WHS DOCUMENTS & TEMPLATES

DOC-EXV-CCV · Excavation and Ground Collapse Critical Control Verification Pack

Product Overview

For: Businesses that dig: WHS advisers, civil and construction supervisors, plumbers and drainers, utilities and control owners

Version 1.0 · 15 November 2026

SAMPLE

Field-ready Critical Control Verification forms for excavation and ground collapse: one for each of the 5 critical controls that stop a excavation wall or ground collapsing onto a person, or limit the harm when it happens, with the bowtie, a verification schedule and a short guide.

Most workplaces have controls for excavation and ground collapse: trench shields, shoring, benching, spoil set back from the edge and daily checks. The question is whether they are working today. A critical control verification (CCV) is the proof: a planned check, in the field, that a control that matters most is in place, in good condition, working as designed, used properly and not bypassed.

This pack gives you one CCV form for each of 5 critical controls (4 preventing, 1 mitigating) for the unwanted event: excavation wall or ground collapses onto or around a person. Each form shows where the control sits on the bowtie, what it must achieve, how it fails, and a checklist scored Pass, Fail or Non-conformance. Physical controls are Pass or Fail only; Non-conformance is kept for administrative items such as records and training dates. A Fail stops the work and is escalated as a high potential incident. The last page of each form has prompts for talking to the operators, workers and supervisors who use the control.

The full bowtie shows every control on one page, the schedule sets who verifies each one and how often, and the guide explains the method. Every form is editable, so you can adapt it to your site. Made by Orana Skills Centre.

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How to Use These CCVs

Excavation and Ground Collapse Critical Control Verification Pack

What a critical control verification is

The key word here is proof. Not assumption, not guesswork. A critical control verification (CCV) is a planned check, in the field, that one critical control is doing its job. It checks that the control:

- Exist
- Are in place and in good condition
- Are functioning as designed
- Are being used properly
- Are not being bypassed or failing silently

Each CCV form tests one control against its performance requirements, item by item, grouped by those five checks and then the records. It is not a general inspection, an audit, or a maintenance check: keep those, and use the CCVs alongside them for the few controls that matter most.

The bowtie and the critical controls in this pack

Hazard: Excavations, trenches and the ground around them. Unwanted event: Excavation wall or ground collapses onto or around a person. Any trench, pit, shaft, bulk excavation or tunnel entrance where people work in or beside it, or where the excavation could undermine nearby structures, roads or services.

CCV	Critical control	Type	Sits on	At your site
CCV-01	Ground support in place (shoring, shields, benching or battering)	Preventing	T1	Use at every site where the threat or consequence is present.
CCV-02	Spoil, plant and materials kept back from the edge	Preventing	T2	Use at every site where the threat or consequence is present.
CCV-03	Entry only after a competent person has checked the excavation that shift	Preventing	T3, T5	Use at every site where the threat or consequence is present.
CCV-04	Nearby structures and services supported before they are undermined	Preventing	T4	Use where an excavation is close enough to a structure, road or service to affect it.
CCV-05	Rescue and emergency response for a buried worker	Mitigating	C1, C2	Use at every site where the threat or consequence is present.

Mitigating controls can be critical too, especially when they are the last line of defence. They are just as critical as prevention, and must be resourced, practised and verified.

Before you verify: adapt the pack

Step	What to do
1	Check the bowtie against your site: the threats, the consequences and the critical controls. Change it where it does not match, and keep the forms in step with it.
2	Fill in every placeholder in square brackets (the table at the end of this guide). Put in your logo and business name.

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YOUR LOGO
Right-click > Change Picture

[Company name]

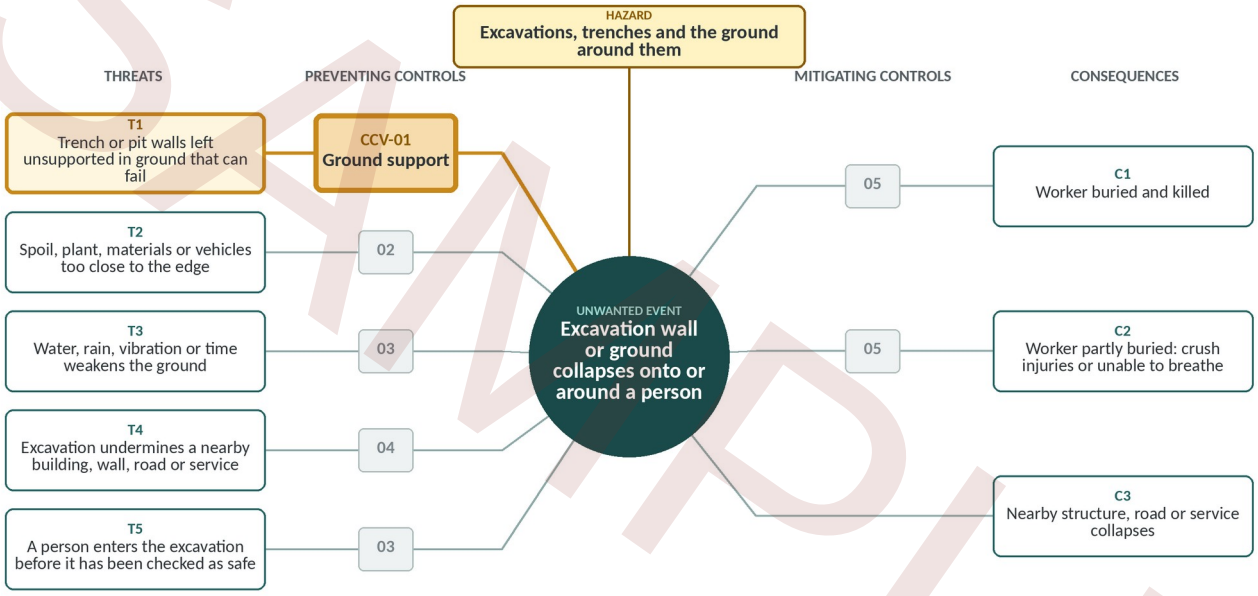
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CCV-01 Ground support in place (shoring, shields, benching or battering)

Critical Control Verification · Preventing control · Excavation and ground collapse

Site or location		**Plant or area verified**	
Date and time		**Shift**	
Verified by (name and role)		**Control owner**	

1 Where this control sits on the bowtie



Amber: this control, CCV-01, on threat line T1. Grey numbers: the other critical controls in this pack. Preventing controls sit left of the unwanted event and stop it happening; mitigating controls sit right of it and limit the harm.

2 The control

Control	Ground support in place (shoring, shields, benching or battering)
Type	Preventing: it stops the unwanted event happening.
It sits on	Threat T1: Trench or pit walls left unsupported in ground that can fail
Hierarchy of control	Engineering
Objective	Prevent the excavation walls collapsing onto people, with shoring, trench shields, benching or battering suited to the ground and depth, installed before anyone enters and kept in place for as long as people are inside.
Why it is critical	A cubic metre of soil weighs over a tonne. A trench wall can fail without warning, even in ground that looks firm, and a person caught to the waist can be crushed or unable to breathe. Ground support is what holds the wall back.

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YOUR LOGO
Right-click > Change Picture

[Company name]

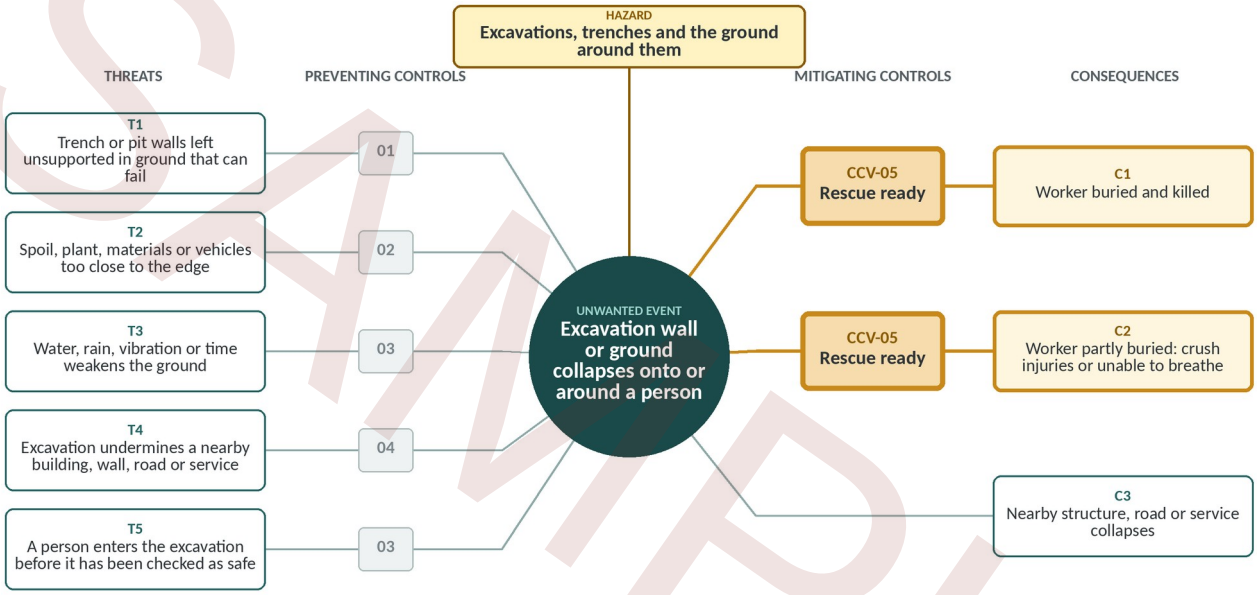
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CCV-05 Rescue and emergency response for a buried worker

Critical Control Verification · Mitigating control · Excavation and ground collapse

Site or location		**Plant or area verified**	
Date and time		**Shift**	
Verified by (name and role)		**Control owner**	

1 Where this control sits on the bowtie



Amber: this control, CCV-05, on consequence lines C1 and C2. Grey numbers: the other critical controls in this pack. Preventing controls sit left of the unwanted event and stop it happening; mitigating controls sit right of it and limit the harm.

2 The control

Control	Rescue and emergency response for a buried worker
Type	Mitigating: it limits the harm once the unwanted event has happened.
It sits on	Consequence C1: Worker buried and killed; consequence C2: Worker partly buried: crush injuries or unable to breathe
Hierarchy of control	Administrative
Objective	If a worker is buried or trapped, raise the alarm at once, call emergency services, keep the area safe from a second collapse, and free the worker's head and chest quickly with the equipment on site, without sending untrained people into an unsupported trench.
Why it is critical	A buried worker can suffocate within minutes. Workmates rushing in to dig them out are often caught in the next collapse. A planned, equipped response saves the buried worker without adding to the toll.

3 Performance requirements

What the control must achieve. The checklist in part 5 tests each one.

No.	The control must meet this requirement
R1	Workers know to raise the alarm and call 000 at once, and to give the site address and access.
R2	Rescue equipment (shovels, a spare shield or panels, a harness and line, first aid) is on site near the work.

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END OF THE FREE SAMPLE

This sample shows a few pages, so you can judge the layout and the quality. Field-ready Critical Control Verification forms for excavation and ground collapse: one for each of the 5 critical controls that stop a excavation wall or ground collapsing onto a person, or limit the harm when it happens, with the bowtie, a verification schedule and a short guide.

What the full product contains

- **5 Critical Control Verification forms, one per critical control (4 preventing, 1 mitigating): each with its bowtie, objective, performance requirements, failure modes, a Pass / Fail / Non-conformance checklist, the overall result, actions, a page of prompts for talking to the people who use the control, and sign-off**
  03_CCV_FORMS/ (Word and PDF)
- **The critical controls: CCV-01 Ground support (preventing); CCV-02 Clear edge (preventing); CCV-03 Checked before entry (preventing); CCV-04 Nearby structures held (preventing); CCV-05 Rescue ready (mitigating)**
  03_CCV_FORMS/CCV-01 to CCV-05
- **The full bowtie for excavation and ground collapse on one page: every threat, consequence and critical control**
  02_BOWTIE/Excavation and Ground Collapse Bowtie.docx and .pdf
- **The CCV schedule: who verifies each control, how often by exposure, the method and the record**
  04_CCV_SCHEDULE/CCV Schedule.docx and .pdf
- **The CCV schedule workbook: suggested frequency by exposure, next due dates and status by formula, dropdowns, no macros**
  04_CCV_SCHEDULE/CCV Schedule.xlsx
- **How to use these CCVs: the method, scoring, the response to a Fail or Non-conformance, frequency, and adapting the set to your site**
  01_START_HERE/How to Use These CCVs.docx and .pdf
- **Read Me First, Product Overview, Permitted Use Terms and Version Information**
  01_START_HERE/ (PDF)

Formats

- Word (.docx), editable, with your logo and business name in the header
- Excel (.xlsx), editable, with dropdowns and formulas (no macros)
- PDF copies of the Word documents, for printing blank
- Delivered as a single ZIP download

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