

EXCAVATION INSPECTOR'S TOOL

KEY	DESCRIPTION
IN	Improvement Notice
PN	Prohibition Notice
EC	Enforcement Considerations
ACoP	Approved Code of Practice for Safety in Excavations and Shafts for Foundations, Department of Labour (1995). Note: This is under review and proposed changes have been taken into consideration when developing this guide.
Guide	Guide for Safety with Underground Services, Department of Labour (2002)
Reg/s	Regulation in the Health and Safety in Employment Regulations 1995
RNZ Guideline	Guideline for controlling reversing vehicles, Rooding New Zealand 2009

AREA OF ASSESSMENT	REFERENCES	EC	PAGE
1. NATURE OF WORK: › Describe the nature of the work or activity.			5
2. WORKING ON EXCAVATION SITES: › Is this work or activity notifiable?	Reg 26 Reg 2	IN	6
3. SAFE SYSTEMS AND PROCEDURES: › What is the work method? › Has a safety management system been developed? › Have workers been trained on its content? › Are the key causes of harm identified? › Are the hazards identified? › Are the hazard controls outlined? › If there is no written system, how have the hazards been identified, assessed and controlled? How will they be monitored and reviewed? › Is there advice on the use of safety equipment? (for example, PPE, gas monitors). › Have emergency procedures been communicated to the workers before the excavation begins?	ACoP 5.1.2 & 5.1.3 ACoP 5.1.2 ACoP 4.4.3 ACoP 11.7	IN	7
4. SURROUNDINGS: › Have underground utilities (water, sewer, gas, telecommunications) been identified, located and marked prior to excavation? › Have overhead utilities (power/phone lines) or obstacles been identified? › Excavations adjacent to buildings or structures: Has expert advice been obtained before the excavation was started?	ACoP 4.4.4 Guide p15-30 ACoP 5.2.5 (c) ACoP 4.3.5 (b) and (c)	PN IN	11

<p>5. SYSTEMS:</p> <ul style="list-style-type: none"> › Is there a system to deal with potential contaminants? › Is a traffic management plan required? › Is there a system for the monitoring and reassessment of work as it progresses? (for example, a schedule of regular inspections) 	<p>ACoP 4.4.3 ACoP 5.1.3 (d) ACoP 5.2.2 ACoP 5.1.3</p>		13
<p>6. SECURITY ON SITE:</p> <ul style="list-style-type: none"> › Is the site externally secure? (for example, fencing, barriers) › Is the site internally secure? (for example, fencing, barriers) 	<p>Reg 4 ACoP 4.3.6.1 ACoP 4.3.6.2 & 5.2.3</p>	PN PN	15
<p>7. FALLS:</p> <ul style="list-style-type: none"> › Is there protection from risk of falls? (for example, edge protection) › Is spoil and plant clear of the face edge by the required distance? › Are properly secured stop blocks provided to prevent tipping vehicles falling in? › Is the battering or benching at a 1:1 gradient? 	<p>ACoP 4.3.6.3 ACoP 4.3.4 ACoP 4.3.2 (a)</p>	PN PN IN PN	17
<p>8. SHORING:</p> <ul style="list-style-type: none"> › Does the shoring and materials used meet design standards? › Have the trench covers and shoring been approved by a structural engineer? › Where the excavations are more than 1.5 m deep, are they shored and cut back to a safe slope (or does an engineer state the precautions are adequate)? 	<p>ACoP 4.3 & 6.1.2 ACoP 4.3.3 Reg 24(3) ACoP 4.3.1</p>	PN PN	21
<p>9. MINIMISING HAZARDS:</p> <ul style="list-style-type: none"> › Is there safe access and egress to the trench? › Are excavations in or next to roads or structures adequately shored or supported to support such road services? › Have workers been advised of the location of underground and overhead utilities? › Can the workers describe the emergency procedures including evacuation from a trench and a rescue plan? › Are environmental hazards like dust, noise, and low light levels being controlled? › Is there a need for gas monitoring to be conducted? › Is the PPE in use adequate and of correct standard and condition? › Is the mobile plant clear of any overhead lines? › Are workers aware of mobile plant movement on the site? › Are there exclusion zones and/or a spotter around the mobile plant? › Do safety barriers or delineations used on road sites comply with safe traffic management? 	<p>ACoP 4.3.2.1 & 5.2.1 ACoP 4.3.5 ACoP 4.4.4 ACoP 11.7 Reg 4.2 ACoP 12.1 & 12.2 ACoP 4.3.6.4 ACoP 5.2.5 (c) RNZ Guideline 5.2.1 RNZ Guideline 5.2.1 RNZ Guideline 5.2.2</p>	PN PN PN PN PN PN PN	27