

Code of Practice

LIFTING OPERATIONS AND LIFTING EQUIPMENT

1st Edition, March 2021

Contents

1	Purpose and Scope	3
2	Introduction	3
2.1	Definitions	4
2.2	Competence	5
3	Responsibilities	5
3.1	Duties of the Group Finance Director (Accountable Person for Lifting Equipment)	6
3.2	Duties of the Director of Estates (Responsible Person for Lifting Equipment)	6
3.3	Duties of the Director of Health and Safety	6
3.4	Duties of the Health and Safety Lead for Lifting Operations and Lifting Equipment	7
3.5	Duties of the Capital Programme Director (Estates)	7
3.6	Duties of Director of Operations (Estates)	8
3.7	Duties of the Estates Technical Lead for Lifting Operations and Lifting Equipment	8
3.8	Duties of the Head of Maintenance (Estates)	9
3.9	Duties of the Contract Supervisor for Lifting Equipment Maintenance (Estates)	9
3.10	Duties of the Insurance Services Manager (Procurement and Insurance Services)	10
3.11	Duties of the Head of Compliance and Assurance (Estates)	10
3.12	Duties of the Contract Supervisor for Lifting Equipment Examination (Estates Compliance and Assurance)	10
3.13	Duties of the Head of Estates Information and Systems	11
3.14	Duties of Heads of School/Department	11
3.15	Duties of Technical Service Managers / Facilities Managers	12
3.16	Duties of Point of Contact for Lifting Equipment (School/Department)	12
3.17	Duties of Principal Investigators / Supervisors	12
3.18	Duties of Lifting Equipment Users	13
4	Requirements for Lifting Equipment	14
4.1	Risk Assessment	14
4.2	Planning the Lifting Operation	14
4.3	Lifting Equipment Specification, Design and Procurement	14
4.4	Pre-Use Checks	15
4.5	Maintenance	15
4.6	Thorough Examination	15
4.7	Documentation and Record Keeping	16
5	Operational Use	17
6	References	18
7	Document Control	19
	Appendix A – Responsibility Grid for Lifting Equipment	20
	Appendix B – Assurance: Three Lines of Defence	21
	Appendix C – Lifting Equipment Capital Projects Process Overview	22
	Appendix D – Lifting Equipment Asset Recording Process Overview	23
	Appendix E – Lifting Equipment User Checks and Fault Reporting Process Overview	24
	Appendix F – Lifting Equipment Thorough Examination Process Overview	25

1 Purpose and Scope

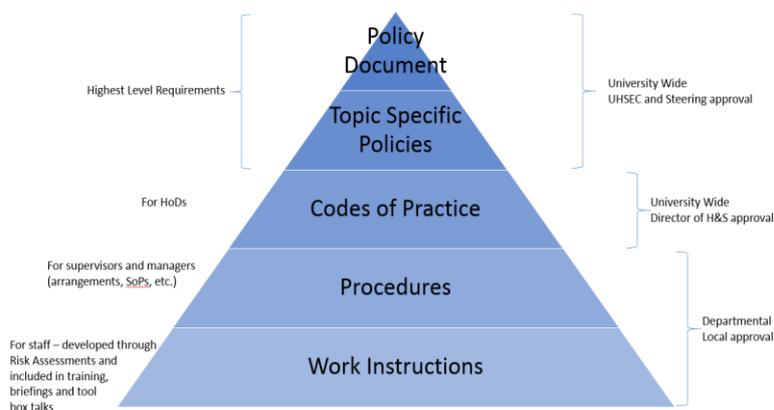
This Code of Practice (CoP) applies to all lifting equipment used by staff and students at the University of Warwick. Specifically it details the University-wide arrangements and responsibilities for the procurement, management, design, installation, maintenance, testing, operation and use of lifting equipment. It includes all lifting that is done wholly or partly by mechanical means, but it does not include lifting done entirely by manual handling.

The objective of the management arrangements described within this code of practice is to ensure compliance with regulation and to protect employees, students, third party occupiers, contractors and inspectors or any others that might use, operate, hire, maintain or inspect lifting equipment (including any lifting accessories), used in lifting operations at the University.

This CoP forms part of the University of Warwick's Occupational Health and Safety Management System and supports the University of Warwick Lifting Operations and Lifting Equipment Policy. It should be read in conjunction with the Policy and the associated guidance on the management of lifting equipment and lifting operations, which are available on the University's Health and Safety web pages (Ref. 1).

Departmental/Estates arrangements for all other aspects of the management of lifting operations and lifting equipment are detailed in local procedures, including Standard Operating Procedures (SOPs) and Work Instructions, as indicated in the document hierarchy below:

Figure 1: Health and Safety Document Hierarchy



This CoP is based on a new 'corporate approach' to overall accountability for statutory inspections and compliance at the University¹, with an initial focus on departments with a high volume of high-risk assets².

Certain specialist departmental lifting apparatus may not be covered under the framework contract for examination or maintained by Estates. In these cases, the owning/using department is responsible for ensuring such lifting equipment is appropriately examined, inspected and maintained.

2 Introduction

Lifting equipment and lifting operations can be found throughout the University, particularly in workshops and labs and associated with maintenance work, but they can also be found in other circumstances, such as passenger and goods lifts, vehicle tail lifts, fork lifts, work platforms, and ropes, chains and pulleys used for

¹ The 'corporate approach' is a new initiative to align the way statutory testing and compliance of equipment is managed across the University. Some of the accountabilities and responsibilities described within this document have therefore changed, or are new. As such, there will be a transition period for this new approach to be fully implemented.

² Departments with the highest volume of high-risk assets: Life Sciences, WMG, Medical School, Engineering, Chemistry, Physics, Estates and CCSG.

climbing, lighting, scenery or work positioning. If lifting equipment is not used correctly, fails in use, or the load is released unintentionally, this can result in injury or even kill people nearby and cause serious damage to property.

To minimise the risk of failure, lifting equipment has specific requirements and the legislation places duties on an employer. The principal legislation covering lifting equipment and lifting operations are the Lifting Operations and Lifting Equipment Regulations 1998 (Ref. 2), often referred to as “LOLER”, supported by the Lifting Operations and Lifting Equipment Regulations 1998 Approved Code of Practice, L113 (Ref. 3).

In most cases, lifting equipment is also ‘work equipment’, so the Provision and Use of Work Equipment Regulations 1998 (Ref. 5), supported by the Approved Code of Practice and guidance, ACOP L22, (Ref. 6), also apply.

Further guidance is provided by the Health and Safety Executive in the document ‘Lifting equipment at work: A brief guide to the law, INDG290 (Ref. 4).

2.1 Definitions

Lifting equipment and lifting operations is described in LOLER (Ref. 2):

- “lifting equipment” means work equipment for lifting or lowering loads and includes its attachments used for anchoring, fixing or supporting it;
- "lifting operation" means an operation concerned with the lifting or lowering of a load;
- “load” includes a person [or people] as well as the usual material, animals or combination of these that are lifted by the lifting equipment.
- “appointed person” is the person responsible for the planning, execution and safety of a lifting operation. Although duties may be delegated to others, it is the appointed person who retains the responsibility of the operation.

Examples of lifting equipment in use at the University include:

- passenger and goods lifts;
- overhead cranes and supporting runways;
- hoists;
- high lift pallet trucks (that have the ability to raise the forks above 300mm);
- mobility hoists;
- fork lifts;
- scenery and lighting gantries;
- vehicle tail lifts;
- elevating access or work platforms;
- building cleaning cradles and their suspension equipment.

Examples of common lifting accessories include:

- fibre or rope slings;
- chains;
- hooks;
- eyebolts;
- shackles;
- spreader beams;
- magnets;
- vacuum lifters.

Work equipment that does not fall under LOLER (Ref.2), such as low lift pallet trucks, roller shutter doors, escalators, fall arrest ropes, tipper trucks and dentist chairs are not classified as lifting equipment but may still have requirements under PUWER (Ref. 5) or other relevant legislation.

A periodic statutory inspection, referred to as a “thorough examination” is required for most lifting equipment at the frequencies laid down in LOLER (Ref. 2). This means a thorough examination by a competent person and may also include testing, as appropriate. As deemed necessary by the competent person, an “examination scheme” may be drawn up for thorough examinations at other frequencies. A periodic examination must then be performed for those parts of the system covered by the examination scheme. Even where an examination is not required, the equipment must still conform to other parts of the regulations, such as the need to maintain and inspect.

Further information on thorough examination can be found in chapter 4.6 and HSE guide INDG422 (Ref. 6).

2.2 Competence

The legislation requires a level of competence for whoever:

- specifies requirements of lifting equipment;
- designs or selects lifting equipment;
- checks, tests or maintains lifting equipment;
- supplies, installs or otherwise provides lifts or lifting equipment, advice on such systems or other services to the University;
- plans the lifting operation;
- assists in the lifting operation, e.g. ‘banksman’;
- uses lifting equipment.

Note: Insurance Services department and Estates department contract with third-party organisations who provide independent inspection services for the University, including provision of such ‘competent person(s)’ used in connection with the drawing up or certifying examination schemes and carrying out the examinations.

Records of all staff and student training on lifting equipment and lifting operations shall be recorded and retained in accordance with the University Records Retention Schedule (Ref. 9).

When procuring new lifting equipment or accessories, the supplier shall be required to provide operating instructions for the equipment. Departments must ensure that the appropriate staff and students have access to these instructions, and are properly trained in the operation and use of the equipment.

Further details concerning training and awareness required for working with lifting equipment should be made available with the specific equipment. General guidance on lifting equipment and lifting operations is also available on the University’s Health and Safety web pages (Ref. 1).

3 Responsibilities

The principal responsibilities for the management of health and safety are stated in the University of Warwick Health and Safety Policy (with line management/delegation of duty described in the document ‘Leadership and Management of Health and Safety at the University of Warwick’) and complemented by a topic specific Policy for Lifting Operations and Lifting Equipment. These documents are available via the University’s Health and Safety web page: <https://warwick.ac.uk/services/healthsafetywellbeing/guidance/handspolicy>.

This document further clarifies the specific accountability and responsibilities held by roles within the University, in relation to lifting equipment, and following the new ‘corporate approach’. These responsibilities are summarised within the Responsibilities Grid for Lifting Equipment (Appendix A) and allocated as described in the following sections.

Note: Certain specialist departmental lifting apparatus not covered under the University's framework contract for examination or maintained by Estates may fall outside the usual arrangements. In these cases, the owning/using department is responsible for ensuring such lifting equipment is appropriately examined, inspected and maintained.

3.1 Duties of the Group Finance Director (Accountable Person for Lifting Equipment)

The accountability for ensuring legal compliance with regards the maintenance, servicing and examination of lifting equipment within the University rests with the Group Finance Director, who has delegated the responsibility for the discharging of these duties to the Director of Estates.

The Group Finance Director remains accountable for:

- ensuring adequate budget and resource is made available for the examination, maintenance, remedial work and any training required to ensure compliance of lifting equipment with the relevant legislation and guidance;
- ensuring that non-compliances notified to them are addressed, without undue delay.

3.2 Duties of the Director of Estates (Responsible Person for Lifting Equipment)

The Director of Estates is responsible for discharging duties of the accountable person for lifting equipment, including:

- ensuring compliance with any relevant statute, ACOP, standard or guidance concerned with the installation of fixed systems and the maintenance, servicing, testing and inspection of lifting equipment;
- ensuring implementation of Lifting Operations and Lifting Equipment Policy, this Code of Practice and the associated arrangements, instructions and guidance, in areas under their control;
- ensuring the allocation of any necessary budget and resources;
- ensuring availability of suitably trained and competent staff/contractors to carry out thorough examination, inspections and maintenance;
- ensuring that a suitably trained and competent person is assigned as the Estates Technical Lead for Lifting Operations and Lifting Equipment (see Chapter 3.7);
- ensuring the escalation of any non-compliance reported to them, to the Accountable Person.

The Director of Estates shall be assisted in the discharging of these duties by the involvement of competent personnel or contractors and supported by the Technical Lead for Lifting Operations and Lifting Equipment and the Health and Safety Lead for Lifting Operations and Lifting Equipment.

Where the Director of Estates has employees engaged in the use of lifting equipment, they shall also assume the duties allocated to Heads of School/Department (see chapter 3.14).

3.3 Duties of the Director of Health and Safety

The Director of Health and Safety is responsible for:

- ensuring that the University's Health and Safety web pages for lifting operations and lifting equipment are kept up to date with the related policy and guidance documents and these are communicated to stakeholders;
- ensuring that a suitably trained and competent person is assigned as the Health and Safety Lead for Lifting Operations and Lifting Equipment (see Chapter 3.4);
- providing health and safety resource to advise and support departments, to enable the departments to produce suitable and sufficient risk assessments and procedures for activities involving the use of lifting equipment;

- ensuring that spot checks, inspections and internal planned audits are carried out to provide assurance that activities relating to the management and use of lifting equipment is being performed in compliance with the Policy and arrangements. Thus providing the 'second line of defence' and 'third line of defence' for assurance, as illustrated in Appendix B;
- providing any appropriate intervention to prevent ongoing and/or repeated non-compliance that gives rise, or could give rise, to statutory breach and/or a risk to health or the environment;
- reporting back to the Responsible Person, Head of Compliance and Assurance and the appointed H&S Lead any non-compliance discovered or notified to them.

3.4 Duties of the Health and Safety Lead for Lifting Operations and Lifting Equipment

Appointed, by the Director of Health and Safety, the Health and Safety Lead for Lifting Operations and Lifting Equipment (herein referred to as the H&S Lead) shall be the lead advisor within the University on matters relating to lifting equipment safety. The H&S Lead, working with the Estates Technical Lead and supported through engagement of competent personnel or consultants, as necessary, is responsible for:

- ensuring they maintain and keep up to date knowledge of the health and safety legislation and associated Regulations, ACOPs or sector guidance concerning lifting operations and lifting equipment, communicating any relevant updates that may impact others in the organisation;
- providing advice to the accountable person, and any other person allocated responsibility in this document, on the health and safety standards and regulations that must be achieved with respect the discharging of their duties. These include, but are not necessarily limited to, design, procurement, maintenance, servicing, testing, inspection and use of lifting equipment;
- providing internal guidance in relation to the creation and installation of new assets, maintenance, servicing, testing and inspection and use of lifting equipment;
- identifying any health and safety training and awareness required, across the University;
- supporting the development of policy and the creation and update of departmental SOPs;
- reviewing requests for new lifting equipment, as advised to them by Departments or Capital Programmes, and providing health and safety advice;
- providing health and safety advice concerning the generation of documents essential to system compliance, where these have not historically been in place;
- highlighting any non-compliance discovered or reported to them, to the person responsible, escalating if required.

Note: The H&S Lead is not an Engineer or technical person, but someone with the necessary Health and Safety background, experience and training to be able to interpret the associated Regulations, ACOPs or sector guidance, etc. They would typically be a chartered Health and Safety professional (CMIOSH) responsible for interpretation of law/HSE requirements and advising others within the University accordingly.

3.5 Duties of the Capital Programme Director (Estates)

The Capital Programme Director, in conjunction with Head of Maintenance (as applicable) and supported by their respective programme/project managers and engagement of competent personnel or consultants, as necessary, is responsible for:

- ensuring that requests for new lifting equipment or modifications to existing lifting equipment, made via an Estates project, are reviewed by the Technical Lead and H&S Lead and in conjunction with the risk assessment provided by the requesting department;
- ensuring that the specification of new lifting equipment supplied through Estates meet the requirements of legislation, ACOPs, regulations, standards and guidance, as appropriate;

- ensuring that any lifting equipment installed or modified during a project is appropriately commissioned, and that the commissioning is witnessed by the client and by maintenance representatives and advised upon by the H&S and Technical Leads;
- ensuring that, following installation of new lifting equipment, details of the assets are provided to Estates Information and Systems team in order that they can be registered and added to any PPM and examination schedule immediately following handover;
- ensuring the timely receipt of all required documentation and the provision of such documentation and asset information (in the required format) to Estates Information and Systems, the department, and to maintenance (see Chapter 4.7, Documentation and Record Keeping);
- ensuring periodic review of the Mechanical Electrical and Public Health (MEP) Design Standards (involving the Technical Lead and H&S Lead, as required) to ensure that they remain current with the applicable legislation and standards.

Appendix C provides an overview of the process used for Estates capital projects involving lifting equipment.

3.6 Duties of Director of Operations (Estates)

The Director of Operations, supported by their respective managers, is responsible for:

- planned preventative maintenance (PPM), examination and remedial maintenance of all lifting equipment which have been notified to Estates;
- ensuring suitable resource and budget are available for PPM, examination, remedial maintenance and training;
- escalating any non-compliance discovered or notified to them, to the Responsible Person.

3.7 Duties of the Estates Technical Lead for Lifting Operations and Lifting Equipment

Appointed, by the Director of Estates or other member of the Estates management team, the Estates Technical Lead for Lifting Operations and Lifting Equipment (herein referred to as the Technical Lead) shall be the lead advisor within the University on matters relating to the technical and engineering aspects of lifting operations and lifting equipment. The Technical Lead, working with the H&S Lead and supported through engagement of competent personnel or consultants, as necessary, is responsible for:

- ensuring they maintain and keep up to date technical knowledge of industry standards and best practice concerning lifting operations and lifting equipment and understanding of the relevant legislation, ACOPs and sector guidance, communicating any updates that may impact others in the organisation;
- providing technical advice to the accountable person, and any other person allocated responsibility in this document, on the engineering aspects for lifting equipment that must be achieved with respect the discharging of their duties. These include, but are not necessarily limited to, specification, design, procurement, maintenance, servicing, testing, inspection and operation of lifting equipment;
- providing internal technical guidance in relation to the selection, procurement and installation of new assets, maintenance, servicing, testing, inspection and operation of lifting equipment;
- identifying any technical training and awareness required, across the University;
- supporting the development of policy and the creation and update of departmental SOPs;
- reviewing requests for new lifting equipment, as advised to them by Departments or Capital Programmes, and advising on suitability with the new or existing building infrastructure;
- providing technical advice concerning the generation of documents essential to system compliance, where these have not historically been in place;

- highlighting any non-compliance discovered or reported to them, to the person responsible, escalating if required.

3.8 Duties of the Head of Maintenance (Estates)

The Head of Maintenance, supported by their personnel, is responsible for:

- putting into place arrangements for maintenance and remedial works relating to lifting equipment which have been notified to Estates;
- ensuring that any information arising from maintenance, examination or remedial works, under their direction or control, is retained and communicated to relevant stakeholders;
- providing to any employees under their control, the information, instruction and training required for proper execution of that role;
- ensuring that any person required to undertake work on lifting equipment has sufficient competence to safely complete the task, and that any relevant arrangements have been made to mitigate risks to safety;
- assigning a Contract Supervisor for lifting equipment maintenance, to manage any contracts with external specialists and to act as the primary interface between Estates and departments with regards to the maintenance service for lifting equipment;
- addressing, through engagement of competent personnel or contractors and supported by the H&S Lead and Technical Lead, the generation of documents essential to system compliance, where these have not historically been in place;
- reporting back to the Director of Operations and Head of Compliance and Assurance any non-compliance discovered or notified to them.
- ensuring that any information and reports arising from inspections and examinations, under their direction or control, is retained and made accessible to relevant stakeholders;
- reporting back to the Director of Operations and Head of Compliance and Assurance any non-compliance discovered or notified to them.

3.9 Duties of the Contract Supervisor for Lifting Equipment Maintenance (Estates)

The Contract Supervisor for Lifting Equipment Maintenance is the prime interface to any external contractor providing a maintenance and remedial service for lifting equipment, as contracted by Estates. Supported by the involvement of technical personnel, as necessary, they are responsible for:

- ensuring that any contractor required to undertake work on lifting equipment has sufficient competence to safely complete the task, and that any relevant arrangements have been made to mitigate risks to safety;
- ensuring that the external contractor(s) providing maintenance and remedial works for lifting equipment is delivering the required level of service, including notification of any issues and delivery of documentation in a timely manner;
- ensuring that all contractors complete the necessary induction for the areas where they will be working;
- ensuring that the contractor provides a task-specific risk assessment for the work to be undertaken;
- timetabling and coordinating maintenance and remedial works for each Department/School in consultation with the Departmental Point of Contact(s) for Lifting Equipment (see Chapter 3.15).

3.10 Duties of the Insurance Services Manager (Procurement and Insurance Services)

The Insurance Services Manager is responsible for the commercial aspects of the inspection and examination services for lifting equipment, as contracted by Procurement and Insurance Services Department, including:

- putting into place a University-wide contract for an insurance inspection and examination service for lifting equipment, including thorough examination as required under LOLER;
- working with the Head of Compliance and Assurance and the Head of Maintenance to ensure that the operational aspects and any remedial works associated with the inspection and examination service are managed effectively and addressed in a timely manner;
- ensuring that any information and reports arising from inspections and examinations, under their direction or control, is retained and communicated to relevant stakeholders (currently this information is made accessible through the online system provided as part of the insurance and examination service);
- reporting back to the Director of Operations, Director of Health and Safety, and Head of Compliance and Assurance any defects discovered or notified to them that have been/will be reported to the HSE or result in a time dependent repair or prohibition.

The Insurance Services Manager shall be supported by the Contract Supervisor for Lifting Equipment Examination in managing the operational aspects of the examination services for lifting equipment (see 3.12).

3.11 Duties of the Head of Compliance and Assurance (Estates)

The Head of Compliance and Assurance is responsible for:

- ensuring that spot checks and planned audits are carried out to provide assurance that activities relating to lifting equipment installation, management, maintenance, and examination are being performed in compliance with the Policy and arrangements. Thus providing a 'second line of defence' for assurance, as illustrated in Appendix B;
- ensuring that there are sufficient, suitably trained and competent staff to carry out such assurance tasks;
- Appointing a Contract Supervisor for Lifting Equipment Examination to manage the day to day operational aspects of the inspection and examination services for lifting equipment, as contracted by Procurement and Insurance Services Department (see Chapter 3.12);
- reporting back to the Responsible Person and Director of Operations any non-compliance discovered or notified to them.

3.12 Duties of the Contract Supervisor for Lifting Equipment Examination (Estates Compliance and Assurance)

The Contract Supervisor for Lifting Equipment Examination, supported by the involvement of technical personnel, as necessary, is responsible for the operational aspects of the inspection and examination services for lifting equipment, as contracted by Procurement and Insurance Services Department, including:

- ensuring that any contractor required to undertake examination of lifting equipment has sufficient competence to safely complete the task, and that any relevant arrangements have been made to mitigate risks to safety;
- ensuring that the external contractor(s) providing thorough examination services for lifting equipment is delivering the required level of service, including notification of the examination results and delivery of documentation in a timely manner;
- ensuring that any information and reports arising from inspections and examinations, under their direction or control, is made accessible to all of the Departmental Point of Contacts for Lifting

Equipment (currently this information is made accessible through the online system provided as part of the insurance and examination service);

- working with the appointed contractor and with the Departmental Point of Contact(s) for Lifting Equipment to help facilitate examination and remedial works related to lifting equipment (see Appendix F for an overview of the process flow for thorough examination);
- reporting back to the Head of Compliance and Assurance any non-compliance discovered or notified to them.

3.13 Duties of the Head of Estates Information and Systems

The Head of Estates Information and Systems is responsible for:

- maintaining the asset register of lifting equipment, as notified to Estates;
- retention of the install and initial commissioning documents received by Estates, in relation to lifting equipment;
- retention of the examination documents received by Estates, in relation to lifting equipment;
- making these documents and information available to those stakeholders requiring access to such as part of the responsibilities allocated herein.

These documents and information shall be retained in accordance with the relevant legislation and the University Records Retention Schedule (Ref. 9)

For more information on documentation and record keeping, see Chapter 4.7.

Appendix D provides an overview of the asset recording process to be used at the University.

3.14 Duties of Heads of School/Department

Heads of Schools/Departments, supported by their respective managers and personnel, are responsible for:

- ensuring local implementation of the Lifting Operations and Lifting Equipment Policy, this Code of Practice and the associated arrangements, instructions and guidance, in areas under their control;
- ensuring that departmental procedures (SOPs, work instructions, local emergency procedures) are created and communicated, detailing how an activity or process using lifting equipment within that department is to be carried out, managed and monitored;
- identifying the department's Point of Contact(s), to act as the primary interface(s) to Estates and users with regards to lifting equipment (see Chapter 3.16);
- ensuring the production and review of suitable and sufficient risk assessments for activities involving lifting equipment under their control;
- ensuring the identification, implementation and monitoring of control measures concerning risks from lifting equipment under their control;
- ensuring that local arrangements are put in place for the examination, inspection and maintenance of any specialist departmental lifting apparatus not covered under the University's framework contract for examination or maintained by Estates.
- ensuring that departmental assurance checks are carried out at agreed intervals, documented and made available to the Director of Health and Safety and the Director of Estates or their nominated deputies;
- ensuring that they have visibility of reports relating to thorough examination, preventative maintenance and remedial maintenance of lifting equipment in the areas under their control;
- ensuring the escalation of any non-compliance reported to them, to the Responsible Person.

3.15 Duties of Technical Service Managers / Facilities Managers

Technical Service Managers and Facilities Managers within Schools/Departments, supported by their respective managers, staff and Building Managers, are responsible for:

- ensuring that any person under their control required to undertake work on lifting equipment has sufficient competence to safely complete the task, and that any relevant arrangements have been made to mitigate risks to safety;
- cooperating with arrangements for maintenance, examination and remedial works, providing local technical and facilities support, as required;
- ensuring that departmental checks are carried out to provide assurance that activities relating to lifting equipment maintenance and examination are being performed in compliance with the Policy and arrangements. Thus providing a 'first line of defence' for assurance, as illustrated in Appendix B;
- escalating any non-compliance discovered or reported to them, to the Head of School/Department and to the Director of Operations, as appropriate.

In many departments the Technical Service Manager/Facility Manager will also assume the responsibilities of the Point of Contact for Lifting Equipment (see Chapter 3.16).

3.16 Duties of Point of Contact for Lifting Equipment (School/Department)

Departmental Point of Contact(s) for Lifting Equipment are responsible for:

- validating that all lifting equipment used within their department or facility are asset tagged and included in the register of items maintained/inspected through Estates;
- working with Estates Maintenance, the Contract Supervisor for Lifting Equipment Maintenance and the Contract Supervisor for Lifting Equipment Examination and the appointed contractor(s) to locally timetable and facilitate maintenance/inspection visits, examination and remedial works related to lifting equipment;
- ensuring that any departmental lifting equipment, notified to them as having a defect that poses (or could pose) a risk of injury, is marked as unfit and taken out of use, until remedied;
- monitoring, and escalating to Estates Maintenance, the Estates Contract Supervisor, or Technical Service Manager/Facility Manager as necessary, reports of defects, failure or issues with regards to lifting equipment.

3.17 Duties of Principal Investigators / Supervisors

Principal Investigators (PIs) and Supervisors of staff and students using lifting equipment or performing lifting operations are responsible for:

- providing all required information, instruction, training and supervision to users, in relation to the correct selection, operation and user checks of any lifting equipment under their control;
- ensuring that all lifting operations are planned, undertaken and/or supervised only by 'competent persons' (often referred to as an 'appointed person', as per LOLER and associated guidance);
- maintaining records of all training and ensuring only those trained are authorised to use the lifting equipment;
- ensuring that work involving lifting operations is planned and risk assessed, and that the identified control measures adequately cover the risk of unintentional release of the load and/or failure of lifting equipment;
- ensuring lifting equipment is used in accordance with the user manual/operating instructions and within design parameters;

- monitoring the operation of lifting equipment to ensure it is being checked and operated by users in accordance with instructions, providing a 'first line of defence' for assurance, as illustrated in Appendix B;
- ensuring that, for new lifting equipment not acquired or installed through Estates Capital Programmes, the Technical Lead and H&S Lead (or other competent persons, as appropriate) are consulted before purchase and that sufficient information is supplied to determine the correct specification of lifting equipment (see also Chapter 4.3, System Specification, Design and Procurement);
- ensuring that the Technical Lead and H&S Lead (or other competent persons, as appropriate) are consulted regarding any proposed modifications to existing lifting equipment before any changes are made;
- ensuring that all lifting equipment under their control is asset tagged and added to the register of items to be inspected, including the provision of the related asset information and documentation, by the completion of the Statutory Testing Report Form (Ref. 8);
- cooperating with arrangements for maintenance, examination and remedial works and making available any lifting equipment requiring such;
- providing information about the type of work and risks from the lifting equipment or its load to Estates upon request, when designing new systems or prior to Estates maintenance staff, contractors or engineering inspectors working on the equipment;
- ensuring that any lifting equipment is taken out of use immediately following notification of an examination failure, or notification of a fault/condition that could give rise to danger;
- notifying the departmental Point of Contact for Lifting Equipment of any defect or failure of lifting equipment under their control;
- seeking further information and advice as necessary, from the Technical Lead, H&S Lead, competent personnel or consultants, before working with lifting equipment.

3.18 Duties of Lifting Equipment Users

Staff and students that carry out lifting operations and use lifting equipment are responsible for:

- ensuring that the use of lifting equipment and carrying out lifting operations is only undertaken following the provision of adequate information, instruction and training;
- ensuring that the risk assessment includes the risk of unintentional release of the load and/or failure of the lifting equipment, and that the identified control measures are implemented;
- maintaining a safe working environment whilst working with lifting equipment;
- undertaking any pre-use checks of the lifting equipment that may be required;
- reporting any defect or failure associated with their lifting equipment, without delay, to their PI/supervisor and the Point of Contact for Lifting Equipment, ensuring that the fault is logged via the Estates Service Desk where appropriate (see Appendix E);
- following the operating procedures, including any local emergency procedures in the event of a failure of the lifting equipment;
- using the lifting equipment only for its intended purpose and within the specified safe working load;
- leaving the lifting equipment and the load in a safe condition when not in use or unattended.

Further information for users is available on the University's Health and Safety web pages (Ref. 1).

4 Requirements for Lifting Equipment

There are significant requirements surrounding lifting operations and lifting equipment to ensure safety and compliance. This section details the specific requirements that shall be met.

4.1 Risk Assessment

An initial risk assessment should be undertaken to identify the risks of the proposed lifting operation and to assist with the selection of lifting equipment to eliminate or reduce risks, proportionate to the magnitude of risk.

4.2 Planning the Lifting Operation

The lifting operation must be properly planned by a competent person (often referred to as an 'appointed person', as per LOLER and associated guidance). The amount of planning will vary, depending the complexity of the lifting operation and the type of lifting equipment to be used.

This planning must ensure that the selected lifting equipment is suitable for the range of tasks that it will have to carry out, the environment in which it will be used, who is to take part in the lifting operation and their competencies.

4.3 Lifting Equipment Specification, Design and Procurement

The specification of lifting equipment, including those outside of capital projects (e.g. portable systems, or those which are contained in a single piece of apparatus) shall follow the guidance set out in PUWER ACOP L22 (Ref. 6) and LOLER ACOP L113 (Ref. 3), which detail the requirements for purchasing work equipment and lifting equipment. In summary, when selecting lifting equipment departments need to:

1. ensure that lifting equipment is suitable by design, construction or adaptation for the work it is intended to do;
2. consider the working conditions and the risks to the health and safety of persons in the location in which the lifting operation is to be carried out and any additional risk posed by the use of that lifting equipment;
3. ensure that lifting equipment is used only for operations for which, and under conditions for which, it is suitable;
4. ensure lifting equipment is of adequate strength and stability for each load, having regard in particular to the stress induced at its mounting or fixing point;
5. ensure every part of a load and anything attached to it and used in lifting it is of adequate strength.

Where lifting equipment requires any element of design, prior to installation, it shall be specified in relation to the risk assessment for the specific lifting activities for which it is intended to be used, wherever possible.

If departments need assistance in developing the specification they should seek advice from the H&S Lead, Technical Lead, or other competent person to help in the selection of the right type of lifting equipment.

When procuring new lifting equipment the supplier shall be required to provide operating instructions for the equipment including how to use, check and maintain it, and, where relevant, for the control of the whole system including emergencies.

When hiring or leasing lifting equipment, the hiring/leasing department must still ensure the suitability of the lifting equipment and that it is safe to use. Arrangements must be put in place to ensure that the equipment is thoroughly examined at the appropriate intervals and there is a mechanism in place for defects to be reported and remedied.

New lifts and most lifting equipment must have been subject to conformity assessment and be appropriately CE or UKCA (UK Conformity Assessed) marked and accompanied by the Declaration of Conformity (DoC). The procuring department must ensure that new equipment conforms to the appropriate standards and regulations.

4.4 Pre-Use Checks

Pre-use checks on the lifting equipment must be carried out by the user before the lifting equipment is operated. The aim of such checks is to pick up faults due to wear and tear or malfunction of safety-related equipment between inspections. A trained operator or other person carrying out the checks should be able to identify damage or excessive wear to lifting ropes and accessories, distortions to shackles, structural defects, leaks, and other obvious faults which could affect the safe operation of the lifting equipment or accessories. If any defects are found, the user should report the defect to their supervisor (or if competent to do so, take action to rectify it).

4.5 Maintenance

Where maintenance requirements exist (equipment inspection, testing of safety devices, lubrication of moving parts, replacement of fluids or seals, etc.), these shall be undertaken in line with the manufacturer's prescribed intervals. If no such documentation exists, a risk based approach will be undertaken to define the periodicity of such works, informed by the Technical Lead or other competent person, as necessary.

Maintenance may require isolation of building services, control of access to spaces, or similar measures whilst the maintenance work is completed. Where this is the case, adequate arrangements shall be made with the Departmental Point of Contact for Lifting Equipment in order to plan the work and minimise disruption to departmental activities.

Maintenance tasks shall only be undertaken by personnel or contractors who demonstrate the required level of competence to undertake those tasks in a safe manner and to the required standard of workmanship.

Risk assessments for maintenance tasks shall be reviewed in cooperation with departmental staff, to ensure that information relating to the lifting operation, lifting equipment and work environment is incorporated, in addition to the hazards and controls arising from the task itself.

Departments must allow appropriate access when required to carry out maintenance activities; this should be facilitated through the Departmental Point of Contact for Lifting Equipment, having received prior notification, whenever possible.

Where departments carry out or organise maintenance tasks, a record must be kept locally and a copy made available to Estates.

4.6 Thorough Examination

All lifts and lifting equipment must have a thorough examination, by a competent, independent person, before first use and at intervals applicable to that asset.

The periods between routine thorough examinations are:

- Every 6 months for passenger lifts and other lifting equipment which lifts persons;
- Every 6 months for lifting accessories;
- Every 12 months for cranes and all other lifting equipment.

The above periods specified in LOLER (ref. 2) may be varied if the competent person considers it appropriate. In this case, an examination scheme must be prepared with regard to the equipment's assessed risk.

For new lifting equipment, the Declaration of Conformity (DoC) may avoid the need for an initial thorough examination before first use in those cases where the safety of that equipment does not depend on the conditions of its installation or assembly.

A thorough examination is also required following any significant change which may affect the safe operation of the lifting equipment. These changes include (but not limited to) involvement in an accident, component failure, overloading, substantial modification, repair, a significant change in conditions or long periods out of use.

Insurance Services department and Estates department contract with third-party organisations who carry out the examinations for the majority of lifting equipment for the University. However, for some specialist lifting apparatus, the framework contractor may not be able to provide the requisite support and in these cases it is the responsibility of the using department to ensure the equipment is examined at the appropriate intervals.

For lifting equipment that is hired or leased, the using department must ensure that the necessary thorough examinations are completed. Such thorough examinations should be arranged by the user or hire/leasing company through agreement.

Further information relating to the thorough examination of lifting equipment can be found in the HSE guide, INDG422 (ref. 7):

Departments must register all lifting equipment under their control for examination, by completing the Statutory Testing Report Form (Ref. 8).

Departments must appoint Point of Contact(s) for Lifting Equipment to work with the Estates Contract Supervisor and the appointed contractor to locally timetable and facilitate the examination and remedial works.

The competent person undertaking the examination shall provide a report of the examination (including any remedial actions required) to the Contract Supervisor for Lifting Equipment, either directly or through electronic means. They may also update the information on the asset (e.g. a 'pass' label, colour coded tie wrap, or similar indicator) to indicate the examination result.

Any lifting equipment that is found to be defective during examination must be clearly identified and the local Departmental Point of Contact informed, prior to the competent person leaving that area. Such repairs as required for continued safe operation must be undertaken before the equipment is brought back into use.

Where the latest date for the next examination has passed, the lifting equipment shall be taken out of use until satisfactory examination has been achieved.

Appendix F provides an overview of the thorough examination process to be used at the University.

4.7 Documentation and Record Keeping

New lifting equipment should be accompanied by instructions in English and, where appropriate, a Declaration of Conformity (DoC).

Documentary requirements may include relevant commissioning and initial examination/test results, system drawings, specifications such as Safe Work Load (SWL), manufacturer's literature and component data.

Records of examination and maintenance must be stored securely and made available to those stakeholders requiring access to them. These records should be retained in accordance with the University Records Retention Schedule (Ref. 9), and in any case in accordance with the legislation:

- Thorough examination reports of first use or new installation (other than for lifting accessories): for so long as the equipment is kept, or is in newly installed location;
- Routine thorough examinations reports of all lifting equipment: for at least 2 years, or until the next report, whichever is longer;
- Written examination schemes: as appropriate;
- Declarations of Conformity: for so long as the equipment is kept.

Asset information, as provided by departments to Estates, will be held by the Head of Estates Information and Systems (see Chapter 3.9) and made available within QuEMIS³.

³ 'QuEMIS' is the University of Warwick's online asset and maintenance recording system. The system generates planned and reactive maintenance tasks.

Where thorough examination is carried out by an external contractor, those records must be made accessible to the University.

Records of all staff and student training on lifting equipment and lifting operations shall be recorded and retained in accordance with the University Records Retention Schedule (Ref. 9).

5 Operational Use

The use of any lifting equipment, including lifting accessories, must comply with LOLER (Ref. 2).

A suitable and sufficient risk assessment and lifting plan must be put in place (see chapter 4.1 and 4.2) before any lifting operations start.

The responsible department must ensure that lifting equipment is operated only by persons trained to do so, and in line with the requirements and limitations of that equipment and the associated accessories, e.g. significantly within the specified Safe Working Load (SWL).

Use of lifts and lifting equipment should only commence following any required pre-use checks (see Chapter 4.4) and an assessment that the system is safe and operating correctly.

Lifts and lifting equipment should only be used for their intended purpose. In particular, people should only be raised on work equipment that is specifically designed for that purpose.

As far as reasonably practical, lifting equipment must be left in a safe condition and 'locked off' when not in use.

Where there is a failure of lifting equipment, an adverse incident, a significant change in the process, or other factors that could affect safe operation, the use of that equipment shall cease and a notice displayed to inform potential users. The equipment shall not be brought back into use until any relevant investigation, maintenance or inspection has been completed and the system declared suitable for use, by a competent person.

Appendix E provides an overview of the user checks and fault reporting process to be used at the University.

6 References

1. University of Warwick Lifting Operations and Lifting Equipment Policy and associated instructions and guidance:
https://warwick.ac.uk/services/healthsafetywellbeing/guidance/lifting_equipment
2. Lifting Operations and Lifting Equipment Regulations 1998 (LOLER):
<https://www.legislation.gov.uk/ukxi/1998/2307/contents/made>
3. Lifting Operations and Lifting Equipment Regulations 1998. Approved Code of Practice (ACOP L113):
<https://www.hse.gov.uk/pubns/books/l113.htm>
4. Lifting equipment at work: A brief guide to the law, INDG290:
<https://www.hse.gov.uk/pubns/indg290.pdf>
5. Provision and Use of Work Equipment Regulations 1998 (PUWER):
<https://www.legislation.gov.uk/ukxi/1998/2306/contents/made>
6. Provision and Use of Work Equipment Regulations 1998. Approved Code of Practice and guidance (ACOP L22):
<https://www.hse.gov.uk/pubns/books/l22.htm>
7. Thorough examination of lifting equipment A simple guide for employers, INDG422:
<https://www.hse.gov.uk/pubns/indg422.pdf>
8. Statutory Testing Report Form:
https://warwick.ac.uk/services/healthsafetywellbeing/guidance/statest/crimson/plant_equipment_statutory_testing/
9. University Records Retention Schedule:
<https://warwick.ac.uk/services/sim/guidance/recordsmanagement>

7 Document Control

Document Control			
Version Number	Date issued	Author	Update information
v1	25/03/2021	John Brandist	Initial version of document
v1.1	15/07/2021	John Brandist	Subject Matter Expert role renamed as Health and Safety Lead. New role and duties of Estates Technical Lead for Lifting Operations and Lifting Equipment added. Other minor edits to address comments received.
Owner: John Phillips, Director of Health & Safety			Authorised By: John Phillips, Director of Health & Safety
Source Location: M:\SF\OCH 2006\Management System\02 Develop and Implement Controls\04 SOPs and COPs(B5)\13 Lifting Equipment			Approval Date: 15/07/2021
Published Location: Web Page			Review date: March 2022



Appendix A – Responsibility Grid for Lifting Equipment

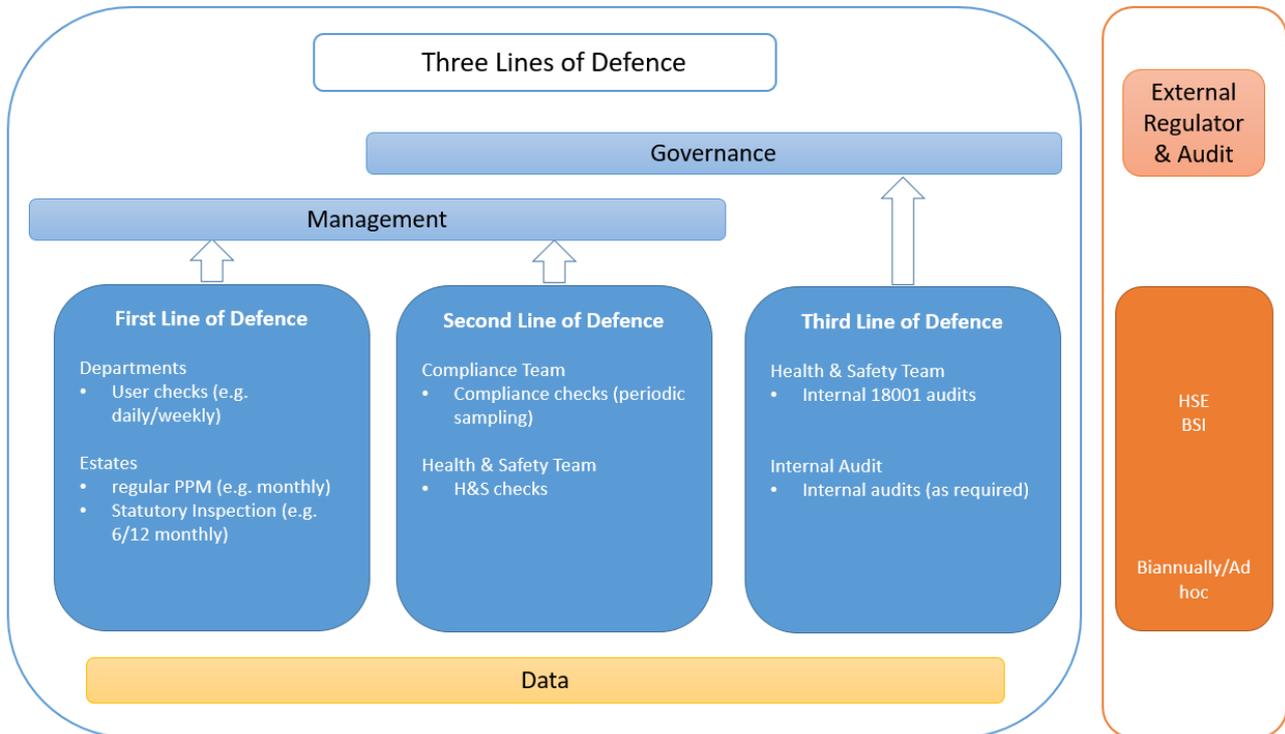
Roles and Responsibilities - Statutory Inspections & Compliance (Future State)

Statutory Area	Corporate Approach	ACCOUNTABLE	RESPONSIBLE			TASK	SUPPORT			INFORM	ASSURANCE		
		Accountable	Responsible	Delegated Responsibility	Delegated Responsibility	As Detailed in the CoP	Department Point of Contact	Estates Technical Lead	Health and Safety Lead	Inform	First Line	Second Line	Third Line
Lifts and Lifting Equipment (Fixed)	Yes	Group Finance Director	Director of Estates	Operations Director Estates	Head of Maintenance	Detailed in the CoP	Technical Services / Facilities Management / Building Manager	Maintenance Manager, Electrical Services	Senior Adviser, Health and Safety Services	Technical Services Manager / Facilities Manager / Building Manager / Users	PI/Supervisor (user checks) Technical Services Manager / Facilities Manager / Building Manager (planned and remedial maintenance)	Estates Compliance and Assurance Health & Safety Officers	Health and Safety Services Internal Audit (Governance)
Lifts and Lifting Equipment (Non Fixed, Academic)	Yes	Group Finance Director	Director of Estates	Operations Director Estates	Head of Maintenance	Detailed in the CoP	Technical Services	Maintenance Manager, Electrical Services	Senior Adviser, Health and Safety Services	Technical Services Manager / Users	PI/Supervisor (user checks) Technical Services Manager (planned and remedial maintenance)	Departmental Assurance/Compliance Health & Safety Officers	Health and Safety Services Internal Audit (Governance)

Corporate Approach where arrangements for statutory inspection and compliance are centrally managed by Estates.

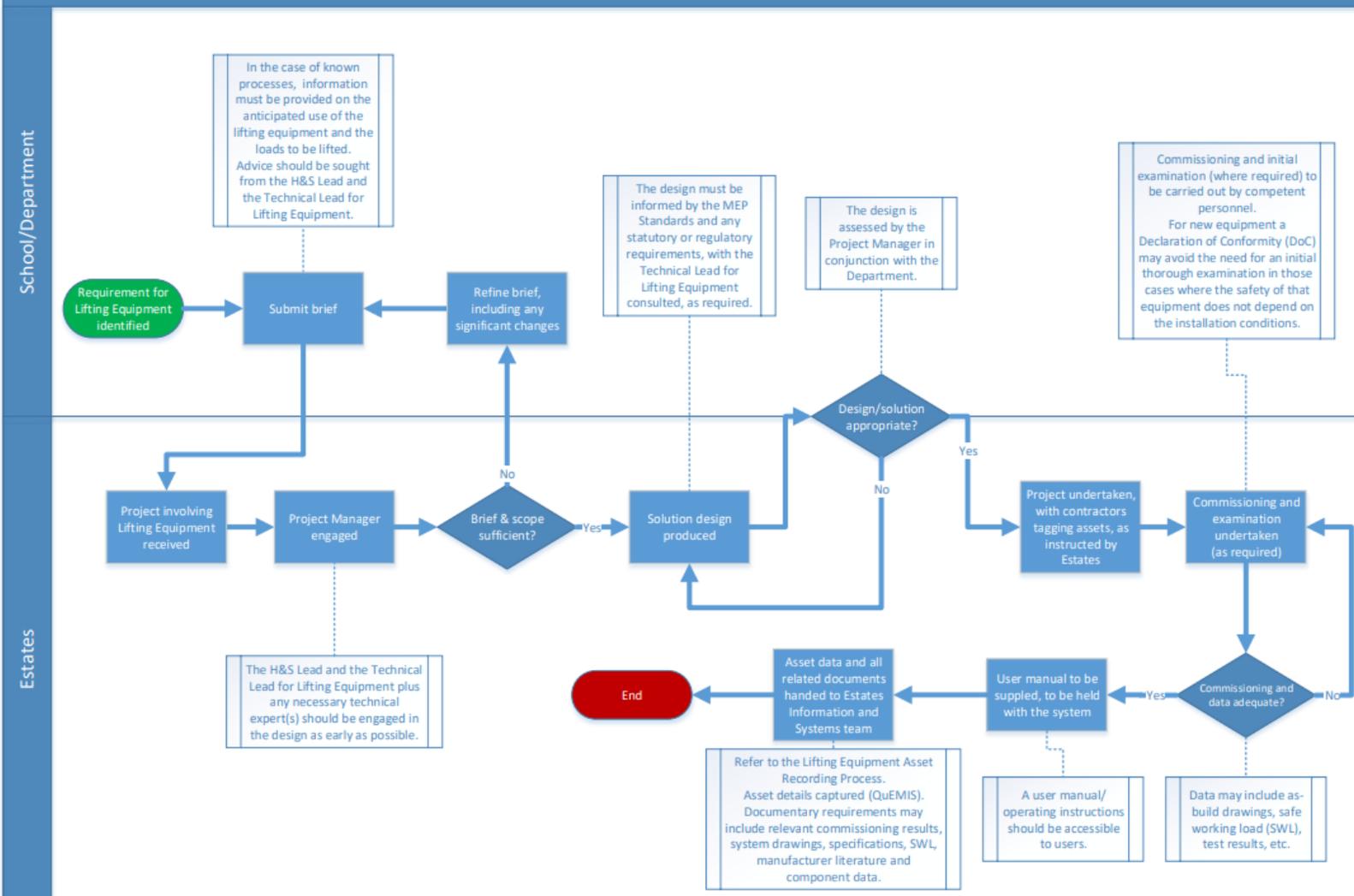
- R = Responsible who is in charge of recommending what work is done and making sure it happens.
- A = Accountable who has final decision power on the work.
- T= Task who actually does the work (or arranges for it to be done).
- S = Support who is involved to provide support to the work.
- I = Informed who is informed that the work has been done (or will be started).
- A = Assurance who is checking that the work is done and procedures are followed.

Appendix B – Assurance: Three Lines of Defence



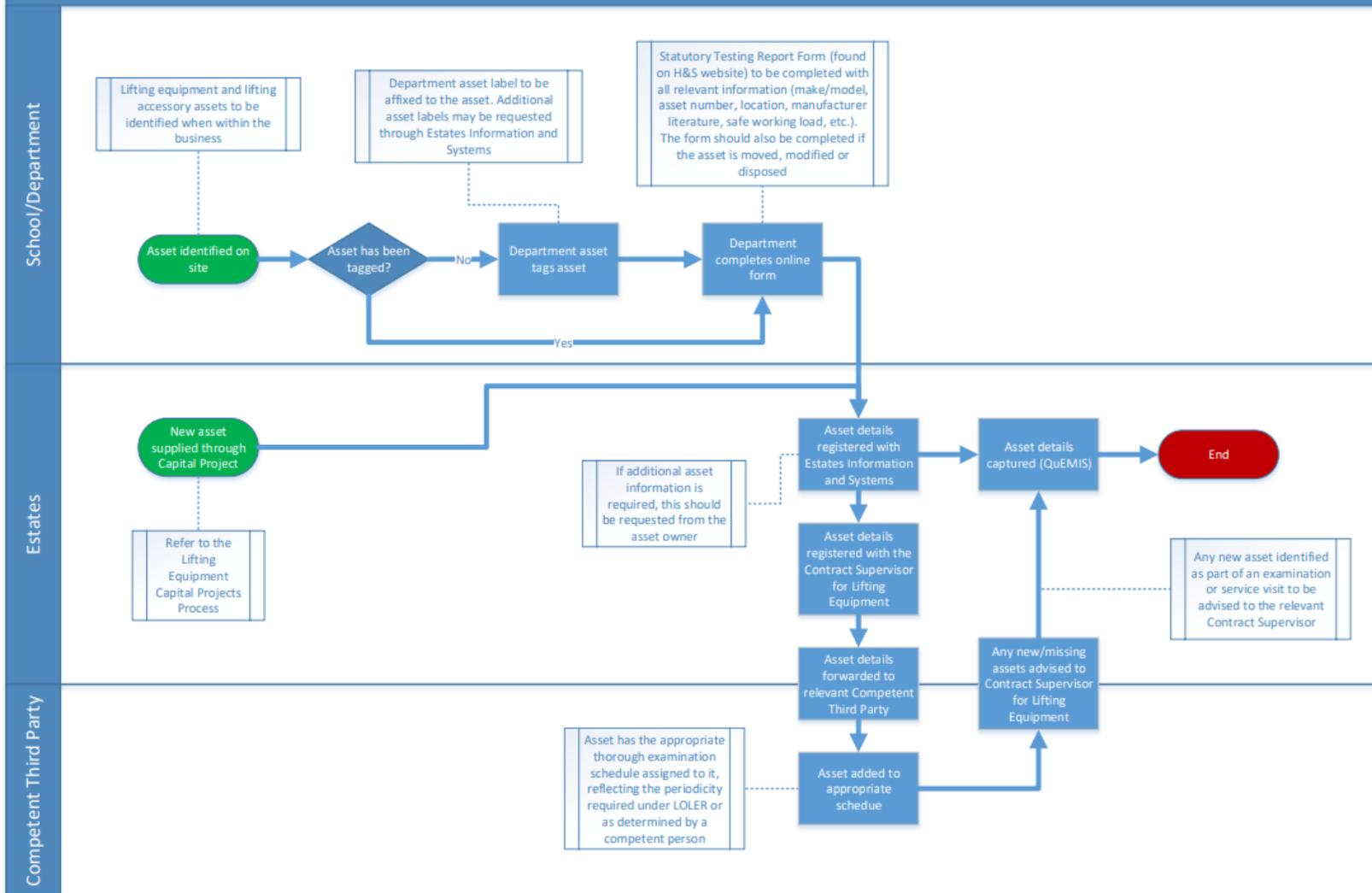
Appendix C – Lifting Equipment Capital Projects Process Overview

Lifting Equipment Capital Projects Process Overview



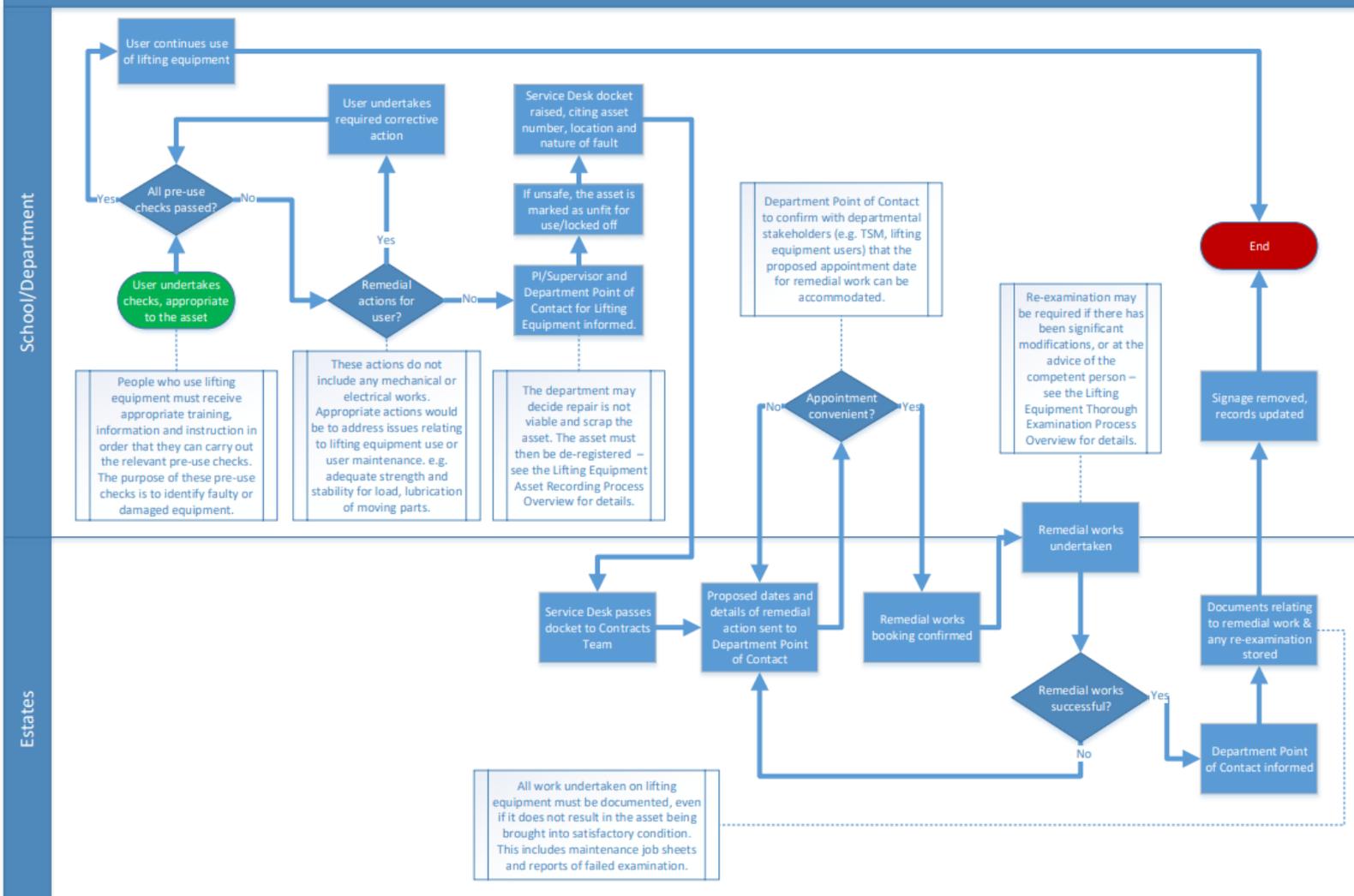
Appendix D – Lifting Equipment Asset Recording Process Overview

Lifting Equipment Asset Recording – Process Overview



Appendix E – Lifting Equipment User Checks and Fault Reporting Process Overview

Lifting Equipment User Checks & Fault Reporting



Appendix F – Lifting Equipment Thorough Examination Process Overview

