

**RESOLUTION NO. 463-22    11/22/22    COL BLD, HWY, PKS Lockout/tagout Policies**

**Amending the Cayuga County Buildings & Grounds, Highway & Parks Lockout-Tagout Policies**

**BY: Christopher Petrus, Chair, Government Operations**

WHEREAS, the County Legislature has adopted numerous policies and procedures for conducting County business and others which are mandated by Federal and State governments; and,

WHEREAS, the format was changed to be uniform with all county policies; and

WHEREAS, the County wishes to amend the Lockout-Tagout policy, now therefore be it

RESOLVED, the Cayuga County Legislature does hereby amend the Cayuga County Building, Highway & Parks Policy; and be it further

RESOLVED, that the policy be posted to the County Website, and e-mailed to Department Heads by the clerk of the Legislature Office; and it is further

RESOLVED, that each Department will review their policies semi-annually; and be it further

RESOLVED, that this resolution will take effect immediately upon its adoption.



*State of New York }  
County of Cayuga }*

*I do hereby certify, that I have compared the forgoing copy of a Resolution duly passed and adopted by the Cayuga County Legislature at a meeting held on the 22nd day of November 2022 with the original Resolution, and that the same is a true and correct copy and transcript thereof, and the whole thereof.*

*Given under my hand and official seal November 23, 2022*

*Sheila Smith*

*Clerk, Cayuga County Legislature*

**DEPARTMENT:** Buildings & Grounds, Highway, & Parks

**POLICY TITLE:** Lockout/Tagout/Verify Policy

**EFFECTIVE DATE:**

**RESOLUTION NO.:**

**SUPERSEDES POLICY OF:** 5/28/2013, res.# 192-13

## **POLICY STATEMENT**

This policy has been developed to ensure that equipment is de-energized, physically removed and isolated from internal and external power sources prior to conducting services or maintenance activities during which the accidental start-up or release of energy could cause injury or death. The primary purpose of this policy is to promote the safety and protection of County employees responsible for servicing and maintaining equipment. Additionally, the policy serves to 1) protect affected employees from being harmed by using equipment that is not operating properly or is in the process of being serviced, and 2) protect County owned equipment and facilities from damage caused by operation of faulty machinery or systems.

Cayuga County has a sincere concern for the welfare and safety of all County employees and the public they serve, with the goal of eliminating suffering and the cost of avoidable personal injury and illness. The County is dedicated to assuring that every job is conducted safely, and that operational expediency, including the use of short cuts, does not compromise the safety and well being of employees and the public.

This Policy is applicable to all County departments whose employees service or maintain energized equipment. If an individual department has developed its own Lockout/Tagout/Verify policy, that policy will be acceptable for use as long as it provides equivalent protection to workers and equipment/facilities. Contractors/subcontractors etc. that work for the County must adhere to this procedure or be able to demonstrate that they have a have a program in place that provides equivalent protection.

This policy shall be maintained by each department to which the policy applies in a location that is accessible to all department employees.

## **GENERAL**

29 CFR 1910.147 Control of Hazardous Energy [Lockout/Tagout] – establishes the requirements an employer must follow to disable machinery and equipment and to prevent the release of potentially hazardous energy during the servicing and maintenance of that machinery and equipment. The Lockout/Tagout standard requires employers to develop and implement lockout/tagout programs and to

train their employees to follow required procedures during servicing and maintenance work.

Some of the associated regulations that pertain to this policy include:

- 29 CFR 1910.269 – Electric Power Generation, Transmission and Distribution
- 29 CFR 1910 Subpart S - Electrical
- 29 CFR 1910 Subpart O – Machinery and Machine Guarding

## **TRAINING**

Each authorized employee will receive training in the recognition of applicable hazardous energy sources, the type and magnitude of the energy possible in the workplace, and the methods and means necessary for energy isolation and control. Authorized employees will be instructed in the purpose and use of the energy control procedure.

All other employees whose work operations are, or may be, in an area where energy control procedures are utilized (affected employees) will be instructed in the procedure and about the prohibition relating to attempts to restart or reenergize machines or equipment which are locked out or tagged out.

Retraining will be provided for all employees whenever there is a change in their job assignments, a change in machines, equipment or processes that present a new hazard, or when there is a change in the energy control procedures. Additional retraining will be conducted whenever a periodic inspection reveals, or when the employer has reason to believe, that there are deviations from or inadequacies in the employee's knowledge or use of the energy control procedures. The retraining will reestablish employee proficiency and introduce new or revised control methods and procedures, as necessary.

**Appendix A** presents the outline for the County's Lockout Tagout training presentation. Department Heads will utilize this presentation, coupled with equipment/system-specific lockout-tagout procedures to train authorized employees. The presentation can also be used in whole or in part to instruct other employees (affected employees) in the appropriate aspects of the Lockout/Tagout program.

**Appendix B** presents a Lockout/Tagout Training Certification form. The form will be used for documenting each employee's name and date of training. Training Certification forms will be maintained by the Department Head.

## **RESPONSIBILITIES AND AUTHORITY**

The following identifies some of the responsibilities for various parties affected by this policy.

**County Management (County Legislature, Compliance Officer, County Administrator and/or their Appointed Risk Management Committee)**

- Ensuring that Federal, State and Local laws, regulations, codes and ordinances are followed.
- Developing this Lockout/Tagout/Verify and other policies, accident prevention methods, procedures and programs.
- Developing policies, accident prevention methods, procedures and programs.
- Conducting annual Lockout/Tagout/Verify inspections at all locations where the policy is applicable.
- Supporting the Department Heads in the implementation and enforcement of this policy including the allocation of funding and assistance to assure appropriate employee training, acquisition of required equipment and the development of lockout/tagout procedures for specific equipment.

## **Department Heads**

Department Heads are responsible for:

- Assure appropriate training for employees.
- Maintaining training records for employees.
- Identifying and labeling all work area hazardous energy sources or equipment that requires lockout/tagout.
- Developing, documenting, implementing, and enforcing specific energy control procedures for each hazardous energy source.
- Maintaining a lockout/tagout record log that records the following: the date and time a lockout/tagout was issued, the name of the authorized employee performing the lockout/tagout, the exact location of the lockout/tagout, the name of the system being locked/tagged out, the reason for the lockout/tagout, and the date and time the lockout/tagout was removed.
- Providing the resources, including tags, locks, and keys, as appropriate, and direction necessary to ensure that an effective program is in place and followed
- Providing for the appropriate lockout/tagout training to authorized and affected employees.

## **Supervisors**

Due to their constant contact with employees, supervisors must take a primary role in the prevention of accidents and the safety of employees under their supervision. Supervisor's responsibilities include:

- Ensuring that only authorized employees trained in lockout/tagout procedures perform lockout work
- Ensuring that “affected employees” are notified before lockout/tagout is applied and after the lockout/tagout is removed (before the equipment is started).
- Verifying that subcontractors engaged in activities covered by the scope of OSHA/PESH’s Control of Hazardous Energy Standard [29 CFR 1910.147] read and abide by this policy and applicable lockout/tagout procedures OR that they have more protective program that will be implemented for a given project.
- Ensuring that affected employees that will be affected by a subcontractor’s lockout/tagout procedure or program, understand and comply with the restrictions and prohibitions of the subcontractor’s energy control program.

## **Authorized Employees**

Authorized employee responsibilities include:

- Reading, understanding and following the procedures and practices outlined in this policy.
- Adhering to specific energy control procedures developed for hazardous energy sources or equipment,
- Implementing the energy control procedure, including positioning the energy isolation device and physically testing the equipment to ensure the equipment is isolated
- Assisting in identifying hazardous energy sources, equipment and systems that require development lockout/tagout procedures.
- Providing affected persons in the area with the expected start date, start time, and duration of the project and a description of all the systems affected
- Immediately reporting all accidents, incidents, or hazardous or unsafe conditions to their supervisors and/or Department Head and/or County Administrator.
- Attending appropriate training as identified by this policy and enforced by their supervisors.

## **Affected Employees**

Affected employee responsibilities include:

- Reading, understanding and following the procedures and practices outlined in this policy.
- Attending lockout/tagout awareness training as identified by this policy and enforced by their supervisors

## **DEFINITIONS**

**Affected Employee:** Employees whose jobs require them to operate or use a machine or equipment on which servicing or maintenance is being performed under the lockout/tagout/verify procedure, or whose job requires them to work in an area where servicing and maintenance work is being performed

**Alternative Measures:** These are OSHA's terms for providing operator safety without completely de-energizing the system. Alternative measures include circuits, pins, valves, or blocks, which provide adequate safety and include verification, for the affected personnel that the system is safe.

**Approved Electrical Devices:** These are specifically identified electrical switches that may be operated by any employee, including non-electrical personnel, as their work requires. These switches have been approved by the appropriate personnel for operation by non-electrical employees. Approved Electrical Devices include the following:

*“Authorized Switches”* - Switches that are typically associated with building service receptacles and crane grabs. Any employee may operate these switches, as their work requires.

**Authorized Employee:** A person (Supervisor, Engineer or Operator) who locks out or tags out machines or equipment in order to perform service or maintenance. An affected employee becomes an authorized employee when that employee's duties include performing servicing and maintenance.

**Capable of Being Locked Out:** An energy-isolating device is capable of being locked out if it has a hasp or other means of attachment to which, or through which, a lock can be affixed, or if it has a locking mechanism built into it.

**Control Circuit:** A circuit which contains switching devices that control the activation and/or specific operations of a piece of equipment. Control circuits are poor locations to apply lockout devices since they do not necessarily disconnect input power.

**Disconnect Switch:** A lockable electrical switch which physically disconnects equipment from its input electrical power source.

**Energized:** Equipment and/or machinery that is still connected to an energy source or that contains residual pressure or stored energy.

**Energy Isolation:** Removal of energy of all types from a system by electrical and mechanical means.

**Energy Isolating Device:** A mechanical device that physically prevents the transmission or release of energy. (Examples: manually operated electrical circuit breaker, a disconnect switch, slide gates, valves, blocks, pins and blind flanges.) This term does not include control circuit devices such as push buttons, toggle switches, pressure switches, solenoid valves and similar devices. If a slip blind is used, its presence as an isolating device shall be readily discernible.

**Energy Source:** Any source of electrical, mechanical, hydraulic, pneumatic, chemical, thermal, gas, water, steam, air, or other energy.

**External Energy Source:** Energy sources which are external to equipment such as electrical, hydraulic, pneumatic, gas, vacuum, high temperature, cryogenic temperature, mechanical, etc. that could cause harm to personnel or equipment.

**Group Lockout:** When servicing and/or maintenance is performed by a group, they shall use a procedure that gives them a level of protection equivalent to that of a personal lockout or tagout device.

**Hot Tap:** A procedure used in the repair, maintenance, and services activities, which involve welding on a piece of equipment (pipelines, vessels, or tanks) under pressure, in order to install connections or appurtenances. It is commonly used to replace or add sections of pipeline without the interruption of service for air, gas, water, steam, and petrochemical distribution systems.

**Internal Energy Source:** Energy sources such as capacitors, batteries, hydraulic line pressures, coiled springs, etc. which are internal and could potentially be released and cause injury after all external energy sources have been disconnected and secured.

**Lockout:** The placement of a lock on an energy-isolating device in accordance with established procedures, ensuring that the energy isolating device and the equipment cannot be operated until the lockout device is removed.

**Lockout Device:** A device that uses a positive means, such as a lock, to hold an energy isolating device in a safe position to prevent the energizing of a machine or equipment. This includes blank flanges and bolted slip blinds.

**Locks:** Locks are defined as follows:

- **Equipment locks** are devices to lockout equipment in the safe position for energy isolation when performing service or maintenance.
- **Personal locks** are used by an individual to provide his/her personal protection from release of hazardous energy, while performing service and/or maintenance.
- **Lock/tag:** Locks/tags is equivalent to the phrases “locks and tags”, “locks or tags”, “locks and/or tags” or “locks with tags” and may be used interchangeably throughout this document. The phrase lock/tag signifies that a lock and tag shall always be used together to identify who performed the lockout. This applies unless a tag only situation is appropriate.

**Maintenance:** See Servicing and/or Maintenance.

**Normal Production Operations:** The use of a machine or equipment to perform its production functions.

**Primary Authorized Employee:** This employee is the authorized employee who exercises overall responsibility for adherence to the location's lockout/tagout/verify procedure.

**Qualified Employee (for Device Operation):** Any properly trained employee is qualified to operate all mechanical isolating devices and any approved electrical isolating devices. Electrical maintenance personnel are qualified to operate all electrical isolating devices.

**Repetitive:** Performed more than once every shift.

**Routine:** Happening often, although in random fashion.

**Servicing and/or Maintenance:** Workplace activities such as constructing, installing, setting up, adjusting, inspecting, modifying, and maintaining and/or servicing machines or equipment. These activities include lubrication and cleaning of machines or equipment and making adjustments where the employee may be exposed to the unexpected energization or start up of the equipment or release of hazardous energy

**Setting Up:** Work that is performed to prepare a machine or equipment for normal production operation.

**Tag:** Used: 1) to identify the person being protected by a personal lockout device, 2) to identify who applied the lockout device and who requested the equipment and/or job locks, 3) in lieu of a lock when an energy isolation device is not capable of accepting a lock. The location uses the White Personal Danger Tag and the Yellow Equipment Warning Tag.

**Tagout:** The placement of a tagout device on an energy-isolating device in accordance with an established procedure, to indicate that the energy isolating device and the equipment being controlled may not be operated.

**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 an established procedure, to indicate that the energy isolating device and the equipment being controlled may not be operated until the tagout device is removed.

**Trouble Shooting, Testing and Positioning:** This normally refers to the assessment of equipment problems and performance for maintenance/repair and evaluation purposes. When these activities requires an employee to by-pass a safety device and/or enter a point of operation, or associated danger zone, lockout/tagout procedures shall be followed.

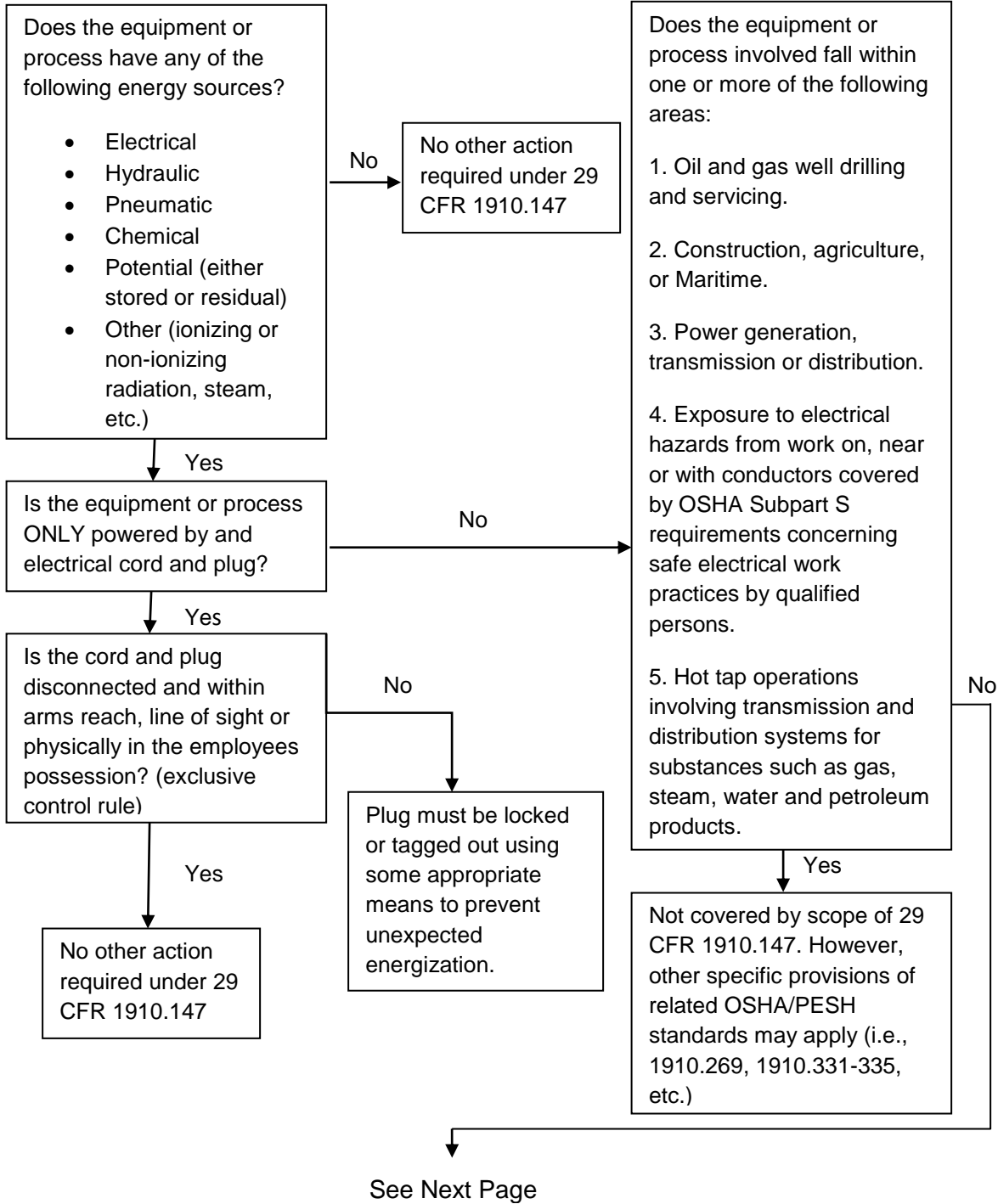
**Verification:** The process of ensuring that all energy sources for the machine or equipment have been isolated and controlled. Examples: operating start controls, engaging levers, measuring voltage, or inspecting lockout devices in the area.

**Zero Energy:** All equipment is isolated from its energy sources and stored energy is dissipated or restrained.



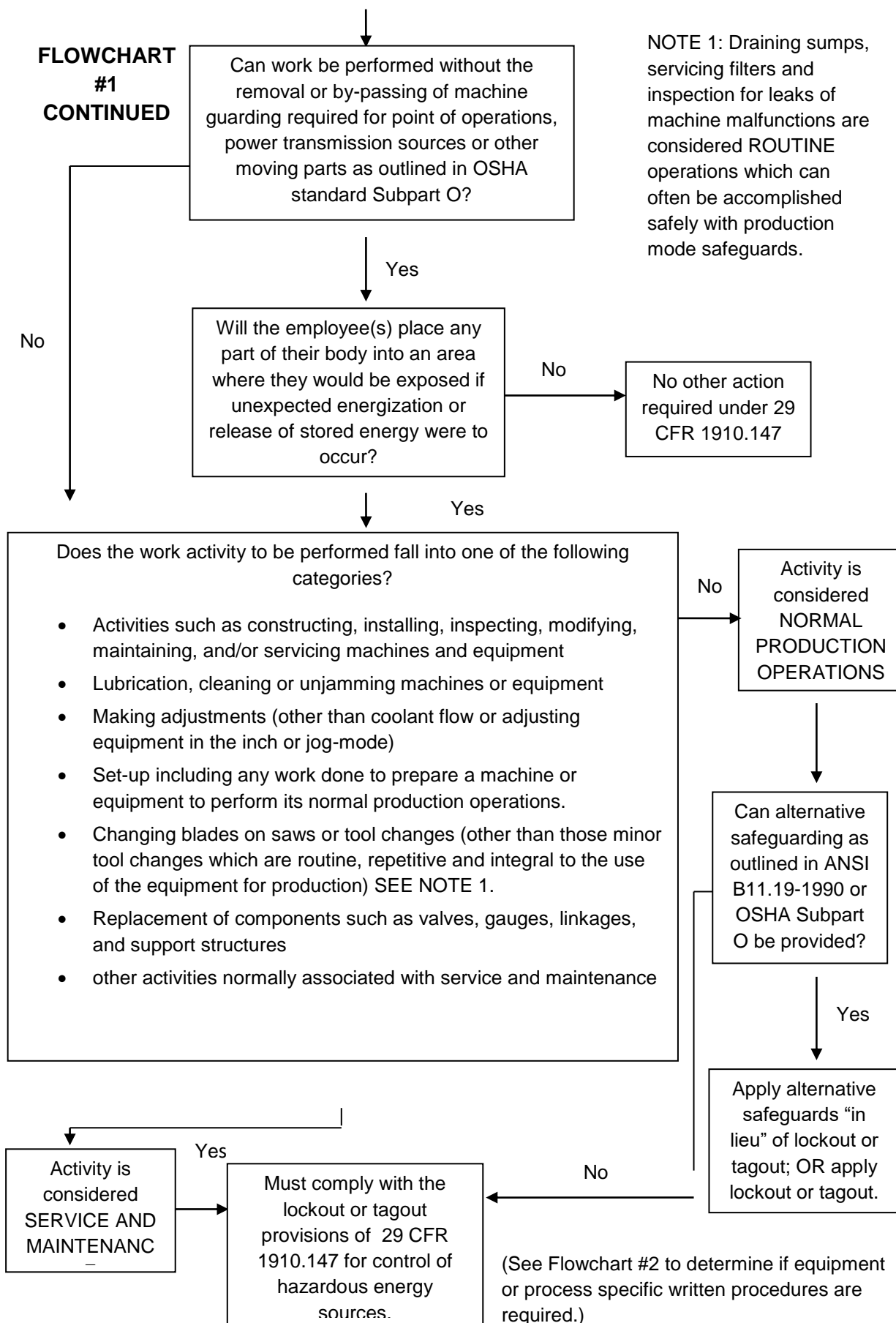
**DECISION FLOW CHARTS**

**FLOWCHART #1  
DETERMINING IF 29 CFR 1910.147 - CONTROL OF  
HAZARDOUS ENERGY APPLIES**

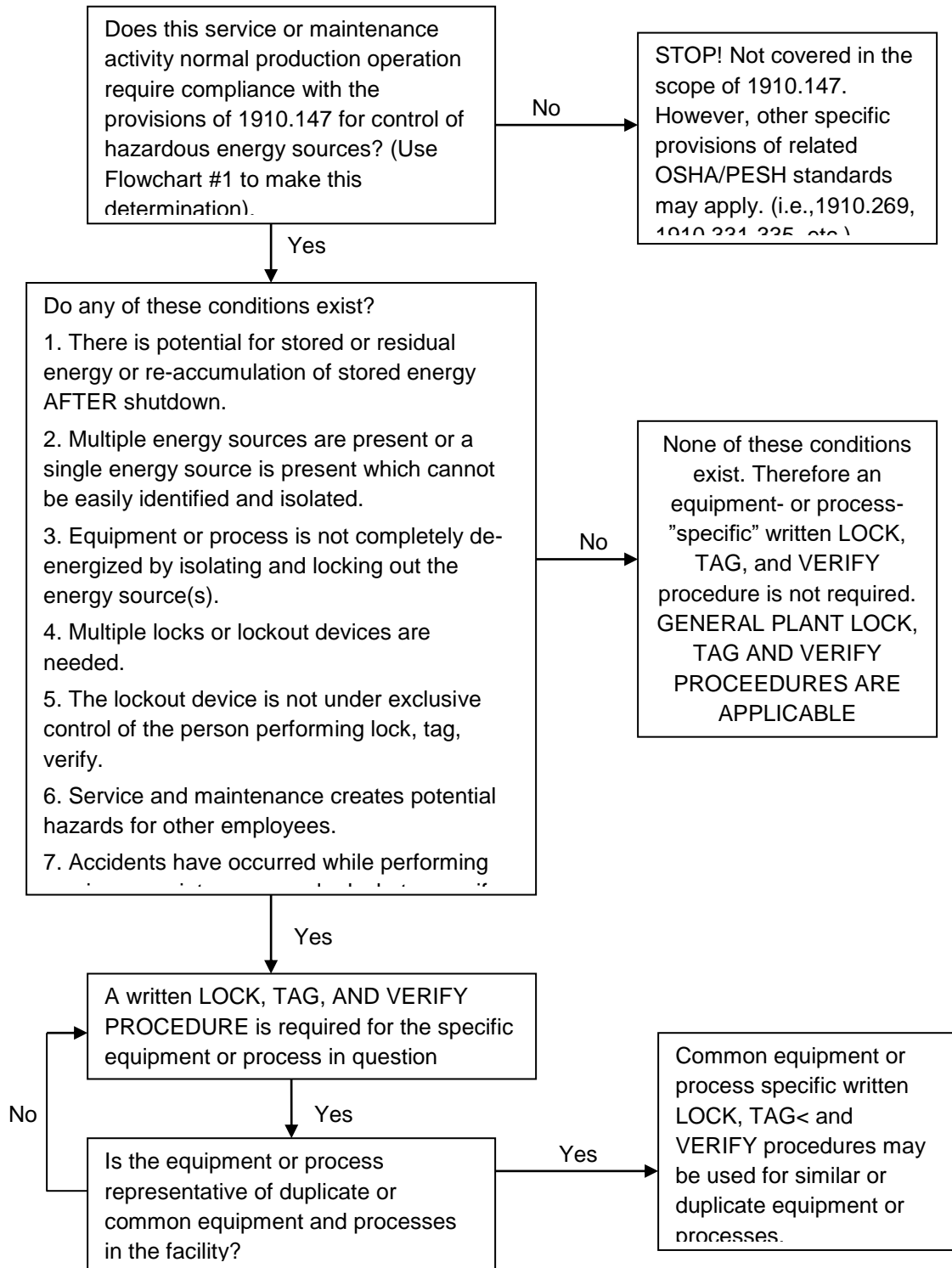


**FLOWCHART #1 CONTINUED**

NOTE 1: Draining sumps, servicing filters and inspection for leaks of machine malfunctions are considered ROUTINE operations which can often be accomplished safely with production mode safeguards.



**FLOWCHART #2**  
**DECISION FLOW CHART-EQUIPMENT/PROCESS SPECIFIC LOCK, TAG,**  
**AND VERIFY WRITTEN PROCEEDURES**



## **LOCKOUT/TAGOUT/VERIFY PROCEDURE GUIDELINES**

Employees are ultimately responsible for ensuring that equipment is disconnected from all hazardous energy sources and secured in a zero-energy state before attempting any work that could expose them to hazardous energy sources, including maintenance and servicing activities. Each exposed employee is responsible for applying their lockout/tagout device to secure the input energy source(s) prior to beginning any work activities. Whenever more than one employee is working on the same piece of equipment or project, multi-lock hasps (gang locks) shall be used and each employee shall apply his/her lock. Another person's lockout shall never be relied on for protection. The following steps must be followed before work begins:

1. **Notify Affected Employees of Work:** Before beginning work on any equipment or system notify all affected employees in the area of the shutdown.
2. **Reference Equipment Shutdown and LOCKOUT Procedures:** Pieces of equipment or systems shall have written procedures which prescribe specific shutdown and lockout methods. These procedures are often included in operating manuals and shall be referenced and followed prior to performing any work activities.
3. **Identify All Internal and External Energy Sources:** Many pieces of equipment have more than one energy source that must be controlled. All external energy sources such as the input electrical supply, compressed air lines, water supplies, etc. must be addressed. In addition, internal energy sources such as charged capacitors, batteries, coiled springs, etc. must be identified. Schematic diagrams and operator manuals shall be available and referenced for assistance in identifying input power requirements and internal energy sources.
4. **Physically Disconnect and Isolate Energy Sources:** Once all energy sources have been identified, the next step is to physically disconnect and/or shut off the source(s) with appropriate energy-isolating-devices and secure them in the off/disconnect position.
5. **Perform Initial Verification:** Before applying the lockout/tagout device, verifications must be made to ensure that the energy sources have indeed been disconnected. Never assume that the proper energy source(s) has been disconnected because of your own or someone else's familiarity with the system or equipment. Depending on the system/equipment and the type of energy source(s), verifications can be made with voltmeters, pressure gauges, etc.
6. **LOCKOUT the Energy-Isolating Device:** Each energy source must be locked out to prevent others from inadvertently reconnecting or reenergizing the equipment. Lockout devices must always be applied at the input power source and not at the control circuit. Remember that many pieces of equipment have more than one switch or switching method from which they can be turned on thereby making control circuits poor places to apply lockout devices.

*Note: Exceptions for Cord and Plug Combinations – Equipment that can be de-energized for service by unplugging it from its power source does not require Lockout/Tagout if the unplugged power cord is under the exclusive and immediate control of the person performing the work (i.e., the plug is within sight and within reach of the person performing the work). Lockout/Tagout is required for all other equipment.*

7. TAGOUT the Energy-Isolating Device: A “Danger Do Not Operate” tag shall be installed at the energy-isolating-device(s). The tag shall be marked with the name and phone number of the person performing the Lockout/Tagout, the date and other necessary and appropriate information.

8. Perform Final and Periodic Verifications: Always perform a final verification before proceeding with the work that is to be performed. Verification shall include checking that electrical systems show no voltage present (and are grounded if applicable), fluid and pneumatic systems are depressurized and vented (or drained if applicable) and all isolation devices are properly positioned, inoperable and appropriately tagged. If the work will be performed for an extended time period, periodic verifications must be performed to ensure the integrity of the lockouts which have been applied.

### **Performing a Tagout Only**

1. Some devices cannot physically be locked out. For these situations, a “Danger Do Not Operate” tag may be used in place of a lock if it is appropriately applied at the energy-isolating-device and at the control panel. The Tagout must be checked frequently when working under a Tagout only, to ensure that it is still in place.

2. Additional measures are necessary to provide the equivalent safety available from the use of a lockout device, such as the removal of an isolating circuit element, blocking of a controlling switch, opening of an extra disconnecting device or the removal of a valve handle to reduce the likelihood of inadvertent energization.

### **Removal of a Lockout/Tagout Device**

1. Routine Removal: Lockout/Tagout devices shall only be removed by, or under the direction of, the individual who applied the device and whose name appears on the tag.

2. Non-Routine Removal: If the person who applied the Lockout/Tagout device is unavailable, the direct supervisor of the person who applied the Lockout/Tagout device has authority to remove the device, after verifying the unavailability of the individual who applied the lock and ensuring that removal will not jeopardize the safety of other workers. As part of the removal and restoration process, the supervisor shall ensure that:

- The equipment is operationally intact.
- Components with the Lockout/Tagout boundary that have been manipulated during maintenance, testing or other work are positioned to permit operation, if required.
- Components that could cause automatic operation of a circuit breaker or a motor/air operated valve when control power or pressure is restored shall be in a position such that automatic operation will NOT occur during removal of Lockout/Tagout.

Upon completion of this verification process, the supervisor shall obtain a backup key and remove the lock.

3. **Emergency Removal:** In emergency situations when a lock must be removed and the individual who applied the lock is not available, the direct supervisor of the individual who applied the lock, or the person in charge of an emergency response, may use forcible means (bolt cutters, etc.) to remove the lock only after ensuring that no hazards exist.

### **Lockout/Tagout Hardware**

Whenever possible a padlock must be used to secure the disconnect mechanism or the energy isolating device. The use of a padlock and appropriate key control measures are the most effective way to prevent other workers from inadvertently re-energizing a piece of equipment.

*Note: All new equipment installations and existing installations requiring periodic work involving hazardous energy sources shall be equipped with energy-isolating-devices capable of being locked out.*

1. **Padlocks:** Most disconnecting devices are capable of being locked out with a standard padlock. Therefore, all persons who perform maintenance or servicing of power operated equipment shall be issued individually keyed padlocks to secure disconnecting devices in accordance with this policy.

*Note: Locks used for controlling hazardous energy sources must be accompanied by a “Danger Do Not Operate Tag.”*

*Note: Locking devices must be substantial so that they cannot be removed or bypassed while workers are depending on them for protection.*

2. **Key Control:** Keys for locks which are used to control hazardous energy sources must be strictly controlled for the procedure to be effective. Each padlock will have two keys; one key will be assigned to the employee at the time the lock is checked out, and the other key will be retained by the employee’s supervisor. Keys that are assigned to the employee must be kept under their control.

3. **Multi-Lock Hasps (Gang Locks):** Whenever more than one employee is working on a system or piece of equipment, multi-lock hasps must be used and each worker must apply his/her lock to the hasp.

4. **Supplemental Locking Devices:** A number of energy isolating mechanisms such as circuit breakers, valves, plugs, etc. may require the use of supplemental equipment before a padlock can physically be applied for the purpose of securing an energy source. These devices are allow workers to lockout energy sources in lieu of simply applying a tagout.

5. **“Danger Do Not Operate” Tags:** At a minimum tags must include the following information; the name and telephone number of the individual who is applying the tag and the date the tag is applied. It is also helpful to include additional information on the tag as to its purpose



*Note: “Danger Do used on equipment*

*Note: Tags used for hazardous energy withstand exposure to installed, for as long as they are expected to be there.*

*Not Operate” tags must never be that is energized or in service.*

*the purpose of controlling a source shall be durable enough to the environment where they are*

### **Working on Energized Equipment**

Because of the high level of hazard, work on energized equipment shall be strenuously avoided. Equipment shall be designed and installed in a manner that eliminates the need for energized work, or arrangements will be made to have the work performed outside normal working hours when the equipment can be de-energized, if possible.

Situations may still occur that require work to be performed on equipment that is not in a Zero-Energy-State, such as performing measurements, adjustments, calibration or trouble shooting. In these instances, necessary controls shall be identified and implemented to reduce the risk to an acceptable level. This may include, but is not limited to having a properly trained and equipped observer present during the work, using appropriate personal protective equipment and limiting the volume or strength of the energy source.

Work on energized equipment that must be done on a periodic or routine basis shall be addressed in an approved SOP or other formal procedure.

**CAYUGA COUNTY**

**LOCKOUT/TAGOUT/VERIFY POLICY**

I certify that I have read, understand, and agree to the terms set forth in this policy. I further understand that if I have questions regarding the information provided in this policy, I can request such information from my supervisor, or Department Head.

Employee Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Printed Employee Name: \_\_\_\_\_



**APPENDIX B  
CAYUGA COUNTY**

**LOCKOUT/TAGOUT TRAINING CERTIFICATION**

DEPARTMENT: \_\_\_\_\_

The individuals identified below have been trained in the provision of the Cayuga County control of hazardous energy (lockout/tagout/verify) program.

Date	Trainer's Initials	Name (Printed)	Signature	(Check all that apply)		
				Auth	Affect	Other
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
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				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____

**Notes:**

- Auth – Authorized Employee
- Affect – Affected Employee
- Other – Specify (contractor, vendor, etc.)

**Trainer** – Please attach outline of training topics and materials used.

**Distribution** – Department Head

**Note: Policy shall be reviewed Semi-annually by Buildings & Grounds, Highway & Parks. Revisions must be in Resolution form, go through the Government Operations Committee and approved by the Legislature.**