

Lift & Lifting Equipment Policy

DESIGN HEADER TO INCLUDE POLICY NAME AND DATE RANGE

INFORMATION

Policy Name	Lift & Lifting Equipment Policy
Effective Date(s)	26th May 2022
Approved By	R&C, CSC, Group Board
Approval Date	26th May 2022
Policy Owner/Dept	Kate Meredith/Compliance
Policy Author	Kate Meredith – Head of Compliance
Review Date	May 2024
Version Number	4

Version Control

Version	Date	Changes	Approver
1	20/12/2016	Changes to incident management system Datix	I Hardman
2	20/10/2020	Data Protection Act Updated SAFed Guidelines Updated	T Harris
3	Feb-21	Minor changes to reflect working practices.	Risk & Compliance

Your Housing Group Strategic Priorities			
Safe	<input checked="" type="checkbox"/>	Viability	<input type="checkbox"/>
Landlord	<input checked="" type="checkbox"/>	Growth	<input type="checkbox"/>
People	<input type="checkbox"/>	Technology	<input type="checkbox"/>

Relevant National Standards or Regulation	<ul style="list-style-type: none"> • Home Standard. • Tenancy Standard. • Neighbourhood and Community Standard. • Tenant Involvement and Empowerment Standard.
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Relevant Legislation & Guidance	<ul style="list-style-type: none"> • The Management of Health and Safety at Work Regulations 2006. • Health and Safety at Work Act 1974. • Housing Act 2004. • Housing Health and Safety Rating System (HHSRS). • Lifting Operations and Lifting Equipment Regulations 1998 (LOLER). • The Provision and Use of Work Equipment Regulations (PUWER) 1998.
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	<ul style="list-style-type: none"> • Approved Codes of Practice (ACoP) - HSIS4 & L113 Safe use of Lifting Equipment . • Industry Guidance 422 - Thorough examination of lifting equipment . • SAFed Guidelines -Thorough examination of in-service lifts 2006.
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1. Purpose of the Policy

This policy details YHG’s approach to ensuring that lifts and lifting equipment are appropriately maintained and remain safe for continued use, reducing the risk of injury to persons and damage to property.

The policy aims to demonstrate that YHG has measures in place to ensure lifts and lifting equipment are appropriately maintained in line with the requirements set out in the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER).

YHG recognises that lifts and lifting equipment perform a vital function for customers, and equipment failure may severely restrict their ability to live independently, move around or leave their homes. YHG has a duty of care to address equipment faults and failures and to proactively maintain equipment to reduce failure rates and prolong the working life of the equipment, so far as is reasonably practicable. This policy sets out what YHG will do to ensure faults and failures are responded to and dealt with appropriately, supported but a proactive maintenance regime.

2. Scope of the Policy

This policy is applicable to all passenger lifts and lifting equipment (e.g., stairlifts, through floor lifts and hoists) that YHG has a defined maintenance and repair responsibility for, this is including equipment within residential dwellings, common areas of houses of multiple occupation, specialised housing such as sheltered, retirement living, extra care, supported housing and offices.

The policy does not apply to domestic lifting equipment that customers have purchased and had installed themselves.

Where buildings and properties are managed by third parties (e.g., Agency Managed Supported Schemes, PFI Schemes) the maintenance of lifts and lifting equipment will fall under the scope of this policy so far as the YHG responsibilities detailed in the terms of the management agreement.

3. Definitions

Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) – details the regulatory duties of people and organisations that own operate and have control over lifting equipment. Broadly it requires equipment to be strong and stable enough for its defined use, positioned and installed to minimise risk, used safely and be subject to ongoing Thorough Examination.

Thorough Examination - a systematic detailed examination of the lift and all its associated equipment by a competent person to detect any defects which are, or might become, dangerous.

Planned Preventative Maintenance (PPM) – a proactive approach to maintenance in which maintenance work is schedule to take place regularly with the aim of preserving the condition of equipment/assets and preventing faults from occurring.

Safety Assessment Federation (SAfed) – a trade association representing the UK independent engineering inspection and certification industry, which plays a key role in maintaining high standards of safety within the workplace.

Supplementary Tests - tests and/or examinations recommended by a competent person where concerns regarding the condition of equipment arise from the Thorough Examination.

Lift and Elevator Industry Association (LEIA) - trade association and advisory body for the lift and escalator industry.

4. Consultation

Consultation has taken place with the following. Their feedback has been considered and the policy update:

- Engagement Focus Group,
- Equality Impact Assessors Group,
- Customer Connect Panel,
- Director of Asset & Building Safety,
- Director of Housing & Customer Service.

5. Background and Context

Lifts, lifting equipment, their associated components and essential safety devices are subject to wear and tear, misuse, and vandalism. Regular thorough examination and ongoing maintenance of lifts and lifting equipment is essential to ensuring that the equipment remains safe for continued use as well as prolonging the working life of the equipment.

YHG duties to ensuring that lifts and lifting equipment are appropriately maintained and remain safe for continued use can broadly be considered to be:

- In accordance with LOLER a regular “Thorough Examination” should be undertaken of all lifts and lifting equipment. A Thorough Examination is designed to be a systematic detailed examination of the lift and all its associated equipment by a competent person to detect any defects which are, or might become, dangerous.
- The competent person should upon completion of the Thorough Examination provide a detailed report of the examination. This should include details of the defects noted, the recommended remedial actions and advice on the required timescale for completion. If the competent person carrying out the Thorough Examination considers there to be an immediate risk to persons or property through continued use of the equipment they may isolate the item of equipment to prevent use until it is safe to do so.
- To verify that lifts, lifting equipment and their accessories remain safe for use, and to detect and remedy any deterioration in good time, thorough examinations should be undertaken throughout the lifetime of the equipment. LOLER specifically states that the maximum interval between Thorough Examinations should be:
 - No more than 6 months intervals for lifts that carry persons.
 - No more than 12-month intervals for lifts that only carry goods.

These are the maximum periods between each examination unless there is an examination scheme produced by a competent person in place, which can specify longer or shorter periods depending on the risk of defects arising.

- In addition to the LOLER Thorough Examination a schedule of Planned Preventative Maintenance (PPM) visits should also be considered. Though there is no regulatory requirement to undertake PPM it is considered good practice as it can prolong the working life of the equipment and reduce failure rates. If PPM visits are undertaken it is recommended that the checks, tests, inspections, and adjustments made are in line with the manufacturers’ instructions. Generally, PPM visits will form part of the contractual arrangement with the competent contractor appointed to undertake lift and lifting equipment repairs and reactive maintenance. There should however be independence between this contractor and competent person undertaking the Thorough Examinations.
- YHG should have robust processes in place to ensure a full and accurate record of all equipment that is subject to a Thorough Examination and PPM visits, together with the last examination/maintenance visit date and the next due date.
- Where completion of a Thorough Examination and/or PPM visit requires access to a customer’s home (e.g., to examine a stairlift), YHG should have a defined access procedure in place that is followed to gain access, evidencing that all reasonable and practical steps have been made to complete the examination/maintenance visit.
- YHG has an obligation to ensure that any reported faults or failures with lifts and lifting equipment are attended to and rectified in a timely manner. There should be

defined time periods for attendance, and these should be determined by the severity/impact of the fault or failure.

- Thorough Examinations, PPM visits and routine maintenance of lifts and lifting equipment should only be carried out by suitably qualified and competent contractors and engineers. YHG should ensure they have processes in place to verify that only appropriately qualified and accredited engineers and businesses are carrying out works to their equipment. This should be supported by a framework of ongoing quality assurance and performance management arrangements.

6. Policy Detail

The following section details the actions taken and measures that are in place to ensure YHG appropriately carries out Thorough Examinations, PPM visits, repairs, and reactive maintenance to lifts and lifting equipment.

These actions and measures demonstrate YHG's commitment to ensuring a safe and comfortable environment within which our customers can live and within which our staff can work, as well as satisfying our obligations under our regulatory obligations.

The Lift & Lifting Equipment Policy will be supported by a Lift & Lifting Equipment Procedure.

LOLER Thorough Examinations

To ensure compliance with LOLER, YHG will ensure that lifts and lifting equipment are thoroughly examined as follows:

- *Before using it for the first time* – unless the equipment has an EC Declaration of Conformity less than one year old and was not assembled on site. If it was assembled on site, it must be examined by a competent person.
- *After assembly and before use at each location for equipment that requires assembly or installation before use, e.g., re-use of stairlifts.*
- *Regularly in service* – at 6-month intervals.
- *Following any significant change* - which may affect the safe operation of the equipment, e.g., a lift is out of use for a long period or there is a major change in how the lift is used which is likely to affect its integrity.

All LOLER Thorough Examination will either be carried out by YHG's insurance provider or via another specifically appointed contractor. To ensure independence they will not be undertaken by the maintenance contractor.

The competent person should upon completion of the Thorough Examination provide a detailed report of the examination. This should include details of the defects noted, the recommended remedial actions and advice on the required timescale for completion.

If the competent person carrying out the Thorough Examination considers there to be an immediate risk to persons or property through continued use of the equipment, they should isolate the item of equipment to prevent use until it is safe to do so. In these instances, they will notify YHG immediately.

Appropriate and timely action will be taken, in line with the examination report, to rectify defects and there will be procedures in place for how defects are managed, logged and tracked through to completion.

In addition to defects the Thorough Examination report may recommend that further "Supplementary Tests" are carried out, in line with Safety Assessment Federation (SAFed) Guidance. YHG will arrange the completion of these tests via the maintenance contractor.

Planned Preventative Maintenance (PPM)

In line with industry good practice, YHG will arrange, via the maintenance contractor, for regular PPM visits to be undertaken, in addition to the Thorough Examinations. The PPM visit will include a variety of checks, tests, inspections, and adjustments, in line with the manufacturers' instructions. As well as aiding to prolong the working life of the equipment, the PPM visits provide opportunity for potential faults to be identified allowing action to be taken before failure occurs.

The frequency of PPM visits has been determined giving consideration to risk associated with the type of equipment and the intensity of use.

Equipment Type	PPM Frequency
Passenger Lifts	Bi-monthly
Hoists and Through Floor Lifts	6 monthly
Stairlifts	Annually

The above is in addition to the 6 monthly LOLER Thorough Examination.

The contractor will provide evidence of the PPM visit. Any defects along with any engineer comments or observations will be noted on the visit paperwork. As with Through Examination reports, there will be procedures in place to for how PPM defects, comments and observations are managed, logged and tracked through to completion.

Lift and Lifting Equipment Repairs

YHG have an obligation as a Landlord to ensure that any reported faults or failures of a lift or lifting equipment are attended to and rectified in a timely manner.

A job will be raised for all reported faults or failures and allocated to the lift maintenance contractor. The contractor will be advised of the Target Response Time and the Target Fix Time. These will be determined by the nature of the fault and the impact of the fault/failure, as detailed below.

Repair Type	Target response times following work order issued	Target fix time following work order issued	Comments
Emergency	Entrapment Within 1 hour	Fix where possible or make safe within 24 hours	Repairs needed to avoid danger to health, or that pose a risk to the safety of the safety service users. "Make safe" repairs may require a follow up visit to complete the repair.
Emergency	Breakdown Within 3 hours between 8am and 8pm, Monday to Friday	Fix where possible or make safe within 24 hours	Repairs that are a major cause of discomfort or inconvenience. "Make safe" repairs may require a follow up visit to complete the repair.
Emergency	Breakdown Within 5 hours Out of Hours	Fix where possible or make safe within 24 hours	
Urgent	Within 24 hours	Fix within 3 days	These repairs do not cause immediate damage to the building, its occupiers, or neighbouring properties or user inconvenience.
Routine	Appointment to be confirmed within 24 hours	Fix within YHG advised timescale	This is for further works that may be required following a repair, Thorough Examination or PPM where YHG will advise of the target fix time

All lift repairs should be carried out in accordance with approved standards and the manufacturer's instructions.

In instances where it is not possible to return the equipment to working order or it must be turned off for safety reasons the contractor will inform YHG immediately. For lifts in communal areas used by multiple residents the Compliance Team will advise relevant Housing Management and site staff so that residents can be kept informed.

Access Procedure

Where access is required to a residential dwelling to carry out a Thorough Examination or PPM visit (e.g., a stairlift, hoist, through floor lift) this will be managed in line with a documented access procedure. Access attempts will start approx. 8 weeks ahead of the due date to ensure that all reasonable and practical efforts have been made to complete the examination/maintenance visit before the due date, with a full and detailed audit

trail maintained. Access efforts will include appointment letters, phone calls and property visits by the contractor and their Tenant Liaison Officer, with further support from Housing Management if required. The procedure should allow sufficient flexibility to accommodate customer requests and circumstances.

The access procedure will largely mirror the gas access procedure however currently YHG will not take formal action to gain access (e.g., injunction application, or entry via clause 11.2 of the tenancy agreement) as is done with Annual Gas Safety Checks.

For Thorough Examination and PPM visit where dwelling access is not needed (e.g., a passenger lift) the order will be issued to contractor to allow sufficient time for the completion of the examination/maintenance visit before the due date, with support from the Compliance Team and on-site staff to ensure access is gained to all necessary areas.

Certification & Documentation

Upon completion of Thorough Examination or PPM visit, YHG will obtain from the contractor an examination/visit report, which will be then used to update Orchard with the examination/visit date, ensuring the next due date is scheduled.

All documentation will be saved against the property/building within Documotive.

Asset Data & Reconciliation

YHG will hold and maintain an accurate record within the Orchard Housing Management System of all buildings and properties that have a lift or lifting equipment. The record will include the type of equipment (e.g., passenger lift, stair lift), the last Thorough Examination and PPM visit, the Examination/Maintenance Visit frequency, and the next due date.

Processes will be in place to ensure Orchard records are updated to reflect any property divestments, acquisitions (including new builds), equipment installations and removals and any changes to maintenance and repair responsibility.

YHG will work towards carrying out a 6-monthly reconciliation between Orchard and Keystone Asset Management System to provide assurance that all applicable equipment remains captured in the Thorough Examination and PPM visit schedule.

As part of this reconciliation process YHG will work toward ensuring that where the responsibility for lift and lifting equipment maintenance falls to a third party (e.g., Agency Managed Supported Scheme, PFI Schemes) action is taken to ensure evidence is obtained that all necessary examinations/maintenance visits have been undertaken.

The maintenance contractor will be asked to create and maintain a lift and lifting equipment asset register to update and develop the data held within Keystone.

Contractor Competence, Quality Control and Performance

YHG must be able to satisfy themselves that all those carrying out works on lifts and lifting equipment are competent to do so.

All contractors undertaking PPM visits, reactive and routine maintenance must hold Lift Cert accreditation and be a member of the Lift and Elevator Industry Association (LEIA).

Thorough Examinations should be undertaken by engineers that are UKAS accredited to ISO/IEC17020 standard.

All lift and lifting equipment work will be undertaken by engineers with a minimum of a Level 3 industry recognised qualification in lift servicing and repair, and this should be supported with appropriate practical and theoretical knowledge and experience.

The Compliance Team will maintain a register of all engineers carrying out works for YHG. This will include the specific qualifications of the engineers and the expiration date if applicable. Processes will be in place to ensure that the register is kept up to date, e.g., new engineers are added, and that evidenced is obtained of any renewed/updated qualifications.

The performance of contractors involved in lift and lifting equipment works will be managed by the Compliance Contract Manager, supported by a suite of internal metrics and KPI dashboards. Regular Operational Meetings are held with contractors within which performance is discussed and documented, with procedures in place to take more formal action to address performance issues if required.

To support performance management, provide assurance on the quality and safety of work and to provide technical advice YHG will employ a lift consultant. They will undertake independent quality audits of completed works, equipment condition assessments and provide technical advice and guidance as needed.

7. Responsibilities under this Policy

The roles and responsibilities for key stakeholders across YHG is detailed below.

Note - these are the roles and responsibilities in specific relation to the delivery of this policy only. The Lift & Lifting Equipment Procedure will provide further details on the roles and responsibilities of all staff with day-to-day responsibility the maintenance of lifts and lifting equipment.

- **Chief Executive** will need to ensure that resources are made available to allow the actions and measures detailed in this policy and any associated procedures to be effectively delivered. They will discharge their responsibilities for the for the delivery of services in line with policy and procedures to the Director of Asset and Building Safety and Head of Compliance however will retain an oversight on progress/performance.
- **Board Members** will review reports and/or performance indicators that provide progress updates to ensure that YHG is meeting the requirements of its regulatory obligations and the policy measures.
- **Director of Asset and Building Safety** will work closely with the Head of

Compliance to seek assurances that regulatory obligations and policy measures are being adhered to and services delivered in line with budget. They will carry out quarterly strategic performance reviews of contractors to ensure compliance with their contractual obligations.

- **Head of Compliance** is responsible and accountable for the overall implementation, and regular review, of this policy and ensuring its objective are achieved. They are also responsible for compliance performance reporting to the Director of Assets & Building Safety, Board, and the Chief Executive. They will ensure that any compliance and/or H&S related issues are brought to the attention of the Director of Assets & Building Safety and provide regular updates on service delivery against budget.
- **Head of Housing/ Supported Housing/Older Persons Services** will ensure Housing Management staff's adherence to the access procedure, ensuring appropriate and timely action is taken to secure access to properties.
- **Compliance Contract Manager (Lifts & M&E)** will be responsible for the day-to-day operational delivery of lift and lift equipment related examinations, PPM visits, routine, and reactive repairs. They will effectively manage the performance of the service delivery contractors, including their ongoing competence, and proactively monitor service delivery against targets. They will be responsible for monitoring the quality of work undertaken by the contractor and ensuring all certification is received and verified. They will act as the organisations lead on M&E matters and lift safety, ensuring that YHG continue to work in line with the most up to date regulations and industry guidance.

8. Risk Management

The risks of not following this policy are that YHG will not comply with regulatory obligations and will fail to appropriately maintain lifts and lifting equipment, leading to a potentially detrimental impact on the safety of customers and staff. This may result in:

- Prosecution by the Health and Safety Executive under Health and Safety at Work Act 1974.
- Prosecution by the Local Authority under the Housing Act 2004.
- Prosecution under Corporate Manslaughter and Corporate Homicide Act 2007.
- A judgement of serious detriment by the Regulator of Social Housing.
- Reputational damage.
- Loss of confidence by stakeholders in the organisation.

9. Data Protection, Record Storage and Retention

Records to evidence Thorough Examinations and PPM visits will be stored at a property or building specific level within Documotive.

Records will be retained for a minimum of 2 years.

Records relating to residential dwelling will include the full property address along with the current tenant's name. Access to Documotive is however login restricted.

A full audit trail of all Thorough Examinations, PPM visits and equipment repairs will be held in Orchard, together with, where necessary, job specific notes regarding access attempts, communication with the contractors and customer etc. Access to Orchard is however login restricted.

10. Equality and Diversity

This Policy will be applied in a way which ensures equality of treatment for all customers without discrimination, or victimisation on account of any protected characteristic as defined within the Equality Act 2010. In drafting this policy YHG has had regard to its public sector equality duties under s149 of the Equality Act 2010, namely the need to:

- eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited under the Act.
- advance equality of opportunity between people who share a relevant protected characteristic and persons who do not share it.
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The policy pays regard to diversities around access to and delivery of any services.

On request YHG will provide translations of all its documents, policies and procedures in various languages and formats including computer disc, braille, large print, and tape.

An Equality Impact Assessment (EIA) has been undertaken on this policy and a copy is available upon request.

11. Communication

This policy will be communicated internally to staff via Youggle. Key stakeholders and key staff where this policy has specific impact will be briefed individually or collectively as required.

The policy will be shared with customers upon request, together with the access procedure if required.

12. Learning and Development

All staff with operational involvement in lift works will need to have and maintain suitable and sufficient system training, e.g., Orchard and Documotive.

The Compliance Contract Manager responsible for the day-to-day operational delivery of lift and lift equipment related examinations, PPM visits, routine and reactive repairs will

be required to hold and retain a Recognised Electrical Training Qualification along with practical experience in the maintenance and repair of M&E equipment.

They, together with the Compliance Operational Manager will also be expected to proactively maintain their Continued Professional Development to keep up to date and abreast of relevant industry and legislative changes.

13. Performance Management of this Policy

The completion of LOLER Thorough Examinations in line with their due date forms part of the “Health & Safety – Customer’s Homes” balanced scorecard KPI. This is reported monthly to Board, ELT and SLT.

The scorecard KPI specifically reports on LOLER Thorough Examinations required to passenger lifts and lifting equipment (e.g., hoists) in communal areas. The completion of all other Thorough Examinations and PPM visits (e.g., stairlifts in residential dwellings) is presented monthly to Risk & Compliance and quarterly to Customer Services Committee.

Several KPI dashboards are available and used to monitor the performance of the contractors, including 1st time access rate, visits completed in line with the access policy and % of jobs attended to on time.

14. Review of this Policy

This policy will be reviewed every two years, or sooner if required by statutory, regulatory, best practice, emerging developments, or circumstances arising from reviews of other Group wide policies.

The policy will be reviewed by the Head of Compliance.

Related Documents

Document Type	Name
Connected Policies and Procedures	
Forms and Letters	
Leaflets/Publicity Material	
Training Materials Available	
Intranet/ Website Page	

Checklist

(To be completed as far as possible by the Policy Author before submission for quality checking by Research and Policy Manager prior to Risk and Compliance Group)

Policy Name: Lift & Lifting Equipment Policy	
Version No: 4	Effective Date: May 2022
Status: Full Review	
Previous Policy Name (where appropriate) Electrical Policy	
Brief Summary of Changes from Previous Version: Full review of structure and content to ensure in line with current legislation and working practices	
Internal Consultation Groups: Customer Scrutiny Panel Customer Connect Panel	Customer Consultation: <input checked="" type="checkbox"/>
	Date of Customer Consultation: 02/03/22 and 31/03/22
	Customer Consultation Brief Details: Explained the background/purpose of the policy, overview of policy content (with an emphasis on those elements most relevant to customers), policy aims and then opportunity for questions, comments and suggestions.
Link to Consultation Document(s):	
Date Initial Equality Impact Assessment Undertaken: n/a	Equality Impact Assessor name(s):
Reason for Decision: Full review	
Date Full Equality Impact Assessment Undertaken: 23/03/22	
Brief Outline of any Changes Recommended from EIA: None	
Data Protection/ GDPR Implications: <input checked="" type="checkbox"/>	
Brief Outline of Data Protection/GDPR Implications: Records to evidence Thorough Examinations and PPM visits will be stored at a property or building specific level within Documotive. Records will be retained for a minimum of 2 years. Records relating to residential dwelling will include the full property address along with the current tenant's name. Access to Documotive is however login restricted. A full audit trail of all Thorough Examinations, PPM visits and equipment repairs will be held in Orchard, together with, where necessary, job specific notes regarding access attempts, communication with the contractors and customer etc. Access to Orchard is however login restricted.	

Legal Implications: <input type="checkbox"/>	Legal Panel Consulted: <input type="checkbox"/>		Date:	
Risk Implications: <input checked="" type="checkbox"/>	Risk Logged on Datix: <input type="checkbox"/>		Date:	
Resource Implications	People: <input type="checkbox"/>	Finance: <input type="checkbox"/>	Asset: <input type="checkbox"/>	Other: <input type="checkbox"/>
Brief Summary of how Resource Implications have been addressed: No resource implications, policy will be delivered in line with current budget and resources				
How will communication on this Policy take place: (please delete as appropriate) Intranet/ Email				
Policy Owner: (Department) Compliance			Policy Author: Kate Meredith	
Policy Signed Off by: Kate Meredith			Date: 31/03/22	
Policy Quality Checked by Research and Policy Manager: Vicki Maguire			Date: 31/03/22	
Policy Approved by: Risk and Compliance Group			Date: 12/04/22	
Policy Approved by: Group Board			Date: 26/05/22	