



Lift Safety Policy

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Introduction

1. Purpose

- 1.1 Landlords are responsible for maintaining passenger lifts and for carrying out periodic thorough examinations and inspections to ensure those lifts operate safely. In addition to lifts landlords have a responsibility to maintain stair lifts and hoists to ensure the safety of their tenants.
- 1.2 Connexus own and manage properties that have passenger lifts to assist tenants to and from their homes. 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 tenants to continue to live independently.

2. Scope

- 2.1 Connexus must establish a policy which meets the requirements of the Health and Safety at Work Act 1974. In addition to this, the policy must provide assurance that measures are in place to ensure compliance with the Lifting Operation and Lifting Equipment Regulations 1998 (LOLER) and to identify, manage and/or mitigate risks associated with passenger lifts, stair lifts and hoists.
- 2.2 Scope: The policy applies to the whole of the Group. This means Connexus Homes Limited, (ultimate parent) and all of its subsidiaries.
- 2.3 Connexus must also ensure compliance with lift safety legislation is formally reported at management and Board level, including the details of any non-compliance, and planned corrective actions.
- 2.4 The policy is relevant to all Connexus employees, tenants, contractors and other persons or other stakeholders who may work on, occupy, visit, or use its premises, or who may be affected by its activities or services. It should be used by all to ensure they understand the obligations placed upon Connexus to maintain a safe environment for tenants and employees within the home of each tenant and within all non-residential premises or areas of buildings.

3. Regulatory Standards, Legislation and Codes of Practice

- 3.1 **Regulatory Standards** – 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.
- 3.2 **Legislation** – the principle legislation applicable to this policy is The Health and Safety at Work Act 1974 and the Lifting Operation and Lifting Equipment Regulations 1998 (LOLER).

- 3.3 **Code of Practice** – the principal codes of practice applicable to this policy are: -
- ACoP L113 - Safe use of lifting equipment: Lifting Operations and Lifting Equipment Regulations 1998 (2nd edition 2014).
 - 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).
- 3.4 **Sanctions** – Connexus acknowledges and accepts its responsibilities in accordance with the regulatory standards, legislation and codes of practice and that failure to discharge these responsibilities properly could lead to a range of sanctions including prosecution by the Health and Safety Executive under the Health and Safety at Work Act 1974, prosecution under the Corporate Manslaughter and Corporate Homicide Act 2007 and via a serious detriment judgement from the Regulator of Social Housing (RSH).
- 3.5 **Tenants and Leaseholders** – Connexus will use the legal remedies available within the terms of the tenancy and lease agreement should any tenant, leaseholder, or shared owner refuse access to carry out essential lift safety related inspection and remediation works.

4. Measurement

- 4.1 This lift safety policy also operates in the context of the following additional legislation: -
- 4.2
- The Management of Health and Safety at Work Regulations 1999
 - The Provision and Use of Work Equipment Regulations 1998 (PUWER)
 - The Workplace (Health Safety and Welfare) Regulations 1992
 - The Building Regulations 2004 – Part M
 - Construction, Design and Management Regulations 2015
 - Disability and Discrimination Act 2005
 - Equality Act 2010
 - Housing Act 2004
 - Landlord and Tenant Act 1985
 - Data Protection Act 2018
 - Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013
 - Homes (Fitness for Human Habitation) Act 2018

5. Obligations

- 5.1 Landlords are responsible for maintaining passenger lifts and for carrying out periodic thorough examinations and inspections to ensure those lifts operate safely. Section 3 of the Health and Safety at Work Act 1974 requires employers, such as landlords, to have responsibility for the health and safety of employees and people using or visiting their premises so far as reasonably practicable.

- 5.2 Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) do not apply directly to passenger lifts, however, businesses providing this equipment have responsibilities for its safety (i.e., it will require routine maintenance and inspection). In addition, insurers may impose demands for similarly stringent levels of risk management to cover public liability.
- 5.3 Landlords are required to ensure that all passenger lifts, when in use, are thoroughly examined after substantial and significant changes have been made, at least every six months if the lift is used at any time to carry people (or in accordance with an examination scheme) and following "exceptional circumstances" such as damage to, or failure of, the lift, long periods out of use or a major change in operating conditions which is likely to affect the integrity of the equipment.
- 5.4 Where stair lifts have been provided for residents, normally as part of an adaptation, landlords have responsibilities for the safety of all users under Section 3 of the Health and Safety at Work Act 1974. These may be adequately discharged by undertaking maintenance, inspection, and a 12-monthly thorough examination. LOLER (thorough examination) and PUWER (maintenance and inspection) apply only to stair lifts provided as work equipment for use by employees.

6. Statement of Intent

- 6.1 Connexus acknowledges and accepts its responsibilities with regard to lift safety and the inspection and maintenance of lifts, stair lifts and hoists.
- 6.2 All passenger lifts, stair lifts or hoist equipment in communal areas, as well as any fixed equipment in tenants' homes supplied by Connexus or the Local Authority is the responsibility of Connexus. Tenants who acquire equipment themselves will retain responsibility for that equipment. The Local Authority is responsible for any portable equipment it supplies.
- 6.3 Connexus 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.
- 6.4 Connexus will appoint competent 'responsible persons' responsible for the 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.
- 6.5 Connexus 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.
- 6.6 Connexus will ensure that all lifts in properties it owns and manages will be fully accessible for disabled users (as per the requirements of the Disabled Discriminations Act 2005, the Equality Act 2010 and to the specifications outlined in Part M of the Building Regulations 2004).

- 6.7 Connexus will endeavor to ensure that all lifts and lifting equipment in properties and workplaces it owns and manages will be in full working order at all times. Where the organisation becomes aware that lifts or lifting equipment are not operating as they should, emergency repairs orders will be issued to remedy faults as quickly as possible.
- 6.8 Connexus will ensure that there are clear procedures in place and that these procedures are communicated to and understood by all relevant staff, for appropriate action in the event of any persons becoming trapped in passenger lifts. Connexus staff cannot release any persons trapped in passenger lifts as they are not competent to do so safely but will provide reassurance until such time as the relevant lift maintenance contractors and/or emergency services arrive, as appropriate. Connexus 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.
- 6.9 Connexus will ensure that all passenger lifts have an intercom fitted that dials directly to a dedicated call centre. Where this is not possible such as on platform lifts, an alarm must be fitted. 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 person's welfare the emergency services will be called and asked to attend immediately.
- 6.10 Connexus will ensure that all lifting equipment that is used on sites it owns or manages is thoroughly examined by a competent person before it is commissioned into use and is then subject to periodic examinations in accordance with the equipment's examination scheme.
- 6.11 Connexus will ensure that only suitably competent consultants, and engineers undertake works in respect of passenger lifts, stair lifts and hoists.
- 6.12 Connexus will ensure that a Thorough Examination is carried out 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 12 months for all lift types but may also take place more frequently if required to be in line with manufacturers' recommendations.
- 6.13 Connexus 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. All requests of this nature will be treated as an urgent priority.
- 6.14 Connexus 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.
- 6.15 Connexus 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.'

- 6.16 Connexus will ensure that robust processes and controls are in place to manage works to void and occupied properties that may affect existing lifts, stair lifts or hoists.
- 6.17 Connexus will have a robust process in place to gain access to properties where tenant vulnerability issues are known or identified whilst ensuring the organisation can gain timely access to any property in order to be compliant with this policy and safeguard the wellbeing of the tenant.
- 6.18 Connexus will establish and maintain a plan of all continuous improvement activity undertaken with regards to lift safety.
- 6.19 Connexus will ensure that all contractors' employee and public liabilities are up to date on an annual basis.
- 6.20 Connexus will ensure contracts/service level agreements are in place with the contractors responsible for delivering the compliance service.
- 6.21 Connexus 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, key performance indicators analysed and programmes and performance scrutinised.
- 6.22 Connexus will implement a robust process to deal with all changes to stock, including new property acquisitions, disposals, and stock transfers, in order to ensure that properties are not omitted from the compliance programme, and to ensure the programme remains up to date.
- 6.23 Connexus will ensure that there is a robust process in place for the management of immediately dangerous situations identified during the lift safety check.
- 6.24 Connexus will undertake monthly reconciliations between the core property data and the compliance programme for Lift Servicing.

7. Compliance Risk Assessment/ Inspection Programmes

- 7.1 Connexus will establish and maintain a risk assessment for lift safety operations. This risk assessment will set out all of the organisation's' key lift safety risks together with appropriate mitigations.
- 7.2 To comply with the requirements of the Construction, Design and Management Regulations 2015 (CDM) a Construction Phase Plan will be completed for all void works, component replacement works and refurbishment projects. This plan will detail any lift installations that may be affected by the works and detail all necessary work required to make safe and reinstate lift installations to ensure that they are safe to use and continue to comply with all relevant legislation and any written examination scheme, including any testing and maintenance.
- 7.3 Connexus will carry out a programme of maintenance visits by competent persons to all properties that have a passenger lift, stair lift or hoist. Passenger lifts will be

serviced every two months and platform lifts, and communal stair lifts will have a quarterly maintenance inspection. All communal lifts will undergo a six monthly LOLER inspection. All domestic stair lifts and hoists will have a six-monthly service and a twelve monthly LOLER inspection.

- 7.4 Connexus will oversee a programme of thorough examinations of passenger lifts by competent contractors appointed by the insurers. This is to ensure that the organisation's responsibilities towards lift safety are being discharged and provide their insurers with adequate assurance around the quality of lift safety management.

8. Compliance Follow up Work

- 8.1 Connexus will ensure there is a robust process in place for the management of any follow-up works required following the completion of routine maintenance inspections, or were identified by a competent person, when undertaking required maintenance activities.
- 8.2 Connexus will ensure there is a robust process in place for the management of any follow-up works required following the completion of inspections by the insurers.
- 8.3 Connexus will ensure that there is a robust process in place to collate and record details of all remedial works completed against individual installations. This information will be stored within Orchard Assets.
- 8.4 Connexus will ensure there is a robust process in place to investigate and manage all RIDDOR notices issued with regard to lift safety.

9. Record Keeping

- 9.1 Connexus will establish and maintain a core asset register on OAP of all properties and blocks that have a passenger lift, stair lift or hoist. This register will also hold data against each property or block asset of the type, age, and condition of lift plant in place.
- 9.2 Connexus will establish and maintain accurate records of 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;' and the results of any inspection, test or check carried out, together with the dates. This should include details about the state of operation and condition of the installation.
- 9.3 Connexus will establish and maintain accurate records of all inspections carried out by their insurers, the findings of these inspections and records of completed remedial works were identified by insurer's inspections, including dates.
- 9.4 Connexus 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.

- 9.5 Connexus will keep a record of any entrapment incidents and will use these to inform future revisions of Examination Schemes.
- 9.6 Connexus will hold and maintain accurate records on the qualifications of all consultants and engineers undertaking lift inspection and maintenance works for the organisation.
- 9.7 Connexus will ensure robust processes and controls are in place to provide and maintain appropriate levels of security for all lift safety related data.

10. Key Roles and Responsibilities

- 10.1 Connexus Board will have overall governance responsibility for ensuring the Lift Safety policy is fully implemented to ensure full compliance with the regulatory standards, legislation, and codes of practice. SMT will formally approve this policy and review it every two years (or sooner if there is a change in regulation, legislation, or codes of practice).
- 10.2 The Board and SMT will receive regular updates on the implementation of the lift safety policy and performance along with notification of any non-compliance issue which is identified. This is so they have assurance that the policy is operating effectively in practice.
- 10.3 The Director of Property has strategic responsibility for the management of lift safety and ensuring compliance is achieved and maintained. The Head of Health and Safety and Compliance will also oversee the implementation of the lift safety policy.
- 10.4 The Compliance Manager will be responsible for overseeing the delivery of the agreed lift servicing and maintenance programmes, and the prioritisation and implementation of any works arising from the inspections. They are also responsible for overseeing the delivery of service, maintenance and repair programmes to all passenger lifts, stair lifts, and hoists within property assets owned or managed by Connexus.
- 10.5 The housing team will provide key support in gaining access into properties where access is proving difficult and use standard methods to do so. They will also facilitate the legal process to gain access, as necessary.
- 10.6 The Director of Property will be responsible for ensuring the policy is reviewed every two years, and will notify the Board, SMT and operational team responsible for the delivery of the compliance programme, of the upcoming review. The Director of Property will ensure that this review process takes place before the policy expires in April 2024.
- 10.7 The Director of Property will ensure that this policy is saved on the organisation's shared drive and distributed to all relevant members of staff.

11. Competent Persons

- 11.1 Connexus will ensure that the 'Responsible Person,' and the manager(s) with lead responsibility for operational delivery are appropriately competent; will have undertaken appropriate training and have sufficient experience to meet the criteria of a 'competent person' as stated by the Health and Safety Executive (HSE).
- 11.2 Connexus 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 schemes and undertake works in respect of passenger lifts, stair lifts and hoists.
- 11.3 The operational team with responsibility for delivery will check the relevant qualifications of employees working for these contractors to ensure that all persons are appropriately qualified for the work that they are carrying out. These checks will be undertaken on an annual basis.

12. Training

- 12.1 Connexus will ensure that all operatives working for, or on behalf of, the organisation have the relevant training required for their role. This will be managed via periodic assessments of training needs and resulting programmes of internal and/or external training.

13. Performance Reporting

- 13.1 Robust key performance indicator (KPI) measures will be established and maintained to ensure Connexus is able to report on performance in relation to lift safety.
- 13.2 KPI measures will be produced and provided at SMT level on a monthly basis.
 - The number of RIDDOR notices issued with regards to lift safety.

14. Quality Assurance

- 14.1 Connexus will carry out an independent audit of lift safety at least once every two years. This audit will specifically test for compliance with the regulation, legislation and codes of practice and identify any non-compliance issues for correction.

Non-Compliance

- 14.2 Any non-compliance issue identified at an operational level will be formally reported to the Director of Property in the first instance.

- 14.3 The Director of Property will agree an appropriate course of corrective action with the operational team in order to address the non-compliance issue and report details of the same to the SMT.
- 14.4 The SMT will ensure the Board are made aware of any non-compliance issue so they can consider the implications and take action as appropriate.
- 14.5 In cases of a serious non-compliance issue the SMT and Board will consider whether it is necessary to disclose the issue to the Regulator of Social Housing in the spirit of co-regulation, or any other relevant organisation such as the HSE, as part of the Regulatory Framework.

15. Glossary

- 15.1 This glossary defines the key terms used throughout this lift safety policy: -
- **LOLER** – Lifting Operations and Lifting Equipment Regulations 1998 – regulations which place duties on people and companies who own, operate, or have control over lifting equipment.
 - **PUWER** – Provision and Use of Work Equipment Regulations 1998 – legislation which places duties on people and companies who own, operate, or have control over work equipment. PUWER also places responsibilities on businesses and organisations whose employees use work equipment whether owned by them or not.