

## UHSP-26: Lifting Equipment and Lifting Operations



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UHSP-26: Lifting Equipment and Lifting Operations	1.2	20/07/2023	20/07/2026

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## 1. Objective

The University recognises its duties, so far as reasonably practicable, to manage and control all lifting operations to protect the health, safety and wellbeing of those who may be affected and avoid any harm or damage. This document defines the activities and responsibilities to ensure compliance with:

- The Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Regulation 1999
- Lifting Operations & Lifting Equipment Regulations (LOLER) 1998

## 2. Scope

This policy and procedure applies to all University lifting equipment, whether owned or hired, and in all workplaces or work situations. It applies to all staff, students, contractors and visitors that may use or come into contact with lifting equipment / operations. Examples of lifting equipment include, but are not limited to the following:

- Goods and passenger lifts
- People hoists
- Vehicles with tail-lifts or cranes fitted (HIAB)
- Manual handling aids (pump trucks, specialist equipment)
- Building cleaning cradles and associated suspension equipment
- Overhead cranes and their supporting runways
- Mobile elevated work platforms (MEWPs)
- Forklift trucks / telehandlers and their lifting accessories
- Manual hoists and rope pulley systems used to raise / lower objects
- Ropes used for abseiling or climbing (*rock face, arboriculture, building descent*)

## 3. Definitions

**Competent person (thorough examination):** The person having appropriate experience and practical and theoretical knowledge to carry out a thorough examination of equipment enabling them to detect defects or weaknesses and to assess their importance in relation to the safety and continued use of the lifting equipment.

**Responsible person:** A person within an operational area who has been assigned management / organisational responsibilities in relation to lifting equipment assets and operations.

**Person in control of works (project manager / asset manager / reactive maintenance (RM) supervisor / RM technician / principal contractor's site manager / departmental staff):** The person in control of works will be the University's principal point of contact with a maintenance / construction contractor.

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**Thorough examination:** A systematic and detailed examination of the equipment and its safety-critical parts, carried out at specified intervals by a competent person who must then complete a written report.

This report must contain the information required by LOLER Schedule 1 and should be kept on record for a minimum of two years or until the next report whichever is the latter

**Examination scheme:** A suitable scheme drawn up by the competent person for the examination of lifting equipment at appropriate intervals.

**Visual inspection:** A visual inspection carried out by competent personnel (i.e. trained operator). The nature, need for, and frequency of such inspections, will be determined through the manufacturer's recommendations and the provisions of task risk assessments.

**Lifting operations:** An operation concerned with the lifting or lowering of a load.

**Lifting equipment:** Work equipment for lifting and lowering loads, including any accessories used. There are some notable exceptions that are not considered lifting equipment under LOLER 1998 such as pallet trucks (where the consequence of the load falling off is very low), roller shutter doors, fall arrest ropes and tipper trucks. Nonetheless, where this equipment is used at work, it will need to be maintained and inspected under PUWER 1998 for example.

**Appointed Person for lifting operations:** A person with specific duties for planning lifting operations (as defined by LOLER 1998).

**Lifting accessories:** Equipment used to attach loads to lifting equipment providing a link between the two. Examples are fibre or rope slings, chains (single or multiple leg), hooks, rings, eyebolts, spreader beams and magnetic or vacuum devices.

**The load:** Any material, people or animals (or any combination of these) lifted by the lifting equipment. Loads are often provided with permanent or semi-permanent fixed or attached points for lifting.

## 4. Responsibilities

### Executive Board

- Will provide leadership to ensure that these procedures are followed, including the provision of adequate resources

### Director of Estates & Campus Services (ECS) will:

- Ensure that this policy is implemented within ECS controlled areas and activities
- Ensure that all ECS staff are made aware of this policy and any responsibilities they have therein
- Ensure sufficient resources are available in order for the responsible person to discharge their duties

### Heads of Schools, Departments or Corporate Service Divisions (Heads):

- Ensure that this policy is implemented in their area of responsibility

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- Where required, appoint a responsible person (or persons) in order to manage lifting equipment or plant in their area / under their day-to-day control
- Ensure that a suitable and sufficient asset list for lifting equipment as defined above within its area of responsibility is developed and maintained
- Ensure that sufficient resources are available in order for the responsible person to discharge their duties

**Line Managers will ensure:**

- lifting equipment in their area of responsibility are identified, thoroughly examined, maintained and inspected
- lifting operations in their area of responsibility are properly planned, subject to risk assessment, supervised and only undertaken by trained persons
- their staff receive sufficient information, instruction and training
- their staff follow this policy and process

**The competent person will:**

- Carry out statutory thorough examinations on lifting equipment and attachments when instructed to do so by the University
- If the equipment is safe for use, suitably mark the equipment and issue a certificate allowing its use or continued use, (they may recommend non-critical repairs); or,
- If the equipment is not considered safe for use, issue a notice prohibiting its use. Details as to the reasons why the use has been prohibited will be provided to the responsible person or delegated deputy on the day of inspection
- The competent person is also responsible for advising on required remedial action to make the equipment safe

**The responsible person will:**

- Where a system is in place, use the University asset management system to maintain a list of all lifting equipment in use by their department / school or division that requires statutory inspection
- Update the asset management system as and when new lifting assets are procured or old assets are no longer in use, and where there is no existing asset list, develop their own
- Ensure that no new piece of lifting equipment requiring a statutory inspection goes into use without first being formally inspected (including after refurbishment of a space)
- Ensure that all lifting equipment requiring a thorough examination has an examination scheme in place
- Liaise with ECS to ensure that all necessary inspections are carried out by the competent person
- Ensure that any equipment under their day to day control without an appropriate thorough examination certificate (where one is required) is removed from service until such time as a required inspection has been undertaken
- Consult ECS when purchasing equipment that has lifting capability
- Ensure that any remedial action affecting safety which has been advised by the competent person (thorough examination) is carried out before the equipment is put back into use
- Ensure that all lifting equipment and accessories are visibly marked with CE Or UKCA

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marking and details of safe working loads (SWL) and/or working load limits (WLL) as appropriate, and that any other information to be considered for its safe use (such as equipment usage logs) is readily available

**Equipment users will:**

- Use all equipment for the use for which it has been intended and in accordance with relevant information, instructions and training
- Report any defects in equipment immediately to their line manager

**Persons in control of works (involving lifting operations) will:**

- Ensure any lifting operations are properly planned and assessed with assistance from the relevant Health and Safety Business Partner (where required) and lifting operations Appointed Person for lifting operations
- Ensure new lifting equipment being installed as part of a project has been reviewed by the project principal designer (where appointed) and any specialist designers to ensure it is suitable for its intended use and installation location

**Health and Safety Services will:**

- Advise on matters relating to lifting equipment and operations, including any changes in legislation and how these impact on the University activities
- Carry out spot checks and audits to facilitate reviews on the effectiveness of this policy
- Advise on policy and guidance changes as required

## 5. Procedure

**Lifting equipment selection**

Only the correct type of lifting equipment is to be selected for use by competent personnel. The following lifting equipment selection criteria should be adhered to:

- The nature and complexity of the work to be carried out
- Any access restrictions in the work area including any overhead obstructions during delivery, use and collection
- The terrain and ground conditions, including slopes, constrictions and how the lifting equipment will manoeuvre safely
- Work area conditions including maximum load bearing capacity of the ground / location and maximum force exerted by any tyres, tracks, or outriggers
- Number of people, equipment and the load to be lifted - taking into consideration any material handling attachments and accessories
- The height and outreach required
- Potential wind effects including operating internally or in partly clad, or open structures
- Fuel type, emissions and the environment in which the lifting equipment will be operating
- The availability of suitably trained operators for the selected machines and competence
- Emergency/rescue arrangements

**Purchasing equipment**

When purchasing lifting equipment, the purchaser must ensure that it is fit for purpose and will be suitable for the task as above. New equipment should be accompanied with a declaration of compliance and CE mark and old equipment should comply with the general requirements of

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the Health and Safety at Work etc. Act 1974, any relevant current regulations and British Standards current at the time of supply. Equipment should be capable of lifting the loads planned with a suitable safety margin. For lifting equipment used for lifting persons this safety margin should be greater.

### Hiring equipment

If hired equipment is to be used then this should be CE marked and come with the relevant records of inspection. A thorough inspection (see below) of hired equipment should be made if it will be used to support people at any point and a visual examination carried out and recorded of all other equipment prior to use.

### Inspection/Testing

The following lifting equipment inspections and maintenance will take place in accordance with the manufacturer's instructions, written examination scheme and risk assessment:

### Hired lifting equipment

A pre-delivery inspection will be required from the owner/supplier before delivery to the University

### Purchase of pre-owned lifting equipment

Any company or person selling lifting equipment should ensure that it is safe for use, has the appropriate accompanying documentation and that it has a current report of thorough examination. Where this is not the case, the seller should make the buyer aware, in writing, of the responsibility of these duties before they acquire the machine. Where a pre-owned lifting equipment is acquired with a current report of thorough examination, it is good practice, although not an explicit requirement of LOLER, for a new owner to arrange for the lifting equipment to undergo a thorough examination before being put into use.

### Purchase of new lifting equipment

In the case of new equipment, the initial thorough examination is considered to have been carried out by the manufacturer or supplier and confirmed by the date on the specific EC Declaration of Conformity. However, the important point is the date at which the lifting equipment is put into service for the first time.

Lifting equipment accessories and lifting equipment used for lifting people will require a thorough examination at intervals of 6 months after the date on the EC Declaration of Conformity. Equipment used for other lifting operations will require thorough examination at intervals of 12 months after the date on the EC Declaration of Conformity.

In cases where purchasers of new lifting equipment find that the EC Declaration of Conformity is more than 6 months (*people lifting*) or 12 months (*other lifting*) prior to it being used for the first time, then an initial thorough examination is required before the lifting equipment is put into service.

### 'On delivery' inspection

Ensure competent personnel inspect the condition and functionality of any lifting equipment once it had been delivered and offloaded from any transport vehicle, before accepting responsibility for the machine. This is to confirm the machine is still in a safe working condition and has not been damaged during transportation.

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**Pre-use inspection (pre-use check) for lifting operations equipment (cranes / MEWPs)**

The pre-use inspection, which includes function checks should be performed by the individual operator at the beginning of their work shift or working day, prior to using the lifting equipment, or when taking over operating responsibilities from another operator. The operator responsible for carrying out the pre-use inspection should be competent and should refer to the operator's user manual and / or hirer's guidance to determine the content of the pre-use inspection.

**Inspection due to other circumstances**

Where a lifting equipment is subjected to exceptional circumstances, liable to jeopardise the safety of the work equipment, the lifting equipment should be removed from service and subjected to a thorough examination to ensure that it is safe before being returned to service. Exceptional circumstances may include: collision with a structure or another machine; use for particularly arduous duties; use in severe environmental conditions; failure of a structural component; overloading; overturning or modifications not authorised by the owner.

**Thorough examination**

Lifting equipment must be thoroughly examined:

- before first use (unless there is a valid Declaration of Conformity made less than 12 months earlier)
- where it depends on installation, or re-installation/assembly at another site
- where it is exposed to conditions causing deterioration, liable to result in danger

Lifting equipment, unless specified in the manufacturer's instructions, must be subjected to thorough examination at intervals of 12 months in accordance with the scheme of examination. Accessories for lifting and lifting equipment used for lifting persons must be subjected to thorough examination at six-monthly intervals. For further guidance refer to policy USHP-36 – Inspection, Statutory Examination and Testing of Critical Assets.

A thorough examination should never be viewed as a substitute for a maintenance programme. Inspection and maintenance is required under the Provision and Use of Work Equipment Regulations 1998 (PUWER) and is covered in policy UHSP-11 Work equipment.

Where the safety of lifting equipment depends on the installation conditions, the lifting equipment must be thoroughly examined after installation and before being put into service and after assembly and before being put into service at a new site or a new location.

**Reports and defects**

Any defective equipment identified during visual or thorough examinations should be taken out of use and clearly marked as defective until either repair or disposal is possible. Defective equipment must not be used under any circumstances.

Defects and the date of disposal should be recorded on the equipment's inspection record. Records of thorough examination of lifting equipment must normally be kept for the life of the equipment or until it is moved elsewhere.

**Maintenance**

Regular maintenance programmes for the lifting equipment must be in place and carried out in accordance with the manufacturers' instructions, supplemented as necessary to take into account the operating conditions. Details of maintenance should be kept.

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Where equipment is dismantled and re-assembled, or repairs are made, the equipment must be re-verified by a competent person before being put to further use.

### Storage and handling

In order to reduce the risk of damage or deterioration which may affect the safety of equipment, it is essential to provide suitable storage for equipment not in use. In general, the storage area should be dry and free from exposure to harmful substances and not subject to extreme temperatures. Equipment with exposed threads with or machined bearing surfaces should be protected and handled with care. Equipment which has been returned to stores wet or has been subject to other substances liable to cause deterioration should be inspected carefully and any damage or deterioration reported and

Where appropriate, the management of power, battery or fuels for the equipment should be taken into account for the designation of storage area.

### Competency and Training

- Operator Competence: All lifting equipment operators must be authorised, competent and undertake periodic refresher training, in accordance with approved industry standards.
- Operator fitness for work: Supervisors should seek advice from Occupational Health Department regarding the requirements for health screening or monitoring for the operation of particular equipment.
- Refresher training: Regular refresher training is required for lifting equipment (e.g. MEWPs and tower scaffolds). This training helps ensure operators maintain good habits, keep abreast of new skills, and reassess their abilities. This training is also appropriate where operators have not used equipment for some time; are occasional users; appear to have developed unsafe working practices; have had an accident or near miss or have changed their working practices or environment.

**Supervision:** It is essential that supervisors/line managers have enough training and knowledge to recognise safe and unsafe practices where they are supervising works. This does not mean they need full operator training, but they do need to understand the risks involved and how to prevent them.

### Lifting Operations

- Planning:

All lifting operations involving lifting equipment must be properly planned by a competent person, appropriately supervised and carried out in a safe manner. The complexity of the plan and the extent of the resources used must reflect the complexity and difficulty of the lifting operation. For example, a general plan by a trained competent person may be sufficient for a standard lift, but for one-off or complex operations, a specific, detailed plan, expert input, monitoring and supervision will be required.

The plan for any lifting operation must address the foreseeable risks involved in the work and identify the appropriate resources (including people) necessary for safe completion of the job. Factors to include may be any or all of the following:

- pre-use checking
- lifting people (higher degree of safety required)
- working under suspended loads (avoid)
- environment
- proximity hazards
- overload

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- visibility
- location
- derating
- attaching / detaching and securing loads
- overturning
- continuing integrity of the equipment

More detailed advice on the planning, organising and undertaking of lifting operations is provided in the LOLER Approved Code of Practice and guidance [L 113](#)

### Risk assessment

In planning any lifting operation, the identification and assessment of risk is key to identifying the most appropriate equipment and method for the job. All involved personnel must properly understand the risks and essential controls required to plan and coordinate lifting operations and where appropriate, staff must be provided with appropriate training.

### Ground and supporting structures

Ground conditions, including supporting structures and traffic routes, must be suitable for the loads imposed by the lifting equipment, attachments, loads, materials and personnel. Details of ground-bearing capacity, and load-bearing capability of supporting structures (including the location of any service ducts, chambers, restrictions) are required in the planning process. These must not be exceeded under any circumstances.

### Emergency arrangements

An appropriate rescue plan with sufficient resources allocated to it including equipment and personnel must be incorporated into the emergency arrangements section of all lifting plans, and where applicable, rescue practices or rehearsals should be carried out at appropriate intervals and recorded.

### Reporting

All incidents involving lifting equipment must be reported to Health and Safety Services as specified in policy UHSP-02b Accident and Incident Reporting and Investigation. If the incident involves overturning, or the failure of a load bearing part of a lifting equipment, then you must notify Health and Safety Services without delay who will ensure it is reported to the relevant enforcing authority under RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations) as a dangerous occurrence.

## 6. Related documents

- UHSPs 11 and 36 (Work equipment and Statutory Examination)
- [L 113](#) Safe Use of Lifting equipment - Lifting Operations and Lifting Equipment Regulations 1998
- [L 22](#) (Fourth Edition) The Provision and Use of Work Equipment Regulations (1998) - Safe use of work equipment (ACOP)
- [L 117](#) Rider-operated lift trucks - Operator training and Safe Use
- [INDG 339](#) Thorough examination and testing of lifts: Simple guidance for lift owners
- [INDG 290](#) Lifting Equipment at Work - A brief guide
- [INDG 422](#) Thorough examination of lifting equipment - A simple guide for employers

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## 7. Revision History

Date of Issue	Version	Reviewer	Amendments Made
31/01/2020	1.0	Miki Brocklehurst	First Issue
14/12/2020	1.1	Mubin Chowdhury	Minor amendments: Addition of 'reactive maintenance' preceding RM abbreviation, deletion of 'thorough examination' repeats in Sections Estates and Campus Services (ECS) changed to Estates and Digital Services (EDS) throughout the document; removal of 'the University H&S Services' re: RIDDOR.
20/07/2023	1.2	Mubin Chowdhury	EDS back to ECS, LOLER duties stated more explicitly in procedure section including new planning of lift section

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