

# FATIGUE MANAGEMENT POLICY



## Purpose

This purpose of this policy is to reduce risk to health and safety that are associated with working patterns, shift work and excessive working hours. It should be read in conjunction with the Company Working Hours Policy which defines the standards of conduct required by all employees of SCCS within the course of their employment (and more particularly sets out the Company's commitments to provide a safe and healthy workplace).

## Scope

This policy applies to all Company employees and any person acting as a representative of SCCS. References to high risk/Safety Critical Work requirements are (generally) specifically aimed at those engaged in rail activities. The scope of this policy includes controls for the management of fatigue & (when read in conjunction with The Working Hours Policy) control of working hours & exceedances

## Definitions

1. "Company" shall mean SCCS
2. "Senior Management Team" shall mean the Managing Director and such other senior personnel deemed applicable by the MD (such as the Operations Director and Sales Director)
3. "Exceedance" shall mean the exceedance of a working time limit
4. "Fatigue" shall mean a perceived state of weariness resulting from physical or mental exhaustion that can result from prolonged working, heavy workload, insufficient rest and inadequate sleep
5. "Safety Critical Work" shall mean work that, if completed incorrectly, endangers lives

## Relevant legislation and standards

1. Health & Safety at Work Act 1974
2. Management of Health & Safety at Work Regulations 1999
3. The Working Time Regulations 1998 (as amended)
4. HSG256 Managing shift work: health & safety guidance
5. HSG48 Reducing error and influencing behaviour
6. Network Rail Standard: NR/L2/OHS/003 (all applicable revisions and additions)- applicable to all personnel working in/on Network Rail infrastructure, assets & systems
7. Network Rail Standard: NR/L2/CPR/302- as applicable
8. Network Rail Standard: NR/L2/ASR/036- as applicable
9. S1552 QUENCH Contract Conditions
10. The Railways and other guided transport systems (safety) Regulations 2006 (ROGS)
11. The Rail Safety (Amendment) Regulations 2019
12. Such other legal standards and Network Rail guidance issued from time to time during the validity of this policy

## Aims & Commitments

1. Protection of employees and any person who may be affected by the actions or omissions of any authorised person acting on behalf of the Company in the pursuit of its business operations.

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2. Fostering of close working relationships which facilitate the monitoring of workload commitments to ensure:
  - a. The Company remain compliant with all applicable legislation standards
  - b. The Company remain compliant with all Network Rail Regulations and standards (client infrastructure requirements)
  - c. SCCS employees, authorised representatives and other applicable persons remain free from harm to themselves (and others)
3. Fostering of close working relationships (which facilitate the monitoring of workload activities) of those acting as an authorised representative of the Company.

## 1. Company Responsibilities

- 1.1 The Senior Management Team shall have overall responsibility for the implementation of this policy and its content
- 1.2 The Senior Management Team will cascade responsibility for monitoring working hours and fatigue via both HR resources and line managers as appropriate.
- 1.3 Management shall have responsibility for suitable and effective work planning to achieve their aims and the requirements of the remit of this policy.

## 2. Employee Obligations

- 2.1 Prohibited conduct & employee obligations can be viewed in the Company Working Hours Policy. These include (but are not limited to):
  - 2.1.i Not exceeding working hours unless feeling physically and mentally well and/or the exceedance is authorised by a line manager. Competence and safety must in no way be compromised.
  - 2.1.ii Exceedance must not exceed Working Time Regulation requirements as set out in the Working Hours Policy (unless an Opt Out Agreement has been entered into by the relevant parties). Such Opt Out must be entered into freely and without duress.
  - 2.1.iii Rail personnel must not exceed (current) permitted working patterns set out by Network Rail Managed Infrastructure
  - 2.1.iv Personnel are required to work as trained and in accordance with the remit of this and other Company policies.
- 2.2 Employees must speak to their line manager if they are feeling fatigued and/or overwhelmed at work so that a workload management plan can be agreed.

## 3. What does fatigue look like?

- 3.1 Workplace fatigue can manifest in many forms (not least of which may be stress). The following list is a non-exhaustive list of indicators that may suggest workplace fatigue:

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- 3.1.i General tiredness (especially if unable to shake that feeling)
- 3.1.ii Feeling weepy or out of control of workload
- 3.1.iii Inability to focus/concentrate on tasks
- 3.1.iv Feelings of anxiety/panic attacks
- 3.1.v Irritability that is not the norm
- 3.1.vi Memory difficulties that are not the norm
- 3.1.vii Drooping head or drooping eyelids
- 3.1.viii Incessant yawning
- 3.1.vix Impaired decision making
- 3.1.x Behavioural changes such as lateness or absenteeism

When assessing the fatigue of yourself or another it is recommended to use the Karolinska Sleepiness Scale. The result should be considered when planning your next step. The scale follows:

- 1 Extremely alert
- 2 Very alert
- 3 Alert
- 4 Rather alert
- 5 Neither alert nor sleepy
- 6 Some signs of sleepiness
- 7 Sleepy but no effort to keep awake
- 8 Sleepy, some effort to keep awake
- 9 Very sleepy, great effort keeping awake/fighting sleep

Fatigue can cause, or contribute to, potentially dangerous mistakes, violations (non-compliance with procedures), or omissions that create a safety risk not only to the individual but to others.

Fatigue can result in slower reactions, reduced ability to process information, memory lapses, absent-mindedness, decreased awareness, lack of attention, underestimation of risk.

Human failure is normal and predictable. It can be identified and managed.

## 4. Understanding the causes of fatigue

Many factors can cause fatigue and it is important to have an awareness of factors which can lead to fatigue thus creating a safety risk. Factors could include:

- Workload pressures
- Design of the job to be undertaken. For example, task(s) might be machine based, complex or even monotonous.

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- The working environment (which may restrict or hamper ability to perform required work activities or even cause discomfort such as hot working environments)
- (Long) working hours
- Non-standard work schedules- such as night *shift working*
- Inadequate breaks planned for and/or taken
- Personal health which impacts on ability to perform task(s). This could be illness, ongoing medical conditions, physical or mental disability or the taking of medications
- Lack of sleep of individual carrying out task(s) which may affect an individual's internal body clock
- Social considerations (asking a night owl individual to undertake early morning tasks where there may be a higher safety risk attached)
- Some workers may be considered vulnerable (higher risk of fatigue). An example might be a new or expectant mother, a young or older worker.

This list is not exhaustive.

A poorly designed activity could be prone to a combination or risk factors and more than one solution may be necessary to effectively plan works. Planning should be undertaken in a collaborative manner taking into the account the individual (carrying out the work).

*Shift working* is generally considered to be work activities scheduled outside of standard daytime hours (usually with a handover from one individual to another).

## 5. Planning (to avoid fatigue)

### General

When undertaking working tasks, it could be easy to proceed without giving too much thought to planning that activity, especially familiar tasks. The greater the safety risk attached to a task the more important it is to consider proper planning.

Planning may take many forms, but suggested considerations might include:

- Consideration of mental & physical demands (individual occupational health needs)
- The work environment (space, thermal comfort, cleanliness) and facilities for welfare
- The nature of the task (rotation of tasks, is it active or sedentary, pace of work, deadline, appropriate tooling and equipment, appropriate and available personal protective equipment)
- Working hours pattern (including any requirements outside of the working norm of an individual)
- Suitable and sufficient human resource allocation to a task

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- Provision for adequate (and legal) breaks/rest periods
- Competence training and instruction
- Clear communication regarding task requirements including the ability of individual to freely discuss and provide input into the planning of requirements
- Safe systems of working (pursuant to any risk assessment, policy or recorded safe system of work, or site safety requirements at non-Company premises). Consider whether it may be possible for undesirable shortcuts to be taken. How can this be avoided?
- Utilise Company Health & Safety competence to assess inherent risks to tasks (as may be appropriate) and carry out *specific* risk assessment as well as fatigue risk assessment where/as required.
- Where a working time exceedance situation is unavoidable follow the correct process as set out below. The aim should always be to plan work so that exceedances are not required. They should be exceptional occurrences rather than a norm.
- Utilise Company Health & Safety competence to assess inherent risks to tasks (as may be appropriate) and carry out *specific* risk assessment as well as fatigue risk assessment where/as required.

Whenever fatigue is suspected at a scale of 6- 9 on the “Karolinska Sleepiness Scale” consideration shall be given to suspending or halting the task in question (depending on the circumstances) to assess safety implications and suitable solutions. Those operating at level 8 or 9 shall generally be expected to immediately halt work and refer to the Company Health & Safety Manager.

When making an action plan for fatigue management consideration should be given to:

- Prevention of personnel from carrying out or continuing to carry out high-risk work activities where there is reason to believe that person is unfit to do so (due to fatigue).
- Assessment of the reason for fatigue to prevent future occurrences.
- Application of suitable and sufficient control measures before allowing an individual to recommence work- particularly high-risk activities.
- Utilise Company Health & Safety competence to assess inherent risks to tasks (as may be appropriate) and carry out *specific* risk assessment as well as fatigue risk assessment where/as required.

### Rail

In addition to the general planning considerations set out above Network Rail standard NR/LS/OHS/003 (as amended from time to time) sets out “trigger conditions” which require mitigating actions to be taken (for any personnel engaged in rail activities). Whilst not all those activities will be relevant to the type of activities undertaken by Company personnel (or Company agents) the individual and line manager must still ensure compliance (as applicable).

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Whenever assessing/planning (and/or assessing incidences of potential exceedance) the line manager and individual must refer to the current standard. This standard will be circulated to the rail team by the Sales Administration Manager. Schedule 1 below (which is relevant at the point of review of this policy) sets out the requirements of the standard.

Line managers are responsible for managing fatigue of their direct reports in accordance with Network Rail current requirements. These are listed in the Relevant Legislation and Standards section of this policy. These requirements include effectively managing:

- Changes to existing and standard work patterns
- Organisational level changes, project changes, workload changes
- Managing all arrangements in situations where fatigue is identified following incident investigation (giving reason to doubt effectiveness of current arrangements)
- Ongoing assessment/monitoring of fatigue (by the line manager) reveals regular exceedance
- Human resources (planning) in circumstances of long-term sickness, unfilled vacancies and similar
- Creation of suitable plans when individuals are prevented from carrying out their tasks due to being unfit
- Re-assessment of procedures and controls following any close call reports or CIRAS reports that relate to fatigue management issues
- Any other reason to doubt effectiveness of (safety) procedures and arrangements

## 6. Fatigue Management when driving

- 6.1 Personnel required to drive in the course of their employment will be issued with safety information (handbook/policies).
- 6.2 SCCS policy requires that personnel must not drive more than 10 hours a day.
- 6.3 The logistics of SCCS delivery personnel is carefully scheduled with the aim to plan a 5-7 hour driving day with approximately 15 minutes drop off/collection period. The 5-7 hour drive time allows for traffic congestion, unforeseen circumstances and scheduled breaks to be taken.
- 6.4 SCCS delivery personnel required to undertake a driving schedule exceeding 8 hours will be authorised for an overnight stay. Days like this will always be planned in advance and notice given of the need to stay.
- 6.5 After 5.5 hours of driving all personnel must take a break of at least 30 minutes (to rest and take refreshment). Or, within any period of 8.5 hours, you must take at least a 45-minute break. Additionally, you must take a 30-minute rest at the end of this driving period unless it is the end of the working day.
- 6.6 On days when you are required to drive you must not work more than 11 hours between the times of starting and finishing work (including non-driving work and any times when you are “off duty”). This does not apply to working days when you do not drive.

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## 7. Working hours & monitoring of working hours

- 7.1 All personnel and persons acting on behalf of the Company are referred to the content of the Company Working Hours Policy.
- 7.2 Current guidance can be obtained from the UK government website.
- 7.3 You cannot work more than 48 hours a week on average (averaged over a 17-week period)
- 7.4 The employee or agent acting on behalf of the Company has a duty to notify the Company of any work undertaken outside their work for the Company and must seek agreement (as set out in the Company Working Hours Policy).
- 7.5 The employee must manage their external activities to ensure they are compliant with the remit of this and connected Company policies.
- 7.6 Line Managers are responsible for the on-going informal assessment of individual team members (in the performance of their work activities for the Company) in accordance with the remit of this policy. The Company can utilise a range of solutions for monitoring fatigue (including, but not limited to):
- Clocking in/out system
  - Informal individual and departmental workload discussion and management
  - Working hours set by contractual arrangement
  - Company policy/procedure
  - Monthly employee one to one sessions with line manager
  - Recording of working hours (for appropriate non office personnel) capable of identifying working hour patterns
  - Use of HSE fatigue management resources
  - Company Health & Safety Manager (to assist with appropriate fatigue assessment)
  - Access to retained external competent Health & Safety advice
- 7.7 Personnel are required to fob in and out of Company premises. This system provides fire safety/evacuation data as well as providing working hours data for the purpose of monitoring compliance with the remit of this policy and the Working Hours Policy. The Company utilise Team Seer to collect absence data (to enable analysis as may be relevant).
- 7.8 Wherever individual workers are not office based their hours will be monitored by that individual's line manager. The monitoring must be sufficient to enable an analysis of compliance with the Working Time Directive (maximum allowable working hours/patterns).
- 7.9 It is not anticipated that personnel should work outside of their contracted hours set out in their individual contract of employment but where this, from time to time, becomes unavoidable it will be planned and authorised in accordance with this policy and, additionally, time in lieu will be considered for that individual if deemed appropriate (and for the purpose of safety, legal and policy compliance).

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## 8. Exceedances (time and other)

- 8.1 An exceedance is generally identified as working beyond a time limit.
- 8.2 Fatigue is not only related to time exceedances and must be taken in context with the impact of individual workloads.
- 8.3 Exceedances must only occur when they are:
- Authorised by line management in accordance with the remit of this and associated policies
  - Do not breach safety and/or legal obligations
  - A proposed exceedance identifies an exceptional circumstance set out below
- 8.4 Before authorising an exceedance, a line manager shall consider the (safety) risks involved and whether that risk is acceptable in the circumstances. No person must be placed at risk of harm to safety of themselves or others.
- 8.5 Before authorising an exceedance, a line manager shall consider if alternative options are available in the relevant circumstances.
- 8.6 Before authorising an exceedance, a line manager shall identify mitigation measures to reduce the possibility of any fatigue that may be associated with an exceedance.
- 8.7 Line managers shall take steps to relieve staff who have worked in excess of identified limits as soon as practicable and provide them with sufficient time (and if appropriate resource) to rest or recuperate before their next period of duty.
- 8.8 Exceptional circumstances which may result in an exceedance may be identified as:
- The exceedance is necessary for health & safety reasons (protection of others) *and*
  - The risk has been assessed and it is not reasonably practicable to take alternative steps
  - Without an authorised exceedance circumstances could result in possibilities such as equipment failure, safety risk (including accident), shortages of staff which may cause significant (critical disruption).
  - Other significant (and exceptional) business operational requirements (or customer requirements) that can be safely managed following assessment (where all mitigating factors have been considered/applied).
- 8.9 Notwithstanding above safety must always be the paramount priority of any/all decisions made.



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- 8.10 Line managers will keep a record of any authorised exceedance (and Fatigue Management Plans to include date, identify personnel, circumstances and considerations (including associated safety risks & possible mitigation measures).
- 8.11 A document controlled, working hours exceedance assessment template form, is available for completion of exceedance assessments.

## 9. Monitoring & Compliance

- 9.1 The Company Senior Management Team will be responsible for managing compliance of the remit of this policy
- 9.2 The Company Senior Management Team may delegate responsibility (for compliance) to suitable competent personnel where appropriate.

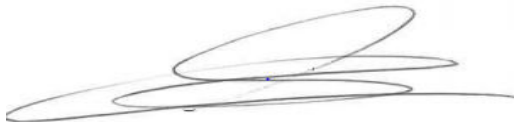
## 10. Records

The Company shall retain any/all records pertaining to the management of Working Hours and Fatigue Management in accordance with Schedule 1 of the Company Quality Manual (a minimum of 5 years). Records (relating to Fatigue Management and Working Hours) for safety critical activities shall be maintained in accordance with legal recommendations.

## 11. Review

This policy will be reviewed (at least) annually or as otherwise required

**Signed:**



**Print name:** Kevin Smith

**Position:**

Managing Director

**Date:**

23<sup>rd</sup> January 2023

**Revision**

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**Next review:**

23<sup>rd</sup> January 2024

# FATIGUE MANAGEMENT POLICY SCHEDULE 1

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**Network Rail Standard:** NR/L2/OHS/003  
**Schedule Title:** Trigger conditions (all personnel working in/on Network Rail infrastructure, assets & systems regardless of type of activity)

| Trigger   | Fatigue Assessment | Management Plan Required? | Minimum required controls  |
|---|--------------------|---------------------------|--|
| More than 60 hrs in 7 rolling days                    | Yes                | Yes                       | No lookout duties. No <i>driving</i> duties<br>No working alone.<br>No safety critical duties without extra controls<br>Min 12 hrs rest (till next period of work)                                   |
| More than 72 hrs in 7 rolling days                    | Yes                | Yes                       | No lookout duties. No <i>driving</i> duties<br>No working alone. No OTP operation<br>No OTM operation. No mgmt. of trains<br>No safety critical duties<br>Min 24 hrs rest (till next period of work) |
| 14 hrs or more door to door                           | Yes                | Yes                       | To be agreed following assessment  |
| More than 12 hrs in one working day or shift          | Yes                | No                        |  |
| Less than 12 hrs rest between working days/shifts     | Yes                | No                        |  |
| More than 13 day or nights in a 14-day rolling period | Yes                | No                        |  |
| Day time fatigue score (FRI) of 35 or more            | Yes                | No                        |  |
| Night-time fatigue score (FRI) of 45 or more          | Yes                | No                        |  |
| Risk score (FRI) of 1.6 or more                       | Yes                | No                        |  |

Advice on Network Rail FRI scoring can be found here: [How-to-use-the-FRI-tool-in-Excel.pdf \(networkrail.co.uk\)](#)

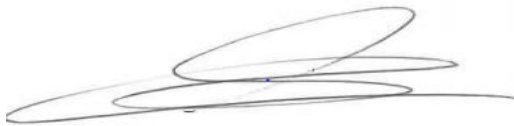
# FATIGUE MANAGEMENT POLICY SCHEDULE 1

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The following activities/considerations are recommended (within the Network Rail Standard) for inclusion when assessing hours of work.

| Description   | Criteria |
|---|----------|
| All work regardless of type (official Network Rail business or attendance at training at or away from normal place of work carried out on behalf of Network Rail)                                   | Included |
| Commuting time to and from place of residence (home) to normal place of work  | Excluded |
| All travelling time during the period personnel attend and return to a location at which they shall commence work at the request of the Company (e.g. a trip to a customer site)                    | Included |
| Paid and un-paid leave such as annual leave and sickness leave  | Excluded |
| On call: work undertaken to manage or respond to any incident or work Requirement   | Included |
| On call: time spent waiting for a call out  | Excluded |
| <b>Note:</b>  |          |
| <i>Regardless of the advice in this appendix safety shall be the primary goal when having to regard to Individuals involved, inherent safety risks and individual circumstances to be assessed.</i> |          |

Signed:



Print name: Kevin Smith

Position:  
Revision

Managing Director  
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Date: 23<sup>rd</sup> January 2023  
Next review: 23<sup>rd</sup> January 2024