Maintenance of Excavator Buckets | SAFE WORK METHOD STATEMENT (SWMS)

TASK OR ACTIVITY: Maintenance of Excavator Buckets

Business Name: [Company Name]	ABN: [ABN]	SWMS#
Business Address: [Company Address]		
Contact Person:	Phone: [Phone]	Email:

THIS SAFE WORK METHOD STATEMENT IS APPROVED BY THE PCBU OF THE PROJECT

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

Full Name:		
Signature:	Title:	Date:

Details of the person(s) responsible for ensuring implementation, monitoring and compliance of the SWMS as well as reviews and modifications of the SWMS.

Full Name:	Title:	Phone:

ALL PERSONNEL PARTICIPATING IN ANY ACTIVITY ON THIS SWMS MUST HAVE THE FOLLOWING COMMUNICATED	NAME AND DATED SIGNATURE OF ALL RELEVANT PERSONNEL WHO HAVE BEEN CONSULTED AND COMMUNICATED TO IN THE DEVELOPMENT AND APPROVAL OF THIS SWMS		
	NAME	SIGNATURE	DATE
Safety meetings or toolbox talks will be scheduled in accordance with legislative requirements to first identify any site hazards, secondly to communicate those hazards and then to further take steps to either eliminate or control each hazard.			
If an incident or a near miss occurs, all work must stop immediately. Depending on the severity of the incident, a meeting will be called with all workers to amend the SWMS if required. The meeting may also be an educational opportunity.			
Any changes made to the SWMS after an incident or a near miss must be approved by the Person Conducting Business or Undertaking and communicated to all relevant personnel.			
The SWMS must be kept and be available for inspection at least until the work is completed. Where a SWMS is revised, all versions should be kept. If a notifiable incident occurs in relation to which the SWMS relates, then the SWMS must be kept for at least two years from the occurrence of the notifiable incident.			

CLIENT OR PRINCIPAL CONTRACTOR DETAILS	
Client:	SCOPE OF WORKS
Project Name:	Provide a detailed description of the specific work being carried out (otherwise known as a scope of works).
Project Address:	
Project Manager:	
Contact Phone:	
Project Manager Signature:	
Date SWMS supplied to Project Manager:	

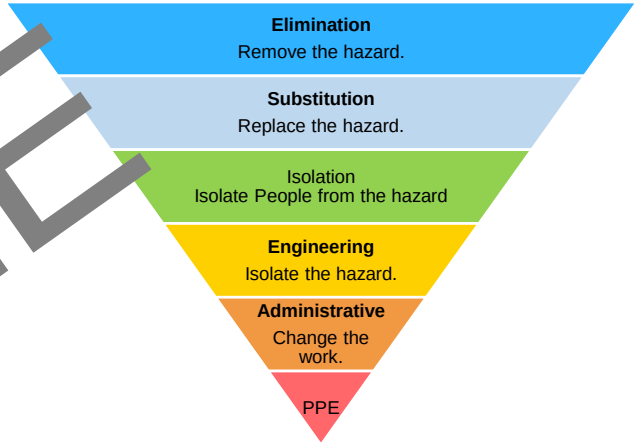
ANY HIGH-RISK CONSTRUCTION WORK BEING CARRIED OUT	
☐ involves a risk of a person falling more than 2 meters.	☐ is carried out on or near pressurised gas mains or piping.
☐ is carried out on a telecommunication tower.	☐ is carried out on or near chemical, fuel or refrigerant lines.
☐ involves demolition of an element of a structure that is load-be	☐ is carried out on or near energised electrical installations or services.
☐ involves demolition of an element related to the physical integrit of a stru	☐ is carried out in an area that may have a contaminated or flammable atmosphere.
☐ involves, or is likely to involve, disturbing as stos.	☐ involves tilt-up or precast concrete.
☐ involves structural alteration or repair that re mporar upp to prevent collapse.	☐ is carried out on, in or adjacent to a road, railway, shipping lane or other traffic corridor.
☐ is carried out in or near a confined space.	☐ is carried out in an area of a workplace where there is any movement of powered mobile plant.
☐ is carried out in/near a shaft or trench deeper than 1.5m or tunnel involving use of explosives.	☐ is carried out in areas with artificial extremes of temperature.
☐ is carried out in or near water or other liquid that involves a risk of drowning.	☐ involves diving work.

ANY HIGH-RISK MACHINERY OR EQUIPMENT NEARBY							
☐ Forklift	☐ Crane/s	☐ Hoist/s	☐ Excavator	☐ Backhoe/Loader	☐ Boom Lift	☐ EWP	☐ Genie Lift
☐ Trencher	☐ Drilling Rig	☐ Trucks	☐ Formwork	☐ Bobcat	☐ Flammable Gas	☐ Fuel	☐ Dozer
☐ High Voltage	☐ Mulcher	☐ Tilt-up Panels	☐ Roller	☐ Scissor Lift	☐ Tractor	☐ Other -	

RISK MATRIX

LIKELIHOOD	INSIGNIFICANT	MINOR	MODERATE	MAJOR	CATASTROPHIC	SCORE	ACTION
ALMOST CERTAIN	3 HIGH	3 HIGH	4 ACUTE	4 ACUTE	4 ACUTE		
LIKELY	2 MODERATE	3 HIGH	3 HIGH	4 ACUTE	4 ACUTE	4A ACUTE	DO NOT PROCEE
POSSIBLE	1 LOW	2 MODERATE	3 HIGH	4 ACUTE	4 ACUTE	3H HIGH	Review befo work starts.
UNLIKELY	1 LOW	1 LOW	2 MODERATE	3 HIGH	4 ACUTE	2M MODERATE	Ensure control measures in place.
RARE	1 LOW	1 LOW	2 MODERATE	3 HIGH	3 HIGH	1L LOW	nitor and k records

HEIRARCHY OF CONTROLS



Notes on Hierarchy of Controls: Elimination methods are the most effective and preferre en co lli d hazard. Substitution is the second most effective method of controlling a hazard. Engineering by isolation is the ost e ve, while Administrative Controls by changing the work is the fourth most effective method. PPE (Personal Protective Eq ment) he least effective method.

PERS NAL TECTIVE EQUIPMENT (PPE)

FOOT PROTECTION	HAND PROTECTION	HEAD PROTECTION	HEARING PROTECTION	E PROTE	SPIRATORY PROTECTION	FACE PROTECTION	HIGH-VIS CLOTHING	PROTECTIVE CLOTHING	FALL PROTECTION	SUN PROTECTION	HAIR/JEWELLERY SECURED
											
☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Select the appropriate PPE above suitable for the equipment used or the job task being performed (if applicable).

Note: A SWMS must be reviewed regularly to make sure it remains effective. A SWMS must be reviewed (and revised if necessary) if relevant control measures are revised. The review process should be carried out in consultation with workers (including contractors and subcontractors) who may be affected by the operation of the SWMS and their health and safety representatives who represented that work group at the workplace.

When a SWMS has been revised, the person conducting a business or undertaking must ensure all:

1. persons involved in the work are advised that a revision has been made and how they can access the revised SWMS;
2. persons who will need to change a work procedure or system as a result of the review are advised of the changes in a way that will enable them to implement their duties consistently with the revised SWMS; and,
3. workers that will be involved in the work are provided with the relevant information and instruction that will assist them to understand and implement the revised SWMS.

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR	RESPONSIBLE PERSON
SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
1. Preparation	Poorly maintained equipment, Incorrect use of PPE		- Regularly inspect and maintain equipment: Conduct routine inspections and maintenance of excavator buckets as recommended by the manufacturer. This includes checking for wear and tear, potential damage, and ensuring all components are in working order. - Clear worksite: Ensure the area around the excavator is clear of debris, obstacles, and tripping hazards before beginning work to reduce the risk of accidents. - Provide adequate training: Ensure all personnel operating or working near excavators have received proper training in equipment operation, safety protocols, and PPE usage. - Develop site-specific risk assessments: Assess each worksite individually to identify any unique hazards or risks and implement effective control measures accordingly. - Utilise appropriate PPE: Workers must wear suitable personal protective equipment such as gloves, hard hats, safety glasses, hearing protection, and high-visibility clothing during the maintenance process. - Follow manufacturer guidelines: Always follow the manufacturer's instructions and guidelines for maintaining and operating excavator buckets to ensure safe and effective use. - Implement a lockout/tagout procedure: Before working on the excavator bucket, ensure it is locked out and tagged to prevent accidental activation of the equipment during maintenance. - Use lifting devices: If heavy components need to be lifted or moved during maintenance, utilise suitable lifting devices and follow safe lifting practices to minimise manual handling risks. - Maintain communication: Always communicate with team members when undertaking maintenance activities, particularly in areas with limited visibility or accessibility, to prevent accidental injury. - Implement an incident reporting system: Encourage workers to report any near misses, accidents, or hazards in the workplace so that appropriate corrective actions can be taken promptly. - Store tools and equipment properly: Keep all tools and equipment neatly organised and stored when not in use to minimise tripping hazards and other risks associated with poorly maintained equipment. - Schedule regular toolbox talks: Hold frequent toolbox talks to discuss safety topics and reinforce the importance of proper PPE and equipment maintenance. - Don't rush: Workers should never feel pressured to complete tasks quickly at the expense of safety. Encourage employees to work steadily and cautiously, paying close attention to their surroundings and any potential hazards during the preparation and maintenance process.	1L	

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR	RESPONSIBLE PERSON
SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
2. Pre-start inspection	Inadequate inspection, Unnoticed defects	3H	- Ensure all personnel conducting pre-start inspections have received appropriate training and are competent to perform the task. - Develop and implement a comprehensive pre-start inspection checklist, specific to the make and model of the excavator and bucket. - Communicate any potential hazards or defects identified during the previous shift's inspection, maintenance activities, or from equipment usage-related incidents. - Encourage employees to report any concerns or issues related to equipment condition and functionality promptly. - Conduct visual inspections for visible defects such as cracked welds, damaged or worn components, excessive rust, and wear on wear surfaces and cutting edges. - Inspect attachment points, hydraulic connections, and locking mechanisms for proper function and security. - Check for proper condition, tension and alignment of belts, hoses, and fluids. - Verify the availability and accessibility of necessary tools, equipment, and personal protective equipment (PPE) before commencing equipment inspection and maintenance tasks. - Regularly review and update pre-start inspection and maintenance protocols to ensure adherence to Australian standards, regulations, and best practices. - Schedule periodic quality audits by an independent third-party to ensure work processes and procedures comply with current Australian WHS requirements. - Implement a preventative maintenance programme to address wear and tear and to prevent long-term defects. - Ensure the workspace is adequately lit and suitable for carrying out inspections and maintenance activities efficiently and safely. - Keep detailed records of all pre-start inspections, including equipment condition report, any identified defects and maintenance actions undertaken, and escalation procedures followed when necessary.	2M	
3. Loading excavator	Struck by objects, Overloading	3H	- Ensure that all workers involved in loading the excavator are provided with proper training and competency assessments to safely operate equipment and handle loads. - Conduct a pre-operational safety check before initiating any loading tasks, including a visual inspection of the working area, equipment, and materials. - Establish clear communication channels between the loaders, operators, and supervising personnel, and employ appropriate hand signals or wireless communication devices to coordinate tasks efficiently.	1L	

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			- Utilise lifting accessories and devices that are suited for the specific excavator bucket size, weight and centre of gravity, ensuring they comply with Australian safety standards. - Regularly inspect and maintain lifting accessories, slings, chains, shackles, and hooks, replacing them when signs of wear or damage are detected. - Always confirm the accurate weight of the materials being loaded to prevent overloading the excavator bucket, which may lead to structural failure or tipping hazards. - Follow the manufacturer's recommendations on load limits and capacities for every excavator model, never exceeding these predefined guidelines. - Keep the surrounding work areas clean and free from obstructions to minimise the risk of workers being struck by objects during the loading process. - Wherever possible, designate exclusion zones around the loading area to restrict access to only essential personnel, thereby reducing the number of people susceptible to potential hazards. - Maintain a safe distance from the edge of the excavation site while operating the excavator, continually assessing ground stability and conditions. - Implement a suitable Traffic Management Plan to regulate the movement of vehicles and pedestrians in proximity to the loading zone, thereby preventing accidents and collisions. - Instruct workers to avoid standing beneath suspended loads originating from the excavator bucket, mitigating the risk of injuries resulting from falling materials or equipment. - Employ the use of Personal Protective Equipment (PPE) such as hard hats, high-visibility clothing, steel-toed boots and gloves as a supplementary protective measure against potential hazards. - Foster a culture of safety and open communication within the workplace, whereby workers are encouraged to report hazards or unsafe practices immediately, allowing for swift corrective action and continuous improvement in health and safety protocols.		
4. Accessing work area	Slips and falls, Traffic accidents	2M	[redacted]	1L	

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SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
			[redacted]		
5. Setting up work area	Inadequate barricading, Poorly positioned signage	2M	[redacted]	1L	

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SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
			[redacted]		
6. Setting up excavation bucket	Incorrect attachment, Falling objects	3H	[redacted]	2M	

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			[redacted]		
7. Excavation process	Contact with utilities, Collapse of adjacent structures	4A	[redacted]	3H	

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8. Managing spoil heaps	Heaps obstructing vision, Loose materials falling	2M		1L	

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			[redacted]		
9. Working in confined spaces	Reduced air quality, Difficulty evacuating in emergency	3H	[redacted]	2M	

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			[redacted]		
10. Operating near overhead powerlines	Electrocution, Ineffective safety observer	4A	[redacted]	3H	

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SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
			[redacted]		
11. Maintenance checks	Inadequate maintenance, Ignoring safety protocols	3H	[redacted]	2M	

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			[redacted]		
12. Refuelling	Fire or explosion, Contact with hazardous substances	2M	[redacted]	1L	

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR	RESPONSIBLE PERSON
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			[redacted]		
13. Lifting loads	Overloading equipment, Load instability	3H	[redacted]	1L	

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR	RESPONSIBLE PERSON
SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
			[redacted]		
14. Shutting down and securing site	Unauthorised access, Accidental activation of controls	2M	[redacted]	1L	

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR	RESPONSIBLE PERSON
SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK	NAME OF PERSON
			[redacted]		
15. Clean up and waste disposal	Improper waste handling, Excessive manual handling	2M	[redacted]	1L	

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			[redacted]		

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

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-of-codes-of-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/forms-and-resources/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

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.

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

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

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

SIGNATORIES OF THE SAFE WORK METHOD STATEMENT

The signed and dated personnel listed below have cooperated in the consultation and development of this Safe Work Method Statement which has been approved by the Person/s Conducting a Business or Undertaking (PCBU). In signing this Safe Work Method Statement each individual acknowledges and confirms that they have read this SWMS in full, having raised any questions for items on this Safe Work Method Statement that require clarification, and confirms that they are competent, skilled and knowledgeable for the task assigned to them. Every person acknowledges that they have received the relevant training and qualifications where required, before carrying out any work contained in this Safe Work Method Statement. By signing this Safe Work Method Statement each individual agrees to work safely, to follow any safe work instructions which are provided, and agrees to use all Personal Protective Equipment where appropriate.

Worker Name	Position	Signature	Date	Time	Supervisor
			Date:		
			Date:		
			Date:		
			Date:		
			Date:		
			Date:		
			Date:		

SAFE WORK METHOD STATEMENT MONITORING AND REVIEW

The SWMS must be reviewed regularly to make sure it remains effective and must be reviewed (and revised if necessary) if relevant control measures are changed. The review process should be carried out in consultation with workers (including contractors and subcontractors) who may be affected by the operation of the SWMS and their health and safety representatives who represented that work group at the workplace.

When the SWMS has been revised the PCBU must ensure that all persons involved with the work are advised that a revision has been made and how they can access the revised SWMS, including all persons who will need to change a work procedure or system as a result of the review are advised of the changes in a way that will enable them to implement their duties consistently with the revised SWMS. All workers that will be involved in the work must be provided with the relevant information and instruction that will assist them to understand and implement the revised SWMS.

The SWMS must be monitored regularly for the effectiveness of ensuring hazard controls are effective in reducing the risk of incidents, keeping the workplace safe for all personnel. The person responsible for monitoring the effectiveness of the Safe Work Method Statement should employ a multi-faceted approach which includes but is not limited to:

1. Spot Checks.
2. Consultation with workers, contractors and sub-contractors.
3. Internal audits on a continual basis.

An approach of continuous improvement, promptly recording inconsistencies or deficiencies, followed up by immediate corrective action and consultation with all relevant personnel ensures that the PCBU is consistently developing ever-improving systems of safe work principles.

REVIEW NUMBER	☐ 1	☐ 2	☐ 3	☐ 4	☐ 5	☐ 6	☐ 7
NAME							
INITIALS							
DATE							

SAFE WORK METHOD STATEMENT REVIEW CHECKLIST

This Safe Work Method Statement Review Checklist is to be followed and used upon initial development of the SWMS to help ensure that all steps have been adequately taken before work commences. Think of this document as an internal audit review checklist before commencing work, and may form part of a Toolbox Talk (safety meeting) and may be used as an opportunity for education and training.

ITEMS WHICH MUST BE INCLUDED IN THE SWMS	COMPLETED	TO BE DONE	COMMENTS
The company details have been entered, including the project name and address.	☐	☐	
Names and signatures of all relevant personnel consulted during the development of the SWMS.	☐	☐	
Name, signature, position and date signed of the person approving the SWMS.	☐	☐	
Specific personnel and qualifications, experience is noted in the SWMS.	☐	☐	
Provides a step-by-step process of tasks required to carry out the activity or task.	☐	☐	
Adequate risk assessment of any identified hazards has been completed.	☐	☐	
Foreseeable hazards are identified and documented for each step.	☐	☐	
Any hazards listed in any site risk assessments have been added to the SWM	☐	☐	
SWMS initial risk (IR) column as well as residual risk (RR) columns completed.	☐	☐	
Check control measures added to the SWMS are the most effecti[illegible]tions.	☐	☐	
Responsible person is assigned and listed on the SWMS for the im[illegible]of cont[illegible]measures.	☐	☐	
Permit requirements specified, such as Hot Wor[illegible]Electrical Work, W[illegible]t Heights etc.	☐	☐	
SWMS identifies plant and equipment to be u[illegible].	☐	☐	
Details of inspection checks required for any equipment listed a[illegible]noted on the SWMS.	☐	☐	
Describes any mandatory qualifications, experience, training[illegible]skills required to perform the work.	☐	☐	
Applicable personal protective equipment is selected on the SWMS.	☐	☐	
Lists any required permits or licenses.	☐	☐	
Reflects and documents any legislative references and/or Australian Standards.	☐	☐	
Identifies any hazardous substances used with specific control measures in line with any SDS.	☐	☐	

REVIEWED BY		**DATE REVIEWED**	
SIGNATURE		**DATE COMPLETED**	