

<b>Lifting Operations and Lifting Equipment Regulations (LOLER) Procedure</b>	
<b>Enabling Policy Statement; Executive Owner; Approval Route:</b>	Our Safety - Chief Operating Officer - Compliance Committee
<b>Is the Procedure for internal use only (Non- disclosable)?</b>	Disclosable
<b>Associated Policy Statements:</b>	Our Safety – Chief Operating Officer
<b>Authorised Owner:</b>	Director of Health and Safety
<b>Authorised Co-ordinator:</b>	Health and Safety Manager (Professional Services)
<b>Effective date:</b>	1 May 2024
<b>Due date for full review:</b>	1 May 2027
<b>Sub documentation:</b>	<a href="#">New Lifting Equipment Purchase or Modification of Lifting Equipment Notification Form</a> <a href="#">Response in the Event of a Lifting Equipment Failure or Dangerous Occurrence (Appendix 1)</a>

#### Approval History

<b>Version</b>	<b>Reason for review</b>	<b>Approval Route</b>	<b>Date</b>
1.0	Reviewed and updated (including in accordance with new Policy Framework). Replaces the Lifting Operations and Lifting Equipment Regulations (LOLER) Policy (Version 2, dated 10 <sup>th</sup> October 2018).	Compliance (Health, Safety and Wellbeing) Committee	1 May 2024

## 1. Purpose

This Procedure defines the University's arrangements for the management of lifting equipment and lifting operations. The arrangements are based on the requirements of the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) and accompanying Approved Code of Practice and guidance, together with other legislative standards.

The aim of this Procedure is, therefore, to provide a framework designed to effectively manage the risks associated with undertaking lifting operations and the use of lifting equipment, thus safeguarding the safety and health of staff, students, and others from such activities.

## 2. Scope and Exceptions to the Procedure

This Procedure applies to all University of Surrey's controlled premises and activities. Its requirements apply to all staff, students, contractors, visitors, and others.

This Procedure also applies to the Surrey Research Park and Surrey Sports Park.

This Procedure does not apply to escalators or any travellers / moving walkways which transport people, even though they may 'lift' people from one level to another. It also does not apply to roller shutters or gates (even though they may lift up to close or open). Such equipment is covered by Regulation 19 of the Workplace (Health, Safety and Welfare) Regulations or the Provision and Use of Work Equipment Regulations 1998 (PUWER).

Any other equipment that may be purchased that has an element of lifting as part of its normal operation, e.g., height adjustable beds or chairs, but where the principal function is not to facilitate lifting of a load, would not normally be deemed lifting equipment. Pallet truck style equipment (where the fall of a load is low, less than 300mm) is also not considered lifting equipment within this procedure. However, while the requirements of LOLER may not apply, there are still statutory obligations under PUWER.

Personal lifting equipment and accessories (e.g. for recreational climbing) are exempt, unless supplied directly to the users by Surrey Sports Park or the University, or if the personal lifting equipment was being used on Surrey University business or as a part of its work activities, at which point it will be necessary to follow all aspects of this Procedure.

## 3. Definitions and Terminology

*Adverse Incident* – In relation to lifting equipment or its accessories, this means any situation that has or is likely to impact the safety or integrity of the equipment in use. This could be an incident resulting in material damage, adverse weather, a major modification or repair to the equipment, safety notices of equipment failures, or damage or suspected damage to the equipment.

*Briefing* – is informing all necessary people of relevant knowledge and information in relation to health and safety to ensure safe completion of their task.

*Central Lifting Equipment* – Any lifting equipment operated or used within the University that is not under the ownership of any specified Faculty or Department, or that has been purchased and maintained by the Estates & Facilities Directorate.

*Central Lifting Operations* – Any lifting operations performed by Estates & Facilities, any large-scale lifting operations, use of cranes, large lifting vehicles that require side supports, or any operations that impacts the road, restricts pedestrian or vehicle traffic on site, or which has the potential to affect any structure on University property, that is not covered within Project's CDM management process or a pre-approved Faculty lifting operation for the facilitation of standard operational needs.

*Competency* – a person who has the skills, knowledge, attitude, training, and experience to undertake the role effectively.

*Competent Person* – means a competent individual person (other than an employee) or a competent body of persons corporate or unincorporated, who's has responsibilities under Regulation 9 of LOLER.

*Dangerous Situation* – any situation 'where work equipment is of a type where the safe operation is critically dependent on its condition in use and where deterioration would lead to a significant risk to the operator or others'.

*Designated Persons* – Are staff in key supervisory or management positions within those Schools/Departments/Directorates that have lifting equipment, who are responsible for the use of the equipment, or who supervise/manage lifting operations.

*Duty Holder* – The person with overall responsibility for the lifting equipment, or premises where the lifting equipment is installed, or the person with overall responsibility for the lifting operations being conducted.

*Lifting operation* – is an operation performing the lifting or lowering of a load using lifting equipment.

*Lifting Equipment* – means work equipment for lifting or lowering loads and includes attachments used for anchoring, fixing, or supporting the equipment.

*Lifting Accessory* – Lifting accessories are pieces of equipment that are used to attach the load to the lifting equipment, providing a link between the two.

*Load* – is the item or items being lifted, which also includes a person or people.

*LOLER Register* – this is a record of all lifting equipment currently used and owned by the University, and that is inspected by the appointed Competent Person(s).

*Responsible Person and Deputy Responsible Person* – Appointed staff members who have been assessed as having sufficient training, competency, and knowledge to effectively manage lifting operations within Estates & Facilities, and to supervise the lift and lifting operations permit-to-work.

*Thorough Inspection* – This is a detailed inspection performed by Competent Person(s) on a piece of lifting equipment, lifting accessory, or safety device, which critically scrutinises it to determine if it will remain safe up to the period of the next scheduled inspection. This may also be known under the term insurance inspection.

*Training* – is equipping staff, students (and others where the University has a duty of care) with relevant skills to deal appropriately with a given health and safety situation.

*Written Scheme of Examination* – Is the established inspection routine determined by Competent Person (s) that a piece of lifting equipment or lifting accessory must be inspected by. This may also include other examination techniques (like stress tests, load tests, other inspections) that are not a part of a regular thorough inspection, but where the Competent Person(s) has deemed it necessary for them to be performed to be able to decide on the safety of the equipment, lifting accessory, or installed safety device. These are mostly drawn up to suit the operating conditions of a specific item of lifting equipment.

## 4. Procedural Principles

### 4.1. Commitment

The University will comply with the requirements of LOLER, ensuring that all lifting equipment is safe and that all lifting operations are conducted safely.

The University will ensure that:

- Lifting equipment and accessories are adequately designed and fit for purpose, and only lifting equipment designed for the lifting of persons is used to lift any individual under its direct control.
- Lifting operations conducted under its direct control or on its behalf are adequately planned and supervised within established safe systems of work.
- Lifting equipment is adequately maintained with all necessary documentation kept.
- Lifting equipment and accessories have a safe working load and max occupancy limits either clearly marked or labelled on it as necessary, or by some other suitable means such as a coding system.
- Lifting equipment in use has a valid thorough inspection in place, completed by Competent Person(s).
- Those responsible for lifting equipment or conducting lifting operations are competent (i.e., have been trained, are given instruction, and are supervised, where necessary).
- Suitable safety measures are installed as required (e.g., protective devices and warning systems, signage) to prevent persons from falling, becoming trapped, or crushed.
- Suitable emergency arrangements and rescue plans are in place for effective and reliable means of rescue.
- Requisite contractor checks are performed, so only qualified and competent people can modify, repair, work on, or inspect lifting equipment used on site.

### 4.2. Arrangements

To meet the above objectives, the University will:

- Clearly define the organisational arrangements for achieving compliance (see roles and responsibilities section of this Procedure).
- Implement sufficient controls and checks on lifting equipment being purchased or rented, including that all such equipment is appropriate for the intended use.
- Identify, assess, and appropriately document lifting equipment it uses and lifting operations it conducts.
- Appoint Competent Person(s) to facilitate and conduct thorough inspections and develop written schemes of examination.
- Have Designated Person(s) within relevant Schools/Departments/Directorates to ensure the effective local management and control of lifting equipment and operations.
- Develop processes to ensure that all lifting equipment is inspected.
- Establish defect reporting procedures, including necessary isolation or quarantine practices, so unsafe or non-inspected lifting equipment cannot be used.
- Establish safe system of work for all lifting operations conducted by staff, or on University of Surrey managed locations, including where necessary, a permit-to-work system for high-risk or non-routine lifting operations.
- Implement, manage, and monitor, all control measures identified and implemented. Keeping all records of these measures, including inspection records, maintenance and service records, and the results of any specialist tests or examinations.
- Appoint a Responsible Person (and Deputy) for the management of the central lifting equipment and operations to ensure the requirements of this Procedure and other relevant lifting equipment and lifting operation standards are met, including being the point of contact for the organisation's Competent Person(s) and the authorising person(s) for any lifting permit to work.

- Review lifting equipment and operations management arrangements periodically or whenever there are changes in relevant legislation, guidance, or to university management structures.
- Ensure that it has suitable management arrangements and selection processes for contractors undertaking lifting operations on its behalf.

#### 4.3. Standards and Practices

##### 4.3.1. Procurement (Purchasing and Renting) and Installation (including Commissioning)

###### 4.3.1.1. Procurement (Purchasing and Renting)

All lifting equipment must be sufficient for its intended purpose (i.e., activities it is being used for) and be robust enough to handle the environment that it will be used or installed in. This includes any fittings or fixtures that connect to the building to enable its use.

Any lifting equipment and accessories that are purchased or rented must have adequate strength and stability for its intended use. Those determining the suitability of lifting equipment must be competent to make these decisions. If not, they should consult other competent parties to help them make these decisions. In all cases, the equipment must not be considered in isolation, with consideration also given to the tasks and processes involved, as these may have other risks (e.g., hazardous substances, fire, environmental stressors, etc.). It may be necessary to consult with others to make the correct informed equipment purchase or rental decision.

Any lifting equipment purchased or used must be properly asset registered and recorded within the LOLER register. This registration should be completed using the [New Lifting Equipment and Modification of Lifting Equipment Notification Form](#)

###### 4.3.1.2. Installation (including Commissioning)

It is essential that all lifting equipment is installed and operated in a way to reduce the risk of failure to as low as reasonably practicable, and that the person responsible for the lifting equipment or operation, ensures the lifting equipment cannot strike any individual or objects. If the lifting equipment is used for the transportation of or lifting of people, then the lifting equipment must not pose a risk of trapping or crushing (in its design, installation, and operational use).

Certain lifting equipment, particularly those used for the lifting of people, must be commissioned before use by those completing the installation. This will include a thorough inspection unless it has a declaration of conformity (please see Section 4.3.5).

Most lifting equipment and lifting accessories are subject to a conformity assessment, must be CE or UKCA marked, and have a Declaration of Conformity (DOC) before being placed on the market or brought into use. The DOC must accompany the new product and must be retained by the user for the lifetime of the equipment. The existence of a DOC may avoid the need for an initial thorough inspection (i.e., before first use), but this is only where the safety of that equipment does not depend on the conditions of its installation or assembly, and where the equipment is new (not second hand) and is less than a year old.

Note: the equipment age starts from the date it was first received by the University, not when it was installed or first put into use.

Those installing lifting equipment will produce a commissioning report which will include the following documents:

- Details of the installation of the equipment and how engineers installed it.
- Functional tests and inspections performed by the installation engineers.

- Commissioning and warranty sheet.
- Thorough inspection document or declaration of conformity.
- Acceptance report.
- Staff training certificates.
- Equipment operations manual.
- Equipment service and maintenance logbook.

#### **4.3.2. Documentation, Markings, and Safety Features**

##### **4.3.2.1. Documentation**

Copies of lifting equipment documentation must be retained and kept up to date as follows:

- Declarations of Conformity - for the lifetime of the equipment, until it has been sold or no longer in use.
- Written Scheme of Examination - for the lifetime of the system, or until it is superseded by a newer version.
- First thorough inspection report or the first report where the equipment has been installed in a new location (if the installation is essential for its safe operation) - until the equipment is no longer in use in that location, has been moved to another location, or until it is sold or disposed of.
- In service thorough inspection - until the next report is made or two years, whichever is the sooner.
- Manuals and operation instructions – for the lifetime of the system.
- Performance and other safety critical test documents or inspection documents – held until the next applicable test or inspection is performed.

For any rented lifting equipment, the documents referenced above should be obtained from the rental company either before or on delivery, or on installation of the equipment. Rental companies can also provide a declaration of safety stating that the equipment is safe and meets all regulatory requirements. If you do not have these documents or a safety declaration from the rental company, then you must not accept the equipment. All documents for the rented equipment must be kept while it is on the University premises or while being used by the University. If the lifting equipment is a long-term rental, updated copies of the above referenced documents must be maintained if they become out of date, until the lifting equipment is returned to the owner.

##### **4.3.2.2. Markings**

It is a legal requirement that all lifting equipment and accessories are marked to clearly indicate (or not) if they are within their thorough inspection date. They must also be clearly marked so that users and operators of the equipment are provided with safety-critical information, including the safe working load (SWL).

On all large pieces of lifting equipment, including both installed and mobile pieces of lifting equipment, this is usually indicated on identification plates, engraved on the framework, or highlighted by signed information near control panels. This information is also clearly indicated in the equipment manufacturers' instructions and operating manuals. If the lifting equipment does not have the SWL clearly indicated on it, it must not be used until this has been certified by Competent Person(s) and a record has been placed by them on the equipment.

Where it is not possible to put this information on the lifting equipment or accessories (e.g., webbing, ropes, and smaller lifting accessories like karabiners or eyebolts), some form of appropriate tagging or coding system must be used. The equipment's safe working limits must be obvious to all users and must be documented in a safe system of work, in local management documentation, and user training material.

Where lifting equipment or lifting accessories can be used in different configurations or used with different pieces of equipment (e.g., webbing, ropes, and eyebolts) they must all be marked with the safe working load for each configuration, or information for each configuration must be kept with the equipment.

Any carrier of persons should also display the maximum number of persons to be carried in addition to the SWL.

#### 4.3.2.3. Safety Features

Where a significant hazard arises from the use of lifting equipment, appropriate devices such as rated capacity indicator limiters should be provided and installed to clearly indicate warnings and failures of lifting equipment. Any necessary safety features should be determined by the results of the risk assessment for the lifting equipment and operation, and where possible, be considered during the purchasing or rental decision-making stage.

### **4.3.3. Risk Assessment**

All lifting operations and the use of lifting equipment must be risk assessed. This is the responsibility of the manager responsible for the lifting equipment or the person approving the lifting task. All risk assessments must be kept in date and should be periodically reviewed, particularly if there have been any substantial changes to either the lifting process, lifting equipment, changes to the organisation of the task, or in the event of any incident. If the lifting task is new, is beyond what would be prescribed as a regular or permitted lifting task or is deemed a high-risk or construction-based lifting activity (that requires other stakeholder engagement or approval), a lifting plan must be completed along with a task specific risk assessment (see section 4.3.4).

### **4.3.4. Planning Lifting Operations and Lifting Plans**

All construction related and high-risk lifting activities will require a lifting plan. Completion of a lifting plan is the responsibility of the staff member commissioning the lifting operation or the staff member approving the lifting task in the case of a student research project, however, they may not be the person who develops these documents, they can engage other competent parties to complete these documents on their behalf. Lifting plans must only be developed by those who have the necessary competence and training for the type of lifting equipment being used and for the type of lift being performed (please refer to section 5.2 for training requirements).

Any large-scale lifting operations, use of cranes, large lifting vehicles that require side supports, or any operations that impacts the roads, restricts pedestrian or vehicle traffic on site, or which has the potential to affect any structure on university property, must be informed to key University stakeholders in advance of the operation. This will include but is not limited to the Campus Safety Department, Central Health and Safety Office, impacted users of the area in question, and the Estates & Facilities Maintenance Team (if they are not in control of the operation directly). This will allow for the control of the area and the co-ordination of activities to ensure safety is maintained during the lifting operation.

### **4.3.5. Thorough Inspections**

The University must ensure all lifting equipment and accessories have thorough inspections performed by Competent Person(s). The Competent Person(s) should be sufficiently independent from the organisation who owns the equipment, from the company or person(s) who installed, maintains, or who provides the service contract for the equipment, so it can be considered an impartial inspection. This allows for a completely unbiased judgement concerning its safety, relating to the equipment, specific safety critical parts, or any individual safety features installed on the equipment.

Competent Person(s) will determine if the equipment remains safe and not likely to fail under its designed use, if it is operated within its standard working environment, and if normal maintenance practices are carried out. For this purpose, “normal maintenance” means such maintenance as it is reasonable to expect the user and owners (in the case of rented piece of equipment) to carry out, independently of any advice from the Competent Person(s).

#### 4.3.5.1. Before First Use

Any lifting equipment or accessories used on site for the first time must have a thorough inspection performed by the University’s Competent Person(s).

This will not be necessary if the following applies;

- It is a newly purchased piece of equipment or accessory, with no installation needs, that is less than a year old, has not been used before, has CE or UKCA marking, and certificates from its manufacturers.
- If it is an installed system, less than a year old and there is documentation drawn up within the 12 months prior to its first use, which is an initial test certificate in the form of an "EC Declaration of Conformity".
- If it is a rented piece of equipment, where the safety of the equipment is not impacted by its installation on the site, and the rental company has performed thorough inspection within the necessary specified timeframe and provided you with evidence of this or a certificate of safety provided by them instead (please refer to Section 4.4.1.2).

#### 4.3.5.2. Periodic Examinations

Once a piece of lifting equipment and any accessories are over a year old from the date of purchase and installation, they must be routinely inspected in intervals specified in LOLER 1998 or as identified in any specific Written Scheme of Examination developed by Competent Person(s).

Unless specified differently by a Written Scheme of Examination, you must ensure periodic thorough inspections are conducted to the following intervals:

- Lifting equipment and accessories for any loads (not transporting people) must be thoroughly examined at least every 12 months. Please note, if lifting accessories can or are likely to be used for lifting or transporting people, then they must be inspected on a 6-monthly schedule.
- Lifting equipment and accessories used for transporting people must be inspected every 6 months.

Frequencies of inspections for lifting equipment or accessories deemed at an increased risk due to other local or site-specific conditions, may require more frequent inspections than those specified above. Any different inspections will be based on an assessment of the local risks and the equipment’s use by the Competent Person(s). All thorough inspections must be performed before the due date specified on the last inspection form. There is no grace period if the equipment is not inspected within the date specified; it is illegal to use and operate any lifting equipment or use any lifting accessories. In these situations, the equipment must stay out of use until it has been inspected (see Section 4.3.7).

#### 4.3.5.3. Adverse incidents and Dangerous Occurrences

If lifting equipment or accessories have experienced an adverse incident or dangerous occurrence (see Section 3 definitions), they must not be used until it has been given a thorough inspection. It is not acceptable for a local Designated Person or the Estates & Facilities Responsible Person for Lifting, to inspect equipment after these incidents and deem it safe to use. An independent inspection is required, reviewing all safety critical components



to ensure it is safe to use. Any equipment that has experienced these events must be made safe and isolated from use until its inspection and be reported via the University's Incident Management reporting system (see Section 4.3.12 and Appendix 1 Response in the Event of a Lifting Equipment Failure or Dangerous Occurrence).

#### 4.3.5.4. Bringing Lifting Equipment or Accessories Back into Use

If any lifting equipment or accessories have been not used for a period of three months or more, it is strongly advised that they are given a thorough inspection before they are used. If the equipment thorough inspection date has lapsed, then it is mandatory to have the equipment inspected before being used again.

#### 4.3.5.5. Thorough Inspections after Maintenance or Repairs

Depending on the type of maintenance and repairs performed, it may be required to have a thorough inspection completed before the equipment is used again. If it is routine servicing, then this is unlikely to require a thorough inspection. If the repair or maintenance performed is on or impacts a safety critical component (including any warning devices), occurred on anything specifically mentioned in the written scheme of examination, or is a part of the equipment's installation or stability (like a stabiliser leg), then the Designated Person(s) must organise with the Estates & Facilities Responsible Person for Lifting (or Deputy), to have an inspection performed, and they must not use the equipment until this has been completed.

### **4.3.6. Supplementary Tests**

The University's lifting equipment may need further tests or maintenance as specified in the manufacturer's instructions or at the request of the Competent Person(s). These tests can consist of load testing, hydraulic testing, pressure testing, stress testing, or checking for wear and reduction in metal or material density. It is the responsibility of the owners of the lifting equipment to ensure any additional tests or examinations are performed either as per the manufacturers' requirements or when given instructions to perform these tests by a Competent Person(s). If supplementary testing is requested by a Competent Person, it is often to assist with the thorough inspection and is deemed necessary to help them decide on the equipment's safety. At this point it becomes a legal requirement to perform these tests and not doing so will breach health and safety regulations.

### **4.3.7. Damaged, Non-inspected, Unmarked Lifting Equipment, Failed, or Reported Unsafe Lifting Equipment**

Any lifting equipment or accessories that are found damaged or defective, which have been reported as unsafe by users or by Competent Person/s, or where there is no record of its inspections or safe working limits available, must be adequately quarantined and locked away from use. If the equipment is too large or not easy to quarantine, it must be adequately restricted in some other way (i.e., locked away, access keys restricted, signed as do not use, or permanently disabled to prevent use). It is best practice that those who are Designated Persons for their areas, set up a quarantine container or some other system, to prevent the use of defective equipment and which is referenced in local safe system of work documentation.

The owners or Designated Person(s) for the lifting equipment are responsible for ensuring that any issues with the lifting equipment are rectified. Where they are not competent to resolve such issues themselves, they can seek help and guidance from external experts, the Estates & Facilities Responsible Person for Lifting (or Deputy), or the University's Competent Person(s). However, this does not remove their responsibility for ensuring adequate control of defective lifting equipment and that the necessary corrective action is performed.

In the event a Competent Person(s) deems a piece of lifting equipment or a lifting accessory as unsafe, the following will occur:

- The Competent Person(s) will issue a notice of defect usually with a timescale to correct the defects found. If it is a serious defect that could result in immediate danger, they can immediately withdraw the equipment or accessory from use. On doing this, they will inform local users and ensure the dangerous items or equipment cannot be used (locking off, removing its power source, physically removing them, or placing items in local quarantine box). Competent Person(s) will report these issues and what needs to be performed to fix the defect on the day of the inspection, this will be reported to the appropriate Designated Person(s) and to the Estates & Facilities Responsible Person (or Deputy) for Lifting.
- After the inspection the Competent Person(s) must provide a full report as soon as reasonably practicable to the Estates & Facilities Responsible Person (or Deputy) for Lifting. These reports will be provided to all owners and Designated Person(s) by Estates & Facilities Maintenance. On these reports it will specify the defects, actions required, and suggested timeframes for completion.
- The Competent Person(s) will send a copy of the defect report to the Health and Safety Executive (HSE) as soon as reasonably practicable, but only when there was the risk of serious personal injury or serious material damage occurring.
- It is the responsibility of the local Designated Person(s) or owners of the lifting equipment to inform local users or other University stakeholders of any restrictions on lifting equipment use, and to organise appropriate actions to reduce disruption to as low as reasonably practicable.
- It is the responsibility of the Designated Person(s) to organise with the Estates & Facilities Responsible Person (or deputy) for Lifting, for the Competent Person(s) to undertake a thorough inspection after any repairs following any serious failure or defect issue.

#### **4.3.8. Equipment Modifications and Repairs**

Lifting equipment modifications and repairs must only be performed by knowledgeable and skilled people, who understand the lifting equipment, are trained and skilled to affect the modification or repair competently. This ensures they do not negatively impact the safety of the equipment or compromise any safety features. If any safety critical features were worked on or the work impacted the stability or structural integrity of the lifting equipment, then the Designated Person(s) must ensure a thorough inspection is performed and the equipment's Written Scheme of Examination is reviewed and updated, by the Competent Person(s) if required. The use of any accessories or adaptations to lifting equipment that are part of the lifting equipment's original design standards, which uses accessories provided by the original manufacturer and that are installed in accordance with detailed instructions on assembly from the supplier, are not considered a modification within this Procedure. Any modifications to existing lifting equipment should be informed to Estates & Facilities using the [New Lifting Equipment Purchase or Modification of Lifting Equipment Notification Form](#).

#### **4.3.9. Lifting Equipment for Lifting People**

The University will ensure that any lifting equipment for lifting people does not present a risk of crushing or trapping, nor put anyone at risk of falling from the equipment or being struck by it. The equipment must have suitable devices to prevent anyone from falling or becoming trapped in or by the lifting equipment, and if they are trapped in any lifting equipment they are not exposed to danger and can be provided with a reliable safe means of rescue.

The University prohibits the lifting or lowering of persons by equipment which is not specifically designed for that purpose (e.g., forklift truck, telescopic handler, etc.). Such lifting and lowering will only be conducted using suitable accessories, which are designed by the manufacturer and installed by skilled and knowledgeable staff and only when the activity is covered by a sufficient risk assessment.

The Estates & Facilities Responsible Person for Lifting will oversee the installation of passenger lifts on site, ensuring all lifts are installed in accordance with relevant British Standards and comply with the Lifts Regulations 2016.

The University will train staff in passenger lift rescue to ensure that anyone using the lift services within university owned and managed buildings can be released within the quickest time reasonably practicable. Staff within the Estates & Facilities Maintenance Team and Campus Safety Team will be trained to ensure a 24/7 response to lift entrapment incidents.

The University will ensure that appropriate lifting equipment is installed and purchased to facilitate the use of its sites and facilities thus providing equal access to all students, staff, and visitors as far as reasonably practicable. In the case that lifting equipment or installations fail, it will endeavour to reduce disruption to as little as possible and provide adequate communication on appropriate alternative means of access and or alternative lifting equipment facilities to affected spaces. This may be achieved by using notices and maps showing alternative routes, direct communications to known users, and providing this information on the AccessAble App. All staff and students who inform the University of any permanent or temporary condition, or disability that may impact their ability to evacuate a building or in the case where they will need to use lifting equipment to evacuate a building in an emergency, will be given the opportunity to have a Personal Emergency Evacuation Plan to ensure a safe evacuation can be achieved.

#### **4.3.10. Safe Systems of Work and Permit to Work**

The University's routine lifting operations may be deemed approved lifting practices and will not be required to be assessed through the Estates & Facilities permit-to-work for lifting. However, these practices will still need to have a safe system of work in place, including the completion of a risk assessment, lifting and emergency response plans if required. Any non-standard or routine lifting operations, those considered to be high-risk, and construction-based lifting operations, will need to be reviewed by the Estates & Facilities Responsible Person (or Deputy) for Lifting.

#### **4.3.11. Staff, Contractor, Visitor, and Students Lifting Operations Requirements.**

##### **4.3.11.1. Staff Lifting Operations**

All staff who organise lifting operations must ensure that lifting operations are:

- Properly planned by a competent person (i.e., they must have adequate training, practical and theoretical knowledge, and experience of the lifting operations and equipment in use).
- Covered by a lifting plan which addresses identified risks, resources required, procedures, responsibilities, etc.
- Appropriately supervised (proportionate to the risk and considering the personnel involved).
- Carried out in a safe manner.

Any lifting operations on site must also be completed within the requirements of its safe systems of work and the Estates & Facilities' permit-to-work for lifting (see section 4.3.10).

##### **4.3.11.2. Third-party or Construction Based Lifting Operations**

Any external parties performing lifting operations on behalf of the University, will be required to provide appropriate documentation, including risk assessment and method statement, and lifting and emergency response plans to their point of contact, no less than three days prior to the planned lifting operation. If the lifting operation is not considered a routine lifting practice (one pre-approved and routinely done for the University's daily operational needs), then it will be required for these lifting operations to be managed through the University permit-to-work for lifting, unless the area or site has been officially demarcated to the third-parties control as part of a contract agreement. In these situations, the Estates & Facilities Head of

Projects through their designated Project Manager will ensure that lifting operations for the purposes of construction are detailed in a comprehensive lifting plan and managed through the University's CDM management process and not through the permit-to-work system (unless it impacts an area not demarcated as part of the project boundary).

#### 4.3.11.3. Students, Temporary & Visiting Staff, or Guests Using Lifting Equipment

Students, temporary or visiting staff, or guests to the University, will not be permitted to undertake lifting activities unless it is deemed absolutely essential to their education, visiting purpose, or work they have been employed to conduct. In these situations, specific approvals by the appropriate Designated Person(s) must be sought and their involvement in these activities must be adequately risk assessed with them having all necessary training and supervision to conduct these tasks safely. No students will be allowed to conduct lifting operations without staff supervision.

If operated within teaching areas, the lifting equipment and/or lifting operations should be subject to an assessment which should either be incorporated within the Written Schemes of Examination or at least referred to in the documentation, that students are using or could be impacted by the use of the lifting equipment, and, therefore, be considered as part of the assessment of its safety during the thorough inspection process.

The use of installed passenger lift systems or specialist lifting equipment such as hoists in support of differently abled persons is not restricted. Although appropriate training or instruction must still be provided for any person using specialist lifting equipment for themselves or in assistance of another person.

Where students are planning their own research, learning and/or academic activities which includes the operation or use of lifting equipment, their research supervisor or lecturer is responsible for ensuring the student undertakes a suitable and sufficient risk assessment, if needed a lifting plan, and ensure they receive the necessary training and instruction. The resulting documentation and assessment must be formally approved by the research supervisor/lecturer prior to commencement of the activity and who must also ensure all identified risk control measures are in place. Although the research supervisor or lecturer is responsible for approving the research, they may not be competent to determine the sufficiency of the documentation or help with the creation of it, and other competent persons may be needed to help create any necessary documentation for lifting purposes. These should be reviewed and commented on by the most appropriate Designated Person(s) or the Faculty Health and Safety Advisors, to ensure all necessary risks have been considered and the control measures implemented. These documents should be reviewed by the Estates & Facilities Responsible Person (or deputy) for Lifting if it impacts the external estate or requires involvement of other University stakeholders.

#### **4.3.12. Emergency Plans and Incident Reporting**

All lifting operations must include emergency plans in case of a serious incident with the lifting equipment. If the lifting operation includes the transportation and lifting of people, then these plans must include how these individuals will be rescued. If the lifting operation is considered a routine lifting operation, basic emergency response and control measures referenced within local risk assessments and method statements is sufficient, but for more complex lifting operations and those conducted through the Estates & Facilities permit-to-work for lifting, these will require a dedicated lifting and rescue plan reviewed by the Estates & Facilities Responsible Person (or Deputy) for Lifting.

The failure of a piece of lifting equipment is deemed a dangerous occurrence as defined in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR), and must

be reported to the Central Health and Safety Team as soon as possible after the event. This is to facilitate the investigation process and to ensure the Director of Health and Safety can report these incidents to the HSE within twenty-four hours of it occurring. All incidents relating to lifting equipment, lifting operations, or falls from height must be reported using the University's online health and safety incident reporting system. In the event of a serious failure with a piece of lifting equipment, that either has caused injury or had the potential to cause serious bodily harm or fatalities, these incidents will be handled in accordance with the University of Surrey's Incident Management Plan and be investigated by the Central Health and Safety Team and the relevant Faculty Health and Safety Advisor (see Appendix 1).

External contractors must report any incidents involving lifting equipment to their university point of contact as soon as possible, who will then be responsible for reporting the incident to the Central Health and Safety Team. In the event of a dangerous occurrence involving external contractors or lifting operations as part of construction works, which are not under the direct control of the University, the responsibility for reporting under RIDDOR rests with the contractor in charge of the works or project. Any lifting incidents involving an external party will be investigated by that external party's health and safety resource but will also be reviewed by the Central Health and Safety Team (see Appendix 1).

#### **4.4. Ownership and Responsibilities**

##### **4.4.1. Ownership**

###### **4.4.1.1. University Owned Equipment**

Duty Holders, who authorise the use of and purchasing of lifting equipment or commission any lifting operations, are responsible for ensuring that they adhere to this Procedure and all the statutory obligations as specified within LOLER 1998. Estates & Facilities Duty Holder, although is responsible for the day-to-day management of the engineering inspection program, they are not the legal owners of non-centrally owned lifting equipment, and it is up to the owners of this equipment to ensure all necessary thorough inspections and other statutory requirements are met.

###### **4.4.1.2. Rented Equipment**

Any lifting equipment that is rented on behalf of the University will be deemed the responsibility of the Duty Holder whose staff engaged and paid for the rental. As part of the rental, the Designated Person(s) must ensure the lifting equipment is fit for purpose, in regard to the use and task it is being rented for and its condition on delivery. This includes on receiving the equipment, they do a basic visual inspection looking for any obvious signs of damage (based on their knowledge and understanding of the equipment), checking equipment is CE or UKCA marked if applicable, and asking the supplier for copies of the necessary safety and legal documentation. Although the responsibility of checking the condition of the equipment and looking for safety defects sits with the Designated Person(s), they are only required to look for obvious signs of damage to their level of knowledge and competency (please refer to section 4.3.2 on procurement and purchasing).

A supplier of any lifting equipment will be required where reasonable to perform pre-hire safety checks and testing. It is the supplier's responsibility to perform these checks and the receiver of the equipment to ensure that these inspections and checks have been carried out before they accept the equipment. The responsibility in law rests upon the user to satisfy themselves that there is a current thorough inspection of the equipment before using it.

For long term rentals, the person authorising the rental must check if the agreement requires the University to take on any responsibility for the equipment's maintenance, safety testing, and thorough inspections requirements. Unless this is specified within the rental agreement, these responsibilities remain with the suppliers of the equipment. Please remember for any

long-term rentals, those in charge of the equipment must ensure all documentation remains up to date and updated copies of safety critical documents remain on file.

Suppliers only have responsibility for the equipment as far as they have control over it, those providing the equipment cannot be held responsible for the day-to-day use of the lifting equipment, this sits with the person who engages the rental and the day-to-day users.

#### **4.5. Roles and Responsibilities**

*All responsibilities can be delegated, unless otherwise stated, but it remains the responsibility of the named roles to ensure they are completed in accordance with this Procedure and that those they delegate any responsibility to, is adequately competent to fulfil the responsibility.*

4.5.1. Director of Estates & Facilities, as Duty Holder for their area of responsibility must ensure:

- There are adequate resources to ensure all necessary thorough inspections and written schemes are in place for all University lifting equipment.
- The appointment in writing of a Competent Person/s as defined within this Procedure.
- There are adequate resources in place to ensure that all central lifting equipment is adequately maintained and serviced.
- Appointment (in writing) of competent staff members to perform the roles of Responsible Person for Lifting and Deputy Responsible Person.
- That funding is made available for any supplemental tests deemed necessary by the Competent Person(s) for any centrally owned lifting equipment.
- Provide enough resources to ensure adequate training of all Estates & Facilities staff conducting lifting operations or tasks and to perform all necessary safety critical roles as part of any established safe system of work under their control.

4.5.2. Head of Maintenance (Estates & Facilities) is responsible for:

- Ensuring that the use of all centrally owned lifting equipment and centrally performed lifting operations are adequately risk assessed, and that these risk assessments are periodically reviewed as needed.
- Undertaking initial inspections of lifting equipment under their responsibility prior to use, ensuring correct installation where there is significant risk to staff. Also ensuring all necessary documentation is kept and maintained for the life of the equipment concerning its installation, commissioning, or inspections.
- Producing suitable lifting operation plans for lifting operations under their direct control.
- Reviewing and ensuring the competency of their staff who either perform, supervise, or manage lifting operations, including assessing the competency and approving the appointment of the Estates & Facilities Responsible Person (and Deputy) for Lifting.
- Ensuring their staff receive the necessary training, instruction, and supervision to use lifting equipment and undertake lifting operations safely.
- Establishing a safe system of work for the use of Estates & Facilities lifting equipment and for lifting operations, including the use of a permit- to-work for lifting for the University.
- Holding and maintaining the University's lifting equipment register.
- Ensuring that Estates & Facilities lifting equipment that is rented, purchased, or provided for the wider use of the University, is adequate for its intended purpose and only used for the purpose it was designed.
- Confirming that centrally owned or operated lifting equipment is adequately maintained and serviced in accordance with manufacturer's instructions and best practice standards, including ensuring any supplemental tests are performed.
- Ensuring due diligence checks are performed on any contractors or third parties, that either install, maintain, repair, or use lifting equipment, and on those who conduct

lifting operations on behalf of the University's Estates & Facilities Maintenance Team. This includes ensuring they are competent in doing the works or tasks they have been instructed to perform and that they are provided with sufficient information concerning the University's lifting safe system of work and permit-to-work requirements.

- Ensuring adequate liaison with other University Stakeholders for the maintenance, inspections, development of Written Schemes of Examination, and to facilitate document access for their lifting equipment documentation.

4.5.3. Head of Projects and Project Managers (Estates & Facilities) are responsible for:

- Ensuring that the requirements of this Procedure are supplied to any third-party who is engaged to conduct lifting operations as part of a project.
- Ensuring that any lifting equipment being purchased or installed as part of any project is sufficient for the purposes that it is required for and meets all necessary standards required to comply with the Lifts Regulations 2016, LOLER 1998, as well as any applicable British Standards. They must consult with the Estates & Facilities Responsible Person for Lifting concerning lifting equipment being installed and purchased as part of any infrastructure to a building or to determine future arrangements for maintenance activities.
- Confirming that all those engaged to do lifting operations on behalf of the University are sufficiently competent to undertake the task safely.
- Ensuring all lifting equipment brought onto the University owned or managed sites (by contractors they have engaged) is safe, maintained, and has all necessary safety inspections.
- Liaising with other stakeholders if lifting operations are likely to disturb or impact other university activities.
- Ensuring that any lifting operations conducted outside of the agreed demarcation boundary of a project, are performed through the Estates & Facilities permit-to-work for Lifting.
- Confirming that adequate contractor risk assessments, lifting plans, and emergency response plans are in place.
- Immediately reporting and assisting with the investigation of any incidents involving third parties they have engaged. including for possible dangerous occurrences (under RIDDOR) reporting as soon as possible to the Central Health and Safety Team.

4.5.4. Responsible Person for Lifting (including Deputy) (Estates & Facilities) is responsible for:

- Acting as the point of contact for the University's Competent Person(s), assisting them with the completion of thorough inspections for lifting equipment.
- Ensuring the Estates & Facilities lifting safe system of work is sufficient and meets necessary standards.
- University installed goods and passenger lifts management, including overseeing servicing, maintenance and other supplementary tests and inspections as per manufacturers recommendations and relevant British Standards.
- The day-to-day management of the University Lifting Equipment Register and the retention of lifting equipment safety documentation from the Competent Person(s). This includes facilitating the supply of necessary documentation to owners of the lifting equipment.
- Acting as the Appointed Person under the Estates & Facilities permit-to-work for lifting, reviewing documents for the safe performance of high-risk lifting operations. This includes performing spot checks of staff and contractors performing lifting operations under a permit.
- Ensuring that there is an adequate quarantine or access control system in place for any defective, unsafe, or out of inspection Estates & Facilities lifting equipment.
- Ensuring that risk assessments, lifting plans, emergency response plans, for the use of

Estates & Facilities lifting equipment and for lifting operations are sufficient and meet necessary industry standards.

- Commenting on the sufficiency of third-party lifting documentation performed under the management of Estates & Facilities permit-to-work for lifting.
- Assisting the Estates & Facilities Head of Maintenance with the review and due diligence checks of any contractors or third parties using lifting equipment, performing lifting operations, or maintaining, servicing, installing, or commissioning Estates & Facilities lifting equipment.
- Providing technical advice and guidance requested by Duty Holders, Designated Person(s) or other staff members.
- Assisting the Estates & Facilities Head of Maintenance with ensuring that any faults with Estates & Facilities lifting equipment are rectified within the timescale prescribed by Competent Person(s) or service contractors. Where lifting equipment is deemed unsafe, ensuring that it is appropriately made safe and communicated to all relevant parties as out of use. If needed, organising any alternative measures to ensure business critical activities can proceed safely.
- Assisting with any investigation and immediately report any incidents using the online incident reporting system, or if it could be deemed a dangerous occurrence, reporting it as soon as possible (within 24-hours) to the Central Health and Safety Team.

4.5.5. Director of Procurement is responsible for:

- Ensuring that a rigorous tendering process is performed for the engineering insurance inspection contract, including conducting all necessary contractor due diligence checks on those who perform the University's Competent Person(s) role, in particular, ensuring they are accredited to UKAS 17020 standard.
- In the event that they are informed of any incident involving lifting equipment or lifting operations, that has either caused injury to an individual or material damage to either University equipment, buildings, or the lifting equipment itself, will be reported to the University's engaged Insurance provider.

4.5.6. Director of Health and Safety is responsible for:

- The provision of advice and guidance on the application of legislative requirements.
- Where necessary, liaising with the enforcement authorities, ensuring that lifting equipment related incidents are appropriately investigated and, where necessary, reported under RIDDOR.
- Monitoring compliance with the requirements of this Procedure.

4.5.7. Faculty/Professional Services Health and Safety Managers/Advisors are responsible for:

- The provision of advice and guidance on the practical application of regulations, including the adequacy of any safe systems of work.
- Advising on the training needs of those using lifting equipment or conducting lifting operations and assisting with training material development.
- Assisting with the investigation of any incidents or accidents.

4.5.8. Heads of School/Department/Directorate, are Duty Holders for their areas of responsibility, and are required to:

- Ensure that there are adequate resources in place so that all lifting equipment being purchased or rented meets necessary standards in its construction and installation, as well as being sufficiently maintained and serviced.
- Periodically review lifting operations and ensure any emerging risks are added to local risk registers.
- Ensure that there are adequate Designated Person(s) within areas using lifting equipment or in areas where lifting operations are performed, to oversee the



management and supervise purchasing, use, and maintenance.

- Ensure sufficient funding is made available to allow for any supplemental tests deemed necessary by the Competent Person(s).
- Provide enough resources to ensure adequate training of their staff, students, or persons they have approved to use lifting equipment or conduct lifting operations.

4.5.9. Designated Person(s) within Faculties/Departments/Directorates are required to:

- Ensure that the use of all lifting equipment and lifting operations performed under their control and supervision are risk assessed, and that these risk assessments are periodically reviewed.
- Ensure that lifting operations under their control or approved by them are adequately planned, including the development of lifting plans and emergency response plans as needed.
- Approve any student, temporary staff, or visitors' use of lifting equipment or undertaking of lifting operations.
- Ensure that only suitable and safe lifting equipment is purchased, installed, and used and that such equipment is installed in a safe manner, with all necessary installation documentation received and retained.
- Ensure that before any lifting operations are performed, adequate safety checks and pre-use checks are carried out.
- Confirm that all lifting equipment rented or being purchased is safe, designed to necessary standards, installed correctly and only used for their intended use and as per their manufacturer's instructions. This includes notifying the Estates & Facilities Responsible Person for Lifting of any new or modified lifting equipment to update the University's Lifting Equipment Register.
- Ensure that adequate safe systems of work exist for all lifting equipment and lifting operations under their control.
- Conduct necessary due diligence checks on any contractors or third parties that they engage who install, service, maintain, perform other necessary tests and examinations (not thorough inspections), use lifting equipment, or conduct lifting operations on their behalf, to ensure they are sufficiently competent to do so.
- Supervise staff, students, or other approved parties conducting lifting operations under their control. This includes reviewing risk assessments, lifting plans and emergency response plans to satisfy themselves that the task can proceed safely.
- Ensure that there is an adequate quarantine system in place for any defective, unsafe, or out of inspection lifting equipment.
- Ensure they liaise with the Estates & Facilities Responsible Person for Lifting for the completion of any thorough inspections and development of any Written Schemes of Examination for their lifting equipment.
- Establish a document management system to retain all necessary documents for their lifting equipment, including documentation on the equipment installation and copies of the thorough inspections and Written Schemes of Examination.
- Ensure any supplementary testing is performed as deemed necessary or as requested by the Competent Person(s).
- Ensure that any faults with lifting equipment are rectified within the time scale prescribed by Competent Person(s) or service contractor. This includes ensuring that if lifting equipment is deemed unsafe that it is made safe and communicated to all relevant parties as out of use. If needed, organising any alternative measures to ensure business critical activities can proceed safely.
- Ensure that where lifting operations impact other stakeholders, the external estate, or are considered a high-risk lifting operation, then work proceeds in accordance with the Estates & Facilities permit-to-work for Lifting.
- Assist with any investigation process and immediately report any incidents involving

lifting equipment using the online incident reporting system, or if it could be deemed a dangerous occurrence, reporting it as soon as possible to the Central Health and Safety Team and their Duty Holder.

4.5.10. Research Supervisors or Lecturers, with responsibility for students (when using or conducting lifting operations) are required to:

- Ensure compliance with this Procedure and to approve the student projects or research under their supervision that involves the use of lifting equipment or that requires conducting lifting operations.
- Ensure that any student project or research that uses lifting equipment or that conducts lifting operations is risk assessed and that all essential lifting plans and emergency response plans are created prior to the research or task taking place. Note: these staff may not be competent to complete these themselves, in these circumstances they must seek advice and assistance from either their Designated Person(s), Faculty Health and Safety Advisor, Central Health and Safety Team or the Estates & Facilities Responsible Person for Lifting.
- Adhere to the Estates & Facilities permit-to-work for lifting, if the lifting tasks impacts other stakeholders, the external estate, or is considered a high-risk lifting operation.
- Ensure that any student using lifting equipment or conducting lifting operations is adequately trained and supervised.
- Ensure anyone under their management/supervision is informed of the risk assessment findings and other safety critical documentation.

4.5.11. All users of lifting equipment and those conducting lifting operations, including staff, contractors, authorised students, visitors and temporary workers, are required to:

- Work in accordance with any risk assessment, operational procedure, and safe system of work for lifting equipment in use and lifting operations they conduct.
- Conduct and record any user checks for the equipment, including completing any pre-use checks.
- Only use the lifting equipment they have been trained to use and only perform the lifting operations that they have been approved to undertake by their Designated Person(s), Duty Holder, or, if a student, by their Research Supervisor or Lecturer.
- Only use lifting equipment for the purposes that they are designed for and under no circumstances make unauthorised changes or modifications to the equipment (including any safety devices), without approval from the Designated Person(s) or the Estates & Facilities Responsible Person for Lifting.
- Must not use lifting equipment for transporting people that have not been inspected for this use.
- Must not amend or change any lifting equipment SWL or max occupancy limits.
- Report any shortcomings in existing health and safety arrangements to their supervisor, even when no immediate danger exists.
- Report any unsafe or damaged lifting equipment, or lifting equipment which has no SWL or max occupancy limits, following the established quarantine procedures.
- Report any incidents concerning lifting equipment using the online incident reporting system or directly to their line manager/supervisor.

4.5.12. Competent Person(s) (of the University) are required to:

- Conduct all necessary thorough inspections to the required timeframes as specified in either LOLER 1998 or as indicated in any Written Scheme of Examination documentation. This includes providing a report of all inspections as soon as reasonably practicable.
- Write and develop Written Schemes of Examination as needed, including the review and amendment of existing written schemes.

- Review all lifting equipment's SWL and max occupancy limits at the time of the examinations and report any issues or changes required to the Designated Person(s) or the Estates & Facilities Responsible Person for Lifting. Where there is a change to a SWL or max occupancy limit, it is the Competent Person(s) responsibility to update the information on the lifting equipment plaque or tag.
- Notify the Designated Person(s) and Estates & Facilities Responsible Person for Lifting of any repairs or safety issues found before they leave site. This includes issuing a notice of defect which requires a qualified repair to be made.
- Where there is an imminent danger, they must make the equipment safe and ensure it cannot be used: no approval from Surrey University staff is required. In such cases, they must contact the Designated Person(s) and Estates & Facilities Responsible Person for Lifting immediately to inform them of the issue and action taken. Competent Person(s) must provide a notice of defect before they leave site and must report this to the HSE within 24-hours. A report of the failure including the corrective actions required must be given to the University as soon as reasonably practicable.
- Upon request, provide advice on other matters relating to lifting equipment in use or that is being purchased by the University.

The University can engage the services of more than one Competent Person to cover different types of lifting equipment. Any Competent Person engaged can or will be asked to perform one, some, or all of these duties.

Bodies holding United Kingdom Accreditation Service (UKAS) accreditation to BS EN 17020:2012 or equivalent accreditations for the scope of in-service inspections of lifting equipment, can provide Competent Person(s) to perform this role.

#### 4.5.13. Compliance Management Group

The purpose of the Group is to contribute to the development and direction of health and safety compliance management across the University estate. The Group monitors health and safety performance in respect of defined compliance areas, including lifting equipment and lifting operations, and provides a forum for obtaining input from relevant departments on such compliance matters. The Terms of Reference of the Group can be viewed [here](#).

## 5. Governance Requirements

### 5.1. Implementation: Communication Plan

This Procedure will be available via the University Policies and Procedures webpage. This Procedure and other relevant supporting documentation are also published on the University Health and Safety intranet site.

Relevant Health and Safety Committees (including Estates & Facilities and Campus Services) will be notified, and information disseminated through their line management. The Faculty Health and Safety Committee's will also be informed.

This Procedure will also be referenced and communicated through instructions and guidance supplied by the University via its Contractor Health and Safety Induction material.

This procedure and relevant supporting documentation are also published on the University's Health and Safety intranet site.

### 5.2. Implementation: Training Plan

The University will ensure all staff, operators, and those maintaining or inspecting lifting equipment used by the University are appropriately trained and competent to do so. The training, instruction and level of supervision provided will be based on the needs as specified within the completed risk

assessments and lifting plans for these activities.

The level of training supplied will also reflect the varying types of tasks, equipment in use, and the different roles and responsibility levels of those performing lifting operations or managing lifting equipment. All training, instructions, and briefings will be made available in a range of formats according to the needs of the trainees and different groups of staff, students, and others impacted by these tasks and use of lifting equipment.

The University will inform all contractors of the health and safety procedures on site, including any specific information and measures in relation to lifting operations, the lifting equipment, and any safe systems of work in place, including the requirements of the Estates & Facilities permit-to-work for lifting.

#### **5.2.1. Designated Person LOLER Awareness Training**

This training session is organised by the Central Health and Safety Team, and all those responsible for the management and supervision of lifting equipment or lifting operations will be required to attend. This is an informational session designed to give those managing lifting equipment a better understanding of the legal requirements of their lifting equipment. Two sessions are provided throughout each year, with the training commencing from early 2024. This training will be refreshed by staff every three years.

#### **5.2.2. Lifting Management Training**

Those who are managing, planning and or supervising complex lifting operations must have valid lifting management training which includes how to complete necessary lifting risk assessments, lifting operation plans, and how to develop emergency response plans. This training must be completed before any staff member conducts this activity. This training may also be required for those appointed as a Designated Person for their Faculty, Department, or Directorate. If the lifting operations are not considered high-risk, then those supervising or managing lifting operations will only be required to complete a lifting and slinging course. The Estates & Facilities Responsible Person for Lifting (and Deputy) must have valid training to this level before being appointed and performing their duties. Numerous recognised industry bodies provide this type of training, and it is recommended this training is refreshed every three years (as a minimum). If a staff member's training lapses, they must not manage or supervise high-risk lifting operations on behalf of the University.

#### **5.2.3. Authorised Person for Lifts Training**

Any staff member responsible for managing lifts must complete or show competency in the effective management of lifts. Recognised industry standard courses for lift management will be required which covers British Standards like, 7255:2012 code of practice for safe working on lifts, BS 5655:2002 Part 6: 2011 - Code of practice for the selection and installation of new lifts (passenger and platform), BS 5655:2005 Part 11/Part 12 - Code of practice for the undertaking of modifications of electric/hydraulic lifts. It is recognised this training is refreshed every three years to remain competent.

#### **5.2.4. Lifting and Slinging Courses**

Any workers including visiting or temporary staff, students, or contractors, that are required to do lifting operations as a part of their job, education, or research projects, will be required to do an approved lifting and slinging course before doing these activities for the first time. All Designated Person(s) for Faculties, Departments, or Directorates who supervise or manage lifting operations must complete this training. Where they are responsible for high-risk lifting operations, then a lifting operations management training course must be completed. Most training providers and accrediting organisations require a refresher of this training to be carried out every three years. If staff training lapses over the three-year period, they will not be allowed to do these activities until

they have successfully repeated/refreshed this training.

#### **5.2.5. Use of Mobile Elevated Work Platforms (Scissor Lifts, Cherry Pickers, & Van Mounted Lifts)**

Only workers including visiting or temporary staff, students, or contractors that have completed accredited training courses, will be allowed, or approved to use this equipment as a part of their work activities or on behalf of the University. The University will ensure that staff have industry recognised standard training such as The International Powered Access Federation (IPAF) training (or an equivalent standard) for each different classification of lifting equipment. Usually, this training or licenses are valid for five years, staff will be required to complete this training before they do the tasks for the first time and then refresh it either when it is no longer valid by the awarding body or every five years, whichever is sooner.

#### **5.2.6. Passenger Lift Rescue**

This must be completed by all staff before they are asked to perform this duty for the first time. Most lift service providers or installation companies provide this service. Any training for passenger lift rescue must follow the safe standards as specified in British Standard 7255:2012 code of practice for safe working on lifts. It is recommended by the BS 7255:2012 standard that this training is refreshed annually.

#### **5.2.7. Local LOLER Awareness and Task Specific Training**

For any area that has lifting equipment or lifting operations as a routine part of its work, learning requirements, or as a part of research activities, there must be appropriate local toolbox talks developed or included within established educational programs. This training must cover instructions to users on what is required to comply with any safe system of work for use of the equipment and undertaking the lifting task safely. The level of training and instruction will be based on the risk assessment and will range from basic standing instructions compiled from the manufacturer's guidelines to locally produced toolbox talks, and to third party accredited training courses. This training will be refreshed as determined by the local risk assessments and training need assessments for the specific areas using the lifting equipment as well as based on the type, complexity, and the risks of the lifting equipment and operations being performed.

#### **5.2.8. Contractors**

Any contractors or external companies engaged to work on lifting equipment, use University lifting equipment, conduct, plan, or assist in lifting operations, will be required to demonstrate competency. Checks must be carried out by those engaging these contractors to ensure they have appropriate training, qualifications, and experience, before undertaking any work on site.

### **5.3. Review**

The Director of Estates & Facilities, Estates & Facilities Responsible Person for Lifting, and the Director of Health and Safety will monitor for any required changes to this Procedure either in line with any future organisational changes, legislation, or key guidance changes. This Procedure will be reviewed every three years or in line with relevant changes, if sooner.

Minor changes will be reviewed by the Compliance Management Group and approved by the Compliance (Health, Safety and Wellbeing) Committee. Major reviews will also be reviewed by the Compliance Management Group and other key Stakeholders, prior to submission to Compliance (Health, Safety and Wellbeing) Committee for approval, and if required, noted at the Executive Board. The Health and Safety Consultative Committee will be consulted during the review process, as required.

### **5.4. Legislative Context and Higher Education Sector Guidance or Requirements**

The main guidance followed in the development of this Procedure is the Safe Use of Lifting Equipment

L113 Approved Code of Practice (ACoP). Although this guidance is not legally required to be followed, it does hold special weight in law and adhering to the standards established within it meets the necessary regulatory responsibility in established health and safety regulations.

#### **5.4.1. Applicable Legislation**

This Procedure is in accordance with the requirements of:

- The Health and Safety at Work Act 1974.
- The Management of Health and Safety at Work Regulations 1999.
- The Provision and Use of Work Equipment Regulations 1998.
- The Lift and Lifting Operations Regulations 1998.
- The Lifts Regulations 2016.
- Reporting of Injuries, Diseases, and Dangerous Occurrences Regulations 2013.
- The Working at Height Regulations 2005
- UK Supply of Machinery (Safety) Regulations 2008
- New Roads and Street Works Act 1991.

#### **5.4.2. Legislative Context**

This Procedure sets out to comply with the required 'duty of care' placed upon the University. Under Health and Safety Law a required 'duty of care' is generated between organisations and individuals when carrying out activities that could foreseeably cause harm. The duty is owed through the employer-employee relationship and extends to assurance that services provided by others (like contractors) are undertaken safely. With the level of assurance provided commensurate with the risk of the activity undertaken. In addition, anyone carrying out an activity owes a 'duty of care' to anyone who may be put at risk by said activity, such as students, staff, and visitors.

This duty of care cannot be delegated away; instead, the act of delegation must be accompanied by a realistic and workable system of monitoring or supervision to ensure that the delegated task has been adequately implemented (i.e., the responsibility is not met by giving directions; it is met when those directions have been confirmed as carried out). The result is a cascade of delegated accountability that runs throughout the organisation via the line management network, accompanied by a system of monitoring, supervision, and feedback.

It is a requirement of the University, as the insured body, to comply with all regulations imposed by any competent authority and take all reasonable precautions to prevent or minimise accidents, loss, injury, or damage. In addition, the University will comply with appropriate guidance and recommendations of relevant professional bodies, wherever reasonably practical.

### **5.5. Sustainability**

Although this Procedure does not have a direct impact on sustainability, it is recognised that the use and replacement of lifting equipment may impact the University's sustainability targets or agenda. When deciding on the suitability of lifting equipment, those authorising the purchase or replacement of lifting equipment should consider the equipment's sustainability. They should consider equipment that has a lower impact in regard to either power consumption or fossil fuel use where practical to do so. However, it should be noted that the safety of the equipment and users will always be the key deciding factor on the suitability of any equipment being purchased or replaced. Owners of the lifting equipment should ensure adequate disposal and where possible recycle lifting equipment or parts of it as part of the replacement process.

## **6. Stakeholder Engagement and Equality Impact Assessment**

**6.1.** An Equality Impact Assessment was completed on **18/01/2024** and is held by the Authorised Co-ordinator.

**6.2.** Stakeholder Consultation was completed, as follows:

<b>Stakeholder</b>	<b>Nature of Engagement</b>	<b>Request EB Approval (Y/N)</b>	<b>Date</b>	<b>Name of Contact</b>
Governance	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	19/02/2024	Kelley Padley, Governance Officer
Members of the Compliance Management Group	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	29 <sup>th</sup> January 2024	Members of this Group.
Sustainability	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	29 <sup>th</sup> January 2024	Martin Wiles, Head of Sustainability
Equality, Diversity & Inclusion	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	29 <sup>th</sup> January 2024	Jo McCarthy-Holland, Equality & Diversity Advisor.
Health and Safety Managers/Advisors	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	29 <sup>th</sup> January 2024	All University Health and Safety Managers/Advisors
Estates & Facilities and Campus Services Health and Safety Management Group	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	29 <sup>th</sup> January 2024	All Groups Membership
Health and Safety Consultative Committee	Review of previous Policy material and creation of this	N	29 <sup>th</sup> January 2024	Members of this Committee.

	Procedure v1.0. for PoPP framework.			
Procurement	Review of previous Policy material and creation of this Procedure v1.0. for PoPP framework.	N	14 <sup>th</sup> February 2024	James Moore Procurement Category Manager - Built Environment.