

Lockout Tagout

Business Name:		ABN:	
Business Address:			
Contact Person:	Phone:	Email:	

THIS RISK ASSESSMENT IS APPROVED BY THE PCBU ON THIS PROJECT

Under the Work Health and Safety Regulation (WHS Regulation), a person conducting a business or undertaking (PCBU) is required to ensure that a RISK ASSESSMENT is prepared before the proposed work starts.

Full Name:		
Signature:	Title:	Date:

CLIENT OR PRINCIPAL CONTRACTOR DETAILS

Client:	SCOPE OF WORKS
Project Name:	
Project Address:	
Project Manager:	
Contact Phone:	
Date Risk Assessment supplied to Project Manager:	



RISK MATRIX									
LIKELIHOOD	INSIGNIFICANT	MINOR	MODERATE	MAJOR	CATASTROPHIC	SCORE	ACTION	HIERARCHY OF CONTROLS	
ALMOST CERTAIN	3 HIGH	3 HIGH	4 ACUTE	4 ACUTE	4 ACUTE			Elimination Remove the hazard.	
LIKELY	2 MODERATE	3 HIGH	3 HIGH	4 ACUTE	4 ACUTE	4A ACUTE	DO NOT PROCEED	Substitution Replace the hazard.	
POSSIBLE	1 LOW	2 MODERATE	3 HIGH	4 ACUTE	4 ACUTE	3H HIGH	Review before work starts.	Isolation Isolate People from the hazard	
UNLIKELY	1 LOW	1 LOW	2 MODERATE	3 HIGH	4 ACUTE	2M MODERATE	Ensure control measures in place.	Engineering Isolate the hazard	
RARE	1 LOW	1 LOW	2 MODERATE	3 HIGH	3 HIGH	1L LOW	Monitor and keep records.	Administrative Change	
								PPE	

Risk Rating & Required Action:	
4A	Stop work. The risk is intolerable. Eliminate the hazard or redesign the activity before proceeding. A Safe Work Method Statement (SWMS) or higher-level authorisation is required.
3H	Review and approve additional controls before task starts. Senior supervisor sign-off needed.
2M	Ensure all nominated controls are in place and effective. Proceed with caution; monitor conditions.
1L	Proceed, following standard operating procedures. Monitor and keep records.

Consequence Scale:			
Consequence	People (injury/illness)	Project / Assets	Compliance / Reputation
Catastrophic	Fatality or permanent total disability	project shutdown	Significant regulator intervention; criminal prosecution
Major	Serious injury/illness (hospital > 5 days)	critical delay	Improvement notice; major media coverage
Moderate	Medical-treatment injury; lost-time > 1 day	moderate delay	Minor breach; adverse client comment
Minor	First-aid only, no lost time	negligible delay	Isolated non-conformance
Insignificant	No injury	no schedule impact	Deviation caught and corrected on site

Notes on Hierarchy of Controls:
Remember to apply controls in the preferred order shown by the coloured pyramid:

1. **Eliminate**
2. **Substitute**
3. **Isolate**
4. **Engineering**
5. **Administrative**
6. **PPE**

Always document **why** a lower-order control is accepted if elimination or substitution is not reasonably practicable.

aligned with Safe Work Australia's Managing the risk of fatigue at work (2023) and ISO 45001:2018 clauses 6–8.

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR
SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK
1. WHS Governance, Policy and Legal Compliance	<ul style="list-style-type: none"> Absence of a formal lockout tagout (LOTO) policy aligned with WHS Act 2011 and WHS Regulations LOTO obligations not clearly defined in the WHS management system Inadequate consultation with workers and health and safety representatives when developing LOTO procedures Failure to assign clear officer and PCBU due diligence responsibilities for energy isolation risks Policies not updated to reflect changes to plant, processes, or legislation No systematic review of LOTO compliance after incidents, audits or legislative updates 	4A	<ul style="list-style-type: none"> Develop and endorse a WHS policy that explicitly references energy isolation and lockout tagout requirements under the WHS Act 2011 and WHS Regulations Integrate LOTO governance into the overarching WHS management system, including documented standards, procedures and responsibilities Formally define and document PCBU, officer, manager, supervisor and worker duties relating to lockout tagout and energy control Ensure LOTO procedures are developed and reviewed in consultation with workers and HSRs to meet WHS consultation duties Establish a scheduled review cycle (annually or after significant changes) for all LOTO and energy isolation documents to maintain legislative alignment Include energy isolation and LOTO compliance in executive WHS reporting and due diligence verification activities 	3H
2. Plant and Energy Source Inventory and Classification	<ul style="list-style-type: none"> Incomplete or outdated register of plant and equipment requiring LOTO Failure to identify all types of hazardous energy (electrical, mechanical, hydraulic, pneumatic, chemical, gravitational, thermal, stored energy) New or modified equipment without updating isolation requirements Complex machinery with multiple isolation points not documented/classified No clear designation of who owns and maintains the plant and isolation information 	4A	<ul style="list-style-type: none"> Maintain current plant and equipment register that includes all items requiring lockout tagout and energy isolation Implement a formal energy source assessment for each item of plant, identifying all hazardous energy types and potential stored energy Classify plant by risk and complexity to determine the level of LOTO procedure detail required Embed an engineering and WHS review step into procurement and change management processes to update the plant and energy register whenever equipment is added, modified or decommissioned Assign clear responsibility for maintaining the plant and energy source register (e.g. engineering or asset management) Periodically verify the completeness and accuracy of the register via plant walk-throughs and cross-checks with maintenance records 	2M
3. Engineering Design of Isolation and Energy Control Points	<ul style="list-style-type: none"> Plant not designed or retrofitted with engineered isolation points (e.g. lockable isolators, valves, disconnects) Inaccessible or poorly located isolation devices increasing likelihood of shortcuts Isolation hardware that does not positively isolate energy or allow dissipation of stored energy 	4A	<ul style="list-style-type: none"> Specify in engineering standards that all new and refurbished plant must incorporate lockable isolation devices for each hazardous energy source Engage competent engineers to design and verify isolation points, ensuring they are accessible, clearly labelled and capable of achieving positive isolation Standardise isolation hardware (e.g. lockable switches, hasps, isolation valves, bleed points, mechanical chocks) across the organisation where practicable 	2M

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	<ul style="list-style-type: none"> Inadequate design of electrical isolation devices, resulting in potential for back-feed or energisation Multiple energy sources without a single point of control or clear sequencing Inconsistent design standards across sites and equipment 		<ul style="list-style-type: none"> Ensure electrical design includes compliant main and local isolators, test points and provisions for test and tag, lockout and verification of de-energisation Incorporate means to release or control stored energy (e.g. bleed-down valves, mechanical supports, discharge procedures) in plant design Undertake periodic engineering reviews and plant risk assessments to identify and rectify isolation design deficiencies 	
4. Development of Energy Isolation and LOTO Procedures	<ul style="list-style-type: none"> No documented procedures for isolating energy sources and performing lockout tagout on critical plant Procedures written as generic statements that do not reflect site-specific equipment and hazards Inadequate detail regarding sequence of isolation, lockout, tagout, test and verification steps LOTO procedures not covering less obvious scenarios such as maintenance tasks on machinery that is not fully isolated or has residual energy Emergency isolation and lockout response processes not documented Procedures for electrical isolate, lockout, test and tag not aligned with Australian Standards and WHS Regulations 	4A	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	2M
5. Lockout Tagout Equipment Standards and Management	<ul style="list-style-type: none"> Insufficient quantity or quality of locks, hasps, tags and isolation devices Use of non-standard padlocks or tags that are not dedicated to LOTO Keyed-alike systems allowing unauthorised removal of locks Tags that are not durable, legible or uniquely identifiable Inadequate system for issuing, tracking and controlling personal and group locks No clear rules for securing safety tags or for removal of abandoned locks 	3H	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	2M

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			[REDACTED]	
6. Authorisation, Competency and Training for LOTO	<ul style="list-style-type: none"> Workers implementing lockout tagout procedures without formal authorisation or competency assessment Supervisors lacking knowledge to verify correct isolation and lockout implementation Inadequate training on energy control principles, isolation points and site procedures Contractors and visitors performing tasks without being inducted into site-specific LOTO requirements No refresher training, leading to skill fade and normalisation of unsafe shortcuts Training that focuses only on theory and not on practical verification of isolations 	4A	[REDACTED]	2M
7. Planning and Authorisation of Maintenance and Non-Routine Work	<ul style="list-style-type: none"> Maintenance tasks on machinery that are not isolated due to poor planning or pressure to maintain production Non-routine or break-down tasks initiated without formal risk assessment or isolation planning Inadequate consideration of LOTO requirements in maintenance scheduling and work orders Failure to coordinate multiple work groups on shared plant, leading to conflicting isolations or inadvertent re-energisation Work on or near live electrical equipment undertaken without rigorous control and authorisation 	4A	[REDACTED]	2M
8. Electrical Isolation, Test, Tag and Verification Systems	<ul style="list-style-type: none"> Failure to isolate live electrical equipment before maintenance or inspection 	4A	[REDACTED]	2M

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	<ul style="list-style-type: none"> • Reliance on switching off controls without isolating and securing at the point of supply • Absence of formal systems for electrical test and tag, insulation resistance testing and verification of de-energisation • Inadequate procedures for testing that electrical circuits are de-energised prior to work • Defective or untested electrical portable equipment remaining in service • Confusion over responsibility for electrical LOTO between operations, maintenance and contractors 		[REDACTED]	
9. Group Isolation, Handover and Shift-Change Management	<ul style="list-style-type: none"> • Inadequate control of group isolations where multiple workers or contractors are involved • Failure to manage handover of isolations during shift change or between work groups • Removal of lock or tags before all workers are clear to the site due to poor communication • Lack of a central isolation register board leading to uncertain isolation status • Inconsistent practices for group lock boxes and master locks 	3H	[REDACTED]	2M
10. Contractor and Third-Party Management for LOTO	<ul style="list-style-type: none"> • Contractors implementing their own LOTO practices that are inconsistent with site requirements • Third-party technicians bypassing or violating lock out and tag out procedures to save time • Inadequate pre-qualification regarding contractor capability in energy control and LOTO 	3H	[REDACTED]	2M

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	<ul style="list-style-type: none"> Lack of supervision or verification of contractor isolation practices Confusion over control of isolations where multiple PCBUs share a workplace 		[REDACTED]	
11. Communication, Labelling and Signage of Isolation Points	<ul style="list-style-type: none"> Isolation devices, switches and valves not clearly identified or labelled Workers unaware of which isolations affect which items of plant or areas Safety tags not clearly communicating status, ownership or reason for isolation Poor visibility of isolation status during emergencies or abnormal operations Language or literacy barriers affecting understanding of LOTO information 	3H	[REDACTED]	1L
12. Emergency Isolation and Lockout Response Planning	<ul style="list-style-type: none"> No defined process for emergency isolation of plant and equipment in the event of an incident Workers unsure how to respond if they encounter unsafe conditions, uncontrolled energy or failed isolations Emergency isolation actions conflicting with existing LOTO arrangements and causing confusion Inadequate provision for emergency services access and control of energy sources Lack of post-emergency verification and controlled re-energisation process 	3H	[REDACTED]	2M
13. Monitoring, Audit and Assurance of LOTO System Effectiveness	<ul style="list-style-type: none"> LOTO procedures assumed to be effective but not verified in practice Infrequent or superficial inspections failing to detect non-compliance or system weaknesses 	3H	[REDACTED]	2M

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	<ul style="list-style-type: none"> Incident and near-miss data related to energy isolation not analysed for systemic issues Audit findings not actioned or closed out, allowing repeat failures Complacency and normalisation of deviation from correct LOTO practices over time 		[REDACTED]	
14. Behavioural Expectations, Supervision and Enforcement	<ul style="list-style-type: none"> Workers knowingly violating lock out and tag out procedures due to production pressure or poor safety culture Supervisors informally approving work-arounds or partial isolations Peer pressure discouraging workers from taking time to correctly isolate and lock out equipment Lack of clear consequences for bypassing LOTO or working on energised plant Inconsistent supervisory presence in high-risk maintenance and isolation activities 	3H	[REDACTED]	2M
15. Documentation, Records and Change Management	<ul style="list-style-type: none"> Outdated LOTO procedures remaining in circulation causing confusion Poor control of documents leading to multiple conflicting versions of isolation instructions Inadequate records of isolations, permits, tests and tag status hindering incident investigations Changes to plant or processes implemented without updating isolation diagrams and procedures Loss of corporate knowledge regarding complex energy isolation arrangements over time 	3H	[REDACTED]	1L

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SAMPLE

EMERGENCY RESPONSE – CALL 000 FOR EMERGENCIES

Ensure to have an Emergency Management Plan in place as well as adequate numbers of trained first aid staff with easy access to fully stocked first aid kits, rescue equipment, material safety data sheets, adequate access to emergency communication equipment and fire-fighting equipment suitable for all classes of fire and ignition sources.

LEGISLATIVE REFERENCES

RELEVANT LEGISLATION AND CODES OF PRACTICE. DELETE THE LEGISLATIVE REFERENCES FOR ANY STATE THAT ARE NOT APPLICABLE

Queensland & Australian Capital Territory

Work Health and Safety Act 2011
 Work Health and Safety Regulations 2011
 Legislation QLD: <https://www.worksafe.qld.gov.au/laws-and-compliance/work-health-and-safety-laws>
 Codes of Practice QLD: <https://www.worksafe.qld.gov.au/laws-and-compliance/codes-of-practice>
 Legislation ACT: <https://www.worksafe.act.gov.au/laws-and-compliance/acts-and-regulations>
 Codes of Practice ACT: <https://www.worksafe.act.gov.au/laws-and-compliance/codes-of-practice>

Victoria

Occupational Health and Safety Act 2004
 Occupational Health and Safety Regulations 2017
 Legislation VIC: <https://www.worksafe.vic.gov.au/occupational-health-and-safety-act-and-regulations>
 Codes of Practice VIC: <https://www.worksafe.vic.gov.au/compliance-codes-and-codes-practice>

New South Wales

Work Health and Safety Act 2011
 Work Health and Safety Regulations 2025
 Legislation NSW: <https://www.safework.nsw.gov.au/legal-obligations/legislation>
 Codes of Practice NSW: <https://www.safework.nsw.gov.au/resource-library/list-codes-of-practice>

Western Australia

Work Health and Safety Act 2020
 Work Health and Safety Regulations 2022
 Legislation Western Australia: <https://www.commerce.wa.gov.au/worksafe/legislation>
 Codes of Practice WA: <https://www.commerce.wa.gov.au/worksafe/codes-practice>

Northern Territory

Work Health and Safety (National Uniform Legislation) Act 2011
 Work Health and Safety (National Uniform Legislation) Regulation 2011
 Legislation NT: <https://worksafe.nt.gov.au/laws-and-compliance/workplace-safety-laws>
 Codes of Practice NT: <https://worksafe.nt.gov.au/laws-and-compliance/codes-of-practice>

Safe Work Australia Links

Law and Regulation (All States): <https://www.safeworkaustralia.gov.au/law-and-regulation>
 Model Codes of Practice: <https://www.safeworkaustralia.gov.au/resources-publications/model-codes-of-practice>

South Australia

Work Health and Safety Act 2012 (SA)
 Work Health and Safety Regulations 2012 (SA)
 Legislation for SA: <https://www.safework.sa.gov.au/resources/legislation>
 Codes of Practice for SA: <https://www.safework.sa.gov.au/workplaces/codes-of-practice#COPs>

Model Codes of Practice

- Managing noise and preventing hearing loss at work
- Confined spaces
- Labelling of workplace hazardous chemicals
- Managing risks of hazardous chemicals in the workplace
- Welding processes
- First aid in the workplace
- Managing the risk of falls at workplaces
- Hazardous manual tasks
- Managing the risk of falls in housing construction
- Managing electrical risks in the workplace
- Demolition work
- Excavation work
- Work health and safety consultation, cooperation and coordination
- Managing the work environment and facilities
- How to manage work health and safety risks
- Managing risks of plant in the workplace
- Construction work

Tasmania

Work Health and Safety Act 2012
 Work Health and Safety (Transitional and Consequential Provisions) Act 2012
 Work Health and Safety Regulations 2012
 Work Health and Safety (Transitional) Regulations 2012
 Legislation for TAS: <https://worksafe.tas.gov.au/topics/laws-and-compliance/acts-and-regulations>
 Codes of Practice for TAS: <https://worksafe.tas.gov.au/topics/laws-and-compliance/codes-of-practice>

Details of permits, licenses or access required by regulatory bodies (add or delete as required):

- Permits from local council
- Authorisation to commence work
- Any required documents.