

Mini Excavator Risk Assessment

| | | |
|-------------------|--------|--------|
| 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 | 4A ACUTE | DO NOT PROCEED | Elimination Remove the hazard. | |
| LIKELY | 2 MODERATE | 3 HIGH | 3 HIGH | 4 ACUTE | 4 ACUTE | | | Substitution Replace the hazard. | |
| POSSIBLE | 1 LOW | 2 MODERATE | 3 HIGH | 4 ACUTE | 4 ACUTE | | | Isolation Isolate People from the hazard | |
| UNLIKELY | 1 LOW | 1 LOW | 2 MODERATE | 3 HIGH | 4 ACUTE | | | Engineering Isolate the hazard | |
| RARE | 1 LOW | 1 LOW | 2 MODERATE | 3 HIGH | 3 HIGH | | | Administrative Change | |
| | | | | | | 1L LOW | Monitor and keep records. | PPE | |
| Risk Rating & Required Action: | | | | | | | | Notes on Hierarchy of Controls: | |
| 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. | | | | | | Remember to apply controls in the preferred order shown by the coloured pyramid: | |
| 3H | | Review and approve additional controls before task starts. Senior supervisor sign-off needed. | | | | | | 1. Eliminate | |
| 2M | | Ensure all nominated controls are in place and effective. Proceed with caution; monitor conditions. | | | | | | 2. Substitute | |
| 1L | | Proceed, following standard operating procedures. Monitor and keep records. | | | | | | 3. Isolate | |
| Consequence Scale: | | | | | | | | 4. Engineering | |
| Consequence | | People (injury/illness) | | Project / Assets | | Compliance / Reputation | | 5. Administrative | |
| Catastrophic | | Fatality or permanent total disability | | project shutdown | | Significant regulator intervention; criminal prosecution | | 6. PPE | |
| Major | | Serious injury/illness (hospital > 5 days) | | critical delay | | Improvement notice; major media coverage | | Always document why a lower-order control is accepted if elimination or substitution is not reasonably practicable. | |
| Moderate | | Medical-treatment injury; lost-time > 1 day | | moderate delay | | Minor breach; adverse client comment | | <i>aligned with Safe Work Australia's Managing the risk of fatigue at work (2023) and ISO 45001:2018 clauses 6–8.</i> | |
| Minor | | First-aid only, no lost time | | negligible delay | | Isolated non-conformance | | | |
| Insignificant | | No injury | | no schedule impact | | Deviation caught and corrected on site | | | |

| 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. Preparation | unfamiliarity with equipment, inadequate PPE | 3H | <ul style="list-style-type: none"> - Conduct induction training for all operators. - Verify operator certification and experience. - Ensure appropriate PPE is worn, such as hard hats and high-visibility vests. - Review manufacturer's manual and safety guidelines. - Display a list of emergency contacts and procedures. - Set up communication devices for field operations. - Inspect site to identify any specific risks. - Establish a clear communication protocol. - Provide a site-specific safety briefing before work commences. - Ensure availability of first aid equipment and trained personnel. | 2M |
| 2. Equipment Inspection | mechanical failure, oil leaks | 3H | <ul style="list-style-type: none"> - Conduct a pre-start equipment inspection checklist. - Check hydraulic fluid levels and look for leaks. - Inspect and test the working order of safety devices and alarms. - Verify the condition of tyres and tracks. - Ensure that all lights and horn are operational. - Examine attachments for wear and secure fitting. - Replace any faulty or damaged components before use. - Ensure inspection logs are maintained and reviewed. - Use visual aids for highlighting critical inspection points. - Implement regular maintenance schedules. | 1L |
| 3. Site Access | vehicle collision, poor site visibility | 3H | <ul style="list-style-type: none"> - Designate safe entry and exit points for vehicles. - Implement traffic management plans and signage. - Use flaggers or traffic controllers if necessary. - Ensure adequate site lighting, especially in low-light conditions. - Define and mark safe walking paths for pedestrians. - Communicate traffic rules during site briefings. - Utilize barriers to separate active work areas from access routes. - Provide high-visibility clothing for all personnel on site. | 2M |

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| | | | <ul style="list-style-type: none"> - Restrict access to unauthorised vehicles and personnel. - Conduct regular site safety audits and update access strategies as needed. | |
| 4. Excavation Planning | improperly marked utilities, unstable ground conditions | 4A | <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> | 2M |
| 5. Operator Controls | operator error, unimproved use of equipment | 3H | <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> | 1L |
| 6. Trenching | trench collapse, falling into trench | 4A | <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> | 2M |

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| | | | | |
| 7. Lifting and Sloping | load slipping, equipment tipping | 4A | | 1L |
| 8. Site Clearance | obstructed operator view, debris causing instability | 3H | | 2M |
| 9. Load Transportation | improper load securing, overloading vehicles | 4A | | 1L |

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| | | | | |
| 10. Environmental Factors | exposure to elements, unexpected wildlife encounters | 3H | | 2M |
| 11. Refuelling | fuel spillage, fire risk | 3H | | 1L |
| 12. Maintenance | slip, trip and fall injuries, unintentional activation | 3H | | 1L |

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| | | | | |
| 13. Demobilisation | pinch points, manual handling injuries | | | 1L |
| 14. Worker Amenities | inadequate facilities, poor hygiene | 2M | | 1L |

on, incomplete

3H

2M

Large, insufficient procedures

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 IF 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 2017

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) Regulations 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>

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

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>

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.