Final Report  
On  
Assessment of Fatigue in Train and Engine Employees of the Union Pacific Railroad in the San Antonio Area  

Patrick Sherry, Ph.D.  
University of Denver  
August 25, 2005
Executive Summary

This study was conducted with Union Pacific Railroad Train and Engine employees reporting for duty to the San Antonio Kirby Yard from November 3rd through November 8th 2004. During that time, questionnaire assessment of 283 Train and Engine employees occurred (out of a possible 356 who reported for duty), yielding a response rate of 79.5%. The sample consisted of 137 Engineers and 128 Conductors, 18 did not indicate their craft. In addition, in consultation with labor and management, a total of 40 Engineers and Conductors were identified from several Pools and Extraboards to wear Actigraphs during a 30 day period.

Results of the Epworth Sleepiness Scale, a self-report measure of sleepiness, indicated that a substantial portion of the respondents scored in the high to very high range for sleepiness (50.5%), while 49.5% of respondents scored in the normal range. Scores on this instrument were significantly higher than scores obtained by two other, previously studied, railroad locations.

Actigraph measurements were obtained for 30 study participants, out of the original 40, as a result of equipment malfunction and individual decisions to withdraw from the study. The results of the actigraph assessment indicate that the average amount of sleep per 24 hour period for the entire duration of the study, was 6.40 (±1.40) ranging from a low of 3.71 average hours of sleep to a high of 10.02. Also, averaging over the entire study period, 43.3% of the individuals averaged less than 6.0 hours of sleep per 24 hour period. An average however describes the central point between the extreme highs and lows of a set of observations. An examination of the actual frequency of the amount of sleep obtained per day indicates that on a daily basis participants obtained less than 6 hours of sleep 65.1% of the time and less than 5 hours of sleep about half (51%) the time. Thus, the average reflects the fact that participants slept longer on some days to recover from these deficits. While the average amount of sleep is 6.40hrs, about the same as the national average for shift workers, which is 6.50hrs (NSF, 2002), the data indicate that the chances were 6.5 out of 10, that on any given day, an Engineer and/or Conductor would get less than 6 hours of sleep. Further inspection of the data revealed statistically significant differences between the average amount of sleep obtained for various work groups. Members of the Conductors Extraboard (XT30) obtained significantly less sleep (t=3.28, df=7, p<.02) than that of the Engineer’s Extraboard (XE40) (5.45 hrs vs. 7.08 hrs respectively).

A number of conclusions were reached in this study:

1. Results of these analyses indicate that, on average, the San Antonio workforce was higher than a normal population with respect to self-reported sleepiness.
2. Results of these analyses indicate that, on average, the San Antonio workforce reported a significantly higher mean sleepiness score than Engineers and Conductors in Garrett Indiana or Galesburg Illinois (F(2,470)=5.084, p<.007) on the Epworth Sleepiness Scale.
3. Several work groups obtained sleep that was similar to that of shift workers in other industries (6.40hrs vs. 6.50hrs, respectively).
4. There was no indication that there was an excessive level of emotional distress in this particular workforce when using a standard instrument that has been used in other studies. However, some evidence suggests that Engineers experience higher levels of work-related stress as compared to Conductors.
5. Results of actigraph studies suggest that 65.1% of the time persons slept less than 6 hours per 24 hour period.
6. Study participants worked 6 days or more in a row with less than 6 hours of sleep per day 15% of the time.
7. Selected individuals in various Pools were found to sleep less than 4 hours per night 50% of the time that they were in the study.
8. Variability in average amount of daily sleep obtained was 1.28 hours for the study participants, which is a range of almost three hours.
9. Average differences in estimated versus actual departure time of almost 8 hours were present in the Houston Pool approximately 39% of the time.
10. There was no evidence that trip start times occurred disproportionately between the hours of 12 midnight and 5AM.

The following recommendations were offered:

- Railroads are encouraged to provide ten hours undisturbed rest for Engineers and Conducts as this appears to increase the likelihood of obtaining 8 hours of sleep per 24hr period.
- Supervisors may need to include instructions for napping in job briefings.
- Efforts should be made to limit the number of consecutive days that an employee works under a restricted sleep regimen.
- Adequate recovery time from sleep debt should be included in a work schedule.
- Additional resources may need to be made available for employees to be able to rest/sleep in the locomotive cabs.
- Further study of the accuracy and predictability of line-up information is needed.
- Considerations for the employee’s level of alertness throughout the duty period should be considered in on-call procedures.
- Further investigation of the impact of work stress and critical incidents on fatigue and alertness should be undertaken.
- A longitudinal follow-up study of the San Antonio work force should be conducted to monitor improvements and remedies and to measure changes over time.
# Table of Contents

Background ................................................................................................................................................. 8  
  Fatigue ...................................................................................................................................................... 8  
  Measures of Fatigue ................................................................................................................................. 9  
Methodology .................................................................................................................................................. 10  
  Procedures .............................................................................................................................................. 11  
  Study Participants ................................................................................................................................. 11  
Results of Self Report Measures of Fatigue ............................................................................................. 12  
  Epworth Sleepiness Scale ......................................................................................................................... 12  
  Pittsburgh Sleep Quality Index .................................................................................................................. 16  
  Emotional Distress .................................................................................................................................... 18  
  Additional Measures ............................................................................................................................... 19  
Results of Actigraphy Studies .................................................................................................................. 23  
  Individual Profiles .................................................................................................................................... 25  
  Sleep Debt ............................................................................................................................................... 27  
Lineup Accuracy .......................................................................................................................................... 29  
  Del Rio .................................................................................................................................................... 30  
  Houston .................................................................................................................................................... 30  
  Taylor-Hearne ......................................................................................................................................... 31  
  Laredo ..................................................................................................................................................... 33  
  Summary of Line-Up Analyses ................................................................................................................ 33  
Trip Start Times .......................................................................................................................................... 34  
Focus Groups ............................................................................................................................................. 35  
Discussion ................................................................................................................................................... 38  
Study Limitations ....................................................................................................................................... 42  
Conclusions ................................................................................................................................................ 43  
Recommendations ....................................................................................................................................... 44  
Glossary of Terms and Acronyms ............................................................................................................. 48  
References .................................................................................................................................................. 50
List of Figures

Figure 1. Distribution of San Antonio Epworth Scores................................................... 14
Figure 2. Epworth Scores of San Antonio and other locations........................................ 15
Figure 3. Distribution of Pool Epworth Scores............................................................... 15
Figure 4. Severity of Epworth Scores for Extraboard and Pool Employees.................... 16
Figure 5. PSQI Severity Classification............................................................................ 17
Figure 6. PSQI Scores for Craft and Assignment to Extraboard and Pool...................... 17
Figure 7. GHQ-12 Scores for San Antonio................................................................. 19
Figure 8. GHQ Scores for Craft and Extraboard Assignment......................................... 19
Figure 9. Average Daily Hours of Sleep for Study Participants from Actigraphs.......... 23
Figure 10. Average Hours of Sleep for Pool or Extraboard........................................... 24
Figure 11. Extraboard Conductor #1 Hours of Sleep per day................................. 25
Figure 12. Extraboard Conductor #2 Hours of Sleep per day..................................... 26
Figure 13. Pool Engineer Hours of Sleep per day....................................................... 26
Figure 14. Estimates of Sleep Debt.............................................................................. 27
Figure 15. Percentage of days with less than six hours of sleep..................................... 29
Figure 16. Del Rio Line up Estimates.......................................................................... 30
Figure 17. Houston Line-up estimates....................................................................... 31
Figure 18. Hearne Line-up estimates.......................................................................... 32
Figure 19. Laredo Line-up estimates............................................................................ 33
List of Tables

Table 1. Demographic characteristics of the participants in the study. .......... 11
Table 2. Participants in Pools and Extraboards.................................................. 12
Table 3. Epworth Cutoffs .................................................................................. 14
Table 4. Group comparisons on selected measures by Craft. ......................... 21
Table 5. Independent t-tests of selected variables by Assignment (Extraboard vs. Pool). ................................................................................................. 22
Table 6. Actigraph Average Hours of Sleep Descriptive Statistics by Pool or Extraboard (EB). ................................................................................................. 24
Table 7. Percentage of time sleep debt occurred in San Antonio data set. ....... 28
Preface

The present study was designed to provide a snapshot of the work, rest, and sleep activity of the San Antonio employees of the Union Pacific Railroad who reported to duty at the Kirby Yard Office during the week of November 3 – 8, 2004. The results of this study should in no way be construed to have a causal relationship with events or accidents that occurred prior to the time that the data was gathered.
Background

This project was requested and commissioned by the Federal Railroad Administration (FRA) and was conducted in San Antonio, Texas, to serve as a snapshot assessment of fatigue in the workforce of Train and Engine employees of the Union Pacific Railroad (UP) during early November 2004.

For the purpose of this report, the term ‘workforce’ pertains to Train and Engine employees located in the San Antonio area and not to employees associated with other crafts. As a point of reference, the “San Antonio area” refers to employees reporting for duty at the UP Kirby Yard and the South San Antonio Yard to work in the Laredo, Houston, Taylor-Hearne, and Del Rio Pools as well as the Northeast and Southeast Extraboards.

The question of the impact of operator fatigue on railroad safety has been a concern of the National Transportation Safety Board (NTSB) since 1989 (Sherry, 2003). The Association of American Railroads (AAR) began an in-depth study of fatigue issues in its industry in 1992 and the US Government Accounting Office (GAO) issued a report on the fatigue of railroad locomotive Engineers in 1992 that focused attention on the variability of work shift start times (GAO, 1992). The NTSB has urged the Federal Railroad Administration (FRA) to consider changes to the hours of service rules that affect railroad operating employees (Hall, 1998). The recent incident on June 28, 2004, involving the collision of UP freight train MHOTU-23 and BNSF Railway (BNSF) freight train MEAPTUL-126D has also raised questions about the fatigue of locomotive Engineers. According to the public hearing convened by the National Transportation Safety Board (NTSB, 2005) this collision resulted in the death of the UP Conductor, two nearby residents, and the treatment of more than 40 people at local hospitals for the inhalation of chlorine gas. Thirty-five freight cars (19 UP and 16 BNSF) and four UP locomotives derailed, resulting in the release of chlorine, a poisonous gas.

Since some concerns were raised by FRA about the possibility of fatigue in the Union Pacific (UP) workforce at San Antonio, the present study was undertaken in an effort to further understand the situation and to establish a protocol for assessing workforce issues concerning fatigue. The FRA asked the University of Denver team to conduct a survey designed to gather additional information on employee’s reports of fatigue.

Fatigue

The issue of fatigue is complicated and subject to considerable misunderstanding. Fatigue has been the subject of a number of scientific investigations and it should be noted that the term fatigue is one that most people can relate to. However, the definition of fatigue, from a scientific standpoint is somewhat less clear. Brill, Hancock, & Gilson (2003) described the lack of clarity in the definition of fatigue and the fact that it is still “unresolved at this time” (pg. 2). Sherry (2003) noted that in an attempt to understand fatigue, investigators have used several different measures including physiological,
behavioral, cognitive, and self-report of mood or subjective experience. Hancock & Verwey, (1997) have focused on the cognitive factors of attention and workload while others have prioritized circadian rhythm and shift work (e.g., Folkard, 1997; Lenné, Triggs, & Redman, 1997). Michielson, De Vries, Van Heck, Van de Vijer, and Sijtsma (2004) suggested that “due to complex interactions between physical and mental elements in task and job demands and consequences of effort, it is difficult to separate” the mental and physical components of fatigue (p. 40). A definition of fatigue has been offered by the Human Factors Coordinating Committee of the U. S. Department of Transportation (USDOT, 1999) such that, “Fatigue is a complex state characterized by a lack of alertness and reduced mental and physical performance, often accompanied by drowsiness”. Generally, fatigue in the railroad industry has been taken to mean that an individual suffers a loss of alertness, a loss of mental or cognitive capacity, and self-reports of sleepiness.

**Measures of Fatigue**

A variety of self-report measures have been developed to study fatigue, sleepiness, and alertness. These measures are easy to administer and readily accepted by study participants. The Stanford Sleepiness Scale, perhaps the most widely used measure of subjective sleepiness, (SSS; Hoddes, Zarcone, Smythe, Phillips, Dement, 1973) consists of seven statements ranging from “wide awake” to “cannot stay awake”. The scale has been validated against performance measures as a function of sleep deprivation.

Another widely used subjective self-report technique has been that of mood descriptors. The typical measure of this sort is one in which a series of adjectives, that indicate a variety of different mood states, are listed and then endorsed by a respondent if they are accurate. The Thayer Activation-Deactivation Adjective Checklist (Thayer, 1967, 1978) has been used extensively and consists of adjectives that describe both active arousal states as well as deactivation states. In addition, other adjective checklists have been used such as the Profile of Mood States (McNair & Lorr, 1964, 1971) and the Denver Adjective Checklist (Sherry, 2003).

Since there is no consensus regarding the definition of fatigue, researchers have taken to attempting to study the problem by considering it a multidimensional construct. However, this too has been questioned and Ahsberg (2000) determined that while there were a number of dimensions of fatigue in occupational samples there appeared to be a single dimension or latent construct that might simply be termed lack of energy. Interestingly, Maslach and Jackson (1984) defined a measure of emotional exhaustion in their work with human services professionals.

At any rate, most current thinking has attempted to address the role of sleep and restricted sleep on the development of a number of phenomena which are generally termed fatigue. When studying shiftwork, researchers typically include both objective and subjective measures thought to be related to the construct of fatigue. For example, previous studies of fatigue in the transportation industry (Wiley, 1996) have included measures of physiological processes, as well as subjective and objective measures. Van Dongen,
Maislin, Mullington, Dinges (2003) examined the differential effects of restricted work schedules on various indicators of fatigue using actigraphs, self-report sleep logs, and measures of cognitive performance, such as reaction time and visual tracking.

The use of physiological measures such as electroencephalogram (EEGs) or electrooculogram (EOGs) is difficult in a field setting due to the lack of controlled conditions and an environment adverse to the utilization of such sensitive equipment. Researchers have had more success with the use of actigraphy as a behavioral measure of activity which can be used to infer sleep and wakefulness. These devices, most commonly known as actigraphs, are small wrist-watch size devices that monitor activity and store data for over 60 days. Data from these devices are then available for analysis by standard statistical programs. Actigraph data have been used to obtain reliable and valid measures of sleep and sleep quality. (Sadeh, Alster, Urbach, & Lavie, 1989; Sadeh, A., Lavie, P., Scher, A., Tirosh, E., & Epstein, R., 1991). The use of actigraph data has been used to differentiate between normal and disturbed sleep-wake patterns of adults, young children, and infants and to assess changes in infant sleep following behavioral interventions. (e.g., Cole, Kripke, Gruen, Mullaney, & Gillin, 1992; Sadeh, Acebo, Seifer, Aytur, & Carskadon, 1995; Sadeh, Hauri, Kripke, & Lavie, 1995; Sadeh, Lavie, Scher, Tirosh, & Epstein, 1991; Sadeh, Sharkey, & Carskadon, 1994). Actigraphy measurements and sleep wake algorithms have also been validated by demonstrating significant correlations with polysomnographic measures (r=.90) (Cole-Kripke, et. al., 1992) as well as agreement on ratings of sleep-wake states ranging from 85% to 95% for both normal and clinical samples (Sadeh, Acebo, et al., 1995; Sadeh, Hauri, et al., 1995; Sadeh et al., 1991; Sadeh, Sharkey, Carskadon, 1994; Sadeh, Raviv, Gruber, 2000).

The present study was designed to utilize subjective self-report measures of fatigue and sleep as well as objective actigraphy to determine the perceptions of the UP workforce relative to fatigue in the San Antonio area.

Methodology

Following initial conversations with representatives of the FRA, the labor unions in the San Antonio area, and the officials of the UP the study was submitted to the Institutional Review Board (IRB) of the University of Denver. The research team obtained IRB approval of the protocol, methodology, and consent form administered to the potential participants.

It was determined that all of the train and engine road employees that were listed on the employee rosters were to be invited to participate in the study. These rosters were obtained jointly from representatives of the respective labor organizations [e.g., United Transportation Union (UTU) and Brotherhood of Locomotive Engineers and Trainmen (BLET)] and the cooperation of the officials of the UP. It was determined that as many as 356 employees from the Laredo, Houston, Del Rio, and Hearn Pools and Extraboards could have reported for duty at the Kirby Yard during the week that the researchers were on site administering the self-report measures and distributing the actigraphs.
**Procedures**

Participants were recruited to participate in the study when they reported for duty at the Kirby Yard November 3rd through November 8\textsuperscript{th} 2004. Accompanied by local labor representatives, researchers from the team were introduced to employees. These potential participants were given the consent form and a verbal explanation of the study requirements. Participants were then asked if they agreed to participate, and if so, were given instructions on how to complete the questionnaires.

**Study Participants**

As previously indicated, the participants for the current study comprise the workforce that operates out of the UP Kirby Yard in San Antonio Texas. This workforce consisted of a total of 356 possible employees who were eligible to report to duty at Kirby Yard November 3 through November 8, 2004. A total of 356 surveys were administered and 283 completed surveys were returned, yielding a response rate of 79.5%.

**Table 1. Demographic characteristics of the participants in the study.**

<table>
<thead>
<tr>
<th></th>
<th>Number of Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Gender</strong></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>283</td>
</tr>
<tr>
<td>Female</td>
<td>0</td>
</tr>
<tr>
<td><strong>Race</strong></td>
<td></td>
</tr>
<tr>
<td>Caucasian</td>
<td>178</td>
</tr>
<tr>
<td>African American</td>
<td>16</td>
</tr>
<tr>
<td>Hispanic</td>
<td>56</td>
</tr>
<tr>
<td>Asian-Pacific Islander</td>
<td>0</td>
</tr>
<tr>
<td>Native American</td>
<td>2</td>
</tr>
<tr>
<td>Other</td>
<td>5</td>
</tr>
<tr>
<td>Not Reported</td>
<td>26</td>
</tr>
<tr>
<td><strong>Craft</strong></td>
<td></td>
</tr>
<tr>
<td>Engineers</td>
<td>137</td>
</tr>
<tr>
<td>Conductors</td>
<td>128</td>
</tr>
<tr>
<td>Not Reported</td>
<td>18</td>
</tr>
<tr>
<td><strong>Job</strong></td>
<td></td>
</tr>
<tr>
<td>Extraboard</td>
<td>91</td>
</tr>
<tr>
<td>Other</td>
<td>149</td>
</tr>
<tr>
<td>Not Reported</td>
<td>43</td>
</tr>
<tr>
<td>Average Age</td>
<td>42</td>
</tr>
<tr>
<td>Average Years of Education</td>
<td>13.4</td>
</tr>
</tbody>
</table>
In addition to the completion of survey packets, 40 individuals were asked to wear actigraphs for a one-month period. Due to the expense of actigraph rentals, and the limited number of actigraphs available from the manufacturer, it was determined that the selection of forty participants would be the number that would be practical within budget constraints and allow a sampling of the different Pools and Extraboards. Following discussions with union and management officials, key Pools and Extraboards to be studied using the actigraphs were identified. The Pools and Extraboards were selected by a joint labor and management team based on the representativeness of the workload and the geographic distribution of the pools relative to the Kirby Yard. Actigraph participants were chosen to maximize variability in work schedules (one Pool turned on average every 24 hours while the Extraboard could turn every 8 to 10 hours). Participant selection criteria were based on being employed in a specific Pool or Extraboard, planning to work at least the next six weeks, willingness to wear the actigraph daily, and willingness to complete the research questionnaires.

Table 2. Participants in Pools and Extraboards

<table>
<thead>
<tr>
<th>Engineers</th>
<th>Conductors</th>
</tr>
</thead>
<tbody>
<tr>
<td>RE35 (Laredo): 5</td>
<td>RT32 (Laredo): 5</td>
</tr>
<tr>
<td>RE42 (Houston): 3</td>
<td>RT41 (Houston): 3</td>
</tr>
<tr>
<td>RE46 (Hearn): 1</td>
<td>RT45 (Hearn): 1</td>
</tr>
<tr>
<td>XE30 (Southeast Extraboard): 5</td>
<td>RT30 (Del Rio): 1</td>
</tr>
<tr>
<td>XE40 (Northeast Extraboard): 5</td>
<td>XT30 (Southeast Extraboard): 5</td>
</tr>
<tr>
<td>XT40 (Northeast Extraboard): 6</td>
<td></td>
</tr>
</tbody>
</table>

The Engineers and Conductors also completed a sleep log for thirty days. Activity was recorded hourly, 24-hours-a-day, using a simple legend: S: Sleep, W: Work, NWA: Non-Work Activity, N: Nap. Commute time was not recorded in this log. This information was used to confirm and clarify information that was downloaded from the actigraphs.

Results of Self Report Measures of Fatigue

Epworth Sleepiness Scale

The Epworth Sleepiness Scale (ESS; Johns, 1993) has been used extensively to assess level of daytime sleepiness. According to Gander, et. al. (2005), “It is accepted as reliable, internally consistent, and externally validated by comparisons with the clinical ‘gold standard’ sleepiness measure” (pg. 249). This questionnaire requires a respondent to rate the degree to which he or she is likely to fall asleep in eight different situations (e.g., sitting and talking to someone) using a four point Likert scale where 0=no chance of dozing and 3=high chance of dozing. Johns (1991) reported that the mean and standard deviation for a group of 30 normals was 5.9±2.2 with a range 2 to 10. In addition, the ESS total scores were significantly different between normal and the diagnostic groups such that patients with obstructive sleep apnea, narcolepsy and hypersomnia produced ESS total scores of 11.7±4.6, 17.5±3.5 and 17.9±3.1 respectively (Johns, 1991, pg 542). A score ranging between 1 and 6 indicates that a respondent is
getting enough sleep, a score of 7-8 is average and scores of 10 and above indicate that the respondent should seek the advice of a sleep specialist to determine if additional assessment is needed.

Thus, a score of 9 and below has been considered in the normal range because it falls within two standard deviations from the mean of the group on whom the instrument was normed. A score between 10 and 13 was considered borderline, and a score of 14 or greater was considered to be in the clinical range. According to Johns (1993) ESS scores are significantly correlated to the Multiple Sleep Latency Test (MSLT; Thorpy, 1992) a behavioral measure of sleepiness (r = -0.51, n = 27, p<0.01). In addition, factor analysis has shown that the ESS is a unitary scale with high internal consistency (Cronbach's alpha = 0.88) and good test-retest reliability over a period of 5 months in normal subjects (r = 0.82, n = 87, p<0.001).

A study by Bloch, Schoch, Zhang, & Russi (1999) reported the mean ESS score and standard deviation for a sample of 159 German normals and 174 patients with various sleep disorders. The mean score for normals was 5.7 ± 3.0 while for sleep disordered patients it was 13.0 ± 5.1, which was significantly different from the normal group (p<.0001). Cronbach internal consistency scores for the measure were α= 0.60 in normals, and 0.83 in patients. Kilkenny, Hajjar, Zyadeh, Chaftari (1999) found that a high ESS is helpful as part of the evaluation of sleep disorders such as obstructive sleep apnea (OSA). In another study by Parker (2000) there was little relationship found between scores on the ESS that were normal and the MSLT. Thus, low scores are inconclusive and the ESS alone cannot be used to rule out OSA. Overall, however, the data support the use of the ESS as a screening device for further assessment of sleep related disorders.

Finally, the ESS has been used to assess sleepiness and performance in such areas as academic performance, driver simulation exercises, and the effects of fatigue on resident-physicians’ professional lives and well-being. While high scores on the ESS have not been shown to be correlated with academic GPA in a population of college students (Howell, Jahrig, & Powell, 2004), a study with high school students (Shin, Kim, Lee, Ahn, & Joo, 2003) and medical students (Rodrigues, Viegas, Abreu, & Tavares, 2002) revealed that high scores on the ESS were significantly correlated with a decline in academic performance. A study on driving performance in narcoleptic subjects revealed a non-significant correlation between scores on the ESS and driving performance (Kotterba, Mueller, Leidag, Widdig, Rasche, Malin, Schultz, & Orth, 2004). However, a study using the York Driving Simulator with a population of healthy young adult females showed that objective and self-report sleepiness measures were equally effective in predicting driving ability, such that high ESS scores were correlated with driving impairment (Alloway, 2002). Similarly, high scores on the ESS (84% of participants scored in the clinical range) have been subjectively correlated with reduced participation in personal activities and has impacted ability to perform work in a study of resident-physicians (Papp, Stoller, Sage, Aikens, Owens, Avidan, Phillips, Rosen, & Strohl, 2004). In some cases then, high scores on the ESS are correlated with declines in performance.
For the present study the results for the ESS indicate that the mean for the entire San Antonio sample was 10.06±5.04. Based on published normative data then, these results suggest that the average study participant would likely be in the borderline-normal sleepiness range and in the clinical setting would warrant further study. The data presented in Figure 1 and described further in Table 3 indicate that a substantial portion of the San Antonio respondents are in the clinical range (21.3%), followed by borderline (29.2%), and normal (49.5%). Thus, these results suggest the presence of borderline and clinical sleepiness in the study participants.

### Table 3. Epworth Cutoffs

<table>
<thead>
<tr>
<th>Severity Category</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent a</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Normal (&lt;10)</td>
<td>137</td>
<td>48.4</td>
<td>49.5</td>
<td>49.5</td>
</tr>
<tr>
<td>Borderline (10 to 13)</td>
<td>81</td>
<td>28.6</td>
<td>29.2</td>
<td>78.7</td>
</tr>
<tr>
<td>Clinical (&gt;13)</td>
<td>59</td>
<td>20.8</td>
<td>21.3</td>
<td>100.0</td>
</tr>
<tr>
<td>N</td>
<td>277</td>
<td>97.9</td>
<td>100.0</td>
<td></td>
</tr>
<tr>
<td>Missing</td>
<td>6</td>
<td>2.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total N</td>
<td>283</td>
<td>100.0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Not including Missing data.

Comparisons of the Engineers vs. Conductors (see Table 4, page 21) and Extraboard vs. Pool (see table 5, page 22) show that for the San Antonio employees there is no
significant difference between crafts on the ESS, however there was a significant difference (see Figure 3) between employees on the Extraboard and those in Pools ($t=-2.34$, $df=(260,174)$, $p=.02$).

![Figure 2. Epworth Scores of San Antonio and other locations.](image)

Comparisons of results from two other railroad locations where Engineers and Conductors completed the Epworth (Garrett, IN N=66 and Galesburg, IL N=130; see Figure 2) indicate that San Antonio has a significantly higher mean score on the ESS than either of the other two locations ($F(2,470)=5.084$, $p<.007$).

As can be seen below in Figure 3 there is a significantly greater level of sleepiness in the Extraboard participants ($F(1,260)=5.51$, $p<.05$).

![Figure 3. Distribution of Pool Epworth Scores.](image)
The distribution of the Extraboard and Pool participants by severity of scores is displayed in Figure 4. As can be seen, a higher percentage of Extraboard respondents scored in the Clinical range. Slightly more than 57% of the Extraboard score in the Borderline to Clinical range as compared to 45% of the participants operating Pool turns. However, based on these scores, we surmise that a substantial portion of the employees in both the Extraboard and the Pool condition were excessively sleepy.

Figure 4. Severity of Epworth Scores for Extraboard and Pool Employees.

Pittsburgh Sleep Quality Index

The Pittsburgh Sleep Quality Index (PSQI; Buyesee, Monk, Reynolds, Berman, & Kupfer, 1989) was also administered to the San Antonio employees. The PSQI is a self-rated questionnaire which assesses sleep quality and disturbances over a 30-day period. This instrument is comprised of 19 items that produce seven "component" scores: 1) subjective sleep quality; 2) sleep latency; 3) sleep duration; 4) habitual sleep efficiency; 5) sleep disturbances; 6) use of sleeping medication; and 7) daytime dysfunction. These component scores are summed to produce a total score. The original validation study indicated that a global PSQI score greater than 5 had a sensitivity of 89.6% and specificity of 86.5% in distinguishing good versus poor sleepers. Results of a study by Fichtenberg, Putnam, Mann, Zafonte, & Millard (2001) determined that the instrument had good diagnostic utility in that the sensitivity and specificity rates for the diagnosis of insomnia were 93% and 100%, respectively, for a PSQI Global Score of greater than or equal to 8. In the present study scoring was modified slightly for railroad employees due to the fact that they do not have a standard bedtime. The Global PSQI score is calculated from seven different components comprising different items in the questionnaire. In the present study, the score for component 3 was set at 75% for overall amount of time in bed and could underestimate the possibility of insomnia. Similarly, the score for component 2 was set equal to item 5a due to the fact that railroad employees do not have a definite time for going to sleep which could also underestimate the presence of insomnia slightly. The average score for the San Antonio employees on the PSQI was 8.1±3.7, noticeably higher than the cutoff reported by the scale authors. The percentage of the population above the cutoff (>5) was 78.4% (see Figure 5a - Liberal Cutoff).
Similarly, the percentage of the San Antonio sample scoring above the more restrictive cutoff (>8) was 49.5% (see Figure 5b - Conservative Cutoff). Thus, the majority of the San Antonio Engineers and Conductors would likely be considered highly fatigued in comparison to normal and even clinical populations.

Additional comparisons suggested that the average score for the Extraboard was 8.88±3.8 while the average score for the participants in Pools was 7.80±3.44 (see Figure 6) which was statistically significant (F(1,263)=6.617, P<.05). Comparisons between Engineers and Conductors were also significant with Engineers scoring at 8.72±3.6 and Conductors at 7.58±3.54 ((F(1,263)=7.24, P<.01). Again, these results suggest a high level of sleepiness compared to a normal population.
Emotional Distress

It is sometimes argued that elevations on measures of fatigue are simply an artifact of the level of emotional distress (Harrison, Smith, & Sykes, 2002; Korszun, Young, Engleberg, Brucksch, Greden, & Crofford, 2002) that respondents are experiencing due to various factors, including those associated with their immediate work environment. To assess the possibility that level of emotional distress was also a factor in the experience of railroad employees in the San Antonio area a popular screening device designed to assess for the presence of emotional distress was administered.

A modified version of the General Health Questionnaire (GHQ-12; Goldberg, 1972), which was designed to detect the presence of emotional distress and has been used in several large scale epidemiological studies, was administered to the San Antonio employees. The GHQ-12 has been used to assess levels of depression, anxiety, sleep disturbance and happiness in the general population. A GHQ12 score of 4 or more indicates a high level of psychological distress. Hardy, Shapir, Haynes, & Rick (1999) used the Likert scoring method to validate the GHQ-12 on a sample of 551 National Health Services Staff workers and found that the mean GHQ-12 score was 1.27 (SD=0.52). Adlaf, Gliksman, Demers, and Newton-Taylor (2001) found that in a sample of 7800 college students that the average response was 1.045±1.05. The mean and standard deviation for the men in the sample was 0.96 ±.73. Research on the use of the GHQ-12 as a screening device for detecting mental and emotional disorders in various populations has determined that a difference cutoff is sometimes needed depending upon the population. For example, Hardy, Shapiro, and Haynes (1999) found that the cutoff score with the best Receiver Operating Characteristics (ROC; a graphical representation of the true positive and false positive rates for every possible cut off), of sensitivity of .69 and specificity of .88 was ¾. Meaning that the absence of mental problems was found if the score was below three and the presence was found if the score was above 4. The results of the GHQ-12 for the San Antonio sample was .88±.54, suggesting that the level of psychological or emotional distress for the population was within normal limits. It should be noted however, that while the population did not meet the criteria for overall emotional distress a total of 6.7% of the San Antonio population scored higher than either the college or the National Health Services worker norms. Comparisons between Engineers and Conductors as well as Extraboard and Pool indicated that there were no significant differences between these groups or the various locations or Pools that employees were assigned to on these measures.
Figure 7. GHQ-12 Scores for San Antonio.

Figure 8. GHQ Scores for Craft and Extraboard Assignment.

Additional Measures

Several additional findings from the self-report data are also worthy of note. These measures are in some cases single item measures (e.g., how many hours of sleep did you have in the last 24) that are not normally distributed. Different statistical tests are required for normal and non-normally distributed data. In many cases kurtosis and skewness are not viewed as major threats to the t-test if the two populations (for an independent samples test) are symmetrical and skewness is in the same direction. Unless otherwise noted, the variables studied were approximately normally distributed as determined by visual inspection of histograms, Q-Q plots, and measures of skewness and.
kurtosis. The following analyses used either the Student’s t-test, the Welch’s t, the Mann-Whitney or the Kolmogorov-Smirnov tests depending upon the characteristics of the distribution. As noted previously, significant differences were found between Engineers and Conductors on the PSQI but not on the Epworth (see Table 4). Significant differences existed between Extraboard and Non-Extraboard (Pool) employees on the Epworth (see Table 5) and the PSQI, suggesting higher levels of fatigue for Extraboard employees.

**Work Related Stress.** This scale consisted of four items measuring respondents’ perception of work related stress. A five point Likert response format was used (1= not at all/5 = very great degree). Reliability estimates were computed using Cronbach’s alpha which was determined to be .83. A slightly greater level of stress at work was obtained for the Engineers as compared to the Conductors \( t=2.255, \text{df}=(1,263), \ p<.025 \). No differences between groups were noted for Extraboard versus Pool employees.

**Unexpected Calls.** Engineers reported being called to work unexpectedly almost two times more frequently than Conductors (3.93 and 2.08 unexpected calls per week, respectively) which was a statistically significant difference using the Mann-Whitney \( p<.001 \).

**Self Report Hours of Sleep.** Respondents were asked to report the number of hours of sleep they had obtained in the last 24. There was a significant difference in the amount of sleep obtained between Extraboard (6.8 hours) and Pool (7.5 hours) \( t=2.01, \text{df}=1, 255, \ p<.019 \).

**Number of Shifts Worked.** Respondents were asked to report the number of shifts they had worked in the last 24 and 72 hours. Due to the non-normal nature of the distribution, non-parametric tests were used. Results indicated that significant differences were found between Engineers and Conductors on the Mann-Whitney test for shifts worked in the last 24 hours and for shifts worked in last 72 hours. In other words, Engineers reported working a slightly higher number of shifts than Conductors. This difference was more pronounced for Extraboard as compared to Non-Extraboard Pool employees as well.

**Number of Naps and Minutes Napped.** Respondents were asked to indicate whether they had napped during the last trip as well as during the last three trips and to report the average number of minutes they had napped. The number of naps and the number of minutes napped in the last three trips for Engineers and Conductors were found to be significantly different using the Mann-Whitney test \( p<.04 \). No differences were found between the Extraboard and Pool employees.
Table 4. Group comparisons on selected measures by Craft.

<table>
<thead>
<tr>
<th>Craft or Position</th>
<th>N</th>
<th>Mean (Engineer)</th>
<th>Std. Deviation (Engineer)</th>
<th>t Test (Engineer)</th>
<th>p&lt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Epworth</td>
<td>137</td>
<td>10.1387</td>
<td>4.96337</td>
<td>.65</td>
<td></td>
</tr>
<tr>
<td></td>
<td>125</td>
<td>9.8560</td>
<td>5.15361</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pittsburgh Sleep Quality</td>
<td>137</td>
<td>8.7132</td>
<td>3.57152</td>
<td>.01</td>
<td></td>
</tr>
<tr>
<td></td>
<td>125</td>
<td>7.5334</td>
<td>3.56171</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GHQ-12</td>
<td>136</td>
<td>.9305</td>
<td>.55382</td>
<td>.10</td>
<td></td>
</tr>
<tr>
<td></td>
<td>128</td>
<td>.8202</td>
<td>.52839</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work Related Stress</td>
<td>137</td>
<td>12.5036</td>
<td>4.51814</td>
<td>.03</td>
<td></td>
</tr>
<tr>
<td></td>
<td>128</td>
<td>11.3047</td>
<td>4.10791</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hours of Sleep in Last 24 hrs</td>
<td>134</td>
<td>7.1604</td>
<td>2.29301</td>
<td>.24</td>
<td></td>
</tr>
<tr>
<td></td>
<td>123</td>
<td>7.4715</td>
<td>1.92939</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Unexpected Calls in Last Week</td>
<td>130</td>
<td>3.93</td>
<td>3.25</td>
<td>.01 *</td>
<td></td>
</tr>
<tr>
<td></td>
<td>119</td>
<td>2.08</td>
<td>2.403</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average Hours of Sleep in the Past Week</td>
<td>130</td>
<td>6.19</td>
<td>1.619</td>
<td>.10</td>
<td></td>
</tr>
<tr>
<td></td>
<td>114</td>
<td>6.45</td>
<td>1.482</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Shifts in Last 24hrs</td>
<td>132</td>
<td>1.5227</td>
<td>.92022</td>
<td>.03 *</td>
<td></td>
</tr>
<tr>
<td></td>
<td>124</td>
<td>1.3427</td>
<td>.86100</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Shifts in last 72hrs</td>
<td>132</td>
<td>3.0076</td>
<td>1.49041</td>
<td>.14</td>
<td></td>
</tr>
<tr>
<td></td>
<td>123</td>
<td>2.7561</td>
<td>1.18281</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Naps Last Trip</td>
<td>132</td>
<td>1.1894</td>
<td>1.39318</td>
<td>.14</td>
<td></td>
</tr>
<tr>
<td></td>
<td>121</td>
<td>.9504</td>
<td>1.16083</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Naps in Last 3 Trips</td>
<td>132</td>
<td>3.0606</td>
<td>3.16652</td>
<td>.04 *</td>
<td></td>
</tr>
<tr>
<td></td>
<td>122</td>
<td>2.3607</td>
<td>2.66618</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average # Minutes Napped</td>
<td>131</td>
<td>19.8397</td>
<td>24.4297</td>
<td>.41 *</td>
<td></td>
</tr>
<tr>
<td></td>
<td>121</td>
<td>21.0083</td>
<td>36.1993</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: Unless otherwise noted the variables studied were approximately normally distributed as determined by visual inspection using histograms and Q-Q plots as well as skewness and kurtosis.

* Test of significance using the Mann-Whitney U test.
Table 5 presents a similar comparison of Extraboard vs. Pool employees.

Table 5. Independent t-tests of selected variables by Assignment (Extraboard vs. Pool).

<table>
<thead>
<tr>
<th>Variable</th>
<th>Extraboard</th>
<th>Pool</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>t Test</th>
<th>p&lt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Epworth</td>
<td></td>
<td>Pool 171</td>
<td>9.4737</td>
<td>4.86683</td>
<td>.020</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>91</td>
<td>10.9890</td>
<td>5.16719</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pittsburgh Sleep Quality</td>
<td></td>
<td>Pool 174</td>
<td>7.7919</td>
<td>3.43</td>
<td>.01</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>91</td>
<td>8.99</td>
<td>3.88</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GHQ-12</td>
<td></td>
<td>Pool 173</td>
<td>.8650</td>
<td>.55134</td>
<td>.41</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>91</td>
<td>.9240</td>
<td>.55106</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work Related Stress</td>
<td></td>
<td>Pool 174</td>
<td>11.8966</td>
<td>4.33439</td>
<td>.61</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>91</td>
<td>12.1868</td>
<td>4.57508</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hours of Sleep in Last 24 hrs</td>
<td></td>
<td>Pool 168</td>
<td>7.5060</td>
<td>2.01491</td>
<td>.02</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>89</td>
<td>6.8652</td>
<td>2.19344</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Unexpected Calls in Last Week</td>
<td></td>
<td>Pool 163</td>
<td>2.88</td>
<td>3.331</td>
<td>.02a</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>86</td>
<td>3.51</td>
<td>2.873</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Shifts Worked in Last 24hrs</td>
<td></td>
<td>Pool 166</td>
<td>1.3434</td>
<td>.91760</td>
<td>.01a</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>89</td>
<td>1.6124</td>
<td>.81795</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Shifts Worked in Last 72hrs</td>
<td></td>
<td>Pool 166</td>
<td>2.6928</td>
<td>1.31962</td>
<td>.01</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>88</td>
<td>3.2500</td>
<td>1.29765</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Naps Last Shift</td>
<td></td>
<td>Pool 164</td>
<td>1.0366</td>
<td>1.32411</td>
<td>.56</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>89</td>
<td>1.1348</td>
<td>1.22652</td>
<td></td>
<td></td>
</tr>
<tr>
<td># Naps in Last 3 Trips</td>
<td></td>
<td>Pool 164</td>
<td>2.7012</td>
<td>3.11178</td>
<td>.99a</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>89</td>
<td>2.7079</td>
<td>2.60333</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average Minutes Napped</td>
<td></td>
<td>Pool 162</td>
<td>21.0556</td>
<td>33.3516</td>
<td>.70a</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Extraboard</td>
<td>89</td>
<td>19.4944</td>
<td>24.98232</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: Unless otherwise noted the variables studied were approximately normally distributed as determined by visual inspection using histograms and Q-Q plots as well as skewness and kurtosis. 

a Test of significance using the Mann-Whitney U test.
Results of Actigraphy Studies

The use of Actigraphy as a means of determining a person’s level of activity as well as sleep is common practice. The present study sought to determine the amount of sleep obtained by a sample of 40 railroad Engineers and Conductors who were asked to wear actigraphs for a total of 30 days. Actigraphs for the present study were obtained from Ambulatory Monitoring, Inc. of Ardsley New York. The devices were initialized for data collection utilizing the zero-crossing mode with a 60-second sampling rate (epoch length). Actigraph results for the entire sample are displayed in Figure 9. Useable data were obtained for only 30 study participants due to missing data, equipment malfunction, withdrawal from the study.

Figure 9. Average Daily Hours of Sleep for Study Participants from Actigraphs.

The average amount of sleep per 24 hour period for the entire group of 30 individuals was 6.41±1.40 ranging from a low of 3.71 average hours of sleep per 24 hour period to a high of 10.02 hours of sleep. Careful examination of the sleep logs, questionnaire, and interview data suggest that the unusually high number of hours of sleep for one individual (average of 10.02) may be due to the use of certain prescribed medications. The low score of one individual at the other end of the distribution may be due to the presence of an undiagnosed sleep disorder that the participant expressed concerns about. Removing these two cases from the sample changes the mean of the distribution to 6.28 ± 1.25. However, completely removing them from the analysis seems inappropriate as they are members of the workforce.
Using this method then we estimate that as many as 43.3% of the individuals averaged less than 6 hours of sleep during the assessment period. The average amount of sleep for the Pool and Extraboard actigraph wearers is listed in Table 6.

Table 6. Actigraph Average Hours of Sleep Descriptive Statistics by Pool or Extraboard (EB).

<table>
<thead>
<tr>
<th>POOLS</th>
<th>N</th>
<th>Mean</th>
<th>Std. Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laredo-Eng (RE35)</td>
<td>5</td>
<td>6.9520</td>
<td>1.40981</td>
</tr>
<tr>
<td>Houston-Eng (RE42)</td>
<td>2</td>
<td>7.1850</td>
<td>.71418</td>
</tr>
<tr>
<td>Hearn-Eng (RE46)</td>
<td>1</td>
<td>3.7100</td>
<td>.</td>
</tr>
<tr>
<td>DelRio-Cond (RT30)</td>
<td>1</td>
<td>7.0300</td>
<td>.</td>
</tr>
<tr>
<td>Laredo-Cond (RT32)</td>
<td>3</td>
<td>6.1600</td>
<td>1.05702</td>
</tr>
<tr>
<td>Houston-Cond (RT41)</td>
<td>2</td>
<td>6.5450</td>
<td>1.74655</td>
</tr>
<tr>
<td>Hearn-Cond (RT45)</td>
<td>1</td>
<td>5.4900</td>
<td>.</td>
</tr>
<tr>
<td>EXTRABOARDS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Engineer-EB (XE40)</td>
<td>4</td>
<td>7.0825</td>
<td>.59673</td>
</tr>
<tr>
<td>Engineer-EB (XE-30)</td>
<td>4</td>
<td>7.3975</td>
<td>2.08031</td>
</tr>
<tr>
<td>Conductor-EB (XT30)</td>
<td>5</td>
<td>5.4483</td>
<td>.83741</td>
</tr>
<tr>
<td>Conductor-EB (XT40)</td>
<td>2</td>
<td>5.0950</td>
<td>1.18087</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>6.4094</td>
<td>1.40447</td>
</tr>
</tbody>
</table>

Figure 10. Average Hours of Sleep for Pool or Extraboard.
Before interpreting Figure 10 please note the sample sizes for the various Pools and Extraboards listed in Table 6. This bar chart indicates that the average amount of sleep obtained by the XT30 Conductors Extraboard (5.45 hrs) group is significantly lower ($t=3.28$, $df=7$, $p<.02$) than that of the XE40 Engineer’s Extraboard (7.08 hrs) group. Furthermore, persons in the Conductors Extraboard XT30/40 had a significantly lower ($t=-3.05$, $df=13$, $p<.01$) average of about 5.35 hours of sleep per night in a 30 day period as compared to 7.24 hours of sleep for the Engineer Extraboard (XE40). The RE35 group obtains an amount of sleep, on average, that is consistent with what most workers in the US obtain (NSF, 2005). The average amount of sleep obtained by the RT32 and RT45 groups are closer to what one would expect from shift workers working a midnight shift. Thus, eight out of eleven work groups were found to obtain amounts of sleep about equal to or less than shift workers in other industries (NSF, 2002). However, RT45, XT30, XT40, and RE46 averaged less than 6 hours of sleep per night increasing the likelihood of a sleep debt being built up in these groups.

**Individual Profiles**

Three individual work schedule profiles, that are representative of the larger group of participants, have been selected for review. The first is the profile of a Conductor on the Extraboard, as can be seen from Figure 11, it is clear that this individual obtained an average of only $4.83\pm1.92$ hours of sleep during the 26 days that this individual wore the actigraph. Please note that while the actual study period was 30 days individual participants wore the actigraphs for a greater or lesser number of days depending on their work schedule. For example, if a person returned to the Kirby Yard office one or two days prior to the end of the study period the individual may have turned in their actigraph at that time. Similarly, in the next two profiles the individual was assigned first one watch, and then a second due to mechanical problems with the actigraph. This individual wore the first watch for a 14 day period and then a second for a 16 day period. So, in some cases, the actual data profiled may not be a full thirty days. Note that the standard deviation is 1.92 or a little over one and three quarters hours. Thus, the person is occasionally going with as little as 2.9 hours of sleep or as much as 6.75 hours of sleep. Overall, however, this individual slept less than 6 hours per night 61.5% of the time and 30% of the time he obtained 4 hours of sleep per night or less.

![Figure 11. Extraboard Conductor #1 Hours of Sleep per day.](image-url)
Another participant, also an Extraboard Conductor, pictured below, averaged 4.76 hours of sleep with a standard deviation of 2.62. Both of these individuals from the Extraboards would be likely to have a noticeable sleep debt. The participant in Figure 12 paid back a sleep debt on the fourth day of the study, but no evidence of pay back or recuperation is present during the remaining 10 days of the study period. This individual slept less than 6 hours per night 71% of the time and 50% of the time he obtained 4 hours of sleep per night or less.

![Extraboard Conductor Hours of Sleep per day.](image1)

A profile from a Pool Engineer is depicted in figure 13, as can be seen this person slept an average of 6.86±2.35 hrs per 24hr period. Note that despite the higher average number of hours of sleep, this person has a variability of 2.35 hours. Nevertheless, this person appears to have been able to have repaid his/her sleep debt on several occasions. This individual slept less than 6 hours per night 35% of the time and 20% of the time he obtained less than 4.5 hours of sleep per night.

![Pool Engineer Hours of Sleep per day.](image2)
From these data it is apparent that even in a Pool with a higher overall average amount of sleep, there are several occasions where the persons are operating on severely limited amounts of sleep. Moreover, the variability in the amount of sleep, at least for the individuals studied, ranged from a low of 1.9 to a high of 2.6, producing a three hour range of sleep variability per day.

Sleep Debt

A sleep debt is thought to occur if a person obtains 6 hours of sleep or less and does not have a full night’s sleep the following day to recover (Van Dongen, Rogers, & Dinges, 2003). In a recent study Van Dongen, Maislin, Mullington, and Dinges, 2003 concluded that, “Since chronic restriction of sleep to 6 h or less per night produced cognitive performance deficits equivalent to up to 2 nights of total sleep deprivation, it appears that even relatively moderate sleep restriction can seriously impair waking neurobehavioral functions in healthy adults”.

Examining the 770 work days available in the data collected in the San Antonio study, and the number of days for which persons could have had consecutive nights with less than 6 hours of sleep plus a recovery day, we can estimate the amount of time people are operating with a sleep debt and the severity of the sleep debt. This is done by dividing the number of times individuals had sets of consecutive days with less than 6 hours of sleep by the same number of consecutive days plus a recovery day.

Taking the frequency of average time slept per day across the 770 days recorded by actigraphs we found that 65.1% of the time participants obtained less than 6 hours of sleep per day. This is slightly different, but not inconsistent with, the finding reported earlier that the average amount of sleep per 24 hour time period was 6.41 and that 43.3% of the individuals obtained less than 6 hours of sleep, because the distribution is skewed. In other words, the average takes into account the high and the low amounts of sleep and determines a point of central tendency. The percentage of days that individuals slept less than 6 hours per day is different than the percentage of individuals averaging a certain amount of sleep over a period of time.

![Figure 14. Estimates of Sleep Debt.](image-url)
Table 7. Percentage of time sleep debt occurred in San Antonio data set.

<table>
<thead>
<tr>
<th>Number of Consecutive days</th>
<th>Number of times this set occurs</th>
<th>Percent set occurs out of number of possible sets</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 or more days &lt;6hrs</td>
<td>17</td>
<td>15%</td>
</tr>
<tr>
<td>5 days &lt;6hrs</td>
<td>10</td>
<td>8%</td>
</tr>
<tr>
<td>4 days &lt;6hrs</td>
<td>11</td>
<td>7%</td>
</tr>
<tr>
<td>3 days &lt;6hrs</td>
<td>20</td>
<td>10%</td>
</tr>
<tr>
<td>2 days &lt;6hrs</td>
<td>35</td>
<td>14%</td>
</tr>
<tr>
<td>1 day &lt;6hrs</td>
<td>501</td>
<td></td>
</tr>
</tbody>
</table>

*Note: Does not total 501 as cell numbers represent frequency of sets of consecutive days, not total numbers of days.

Table 7 indicates that approximately 15% of the time the average employee worked six consecutive days with less than six hours of sleep obtained during a 24 hour period. In other words, over a period of six days, if a person is obtaining six hours of sleep or less each night, the sleep debt would be unpaid and more sleep debt would accrue. Thus, this statistic represents the amount of chronic sleep debt that is present in this sample. Research cited earlier suggests that restricted sleep schedules of this sort have negative effects on cognitive performance.

The amount of time that individual employees obtain less than six hours of sleep is depicted in the following graph. In addition, the number of days that employees obtain less than 5, 4, 3, 2 and 1 hour of sleep respectively is also presented. This analysis indicates that almost 50% of the time railroad employees are working after having obtained less than 5 hours of sleep on a given day and 63% of the time with less than 6 hours of sleep.
Lineup Accuracy

Based on input from labor and management, it was decided that an examination of the accuracy of line-up information would be helpful. Accordingly, during the week that the research team was on site the labor representatives gathered the line-up information for two Pools. Line-up information contains the estimated departure time for a train crew or Pool turn. A Pool turn consists of an Engineer and a Conductor that are assigned to the next available departing train. Typically, a Pool turn assumes responsibility for the train traffic that appears at a terminal.

Engineers and Conductors consult the line-up to determine when they can expect to depart. In addition, they can look at the line up several hours in advance and hope to plan their activities such as eating, sleeping, running errands, and the like.

In addition to line-ups, information was available regarding when the employees actually signed in for duty and began their tour. Such information is then useful in determining when the person actually begins work and departs.

Line-up information was gathered every 4-hours for 28 consecutive hours, and then twice a day for each of the next three days. The data from the line-ups’ estimated departure times were compared to the Engineers’ actual departure times to determine how well Engineers could predict when to sleep and what their schedules would be. The comparisons were based on the estimated departure time of the first train out on the line-up available to the individual at the time they consulted it. Individuals were not matched to specific trains, rather, in our study individuals were expected to take the first train available. Based on this information, the following was determined:

![Percentage of Days With Less Than 6, 5, 4, 3, 2, or 1 Hours of Sleep](image)

**Figure 15. Percentage of days with less than six hours of sleep.**
Del Rio

- The estimated departure time was exact in one instance, and as far away as 49 hours and 33 minutes in another.
- The average estimated departure times ranged from 0:13:00 to 42:30:00.
- The estimated departure times were both earlier and later than the times the Engineers actually left.
- The estimated departure time was not consistently more accurate the later it was checked, indicating that there was little predictability based on the time the line-up was checked.
- The total average difference between actual and estimated departure times was 4:28:13.
- The frequency of the average time differences appears below:

![Frequency of Differences between Actual and Estimated Departure Times](image)

Figure 16. Del Rio Line up Estimates.

Houston

- The estimated departure time was as close as 7 minutes in one instance, and as far away as 21 hours and 10 minutes in another.
- The average estimated departure times ranged from 0:27:30 to 20:44:30.
- The estimated departure times were both earlier and later than the times the Engineers actually left.
- The estimated departure time was not consistently more accurate the later it was checked, indicating that there was little predictability based on the time the line-up was checked.
- The total average difference between actual and estimated departure times was 4:36:18.
The frequency of the average time differences appears below:

![Frequency of Differences between Estimated and Actual Departure Time - Houston](image)

**Figure 17.** Houston Line-up estimates.

**Taylor-Hearne**

- The estimated departure time was as exact in one instance, and as far away as 15 hours and 20 minutes in another.
- The average estimated departure times ranged from 0:15:00 to 13:25:00.
- The estimated departure times were both earlier and later than the times the Engineers actually left.
- The estimated departure time was *not* consistently more accurate the later it was checked, indicating that there was little predictability based on the time the line-up was checked.
- The total average difference between actual and estimated departure times was 3:15:34.
- The frequency of the average time differences appears below:
Figure 18. Hearne Line-up estimates.
Laredo

- The estimated departure time was as exact in one instance, and as far away as 20 hours and 30 minutes in another.
- The average estimated departure times ranged from 0:12:00 to 15:45:00.
- The estimated departure times were both earlier and later than the times the Engineers actually left.
- The estimated departure time was not consistently more accurate the later it was checked, indicating that there was little predictability based on the time the line-up was checked.
- The total average difference between actual and estimated departure times was 2:32:36.
- The frequency of the average time differences appears below:

![Frequency of Difference Between Estimated and Actual Departure Time Laredo](image)

Figure 19. Laredo Line-up estimates.

Summary of Line-Up Analyses

These analyses indicate that there is substantial variability in the accuracy of the estimated departure times for the four Pools studied. The average difference for the actual and estimated departure times for the Laredo Pool was 2h:32m:36s, for the Taylor-Hearne Pool 3h:15m:34s, for the Del Rio Pool 4h:28m:13s, and for the Houston Pool 4h:36m:18s. Interpreting these differences is speculative at this point. Logic suggests however, that the greater the magnitude of the difference the poorer the prediction. The data from the Del Rio Pool indicates that differences of 7 hours and 54 minutes or more occurred 39% of the time. Data from the Houston Pool indicates that differences of 6
hours and 33 minutes or more occurred 47% of the time. Data from the Laredo Pool suggests that inaccuracies as large as 4 hours or more occurred 39% of the time. Finally, data from the Taylor-Hearne Pool indicate that inaccuracies of 4:38 hours or more occurred 29% of the time. Clearly, an inaccuracy of more than 5 or 6 hours would make it difficult to plan a day's worth of activity. Additional problems occur if these inaccuracies involve shortening the anticipated amount of sleep that could be obtained.

These data are interesting in light of several studies that have looked at on-call work schedules. For example, Howard, Gaba, Rosekind, and Zarcone (2002) found that medical residents' daytime sleepiness, as measured by the MSLT, was at or below levels associated with clinical sleep disorders following on-call duty. In addition, Pilcher and Coplen (2000) found that on-call work assignments for 198 locomotive Engineers resulted in less sleep and poorer quality sleep than regular work assignments. In general, these data indicate that the study participants experienced variability in their start times as a result of being on call that ranged from 2.5 to over 7 hours. Thus, the findings noted earlier from the Epworth and the PSQI are not inconsistent with the results of previous studies that have documented increased sleepiness and lowered sleep quality for persons working irregular and on-call work schedules.

Trip Start Times

Shift start times were looked at for 6 different groups, including both Extraboards and Pools, to see if there were disproportionately more shift starts between the hours of midnight and 5AM. Shift information was collected from 12/17/04 through 2/16/05, for a total of 62 days. If the shift starts were evenly distributed throughout the 24 hour period, 20.83% of the start times would occur between midnight and 5AM.

The lowest percentage of start times between midnight and 5AM occurred on the XE40 Extra Board. There were 1800 total shifts from that board during the 62 days, with 297 of them starting between midnight and 5AM, or 16.50%. This is 4.33% lower than would be expected if the start times were evenly distributed. The results of a hypothesis test concerning the difference between the observed and the expected proportions was not significant (t=1.42, p<.16).

The XE30 Extra Board had the next lowest percentage of start times between midnight and 5AM. On this board, there were 1740 total shifts during the 62 days, with 310 of them starting between midnight and 5AM, or 17.82%. This is 3.01% lower than expected if the start times were evenly distributed. The results of a hypothesis test concerning the difference between the observed and the expected proportions was not significant (t=.98, p<.33).

Of the regular Pools, the Taylor-Hearne Pool, RE46, had the lowest percentage of start times between midnight and 5AM. During the 62 days, there were 1739 total shifts, with 312 of them starting between midnight and 5AM, or 17.94%. This is 2.89% lower than expected if the start times were evenly distributed. The results of a hypothesis test
concerning the difference between the observed and the expected proportions was not significant ($t=.94, p<.35$).

The Del Rio Pool, RE33, was the only other Pool with a lower percentage of start times between midnight and 5AM than expected. There were 1396 total shifts from that Pool during the 62 days, with 289 of them starting between midnight and 5AM, or 20.70%. This is 0.13% lower than expected if the start times were evenly distributed. The results of a hypothesis test concerning the difference between the observed and the expected proportions was not significant ($t=.04, p<.97$).

The Laredo Pool, RE35, had the highest occurrence of shifts starting between midnight and 5AM. During the 62 days, there were 1068 total shifts, with 260 of them starting between midnight and 5AM, or 24.34%. This is 3.51% higher than expected if the start times were evenly distributed. The results of a hypothesis test concerning the difference between the observed and the expected proportions was not significant ($t=-.92, p<.36$).

Overall, there were 7743 total shifts among all the Pools and Extraboards, with 1468 of them starting between midnight and 5AM, or 18.95%. This is 1.88% lower than expected if the start times were evenly distributed. The results of a hypothesis test concerning the difference between the observed and the expected proportions was not significant ($t=1.30, p<.19$). Therefore, there are not a disproportionately large percentage of shifts starting between midnight and 5AM. In fact, there are slightly fewer start times than would be expected, though it is relatively close to what would be expected if the start times were evenly distributed. During the time data was collected, the Laredo Pool had the highest chance of a start time between midnight and 5AM, and the two Extraboards had the least chance of starting during those hours.

**Focus Groups**

A total of six focus groups were held with employees reporting for work during the week that the investigators were on site. The individuals that were selected to participate in the focus groups were chosen on the basis of convenience so as not to disrupt railroad operations. Three weeks later, individual meetings were held with 10 railroad supervisors at various locations in the San Antonio area and similar questions were asked.

The individuals participating in the focus groups were not identified and no record was kept of their background or years of experience for confidentiality purposes. However, in order to put their comments in context, they were asked to identify their craft. They were also asked to complete the research questionnaire and sign the consent form. Persons who signed the consent form were invited to participate in the focus group.

The format of the focus groups followed the same procedure. Participants were asked five questions. Interviewers took note and listened to their answers. The five questions were:

1. What is your craft?
2. Describe your sleep patterns over the past few weeks.
3. What do you think is the main problem contributing to fatigue/scheduling issues?
4. What needs to be done to change the situation?
5. What are some other factors that might contribute to this problem?

The comments obtained are grouped into several themes and presented below.

**Work Load**

Focus group participants indicated that they felt that they would work as much as they could. Generally, they reported feeling that “it was a fight to get laid off”. The focus group participants also indicated that there was a feeling that if a person reported being “too tired you might get fired” suggesting that if they reported that they were too tired to work they might be disciplined and laid off. Many of the respondents working as Conductors felt that they were called as soon as their undisturbed rest was over. In reality, one person reported that while he might have eight hours off he might only get 3 or 4 hours of sleep. Several participants reported feeling “overworked” and particularly concerned about “rolling the board” (a practice of calling everyone on the board, regardless of seniority or order of readiness, to find someone willing to take a train). Some individuals, working as Conductors reported being able to get 10 hours undisturbed rest only when they had worked 12 hours or up to the limit imposed by the hours of service. One individual stated that the “frustration level has gotten to the danger point”.

Individuals on some of the boards reported never having their boards “rolled” and of having sufficient time to rest and recover. In addition, several individuals indicated that they were not concerned about fatigue as a problem. They reported that if you “focused on work alone” and didn’t try to do a lot of other things (e.g., social and family life) that there was sufficient time to obtain rest. This was repeated by several different individuals and indicates that some employees are not concerned about fatigue.

Thus, comments about fatigue were both pro and con. Despite the remarks of some individuals noted above, others indicated that they were comfortable with the situation and not concerned with fatigue. Thus, the impression that the interviewers formed was that the perception of fatigue problems were not necessarily widespread and may reflect individual preferences and differences.

**Causes of Fatigue and Scheduling Problems**

Many explanations were offered in an effort to explain the current situation. Several people commented on the need for more employees. They acknowledged that the UP had hired a number of people in the last few months but that it still took time to get them trained and ready to work independently. The presence of new hires in the workforce was also described as a source of stress due to the need to supervise the new workers to avoid being injured as a result of mistakes they might make.
Another source of fatigue was thought to be the line-ups. Several individuals commented on the fact that the line-ups were inaccurate and that the inaccuracies prevented them from being able to properly plan their rest periods. The comments were such that the line-ups were not updated in a timely fashion and that they contained trains that did not exist. These were common complaints.

Another theme that emerged from the comments was the notion that management viewed the employees as “robots” who were expected to work long periods of time without time off for families and social matters. One individual indicated that he had worked for 19 days straight and was having trouble getting time off.

Several individuals commented on the fact that fatigue and safety issues were not concerns until the Macdona accident occurred. According to comments that were made the young Conductor that was killed was well-liked and respected and his death was considered a tragedy.

**Suggested Remedies**

The most frequently heard suggestion was the desire that employees could lay off for 10, 12 or even 18-20 hours rest on a request basis. Apparently, the Engineers had a provision in their contract that allowed them to take 10 hours off undisturbed. This was not available to the Conductors at the time we were interviewing the San Antonio employees. The comment was made that “people need to kick more than 12 hours” suggesting that at times it is necessary, after working hard for several days, to take more time off than is available.

Regularly scheduled days off was another suggestion. Some people recommended a 7 and 3 work schedule, others a 6 and 4. The desire was to clearly have an alternative to the current situation. One individual commented that it would be desirable to “turn fast and then have a few days off”. The concern that a person “must call in sick to lay off” was heard. Again, the notion of scheduled days off was offered as a remedy to this situation.

Apparently, there are some financial incentives that work to increase the likelihood that employees will stay marked up for long periods of time. These incentives require a person to stay marked up for 15 days (on the Extraboard) in order to get a bonus. The suggestion was that if there was an incentive to work weekends or holidays that more people would be available.

Again, improving the accuracy of the line-ups was also a major suggestion. One person commented that “even when things change, keep the line-up updated”. Similarly, the need for more employees with better and longer training was also heard from several employees.
Focus Group Summary

These comments presented by members of the focus groups appear to be summarized in the following:

1. Some employees are working “on their rest” and thus are not able to obtain their rest.
2. Some employees are not experiencing unusual difficulties and felt that things were acceptable.
3. Some persons reported that the practice of “rolling the boards” created difficulty in obtaining adequate rest.
4. Some persons felt that there was a need for longer lay off periods on request (e.g., 10, 12, or even 18-20 hours undisturbed, as needed).
5. Some persons felt that there was a need for more employees.
6. Some employees reported that the line-ups were inaccurate and prevented them from being able to adequately plan their rest.
7. Some persons reported a need for longer and more in-depth training of new hires.
8. Some employees suggested that required and planned days off would be very beneficial.
9. Suggestions were made about having a 7 and 3 or a 6 and 4 work period.
10. Some employees indicated that financial pressures prevented them from laying off even when they were tired.

Discussion

The present study was designed to assess the current level of fatigue in the workforce of Engineers and Conductors in the San Antonio area. Results of these analyses suggest that, on average, the San Antonio workforce was higher than would be expected for a normal population with respect to self-reported sleepiness and significantly more elevated than that found in other, similar railroad employee populations. Extraboard employees scored significantly higher on measures of sleepiness and sleep quality compared to Pool respondents. Slightly more than 57% of the Extraboard scored in the Borderline to Clinical range on the ESS as compared to 45% for the Pools. It is not possible to determine the exact cause of this elevation.

Interestingly, seven out of eleven work groups were found to obtain amounts of sleep about equal to shift workers in other industries. According to the 2002 “Sleep in America Poll” shift workers average 6.5 hours of sleep in a 24-hour work day period (NSF, 2002) and report more difficulty falling asleep and not feeling refreshed upon waking compared to day workers. While these results are based on data obtained from San Antonio work groups (Extraboards and Pools), with varying numbers of participants, it should nevertheless be recognized that some of the work groups are, on average, reporting less than six hours of sleep per 24hr period. However, because this is an average, not all of the San Antonio Engineers and Conductors are experiencing a significant sleep debt. This notion was corroborated by comments from focus group participants. In fact, several comments were obtained which suggested that indeed the Engineers were able to
lay off for 10 hours undisturbed rest. At the present time all UTU employees are able to have 10 hours undisturbed rest following a work period. While some of the BLET groups have this option, not all have agreed to it, and discussions are currently underway for all BLET members to have this option. The present results suggest that the 10 hours undisturbed rest period may have contributed to higher levels of average hours of sleep in a 24hr period for some of the work groups. Further, it suggests that the provision of 10 hours undisturbed rest may be a useful counter measure for fatigue. At any rate, it suggests the need for further study of the work groups that are obtaining about the same amount of sleep as shift workers in other industries to determine what may be useful or effective practices in increasing the amount of sleep received.

One possible cause for elevations in sleepiness and fatigue might be high levels of emotional distress, which are often associated with changes in mood and difficulty sleeping. This hypothesis was tested, and there was no indication of an excessive level of emotional distress in this particular workforce as indicated by scores falling within the normal range on the GHQ-12, a standard instrument used for measuring overall emotional distress in other epidemiological studies. Engineers reported a statistically significant and slightly higher elevation on a measure of work related stress as compared with Conductors. Several participants in the focus groups did mention the death of a fellow employee (i.e. Macdona) and critical incidents that had occurred. These events were not described specifically but suggest that employees may be experiencing some distress related to the Macdona accident. Further investigation of this possibility may be warranted. Germain, Busse, Shear, Fayyad, & Austin (2004) noted that there is “growing evidence that comorbid sleep disorders including insomnia, nightmares, and sleep disordered breathing are frequent in a significant portion of PTSD [added - post-traumatic stress disorder] patients” (pg. 477). In other words, sleep disturbances and possibly sleep disorders are more likely to occur together in individuals who have had a traumatic experience such as a motor vehicle accident. Moreover, given the fact that the Macdona accident would qualify as a traumatic event, coupled with a perceived increase in safety related incidents in the San Antonio area in the months preceding this study, the possibility of heightened concerns over safety, and a possible increase in PTSD related symptoms associated with the critical incident (i.e., Macdona) may have contributed to sleep difficulties in the work force. Again, no data exists to support this hypothesis, but, further study may be warranted. There was no indication that there were high levels of emotional distress in the overall population, however, PTSD was not the focus of this investigation.

A considerable body of research on job stress and emotional exhaustion suggests that the degree of personal control an individual experiences plays a significant role in managing and dealing with job related stress. Theorell & Karasek (1996) have proposed a theory of job control and job decision latitude as significant variables determining ones level of stress and emotional exhaustion. A large scale European study showed a significant relationship between lack of control and increases in coronary heart disease, to the extent that workers in jobs that give them little latitude in decision-making had a 50 percent higher rate of coronary heart disease than those with high job control (Marmot, 1998). Again, these data provide suggestive evidence for the importance of predictability in start
times as an important component of psychological and physical health. While we may not be able to establish that there is a direct link between predictability and amount of sleep obtained, there is considerable evidence that lack of perceived control over work related tasks is associated with higher levels of distress which can also lead to feelings of exhaustion and fatigue.

Analysis of the actigraph results suggest that participants who wore actigraphs slept less than 6 hours 63% of the time per 24 hr period, as indicated when reviewing each individual actigraph report separately. The study began by distributing 40 actigraphs to participants who consented to participate in the study. Attrition, and technical problems with equipment, resulted in useable actigraph data for 30 individuals. Comparisons of the actigraph data by Pool or Extraboard revealed that the RT45, RE46, XT30 and XT40 work groups averaged less than six hours of sleep per night during the study period, indicating the likelihood that a sleep debt has built up in these Engineers and Conductors.

Examining the actigraphs of three select individuals from work groups obtaining above and below an average of six hours of sleep per night revealed that a participant from the Conductor’s Extraboard obtained only 4 hours of sleep a day approximately 30% of the time, another participant from the Conductor’s Extraboard slept less than 4 hours per night 50% of the time and a Pool Engineer slept less than 6 hours per night 35% of the time and less than 4.5 hours a night 20% of the time. An analysis of the complete actigraph data indicated that 65.1% of the time study participants obtained less than 6 hours of sleep per 24 hour period. Furthermore, 15% of the participants went 6 days or more in a row with less than 6 hours of sleep per day.

Variability in duration of sleep obtained was also assessed for individuals wearing actigraphs. Variability in the amount of sleep obtained for the entire sample was 1.40 and when corrected for persons suspected of medical diagnoses, the standard deviation was 1.25. In other words, variability in average daily amount of sleep obtained could fluctuate by 90 minutes more or less, yielding a range of almost 3 hours. This variability is of concern due to the likely decrease in both the quantity and quality of sleep. Lower sleep quantity and quality has been associated with poorer performance on cognitive tasks (Dinges, Pack, Williams, Gillen, Powell, Ott, Aptomwicz, & Pack 1997; Falletti, Maruff, Collie, Darby, & McStephen, 2003; Incalzi, Marra, Salvigni, Petrone, Gemma, Selvaggio, & Mormile, 2004).

Accuracy of line-ups was also found to vary considerably. Line up information gathered over a four and a half day period revealed that line-up inaccuracies of almost 8 hours were present in the Houston Pool at least 39% of the time. The most “accurate” line-up predictions occurred in the Taylor-Hearne Pool where inaccuracies of 4h:38m occurred 29% of the time. As noted above, several studies have demonstrated that uncertainty in ones work schedule, as well as being on-call, are related to fatigue and poorer sleep quality (Pilcher & Coplen, 2000; Howard, et. al., 2002). Clearly, planning one’s daily rest and activity would be difficult with these levels of uncertainty.
The results also indicated that Engineers reported being called unexpectedly over twice as many times as Conductors and also working more shifts than Conductors. Not surprisingly, this pattern held for the Extraboard as well who report working more shifts than Pool. Clearly, there are some differences between the work groups here which may be contributing to their ability obtain needed rest.

Line-up inaccuracies create difficulties for planning rest and sleep, as well as other social activities, and are likely further compounded by the interaction with the individual’s circadian rhythm. Monk & Folkard (1992) note that due to the fact that the circadian rhythms in REM sleep propensity continue to cycle to prior routines, the shift worker is often expected to work and be alert at times when the “circadian system is calling for sleep and asked to sleep when the circadian system is calling for wakefulness” (pg. 11). Thus, when line-ups are inaccurate, the individual must also take into account the fact that even though he or she is aware of the need to be rested at a later time, the body may not be willing to sleep. Consequently, the person, through no willful act, is unable to sleep prior to going on duty. Lengthening the off-duty time may be necessary in some cases, while shortening it may be required in others, to synchronize with the body’s natural sleep and wake cycle.

Among other things, circadian rhythms affect the likelihood that a person will be alert at certain times of the day. Accordingly, even though a person has been able to sleep for 8 hours after completing a tour of duty if they are called to report for duty 12 to 16 hours after having slept, they may be at the peak of fatigue levels during the middle and end of their work shift. While the present study did not obtain detailed work histories for all employees in the San Antonio area, further investigation of the extent to which employees work schedules are in conflict with circadian patterns and homeostatic pressures for sleep could be warranted. Depending on these findings, it may be necessary to adjust the order in which individuals are called for duty to take into account the likelihood that they will be rested and alert during their on-duty periods. Such a practice could go against the traditional seniority system in calling persons for duty. However, a system based on these principles was established and maintained for several years by the Canadian Pacific (CP) at their Calgary location.

Sherry (2000) reported that on the CP in Calgary employee work Pools were designed to minimize the likelihood that a person would be working in a time period that was in conflict with the propensity of their natural circadian rhythm to require sleep. So called “Protected Zones” were designed with the intent of minimizing the impact on a person’s natural circadian rhythm. These zones were thought to be the time at which the person would most likely be sleeping and therefore, the most likely time for a person to receive recuperative sleep. Conversely, these zones were also thought to be the times when individuals were most likely to be least alert when on duty and therefore to be avoided if at all possible. To prevent and protect employees from being on duty at a time during which they would usually be sleeping, employees who had not had at least 3 hours of rest during their recuperative period were required to complete their trip prior to the time of the Protected Zone. Thus, the Protected Zone was the time that was established as being the most likely recuperative period for the employee. While these practices may not be
entirely feasible in the US, the principles apply and possibly could be modified as general “calling principles.”

The present analyses did not find any evidence that railroad start times were disproportionately loaded towards the midnight to 5AM time period. Such a finding could have exacerbated the effects of the restricted sleep schedules that have been mentioned. This is useful information and suggests that indeed the work schedules and start times are distributed fairly evenly across the 24 hour day.

Data on napping by Engineers and Conductors suggests that Engineers reported significantly more naps than Conductors (see Table 4). Comments from employees in focus groups suggest that napping does occur on locomotives during duty. The UP health and safety staff reported that policies are in place to permit napping. In addition, written brochures and video tapes that have been presented to the employees discuss the appropriate use of napping as a fatigue countermeasure. However, if the employees are experiencing considerable sleep debts they may need to be encouraged to be more proactive in addressing potential sleep debt through napping. This may be even more important during times of high service demand. While UP has developed a napping policy the need for additional education for labor and management on improving the attitude towards sleep, fatigue, and napping may be needed. Since the UP has expended considerable time and resources in training and education of Train and Engine employees regarding fatigue issues, it may be that the railroad culture will need to be addressed regarding this practice. Training programs for supervisors have identified the signs and symptoms of fatigue. Nevertheless, in some cases managers and supervisors may need to include the instruction to nap as part of their safety job briefings in order to appropriately guide and direct employees to maintain high levels of alertness. Research has documented the benefits of napping as a means of increasing alertness and cognitive performance following sleep deprivation (Dinges, Whitehouse, Orne, & Orne, 1988; Neri, Oyung, Colletti, Mallis, Tam, & Dinges, 2002). According to UP health and safety staff materials (brochures and videos) concerning napping policies were distributed to supervisors recently. These materials were also sent to the research team. However, further study may be needed on how to increase the likelihood that the napping policy is maintained and used to effectively facilitate alertness and maximize performance.

**Study Limitations**

This study, like many field studies, has a methodology which, due to the fact that it is not conducted under controlled laboratory conditions, has limitations which prevent generalizations to a wider range of circumstances and conclusions.
Conclusions

1. Results of these analyses indicate that, on average, the San Antonio workforce was higher than a normal population with respect to self-reported sleepiness.
2. Results of these analyses indicate that, on average, the San Antonio workforce reported a significantly higher mean sleepiness score than Engineers and Conductors in Garrett Indiana or Galesburg Illinois ($F(2,470)=5.084, p<.007$) on the Epworth Sleepiness Scale.
3. Several work groups obtained sleep that was similar to that of shift workers in other industries (6.40hrs vs. 6.50hrs, respectively).
4. There was no indication that there was an excessive level of emotional distress in this particular workforce when using a standard instrument that has been used in other studies. However, some evidence suggests that Engineers experience higher levels of work-related stress as compared to Conductors.
5. Results of actigraph studies suggest that 65.1% of the time persons slept less than 6 hours per 24 hour period.
6. Study participants worked 6 days or more in a row with less than 6 hours of sleep per day 15% of the time.
7. Selected individuals in various Pools were found to sleep less than 4 hours per night 50% of the time that they were in the study.
8. Variability in average amount of daily sleep obtained was 1.28 hours for the study participants, which is a range of almost three hours.
9. Average differences in estimated versus actual departure time of almost 8 hours were present in the Houston Pool almost 39% of the time.
10. There was no evidence that trip start times occurred disproportionately between the hours of 12 midnight and 5AM.
Recommendations

1. **Railroads should be encouraged to provide ten hours undisturbed rest for Engineers and Conductors as it appears to increase the likelihood of obtaining 8 hours of sleep per 24hr period.**

   Data suggest that a majority of participants obtain an average of 6.4 ± 1.40 hours of sleep per 24 hour period. In other words, on the average, the group obtains the amount of sleep that most shift workers in the US obtain (6.5hrs, NSF, 2002). For example, the Engineer Extraboard (XE30) obtained on the average 7.39 hours of sleep and the Laredo Engineer Pool (RE35) obtained on the average 6.95 hours of sleep. Therefore, some of the work schedules and work arrangements in San Antonio are comparable to the rest of the US work force and would appear to be adequate. The 10 hours undisturbed rest afforded the Engineers appears to work well and seems to have provided them with sufficient time to average closer to 8 hours of sleep per 24hr period. Thus, the fact that not all of the work groups were below 6 hours of sleep per 24hr period suggests that practices in these operations may need to be emulated in other locations. These work schedules and arrangements should be studied and maintained.

   Several work groups appear to be well below what is commonly recognized as an adequate amount of sleep. Conductors working on the Extraboards are averaging considerably less than 6 hours of sleep (5.45h and 5.09h) per 24 hour period. These short (8hr) rest periods, when the person is called back to work immediately upon being rested, do not permit even the most limited attention to family, health, and social needs not to mention commute time. Opportunities to increase the amount of sleep obtained should be increased. Comments from study participants’ indicated a desire for periods of 10 hours undisturbed rest, if not greater.

2. **Supervisors may need to include instructions for napping in job briefings.**

   Many railroads have adopted a napping policy for employees on duty. Due to the high degree of sleep restriction being observed in the San Antonio population it is recommended that a more aggressive effort to encourage employees to nap may be needed. In other words, supervisors and dispatchers may need to be more proactive in advising employees of times when it is a good idea to nap. Given the railroad culture, which was noted in focus group comments, railroad employees may be reluctant to utilize napping opportunities. Supervisors may need to include instructions for napping in job briefings. For example, dispatchers are in a unique position to know that a crew will be placed in a siding. The dispatcher and supervisors should advise crews in advance of times for 30 – 40 minute naps and encourage them to use those opportunities.
3. **Efforts should be made to limit the number of consecutive days that an employee works under a restricted sleep regimen.**

The work schedule data suggest that a large number of employees are working several consecutive work days which may limit the opportunity to recover from sleep debts. While this is certainly needed in some emergency situations there may be a need to monitor the maximum number of days that an employee would be able to work getting less than 6 hours of sleep per night. The best research available at this point (Van Dongen, et. al. 2003) suggests that three days in a row obtaining less than five hours of sleep per night reduces a person's cognitive performance by over 10%, and over a period of four days, cognitive performance is decreased by over 15% from baseline. As mentioned above, 15% went 6 or more days with less than 6 hours of sleep, 8% went 5 days with less than 6 hours, and 7% went 4 days with less than 6 hours of sleep. Previous research suggests that restricted sleep schedules are associated with decreased cognitive performance. Therefore, efforts should be made to limit the number of consecutive days that an employee works under a restricted sleep regimen.

4. **Adequate recovery time from sleep debt should be included in a work schedule.**

Building upon the data presented in point number 3 above, persons working 4 or 5 consecutive 12 hour shifts may need to have a definite number of days off to recover from restricted sleep. One good example is the BNSF overlay program of 7 days on with 3 optional days off. This program could be optimized to include mandatory days off. However, the 7-3 schedule would work if the individual was able to obtain at least 6 hours of sleep per 24 hour period. If the individual goes below 6 hours of sleep per 24 hours, then the 3 days off might need to occur earlier – it might be useful to use a 6 and 2 or 5 and 2 schedule under these circumstances.

5. **Additional resources may need to be made available for employees to be able to rest/sleep in the locomotive cabs.**

Special equipment, such as reclining cab seats, could increase the likelihood that crews can obtain high quality rest if the opportunity arrives. For example, when crews have exceeded the hours of service, but have not been relieved from the train, opportunities and facilities for sleeping may be needed.

6. **Further study of the accuracy and predictability of line-up information is needed.**

While it may not be practical to improve this information at this time it should be acknowledged that the large discrepancies between anticipated and actual departure times create additional challenges for the work force. Developing a set of decision rules that can be used to decide whether or not a person should be
allowed to work may need to be put in place. A menu of rules that can be followed when selecting individuals for work should be developed. Specifically, the following may be needed:

a. A person is rested and ready for duty if all of the following are present:
   i. The person has had at least 6 hours of sleep in the past 24 hours.
   ii. The beginning of the work shift is not at the end of a 24 hour period in which the person obtained 6 hours of sleep or less.
   iii. The person who is being called for work has had a sufficient opportunity to obtain rest prior to the start of the work shift such that they are expected to work into a period of time where they will have been awake more than 19 hours.
   iv. The person being called for work is not expected to work into a period of time where they would have been awake for more than 20 hours without obtaining the necessary 6 hours of sleep in a 24 hour period.

7. Considerations for the employee’s level of alertness throughout the duty period should be considered in on-call procedures.

Decision rules that take into account the effects of time of day and circadian rhythms need to be incorporated into decisions to call and accept employees for duty. Consequently, decisions on calling people who are rested and available for work (“rolling the board”) should be based on the rules listed in item #6. Readiness for duty can not be determined simply by the amount of time off an employee has had. Considerations for the employee’s level of alertness throughout the duty period must be considered. A good example of the attempt to incorporate these facts into crew calling are those that were put in place in the original CANALERT project and then modified for more practical application on the Canadian Pacific in Calgary (as discussed in Sherry, 2000).

8. Further investigation of the impact of work stress and critical incidents on fatigue and alertness should be undertaken.

Conversations with employees in focus groups suggest that there was little awareness of the impact of critical incidents on psychological functioning and sleep disorders. This is not surprising due to the fact that only recently have researchers begun to report on these relationships. Nevertheless, in a high service demand situation with a fatality and additional safety concerns the interaction between stress and fatigue may be more pronounced. While speculative, this possibility warrants further consideration. At the very least, training and education efforts to address the possible symptoms and their effect on sleep may be needed.
9. A longitudinal follow-up study of the San Antonio work force should be conducted to monitor improvements and remedies and to measure changes over time.

Additional longitudinal measurements on sleep, fatigue, and napping of the San Antonio workforce are needed to draw firm conclusions on the impact of work/rest cycles on safety and performance. Without a properly designed longitudinal study monitoring the same individuals over time it will be difficult to determine if work/rest and operating practices changes (i.e. 10 hours undisturbed) have actually had the desired effect. The ideal control group would be the San Antonio work force studied over time and monitored repeatedly for changes in average amount of sleep, performance, and safety. Comparisons made over time, with the individuals themselves as controls, would offer the best measure of improved or diminished capacity associated with work schedules and fatigue.
Glossary of Terms and Acronyms

1. **Boxplot**: A boxplot plots the 25th percentile, the median (the 50th percentile), the 75th percentile, and outlying or extreme values. The length of the box represents the difference between the 25th and 75th percentiles. The horizontal line inside the box represents the median. The “Whiskers” are lines drawn from the ends of the box to the largest and smallest values that are not outliers. The extreme values are cases with the values more than 3 box-lengths from the 75th percentile or 25th percentile. The larger the box, the greater the spread of the data.

2. **Electroencephalogram (EEG)**: A recording of electrical signals from the brain made by hooking up electrodes to the subject's scalp. EEGs allow researchers to follow electrical impulses across the surface of the brain and observe changes over split seconds of time. In sleep studies, the EEG allows a researcher to determine how stages of sleep change during the night.

3. **Electrooculogram (EOG)**: Movement of the eye which allows a researcher to distinguish REM (rapid eye movement) sleep from non REM sleep using electrodes placed around the eyes.

4. **Epworth Sleepiness Scale (ESS)**: An instrument used to help determine the likelihood of falling asleep in certain situations. Scores can be used to help an individual determine if he or she needs to seek the advice of a sleep specialist.

5. **General Health Questionnaire (GHQ-12)**: An instrument used to assess levels of depression, anxiety, sleep disturbance, and happiness.

6. **Multiple Sleep latency Test (MSLT)**: A series of recordings to monitor a person’s sleep patterns. Electrodes are placed on the face and head to record eye movement, muscle tone, and brain waves. An MSLT is used to evaluate excessive daytime sleepiness and narcolepsy (sudden and uncontrollable onsets of sleep).

7. **Obstructive Sleep Apnea (OSA)**: A disorder in which a person experiences recurrent episodes during sleep when their throat closes and they cannot suck air into their lungs (apnea).

8. **Pittsburgh Sleep Quality Index (PSQI)**: A self rated instrument used to provide a brief, clinically useful assessment of a variety of sleep disturbances that might affect sleep quality. The PSQI differentiates “poor” from “good” sleep by measuring seven areas: subjective sleep quality, sleep latency, sleep duration, habitual sleep efficiency, and sleep disturbances, use of sleep medication, and daytime dysfunction over the last month.
9. **Rapid Eye Movement (REM):** A mentally active period during which dreams occur. REM gives scientists a marker for changes in the brain during sleep.

10. **Sensitivity:** The probability that a symptom is present or that the test is positive if the person truly has the disease or condition. This is also known as the true positive rate.

11. **Specificity:** The probability that a symptom is not present (or screening test is negative) given that the person does not have the disease. This is also known as true negative rate.

12. **Stanford Sleepiness Scale (SSS):** Rates an individual’s perception of sleepiness during the day on a scale from 1 to 7. A rating of one means the person is fully alert, while a rating of 7 means he or she is struggling to stay awake.
References


