Trenching and Excavation

Introduction

U.S. Bureau of Labor Statistics (BLS) data show that 271 workers died in trenching or excavation cave-ins from 2000 through 2006. A review of multiple national databases by NIOSH researchers found that trenching and excavation hazards during construction activities resulted in 488 deaths between 1992 and 2000 - an average of 54 fatalities each year. Sixty-eight percent of those fatalities occurred in companies with fewer than 50 workers. Forty-six percent of the deaths occurred in small companies with 10 or fewer workers. Hazards associated with trench work and excavation are recognized and preventable, yet injuries and fatalities associated with these hazards continue to occur. Regulations and consensus standards describe engineering controls, protective equipment, and safe work practices to minimize hazards for workers during trench work and excavations. The following NIOSH document provides a broad outline of trench safety issues: Trench Safety Awareness.

Purpose

Florida State University employees are engaged in excavation work and are subject to all dangers associated with excavations and trenching activities. To protect Florida State employees engaged in these activities, the University must comply with the provisions of 29 CFR 1926 Subpart P. The purpose of this program is to provide a safe work environment for employees involved in excavation work and to ensure compliance with 29 CFR 1926 Subpart P.

Duties and Responsibilities

Responsible Parties

Designated Program Competent Person:

The head of a department/section will designate a Competent Person who supervises and/or is engaged in trenching and excavation activity.

A Competent Person, as defined by 29 CFR 1926.32(f), means one who is capable of identifying existing and predictable hazards in the surroundings or working conditions that are unsanitary, hazardous, or dangerous to employees, and who has authorization to take prompt corrective measures to eliminate them.

The designated Competent Person should have and be able to demonstrate the following:

- Training, experience, and knowledge of:
  - soil analysis;
  - use of protective systems; and
  - requirements of 29 CFR Part 1926 Subpart P

- Ability to detect:
  - conditions that could result in cave-ins;
  - failures in protective systems;
  - hazardous atmospheres; and
  - other hazards including those associated with confined spaces.

- Authority to take prompt corrective measures to eliminate existing and predictable hazards and to stop work when required.
The Competent Person is responsible for administering the excavation safety program and has the authority to make decisions and implement changes, as necessary. Duties include:

- Identifying work areas, processes, or tasks that require employees to complete excavation training;
- Providing technical assistance to university departments and units in their effort to address the mandates established by the OSHA Excavation Standard;
- Evaluating hazards to determine the type of engineering control required for excavation activities involving Florida State University employees;
- Arranging and/or conducting required training;
- Identifying, training and designating other competent persons for the purposes of this program;
- Establishing periodic inspection schedules of those workplaces/conditions that require excavations to determine exposure and/or changing situations; and
- Maintaining records required by this program.

**Supervisors – Department Dean, Chair, Director, or designee**

Each Department Supervisor or designee is responsible for the following:

- ensuring that excavation activities involving Florida State University employees are reviewed with a designated competent person;
- ensuring that employees participate in required training; and
- ensuring that all requirements of this program are followed by employees under their control.

**Employees**

- Each employee must comply with the requirements of this program including participation in any required training by the designated Competent Person.

**Training**

- EH&S or other qualified individual or company will provide training to affected employees as required in this program.

**Documentation and Record Keeping**

A written copy of this program and the OSHA standard are kept in EH&S and available to all employees. Additionally, employees may access the written program through the FSU EH&S website.

For the Excavation Competent Person Evaluation Form and Daily Excavation Site Review form see below.

**Definitions**

**Accepted engineering practices** means those requirements which are compatible with standards of practice required by a registered professional engineer.

**Aluminum hydraulic shoring** means a pre-engineered shoring system comprised of aluminum hydraulic cylinders (crossbraces) used in conjunction with vertical rails (uprights) or horizontal rails (wales). Such a system is designed specifically to support the sidewalls of an excavation and prevent cave-ins.
Bell-bottom pier hole means a type of shaft or footing excavation, the bottom of which is made larger than the cross section above to form a belled shape.

Benching (Benching system) means a method of protecting employees from cave-ins by excavating the sides of an excavation to form one or a series of horizontal levels or steps, usually with vertical or near-vertical surfaces between levels.

Cave-in means the separation of a mass of soil or rock material from the side of an excavation, or the loss of soil from under a trench shield or support system, and its sudden movement into the excavation, either by falling or sliding, in sufficient quantity so that it could entrap, bury, or otherwise injure and immobilize a person.

Competent person means one who is capable of identifying existing and predictable hazards in the surroundings, or working conditions which are unsanitary, hazardous, or dangerous to employees, and who has authorization to take prompt corrective measures to eliminate the hazards.

Cross braces mean the horizontal members of a shoring system installed perpendicular to the sides of the excavation, the ends of which bear against either uprights or wales.

Excavation means any man-made cut, cavity, trench, or depression in an earth surface, formed by earth removal.

Faces or sides means the vertical or inclined earth surfaces formed as a result of excavation work.

Failure means the breakage, displacement, or permanent deformation of a structural member or connection so as to reduce its structural integrity and its supportive capabilities.

Hazardous atmosphere means an atmosphere which by reason of being explosive, flammable, poisonous, corrosive, oxidizing, irritating, oxygen deficient, toxic, or otherwise harmful, may cause death, illness, or injury.

Kickout means the accidental release or failure of a cross brace.

Protective system means a method of protecting employees from cave-ins, from material that could fall or roll from an excavation face or into an excavation, or from the collapse of adjacent structures. Protective systems include support systems, sloping and benching systems, shield systems, and other systems that provide the necessary protection.

Ramp means an inclined walking or working surface that is used to gain access to one point from another, and is constructed from earth or from structural materials such as steel or wood.

Registered Professional Engineer means a person who is registered as a professional engineer in the state where the work is to be performed. However, a professional engineer, registered in any state is deemed to be a "registered professional engineer" within the meaning of 29 CFR 1926 subpart P when approving designs for "manufactured protective systems" or "tabulated data" to be used in interstate commerce.

Sheeting means the members of a shoring system that retain the earth in position and in turn are supported by other members of the shoring system.

Shield (Shield system) means a structure that is able to withstand the forces imposed on it by a cave-in and thereby protect employees within the structure. Shields can be permanent structures or can be designed to be portable and moved along as work progresses. Additionally, shields can be either pre-manufactured or job-built in accordance with 1926.652(c)(3) or (c)(4). Shields used in trenches are usually referred to as "trench boxes" or "trench shields."
**Shoring (Shoring system)** means a structure such as a metal, hydraulic, mechanical, or timber shoring system that supports the sides of an excavation and which is designed to prevent cave-ins.

**Sides.** See **Faces**.

**Sloping (Sloping system)** means a method of protecting employees from cave-ins by excavating to form sides of an excavation that are inclined away from the excavation so as to prevent cave-ins. The angle of incline required to prevent a cave-in varies with differences in such factors as the soil type, environmental conditions of exposure, and application of surcharge loads.

**Stable rock** means natural solid mineral material that can be excavated with vertical sides and will remain intact while exposed. Unstable rock is considered to be stable when the rock material on the side or sides of the excavation is secured against caving-in or movement by rock bolts or by another protective system that has been designed by a registered professional engineer.

**Structural ramp** means a ramp built of steel or wood, usually used for vehicle access. Ramps made of soil or rock are not considered structural ramps.

**Support system** means a structure such as underpinning, bracing, or shoring, which provides support to an adjacent structure, underground installation, or the sides of an excavation.

**Subsurface encumbrances** include underground utilities, foundations, streams, water tables, transformer vaults, and geological anomalies.

**Tabulated data** means tables and charts approved by a registered professional engineer and used to design and construct a protective system.

**Trench (Trench excavation)** means a narrow excavation (in relation to its length) made below the surface of the ground. In general, the depth is greater than the width, but the width of a trench (measured at the bottom) is not greater than 15 feet (4.6 m). If forms or other structures are installed or constructed in an excavation so as to reduce the dimension measured from the forms or structure to the side of the excavation to 15 feet (4.6 m) or less (measured at the bottom of the excavation), the excavation is also considered to be a trench.

**Uprights** means the vertical members of a trench shoring system placed in contact with the earth and usually positioned so that individual members do not contact each other. Uprights placed so that individual members are closely spaced, in contact with or interconnected to each other, are often called "sheeting."

**Wales** means horizontal members of a shoring system placed parallel to the excavation face whose sides bear against the vertical members of the shoring system or earth.

**Surface Encumbrances**

All surface encumbrances that are located so as to create a hazard to employees shall be removed or supported, as necessary, to safeguard employees.

**Stability of Adjacent Structures**

Where the stability of adjoining buildings, walls, or other structures is endangered by excavation operations, support systems such as shoring, bracing, or underpinning shall be provided to ensure the stability of such structures for the protection of employees.

Excavation below the level of the base or footing of any foundation or retaining wall that could be reasonably expected to pose a hazard to employees shall not be permitted except when:
• A support system, such as underpinning, is provided to ensure the safety of employees and the stability of the structure; or

• The excavation is in stable rock; or

• A registered professional engineer has approved the determination that the structure is sufficiently removed from the excavation so as to be unaffected by the excavation activity; or

• A registered professional engineer has approved the determination that such excavation work will not pose a hazard to employees.

• Sidewalks, pavements and appurtenant structure shall not be undermined unless a support system or another method of protection is provided to protect employees from the possible collapse of such structures.

**Standard Interpretation**

**Underground Utilities**

• The estimated location of utility installations, such as sewer, telephone, fuel, electric, water lines, or any other underground installations that reasonably may be expected to be encountered during excavation work, shall be determined prior to opening an excavation.

• Utility companies or owners shall be contacted within established or customary local response times, advised of the proposed work, and asked to establish the location of the utility underground installations prior to the start of actual excavation. When utility companies or owners cannot respond to a request to locate underground utility installations within 24 hours (unless a longer period is required by state or local law), or cannot establish the exact location of these installations, the employer may proceed, provided the employer does so with caution, and provided detection equipment or other acceptable means to locate utility installations are used.

• When excavation operations approach the estimated location of underground installations, the exact location of the installations shall be determined by safe and acceptable means.

• While the excavation is open, underground installations shall be protected, supported or removed as necessary to safeguard employees.

**Standard Interpretations**

**Access and Egress**

**Structural ramps**

• Structural ramps that are used solely by employees as a means of access or egress from excavations shall be designed by a competent person. Structural ramps used for access or egress of equipment shall be designed by a competent person qualified in structural design, and shall be constructed in accordance with the design.

• Ramps and runways constructed of two or more structural members shall have the structural members connected together to prevent displacement.

• Structural members used for ramps and runways shall be of uniform thickness.

• Cleats or other appropriate means used to connect runway structural members shall be attached to the bottom of the runway or shall be attached in a manner that does not present a trip hazard.
• Structural ramps used in lieu of steps shall be provided with cleats or other surface treatments of the top surface to prevent slipping.

Means of Egress

• Means of egress from trench excavations. A stairway, ladder, ramp or other safe means of egress shall be located in trench excavations that are 4 feet (1.22 m) or more in depth so as to require no more than 25 feet (7.62 m) of lateral travel for employees.

Standard Interpretation

Hazardous Atmospheres

Testing and controls. In addition to the requirements set forth in subparts D and E of 29 CFR 1926.50 - 1926.107, intended to prevent exposure to harmful levels of atmospheric contaminants and to assure acceptable atmospheric conditions, the following requirements shall apply:

• Where oxygen deficiency (atmospheres containing less than 19.5 percent oxygen) or a hazardous atmosphere exists or could reasonably be expected to exist, such as in excavations in landfill areas or excavations in areas where hazardous substances are stored nearby, the atmospheres in the excavation shall be tested before employees enter excavations greater than 4 feet (1.22 m) in depth.

• Adequate precautions shall be taken to prevent employee exposure to atmospheres containing less than 19.5 percent oxygen and other hazardous atmospheres. These precautions include providing proper respiratory protection or ventilation in accordance with subparts D and E of this part respectively.

• Adequate precaution shall be taken such as providing ventilation, to prevent employee exposure to an atmosphere containing a concentration of a flammable gas in excess of 20 percent of the lower flammable limit of the gas.

• When controls are used that are intended to reduce the level of atmospheric contaminants to acceptable levels, testing shall be conducted as often as necessary to ensure that the atmosphere remains safe.

• Any work under the conditions of 29 CFR 1926.651(g)(1) requires a confined space entry permit as identified in the FSU Confined Space Entry Program.

Standard Interpretation

Emergency Equipment

• Emergency rescue equipment, such as breathing apparatus, a safety harness and line, or a basket stretcher, shall be readily available where hazardous atmospheric conditions exist or may reasonably be expected to develop during work in an excavation. This equipment shall be attended when in use.

• Employees entering bell-bottom pier holes, or other similar deep and confined footing excavations, shall wear a harness with a lifeline securely attached to it. The lifeline shall be separate from any line used to handle materials, and shall be individually attended by a designated employee at all times while the employee wearing the lifeline is in the excavation.

Standard Interpretation

Protection from Hazards Associated with Water Accumulation

• Employees shall not work in excavations in which there is accumulated water, or in excavations in which water is accumulating, unless adequate precautions have been taken to protect employees
against the hazards posed by water accumulation. The precautions necessary to protect employees adequately vary with each situation, but could include special support or shield systems to protect from cave-ins, water removal to control the level of accumulating water, or use of a safety harness and lifeline.

- If water is controlled or prevented from accumulating by the use of water removal equipment, the water removal equipment and operations shall be monitored by a competent person to ensure proper operation
- If excavation work interrupts the natural drainage of surface water (such as streams), diversion ditches, dikes, or other suitable means shall be used to prevent surface water from entering the excavation and to provide adequate drainage of the area adjacent to the excavation. Excavations subject to runoff from heavy rains will require an inspection by a competent person and compliance with all other requirements of this section.

**Standard Interpretation**

For more information on confined space please see the Confined Spaces program.

**Excavation Inspections**

**Inspections and Soil Mechanics**

Prior to and during an excavation the Competent Person should inspect the area where an excavation will take place. As a requirement, the Competent Person should be knowledgeable of soil mechanics. Surface conditions, soil type, presence of existing utilities, and condition of soil should be considered when determining protective measures.

**Soil Mechanics**

A number of stresses and deformations can occur in an open cut or trench. For example, increases or decreases in moisture content can adversely affect the stability of a trench or excavation. The following diagrams show some of the more frequently identified causes of trench failure.

**Tension Cracks.** Tension cracks usually form at a horizontal distance of 0.5 to 0.75 times the depth of the trench, measured from the top of the vertical face of the trench.

![Tension Crack Diagram](image)

**Sliding** or sluffing may occur as a result of tension cracks, as illustrated below.

![Sliding Diagram](image)

**Toppling.** In addition to sliding, tension cracks can cause toppling. Toppling occurs when the trench's vertical face shears along the tension crack line and topples into the excavation.
Subsidence and Bulging. An unsupported excavation can create an unbalanced stress in the soil, which, in turn, causes subsidence at the surface and bulging of the vertical face of the trench. If uncorrected, this condition can cause face failure and entrapment of workers in the trench.

Heaving or Squeezing. Bottom heaving or squeezing is caused by the downward pressure created by the weight of adjoining soil. This pressure causes a bulge in the bottom of the cut, as illustrated in the drawing above. Heaving and squeezing can occur even when shoring or shielding has been properly installed.

Boiling is evidenced by an upward water flow into the bottom of the cut. A high water table is one of the causes of boiling. Boiling produces a "quick" condition in the bottom of the cut and can occur even when shoring or trench boxes are used.

Unit Weight of Soils refers to the weight of one unit of a particular soil. The weight of soil varies with type and moisture content. One cubic foot of soil can weigh from 110 pounds to 140 pounds or more and one cubic meter (35.3 cubic feet) of soil can weigh more than 3,000 pounds.

Determination of Soil Type
- **Stable Rock** is natural solid mineral matter that can be excavated with vertical sides and remain intact while exposed. It is usually identified by a rock name such as granite or sandstone. Determining whether a deposit is of this type may be difficult unless it is known whether cracks exist and whether or not the cracks run into or away from the excavation.
- **Type A Soils** are cohesive soils with an unconfined compressive strength of 1.5 tons per square foot (tsf) (144 kPa) or greater. Examples of Type A cohesive soils are often: clay, silty clay, sandy clay, clay loam and, in some cases, silty clay loam and sandy clay loam. (No soil is Type A if it is fissured, is subject to vibration of any type, has previously been disturbed, is part of a sloped, layered system where the layers dip into the excavation on a slope of 4 horizontal to 1 vertical (4H:1V) or greater, or has seeping water.

- **Type B Soils** are cohesive soils with an unconfined compressive strength greater than 0.5 tsf (48 kPa) but less than 1.5 tsf (144 kPa). Examples of other Type B soils are: angular gravel; silt; silt loam; previously disturbed soils unless otherwise classified as Type C; soils that meet the unconfined compressive strength or cementation requirements of Type A soils but are fissured or subject to vibration; dry unstable rock; and layered systems sloping into the trench at a slope less than 4H:1V (only if the material would be classified as a Type B soil).

- **Type C Soils** are cohesive soils with an unconfined compressive strength of 0.5 tsf (48 kPa) or less. Other Type C soils include granular soils such as gravel, sand and loamy sand, submerged soil, soil from which water is freely seeping, and submerged rock that is not stable. Also included in this classification is material in a sloped, layered system where the layers dip into the excavation or have a slope of four horizontal to one vertical (4H:1V) or greater.
  - **Layered Geological Strata.** Where soils are configured in layers, i.e., where a layered geologic structure exists, the soil must be classified on the basis of the soil classification of the weakest soil layer. Each layer may be classified individually if a more stable layer lies below a less stable layer, i.e., where a Type C soil rests on top of stable rock.

**Test Equipment and Methods for Evaluating Soil Type**

Many kinds of equipment and methods are used to determine the type of soil prevailing in an area, as described below:

**Pocket Penetrometer**

Penetrometers are direct-reading, spring-operated instruments used to determine the unconfined compressive strength of saturated cohesive soils. Once pushed into the soil, an indicator sleeve displays the reading. The instrument is calibrated in either tons per square foot (tsf) or kilograms per square centimeter (kPa). However, Penetrometers have error rates in the range of ± 20-40%.

1. **Shearvane (Torvane).** To determine the unconfined compressive strength of the soil with a shearvane, the blades of the vane are pressed into a level section of undisturbed soil and the torsional knob is slowly turned until soil failure occurs. The direct instrument reading must be multiplied by 2 to provide results in tons per square foot (tsf) or kilograms per square centimeter (kPa).

2. **Thumb Penetration Test.** The thumb penetration procedure involves an attempt to press the thumb firmly into the soil in question. If the thumb makes an indentation in the soil only with great difficulty, the soil is probably Type A. If the thumb penetrates no further than the length of the thumb nail, it is probably Type B soil, and if the thumb penetrates the full length of the thumb, it is Type C soil. The thumb test is subjective and is therefore the least accurate of the three methods.

3. **Dry Strength Test.** Dry soil that crumbles freely or with moderate pressure into individual grains is granular. Dry soil that falls into clumps that subsequently break into smaller clumps (and the smaller clumps can be broken only with difficulty) is probably clay in combination with gravel,
sand, or silt. If the soil breaks into clumps that do not break into smaller clumps (and the soil can be broken only with difficulty), the soil is considered unfissured unless there is visual indication of fissuring.

**Plasticity or Wet Thread Test**

This test is conducted by molding a moist sample of the soil into a ball and attempting to roll it into a thin thread approximately 1/8 inch (3 mm) in diameter (thick) by 2 inches (50 mm) in length. The soil sample is held by one end. If the sample does not break or tear, the soil is considered cohesive.

**Visual Test**

A visual test is a qualitative evaluation of conditions around the site. In a visual test, the entire excavation site is observed, including the soil adjacent to the site and the soil being excavated. If the soil remains in clumps, it is cohesive; if it appears to be coarse-grained sand or gravel, it is considered granular. The evaluator also checks for any signs of vibration.

During a visual test, the evaluator should check for crack-line openings along the failure zone that would indicate tension cracks, look for existing utilities that indicate that the soil has previously been disturbed, and observe the open side of the excavation for indications of layered geologic structuring.

The evaluator should also look for signs of bulging, boiling, or sluffing, as well as for signs of surface water seeping from the sides of the excavation or from the water table. If there is standing water in the cut, the evaluator should check for "quick" conditions. In addition, the area adjacent to the excavation should be checked for signs of foundations or other intrusions into the failure zone, and the evaluator should check for surcharging and the spoil distance from the edge of the excavation.

**Protection of Employees from Loose Rock and Soil**

- Adequate protection shall be provided to protect employees from loose rock or soil that could pose a hazard by falling or rolling from an excavation face. Such protection shall consist of scaling to remove loose material; installation of protective barricades at intervals as necessary on the face to stop and contain falling material; or other means that provide equivalent protection.
- Employees shall be protected from excavated or other materials or equipment that could pose a hazard by falling or rolling into excavations. Protection shall be provided by placing and keeping such materials or equipment at least 2 feet (.61 m) from the edge of excavations, or by the use of retaining devices that are sufficient to prevent materials or equipment from falling or rolling into excavations, or by a combination of both if necessary.

**Standard Interpretation**

**Fall Protection**

Walkways shall be provided where employees or equipment are required or permitted to cross over excavations. Guardrails which comply with 29 CFR 1926.502(b) shall be provided where walkways are 6 feet (1.8 m) or more above lower lower levels.

**Standard Interpretation**

**Protection of Employees in Excavations**

**Sloping and Benching**

Each FSU employee in an excavation shall be protected from cave-ins by an adequate protective system designed in accordance with OSHA standards, except when:
• Excavations are made entirely in stable rock; or
• Excavations are less than 5 feet (1.52 m) in depth and examination of the ground by a competent person provides no indication of a potential cave-in.

Protective systems shall have the capacity to resist without failure all loads that are intended or could reasonably be expected to be applied or transmitted to the system.

Design of sloping and benching systems. Sloping and benching must be based on classification of soil. After inspecting trench/excavation the competent person will determine which sloping/benching method to use. The protective system must be designed by a professional engineer if the excavation is over 20 feet in depth.

**Option (1) - Allowable configurations and slopes.**

Excavations shall be sloped at an angle not steeper than one and one-half horizontal to one vertical (34 degrees measured from the horizontal), unless the University uses one of the other options listed below.

Such slopes shall be excavated to form configurations that are in accordance with the slopes shown for Type C soil in Appendix B. Type C soil can only be sloped, benching is not allowed for type C. If an inspection is not done prior to work, then soil must be assumed as type C. In which case sloping, shielding or shoring must be used.

![Diagram of Type C Soil Slope](image)

**Option (2) - Determination of slopes and configurations using Appendix A and B.**

Maximum allowable slopes, and allowable configurations for sloping and benching systems, shall be determined in accordance with the conditions and requirements set forth in appendices A and B to this subpart.

Type A soil can be sloped or benched ¾ vertical to 1 horizontal, after inspection by competent has determined the soil is type A.

![Diagram of Type A Soil Slope and Bench](image)

Type B soil can be sloped or benched 1 vertical to 1 horizontal, after inspection by competent has determined the soil is type B.
Option (3) - Designs using other tabulated data. (Example of tabulated data)

Designs of sloping or benching systems shall be selected from and in accordance with tabulated data, such as tables and charts.

The tabulated data shall be in written form and shall include all of the following:

- Identification of the parameters that affect the selection of a sloping or benching system drawn from such data;
- Identification of the limits of use of the data, to include the magnitude and configuration of slopes determined to be safe;
- Explanatory information as may be necessary to aid the user in making a correct selection of a protective system from the data.

At least one copy of the tabulated data which identifies the registered professional engineer who approved the data, shall be maintained at the jobsite during construction of the protective system.

Option (4) - Design by a registered professional engineer.

Sloping and benching systems not utilizing Option (1) or Option (2) or Option (3) and shall be approved by a registered professional engineer. This is mandatory if excavation exceeds 20 feet in depth.

Designs shall be in written form and shall include at least the following:

- The magnitude of the slopes that were determined to be safe for the particular project; the configurations that were determined to be safe for the particular project; the identity of the registered professional engineer
- The configurations that were determined to be safe for the particular project;
- The identity of the registered professional engineer approving the design.
- At least one copy of the design shall be maintained at the jobsite while the slope is being constructed.

For more information, visit:

OSHA Appendix A and B.

Excavation: Hazard Recognition in Trenching and Shoring

Shield Systems

Designs of Support Systems, Shield Systems, and Other Protective Systems

Designs of support systems, shield systems, and other protective systems shall be selected and constructed by the employer or his designee and shall be in accordance with the requirements of one of the following four options:
• Option (1) - Designs using appendices A, C, and D. Designs for timber shoring in trenches shall be determined in accordance with the conditions and requirements set forth in appendices A and C. Designs for aluminum hydraulic shoring shall be in accordance with manufacturer's specifications, recommendations, and limitations as described in Option (2) below, but if manufacturer's tabulated data cannot be utilized, designs shall be in accordance with appendix D.

• Option (2) - Designs Using Manufacturer's Tabulated Data. Design of support systems, shield systems, or other protective systems that are drawn from manufacturer's tabulated data shall be in accordance with all specifications, recommendations, and limitations issued or made by the manufacturer.
  
  o Deviation from the specifications, recommendations, and limitations issued or made by the manufacturer shall only be allowed after the manufacturer issues specific written approval.
  
  o Manufacturer’s specifications, recommendations, and limitations, and manufacturer’s approval to deviate from the specifications, recommendations, and limitations shall be in written form at the jobsite during construction of the protective system. After that time this data may be stored off the jobsite.

• Option (3) - Designs using other tabulated data.
  
  o Designs of support systems, shield systems, or other protective systems shall be selected from and be in accordance with tabulated data, such as tables and charts.
  
  o The tabulated data shall be in written form and include all of the following:
    
    ▪ Identification of the parameters that affect the selection of a protective system drawn from such data;
    
    ▪ Identification of the limits of use of the data;
    
    ▪ Explanatory information as may be necessary to aid the user in making a correct selection of a protective system from the data.
    
    ▪ At least one copy of the tabulated data, which identifies the registered professional engineer who approved the data, shall be maintained at the jobsite during construction of the protective system. After that time the data may be stored off the jobsite.

• Option (4) - Design by a registered professional engineer.
  
  o Support systems, shield systems, and other protective systems not utilizing Option 1, Option 2 or Option 3, above, shall be approved by a registered professional engineer. This option must be used if excavation is over 20 feet in depth.
  
  o Designs shall be in written form and shall include the following: A plan indicating the sizes, types, and configurations of the materials to be used in the protective system; and
  
  o The identity of the registered professional engineer approving the design.
  
  o At least one copy of the design shall be maintained at the jobsite during construction of the protective system.

**Materials and Equipment**
• Materials and equipment used for protective systems shall be free from damage or defects that might impair their proper function.

• Manufactured materials and equipment used for protective systems shall be used and maintained in a manner that is consistent with the recommendations of the manufacturer, and in a manner that will prevent employee exposure to hazards.

• When material or equipment that is used for protective systems is damaged, a competent person shall examine the material or equipment and evaluate its suitability for continued use. If the competent person cannot assure the material or equipment is able to support the intended loads or is otherwise suitable for safe use, then such material or equipment shall be removed from service, and shall be evaluated and approved by a registered professional engineer before being returned to service.

Installation and Removal of Support

• Members of support systems shall be securely connected together to prevent sliding, falling, kick outs, or other predictable failure.

• Support systems shall be installed and removed in a manner that protects employees from cave-ins, structural collapses, or from being struck by members of the support system.

• Individual members of support systems shall not be subjected to loads exceeding those which those members were designed to withstand.

• Before temporary removal of individual members begins, additional precautions shall be taken to ensure the safety of employees, such as installing other structural members to carry the loads imposed on the support system.

• Removal shall begin at, and progress from, the bottom of the excavation. Members shall be released slowly so as to note any indication of possible failure of the remaining members of the structure or possible cave-in of the sides of the excavation.

• Backfilling shall progress together with the removal of support systems from excavations.

• Additional requirements for support systems for trench excavations
  
  o Excavation of material to a level no greater than 2 feet (.61 m) below the bottom of the members of a support system shall be permitted, but only if the system is designed to resist the forces calculated for the full depth of the trench, and there are no indications while the trench is open of a possible loss of soil from behind or below the bottom of the support system.

  o Installation of a support system shall be closely coordinated with the excavation of trenches.

• Sloping and benching systems. Employees shall not be permitted to work on the faces of sloped or benched excavations at levels above other employees except when employees at the lower levels are adequately protected from the hazard of falling, rolling, or sliding material or equipment.

Shoring Types

Shoring is the provision of a support system for trench faces used to prevent movement of soil, underground utilities, roadways, and foundations. Shoring or shielding is used when the location or depth of the cut makes sloping back to the maximum allowable slope impractical. Shoring systems
consist of posts, wales, struts, and sheeting. There are two basic types of shoring: timber and aluminum hydraulic.

**Hydraulic Shoring**

The trend today is toward the use of hydraulic shoring, a prefabricated strut and/or wale system manufactured of aluminum or steel. Hydraulic shoring provides a critical safety advantage over timber shoring because workers do not have to enter the trench to install or remove hydraulic shoring. Other advantages of most hydraulic systems are that they:

- Are light enough to be installed by one worker;
- Are gauge-regulated to ensure even distribution of pressure along the trench line;
- Can have their trench faces "preloaded" to use the soil's natural cohesion to prevent movement; and
- Can be adapted easily to various trench depths and widths.

All shoring should be installed from the top down and removed from the bottom up. Hydraulic shoring should be checked at least once per shift for leaking hoses and/or cylinders, broken connections, cracked nipples, bent bases, and any other damaged or defective parts.

**Typical Aluminum Hydraulic Shoring Installations**
Pneumatic Shoring

Works in a manner similar to hydraulic shoring. The primary difference is that pneumatic shoring uses air pressure in place of hydraulic pressure. A disadvantage to the use of pneumatic shoring is that an air compressor must be on site.

- Screw Jacks. Screw jack systems differ from hydraulic and pneumatic systems in that the struts of a screw jack system must be adjusted manually. This creates a hazard because the worker is required to be in the trench in order to adjust the strut. In addition, uniform "preloading" cannot be achieved with screw jacks, and their weight creates handling difficulties.

- Single-Cylinder Hydraulic Shores. Shores of this type are generally used in a water system, as an assist to timber shoring systems, and in shallow trenches where face stability is required.

- Underpinning. This process involves stabilizing adjacent structures, foundations, and other intrusions that may have an impact on the excavation. As the term indicates, underpinning is a procedure in which the foundation is physically reinforced. Underpinning should be conducted only under the direction and with the approval of a registered professional engineer.
Example of Shoring Variations

Shield Systems

- Trench Boxes are different from shoring because, instead of shoring up or otherwise supporting the trench face, they are intended primarily to protect workers from cave-ins and similar incidents.
- The space between the trench boxes and the excavation side are backfilled to prevent lateral movement of the box.
- Shields may not be subjected to loads exceeding those which the system was designed to withstand.
- Shields shall be installed in a manner to restrict lateral or other hazardous movement of the shield in the event of the application of sudden lateral loads.
- Employees shall be protected from the hazard of cave-ins when entering or exiting the areas protected by shields.
- Employees shall not be allowed in shields when shields are being installed, removed, or moved vertically.
- Additional requirement for shield systems used in trench excavations. Excavations of earth material to a level not greater than 2 feet (.61 m) below the bottom of a shield shall be permitted, but only if the shield is designed to resist the forces calculated for the full depth of the trench, and there are no indications while the trench is open of a possible loss of soil from behind or below the bottom of the shield.
- Trench boxes are generally used in open areas, but they also may be used in combination with sloping and benching. The box should extend at least 18 in (0.45 m) above the surrounding area if there is sloping toward excavation. This can be accomplished by providing a benched area adjacent to the box.
Slope and Shield Configurations

For more information, visit:
OSHA appendices A, C, D

Excavations: Hazard Recognition in Trenching and Shoring

Excavations and Mobile Equipment

- Exposure to vehicular traffic. Employees exposed to public vehicular traffic shall be provided with, and shall wear, warning vests or other suitable garments marked with or made of reflectorized or high-visibility material.

- Exposure to falling loads. No employee shall be permitted underneath loads handled by lifting or digging equipment. Employees shall be required to stand away from any vehicle being loaded or unloaded to avoid being struck by any spillage or falling materials. Operators may remain in the cabs of vehicles being loaded or unloaded when the vehicles are equipped, in accordance with OSHA requirements in 29 CFR 1926.601(b)(6), to provide adequate protection for the operator during loading and unloading operations.

- Warning system for mobile equipment. When mobile equipment is operated adjacent to an excavation, or when such equipment is required to approach the edge of an excavation, and the operator does not have a clear and direct view of the edge of the excavation, a warning system shall be utilized such as barricades, hand or mechanical signals, or stop logs. If possible, the grade should be away from the excavation.

Standard Interpretation

Training Requirements

Training will be provided to the excavation competent person as well as all employees engaged in excavation activities.
Training will consist of:

- Soil Classification and Analysis
- Proper benching and shoring
- Jobsite Inspection
- Hazard Recognition (including hazardous atmospheres)
- Installation and Removal of protective systems

Re-training will occur:

- Change in equipment or hazards.
- Inadequacies in employee knowledge. Additional retraining will also be conducted whenever a periodic inspection reveals, or whenever this employer has reason to believe, that there are deviations from, or inadequacies in, employee's knowledge or use of fall protection equipment or procedures.
- If the excavation procedure fails.
- Proficiency and Procedures. The retraining will reestablish employee proficiency and introduce new or revised methods and procedures, as necessary.

New Employees will attend initial training before participating in trenching and/or excavation activities.

**Forms**

- [Excavation Competent Person Evaluation Form.docx](#)
- [Excavation Site Checklist and Daily Field Report.docx](#)

**OSHA Excavation References**

- [Appendix A to 29 CFR 1926 Subpart P](#) (Soil Classification)
- [Appendix B to 29 CFR 1926 Subpart P](#) (Sloping and Benching)
- [Appendix C to 29 CFR 1926 Subpart P](#) (Timber Shoring for Trenches)
- [Appendix D to 29 CFR 1926 Subpart P](#) (Aluminum Hydraulic Shoring for Trenches)
- [Appendix E to CFR 1926 Subpart P](#) (Alternatives to Timber Shoring)
- [Appendix F to CFR 1926 Subpart P](#) (Selection of Protective Systems)