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## STOP WORK POLICY & PROGRAM

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**REVISION HISTORY**

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*29 September 2017*

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## **1.0 INTRODUCTION**

The purpose of this policy is to provide an outline of site/project “stop work authority” for employees, contractors and visitors.

## **2.0 PROGRAM DESCRIPTION**

This policy describes “stop work” authority program.

## **3.0 DEFINITIONS**

SWA- Stop Work Authority

EHS – Environmental, Health & Safety

## **4.0 POLICY AND PROGRAM OVERVIEW**

4.1 This program formally establishes the Stop Work Authority (SWA) for all NOAO employees and contractors to stop individual tasks or group operations when the environmental, health or safety risk is not clearly established or understood.

It is NOAO policy<sup>i</sup> that:

4.1.1 All employees, visitors on AURA/NOAO business/activity, contractors, and employees of contractors have the authority and obligation to stop any task or operations where concerns or questions regarding the control of EHS exist;

4.1.2 No work will resume until all stop work issues and concerns have been adequately addressed;

4.1.3 Any form of retribution or intimidation directed at any individual or company for exercising their authority as outlined in this program will not be tolerated.

4.2 As with any policy, accountability for non-compliance will follow NOAO disciplinary procedures.

## **5.0 PROCEDURES**

5.1 Persons in the following roles have additional responsibilities in support of this program:

5.1.1 Company employees, contractors, and contractor employees are responsible to initiate a “stop work” intervention when warranted, support the intervention of others and properly report all “stop work” actions.

5.1.2 Foremen/supervisors are responsible to create a culture where the SWA is exercised freely, work to resolve issues before operations resume, recognize proactive participation and ensure that all “stop work” actions are properly reported with required follow-up completed.

5.1.3 Site Managers must establish the clear expectations to exercise the SWA, create a culture where the SWA is exercised freely, resolves SWA conflicts when they arise and hold those accountable that choose not to comply with established SWA policies.

5.1.4 EHS staff in support of operations are responsible for monitoring compliance with the requirements of this program, maintenance of associated documents, processes and training materials, identification of trends, and sharing of lessons learned.

## 6.0 INTERVENTION PROTOCOL

6.1 In general terms, the SWA process involves a stop, notify, correct and resume approach for the resolution of perceived unsafe work actions or conditions.

6.2 A workforce that clearly understands how to initiate, receive and respond to a “stop work” intervention is more likely to participate. Though obvious to some, the following protocol creates an environment where people know how to act and respond.

6.3 Though situations may differ, the following steps should be the framework for all stop work interventions.

## 7.0 PROTOCOL INSTRUCTION

### 7.1 Steps:

7.1.1 When a person identifies a perceived unsafe condition, act, error, omission, or lack of understanding that could result in an undesirable event, a “stop work” intervention shall be immediately initiated with the person(s) potentially at risk. No matter what actions follow, **all work must stop immediately** once a stop work intervention has been initiated by any employee, contractor or visitor.

7.1.2 If the supervisor is readily available and the affected person(s) are not in immediate risk, the “stop work action” and resolution should be coordinated through the supervisor. If the supervisor is not readily available, the “stop work” intervention should be initiated directly with those at risk.

7.1.3 “Stop work” interventions should be initiated in a positive manner by briefly introducing yourself and starting a conversation with the phrase “I am using my stop work authority because...” Using this phrase will clarify the users’ intent and set expectations as detailed in this procedure.

7.1.4 Notify all affected personnel and supervision of the stop work issue. Stop associated work activities, remove person(s) from the area, stabilize the situation and make the area as safe as possible.

7.1.5 After work is stopped, all parties shall discuss and gain agreement on the stop work issue.

7.1.6 If determined and agreed that the task or operation is OK to proceed as is (i.e., the stop work initiator was unaware of certain facts or procedures) the affected persons should thank the initiator for their concern and proceed with the work.

7.1.7 If determined and agreed that the stop work issue is valid, we will resolve the issue to all affected person’s satisfaction prior to the commencement of work.

7.1.8 If the stop work issue cannot be resolved immediately, work shall be suspended until proper resolution is achieved. The Kitt Peak Director shall make the final determination as needed/appropriate.

7.1.9 Positive feedback should be given to all affected employees regarding resolution of the stop work issue. Under no circumstances should retribution be directed at any person(s) who exercise in good faith their stop work authority as detailed in this program.

7.1.10 All stop work interventions (whether resolved on the spot or not) and associated detail shall be documented and reported as detailed in this program. The stop work initiator and responsible supervisor shall sign the SWA form/document. The Associate Director of NOAO for Kitt Peak (i.e. Kitt Peak Director) will review all documented stop work interventions. See Section 8 below.

## **8.0 REPORTING**

8.1 All “stop work” interventions exercised under the authority of this program shall be documented on the Stop Work Incident Investigation Report.

8.2 “STOP WORK” reports shall be reviewed by Project Managers, Supervisors and Safety Officers in order to:

8.2.1 Monitor participation;

8.2.2 Determine quality of interventions and follow-up;

8.2.3 Identify opportunities for improvement;

8.2.4 Facilitate sharing of learnings.

## 9.0 FOLLOW-UP

9.1 It is the desired outcome of any “stop work” intervention that the identified safety concerns be addressed to the satisfaction of all involved persons prior to resuming work. Although most issues can be adequately resolved in a timely fashion at the job site, occasionally additional investigation and corrective actions may be required to identify and address root causes.

9.2 “Stop Work” interventions that required additional investigation or follow-up will be handled utilizing existing protocols and procedures for incident investigation and follow-up.

9.3 The Associate Director of NOAO for Kitt Peak holds ultimate responsibility for resolution of all stop work interventions.

## 10.0 RECOGNITION

10.1 In order to build and reinforce a culture in which SWA is freely exercised and accepted, line supervisors are encouraged to positively recognize employee and contractor participation in the program.

10.2 Minimally, each line supervisor should informally recognize individuals when they exercise their authority to “stop work” or demonstrate constructive participation in a “stop work” intervention. This informal recognition need be no more than an expression of appreciation for a job well done or the awarding of a nominal item (hat, gloves, flashlight, etc.) or recognition. Additionally, formal recognition of selected examples of “stop work” interventions and those responsible should be made during regularly scheduled safety meeting.

## 11.0 TRAINING

11.1 Training regarding this SWA Policy and Program will be conducted as part of all new employee and contractor orientations. Additionally, a review of the SWA Policy shall be completed as part of all field location safety briefings and regularly in safety meetings.

11.2 Documentation of all training and reviews shall be maintained as per established procedures.

## 12.0 APPENDIX A

### STOP WORK FORM Description

12.1 When an imminent risk stop work has been issued, the NOAO supervisor of the job whose work has been stopped must make sure this form is completed and observation recorded in as complete and objective a manner as possible.

12.2 When completed, copies of this form are to be sent to the list below for recordkeeping purposes:

- 12.2.1 Project Manager
- 12.2.2 Supervisor
- 12.2.3 Safety Manager
- 12.2.4 Kitt Peak Director

12.3 Work may not be resumed until this form is signed, indicating re-authorization by at least one of the following: Supervisor, Safety Manager or Project Manager.

### 13.0 STOP WORK FORM

| Section 1: Stop Work Issuance  |  |             |  |
|--|--|-------------|--|
| Job  |  | Department  |  |
| Location of operation  |  | Date / time |  |
| Supervisor   |  | Phone       |  |
| Individual initiating stop work  |  |             |  |
| Individual performing work   |  |             |  |
| Work operation or condition (include names of individuals performing work) |  |             |  |
|  |  |             |  |
| Hazard (as stated by individual initiating stop work)                      |  |             |  |
|  |  |             |  |
| Additional observations  |  |             |  |
|  |  |             |  |

| Section 2: Date / Time Informed |  |                    |  |
|---------------------------------|--|--------------------|--|
| Supervisor                      |  | Project Mgr.       |  |
| Safety                          |  | Kitt Peak Director |  |

| Section 3: Follow-up Action |
|-----------------------------|
|                             |

| Section 4: Restart Authorization (Only One Signature Required): |  |      |  |
|---|--|------|--|
| Supervisor  |  | Date |  |
| Safety  |  | Date |  |
| Project Mgr.  |  | Date |  |

| Section 5: Recordkeeping-(send scanned copy) |              |      |
|--|--------------|------|
| Supervisor                                   | Safety       | Date |
| Kitt Peak Director                           | Project Mgr. |      |

<sup>i</sup> AURA/NOAO Stop Work Policy