

Corporate Process Requirement No: CPR400.1.1.7
Sponsor: Dori Ellis, 4000, Acting

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February 25, 2003



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GN470037 – ADMINISTRATIVE CONTROL PROCEDURE

Subject Matter Expert: [Ralph Fevig](#); CA Counterpart: [Herman Armijo](#)

GN470037, Issue J (I not used)

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Review Date: March 22, 2004

Administrative Changes: July 1, 2003, June 29, 2005, February 8, 2006, September 28, 2006, and [February 8, 2007](#)

* Indicates a substantive change

[Change History](#)

- [*Scope & Applicability](#)
- [*General Administrative Control](#)
- [*Applying Administrative Control Devices](#)
- [*Duration of Administrative Control](#)
- [*Removal of Administrative Control](#)
- [*Transition from Administrative Control to Lockout/Tagout](#)
- [*Related Hazards and Activities](#)
- [*References](#)

*SCOPE & APPLICABILITY

This section applies to [Members of the Workforce](#) whose activities include the use of locks or tags to prevent unauthorized use of or access to equipment or systems.

*GENERAL ADMINISTRATIVE CONTROL

Managers shall be responsible for ensuring that administrative control:



- Is **not** used for protection of individuals while they are maintaining, repairing, or servicing equipment.
- Is **not** used on doors, gates, entryways, or other means of personnel access (see [CPR400.3.15](#), "Locks, Keys and Combinations" for security locking requirements).
- Does **not** use red-banded locks or tags with a prominent red/black/white "Danger" caveat.

Guidance

Administrative control devices should be used as follows:

- When controlling the use of equipment for "authorized personnel use only," the organization's local procedures, training, and tags should identify the responsible individual or point of contact for the placement or removal of the administrative lock.
- Individual organizations should issue administrative locks (i.e., locks without red bands) and tags as needed.
- Members of the Workforce should control keys and combinations to administrative locks.
- It is recommended that organizations maintain a logbook (hard or electronic) that records the use of administrative tags and locks. This logbook should be reviewed annually.

The following are some **examples** of suitable use of administrative locks and tags:

- Equipment is (suspected of being) defective or faulty and cannot be used without producing further damage.
- Equipment is placed out-of-service for extended period of time.
- Equipment is likely to fail in use.
- Equipment is awaiting service personnel who will perform lockout/tagout.
- Equipment is configured in a special manner or is deemed to be essential in its operational state, and any changes in operating parameters or configuration will impair its proper operation.
- Operation may result in undesirable environmental consequences.
- An actual or potentially hazardous environment exists, and access **should** be restricted.
- Equipment may require special training or authorization to use.
- Newly installed equipment or systems have **not** yet been fully tested or approved for use.

Sandia indexed tags can be obtained by printing, [Administrative Control Tag](#), or by consulting the administrative control [subject matter expert](#).

*APPLYING ADMINISTRATIVE CONTROL DEVICES

Members of the Workforce shall use locks and tags for administrative control that are clearly distinguishable from the red-banded Master locks and tags used for lockout/tagout. See CPR400.1.1/MN471001, [Section 4C](#), “Lockout/Tagout (LOTO),” for additional information on **LOTO** devices.

Guidance

Members of the Workforce should apply administrative control devices as follows:

- Use administrative locks with an accompanying caution tag.
 - The tag may be eliminated when circumstances prevent its use.
- The caution tag should display the following information:
 - Name and phone number of the person applying the administrative control.
 - Date the tag was applied.
 - Brief explanation of the reason for the control or consequences of its removal.
- Ensure the tag is clearly visible and cannot be inadvertently detached.

Note: If a lock cannot be attached, a caution tag may be used without a lock.

- Use best judgment for attaching and locating a tag for equipment that has no provisions for a lock. Find a convenient, easily visible place to attach the tag.
- Consider modifying frequently tagged equipment with a lockable device.

*DURATION OF ADMINISTRATIVE CONTROL

Guidance

Note: An administrative control has no prescribed maximum duration.

Members of the Workforce should:

- Anticipate the inconvenience to others that is caused by the application of an administrative control.
- Inform others affected by the application of administrative control.
- Provide [affected workers](#) with a best estimate of the duration of the disruption or unavailability of the equipment or system.
- Keep affected workers updated on the actions to correct the cause for applying administrative control.

- Dispose of equipment that has been administratively locked and tagged for extended periods of time.



*REMOVAL OF ADMINISTRATIVE CONTROL

Guidance

Members of the Workforce (**MOW**) should use the following guidance when removing administrative locks or tags:

- The **MOW** who applied the lock should remove that lock.
- In the absence of the **MOW** who applied the lock, the manager owning the system may approve others to remove that lock.



*TRANSITION FROM ADMINISTRATIVE CONTROL TO LOCKOUT/TAGOUT

Note: Defective equipment may be secured under administrative control while awaiting repair or replacement.

Members of the Workforce shall, prior to any work being performed on the equipment, supplement or replace the administrative control device with the appropriate lockout/tagout device to secure all energy sources in accordance with CPR400.1.1/MN471001, [Section 4C](#), "Lockout/Tagout (LOTO)."

*RELATED HAZARDS & ACTIVITIES

The following hazards and activities related to administrative locks/tags are found in [CPR400.1.1/MN471001](#), *ES&H Manual*.

Hazard/Activity	Reference
Electrical safety	Section 4B , "Electrical Safety Practices"
Pressure safety	Section 4D , "Pressure Safety Operations"
Cranes, hoists, and elevating work platforms	Section 4J , "Material Handling - Cranes, Hoists, and Forklifts"
Personal protective equipment (PPE)	Section 4L , "Personal Protective Equipment (PPE)"
Machines and tools	Section 4N , "Industrial Machine and Portable Power Tool Safety"
Lasers	Section 6G , "Lasers and Intense Light"
Confined spaces	Section 6I , "Confined Space Entry"
Local exhaust ventilation systems	Section 6P , "Local Exhaust Ventilation (LEV)"
Lockout/tagout procedures and devices	Section 4C , "Lockout/Tagout (LOTO)"

*REFERENCES

Requirements Source Documents

[29 CFR 1910.147](#), *The Control of Hazardous Energy (Lockout/Tagout)*.

Implementing Documents

SNL, CPR400.1.1/MN471001, *ES&H Manual*, [Section 4C](#), "Lockout/Tagout (LOTO)."

Related Documents

ANSI/ASSE Z244.1-2003, *Control of Hazardous Energy*.

ANSI/NFPA 70E, *Electrical Safety Requirements for Employee Work Places*.

[DOE 5480.19](#), *Conduct of Operations Requirements for DOE Facilities (Chg 2)*.

[DOE-STD-1030-96](#), *Guide to Good Practices for Lockouts and Tagouts*.

[29 CFR 1910, Subpart O](#), *Machinery and Machine Guarding*.

[29 CFR 1910.269](#), *Electric Power Generation, Transmission, and Distribution*.

[29 CFR 1910.333](#), *Selection and Use of Work Practices*.

[29 CFR 1926.417](#), *Lockout and Tagging of Circuits*.

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CHANGE HISTORY



GN470037, *Administrative Control Procedure*

February 8, 2007 Administrative Changes Only

This section was revised to:

- **Change:** the subject matter expert **from** Mark Warner **to** Ralph Fevig.
- **Add:** the NM and CA subject matter expert to the Direct Access Services (DAS) list under the new heading "Administrative controls."
- Under topic "General Administrative Control":



- **Change:** guidance **from** "Sandia indexed tags can be obtained by printing SF2001-ACT, Administrative Control Tag (Word file/Acrobat file), or by consulting the administrative control contact Steve Walcott" **to** "Sandia indexed tags can be obtained by printing Administrative Control Tag (Word file) or by consulting the administrative control subject matter expert."
- **Change:** the guidance **from** "Sandia indexed tags can be obtained by printing SF2001-ACT, Administrative Control Tag (Word file/Acrobat file), or by consulting the administrative control contact Steve Walcott" **to** "Sandia indexed tags can be obtained by printing the Administrative Control Tag (Word file) or by consulting the administrative control subject matter expert," as this tag is no longer a Corporate Form.
- **Change:** the guidance **from** "An actual or potentially hazardous environment exists and access must be restricted" **to** "An actual or potentially hazardous environment exists, and access should be restricted" to improve clarity.
- **Change:** reference **from** "Is not used on doors, gates, entryways, or other means of personnel access (see [CPR400.3.15](#), "Locks, Keys and Combinations" for security locking requirements)" **to** "Is **not** used on doors,



gates, entryways, or other means of personnel access (see [CPR400.3.15](#), "Locks and Keys" for security locking requirements)" to reflect updated CPR title.

- Under topic "Implementing Documents":
 - **Change:** reference from "SNL, CPR400.1.1/MN471001, *ES&H Manual*, Section 4C , "Lockout/Tagout for the Control of Hazardous Energy" to "SNL, CPR400.1.1/MN471001, *ES&H Manual*, Section 4C , "Lockout/Tagout (LOTO)."
- Under topic "Related Documents":
 - **Change:** the order of references, listing citations alphabetically then numerically.



September 28, 2006
Administrative Changes Only

This document was revised to:

- Under topic, "Related Documents":
 - **Change:** Reference to *Conduct of Operations for DOE Facilities* from change 1 to change 2.



February 8, 2005
Administrative Changes Only

This document was revised to:

- **Change:** The subject matter expert (SME) was updated from Steve Walcott to Mark Warner, throughout the document.





June 29, 2005
Administrative Changes Only

This document was administratively revised to:

- **Change:** Executive Policy Sponsor from Les Shephard to Frank Figueroa
-

December 13, 2004

This section was revised to:

- **Add.** The following new topics to expand upon the administrative locks and tags within the document:



- "Scope & Applicability "
- "General Administrative Control"
- "Applying Administrative Control Devices"
- "Duration of Administrative Control"
- "Removal of Administrative Control"
- "Transition from Administrative Control to Lockout/Tagout"

- **Delete.** The following topics as they were duplicative of CPR400.1.1/MN471001, ES&H Manual, Section 4C, "Lockout/Tagout (LOTO)":



- "General Lockout/Tagout Responsibilities"
- "Determining the Need for Lockout/Tagout"
- "Acquisition of Lockout/Tagout Devices"
- "Use of Lockout/Tagout Devices"
- "Records"



- “Standard Lockout/Tagout Procedure”
- “Equipment-Specific Lockout/Tagout Procedure”
- “Group Lockout/Tagout “
- “Members of the Workforce/Shift Change Transfer of Lockout/Tagout “
- “Lock and Tag Removal When the Worker Who Applied Them Is Absent”
- "Annual Inspections"
- "Manager's Self-Assessment of Lockout/Tagout"

- **Delete.** The following attachments:

- A – LOTO Contact, Device, and Sign Information
- B – Sample of a Completed Form for Equipment-Specific Lockout/Tagout



July 1, 2003
Administrative Changes Only

This section was administratively revised to:

- **Change.** Combine the content of Attachment A, “Contacts for LOTO Information and Obtaining Lockout/Tagout Devices,” and Attachment B, “Lockout/Tagout Devices and Signs,” into a new Attachment A, “LOTO Contact, Device, and Sign Information.”
- **Change.** Designate the previous Attachment C, “Sample of a Completed Form for Equipment-Specific Lockout/Tagout,” to Attachment B with the same title.



February 25, 2003
Interim Change

(Immediate posting of new or modified safety requirements pending final approval)

This section was administratively revised to:

- **Delete:**

- The entire section, "Centrally Controlled Group Lockout/Tagout" was deleted. Only one type of group lockout/tagout is allowed.



October 30, 2001

This document was changed to:

- **Add:**

- To the Section "General Lockout/Tagout Responsibilities, Requirements," the "note" that requirements in this section that involve the use of locks apply only to the SNL-standardized Master™ locks with red plastic bands.
- The entire Section "General Lockout/Tagout Responsibilities" from *ES&H Manual*, Section 4C, "Lockout/Tagout and Administrative Control Locking."
- The entire Section "Determining the Need for Lockout/Tagout" from *ES&H Manual*, Section 4C, "Lockout/Tagout and Administrative Control Locking."
- To the Section "Records, Requirements," the requirement to maintain records for a period of 1 year.
- To the Section "Acquisition Of Lockout/Tagout Devices, Requirements," "Step 5: Block or relieve stored energy sources," requirement to open piping flange joints or install blocking flange plates.
- The term "mandatory" to the section title "Performing Mandatory Annual Lockout/Tagout Implementation Inspections."
- A copy of the "Related Hazards and Activities" table from *ES&H Manual*, Section 4C, "Lockout/Tagout and Administrative Control Locking."





- **Change:**

- SME responsible for the document.
- The requirement that SNL Members of the Workforce shall communicate SNL lockout/tagout requirements and procedures to contractor personnel.
- Added clarification to guidance sections throughout the document.
- In the Section "Acquisition Of Lockout/Tagout Devices, Requirements":
 - Clarify that managers provide lockout/tagout-authorized personnel with lockout devices, such as circuit breaker and valve devices, chains, wedges, key blocks, adapter pins, self-locking hardware, and fastening hardware for Members of the Workforce to use in performing lockout/tagout.
 - Add a pointer to Attachment A, "Contacts for LOTO Information and Obtaining Lockout/Tagout Devices" for JIT sources for locks, tags, and lockout devices.
- Clarified the requirements in the Section "Use of Lockout/Tagout Devices."
- In the Section "Group Lockout/Tagout, Documenting Group Lockout/Tagout Procedures, Requirements," clarify that when Members of the Workforce are servicing, testing, or performing construction as a team, department, or other group, they shall use a lockout/tagout procedure that provides each of the members in the group a level of protection that is equivalent to one person attaching his/her lock and tag to each energy control device.
- In several sections, strengthen the requirements for communication between shifts or when workers rotate into and out of the group.
- In the Section "Group Lockout/Tagout, Implementing Group Lockout/Tagout for a Single Group, Requirements," "Option/Requirement" table, "Option 2" row, that the primary authorized individual:
 - Notifies lockout/tagout-affected personnel.
 - Deenergizes each energy control device.



- In the Section "Annual Inspections, Performing Mandatory Annual Lockout/Tagout Implementation Inspections, Requirements," rearrange the independent reviewer items in the bulleted list.

- **Delete:**



- From the Section "Use of Lockout/Tagout Devices, Requirements," table "Devices/Requirements," row "Attaching tags without locks," the requirement to "remove a draw-out circuit breaker from the switchboard."
- From the Section "Standard Lockout/Tagout Procedure," Step 5: Block or relieve stored energy sources," the requirement to isolate external battery banks from electrical or electronic circuits.
- The Subsection "Implementing Group Lockout/Tagout for Multiple Groups."
- Attachment D, "Lockout/Tagout Procedure Development Guide," and move the content to the LOTO web site.
- Attachment E, "Lockout/Tagout Self-Assessment Guide," and move the content to the LOTO web site.



February 11, 1999

This document was revised to:

- **Add** the word "all" before "activity-" in the first sentence in the section "Annual Inspections," "Performing Annual Lockout/Tagout Implementation Inspections," "Requirements."
- **Delete** the text in the section "Annual Inspections," "Performing Annual Lockout/Tagout Implementation Inspections," "Requirements," that allows SNL organization managers to select a sample of procedures, where there are many equipment-specific procedures, for evaluation each year.



January 21, 1998

This document was revised to:

- **Delete** text on how to use this document.
- **Add** an applicability statement.
- **Delete** discussions of purpose, scope, and ownership.
- **Move** general responsibilities to MN471001, *ES&H Manual*, Section 4C, "Lockout/Tagout for the Control of Hazardous Energy."
- **Move** training-related information to MN471001, *ES&H Manual*, Section 4C, "Lockout/Tagout for the Control of Hazardous Energy."
- **Move** discussion of when lockout/tagout is **not** required to MN471001, *ES&H Manual*, Section 4C, "Lockout/Tagout for the Control of Hazardous Energy."
- **Update** reference citations.
- **Move** forms to the Corporate Forms Home Page.



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