

Issue Details	Ref	SAF06	Issue No.	4	Issue Date	26/03/2019
Issue Title	Management of Fatigue (Control of Working Hours)					
Issue Status	Revised					
Compliance Date	Immediate					
Standard Contact	Stuart Webster-Spriggs, HSQES Director					

Purpose

The purpose of this procedure is to specify the arrangements associated with the management of fatigue and the control of working hours. It details how the authorisation, reporting and monitoring of working hours carried out by staff and contractors involved in safety critical duties shall be undertaken within VolkerRail.

This standard also underpins the requirements of the company's Integrated Management System Section 9.16

Scope

This procedure applies to all personnel undertaking work on behalf of VolkerRail

For office based staff, the rules for a 14 hour shift does not apply. Please refer to the definitions for detail on specific arrangements for managing individual fatigue.

Compliance is mandatory for all to ensure that the company meets its legal obligations under the Railway & Other Guided Transport Systems (Safety) Regulations (ROGSs).

Summary of Changes

Appendix B:

- Remove the 'OLE' & 'M&E' sections in section '1.1 Category 1 and 2 Exceedances Approval' and replace with 'Power'
- Update reference to TATA Scunthorpe to British Steel Scunthorpe Works



Management of Fatigue (Control of Working Hours)

Author

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Issue Details

This document will be updated when necessary by distribution of a complete replacement.

Amended or additional pages will be marked by a vertical black line in the adjacent margin.

Issue No.	Date	Details of Change
1	Jul 2011	Formerly referenced as SQE/06. Review and amendments following investigation into unplanned exceedance levels and resulting recommendations. All sections ammended
2	07/11/2011	Section 6.2.1 a) amended following investigation into unplanned exceedance levels and resulting recommendations. There is now a 'trigger time' for staff to contact VRCC when they know they will be exceeding their working hours.
3	01/08/2014	Full review by the 'Fatigue Working Party'. Key changes: <ul style="list-style-type: none"> • Clarity on 12 & 14hr rule, how this is managed and who it applies to. • Business Specific Appendices detailing how fatigue is managed • ORR Guidelines for managing fatigue for office based staff included • Clarity on rest periods following a 72hr period of work or 13 turns of duty • Clarity on when work time begins and ends for site based staff • Specific details on the expectations of the subcontract/supply chain community to comply with the requirements of SAF06
4	22/03/2019	Update Appendix B – Business Specific Arrangements

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Appendices

- A Reporting Exceedance of Working Hours Flowchart
- B Business Specific Arrangements
- C Management of Fatigue (Control of Working Hours) Flowchart

Associated Forms

Risk assessment used for exceedance assessments are held within the AIRSWEB system

1. Purpose

To specify the arrangements associated with the management of fatigue and the control of working hours. It details how the authorisation, reporting and monitoring of working hours carried out by staff and contractors involved in safety critical duties shall be undertaken within VolkerRail.

This standard also underpins the requirements of the company’s Integrated Management System Section 9.16

2. Scope

This standard applies to all personnel undertaking work on behalf of VolkerRail

For office based staff, the rules for a 14hour shift does not apply. Please refer to the definitions for detail on specific arrangements for managing individual fatigue.

3. Compliance

Compliance is mandatory for all to ensure that the company meets its legal obligations under the Railway & Other Guided Transport Systems (Safety) Regulations (ROGSs).

4. Definitions and Abbreviations

Approving Manager	Category 1 Supervisor and Senior Project Manager Category 2 Supervisor and Senior Manager / Senior Project Manager Category 3 Business Manager / Director Category 4 Business Manager / Director
Business Manager / Director	Those that have the overall responsibility of an operational business sector
Call Out Shift	A shift where the On Call person(s) is required to visit site to deal with a specific critical situation out of their normal working hours. Where applicable, refer to the Business Modules of this standard for specific arrangements to manage fatigue. VRCC will contact HSQE On Call if the call out shift creates an exceedance. All call out shifts are required to be called into VRCC for them to ensure that it is assessed by an Approving Manager.

<p>Door to Door time</p>	<p>The time between an individual leaving a place of rest to go to work and returning to a place of rest.</p> <p>Note: It may be permissible for Door to Door time to be up to a maximum of 14 hours if the roster is supported by an acceptable fatigue & risk index calculation that has been approved by HSQE and travel time is only 1hr each way i.e. 1hr travel from place of rest to place of work, 12hr shift on site, 1hr travel to place of rest. A 14hr shift can only be done on a single shift i.e. one shift within a 7 day period, that does not impact on the 12hr rest period and subsequent shifts.</p> <p>For instances of longer planned travel time, then working time on site must be shortened accordingly to accommodate a 12hr shift e.g. 4hrs travel time to work, 4hr shift on site and 4hrs travel from site to place of rest.</p> <p>For VolkerRail staff any planned rostered shift above this will require risk assessment which will be authorised in accordance with the business specific management arrangements and accompanied by a Fatigue & Risk Index calculation.</p> <p>For sub-contract labour, the supplier is required to provide accommodation and undertake their own fatigue risk assessment in accordance with their company management policy.</p>										
<p>Emergency Situations</p>	<p>Circumstances which cannot be anticipated and which threaten serious disruption to the worksite e.g.:</p> <ul style="list-style-type: none"> • Severe weather conditions such as fog, flooding or heavy snow • Breakdowns, accidents or incidents • Sudden illness to key member(s) of staff • Incidences which may or will result in risk to employees and/or the general public • Significant disruption to train services <p>A fatigue & risk index calculation will be undertaken by VRCC in all of the above circumstances which may lead to an exceedance in working hours. This assessment will determine the required controls to be implemented in order to manage fatigue, continue work safely and safeguard our workforce</p>										
<p>Essential Work</p>	<p>Work necessary to avoid serious disruption which may lead to an emergency situation. This is determined by the Approving Manager/Business Manager/Director.</p>										
<p>Excessive Hours</p>	<table border="0"> <tr> <td style="padding-right: 20px;">Category 1</td> <td>More than 12 hours continuous work time in any 24 hour period.</td> </tr> <tr> <td>Category 1</td> <td>More than 14 hours 'Door to Door' time (unplanned and therefore not able to take into account the travel time required)</td> </tr> <tr> <td>Category 2</td> <td>Less than 12 hours rest between turns of duty</td> </tr> <tr> <td>Category 3</td> <td>More than 72 hours in a 7 day period</td> </tr> <tr> <td>Category 4</td> <td>More than 13 turns of duty in a 14 day period (also see LUL Appendix B Section 1 c)</td> </tr> </table>	Category 1	More than 12 hours continuous work time in any 24 hour period.	Category 1	More than 14 hours 'Door to Door' time (unplanned and therefore not able to take into account the travel time required)	Category 2	Less than 12 hours rest between turns of duty	Category 3	More than 72 hours in a 7 day period	Category 4	More than 13 turns of duty in a 14 day period (also see LUL Appendix B Section 1 c)
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Category 2	Less than 12 hours rest between turns of duty										
Category 3	More than 72 hours in a 7 day period										
Category 4	More than 13 turns of duty in a 14 day period (also see LUL Appendix B Section 1 c)										

HSE Fatigue & Risk Index	<p>Health and Safety Executive Fatigue & Risk Index is a tool for assessing relative risk from fatigue associated with shift work as a part of risk management arrangements.</p> <p>The requirements of the HSE Fatigue Index apply to all safety critical work</p>
Office Based Staff	<p>ORR Guidelines categorise office based staff as 'Low Risk' with regards to fatigue. These are workers who</p> <ul style="list-style-type: none"> • do not undertake shift work • do not work significant overtime • do not undertake ROGS Safety Critical Work. <p>In these cases, fatigue should be managed by the individual and their Line Manager to ensure this is monitored and that they are not working over their contracted hours.</p> <p>VolkerRail, through this standard and company briefings, provide Office Based Staff with the information they need to manage their fatigue.</p>
On Call Manager	<p>On Call Manager has the relevant experience and authority to give advice and provide support for the management of resources in the event of exceedances being reported by the Supervisor/Senior Project Manager/Business Manager/Director. The VolkerRail On Call Manager is notified to VRCC on a weekly basis for each of the VolkerRail businesses. HSQE On Call is available 24/7 to offer any specific HSQE advice and guidance.</p>
Rest Period	<p>Minimum of 12 hours between turns of duty.</p> <p>Rest periods following a 72hr period of work (Category 3) and 13 turns of duty (Category 4) should be planned with reference to RSSB Managing Fatigue Guidelines and the use of HSE Fatigue & Risk Index calculator. In these cases the required period of rest will be a minimum of 24hrs; where applicable, refer to specific Business Module attached to this standard for further guidance</p>
Safety Critical Work	<p>As defined within the Railways & Other Guided Transport Systems (Safety) Regulations and specifically in the VolkerRail Competence Management Standards.</p>
Site Based Staff	<p>Working time begins when site based staff leave their place of rest and ends when they arrive at their place at rest at the end of their working shift.</p>
Supervisor	<p>Person in charge of the management of the works.</p>
Travel Time	<p>Defined as time taken to travel to / from a place of work to / from a place of rest.</p>
Turn of Duty	<p>A specified planned shift in accordance with the requirements of this standard. This does not include unplanned events such as a call out to site to deal with unplanned situations/events. Call out shifts will be assessed in accordance with the HSE Fatigue and Risk Index Calculations.</p>

5. References



Fig 1 Order of Precedence – Legislation and Standards

- Health and Safety at Work Act etc.
- Railways & Other Guided Transport Systems (Safety) Regulations
- ORR Guidance Managing Rail Staff Fatigue
- VolkerRail Integrated Management System
- NR/L2/ERG/003 – Control of Excessive Working Hours for Persons Undertaking Safety Critical Work
- LUL Contract QUENSH Conditions
- RSB Managing Fatigue – A Good Practice Guide RS/504
- SAF65 – Use of Third Party Management and Supervision
- PRO04 – Business Travel and Expenses

6. Management Arrangements

6.1. Responsibilities

6.1.1. Business Manager / Director

It is the responsibility of each **Business Manager / Director** to establish the working hour patterns of safety critical workers and that they do not work when liable to fatigue which could significantly affect their health & safety or the safety of the transport system. Where applicable, details must be included in the relevant Project Safety Validation documentation in accordance with SAF/65.

When devising shift patterns and rosters, where applicable, the use of the HSE Fatigue & Risk Index calculator will be incorporated to verify and ensure that the rosters are compliant with the requirements of this standard and do not import levels of fatigue that may impact on the health and safety of the workforce. These rosters will be created and held on file by the roster clerks / equivalent.

Shift patterns and rosters should be planned to incorporate the fatigue that can be experienced during 'down time' and should take into account possession times, contingent staff for shift rotation and the control of fatigue during times of long waiting periods.

Specific on-call arrangements for each business / division will be devised and approved by the Fatigue Working Party. Arrangements will be included in each business's specific arrangements as an appendix to this standard.

6.1.2. Project Managers (or equivalent)

It is the responsibility of each **Project Manager (or equivalent)** to ensure arrangements are in place to:

- a) Prevent any planned/rostered exceedances of the working hours limitations detailed within the 'definitions' section of this standard.
- b) Record the hours worked by employees who are not specifically rostered but undertake safety critical work, they must also be made aware by the relevant person that this includes those hours worked by on-call staff as and where necessary.

Project Managers (or equivalent) are responsible for ensuring that the employees and sub-contract staff who work under their control are aware of, and comply with, the working hours limitations specified within this standard.

Project Managers (or equivalent) are responsible for ensuring planning arrangements include working and travelling time are within the working hours limitations as stated in the definitions. The only exception to this is where the arrangements are supported by a risk assessment that includes (but not limited to) the HSE Fatigue & Risk Index calculations that demonstrate that individuals will not be liable to fatigue that could significantly affect their health & safety or the safety of the transport system.

Where lodging away from home, staff/contractors should be accommodated as close to the site of work as possible in order that travelling time is kept to a minimum.

6.2. Exceedance of Working Time Limits

In emergency situations, to cover essential work only, and provided no alternative arrangements can be made, employees may be required to work additional hours over and above the defined maximum. In these circumstances a risk assessment must be undertaken and authorisation to progress received from the Approving Manager.

6.2.1. Category 1 and 2 Exceedances

a) Reporting

Where it is known that a Category 1 or 2 Exceedance will apply i.e. it is known that they will go past their 12hrs continuous work time in any 24hr period or that they will exceed their 14hrs 'door to door' time the **employee, or a nominated representative if it is a group of individuals, must contact VRCC when they have reached 11hrs working time on site or before if known.**

b) Risk Assessment

The **VRCC Duty Controller** will undertake a risk assessment, (for the continuation of works or for when leaving site if they are travelling to a place of rest), using the drop down menu through the AIRSWEB system by establishing facts associated to circumstances surrounding the requirement to exceed, which will include additional measures such as, a break period away from work, travel considerations etc. to be put in place to control the risk. A unique reference number will be allocated to the risk assessment and issued by the **VRCC Duty Controller** once approval is obtained.

c) Approval

The **VRCC Duty Controller** must liaise with the **Approving Manager** to agree that any additional risk to the safety of the staff or operation of the worksite has been mitigated and subsequently recorded with the risk assessment. The individual in question, if travelling back to a place of rest, must contact VRCC when arrived at that place of rest. If VRCC receive no contact within the agreed timescale they will contact that person or Approving Manager and escalate until contact is made.

Where there is no satisfactory explanation, justification or assessment of the risks provided and therefore the fatigue level is unacceptable the **Approving Manager** must decline the request for exceedance and alternative arrangements put into place considering and controlling any additional risks.

6.2.2. Category 3 and 4 Exceedances

a) Reporting

Where it is known that a Category 3 or 4 Exceedance will apply the **Line Manager/Supervisor** must contact **VRCC**.

b) Risk Assessment

The **VRCC Duty Controller** will undertake a risk assessment with the **Line Manager/Supervisor** by establishing facts associated to circumstances surrounding the requirement to exceed, which will include additional measures to be put in place to control the risk (including travelling arrangements). A unique reference number will be allocated to the risk assessment and issued by the **VRCC Duty Controller** once approval is obtained.

c) Approval

The **VRCC Duty Controller** must liaise with the **Approving Manager** to agree that any additional risk to the safety of the staff or operation of the worksite has been mitigated and subsequently recorded with the risk assessment. Advice will be sought from the HSQE Directorate to ensure that where applicable the Fatigue & Risk Index tool is used to enable an informed decision. While the Fatigue & Risk Index tool is primarily to assess shift patterns it can be used to provide a useful indication of the impacts of short duration day or night working regimes.

Where there is no satisfactory explanation, justification or assessment of the risks provided, and where applicable the Fatigue & Risk Index Calculation indicates that the fatigue level is unacceptable the **Approving Manager** must decline the request for exceedance.

6.2.3. Monitoring and Communication of Excessive Hours / Turns of Duty

A summary of occurrences of excessive hours, excessive turns of duty and inadequate rest periods will be detailed within the monthly HSQE Performance Report. This should be noted and reviewed during the Safety Leadership and Business Safety Leadership Group meetings.

Where necessary an action plan for reducing excessive hours worked must be produced and actioned as appropriate. The action plan must focus on the management of fatigue and the measures necessary to control the associated risks.

7. Monitoring

The arrangements associated to the implementation and maintenance of this standard will be monitored as follows:

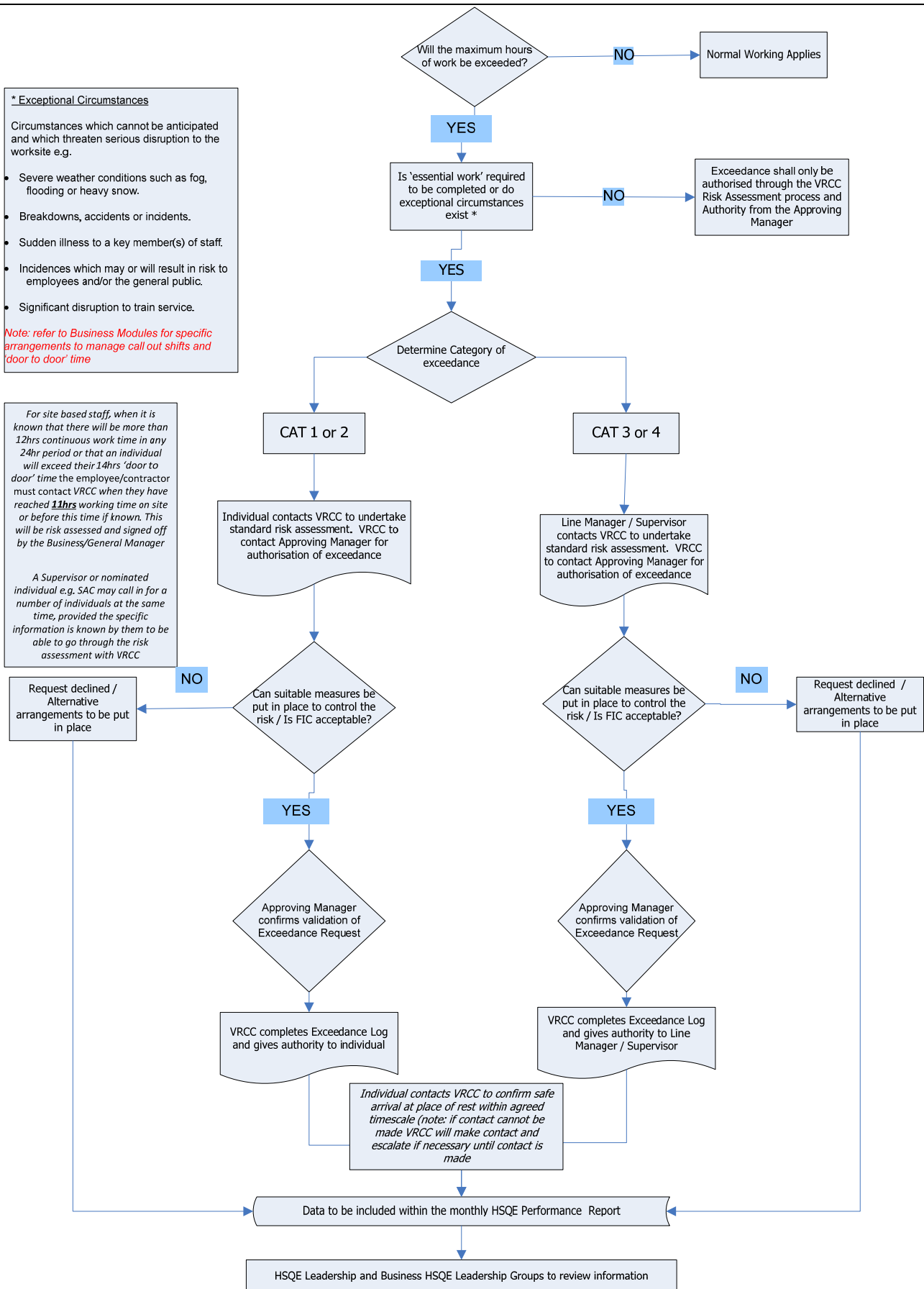
- a) Through the company audit and inspection programme and via the Fatigue Working Party
- b) Detailed within the HSQE Performance Report
- c) Through HSQE Leadership and Business HSQE Leadership Group Meetings
- d) Through incident / accident investigation where fatigue is a possible contributory factor.
- e) Supply Chain are required to undertake their own monitoring in accordance with their company procedures and any areas for concern communicated back through to VolkerRail Supply Chain Manager

8. Retention of Records

Record	Retained By	Retention Period
VRCC Exceedance Logs / Risk Assessment	VRCC	Permanent

Appendix A

Reporting Exceedance of Working Hours Flowchart



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1 Signalling and Power

1.1 Category 1 and 2 Exceedances Approval

The **VRCC Duty Controller** must liaise with the **Approving Manager** to agree that any additional risk to the safety of the staff or operation of the worksite has been mitigated and subsequently recorded with the risk assessment. The individual in question, if travelling back to a place of rest, must contact VRCC when arrived at that place of rest. If VRCC receive no contact within the agreed timescale they will contact that person or Approving Manager and escalate until contact is made.

Where there is no satisfactory explanation, justification or assessment of the risks provided and therefore the fatigue level is unacceptable the **Approving Manager** must decline the request for exceedance and alternative arrangements put into place considering and controlling any additional risks.

*The signalling fault team are not able to approve exceedances unless an **Approving Manager** is part of the fault team*

The **Approving Managers** for S&P will be the following:

Signalling

P Kemp 07500 077773

J Dixon 07764 209831

M Curtis 07585 907912

Power

Level 1 Power On Call Manager - via VRCC 01724 878399

Level 2 Power On Call Manager – via VRCC 01724 878399

In the event that none of the above is available then approval must be sought from the H&S Team

1.2 “On Call” Arrangements

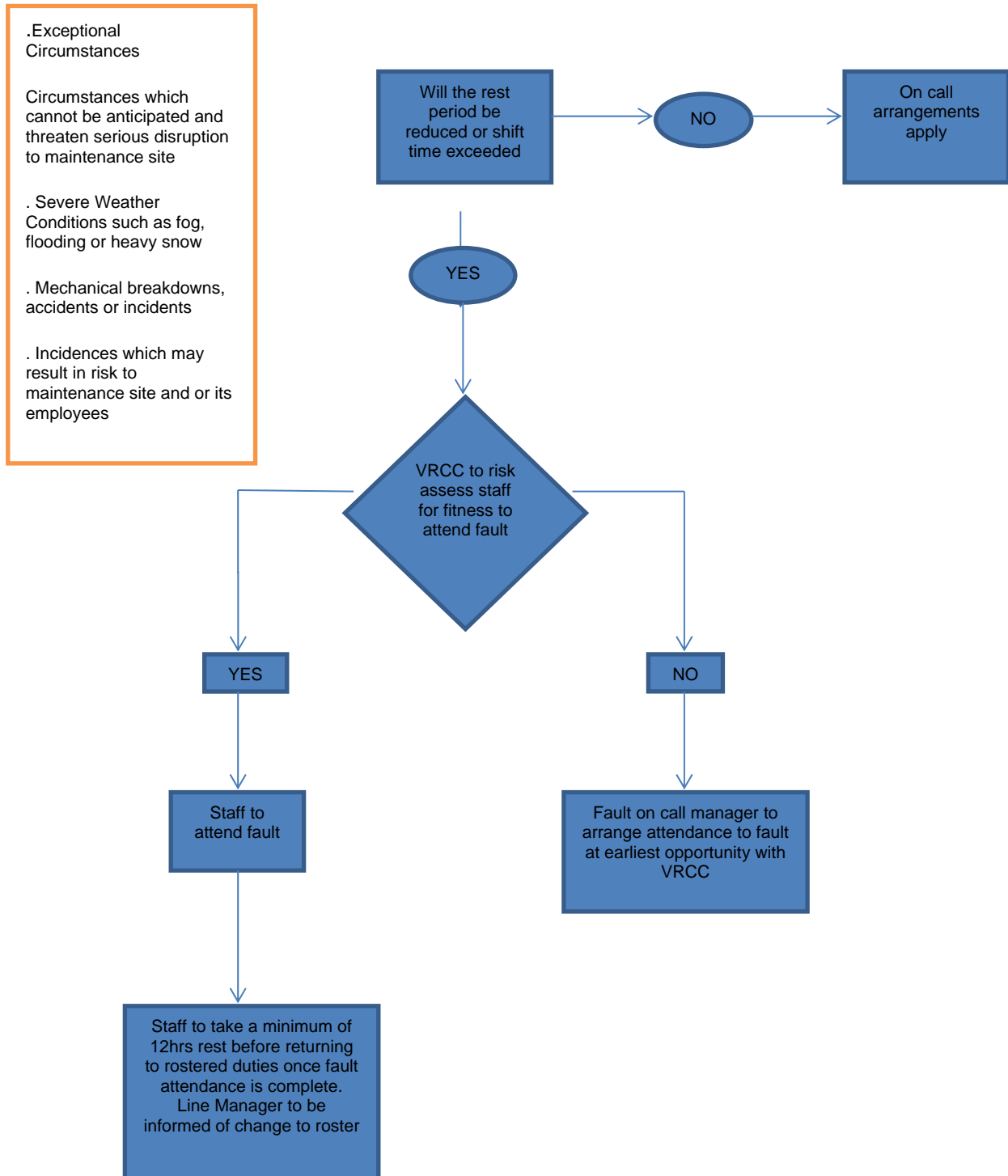
- a) Before attending any out of hrs “*Call out*” the fault teams’ fitness to attend must be established (The fault attendance flow chart can be used to assist this decision). Should the **Fault Team** be deemed unfit to attend then the **Fault Manager** will be contacted by VRCC who will arrange the earliest possible attendance by the **Fault Team** or an authorised signalling team within normal working hrs.
- b) Once the **Fault Team** has been deemed as fit to attend a “*Call out*” and the “*Call out*” is completed then a minimum of 12hrs rest shall be taken before returning to rostered duties. The construction manager responsible for the **Fault Team’s** rostered duties will be made aware at the earliest opportunity of the change of roster. Should any subsequent “*Call out*” be required inside of the 12hrs rest then then fitness to attend will again be established as per the fault attendance flow chart.
- c) **Fault Managers** are:

J Dixon 07764 209831

P Kemp 07500 077773

Please Note - the **Fault Managers** are responsible for signalling “*Call out*” issues only

1.3 Fault attendance flow chart



2 British Steel Scunthorpe Works

The arrangements below relate to multiple call outs over a 24 hour period or any period where the call out request will instigate a working time exceedance.

Call Out No 1

- On Call Operative to notify VRCC – authorisation number to be requested (if the call out invokes a working time exceedance).

Call Out No 2

- On Call Operative to notify VRCC.
- VRCC to liaise with HSQE on call prior to authorisation

Call Out No 3

- On Call Operative to notify VRCC.
- VRCC to liaise with HSQE & Local Manager prior to authorisation.

*All relevant contact numbers are contained within the weekly On Call Pack.

3 LUL

3.1 Arrangements

The arrangements associated to the implementation of this standard when working in London Underground premises are as follows:

- a) The longest shift in any roster will be 12 hours (inclusive of travel time).
- b) The minimum amount of rest between any two shifts will be 12 hours.
- c) The consecutive days that may be worked before a rest period when working on, over or adjacent to the London Underground operational railway will be either:
 1. Six consecutive days, followed by a rest period of not less than 24 hours.
 2. 12 consecutive days, followed by two consecutive rest days, each of which is not less than 24 hours.
 3. Within any 14 day period, two rest periods, each of which is not less than 24 hours.

3.2 Calculation of hours

In calculating the number of hours worked by personnel, VR must take into account those hours works for any other supplier.

3.3 Retention of Records

VR shall maintain records of employee's working hours and these shall be made available to the client, immediately upon request, for monitoring and audit purposes.

