

Lift Safety Policy



Reference: HS_POL_ASM_LS_1.0

Author: Compliance Manager

Scope: Housing Solutions Properties/Staff and Contractors and Residents

Approved by: Executive Team

Legislation: Health and Safety at Work Act 1974
Lifting Operation and Lifting Equipment Regulations 1998 (LOLER)
Approved Code of Practice (ACOP) L113 Safe use of lifting equipment: Lifting Operations and Lifting Equipment Regulations 1998 (2nd edition 2014, with amendments 2018)
INDG422 - Thorough examination of lifting equipment: A simple guide for employers (2008).
INDG339 - Thorough examination and testing of lifts: Simple guidance for lift owners (2008)
Provision and Use of Work Equipment Regulations 1998 (PUWER)
The Management of Health and Safety at Work Regulations 1999
Construction (Design and Management) Regulations 2015 (CDM)
The Equality Act 2010
Part M of the Building Regulations 2004
Electricity at Work Regulations 1989
Workplace (Health, Safety and Welfare) Regulations 1992
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
Lift regulations 2016
Occupiers Liability Act 1984
Occupiers Liability Act 1957
BS 7255: 2012 Code of Practice for Safe Working on Lifts

Date of approval: 21st July 2022

Regulatory/Governance: Regulator of Social Housing Home Standard

Date of next review: 3 years

Related Policies: Health and Safety Policy
Repairs & Maintenance Policy
Planned Maintenance Investment Policy

1. Policy Statement

- 1.1. This policy provides guidance on the methods by which Housing Solutions will manage lift safety. The policy covers the premises they manage or properties they have reasonable control of.
- 1.2. Housing Solutions owns and manages buildings that have passenger lifts in them. In addition to these, the ageing population in the UK means that an increasing number of domestic homes are now being adapted with living aids such as stair lifts and hoists to enable residents to continue to live independently.

2. Scope

- 2.1. Housing Solutions must establish a policy which meets the requirements of the Health and Safety at Work Act 1974. In addition to this, the policy provides assurance that Housing Solutions meet both the requirements of the Health and Safety at Work Act 1974 and that measures are in place to ensure compliance with the Lifting Operation and Lifting Equipment Regulations 1998 (LOLER). It also identifies, manages and/or mitigates risks associated with passenger lifts, stair lifts and hoists. Housing Solutions compliance with lift safety legislation is formally reported at both Executive and Board level, including the details of any non-compliance, and planned corrective actions. The scope of this policy is applicable to both non-domestic and domestic buildings managed and maintained by the Housing Solutions.

The following buildings are deemed to be non-domestic premises.

Non-Domestic Premises
Housing Solutions offices & administrative buildings Registered care homes Sheltered Housing - communal facilities Supported Living Properties Common parts of multi-let buildings Void properties currently undergoing works

The following buildings are deemed to be domestic premises

Domestic Premises
House Bungalow Flat Maisonette

3. Roles and Responsibilities

3.1 An overview of roles and responsibilities can be found below.

Role/Team	Responsibilities
Board	Strategically supports the organisation in the application of this policy.
Group Chief Executive	Overall responsibility to the Board for the control of Housing Solutions policies
Director of Property and Development	<p>Responsible for ensuring that the Chief Executive and Executive Team are kept informed of:</p> <ul style="list-style-type: none"> • The resources needed to implement this policy • The implementation of this policy and procedures • Immediately informing of any incidents that may lead to enforcement action, criminal prosecution, civil action or may affect the reputation of Housing Solutions
Head of Asset Management	Responsible for ensuring the policy is fully implemented and ensuring that all persons are provided with the necessary information, instruction, and training to fulfil their roles and responsibilities under this policy and related procedures.
Health & Safety and Fire Manager	Acting as the 'Responsible Person' to report Injuries, Diseases and Dangerous Occurrences (RIDDOR) to the Health and Safety Executive (HSE)
Compliance Manager	<p>Responsibility to the Head of Asset Management in ensuring that the policy is fully implemented and immediately informed regarding any issues* in implementing the policy and required resources/training.</p> <p>Responsible for ensuring technical, maintenance, property management staff and contractors have received adequate information, instruction, and training and that they comply fully with the policy and procedure and are working safely in accordance with the policy.</p> <p>Responsible for ensuring that routine monitoring and preventative and precautionary measures are undertaken in accordance with the policy and that appropriate actions are taken in the event of an emergency.</p> <p>Responsible for ensuring that immediate action is taken where staff/contractors are not working safely or complying with HS policy.</p> <p>To ensure that there is a nominated contractor who is capable of competently conducting:</p> <ul style="list-style-type: none"> - Through examinations under the requirements of LOLER - Preventive Maintenance visits <p>Ensure that all records are to be kept for five years from the date of the last entry and are available on demand for inspection by internal auditors.</p>

	Carry out a quarterly audit of sites on the list to ensure all sites are accounted for.
Property/Scheme (Home) Managers (Inc. Sheltered)/ Trade Supervisors/ Supported Team Leaders/Extra Care Housing Officers/ Sheltered Housing Officers	Responsible to the Head of Asset Management/ Compliance Manager for the Day-to-day implementation of the policy. The Property/Scheme Manager to ensure that routine monitoring, precautionary and preventative measures are undertaken in line with HS policy. Any issues* in the implementation of the policy are immediately reported to the Head of Asset Management/ Compliance Manager
<i>*Incidents that may affect the image or reputation of Housing Solutions, or may lead to enforcement action, criminal prosecution or civil action being taken against Housing Solutions</i>	

4. Definitions

- 4.1 **LOLER:** Lifting Operation and Lifting Equipment Regulations 1998
- 4.2 **PUWER:** Provision and Use of Work Equipment Regulations 1998
- 4.3 **ACOP:** Approved Code of Practice
- 4.4 **CDM:** Construction (Design and Management) Regulations 2015 (CDM)
- 4.5 **PUWER:** Provision and Use of Work Equipment Regulations 1998
- 4.6 **LEIA:** Lift and Escalator Industry Association

5. Legislation

5.1. Regulatory Standards

- 5.1.1. The application of this policy will ensure compliance with the Regulatory Framework and Consumer Standards (Home Standard) for Social Housing in England, which was introduced by the Regulator of Social Housing (RSH) in 2012.

5.2. Legislation

- 5.2.1. Health and Safety at Work Act 1974 Section 3

This may include employees of other organisations who undertake maintenance and other work on equipment - who will usually be at work and may even need to test and use the lifting equipment during their work. Therefore, businesses allowing the public to use lifting equipment, such as passenger lifts primarily intended for use by people not at work, should still be managing the risks from this equipment - and will generally need to be to the same stringent standards as required by LOLER and PUWER therefore Housing Solutions executes its responsibilities under the LOLER and PUWER regulations.

5.2.2 Lifting Operation and Lifting Equipment Regulations 1998 (LOLER)

Under the requirements of the LOLER, lifts must be subject to a thorough examination:

- on first installation*
- at least every six months if exposed to conditions likely to cause dangerous deterioration, or more frequently if deemed appropriate by the competent person examining and inspecting it
- at a reasonable frequency to detect any deterioration that could cause danger, as determined by a competent person
- if involved in an accident or dangerous occurrence
- after a significant reconfiguration or change in conditions of use
- after (or during) long periods out of use.

Under LOLER, lifting equipment may also need to be inspected at suitable intervals between thorough examinations. Determination of inspection requirements in terms of scope and frequency should be made by the competent person, based upon the risk assessment.

*in the case of lifting equipment for which an EC declaration of conformity could or (in the case of a declaration under the Lift Regulations 1997) should have been drawn up, the employer has received such declaration made not more than 12 months before the lift is put into service.

5.2.3 Provision and Use of Work Equipment Regulations 1998 (PUWER)

LOLER applies to the use of lifting equipment provided as work equipment and build on the requirements of the Provision and Use of Work Equipment Regulations 1998 (PUWER).

The HSE website states that passenger lifts and combined goods/passenger lifts in workplaces which are primarily used by people at work will be subject to the legislative regime.

Where passenger lifts are not used by people at work (eg in public areas of a shopping centre) but operated by or to some extent under the control of an employer or self-employed person in connection with their business, passenger lifts will be outside the regime.

The requirements of the Provision and Use of Work Equipment Regulations 1998 still apply.

The significant hazards faced by persons working on lifts or escalators include:

- contact or entrapment with moving/rotating machinery
- entrapment due to unexpected movement of lift/escalator
- falls from height, ie falling down lift shafts
- confined space working such as in lift wells, or machinery rooms
- electric shock through contact with live equipment
- manual handling (lifting/moving heavy equipment)
- lone working in isolated areas of a building.

For lifts and escalators (in accordance with the requirements of PUWER), the duty holder must take appropriate measures to prevent access to dangerous machinery. Access to the dangerous machinery in the equipment plant room must be prevented. In most cases, this can be achieved by keeping the door to the plant room locked, with suitable

notices displayed. Equipment in the plant room must be guarded to protect anyone working in the room and consideration should be given to the provision of insulating mats in front of electrical equipment.

5.2.4 Lift Regulations 2016

The Lifts Regulations 2016 cover the design, supply and installation of lifts and apply to most lifts and their safety components that are permanently mounted in buildings and are used to transport people, except those in the special circumstances mentioned in Schedule 4.

All lifting equipment must be clearly marked with its safe working load. Lifts intended for lifting people must be clearly marked as such. Any lifting equipment not intended for lifting people but which may be mistakenly used as such must also be clearly marked to this effect.

5.3 Approved Codes of Practice and Industry Guidance

5.3.1 Approved Code of Practice (ACOP) L113 Safe use of lifting equipment: Lifting Operations and Lifting Equipment

The criteria given in the Approved Code of Practice is that inspection will be required when the assessment has identified “a significant risk to the operator or other workers from the use of the lifting equipment”. Potential issues an inspection regime can detect are:

- rapid wear arising from use in an arduous environment
- failure through repeated operation
- malfunction
- tampering with safety devices.

HSE guidance notes that the competent person undertaking the thorough examinations should not be the same person who performs routine maintenance as they would be responsible for assessing their own work.

6. Procedure

- 6.1 Lift Safety is managed through thorough examinations, maintenance, and staff training. The Procedure is detailed in Appendix 2.

7. Equality & Diversity

- 7.1 Housing Solutions recognises the needs of a diverse population and always acts within the scope of its own Equality, Diversity & Inclusion Policy, and Equalities Act 2010. Housing Solutions works closely with its partners to ensure it has a clear understanding of its resident community with clear regularly updated service user profiles. Housing Solutions will record, analyse and monitor information on ethnicity, vulnerability, and disability.

8. Confidentiality

- 8.1 Under the Data Protection Act 2018, UK General Data Protection Regulation (UKGDPR), all personal and sensitive organisational information, however received, is treated as confidential. This includes:

- anything of a personal nature that is not a matter of public record about a resident, client, applicant, staff or board member
- sensitive organisational information.

8.2 Housing Solutions employees will ensure that they only involve other agencies and share information where there is a legal basis for processing the information.

9. Review

9.1 This policy will be reviewed on a 3 yearly basis or more frequently in response to changes in legislation, regulatory guidance, good practice or changes in other relevant Housing Solutions' policy.

10. Appendices

10.1. Appendix 1: Duty Holder

10.2. Appendix 2: Procedure

Appendix 1 – Duty Holder

Name	Role	Mobile	Email
Nick Williams	Compliance Manager	07584 235 574	Nick.Williams@housingsolutions.co.uk
British Engineering	LOLER thorough examination	0345 072 4387	Supportteam.servicedelivery@briteng.co.uk
Jackson Lifts	Maintenance Contractor	0208 293 4176	london@jacksonlifts.com

Appendix 2 - Procedure

1. Statement of Intent

- 1.1 HS acknowledges and accepts its responsibilities with regard to lift safety and the inspection and maintenance of lifts, stair lifts and hoists.
- 1.2 All lift, stair lift or hoist equipment in communal areas and within residents' homes is managed by HS.
- 1.3 HS will hold accurate records against each property it owns or manages identifying where there is a lift, stair lift or hoist together with the written examination scheme for each installation.
- 1.4 HS will appoint competent 'responsible persons' responsible for their operation, condition, and compliance with all relevant statutory requirements. This will include taking action (within the advised timescales) to remedy any faults or defects identified through routine inspections or insurer's thorough examinations.
- 1.5 HS will ensure that it meets all of its legal requirements in regard to lift safety operations via a combination of regular inspections, thorough examinations (in conjunction with the organisation's insurers) and periodic routine maintenance of all lifting equipment within properties it owns and manages.
- 1.6 HS will ensure that all lifts in properties it owns and manages will be fully accessible for disabled users (as per the requirements of the Disability Discrimination Act 2005, the Equality Act 2010 and to the specifications outlined in the Building Regulations 2010).
- 1.7 HS will, where reasonably practicable, ensure that all lifts and lifting equipment in properties and workplaces it owns and manages will be in full working order. Where the organisation becomes aware that lifts or lifting equipment are not operating as they should, repairs orders will be issued to remedy faults as quickly as possible.
- 1.8 HS will ensure that there are clear procedures in place and that these procedures are communicated to, and understood by, all relevant employees, for appropriate action in the event of any persons becoming trapped in lifts the organisation owns or manages. HS employees must not release any persons trapped in lifts as they are not competent to do so safely but may provide reassurance until such time as the relevant lift maintenance contractors and/or emergency services arrive, as appropriate. HS will have a service level agreement with lift maintenance service providers that ensures a response time of no longer than 1 hour in cases of entrapment. HS will ensure that all passenger lifts have an intercom fitted that dial directly to a dedicated call centre. In cases of entrapment call handlers will follow a scripted risk assessment to determine the medical condition of any persons that may be trapped. If there is an urgent concern for a persons' welfare the emergency services will be called and asked to attend immediately.
- 1.9 HS will ensure that all new lifting equipment that is used on sites it owns or manages, are issued with a Declaration of Conformity by the manufacturer or supplier to the competent person before it is commissioned into use. Although there is no legal obligation to complete this, HS will add this to the inspection schedule for a thorough examination in advance of the due date.

- 1.10 HS will ensure that only suitably competent consultants and engineers undertake works for the organisation in respect of lifts, stair lifts and hoists.
- 1.11 HS will ensure that a thorough examination is undertaken on all known aids and adaptations designed for lifting operations, including platform lifts, stair lifts and hoists, in properties it owns and manages. These checks will take place every six months if the lift is being used to carry people and every 12 months if only carrying loads. These checks may also take place more frequently if required to be in line with manufacturers' recommendations.
- 1.12 HS will respond and take remedial action for any defects to aids and adaptations designed for lifting operations identified during regular use, in line with the normal provisions for repairs and maintenance.
- 1.13 HS will ensure that robust processes and controls are in place to ensure that all remedial works identified through routine maintenance inspections and insurer's inspections are completed within a reasonable timescale commensurate with the risk identified.
- 1.14 HS will ensure robust processes and controls are in place to ensure that any health and safety incident with regard to lift safety is properly reported as required under RIDDOR. These include defects classed as 'immediately dangerous'.
- 1.15 HS will ensure that robust processes and controls are in place to manage works to both void and occupied properties that may affect existing lifts, stair lifts or hoists.
- 1.16 HS will have a robust process in place to gain access to properties where resident vulnerability issues are known or identified, whilst ensuring the organisation can gain timely access to any property to be compliant with this policy and safeguard the wellbeing of the resident.
- 1.17 HS will establish and maintain a plan of all continuous improvement activity undertaken in respect of lift safety.
- 1.18 HS will ensure that all contractors' employee and public liabilities are up to date on an annual basis.
- 1.19 HS will ensure contracts/service level agreements are in place with the contractors responsible for delivering the compliance service.
- 1.20 HS will ensure there are effective contract management arrangements in place, in the form of client-led meetings taking place regularly, with standard agendas and minutes produced.
- 1.21 HS will implement a robust process to deal with all changes to stock, including new property acquisitions, disposals, and stock transfers, to ensure that properties are not omitted from the compliance programme, and to ensure the programme remains up to-date.
- 1.22 HS will ensure that there is a robust process in place for the management of immediately dangerous situations identified during the lift safety check.
- 1.23 Where applicable, we will endeavor to work with management agents to obtain reports of through examinations of lifting equipment and ensure compliance with actions raised from these.

2. Nominated Competent Persons

- 2.1 HS will ensure that only suitably competent consultants and contractors registered members of the Lift and Escalator Industry Association (LEIA) or equivalent, are procured and appointed to undertake risk assessments, prepare written examination, and undertake works in respect of lifts, stair lifts and hoists.
- 2.2 HS will ensure a separate contractor is employed to undertake the routine maintenance and thorough examination.

3. Audit

- 3.1 The Lift Safety Management procedures will be audited as per the following table:

Audit Type	Frequency	Responsible Person
Property check*	Quarterly	Compliance Manager
External audit carried out by external auditors	Bi-annually	Operations Director

*To ensure that all properties that require a thorough examination are recorded on the master database with a date for re-inspection.

- 3.2 The Director for Property and Development must record the findings of an audit. The system should be amended to incorporate the findings of an audit.
- 3.3 The Compliance Manager is to ensure that proper records are maintained and available on demand for inspection by internal auditors.

4. Records

- 4.1 HS will maintain a core asset register of all properties that have a lift, stair lift or hoist and written examination scheme in place. This register will also hold data against each property asset of the type, of lift plant in place.
- 4.2 HS will establish and maintain accurate records of all written examination schemes and any associated remedial works completed and keep these for a period of not less than 5 years. Records should include the person or people responsible for conducting the inspection; any significant findings of inspections; the written examination scheme and its implementation; and the results of any inspection, test or check undertaken, together with the dates. This should include details about the state of operation and condition of the installation.
- 4.3 HS will establish and maintain accurate records of all inspections undertaken by their insurers, the findings of these inspections and records of completed remedial works were identified by insurer's inspections: including dates. These records will be held on the insurer's online portal.

- 4.4 HS will store the inspection and re-inspection dates for lift inspections in an Excel spreadsheet which forms HS' lift safety database, stored securely within HS' shared drive. All lifting equipment records will be stored electronically.
- 4.5 HS will ensure that records of all inspections and thorough examinations will be available to the Competent Person at all times and that hard copies of records can be produced, if required by the local enforcement authority.
- 4.6 HS will keep a record of any entrapment incidents and will use these to inform future revisions of Examination Schemes.
- 4.7 HS will ensure its contractors hold and maintain accurate records on the qualifications of all consultants and engineers undertaking lift inspection and maintenance works for the organisation.
- 4.8 HS will ensure robust processes and controls are in place to provide and maintain appropriate levels of security for all lift safety related data.

5. Performance indicators

- 5.1 The Compliance Manager will be responsible for reporting the following key performance indicators through the monthly compliance report to the Senior and Executive management teams.

KPI	Target
All sites have a valid LOLER – Thorough Examination Certificate	100%

- 5.9 All identified defects are passed to lift maintenance contractor for completion.

6. Complaints

- 6.1 All customer complaints relating to Lifts safety will be logged as per the company's complaints policy and procedures.

7. Additional information and links:

- 7.1 Health and Safety Executive website:
<https://www.hse.gov.uk/work-equipment-machinery/loler.htm>