

 NEW YORK STATE Corrections and Community Supervision DIRECTIVE	TITLE Lockout/Tagout - Control of Hazardous Energy		NO. 2123
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REFERENCES (Include but are not limited to) NYS Labor Law; OSHA 29 CFR 1910.147 and 1910.333; Directives #2121, #2122, #4064, #4066, #4930	APPROVING AUTHORITY 		

- I. PURPOSE:** This directive sets forth the Department’s procedures for implementing the applicable provisions of NYS Labor Laws and Federal Office of Safety and Health Administration (OSHA) Standard 29 CFR 1910.147, “Control of Hazardous Energy (Lockout/Tagout).” This establishes general guidelines for lockout/tagout, assigns responsibilities for implementation by facility staff, and sets forth training and recordkeeping requirements.
- II. DEFINITIONS**
- A. Authorized Employee: An employee who locks-out and/or tags-out machines or equipment in order to perform servicing or maintenance on that machine or equipment. An Affected Employee becomes an Authorized Employee when that employee’s duties include performing service or maintenance.
- B. Affected Employee: An employee whose job requires them to operate or use a machine or equipment on which servicing or maintenance is being performed under lockout/tagout, or whose job requires them to work in an area in which servicing or maintenance is being performed. Affected employees include:
- Uniformed staff
 - Civilian staff
- C. Energy Sources: INCLUDE, BUT ARE NOT LIMITED TO:
- ELECTRICAL
 - MECHANICAL
 - HYDRAULIC
 - PNEUMATIC
 - CHEMICAL
 - THERMAL
- D. Lockout: The placement of a lockout device on an energy-isolating device in accordance with an established procedure, ensuring that the energy-isolating device and the equipment being controlled cannot be operated until the lockout device is removed.
- E. Lockout Device: A device that utilizes a positive means, such as a keyed lock, to hold an energy-isolating device in the safe position and prevent the energizing of a machine or equipment. Included are blank flanges and bolted slip blinds.
- F. Tagout: Placement of a prominent warning device, such as a tag which can be securely fastened, on an energy-isolating device, to indicate that the energy-isolating device and the equipment being controlled may not be operated until the tagout device is removed.

- G. Tagout Device: A prominent warning device, such as a tag and a means of attachment, which can be securely fastened to an energy-isolating device, in accordance with established procedure to indicate that the energy-isolating device and the equipment being controlled may not be operated until the tagout device is removed. A tagout device can only be used when a lock cannot be applied.

III. POLICY - FACILITY ENERGY CONTROL PROGRAM

- A. Administration: At each facility, the Deputy Superintendent for Administration (DSA), or another staff person designated by the Superintendent, is responsible for establishing a written site-specific lockout/tagout procedure to control energy whenever maintenance or servicing is done on machinery or equipment. These procedures shall be followed to ensure that the machinery or equipment is stopped, isolated from all potential hazardous energy sources, and locked-out or tagged-out before an authorized employee performs any servicing or maintenance where the unexpected energization, or start-up of the machinery or equipment, or release of stored energy, could cause injury.
- B. Employees: All employees shall be required to comply with the restrictions and limitations imposed upon them during the use of lockout or tagout. All employees, upon observing a machine or piece of equipment which is locked-out or tagged-out to perform servicing or maintenance, shall not attempt to start, energize, or use that machine or equipment.
- C. Equipment Identification: The Plant Superintendent, or their equivalent, or appointee, shall make an inventory of each piece of equipment, machine, device, appliance, tool, motor vehicle, grounds equipment, and any other item that stores or uses energy within the facility, and develop a lockout/tagout procedure for each item (see Attachment A). The inventory list and associated lockout/tagout procedures shall be kept on the MP2/EAM Maintenance Software System, and shall correlate with the equipment inventory data collected, and shall be entered into the MP2/EAM System as part of the work process control procedures.

The lockout/tagout safety information shall be printed out with each work order and given to and reviewed with each employee performing the work prior to starting the task. The employee shall read and understand the lockout/tagout procedures fully and obtain the appropriate lockout/tagout protective materials before commencing the work. The lockout/tagout inventory list shall include the equipment identification number, description of the equipment, the location of the equipment, the types of hazardous energy present, and the methods and means by which to safely disconnect and isolate the equipment from the hazardous energy sources.

The description of the methods and means should include, where appropriate, the valve number or circuit breaker number, the location of the isolation device, the associated equipment or panel board serving the equipment, etc., so as to adequately describe the safe isolation procedures for each piece of equipment.

- D. Protective Materials: Each facility shall obtain protective materials and hardware for isolating, securing, or blocking machines and equipment from energy sources. These may include locks, tags, chains, wedges, key blocks, adapter pins, self-locking devices, or other hardware. All protective materials and hardware are to be inventoried and listed on [Form #2086](#), "Tool Inventory List."

Tagout devices shall warn against hazardous conditions if the machine or equipment is energized, and shall include a legend such as the following: "DO NOT START, DO NOT OPEN, DO NOT CLOSE, DO NOT ENERGIZE, OR DO NOT OPERATE."

Lockout devices and tagout devices shall be singularly identified, shall be the only device(s) used for controlling energy, shall not be used for other purposes, and shall meet the following requirements:

1. Durable
 - a. Lockout and tagout devices shall be capable of withstanding the environment to which they are exposed for the maximum period of time that exposure is expected.
 - b. Tagout devices shall be constructed and printed so that exposure to weather conditions, or wet and damp locations, will not cause the tags to deteriorate, or the message on the tag to become illegible.
 - c. Tags shall not deteriorate when used in corrosive environments such as areas where acid and alkali chemicals are handled and stored.
 2. Standardized: Lockout and tagout devices shall be standardized within the facility in at least one of the following criteria: color, shape, or size; additionally, in the case of tagout devices, print and format shall be standardized.
 3. Substantial
 - a. Lockout devices shall be substantial enough to prevent removal without the use of excessive force or unusual techniques, such as with the use of bolt cutters or other metal cutting tools.
 - b. Tagout devices, including their means of attachment, shall be substantial enough to prevent inadvertent or accidental removal. Tagout devices attachment means shall be of a non-reusable type, attachable by hand, self-locking, and non-releasable with a minimum unlocking strength of no less than 50 pounds, and having the general design and basic characteristics of being at least equivalent to a one-piece, all environment tolerant nylon cable tie.
 4. Identifiable: Lockout and tagout devices shall indicate the identity of the employee applying the devices.
 5. Control of Locks and Keys: The locks and keys used for lockout/tagout procedures shall be maintained in the work area (e.g., Maintenance, Industry, etc.) and controlled as a class "A" tool. When a lockout device is applied, the key shall be retained by the employee who applied it.
- E. Inspection: The DSA shall ensure that an inspection is conducted of the energy control procedures annually to ensure that the procedures and the requirements of this program are being followed. The annual inspection shall be performed by an authorized employee(s) other than the ones utilizing the energy control procedure being inspected. The annual inspection shall be conducted to correct any deviations or inadequacies identified. Where lockout is used for energy control, the annual inspection shall include a review, between the inspector and each authorized employee, of that employee's responsibilities under the energy control procedure being inspected. Where tagout is used for energy control, the annual inspection shall include a review, between the inspector and each authorized and affected employee, of that employee's responsibilities under the energy control procedure being inspected.

The DSA shall certify that the annual inspections have been performed. The certification shall identify the machine or equipment on which the energy control procedure was being utilized, the date of the inspection, the employees included in the inspection, and the person performing the inspection.

F. Record Keeping

1. The DSA shall:
 - a. Maintain records of the annual inspections required by Section III-E, using Attachment B, "Annual Lockout/Tagout Procedure Inspection Record." These shall identify the machines or equipment on which the energy control procedures have been utilized, the date of the inspection, the employees included in the inspection, and the persons performing the inspection.
 - b. Maintain records showing employee training that has been accomplished (KHRT should be utilized).
 - c. Maintain a physical inventory of lockout/tagout devices per Directive #4930, "Tool Control."
2. The Plant Superintendent shall maintain records showing the attachment and removal of lockout/tagout devices using a bound logbook. The heading in the logbook shall be as follows:
 - a. Location and equipment locked-out/tagged-out
 - b. Date locked-out/tagged-out
 - c. Time locked-out/tagged-out
 - d. Lock ID number
 - e. Time and date lockout/tagout removed
 - f. Person applying lockout/tagout
 - g. Person removing lockout/tagout

G. Training: The DSA shall provide annual training to ensure that all authorized and affected employees understand the purpose and function of the energy control program, and the knowledge and skills required for the safe application, usage, and removal of energy control devices. Employees shall receive training in the recognition of applicable hazardous energy sources, the type and magnitude of the energy available in the workplace, and the methods and means necessary for energy isolation and control. All other employees whose work operations are or may be in an area where energy control procedures may be utilized, shall be instructed about the procedures and about the prohibition relating to attempts to restart or re-energize machines or equipment which are locked or tagged-out. Tagout can only be utilized when locks cannot be applied. When tagout systems are used alone, training shall also include:

1. That tags are essentially warning devices affixed to energy-isolating devices and do not provide the physical restraint of a lock.
2. When a tag is affixed to an energy-isolating device, it is not to be removed without authorization of the person responsible for it, and is never to be bypassed, ignored, or otherwise defeated.
3. That tags must be legible and understandable by all employees in order to be effective.

4. That tags and their means of attachment must be made of materials which will withstand the environmental conditions of the workplace.
5. That tags may evoke a false sense of security, and their meaning needs to be understood as part of the overall energy control program.
6. That tags must be securely attached so that they cannot be inadvertently or accidentally detached during use.
7. That tags can only be utilized when locks cannot be applied.

NOTE

No incarcerated individual will be assigned to perform any maintenance or service on machinery or equipment, unless proper lockout/tagout procedures have been performed by a qualified employee, and the incarcerated individual has been trained in appropriate lockout/tagout procedures by a trained staff member (e.g., Shop Foreman, Vocational Instructor, etc.).

All lockout/tagout procedures shall be performed by qualified employees only. No incarcerated individual shall apply or remove any lockout/tagout device.

The employee who trains the incarcerated individual shall complete [Form #1574](#), "Record of Training," have it signed by the incarcerated individual, and then sign and distribute it as follows:

1. Original to Incarcerated Individual File
2. Copy to Shop/Unit File

See Directive #4064, "Facility Safety."

- H. Minimal Lockout Procedures: The attached simple lockout procedure, "Lockout Procedure," (Attachment A) is provided to assist facilities in complying with this directive.
- I. Special Provisions for Working with Electrical Circuits/Equipment
1. If a tag is used without a lock when isolating electrical circuits or equipment, it shall be supplemented by at least one additional safety measure that provides a level of safety equivalent to that obtained by the use of a lock. Examples of additional safety measures include: the removal of an isolating element, blocking of a control switch, or opening an extra disconnecting device.
 2. A qualified person, wearing appropriate Personal Protective Equipment (PPE), shall use the test equipment to test the circuit element and electrical parts of the equipment to which employees will be exposed and shall verify that the circuit elements and equipment are de-energized. The test shall also determine if any energized condition exists as a result of inadvertently induced voltage or unrelated voltage backfeed even though specific parts of the circuit have been de-energized and presumed to be safe. If the circuit to be tested is over 600 volts, nominal, the test equipment shall be checked for proper operation immediately before and after this test.
- J. Lockout/Tagout Removal: Each lockout or tagout device shall be removed from each energy-isolating device by the employee who applied the device.

When the authorized employee who applied the lockout or tagout device is not available to remove it, the device may be removed under the direction of the supervisor, provided that specific procedures and training for such removal have been developed, and:

1. The supervisor verifies that the employee who applied the device is not at the facility and understands why the process has been locked out.
 2. All reasonable efforts are made to contact the employee to inform them that their lockout or tagout device has been removed.
 3. The employee is informed before they resume work at the facility.
- K. Restoring Equipment to Service: The attached simple procedure for "Restoring Equipment to Service," (Attachment A) is provided to assist facilities in complying with this directive.

LOCKOUT PROCEDURE (Example)

For (identification and location of machine or equipment) at _____
_____ Correctional Facility.

This procedure establishes the minimum requirements for the lockout of energy-isolating devices whenever maintenance or servicing is done on machines or equipment. It shall be used to ensure that the machinery or equipment is stopped, isolated from all potential hazardous energy sources, and locked out before employees perform any servicing or maintenance where the unexpected energization, or start-up of the machinery or equipment, or release of stored energy could cause injury.

All employees are required to comply with the restrictions and limitations imposed upon them during the use of lockout. All employees, upon observing a machine or piece of equipment which is locked-out to perform servicing or maintenance, shall not attempt to start, energize, or use that machine or equipment.

SEQUENCE OF LOCKOUT

- a. Notify all affected employees that service or maintenance is required on a machine or equipment, and that the machine or equipment must be shut down and locked-out to perform the servicing or maintenance.
(Name(s)/Job Title(s) of affected employees and how to notify)
- b. The authorized employee(s) shall refer to the facility procedure to identify the type and magnitude of the energy that the machine or equipment utilizes, shall understand the hazards of the energy, and shall know the methods to control the energy.
(Type(s) and magnitude(s) of energy, its hazards, and the methods to control this energy)
- c. If the machine or equipment is operating, shut it down by the normal stopping procedure (depress the stop button, open switch, close valve, etc.).
(Type(s) and location(s) of machine or equipment operating controls)
- d. De-activate the energy-isolating device(s) so that the machine or equipment is isolated from the energy source(s).
(Type(s) and location(s) of energy-isolating devices)
- e. Lockout the energy-isolating device(s) with individual lock(s).
NOTE: Padlocks shall be provided with only one key. When in use, that key will be kept by the individual locking out the device. The loss of the key must be reported immediately. Locks must be used solely for the purpose of personal protection.
- f. Release or control of stored or residual energy. Stored or residual energy (such as that in capacitors, springs, elevated machine members, rotating flywheels, hydraulic systems, and air, gas, steam, or water pressure, etc.) must be dissipated or restrained by methods such as grounding, repositioning, blocking, bleeding down, etc.
(Type(s) of stored energy - methods to dissipate or restrain)

- g. Ensure that the equipment is disconnected from the energy source(s) by first checking that no personnel are exposed, then verifying the isolation of the equipment by operating the push button or other normal operating control(s), or by testing to make certain the equipment will not operate.

CAUTION: Return operating control(s) to neutral or "off" position after verifying the isolation of the equipment.

(Method of verifying the isolation of the equipment)

- h. The machine or equipment is now locked-out.

RESTORING EQUIPMENT TO SERVICE: The authorized employee shall:

- a. Check the machine or equipment and the immediate area around the machine to ensure that nonessential items have been removed and that the machine or equipment components are operationally intact.
- b. Check the work area to ensure that all employees have been safely positioned or removed from the area.
- c. Verify that the controls are in neutral.
- d. Remove the lockout or tagout devices and re-energize the machine or equipment.

NOTE: The removal of some forms of blocking may require re-energization of the machine before safe removal.

- e. Notify affected employees that the service or maintenance has been completed and the machine or equipment is ready for use.

Annual Lockout/Tagout Procedure Inspection Record

For: _____ Correctional Facility

Location in the Facility: _____

Date of Inspection: _____

Machine/Equipment Procedures Reviewed: (Attached LO/TO Procedures Reviewed from the MP2/EAM System or List of Procedures Reviewed)

All Authorized Employees Included in the Inspection:

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-
-
-
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Authorized Employee(s) Conducting the Inspection:

*Inspection must include a review, between the inspector and each affected and authorized employee, of their responsibility under the energy control procedure being inspected.

When a tagout operation is being inspected, a review of the training elements specific to tagout shall be conducted with the employee(s).

*To be maintained on file