

Loss Control Questionnaire: **Excavation Contractors**



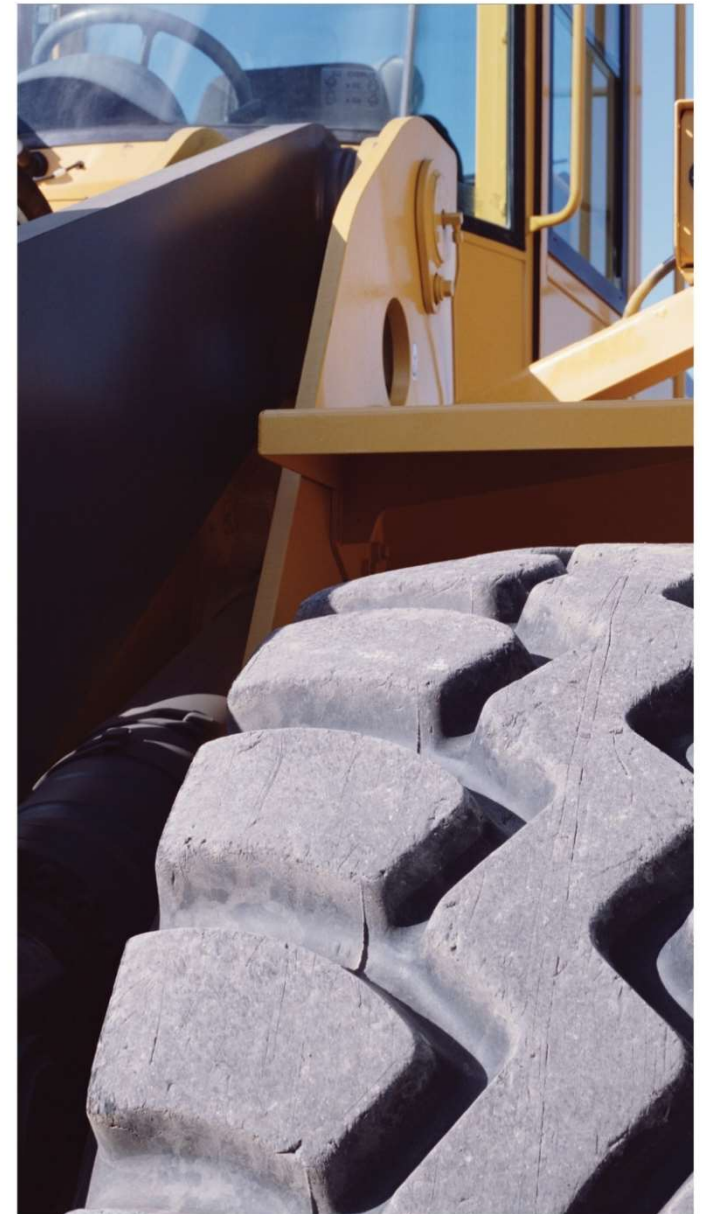
Examine Your Risk

Excavating can be a competitive and rewarding field, and years of hard work can help contractors establish a strong customer base and reputation. Excavation contractors invest their expertise, time and energy to conduct a variety of soil-related tasks, such as grading and trenching. These tasks are often essential components of larger projects, playing a key role in the success of the final product—whether it's a new road, pavement, sewer line, piping system or foundation for a building.

However, owning an excavation contractor business can be physically and mentally demanding, and it's a constant challenge to deliver exceptional service while maintaining profitability. These challenges are magnified when you consider that risks related to property damage, equipment breakdowns, environmental factors, stock throughput and crime must also be addressed.

Thankfully, assessing your exposures and taking the appropriate precautions can go a long way towards protecting your organisation. This proactive approach is particularly important when it comes to identifying and avoiding gaps in your risk management program.

This questionnaire gives excavation contractors the opportunity to review risk categories specific to their operations and take action to address those risks.



PROPERTY

Property - General	Yes	No	N/A	Notes
Is the overall condition of the building in good repair?				
Is the roof in good repair with no visible water intrusion marks?				The age of the roof should be taken into consideration—a thorough roof inspection can provide you with invaluable information.
Is the electrical wiring in good repair?				Wiring must be in compliance with BS 7671.
Are flammable chemicals kept in appropriate flammable storage cabinets or rooms?				
Are flammable materials stored appropriately and away from ignition sources?				
Are fuel tanks stored in compliance with the Dangerous Substances and Explosive Atmospheres Regulations 2002 (DSEAR)?				
Are on-site fuel tanks inspected for leaks and damage?				Fuel tanks must be stored in an appropriate secondary containment system.
Are there adequate fire extinguishers in the shop and office?				Fire extinguishers must be available at all times and must be in compliance with BS EN 3.
Are employees trained on how to use fire extinguishers?				Complete formal, documented training on fire extinguisher use annually.
If explosives are utilised for excavation purposes, are they stored and handled safely?				Explosives should be ordered and delivered as close to the day of usage as possible to limit property exposures. Such materials should be stored

				in a safe, secure location prior to usage. Only competent, qualified individuals should be in charge of handling explosives.
If applicable, are explosive practices compliant with Explosives Regulations 2014?				
Are there self-closing, metal containers on-site for holding greasy or oily rags?				Greasy or oily rags can self-combust and cause fire hazards if not disposed of properly.

Sprinkler System	Yes	No	N/A	Notes
Is there a general sprinkler system installed?				A general sprinkler system may not be required. If one is not installed, it would not need to be added after the fact, except in rare circumstances.
Is the sprinkler system designed for the hazard?				Sprinkler system data is located on a placard on the system.
Is the sprinkler system inspected at least once annually? Does it pass these inspections?				Sprinkler inspection information is located on tags and paperwork on the risers.
Is the dry riser outside the building easily accessible?				This must be accessible so the fire brigade can pump more water into the system.
Are sprinkler riser valves supervised (eg locked open or electronically monitored)?				
Are employees trained on what to do if a sprinkler is ever damaged and opens?				In the event a sprinkler head is accidentally broken and goes off, it's critical to shut down the water to avoid further water damage.

Property - Contractors' Equipment/Stock Throughput	Yes	No	N/A	Notes
Do tools and equipment have identification numbers in case they are stolen?				
Are tools and equipment locked up during off hours?				
Is there a checkout system in place for tools and equipment?				
Are there security measures in place for protecting earth-moving equipment?				Earth-moving equipment should be stored in a locked garage or fenced lot with restricted access controls to mitigate the risk of theft. Further, key components of earth-moving equipment should be removed while in storage to render the equipment temporarily inoperable and deter thieves.
Are there security measures in place to prevent trespassing and vandalism on-site?				This might include an alarm system or security cameras.
Are there adequate maintenance and inspection procedures in place for earth-moving equipment?				Such equipment should be inspected regularly for potential operation issues or damages. Routine maintenance and repairs should be performed by a trusted, qualified professional. Inspection and maintenance practices should be well-documented.
Is portable electronic equipment stored in a safe, secure location when not in use?				
Are cords on equipment inspected by a supervisor?				
Is there a hot work programme in place?				

Are fire extinguishers available on job sites?				Fire extinguishers should be available at all job sites and must be in compliance with BS EN 3.
Are employees trained on fire extinguisher use?				Formal, documented training must be completed annually.
If applicable, are all explosive operations performed by trusted, qualified professionals?				

PUBLIC LIABILITY

Premises - Office/Showroom/Shop	Yes	No	N/A	Notes
Are floor surfaces clean and dry?				
During winter, are the car parks and pavements clear of snow and ice?				
Are pavements well-lit, especially entrances, exits and stairways?				
Are exits clearly marked and clear for an emergency exit?				
Does the premises have adequate smoke and carbon monoxide alarms?				
Are visitors kept out of restricted and hazardous areas?				
Is the car park in good repair?				
Does the premises have adequate cyber-security measures in place?				This might include encrypting all customer and financial information, conducting regular system updates, implementing authentication controls and installing business-class antivirus software on all devices.
Are rubbish and debris cleaned up each day?				
Is refuse properly disposed of?				Waste may be disposed of with a recycler. Some types of waste products may be considered hazardous and could require extra precautions.

Premises - Job Site	Yes	No	N/A	
Before beginning work, is a topographical survey completed at the job site?				Such a survey helps determine whether any underground structures or other areas of concern (eg tunnels, water tables or utility lines) could potentially be damaged by the excavation work.
Are all applicable agencies notified prior to excavation taking place?				This is an important step in order to identify the location of any existing underground structures and review area-specific excavation requirements.
Is the project compliant with all excavation regulations?				
Is all heavy equipment safely stored at the job site, surrounded by sturdy fencing and warning signage when not in use?				
Are controls in place to keep the public from entering a job site?				The degree of security needed will depend on the type of project, the location of the project and other similar factors. At minimum, 'No Trespassing' signage should be posted throughout the job site.
Are visitors required to check in when entering the job site?				A formal check-in procedure should be in place. This helps businesses keep track of visitors, keep unwanted persons out of the job site and ensure individuals aren't entering hazardous areas.
Are visitors required to wear the appropriate personal protective equipment (PPE)—including hard hats, shoes and safety waistcoats—when touring the job site?				

Are visitors given a guide when touring the job site?				Visitors should be kept away from hazards, such as areas where heavy equipment is used.
Are there safety measures in place to prevent visitors from falling into open trenches or excavation pits?				
Are areas where falls are possible (eg trenches and pits) properly blocked off and labelled with adequate warning signage?				
Are materials, tools and other objects at height secured to prevent them from falling? Are vehicles kept out of car parks and areas where material might fall?				
Is there a fire prevention plan in place for each job site? Is it communicated to employees?				
Is smoking prohibited on all job sites?				
Are traffic plans and speed limits established for earth-moving equipment?				
Are lollipop people used for temporary traffic control?				If you perform work that will impact traffic, trained individuals must be in place to ensure vehicles and pedestrians can safely pass.
If applicable, is proper road signage utilised to notify the public of the excavation project and warn them of the potential for traffic detours or delays?				

Are trusted, qualified employees in charge of loading excavation vehicles and equipment?				Employees should be trained to properly secure loads with chains and straps to prevent transportation hazards.
Are there designated locations at the job site for loading and unloading debris, materials and equipment?				These locations should be clearly labelled and safely distanced from public areas or on-site traffic.
Are attractive nuisances properly secured to keep children and other trespassers away?				Attractive nuisances at the worksite can be major liabilities. Potential attractive nuisances—such as earth-moving equipment—should be properly secured.

Completed Operations	Yes	No	N/A	Notes
Is there a quality management programme in place?				A written quality management programme should be in place that accounts for material suppliers, subcontractors and inspections.
Are there measures in place to ensure that the equipment being utilised is appropriate for the excavation work at hand?				
Is all soil thoroughly compacted after excavation for site preparation or trenching?				
Are all necessary precautionary measures implemented during the excavation process?				This might include shoring back soil or inserting retaining walls around areas with steep inclines.
Are erosion barriers applied and erected whenever work takes place on sloped land?				
If the excavation project involves installing pipelines, are the new lines properly inspected?				The new pipelines should be inspected by government officials to ensure that they comply with all standards.

EMPLOYERS' LIABILITY

General	Yes	No	N/A	Notes
Do you have return-to-work initiatives in place?				This can be a written programme, a list of light-duty tasks or evidence in past claims of bringing employees back to work following an injury.
Is there a written safety and health plan in place?				Safety and health plans should include major programmes listed below, as well as a statement of commitment to safety from senior leadership.
Is there a formal safety training and onboarding programme for new employees?				There should be a documented onboarding programme for new employees. New employees should be well-trained and paired with an experienced employee as they learn.
Is there a fall protection programme in place?				There should be a written and site-specific fall protection programme in place. This programme should identify competent persons, training procedures and the appropriate safety equipment.
Is there a safety programme in place for aerial lifts?				Employees operating aerial lifts must be trained, especially on fall protection. Aerial lifts must be inspected regularly.
Is there a ladder safety programme in place?				
Is there a hazard communication programme in place?				There should be a written programme in place that highlights training procedures and includes safety data sheets (SDSs) for all chemicals.
Are SDSs available?				SDSs must be available for all chemicals used in the workplace.
Is there an eyewash station available?				
Are employees trained on first aid? Is a first-aid kit available at all times?				

Is good housekeeping practised?				
Is there a PPE programme in place? Is PPE provided?				There should be a written hazard assessment to determine what PPE is necessary for your operations. Employees should be trained on proper PPE use. PPE use should be enforced by leadership.
Is there a hearing protection programme in place?				A hearing protection programme that identifies training procedures and safety equipment should be in place.
Is all electrical equipment adequately grounded, insulated and connected to ground fault circuit interrupters in locations that are more prone to moisture or wetness?				
Does all equipment meet the requirements of the Provision of Work Equipment Regulations (PUWER) or, if applicable, Lifting Operations and Lifting Equipment Regulations (LOLER)?				
Are employees trained on precautions for inclement weather?				Employees should be trained on what to do in a thunderstorm and other potentially dangerous weather, such as high winds and tornadoes.
Is there a heat stress programme in place?				A programme must be in place to protect employees during high temperatures. This helps prevent heat illnesses such as heatstroke.

Heavy Equipment Safety	Yes	No	N/A	Notes
Is there a well-documented training programme in place for earth-moving equipment?				This includes equipment such as excavators, drills, loaders, bulldozers, graders, trenchers, scrapers and tipper lorries.

Is there an inspection programme in place for earth-moving equipment?				Programmes should account for the daily inspection of such equipment.
Is all earth-moving equipment fully equipped with backup alarms?				
Is all site-clearing equipment fully equipped with rollover guards?				

Trench and Excavation Safety	Yes	No	N/A	Notes
Are procedures in place to protect employees while they work in trenches?				These procedures should take into consideration the trench depth, soil classification, water content of the soil, climate and any other operations taking place nearby.
Are there methods in place to keep employees safe in the event of a trench cave-in?				
Are trenches inspected by a qualified, competent individual each day and whenever job site conditions change?				If any problems or hazards arise during the inspection, corrective measures should be implemented before employees are permitted to continue working in the trench.
Are excavations properly inspected for signs of runoff or seepage after heavy rain occurs?				
Are loose rocks or other debris removed from the edges of excavations or otherwise blocked by protective barriers?				

Are employees prohibited from working on any sloped or benched excavations at levels above other employees, unless the employees below are properly protected?				
Is a competent, qualified individual in charge of safely directing excavating operations around the movements of any other employees, job site visitors, nearby pedestrians or passers-by?				

CRIME

General	Yes	No	N/A	Notes
Are there effective procedures in place for collecting payments?				
Are employees trained on cash, cheque, debit card and credit card verification procedures?				
Are cash, cheques and receipts kept in a secure, time-delay safe until deposit time?				
Do only trusted, competent employees have access to the keys or combination to the safe?				
Are deposits staggered?				This is recommended and helps avoid establishing a pattern that can be picked up on and exploited.
Are deposit amounts counted and verified by more than one employee to ensure accuracy?				
Are background checks performed for employees?				

MOTOR

All Drivers	Yes	No	N/A	Notes
Are drivers at least 17 years old?				
Has driving licence information been secured for all drivers?				Employers can check which vehicles their employees are allowed to drive, as well as review drivers' penalty points or disqualifications by clicking here .
Do all drivers have an acceptable driving record?				Different driving offences can result in endorsements that will add penalty points to a driver's licence. Based on the severity of the offence, the penalty points may stay on record for either four or 11 years. If a driver accrues 12 or more points within three years, they may be disqualified from driving.
Do employees who drive a personal vehicle for work provide proof of insurance?				
Is there a policy in place on mobile phone usage? Is it properly communicated to drivers?				Employees should not use handheld mobile phones while driving (hands-free devices are acceptable).
Is there a policy in place on seat belt usage? Is it properly communicated to drivers?				
Are expectations on safe driving communicated to drivers?				
Are inspections conducted on vehicles before each shift?				Whether company-owned or personal, all vehicles should have a basic check done.
Is the personal use of company vehicles prohibited?				

Do you provide training on defensive driving?				All employees should be trained regularly on basic defensive driving techniques.
Are telematics systems used to monitor driver behaviour?				Telematics can be used to monitor risky driving behaviours.
Are employees trained on how to properly secure ladders on vehicles and racks?				
Are all Department for Transport rules followed with regard to transporting flammable liquids?				

Commercial Motor Vehicles	Yes	No	N/A	Notes
Are there written driver qualifications?				There should be written qualifications for drivers who operate commercial vehicles. These qualifications should include experience and violation history.
Is there a system to ensure driver's licences and medical cards are current?				
Do properly licensed drivers operate commercial vehicles?				Different vehicles require licences or endorsements. It should be clear to employees what vehicles require endorsements. That way, no one operates a vehicle they are not licensed for.
Is there a road test for all new drivers?				It is important to ensure new drivers can operate the company's equipment. A commercial driver's licence alone does not ensure that the driver can operate the company's equipment.
Is there a disciplinary programme in place for drivers who have violations?				

Are driver certificate of professional competence (CPC) files kept for all commercial vehicle drivers?				Operators of certain commercial motor vehicles must have a CPC card, which is also often referred to as a driver qualification card.
Are company vehicles accounted for on a regular maintenance plan?				There should be a documented maintenance plan. Documentation should be kept for each vehicle.
Are pre- and post-trip inspections done for all vehicles?				Daily commercial vehicle inspections must be done and documented.
Are drivers trained in oversized loads?				Drivers hauling equipment often have oversized loads that are subject to marking rules.
Are drivers trained in load securement?				Drivers and employees who are responsible for tying down loads must be trained on applicable regulations.
Is there a drug and alcohol testing programme in place?				There should be a formal drug and alcohol testing programme that covers pre-employment, for cause, random and post-accident testing.
Are employees trained on hours-of-service rules?				While hours-of-service rules may not be applicable for a contractor's drivers, there are times when logs may be required. Drivers should be trained on these requirements.