

Lifting Operations and Lifting Equipment Regulations (LOLER) Safety Policy

1 Introduction

This policy forms part of, and should be read in conjunction with the University's Health and Safety Management Policy.

A breach of this policy may be addressed via the University's disciplinary and code of conduct policies.

This policy will be reviewed by Estate Services on a 3-year basis or amended in response to changes in future legislation and/or case law.

2 Ownership

Estate Services owns and manages this policy on behalf of The University of Northampton.

3 Organisational Scope

- 3.1 This policy applies to all existing and proposed University on and off site activities that involve the use of or exposure to lifting equipment and/or lifting operations.
- 3.2 This policy will address the requirement to prevent or control hazards associated with the operation and use of lifting equipment as regards to its staff, students and where appropriate, members of the public and thereby comply with the provisions of The Lifting Operations and Lifting Equipment Regulations 1998 (LOLER).
- 3.2 This policy applies not only to the use of any equipment, but also includes starting or stopping the equipment, repairing, modifying, maintaining, servicing, cleaning and transporting of the equipment.
- 3.2 Students for the purposes of the relevant legislation are deemed as "members of the public" and as such require to be protected from exposure to specific work lifting equipment and/or lifting operations presented by University activities.
- 3.3 All external agents, contractors and employers operating on University premises or engaged in or affected by University activities will be expected to have suitable and sufficient lifting equipment and/or lifting operations related risk assessments, designed to cover their operation/ activities.

4 Definitions

4.1 Lifting Equipment

Work equipment used at work for lifting or lowering loads and includes attachments used for supporting, anchoring or fixing the load. A wide range of equipment is classed as lifting equipment including cranes, patient hoists, scissor lifts, passenger lifts, mobile elevated platforms and scissor lifts.

Lifting attachments

Attachments include chains, ropes, slings, pulleys, eyebolts, shackles, anchor points, karabiners, harnesses and straps.

Lifting Operations

Means any operation concerned with lifting or lowering of a load.

Load

Any item being lifted or lowered including a person.

Provided for Use

Provided for use refers to the date that the equipment was first supplied/received into the University and not the date 'first brought into use'. Such equipment will be deemed 'new equipment' when it is brought into use, and will have to comply with the current new equipment standards.

Mobile work equipment

Any work equipment which carries out work while it is traveling or which travels between different locations to carry out work.

Hazard

Something, arising out of a work situation, which has the potential to cause harm to an individuals' health and/or safety.

Risk

The term used to describe the likelihood that a hazard is realised taking into account the severity of the outcome.

LOLER Exempt equipment

Equipment that does not have as its principal function a use for lifting or lowering is generally excluded from LOLER, e.g. horizontal conveyors or horizontal winching operations, however, the safety of such equipment would be subject to the requirements of the Provision and Use of Work Equipment Regulations 2017.

Equipment which has an element of lifting as part of its normal operation e.g. variable height bed, patient assessment couch or dentist's chair, but where the principal function is as a bed or chair and not as a device for lifting/lowering would not normally be classed as lifting equipment. The feature of height adjustability would not normally be interpreted as lifting.

5 Policy Statement

5.1 The University of Northampton recognises and readily accepts the benefits that accrue from the principles relating to risk assessment when determining suitable and sufficient arrangements for the prevention or control of the hazards created by the use of or exposure to work or education related lifting equipment and/or operations.

5.2 All members of staff planning to introduce an activity which involves the use of lifting equipment are required to undertake a risk assessment, as appropriate and in accordance with the University's procedures governing the provision and use of work equipment and risk assessment.

5.3 Lifting Equipment requirements

The policy requires all managers, on behalf of the University to:

- Ensure all existing hazardous lifting equipment is subject to a valid risk assessment as appropriate with suitable and sufficient preventive and protective measures identified and implemented;
- Ensure all lifting equipment purchased for the first time is subject to a valid risk assessment prior to procurement and introduction to the University;
- Ensure all new activities, involving lifting equipment, have suitable and sufficient preventive and protective measures at the outset to eliminate or reduce so far as is reasonably practicable the risk presented;
- Implement the appropriate preventive and protective risk control measures, including the provision of information, instruction, training, testing, maintenance and personal protective equipment necessary to reduce the risk to health and/or safety to the lowest reasonably practicable level;
- Review the assessments at least annually, or sooner if deemed necessary, to ensure they remain suitable and sufficient.

5.4 All managers responsible for and staff who use lifting equipment must ensure lifting equipment is:

- Suitable for the intended use;
- Safe for operation, maintained in a safe condition and examined/inspected as appropriate to ensure this remains the case. Documentation should be provided which records the maintenance activities, repair and examination/inspection history of all lifting equipment, as appropriate. Such documentation must be current and relevant;
- Operated only by competent people who have received adequate information, instruction and training;
- Accompanied by suitable safety measures, e.g. protective devices and warnings etc. to prevent persons falling and that any person who is trapped is not exposed to danger and a reliable means of rescue is available;
- Suitably marked with their safe working load (SWL);
- Never modified, unless by a competent person, or operated without any supplied protective devices being employees (guards, limit switches, emergency stops, interlock devices etc.);

- If operated within teaching areas the lifting equipment and/or lifting operations should be subject to an assessment which should either be incorporated within schemes of work or at least referred to in the documentation. Students should be made aware of the assessments and the risk control measures relevant to their activities, where appropriate suitable and sufficient training will be provided as part of the course;
- Where students are planning their own research, learning and /or academic activities where the operation of or exposure to lifting equipment may be an issues their research supervisor or academic Lecturer is responsible for ensuring the student undertakes a suitable and sufficient assessment as appropriate in accordance with the methodology of approach detailed in the University's Risk Assessment procedure and Provision and Use of Work Equipment Policy. The resulting assessment must be formally approved by the research supervisor/ lecturer prior to commencement of the activity, who must also ensure all identified risk control measures are in place.

5.5 The objective of this requirement to undertake assessments is to reduce the risks presented by any hazards identified to the lowest level which is reasonably practicable.

5.6 All documentation relating to risk assessment and maintenance or testing, including those produced by the Faculty/Department and, where appropriate, contractors (who have been engaged by the Faculty/ Department); will be retained by the relevant Faculty/Department for the timescale specified within the relevant Record retention Schedule.

5.7 **Organisation of Lifting Operations**

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

- Properly planned by a competent person i.e. person has adequate practical and theoretical knowledge and experience of lifting operations. The plan must address identified risks, resources required, procedures, responsibilities etc.;
- Appropriately supervised (proportionate to the risk – taking into account the personnel involved);
- Carried out in a safe manner.

5.8 **Through Examination and Inspection**

The Institution must ensure that lifting equipment is thoroughly examined and inspected by a competent person, who should be someone with appropriate practical and theoretical knowledge and experience of the particular lifting equipment and have an element of independence and impartiality.

The University has appointed a third party to advise on lifting equipment and complete statutory examinations and equipment.

The risks arising from failure will determine how thorough statutory examinations needs to be and this examination may be needed at several points in the life of the equipment.

5.8.1 **Prior to first use**

Before any lifting equipment is used for the first time, a thorough examination must be carried out by a competent person *unless* there is physical evidence available to show that it is safe to use. This would include if the equipment:

- (a) has not been used before and there is documentation drawn up within the 12 months prior to its first use, an initial test certificate in the form of an "EC Declaration of Conformity" or;
- (b) has been obtained from another organisation (e.g. hired or borrowed) and is accompanied by evidence that the necessary thorough examination has been carried out, (e.g. a copy of the latest test certificate is available).

This evidence or the competent person's examination report must be kept until the University ceases to use the lifting equipment. Additionally, a thorough examination is required after substantial or significant modification or repair. This covers installation in a new location or a reconfiguration.

Faculties and Departments **must** consult with Estate Services prior to the procurement of lifting equipment so as to arrange for the thorough examination of lifting equipment before it is put into use.

5.8.2 **Periodic examinations once equipment is in service**

Lifting equipment must also be thoroughly examined at intervals specified within LOLER, at shorter intervals if the competent person considers this appropriate, or in accordance with the intervals specified in the examination scheme for the equipment.

- Lifting equipment in use must be thoroughly examined at least every 12 months;
- Accessories (chains, slings, ropes, etc.) must be thoroughly examined at least every 6 months;
- Equipment used for lifting people must be thoroughly examined at least every 6 months;
- For the above, the examination is in accordance with a written examination scheme and is to identify any remedial action in good time before deterioration affects safety.

5.8.3 **After adverse incidents**

Lifting equipment must also be inspected by a competent person after any incident or circumstances which may have adversely affected the safety or integrity of the equipment, e.g. involvement in an accident or dangerous occurrence or after long periods out of use.

5.8.4 **Inspection of Lifting Equipment by a competent person.**

It is a requirement of LOLER that those Faculties, departments and services within the University who own and operate lifting equipment make it available for regular inspection and implement any recommendations made by the competent person.

5.8.5 **Reports and Defects**

Once an examination has been completed the competent person will:

- notify any dangerous defects to the University forthwith;
- report in writing to be made as soon as is practicable a) to the University and b) to any person from whom the equipment has been hired or leased;

- send a copy of the report as soon as practicable to the Health & Safety Executive (HSE) where a defect involves an existing or imminent risk of serious personal injury;

The University must ensure that the lifting equipment is not used before the defect is remedied, or after a time specified in a report and before the defect is remedied. Defective equipment must be either locked off to prevent use, appropriate signage used and all users informed of prohibition, or removed from the workplace to a secure location to prevent use, appropriately signed and users informed.

Once an inspection has been completed the competent person will:

- notify the University immediately of any dangerous defects;
- make a record of the inspection in writing as soon as practicable.

6 Responsibilities of Duty Holders

6.1 Executive Deans, Deans and Directors

In addition to complying with the duties set out in the Health and Safety Management Policies the Dean/Executive Dean/Director/Head of Department is responsible for lifting equipment and has a duty to ensure that adequate and suitable risk assessments are carried out on lifting equipment and safe systems of work are implemented so as to reduce the risks to health and safety so far as is reasonably practicable.

6.2 The Head of Estate Services

The Head of Estate Services, through the Estate Services department, has a duty to:

- Appoint competent persons (usually an Insurance engineer) to undertake regular thorough examination of lifting equipment and ensure records of these examinations are retained for the period specified in the University's Record Retention Schedule;
- Ensure lifting equipment is thoroughly examined by a competent person (usually an Insurance engineer) before use unless a current EC Declaration of Conformity is obtained;
- Undertake initial inspections of lifting equipment prior to use ensuring correct installation where there is significant risk to staff;
- Undertake suitable technical inspections between thorough examinations where these have been agreed as necessary following the local managers risk assessment, as advised by the "competent person" and following manufacturer's instructions.
- Take appropriate action to rectify defects, which have been identified in inspection reports;
- Retain any EC declaration of conformity obtained and initial thorough examination reports until they cease using the LE, they retain exceptional circumstance/regular thorough examination reports for 2 years and any inspection reports made under LOLER until the next report is made.

6.3 The Head of Safety, Security & Environment

The Head of Safety, Security and Environment will co-ordinate inspections and examinations on behalf of the Head of Estate Services and also has a duty to:

- Advise University managers on the safety of lifting equipment;
- Provide technical advice on the purchase of lifting equipment;

6.3 **Managers and Supervisors** must:

- Ensure that work under their supervision has been assessed and approved by the appropriate group as specified in this document **before** work commences;
- Ensure that appropriate control measures are used that procedures are followed and that persons whom they are supervising are aware of the risks and procedure to follow in the event of an accident or incident;
- Provide appropriate supervision and monitor compliance with this policy in addition to local rules and procedures;
- Assess the competence of persons under their control to work safely and where appropriate arrange for necessary training. An assessment of competence should be carried out on all persons new to the faculty and new to a type of work or risk category.
- Ensure that appropriate training is available to persons under their supervision and that training needs are reassessed for persons new to the faculty and new to a type of work or risk category.

6.4 **Staff and other individuals** must:

- Be conversant with the risk assessments that apply to their work;
- Adopt safe practices (standard operating procedures) in activities involving lifting equipment and/or lifting operations, in particular to carry out work in designated areas and use appropriate protective equipment and clothing;
- Report any incident, accident or defect in equipment relating to any lifting equipment and lifting operation that they are involved in;
- Cooperate with their manager and supervisor, Safety, Health and Environment team members, and/or any other person appointed to monitor the safe use of lifting equipment and lifting operations within the Faculty or department.

7 Information, Instruction and Training

- 7.1 Each area will nominate individuals to assist with the training of staff in the use of any lifting equipment. Where staff require specific training in the use, maintenance or inspection of lifting equipment, or managing or directing lifting operations (such as banksman training) this should be arranged with a suitable training provider by their line manager in consultation with the Safety, Health and Environment team.
- 7.2 Written procedures and safe systems of work may be required for the safe use of lifting equipment and lifting operations. For more information, contact the Safety, Health and Environment Team: safety@northampton.ac.uk
- 7.3 Students will be provided with information, instruction and training on the safe use of lifting equipment by their Faculty. Students shall be made aware of the hazards associated with the particular work equipment they will be using, and adequately supervised at all times by a competent member of staff.

8 Associated Documents and references

8.1 The University of Northampton's associated documents:

- Health and Safety Management Policy
- SHE Information Sheet 26 – Completing a Risk Assessment
- Risk Assessment Form v3.1
- Provision and Use of Work Equipment Policy and Procedure
- Work at Height Policy

8.2 **References**

- Lifting Operations and lifting Equipment Regulations 1998 (LOLER)

9 Approval Process

- Trade Union Liaison Group
- Health, Safety, Security and Environment Committee

10 Equality Analysis

An Equality Impact Assessment must accompany this document.

11 Version Control

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