dingus, Hardee, and Wierwille, 1987; Vallet *et al*, 1993; Knipling and Wierwille, 1993). Unfortunately, drivers themselves are often unaware of their own deteriorating condition or, even when they are aware, are often motivated to keep driving (Itoi *et al*, 1993). Perhaps one reason for their perseverance is the knowledge that alertness level often fluctuates during prolonged task performance; most operator performance “valleys” are followed by relative “peaks” -- that is, periods of normal performance. Moreover, brief periods of “microsleep” frequently occur with no gross performance consequences. Dinges and Graeber (1989), for example, found that long-haul airline pilots experience brief bouts of microsleep that are detectable psychophysiological, but which normally go unnoticed by other crew members. In short, driving and similar tasks are often tolerant of brief lapses of alertness.

The term “drowsiness” is used here to refer to the state of reduced alertness, usually accompanied by performance and psychophysiological changes, that may result in loss of alertness or being “asleep at the wheel.” The term “driver fatigue” is also widely used to describe this condition, especially on Police Accident Reports and in accident data files. However, Stem *et al* (1994), Tepas and Paley (1992) and others have correctly pointed out that drowsiness is distinct from physical fatigue and that “drowsiness” rather than “fatigue” should be the principal concern in relation to driving.

Another important distinction is that between “alertness” and “attention.” Driver alertness (“awakeness”) is presumed to be necessary but not sufficient for an appropriate focus on external events -- i.e., attention or vigilance. Thus, drivers may be alert (i.e., awake) but still inattentive. In the context of driving, “inattentive” means that a driver has failed to perceive a visible crash threat due to “mind wandering,” distraction (internal or external to the vehicle), or “improper lookout” -- i.e., “looked but didn’t see” (Treat, *et al*, 1979). The driver information processing error of inattention is widely regarded to be the most frequent principal causal factor in traffic crashes, greatly surpassing loss of alertness (Treat *et al*, 1979; Najm *et al*, 1994). The present distinction between “alertness” and “attention” is consistent with past research in this area (e.g., Davies and Tune, 1969).

This paper describes the problem size and characteristics of drowsy driver crashes, and overviews potential countermeasures. It explains in greater detail the concept of vehicle-based drowsy driver detection, the principal countermeasure approach supported by NHTSA R&D. The discussion of vehicle-based drowsy driver detection addresses its rationale, current status, principal projects within the NHTSA research program, and anticipated future R&D needs to bring this crash prevention concept to fruition.

**ACCIDENT DATA: PROBLEM SIZE, CHARACTERISTICS, SCENARIOS****Crash Problem Size and Implications**

NHTSA General Estimates System (GES) statistics for 1992 indicate that there were an estimated 50,000 crashes in which driver drowsiness was indicated on the Police Accident Report (PAR). This was about one percent of the total 6.0 million police-reported crashes occurring during that year. This 50,000 estimate may be conservative, for the following reasons:

- GES statistics include **police-reported** crashes only. Overall, fewer than one-half of all crashes are police-reported (Miller, 1991). Little is known about the characteristics of non-police-reported crashes, including the proportion that are drowsy-driver-related. However, since most drowsy driver crashes are single-vehicle crashes, it is likely that many go unreported. In single-vehicle crashes without serious injury or disabling damage to the vehicle, drivers would have little incentive (and some disincentive) to report the incident to police.
- Even within the police-reported crash category, driver drowsiness may be underreported since there is generally no physical evidence upon which to base a police finding of drowsiness. Crash-involved drivers themselves may not be aware of the role that drowsiness played in their crashes. On the other hand, some crash-involved drivers may consider drowsiness to be a more socially-acceptable explanation for their being involved in a crash than other more censurable errors such as alcohol use, speeding, or inattention.

The Indiana Tri-Level Study (Treat et **al**, 1979) reported that two percent of its 420 in-depth cases involved “critical driver non-performance” -- i.e., blackout or dozing. Elsewhere in these conference proceedings, Najm **et al** (1994) report the results of a review of nearly 700 Crashworthiness Data System (CDS) and GES case files; four percent of these cases were identified as being caused primarily by driver drowsiness. The uncertainties attached to PAR data and the wide range of these estimates point out the need for more definitive problem size assessment studies.

Data from the 1992 Fatal Accident Reporting System (FARS) indicate that drowsiness/fatigue was cited as a factor in crashes in which 1,436 fatalities occurred. This represents approximately four percent of all motor vehicle crash fatalities.

Two vehicle type categories are of greatest interest for crash prevention efforts: passenger vehicles (cars, light trucks, vans) and combination-unit trucks (tractor-trailers). Based on 1992 GES data, drivers of passenger vehicles represented 96% of drowsy driver crash involvements, while those of combination-unit trucks (tractor-trailers) represented 3 % .

Combination-unit trucks actually had a lower rate of involvement in these crashes than did passenger vehicles (1.4 vs. 2.3 per 100M VMT), but these trucks have very high exposure levels -- an average of about 60,000 miles per year compared to about 11,000 for a passenger vehicle. In addition, they have somewhat longer average operational lives (nearly 15 years) than do passenger vehicles (about 13 years) (Miaou, 1990). Thus, even though their overall *crash rate per VMT* is less than that of passenger vehicles, their *expected number of involvements per vehicle life cycle* is about four times greater. For vehicle-based countermeasures that last the life of the vehicle, the latter statistic is much more relevant to a determination of potential benefits per unit cost. In addition, combination-unit truck drowsy driver crashes are generally more severe in their injury and property damage consequences. "Based on an analysis of "fatal crash equivalents" per crash (Wang & Knipling, 1994), 1992 combination-unit truck drowsy driver crashes were, on average, approximately 1.6 times more severe than passenger vehicle drowsy driver crashes."

In short, the problem size *per vehicle* is much greater for combination-unit trucks. Although passenger vehicles will eventually be the most important platforms for drowsy driver countermeasures from the perspective of potential *total* benefits, combination-unit trucks are the most promising platform from the perspective of potential cost-benefits of countermeasure deployment. These cost-benefit considerations, along with the comparative ease of conducting field trials on managed truck fleets rather than on groups of individually-owned passenger vehicles, make combination-unit trucks the probable testbed-of-choice for early deployments of IVHS drowsy driver countermeasures.

### Statistical Characteristics

GES statistics from 1992 indicate that drowsy driver crashes peak between midnight and dawn, with a second smaller peak in the afternoon. Most occur in non-urban areas, generally on roadways with 55-65 mph speed limits. Eighty-four percent are single-vehicle roadway departure crashes or collisions with parked vehicles. In most cases, the crash occurs on a straight section of roadway (Of knowns: 83% straight, 17% curved) with the pre-crash maneuver of "going straight" (85 %). In 78% of crashes the driver is the only occupant of the vehicle, and typically the driver makes no corrective action (i.e., braking or steering) to avoid the collision. Alcohol is reported by police to be involved in about 12 % of drowsy driver crashes, although this represents primarily legally-intoxicated drivers and does not capture sub-legal-limit alcohol use contributing to drowsiness.

Involvement in drowsiness-related crashes is strongly related to both driver sex and driver age. In 1990, male drivers accounted for 77% of the drowsy driver crashes, while representing only 65 % of VMT and 51% of driver registrations. Thus, compared to female drivers, male drivers had an overall involvement rate (per VMT) that was 1.8 times greater and an involvement likelihood (i.e., involvements per registered driver) that was 3.1 times greater than that of females.

Strong age-related trends are also evident. Drivers under thirty accounted for 62 % of drowsy driver crashes in 1990, while accounting for only 28% of both VMT and driver registrations. Both their involvement rate (per VMT) and likelihood (per registered driver) were more than four times those of drivers 30 or **over**.

## **DOT RESEARCH PROGRAMS ON OPERATOR VIGILANCE**

All modal administrations of the U.S. Department of Transportation have active research programs on operator vigilance. Across the various transportation modes, these programs generally focus on one of the following four themes:

- **Operational policies** such as staffing requirements for ships (with implications for work and watch cycles), hours-of-service regulations for commercial vehicle drivers, and “strategic napping” policies for airline pilots on long flights. In regard to the latter, studies sponsored by the Federal Aviation Administration (e.g., Rosekind, Gander, and Dinges, 1991) have shown that preplanned cockpit naps for each of the three crew members on extended flights can significantly improve subsequent alertness and performance on the flightdeck. FAA is encouraging “controlled rest” and has provided guidance for its use as a fatigue countermeasure.
- **Fitness-for-duty testing** for operators prior to vehicle operation. For example, the Federal Transit Administration is assessing the feasibility of performance-based fitness-for-duty tests for transit operators that would identify performance deficits due to a variety of causes including alcohol, drugs, illness, and fatigue.
- **Workstation or other vehicle design** to reduce operator mental workload and increase alertness. For example, the U.S. Coast Guard is researching the use of greater automation and other ship control design concepts to reduce ship pilot workload. Care must be taken however, not to underload the ship pilot, since such situations can lead to vigilance problems. A joint Federal Highway Administration/National Highway Traffic Safety Administration program is assessing the effects of longer commercial vehicle (e.g., tractor with triple-trailer) operation on driver stress and fatigue, including a comparison of the effects of two different trailer hitch designs.
- **Continuous monitoring** of operator status/performance. The Federal Railroad Administration is currently sponsoring research to develop new technologies for monitoring railroad engineer alertness on duty. It has been found that current techniques can be defeated by drowsy engineers; that is, they can respond correctly to secondary task probes even when they are functionally asleep.

NHTSA's principal drowsy driver research program, described in this paper, also focuses on continuous vehicle-based monitoring of driver alertness. The first author of this paper is the NHTSA program manager for this work and the second author is the principal investigator of the principal NHTSA-supported research study (Wreggit, Kim, and Wierwille, 1993) to develop a vehicle-based capability for unobtrusively monitoring driver performance. This system entails continuous measurements of driver performance variables (e.g., steering wheel movements), data processing to "decide" whether the driver is drowsy, and an appropriate warning system interface with the driver. Direct, unobtrusive psychophysiological driver measures (especially of eye activity) and secondary task performance could also be integrated into the measurement/decision regimen to assess driver status. A later section of this paper describes the basic elements of this approach.

Potential psychophysiological measures of driver alertness include measures of heart rate variability, respiration rate, hand grip pressure on steering wheel, head inclination (i.e., the head tends to tilt backward as neck muscles relax as a result of fatigue), measures of whole-body posture, electroencephalograms (EEGs), electrooculograms (EOGs), and measures of eyelid activity (blinking rate/amplitude as well as measures of "slow closure"). There are numerous challenges to the development of practical psychophysiological sensors for use by the public. Such devices must be *unobtrusive* or at least "minimally-obtrusive" so that drivers will be willing and able to use them regularly without interference with normal driving. Device cost must be reasonable due to cost-benefit and marketability concerns. In addition, they should detect drowsiness prior to the occurrence of critical performance failures. One concern about head nod detectors, for example, is that they may not detect drowsiness until a late stage, perhaps after serious performance deterioration has already occurred (Haworth and Vulcan, 1991).

Through the DOT Small Business Innovation Research (SBIR) program, NHTSA is supporting two R&D efforts to develop devices to directly measure driver eye closure. One approach, under research by Systems Technology, Inc. using a device developed by SRD Shorashim Medical Ltd., involves measurement of electroocular and neuromuscular potentials (EOG and EMG) associated with eye closure using a headband/headset device. A second approach, under research by MacLeod Technologies, involves detection of eyelid closure using miniaturized, glasses-mounted opto-electronic emitters and sensors. Both of these approaches are minimally obtrusive, employ established technologies, and have the potential to be very low-cost (e.g., less than \$100). Current and future R&D will determine whether they are comfortable and unobtrusive enough to be worn for extended times and whether they provide reliable data in a real vehicle setting. Ideally, these systems would detect and measure eye blinks as well as slow closures since both types of eye closures reveal information about the operator's alertness level (e.g., see Stem et al, 1994 for eye blink correlates of drowsiness).

Another approach to eye closure detection involves the use of a dashboard-mounted video camera and sophisticated image processing. This approach has the potential to be completely

unobtrusive, and could be adapted for applications other than drowsiness detection. For example, it could discern the driver's point of regard and thus could be used to monitor driver attention. PC-based prototype systems exist, although at present they may be too expensive for widespread commercial use. Extensive image processing is required to deal with problems such as driver head movements and the partial obstruction caused by eyeglasses. A number of vendors are actively exploring this technology. The NHTSA "DASCAR" project (discussed below) is supporting the use of this technology for driving research applications. Commercial applications may come later as device cost decreases.

The vehicle-based drowsy driver detection system will likely be used to actuate a driver warning system. The agency is concerned with the human factors aspects of such warning systems. As part of a comprehensive research program on driver warning systems, preliminary human factors guidelines for driver alertness warning systems have been developed based on literature review (COMSIS, 1993a, b). These preliminary guidelines address elements such as device activation, calibration, obtrusiveness, warning display modality, levels of warnings, and driver override features. For example, the preliminary guidelines recommend a variable-intensity auditory or tactile primary warning display. This stimulus must be capable of overcoming sleep inertia (Tepas and Paley, 1992) but should not cause a startle-response disruption of driver performance.

Another NHTSA program supporting countermeasure development is the Portable Driver Performance Data Acquisition System for Crash Avoidance Research ("DASCAR"). DASCAR will be an unobtrusive and inconspicuous vehicle instrumentation suite to support experiments and field studies on driver performance and psychophysiology, vehicle parameters, and environmental parameters. A DASCAR prototype, under development by Oak Ridge National Laboratory, will be completed in early 1995. The National Advanced Driving Simulator (NADS) and other advanced driving simulators will also be employed in future R&D on vehicle-based drowsy driver detection.

Other researchers, including major automotive manufacturers, are pursuing driver status/performance measurement concepts similar to those described here. In addition, various aftermarket devices are sold by independent vendors, primarily to long-haul truck drivers (Haworth and Vulcan, 1991). However, it appears that no commercially-available system has established a large market or has rigorously documented system validity, reliability, and effectiveness.

## **VEHICLEBASED DROWSY DRIVER DETECTION: BASIC CONCEPTS**

### **Basic Concepts**

As indicated earlier, the basic idea behind vehicle-based detection is to monitor the driver unobtrusively by means of an on-board system that can detect when the driver is materially impaired by drowsiness. The concept involves sensing various driver-related and driving-

related variables. computing measures from these variables on-line, and then using the measures in a combined manner to detect when drowsiness is occurring. Measures are combined because no single unobtrusive operational measure appears adequate in reliably detecting drowsiness. The most promising approach uses mathematical optimization procedures to develop algorithms with the highest potential detection accuracy. Techniques normally employed include multiple regression and linear discriminant analyses. More exotic techniques could also be employed in the future, including neural networks, pattern recognition. and fuzzy logic.

Optimization of algorithms for detection of drowsiness requires a definitional measure of “actual” drowsiness. Such a measure may be based on physiological, performance, or subjective attributes and need not be obtainable operationally. However, the measure must be available in experiments so that operational detection algorithms can be “trained” to indicate the value of the definitional measure. This concept is depicted in Figure 1. On the left are measures that can be obtained in the driving environment. These measures (with the exception of secondary task measures) are obtainable operationally from the vehicle without disturbing the driver. They can be used in various combinations for algorithm development. On the right are various candidate definitional measures. AVEOBS is an observer rating measure, EYEMEAS and PERCLOS are measures of slow eye-closure, and NEWDEF is a measure composed of slow eye-closure, various EEG waveform amplitudes (Alpha, Beta, and Theta), and mean heart rate. A given algorithm would be directed at indicating the level of only one definitional measure, or possibly a linear combination of them. In any case, operationally available measures (on the left) are used to detect the level of the definitional measure of drowsiness (on the right), with thresholds set to indicate when drowsiness has exceeded a pre-specified level.

### **On-Board Detection System**

The on-board drowsiness detection system would gather signals from sensors on the vehicle, process these signals into measures, and then compute the algorithm (or algorithms) to determine if the drowsiness threshold has been exceeded. Figure 2 shows a block diagram of the envisioned system. Aspects of the envisioned system already determined through research efforts include the following:

- Signals input to the microcomputer will include:
  - . Steering-related signals
    - A lateral accelerometer-related signal and
  - . A lane position signal (assumes availability of machine vision technology for optical tracking of existing highway lane markings).
- Measures will be computed using six-minute running averages (which provide the best prediction accuracy).



- An adjustable drowsiness threshold feature will allow sensitivity to be set according to conditions.
- A step-up/step-down routine will ensure that, when all incoming signals are valid, the best algorithm is used. When one or more of the incoming signals is invalid (for example, inability to establish a lane track), then the best algorithm *excluding the invalid signal(s)* would be used. This procedure will ensure that at least one detection algorithm is always capable of being computed.
- A “baselining” procedure will be used to tailor detection algorithms to the individual driver. It will record each driver’s performance measures on-line initially and then subtract such values from all subsequent values. Accordingly, measures obtained are actually deviations from the driver’s own baseline.

### Domain of Application

On-board drowsiness detection systems will be applicable primarily to driving on rural and other “open” highways, such as limited-access highways, at speeds at or above 50 mph. There are two reasons for limiting the drowsiness detection system to this domain. First, as discussed earlier, most drowsiness-related crashes occur on these roads at these speeds. Second, it appears that this domain is the one in which feasibility is maximized. The influences of stop-and-go traffic, traffic signals, turning maneuvers, etc., would probably introduce sufficient “noise” into the detection process that unobtrusive detection would be unfeasible. As we can see, we have the fortuitous circumstance of “feasibility in the most needed domain,” or in other words “the coin we are searching for was lost under the streetlamp, where the light gives us the best chance of finding it.”

### Nature and Accuracy of Algorithms

To provide a better idea of what a typical algorithm looks like and what its anticipated level of accuracy would be, a specific algorithm will be described. It is one of perhaps 120 that were recently derived in a major, moving-base driving simulator experiment using sleep deprived drivers (Wreggit, Kim, and Wierwille, 1993). The algorithm was derived using multiple regression analysis with PERCLOS (the proportion of total time that the driver’s eyelids are closed 80% or more) as the definitional measure. Figure 3 shows the actual values of PERCLOS (open circles) and the algorithm-predicted values (closed triangles) for 12 driver subjects. Each interval on the abscissa corresponds to a six-minute average, with 25 intervals per driver-subject. Increasing values of the ordinate represent increasing drowsiness levels. The algorithm generally does an excellent job of mimicking the values of PERCLOS, particularly in the intermediate ranges of PERCLOS where the threshold would most likely be set.

Figure 4 shows the specific thresholds used on the definitional measure (PERCLOS) for the determination of prediction accuracy. The data in Figure 4 correspond to “circle” values in Figure 3. As can be seen, two thresholds have been specified, thus breaking the plot into three regions: alert, questionable, and drowsy. When these thresholds are applied to the output of the detection algorithm, the classification results are as shown in Table 1, which provides an assessment of accuracy. In the table, the boldface diagonal values show the number of correct classifications. The off-diagonal elements represent errors, and in particular, the upper-left and lower-right cells represent large errors. As can be seen, three intervals were classified (predicted) as drowsy when the driver was observed as alert (false alarms), and another three intervals were classified as alert when the driver was observed as drowsy (failure to detect). Since there were 300 intervals, two percent were seriously misclassified, resulting in an apparent accuracy rate of 0.98 (for large errors). Of course there were smaller classification errors as well, but these are not as serious -- for example, the 16 intervals in which the system diagnosed a drowsy driver when the driver’s actual status was “questionable” (i.e., somewhat drowsy).

**TABLE 4: Classification Matrix From Multiple Regression Analysis of PERCLOS Data.**

Group		Actual Observed (PERCLOS)			
		Alert	Questionable	Drowsy	Total
Predicted	Drowsy	3	16	32	51
	Questionable	18	21	16	55
	Alert	184	7	3	194
	Total	205	44	51	300
	% Correct (Large Misclassifications)	98.5%	100%	94.1%	98.0%
	% Correct (All Misclassifications)	89.8%	47.3%	62.8%	79.0%

Table 2 lists and defines the six operational measures used to predict PERCLOS, along with the Beta (B) weights and levels of significance for each. All six operational measures are computable from steering, lateral accelerometer, and lane tracking variables. The lane tracking measure LANDEV is the strongest single factor. Multiple regression based on these factors yields a multiple regression coefficient (R) of +0.872 between predicted drowsiness and actual drowsiness as measured by PERCLOS.

**TABLE 2: Operational Measures of Driving Performance Used to Predict PERCLOS**

Factor Name	Definition	B Weight	P-Level
INTACDEV	Standard deviation of the high-pass lateral velocity of the vehicle.	-0.109	< 0.0005
LANDEV	Standard deviation of lateral position relative to the lane.	+0.873	< 0.0005
LNERRSQ	Mean square of the difference between the outside edge of the vehicle and the lane edge when the vehicle exceeds the lane. When the vehicle does not exceed the lane the contribution to the measure is zero.	-0.258	< 0.0005
STEXED	Proportion of time that steering velocity exceeds 150" per second.	+0.090	0.007
NMRHOLD	Number of times that the steering wheel is held still for 0.4 second or longer.	-0.204	< 0.0005
THRESHOLD	Proportion of time that the steering wheel is held still for 0.4 second or longer.	+0.250	< 0.0005

Source: Wreggit, Kirn, and Wierwille, 1993

While algorithms such as these appear to have sufficient accuracy to be considered feasible, there are enhancements that can be used to upgrade the detection process if necessary. One enhancement is a two-stage detection process which uses an algorithm such as the one above to perform the initial classification. When an initial indication of drowsiness is detected, the driver is then requested to perform a secondary task that is presented auditorially. Performance on such tasks has been shown to be sensitive to subject fatigue (Haworth and Vulcan, 1991). The driver might respond by means of pushbuttons on the steering wheel spokes, or orally if a voice recognition capability is present. If the driver then falls below criterion (which may include both accuracy and response latency components) on the secondary task, overwhelming evidence of impairment would exist. The two-step procedure has the advantage of consisting of two separate and largely independent observations which hopefully would bring the false alarm rate down to an acceptable level. Of course, such a system would need to be tested rigorously to ensure that the secondary task did not unduly distract the driver from the primary driving task.

**Progression of Drowsiness in a Sample Subject**

Figure 5 shows the progression of observed and predicted drowsiness for one sleep-deprived subject over a 150-minute run (specifically, the subject represented by Observations 251-275 in Figure 4). Observed definitional drowsiness (PERCLOS) is represented by the solid line in Figure 5, while drowsiness predicted through multiple regression (using the measures shown in Table 2) is represented by the unconnected points on the graph. For both variables, each data point represents one value of a moving 6-minute average; for example, the first data points shown at Time = 6 minutes represent the average of Minutes 1-6.

Across the 150 minutes of this subject's session, there was a progressive, but erratic, trend toward dangerous levels of drowsiness. The first major lapse into high drowsiness (between minutes 70 and 80) was followed by a period of relative alertness. The last 30 minutes of the session were characterized by very high drowsiness levels. Numerous lane exceedances and several road departures occurred during this period.

Looking at the unconnected points in Figure 5, one sees that the multiple regression output generally tracks well with PERCLOS (specifically,  $R = +0.896$  for this subject). Early in the session, predicted PERCLOS actually begins to increase before observed PERCLOS. In other words, there are early signs of performance deterioration before the precipitous increase in eyelid drooping. For this subject, predicted PERCLOS tends to be somewhat higher than actual PERCLOS. Of course, the nature of multiple regression dictates that across all 12 subjects high-predictions are offset by low predictions.

Overall, the data in Figure 5 demonstrate, for this subject, the potential accuracy of the performance-based drowsiness prediction in relation to "actual" observed drowsiness. The data show also that most drowsiness episodes develop slowly enough (i.e., over a period of minutes rather than seconds) to be potentially addressable through warning and/or alerting signals issued to the drowsy, but still conscious, driver.

### **Program Directions**

Work on vehicle-based drowsy driver detection at Virginia Tech has been ongoing for about 30 months. In addition to the primary simulation trials described above, validation trials have been performed to determine whether the performance-based drowsiness detection algorithms derived in the primary trials would transfer to a new set of driver-subjects. Results from these validation trials have generally indicated virtually no loss in detection accuracy (i.e.,  $R$  decrements of less than 0.01) when the original detection algorithms are applied to a new group of 12 subjects. Additionally, data are being gathered on speed variation as an additional operational measure and on the effects of cruise control on detection accuracy and susceptibility to drowsiness. When available, these data may form the basis for further refinements to the detection algorithms.

Following completion of the simulator experiments, it is anticipated that limited field testing will be undertaken. Of course, ethical issues must be addressed in full-scale testing so that driver subjects are not exposed to risks beyond those that already exist in driving. It is anticipated that a vehicle will be instrumented with a drowsy driver detection system and equipped with a video recording system for independent assessment of the driver's alertness level.

**RESEARCH NEEDS****Assessment of Target Crash Problem Size and Characteristics**

This paper has cited statistics on the drowsy driver crashes based on PAR data. Admittedly, the validity of PAR data is questionable in relation to many crash causation issues, and is particularly tenuous in relation to transient mental states such as drowsiness. More sophisticated analyses of the drowsy driver crash problem are needed to better estimate its size and reveal its characteristics. Such an effort would also support assessments of the potential cost-benefits of various drowsy driver crash research and countermeasure development initiatives. Given the limitations of PAR data, the needed problem analysis research would likely require the use of other more innovative data collection approaches to obtain in-depth information on driver status and its role in crash causation.

**System Development/Refinement of Algorithms**

As noted above, much of the current research effort must be devoted to enhancing detection algorithms to increase accuracy (in particular, the reduction of false alarms). The incorporation of additional primary performance measures (e.g., vehicle speed; Khardi *et al*, 1993), direct psychophysiological measures, and/or secondary task measures would have the cumulative effect of enhancing system accuracy. Future refinements of the auditory secondary task procedure might incorporate fine temporal analysis of driver speech patterns in addition to the relatively simple measures of latency and accuracy of verbal response. Kruger *et al* have reported that driver alertness can be assessed through chronemic analysis of speech; for example, fatigued drivers tend to exhibit longer pauses between phonemes. If eye tracking systems can capture point of regard as well as eye closure, it may even be possible for the system to evaluate the speed and quality of driver eye-hand coordination as an element of performance monitoring.

Another conceivable way to streamline detection algorithms is to eschew psychophysiology altogether in favor of a purely performance-based approach. Here, one would use “process” performance (e.g., steering movements, lateral deviations within the lane) to predict “outcome” performance (e.g., unintended lane departures and, ultimately, crashes). The concept of a purely performance-based approach is parsimonious and may yet prove viable. The approach described in the current paper is based on the assumption and practical observation that driver loss-of-alertness, defined by psychophysiological measures such as eye closure, is the critical precipitous event leading to these crashes, and thus is the best target for detection algorithms.

Finally, another way to enhance detection algorithms would be to incorporate data on situational factors and driver characteristics. Situational factors include time of day (e.g., highest risk late at night), time since awakening from sleep, and time on driving task (Akerstedt and Folkard, 1993). Relevant driver characteristics include sex and age, although

research must first show whether the relation of these factors to target crash involvement is due to true susceptibility differences or are merely artifacts of exposure differences. For example, the extreme overinvolvement of young male drivers in these crashes may simply be the result of greater risk exposure -- i.e., young males compile more late-night highway miles.

### **Overcoming the False Alarm Problem**

As already indicated, a major research objective will be to overcome the false alarm problem inherent to the identification/diagnosis of low-probability events. Since drowsiness is infrequent in relation to all time spent driving, false alarm rates must be very low. If not, the number of false alarms will greatly outnumber correct detections ("hits"), even if drowsiness is correctly detected with 100% accuracy (Knipling, 1993).

This problem may be overcome through refinements to the performance measurement algorithms, addition of qualitatively different measures (i.e., direct psychophysiological measures and/or secondary tasks), and the use of graded alarm intensities for different degrees of drowsiness or levels of certainty. In particular, the false alarm problem appears less daunting from the perspective of multiple degrees of alertness and intensities of warnings/advisories. **Figure 6**, which is similar in concept to the two-threshold algorithm concept shown in Figure 4 and Table 1, shows a theoretical relation between "actual" drowsiness level (and thus actual risk of loss-of-alertness) and "operational" drowsiness level as measured/derived by a detection system. Three levels of "actual" and "operational" drowsiness are shown in the figure, but note that dashed lines are used for the three "actual" drowsiness levels since the variable represents a continuum without qualitative breakpoints. Since the system is not perfect, its data points would form an ellipse rather than a straight line. Within this scheme, zones G, E, and C represent perfect classification, zones D, B, H, and F represent small misclassifications (or "half right" classifications), and zones A and I represent large misclassifications. Drowsy driver detection algorithms must be refined to a point where zones A and I are very small or non-existent. The effects of small misclassifications (Zones D, B, H, and F) on crash prevention, driver performance, and driver acceptance must be determined through further research. For example, the "half-false alarm" zones D and B may be a source of irritation to drivers or, on the other hand, they may have the positive effect of reassuring the driver that the system is functioning continuously.

Another way to increase detection and reduce false alarms might be to consider not just the current measurement time interval but also trends evident from preceding intervals. Were there early signs of developing drowsiness based either on the overall operational measure or among specific indicators? Fuzzy logic may be employed to further enhance the accuracy of diagnosis by considering the driver's recent time-history of drowsiness.

**System Response/Driver Interface**

Regardless of the performance metrics and decision algorithms used, the system must respond to drowsiness detection with some warning signal(s) or, perhaps, vehicle control input(s). Research is just beginning to address the optimal characteristics of this system response/driver interface (COMSIS, 1993a, b). One major R&D need is the specification of a driver warning signal (or other system response) that alerts the driver but does not unduly startle him or her (Vallet *et al*, 1993; Haworth and Vulcan, 1991). There are large individual differences in acoustic stimulus intensity (i.e., loudness) necessary for arousal from sleep. Thus, it may prove difficult to develop an ideal “standard” warning signal for all drivers.

In addition to concerns about the immediate reaction of drivers to drowsy driver warning signals, “post-alarm” behavior is also a matter of concern. In many cases, drivers who persevere in driving after receiving a warning will again be susceptible to recurrent episodes of drowsiness (Haworth and Vulcan, 1991). The successful driver interface will be the one that changes driver behavior -- for example, convinces the driver to stop for a rest.

**Test & Evaluation**

Like any other vehicle safety devices, drowsy driver detection systems will require extensive testing and evaluation before they can be widely deployed. Use of the NADS and other advanced simulators will enable sleep-deprived subjects to be exposed to realistic late night highway driving situations. Fleet tests in operational settings such as long-haul truck operations will provide further data. Parametric tests of driver characteristics (sex, age, “baseline” alertness) and system characteristics (e.g., warning signal characteristics) will enable these systems to be customized to different drivers and situations.

**Individual Differences**

Itoi *et al* (1993) noted wide differences among individuals in their ability to predict imminent sleep onset and also wide differences in the correlations between physiological signs of drowsiness and the actual onset of sleep. Thus, physiological indices may be much better predictors for some persons than for others. The same may be true for primary driving task and secondary task performance.

**Integration with Related Safety Systems**

As currently envisioned, drowsy driver detection systems will not be collision warning systems *per se*, but rather will warn of dangerous driving patterns or driver conditions that may soon lead to an imminent collision threat. Other systems may soon exist to warn of direct collision threats, such as roadway departure, resulting from drowsiness. Both “crosstalk” and compatibility between such co-existing systems will be necessary. For

example, a roadway departure countermeasure may be programmed to consider recent data on driver status as part of its own road departure detection algorithms. In addition, the driver interfaces for these two systems must be compatible since their target crash threat situations will likely overlap.

Another example of possible “crosstalk” mutual enhancement of systems relates to headway detection systems to prevent rear-end crashes (Knippling *et al*, 1993). Data on driver response patterns to vehicles and other objects in the forward path could perhaps be used to help assess driver alertness, and continuous driver alertness data could perhaps be used to determine the optimal distance for issuing a headway detection warning.

### **Cost-Benefit Considerations**

In the long run, drowsy driver countermeasures will be worthwhile only if they are cost-effective. Device cost should be low enough to ensure a favorable ratio of average benefits to cost. The cost of several key sensor components such as the lateral lane position monitor and psychophysiological measurement devices (if needed) are likely to be the prime drivers of the overall system cost.

Since the “per-vehicle” crash problem size is greater for combination-unit trucks than for other vehicle types, the “break-even” device cost (i.e., the device cost which produces average crash prevention benefits per vehicle equal to average cost) will be correspondingly greater for trucks. Of course, an imperfect relation exists between monetary cost-benefits and actual marketability and driver acceptance. For example, young males as a driver group would apparently reap greater benefits from drowsiness countermeasures than other drivers, but they may not be the consumer market segment most willing to purchase it.

### **Relation of “Alertness” to “Attention”**

This paper has addressed driver drowsiness or loss of alertness, a significant cause of motor vehicle crashes. A much larger crash cause, addressed only briefly here, is driver “inattention,” the failure of an awake driver to perceive a crash threat when it should be perceptible. Driver inattention/recognition failure is perhaps one order of magnitude more prevalent as a cause of crashes than is loss of alertness (Treat *et al*, 1979; Najm *et al*, 1994).

What is the relation between “inattention” and “loss of alertness?” As noted earlier, driver alertness (“awakeness”) is presumed to be necessary but not sufficient for timely detection of salient external events -- i.e., attention. Is attention to external events a “higher level” of alertness or do alertness and attention represent two different neural/cognitive processes?

Laboratory studies of vigilance in target acquisition settings have shown that acquisition rates often decline rapidly after just a few minutes on task. Moreover, “local” target



detection rates for successive time epochs fluctuate considerably and irregularly during sessions (Makeig and Inlow, 1993). These target acquisition performance fluctuations are accompanied by fluctuations in electroencephalogram (EEG) patterns. In other words, operator vigilance, as measured both by performance and psychophysiology, seems to fluctuate over time. Studies of driver alertness/drowsiness show similar fluctuations over time, with some negative fluctuations resulting in total loss of alertness or "asleep at the wheel."

An intriguing topic for future research will be the relation between these fluctuations in vigilance (attention to specific stimuli) and general alertness. Can IVHS devices designed to detect general loss of alertness be refined to detect more subtle forms of inattention? If they can, the opportunities for crash prevention through driver status/performance monitoring will be greatly expanded.

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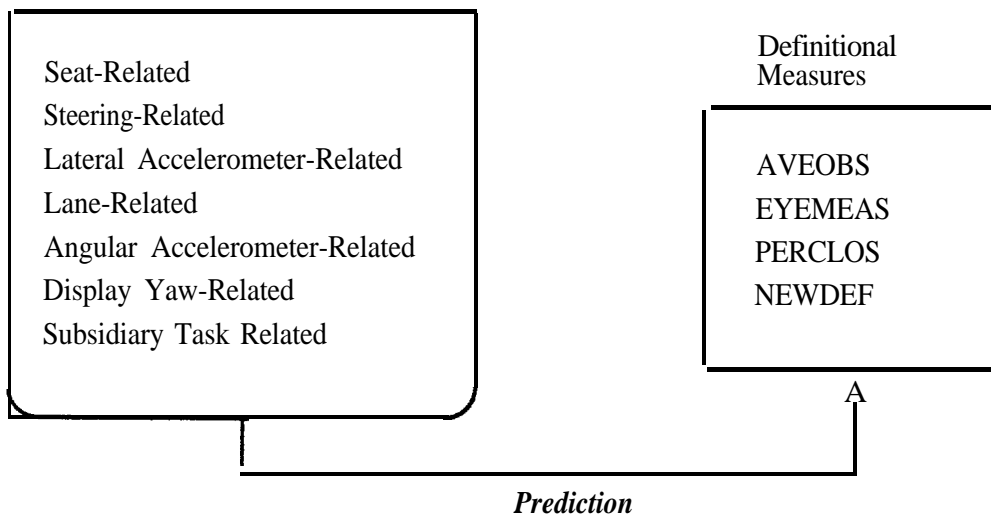


Figure 1. Concept of Using Operational Measures to Predict Definitional Measures of Drowsiness

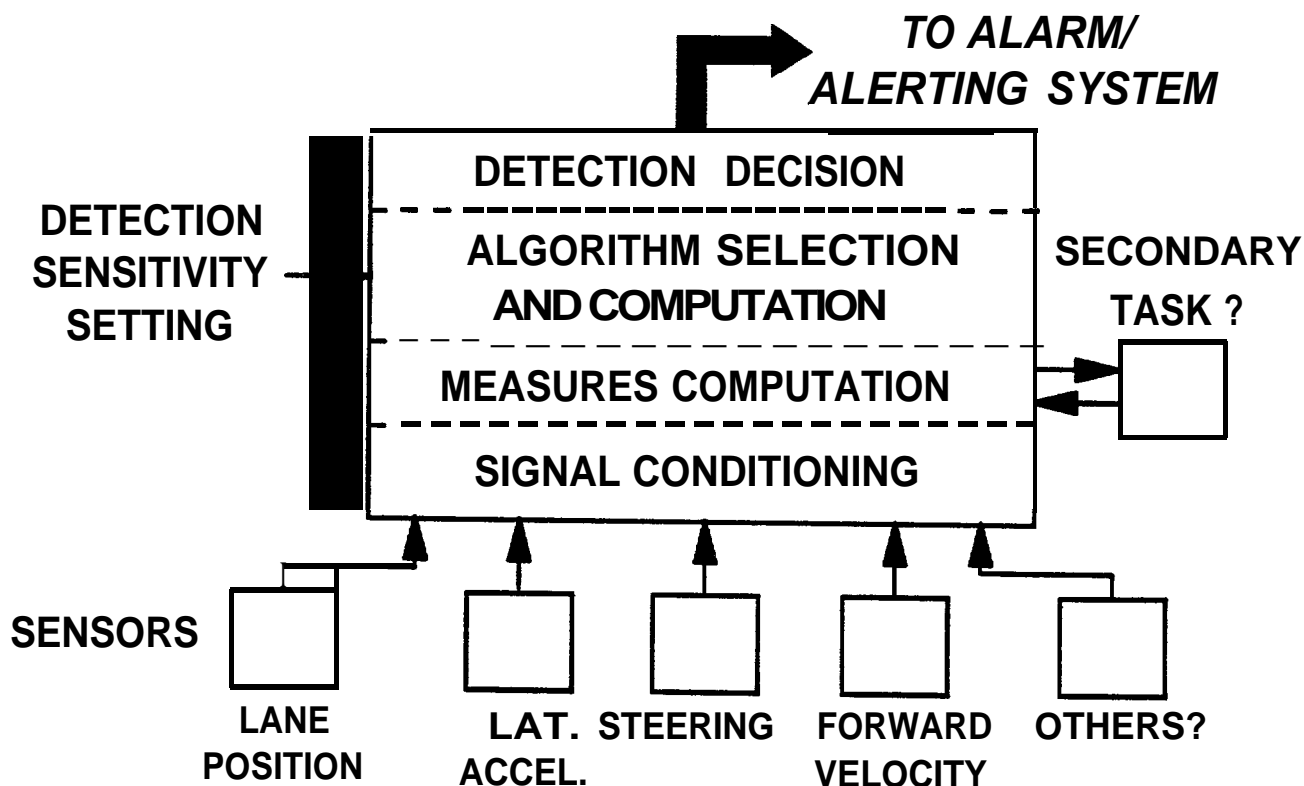


Figure 2. Conceptual Diagram of Envisioned On-Board Detection System

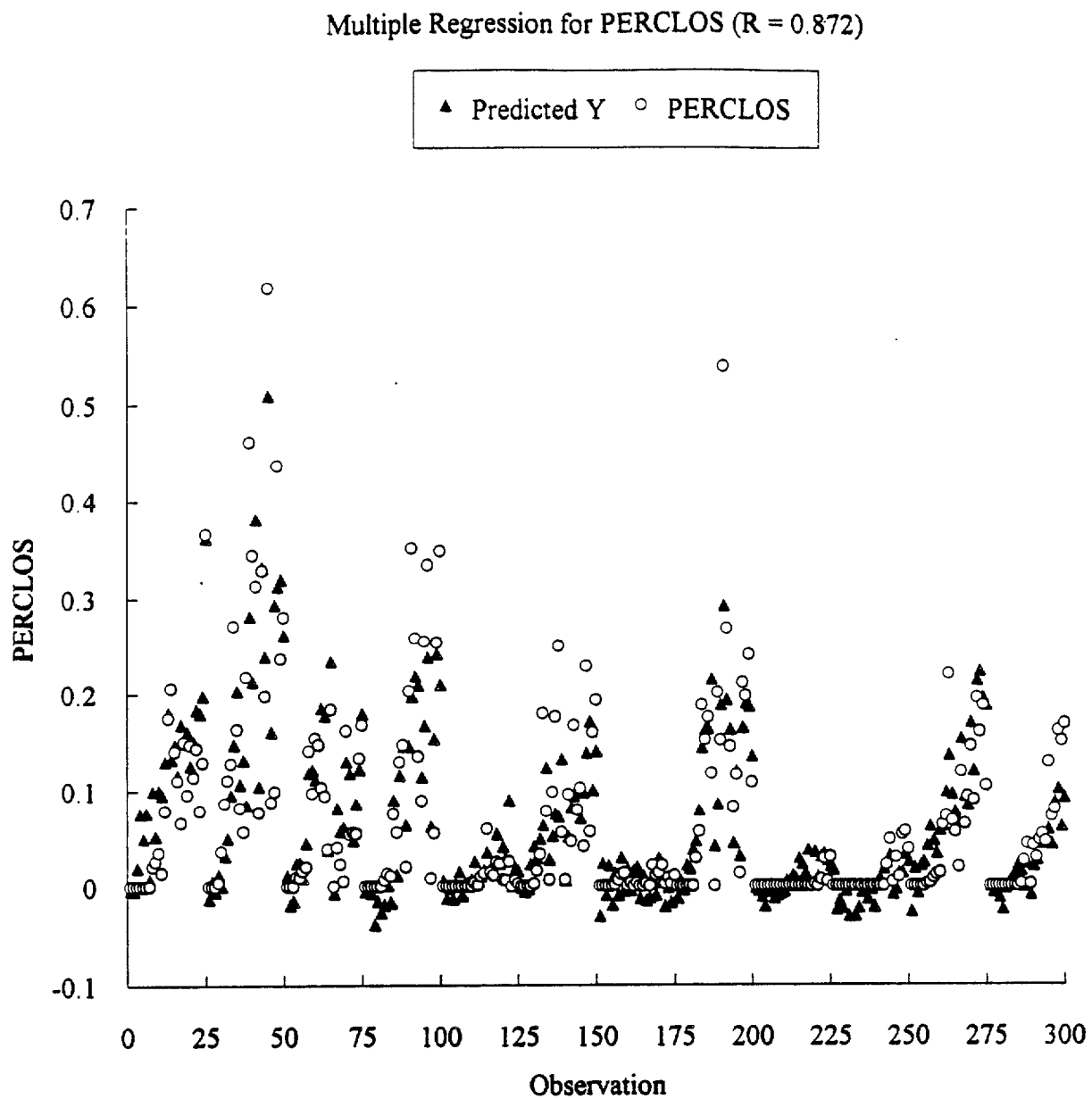


Figure 3. PERCLOS Values as a Function of Observation Interval (Predicted vs. Observed); 12 subjects, 25 observations per subject.

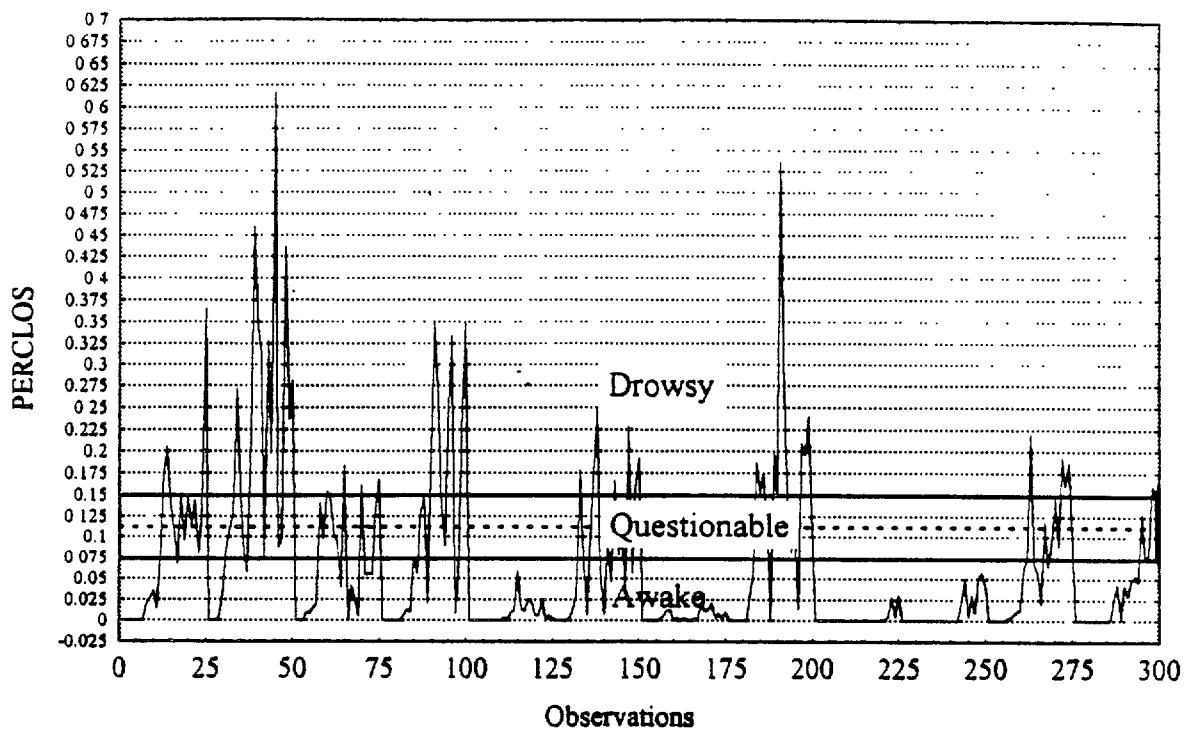


Figure 4. PERCLOS Values as a Function of Observation Interval With Upper and Lower Threshold Lines; 12 subjects, 25 observations per subject.

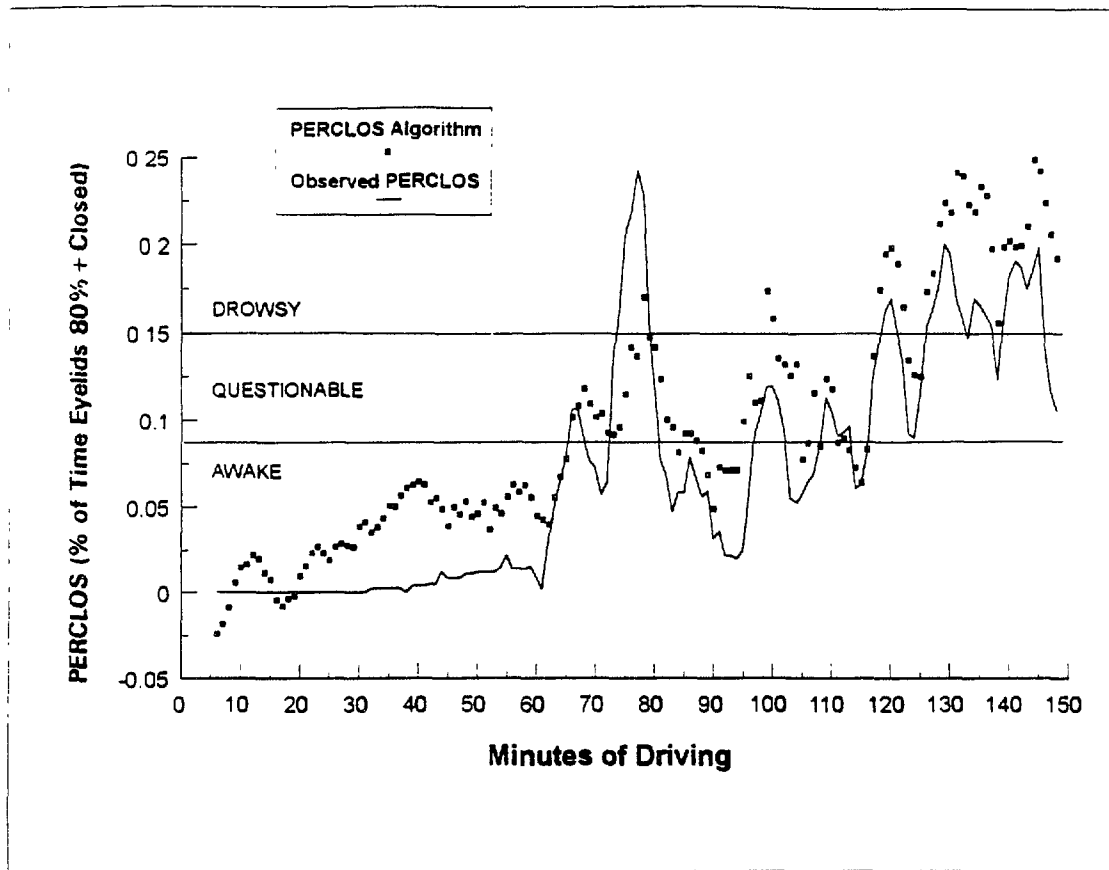


Figure 5. Progression of Drowsiness and Concordance of Predicted and Observed PERCLOS for a Sample Subject

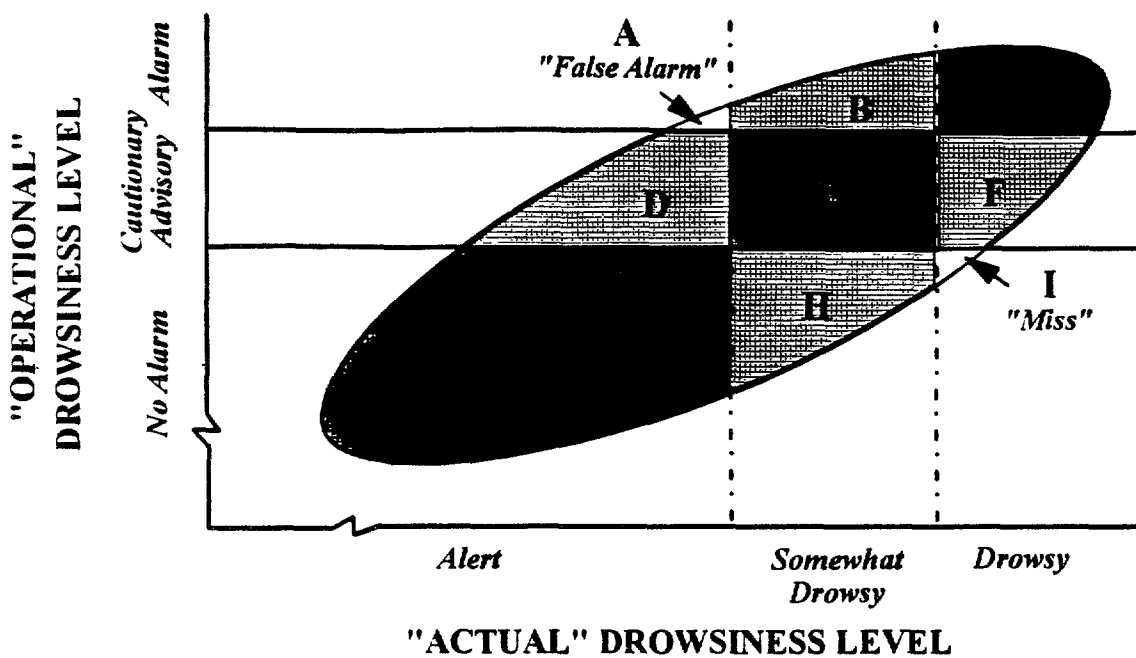


Figure 6. "Actual" and "Operational" Drowsiness Level: A Three-Level Decision Matrix