

Lifting Equipment and Lifting Operations: Safe Examination, Maintenance, and Planning.

Queen Mary University of London Health and Safety Policy

(Ref: QMHSD_HS_PCY032)

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1.0 Executive Summary

1.1 Lifting equipment includes cranes, lifts, associated chains and hooks. Lifting operations are generally associated with mobile lifting systems e.g., cranes. Lifting equipment has explicit legal requirements which include examination by a competent person. This is usually our insurance company appointed engineers. Lifting operations are carried out by competent individuals, (usually third parties), although the University does conduct some higher hazard lifting operations, particularly within the science schools.

1.2 Equipment that is required to be subject to this examination cannot be used unless a valid certificate is in place.

2.0 Introduction

2.1 This policy will focus on four areas.

2.1.1 Lifting equipment as defined by the Regulations. This includes, but is not limited to, lifts, cranes, lorry mounted cranes, lifting accessories e.g., chains, shackles, and hooks, etc. Some theatre equipment such as equipment to raise and lower lighting rigs are also included. These are subject to an examination by the insurance engineer.

2.1.2 Equipment that does not fall within the technical definition as defined by the Regulations but where a similar examination approach is generally considered appropriate. Typically, systems designed to prevent someone falling such as roof mounted running lines which a user attaches to for fall prevention.

2.1.3 The Regulations deal with planning lifts. These are multi-hazard activities, and it would be expected that the lifting-related risk would be managed as part of the overall set of hazards associated with these operations. Most will be completed by competent external contractors, managed via our contractor management programme.

2.1.4 Lifting equipment brought to Queen Mary sites by third party contractors will be managed via the contractor management program to ensure these organisations are compliant while working on our sites.

3.0 Purpose

3.1 The policy details how the University will ensure lifting equipment, and similar equipment, and lifting operations is managed in line with the Regulations. This includes the explicit requirement to ensure lifting equipment under the direct or indirect control of the University, is operated, maintained, and examined in line with the specific Regulations.

4.0 Scope

4.1 The application and limits of the policy are defined in this section.

4.2 The policy applies to all University staff, researchers and others who operate or have responsibility for University lifting equipment and operations.

4.3 The policy does not apply to systems operated outside of the UK; or to systems owned and operated on third party sites.

4.4 Equipment operated on Queen Mary sites but operated by third parties e.g., contractors will not be subject to this policy but will be subject to monitoring as part of the overall monitoring across Queen Mary sites.

5.0 Legislation

5.1 The Lifting Operations and Lifting Equipment Regulations 1998 (LOLER).

6.0 Terms and Definitions

6.1 Terms and definitions related to the Regulations and related regulatory requirements.

6.1.1 Lifting equipment. Means work equipment for lifting or lowering loads and includes its attachments used for anchoring, fixing, or supporting it.

6.1.2 Lifting operation. Means an operation concerned with the lifting or lowering of a load.

6.1.3 Examples of equipment and operations not covered by the Regulations include:

- Conveyor belt
- Winching a load where the load does not leave the ground
- Roller shutter doors
- Tipper trucks
- Eyebolts permanently fixed in the load (these form part of the load)
- Dentist chairs; and
- Fall arrest equipment, including eyebolts fastened to a structure to secure such fall arrest equipment, which are considered part of the fabric of the building.

6.1.4 Incidents that require reporting to the Health and Safety Executive (HSE). The collapse, overturning or failure of any load-bearing part of any lifting equipment, other than an accessory for lifting.

7.0 Roles and Responsibilities

7.1 Specific roles and responsibilities include:

7.2 Insurance Manager is responsible for managing the relationship and contract between the University and the insurance engineering company.

7.3 Estates and Facilities:

7.3.1 Overall lead contact between the insurance engineering company insurance and the University. This includes the on-site contact point for insurance engineers and providing appropriate site access permissions.

7.3.2 Purchased or modified equipment. No new equipment (which includes equipment installed by capital projects) or modified equipment should be used until subject to a thorough examination by the insurance engineer or confirmation that an examination is not required.

7.3.3 Complete and manage all examinations and maintenance on facilities related equipment such as lifts and plant room lifting beams. For high level equipment this will include an agreed method for safe working at height access. Organise for remedial work to be completed where required.

7.3.4 Liaise with schools for the insurance engineer to access school operated equipment e.g., use of local winches and ancillary equipment.

7.3.5 On notification of a major defect, or an item not having a current certificate of examination, the equipment must be taken out of use.

7.3.6 Monitor and report on overall compliance with the Regulations.

7.4 Schools and institutes:

7.4.1 Purchased or modified equipment. No new equipment or modified equipment should be used until subject to a thorough examination by the insurance engineer or confirmation that an examination is not required.

7.4.2 Prepare equipment and make equipment safely available. This includes liaising and organising for relevant service companies if there is a need to prepare equipment or to support the equipment examination. For high level equipment, this will include an agreed method for safe working at height access.

7.4.3 Safe use. Ensure equipment users are competent, aware of the hazards and their controls, and local procedures and processes, including how to sling loads to prevent them falling during lifting operations.

7.4.4 On notification of a major defect, or an item not having a current certificate of examination, the equipment must be taken out of use.

7.5 Insurance organisation and engineers

7.5.1 Maintain a full and current list of lifting equipment (and other items added to register e.g., fall arrest equipment) and lifting equipment requiring through examinations and make this information available.

7.5.2 Conduct thorough examinations in line with the required frequencies and issue reports, stored on the insurance company database. For urgent defects, notify the local contact so that the equipment is taken out of use.

7.6 Health and Safety Directorate:

7.6.1 Monitor and report upon compliance.

7.6.2 Provide information and guidance on legal requirements and compliance.

7.6.3 Support investigations of any incidents relating to lifting equipment and lifting operations.

7.6.4 To ensure any incident involving lifting equipment that needs to be reported to HSE is completed.

8.0 Policy / Operational Arrangements

8.1 The key activities related to the management of lifting equipment and lifting operations are:

8.1.1 Purchase, acquisition, or modification of any defined lifting equipment. These must either be examined by the insurance engineer before use, or it is confirmed they are exempt from this requirement. Modified systems, and systems imported directly from outside of the European Union (EU), can be subject to a complex approval process.

8.1.2 Completion of the examination. There are a range of issues that need to be considered as part this process including:

- Ensuring the status of the equipment for the specific examination is known, e.g., lifts will need to be removed from service for the duration of the examination.

- Liaising with competent contractors if needed to prepare equipment for testing and examination.
- Liaising with the insurance engineer to ensure any local restrictions or requirements are known e.g., safety glasses. Some works will require permits to work, and Queen Mary approval of safe systems of work.
- Coordinating with area users, and those impacted by system down time, to ensure no unassessed adverse impacts of taking the system out of use.
- Ensuring the area is safe to work in. Hazardous materials and processes should be made safe or removed from the area for the duration of the work.
- After work is complete, ensuring equipment is safe to return to normal service.
- Where equipment is unavailable for examination, it should be taken out of service if it does not have a valid examination certificate.

8.1.3 Serious defect found. The equipment must be taken out of use immediately, and so it cannot be inadvertently put back into use. All instructions must be followed before the equipment is returned to use, this may include, if instructed, a new examination of the equipment by the engineer. All these activities must be recorded, and with records retained.

8.1.4 Process and named roles to monitor, review and act on examination reports received from the insurance company. This includes:

- Maintaining an up-to-date list of contacts for the University as a whole, and specific buildings and areas.
- Monitoring items not available to ensure equipment is not used beyond its examination date, and the examination is rescheduled.
- Compliance is monitored and reported to the appropriate health and safety committees and compliance groups.
- Ensuring the data and certificates are held on an online data base operated by the insurance company. Access, and training if required, is granted to all relevant stakeholders.

8.1.5 Equipment removed from use on either a temporary or permanent basis.

8.1.5.1 The insurance manager and the insurance company should be advised of temporary removal from use (this must be safeguarded with an appropriate control e.g., padlocked power supply.) The equipment cannot re-enter service until the equipment is re-examined.

8.1.5.2 The insurance manager and the insurance company should be advised of permanent removal from use. The equipment will be removed from the database.

8.1.6 Safe management of lifting operations. Most lifting operations are conducted by, and managed by, competent third-party contractors. They are managed under the contractor management process. Queen Mary controlled lifting operations need to be subject to local risk assessments and lead to clear safe systems of work which deal with the required levels of supervision and competence required for the operations.

9.0 Further Information

9.1 Further information sources

9.1.1 [HSB Insurance examination services](#)

9.1.2 [HSE information on lifting equipment and operations; and the relevant legislation.](#)

10.0 Appendices

10.1 Appendix 1: Summary of The Lifting Operations and Lifting Equipment Regulations 1998

- Regulation 1- Citation and commencement
- Regulation 2 Interpretation. Terms defined include competent person, lifting equipment, lifting operations and thorough examination.
- Regulation 3 Application. Applies to UK universities.
- Regulation 4 Strength and stability. Relates to lifting equipment, for use of mobile equipment stability and strength becomes a bigger issue.
- Regulation 5 Lifting equipment for lifting persons. There are additional requirements for equipment to lift people.
- Regulation 6 Positioning and installation.
- Regulation 7 Marking of lifting equipment. Includes safe working load, marked by competent organization.
- Regulation 8 Organisation of lifting operations. This is applicable for mobile lifting operations e.g., use of cranes.
- Regulation 9 Thorough examination and inspection. Generally, 6 monthly for people carrying lifts; and lifting accessories e.g., chains and hooks. 12 monthly for most other items. Carried out by competent person e.g., insurance engineer. Excludes restraint devices e.g., cable attachments for lanyards, but many insurance companies will add these to the register.
- Regulation 10 Reports and defects. Insurer will issue reports and notify regulator of imminent danger.
- Regulation 11 Keeping of information. Held on accessible insurance online examination report database.
- Regulation 12 – 17 and Schedule 2 Exemptions and revocations/ repeals of existing legislation e.g., Factories Act 1961 for the armed forces
- Schedule 1 Information to be contained in a report of a thorough examination.

Document Control

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Date of issue: 30/01/2025	Date of next scheduled review: 30/01/2028

Date of alteration and re-issue	Details of changes	Changes made by (Name and position)	Approved by (Name and position)