



Lockout/Tagout Assessment Tool

Firm Name:	
Firm Contact Name:	
Assessor Name:	
Assessor Title:	
Date of Assessment:	

Complete the following assessment by selecting an appropriate answer to each statement.
Add comments when identifying deficiencies and considering continuous improvement.

Corporate/Site-Specific Written Lockout/Tagout Policy				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Organizational commitment	The workplace has a health and safety system in place.			
	There is no ambiguity in organizational commitment to health and safety (and, more specifically, to the lockout process).			
Lockout recognition	The organization has no identifiable activities or energy sources that, if exposed, can cause injury or illness related to lockout.			
Comments (record below):				

Corporate/Site-Specific Written Lockout/Tagout Policy (continued)				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Lockout policy	The organization has a written lockout policy.			
	The organization understands the difference between a lockout policy and a procedure.			
	The lockout policy is up to date.			
	The lockout policy is posted in the workplace.			
	Workers are aware of where the policy is located.			
	There is a controlled document process so that revisions are available to workers at all times.			
	The policy lists compliance requirements, and procedures follow a specific pattern and look.			
	The policy includes responsibility identification for managers, supervisors, production workers, and maintenance workers.			
	The policy includes details for extending lockout beyond one shift and/or one day.			
	The policy includes follow-up processes for forgotten locks.			

Corporate/Site-Specific Written Lockout/Tagout Policy (continued)

Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Lockout policy (continued)	The policy includes provisions for the use of tags.			
	The policy includes details for approved devices (colour, make, model, etc.).			
	The policy includes details regarding the procurement of locks and tags.			
	The policy includes evaluation of lockout requirements for newly acquired equipment prior to first use.			
	The policy includes evaluation of modified equipment for lockout adequacy prior to first use.			
	The policy identifies expectations regarding de-energizing, with associated lockout procedures for each piece of equipment.			
	The policy includes training expectations for all applicable workplace parties.			
	The policy includes requirements to complete lockout program audits.			

Comments (record below):

Machine-Specific Lockout Procedures				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Equipment/ machine-specific posted lockout procedure	The program identifies items that are general in nature and direct workers to more specific procedures.			
	Equipment/machine-specific procedures include a specific statement on the intended use of the procedure that is easy to use and follow.			
	Equipment/machine-specific procedures include a lockout permit or checklist system to ensure procedures are followed.			
	Equipment/machine-specific procedures include requirements to be reviewed prior to every lockout.			
	Equipment/machine-specific procedures include, based on specific tasks, procedural steps for shutting down, isolating, blocking, and securing equipment to control hazardous energy.			
	Equipment/machine-specific procedures include specific procedural steps for the placement and removal of locks.			
	Equipment/machine-specific procedures include specific requirements for testing a machine or equipment to determine and verify the effectiveness of lockout devices and other energy control measures.			
	Equipment/machine-specific procedures include the identification of control switches responsible for actually controlling the piece of equipment to be locked out (i.e., bump test prior to and after locking out)			
	The testing sequence considers the potential of interlocks or PLCs possibly rendering the testing procedure obsolete.			

Machine-Specific Lockout Procedures (continued)				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Equipment/ machine-specific posted lockout procedure (continued)	Photos and/or drawings show actual lockout points (breakers/valves/pins, etc.).			
	Lockout points are easily identified and are accessible.			
	Procedures create a safety bubble around the worker and extend the safety barrier to potential energy before and after the specific lockout area.			
	A risk assessment has been completed to identify multiple energy sources.			
	A risk assessment has been conducted by individuals with knowledge, experience, and training to organize the work and its performance (i.e., competent personnel).			
	Workers are allowed to view a copy of the risk assessment related to the job they are going to be doing.			
	All sources of energy are locked out either by the employee's own personal lock, the use of a lockbox, or equivalent method during servicing or maintenance of equipment.			
	In situations with energy from gravity, pins or blocks are used to secure a piece of equipment from moving onto a worker.			
	A process exists for verifying that lockouts are conducted as the procedure specifies.			
	When verifying proves that procedures are not being followed, a review is conducted to determine whether the original procedure is correct.			

Machine-Specific Lockout Procedures (continued)				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Equipment/ machine-specific posted lockout procedure (continued)	All equipment has a posted lockout procedure that lists all tasks expected to be completed on the machine, with related lockout steps to isolate specific hazardous energy.			
	An up-to-date, complete machine list is maintained to ensure all lockout postings are completed and auditable.			
	Specific procedural steps are in place for putting equipment back into service, including cleanup when work is complete.			
	Specific procedural steps are in place for ensuring equipment is safe to operate (with controls in place) before returning to regular operation.			
	A process is in place to identify multiple lockout interventions that may lead to missed steps when troubleshooting.			
	A process for circumvention of parts of a lockout procedure during troubleshooting includes additional necessary steps to prevent injury.			
	In considering communication (language, literacy, visuals), various methods of identifying lockout points are used.			
Comments (record below):				

Training				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
General	All employees who may work around equipment are trained to an awareness level on the requirements of the lockout program.			
	Awareness training documentation is available to all employees.			
Specific/ authorized to lockout	All employees know how to read a machine posted procedure.			
	All employees have demonstrated practical competency in training and on the floor.			
Authorized list of employees	The worksite has a list, by department, of individuals identified as needing to be 'authorized to conduct lockout'.			
Training list	According to the workplace training completion tracking system, fewer than ten percent of individuals (by department) still require training.			
Post training	Rules require new employees be shadowed by experienced, knowledgeable employees when learning lockout policies and procedures.			
	Experienced and knowledgeable employees have the authority to sign off on new employees who have demonstrated understanding of classroom and practical training.			
	Documented competency verification checks are completed on all newly trained employees and others on a scheduled basis.			
Training instruction	Instructors who provide training on lockout are considered competent persons as defined in the legislation.			

Training (continued)				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Training instruction	Instructors who provide training on lockout have extensive knowledge of lockout and associated company policies and procedures.			
	Instructors who provide training on lockout have been with the organization for an appropriate amount of time.			
	Instructors who provide training on lockout are not considered new employees (unless brought in specifically for lockout training).			
	Instructors who provide training on lockout use advanced instruction techniques during their training sessions.			
	Instructors who provide training on lockout provide hands-on experience when working with learners through practical exercises.			
Comments (record below):				

Specific Lockout Procedures and Processes				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Pipe/equipment flange	References to the appropriate installation of pipe flanges are included in lockout procedures.			
Vehicle servicing and maintenance	Maintenance personnel utilize written procedures to assure control of hazardous energy during vehicle servicing and maintenance.			
Labeling	Energy isolation devices are properly identified with labels containing names and equipment numbers to support lockout of correct devices.			
	A review process addressing improper equipment identification (labeling) is in place.			
	Changes are made when machines or equipment have not been appropriately labeled.			
	Lockout tags are attached to locks to supplement work details.			
	Lockout tags are consistently used and clearly identify scope of work.			
Comments (record below):				

Specific Lockout Procedures and Processes (continued)				
Arc Flash				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Arc flash/lockout	The site requires an energized work permit any time work is performed on live electrical equipment, except during tasks such as testing, troubleshooting, voltage measurement.			
	The site requires that energized work permits be approved by a plant manager (or equivalent) before beginning work on live electrical equipment.			
	The site requires an energized work permit for DC voltages for batteries. (Note: Trip protection on a main switchgear utilizes a battery bank requiring maintenance. This task should have a dedicated procedure as it requires DC voltage to complete.)			
Arc flash – study	The site has completed an arc flash study.			
	Based on an arc flash study, the site has implemented sufficient controls to minimize arc flash potential based on risk.			
	The arc flash study has been reviewed in the past five (5) years.			
Arc flash – labeling	All electrical panels and disconnects have warning labels indicating ratings, personal protective equipment requirements, and hazard boundaries.			
Arc flash – preventative maintenance	The facility has an ongoing preventative maintenance program in place to ensure electrical conditions remain within parameters of the current arc flash study.			
	The procedure outlines authority to energize and de-energize circuit breakers.			

Specific Lockout Procedures and Processes (continued)

Arc Flash (continued)

Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Arc flash – preventative maintenance (continued)	The procedures outlines ensuring all control switches are turned off prior to re-energizing equipment to prevent possible surge or flashover.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Line Breaking

Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Hazardous systems	The site requires special permits for opening piping that transports hazardous materials or gases.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Special permits related to specific tasks are identified in posted procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safeguards	The facility requires the use of appropriate levels of personal protective equipment, including respiratory protection and gas monitoring before opening hazardous chemical systems (if required).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments (record below):

Specific Lockout Procedures and Processes (continued)				
Interlocks				
Subcategory	Statement	Select One		
		Y	N	N/A
Use of interlocks	Interlocks are used as a means of stopping equipment in a timely manner.			
	Interlocks are not used as a replacement for proper lockout.			
	Assessments are completed to determine if and when interlocks can be used.			
Monitoring Program Effectiveness and Evaluation				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Program effectiveness and evaluation	A review of the entire lockout program, including the documented program procedures, incident reports, observations, and other information is available to evaluate program effectiveness.			
	A review of the entire lockout program takes place after an injury or incident, to determine whether the incident was caused by a flaw in an associated lockout procedure.			
	In the case of identified mistakes, errors, or omissions of the lockout process, an investigation into these variables takes place to determine incident causes.			
	Incident causes are examined in more detail and are addressed through updates to the appropriate lockout policies and/or procedures.			

Specific Lockout Procedures and Processes (continued)				
Monitoring Program Effectiveness and Evaluation (continued)				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Monitoring – corrective actions	Corrective actions pertaining to lockout are recorded, responsibility is assigned, and expected completion dates are established.			
	Corrective actions are completed in a timely manner.			
Monitoring – safety committee	Safety committee members were invited to participate and provide feedback on the last lockout program review.			
Effectiveness – front line leaders	Front line leaders verify lockout guidelines are followed.			
	Front line leaders provide feedback to operators, maintenance personnel, and program administrators.			
Lockout evaluation	Lockout evaluations are conducted by the joint health and safety committee to determine consistent application of the lockout program.			
	Recommendations from lockout program evaluations are considered by program administrators and senior management.			
Comments (record below):				

Specific Lockout Procedures and Processes (continued)				
Other Requirements				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Contractors	Contractors entering the site are familiar with the lockout procedures they are required to follow.			
	Contractors are furnished with a list of equipment required to participate in the lockout procedure (including lock colours, hasps, signing permits, and appropriate notifications).			
	The company audits contractors for compliance with other requirements to determine safety consciousness and adherence to company rules.			
	The lockout program administrator has the authority to expel a contractor (individual and company) in the case of any contravention of regulatory requirements or company policy.			
Shift change procedure	Lockout procedures include provisions for when workers, upon completion of a shift, remove their locks and transfer the task to other workers on the same permit.			
	Procedures include the use of operations or placement of control locks on breakers and valves to maintain lockout when workers are starting or ending their shifts.			
Lock removal process	A lock removal process is in place to ensure safety of all personnel in the case of a worker leaving a site without removing a lock. (<u>Note:</u> This includes safety provisions when locks are either destroyed or removed with a key in the possession of a supervisor or security personnel.)			
	The lock removal process includes a thorough review of the area to be locked out, factoring in determining that no workers would be in the area that could start up upon restoration of power.			

Specific Lockout Procedures and Processes (continued)				
Other Requirements (continued)				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Lock removal process (continued)	The joint health and safety committee assumes a role in reviewing the lock removal process.			
	When the lock removal process is used, an investigation into the causes of the event takes place, and a worker may face disciplinary action.			
Procedures for adjustments or use of alternate procedures	A process is in place that details necessary steps in the event adjustments or alternate procedures must be followed.			
	An authorized person remains available to permit adjustments or alternative procedures.			
	Worker safety is not compromised to complete tasks more quickly.			
Comments (record below):				

Workplace Culture				
Subcategory	Statement	Select (Mark with X)		
		Y	N	N/A
Workplace culture	Front line leaders foster a culture that places more emphasis on safety than production.			
	The workplace culture is not negatively affected by issues associated with poor maintenance, older equipment, or a lack of resources.			
	The workplace culture is one that aligns with compliance with lockout policies and procedures, identifying these as a high priority.			
	The workplace culture reflects reprimand for workers who bypass procedures, discouraging unsafe practices.			
	Workers feel they can speak to their supervisors if they make a mistake while locking out (to prevent potential re-occurrences).			
	There is no fear of reprisal for workers when they report potential errors done by themselves or other co-workers.			
Comments (record below):				



Additional Assessment Information

Additional comments (not otherwise addressed above):

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Next steps:

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Completion date (if different from start date):

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