

Lift Safety Policy

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Introduction

Aim:

This policy sets out:

1. how Solihull Community Housing (SCH) will minimise the risk to and protect the health and wellbeing of residents, visitors, contractors and staff using lifts to move between floors in SCH premises;
2. how SCH will comply with the legal duties implied upon landlords; and
3. a working framework for staff and Board Members which details their individual responsibilities.

Scope

This document relates to all properties owned, occupied or operated by SCH in its capacity as an Arms Length Management Organisation (ALMO) on behalf of Solihull Metropolitan Borough Council (SMBC).

The scope of this policy includes passenger lifts and other lifts/lifting equipment (e.g., hoists, through-floor lifts, stairlifts) used by people in moving between storeys. Often tenants themselves own through-floor or stair lifts and, for the avoidance of doubt, these do not fall within the scope of this policy (other than as part of wider cyclical electrical safety checks within the whole dwelling).

Link to Corporate Objectives

This policy answers to the following strategic aim:
'Ensuring our homes and customers are safe'

For Additional Relevant Information- see Appendices

Appendix 1: Policy Context and Legislative Framework

Appendix 2: Process mapping

The Management Plan

Maintenance/servicing inspections will be undertaken by a lift servicing contractor. Thorough 6-monthly inspections will be undertaken by a specialist contractor appointed by Solihull Metropolitan Borough Council (SMBC).

SCH will ensure that a competent person undertakes maintenance inspections and thorough examinations of all lifts and associated equipment covered by this policy. Anyone working on lifts will be registered members of the Lift and Escalator Industry Association (LEIA) or equivalent

For all thorough examinations, SMBC will use companies that are UKAS Accredited to ISO/IEC17020 standard. Note: This will not be the same person who undertakes routine maintenance/servicing of the equipment

SCH 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 undertaking. These checks will be undertaken on an annual basis.

Recommendations arising from these inspections will be time-bound and the completion of these remedial works within that timeframe will be reported as a KPI.

The specialist contractor carrying out the thorough examinations of all lifts will be asked to comment on the performance of the lift servicing/maintenance contractor. The comments will be reported as a KPI.

SCH will maintain an up-to-date master database of all properties containing lifting equipment to transfer people between floors (the Lift Safety register). Where a requirement for lifting equipment exists, the Lift Safety Register will hold full copies of the servicing/maintenance visits and the current and previous thorough examination records over the past 5 years along with key reportable and auditable. It will store the date of the last examination and flag the date of the next examination.

Where SCH require access to the tenant's dwellings, Tenants will be required to provide reasonable access to SCH or its contractors to undertake activity in compliance with this policy. If the tenant does not provide access, SCH will deal with the refusal as a failure to comply with tenancy conditions and legal access injunction will be pursued. Tenants will be charged in full for any legal costs involved in obtaining access

Where SCH has no responsibility for the lift SCH will write to the responsible person on an annual basis asking for written confirmation that:

- They are fully aware of all relevant servicing legislation / obligations.
- These obligations have been attended to by a person competent to do so and are not overdue.
- SCH has been informed of any material issues relating to resident health and safety.

Planned maintenance or upgrade programmes that include work to lifts will be subject to review by a competent person before and after major works programmes.

SCH will ensure that, for any lift works, (i.e. repairs, servicing/maintenance or thorough inspections):

- anyone appointed to undertake design or construction activities can demonstrate the necessary competence to discharge their responsibilities relating to lift safety.
- reasonable assurance will be designed-in to the work proposals so that resident and visitor safety and accessibility can be assured during the works.
- residents will be properly engaged with on matters that affect them.
- works have complied with legislation and guidance
- there is an appropriate site inspection and sign-off programme in place for the stages of the work.

SCH will ensure that, for new-build properties, all necessary information relating to commissioning and installation certification, and future maintenance requirements is completed and handed over prior to the lift being put into service and that these are included on the Lift safety database

Roles and Responsibilities

Chief Executive (Duty Holder)

The CEO has the overall responsibility for the implementation of this policy. The key responsibilities are to ensure the organisation has sufficient resources and systems in place to achieve and maintain statutory compliance, including but not limited to:

- Ensuring adequate processes and procedures are in place to manage Lift Safety.
- Ensuring sufficient information instruction and training is carried out.
- Monitoring the performance of staff and contractors.
- Ensuring that members of the public, staff and contractors are not unnecessarily exposed to risk.

Although overall responsibility for Health & Safety in the workplace rests with the Chief Executive, management responsibilities will be delegated through the Organisational Structure. Executive Directors, Heads of Service, Senior Managers, Line Managers and Staff at all levels of the organisation are therefore responsible for Health & Safety at Work, though the extent of this responsibility varies according to the individual's position in the organisation.

Executive Directors

Executive Directors will assist and deputise for the Chief Executive and are responsible for the overall effectiveness of the Lift Safety Policy in their areas of responsibility. They are required to nominate a deputy from within their own Directorate to liaise as required with the Responsible Person. The nominated Deputy should be a relevant Head of Service or Senior Manager who will assist and deputise for the Director. Directors will be required to:

- Have overall responsibility for compliance with the Lift Safety Policy in their Directorate
- Ensure adequate resources are allocated to manage risk arising from lifting equipment.
- Monitor the performance of their employees against the policy.
- Ensure sufficient information instruction and training is carried out
- Advise the Chief Executive of any problem arising in connection with the management of lift safety.

Heads of Service

Heads of Service will act as nominated deputy for their Executive Director where required. Heads of Service will: -

- Have overall responsibility for compliance with the Lift Safety Policy in their Service area.
- Ensure sufficient resources are allocated to manage risks arising from lifting equipment.
- Ensure that managers fulfil their responsibilities relating to the management of lifting equipment
- Ensure sufficient information instruction and training is carried out within their service area
- Monitor the performance of their employees against the policy.
- Advise their Director of any problem arising in connection with the management of lifting equipment.

Head of Building Safety

The Head of Building Safety is nominated and appointed by the Chief Executive to manage the day to day procedures necessary for the management of lifting equipment and be responsible for the strategic management of lifting equipment within the responsibility of SCH.

The Head of Service has overall responsibility for delivering statutory compliance and is responsible for the preparation and monitoring of the policy, ensuring it meets with current legislation. Further areas of responsibility are:

- writing monitoring and reviewing the policy,
- ensuring risks associated with lifting equipment are managed effectively,
- Formulate and revise the SCH Policy every 3 years or following significant incident or change in legislation.
- Formulate and revise the Lift Safety Management Plan.
- Facilitate Independent Expert assessments to ensure that the provisions within the Management Plan are being enforced to the standard required.
- Ensuring sufficient information instruction and training is carried out within their service area.
- Ensure risks arising from lifting equipment related activities are recorded reviewed and mitigated.
- Ensure a designated deputy, The Safer Homes Team Manager is available in their absence to manage the day to day procedures and be responsible for the strategic management of lifting equipment within the responsibility of SCH as well as any other duties the Head of Building Safety is responsible for should the need arise.

Safer Homes Responsible Contract Officer

The Contract officer is responsible for the day to day running of the Lift Safety Management Plan. The Contract Officer is responsible for:

- day to day delivery of works relating to lifting equipment servicing and maintenance, and carrying out defect works as set out in certificates, reports etc,
- ensuring all related documentation complies with the Regulations and is correctly completed and stored within Open Housing and Swordfish
- acting promptly to remedy any defects,
- checking orders and invoices are correctly matched and authorising them and passing them for payment.
- monitoring the performance of maintenance staff and contractors,
- ensuring that residents, members of the public, employees and contractors are not unnecessarily exposed to risk,
- running regular monthly status reports to the Safer Homes Team Manager,

Health and Safety Support Team (HSST)

The Health and Safety Support Team is responsible for providing a competent advisory service to SCH.

The Health and Safety Support Team will also give guidance relating to suitable training to effectively manage risks arising from lifting equipment.

They will also ensure that all accidents/incidents/near misses reported that are notifiable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) are reported to the Health and Safety Executive.

Employees

All Employees of SCH, irrespective of their position shall:

- Take reasonable care for their own Health and Safety and that of other persons who may be adversely affected by lifting equipment, including members of the public, tenants, visitors and contractors.
- Co-operate with Solihull Community Housing and its managers to enable compliance with this policy and the legal duties it holds.
- Halt works that, in their opinion, may present a serious risk to health of themselves or others, and report immediately to their line manager.
- Report any incident involving lift safety.

Tenants and Leaseholders

This policy is to be read in conjunction with Solihull Council's current Tenancy Agreement or Terms of Lease.

- Tenants will allow reasonable access to SCH or its contractors to undertake activity in compliance with this policy.
- Tenants will not interfere with the lift installation in any way
- Tenants will report any defects in the lift installation as soon as they are aware of it.

Contractors

This policy is to be read in conjunction with SCH's Code of Conduct for Contractors. Contractors are required to immediately report any risks or concerns to the respective SCH Contract Officer or Project Manager and stop ongoing works until they are satisfied their concerns have been mitigated.

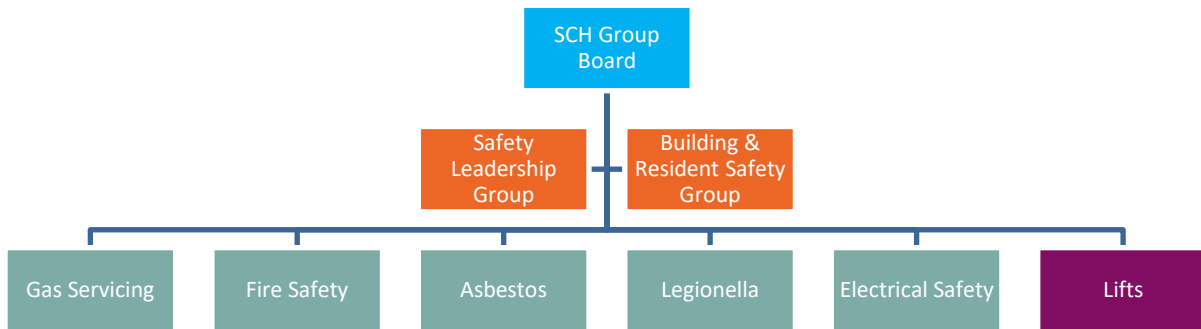
All contractors will be able to demonstrate adherence and use of information made available to them through this policy through testing as part of SCH's ongoing audit regime.

- provide required inspection certificates / reports to SCH within 7 days of undertaking the site activity
- Comply with SCH's Health and Safety Policy
- Take reasonable care for their own health and safety
- Consider the safety of other persons
- Report to management any unsafe acts or unsafe conditions that may compromise the health, safety or welfare of themselves or others, DON'T WALK BY!
- Notify SCH of any serious Health and Safety incident or near miss

The contractor is to provide SCH with relevant certification and evidence of competency prior to commencing works and is to provide SCH with copies of all legally required, and relevant documentation upon completion of works.

Communication

All SCH employees and stakeholders are required to immediately report any concerns regarding the safety of lifting equipment directly to their line manager. To support this approach a formal communication system is established within SCH's communication framework to provide specialist advice and support to the organisation, as illustrated below.



Training

Solihull Community Housing shall ensure that adequate information, instruction, and training is given to their employees at levels proportionate to the risks of exposure and their roles. Solihull Community Housing will undertake regular training of managers and staff, regular building users and contracted third parties,

The Head of Building Safety will ensure that all staff responsible for lifting equipment and all appointed responsible persons:

- will receive appropriate training and annual refresher training.
- training records are up to date
- all staff currently working in this area have received appropriate training in the required timeframe.

A record of all training completed will be kept electronically through Learning Pool Managers are responsible for ensuring all relevant staff attend the applicable training course.

Customer Contact

SCH will encourage lift safety by periodically informing residents of the importance of reporting any issues with lifts through:

- The Tenant Handbook:
- the provision of information via the website,
- at least one article per year in the tenant newsletters, and
- leaflets handed to new tenants where they have access to a lift.

Tenants will need to obtain permission for any privately commissioned works that involve lifting equipment. Approval will not be unreasonably withheld, although consent may be conditional upon a requirement for the resident to commission appropriate maintenance and inspection activity. Where unauthorised work with the potential to impact safety is discovered, SCH will take the appropriate action to remove or remedy. The cost of doing so may be recovered from the resident.

Tenants can report defects with lifts (for which SCH are responsible) under the responsive repairs service and SCH will deal with any reported repair requirements in accordance with the Repairs Policy. All works will be undertaken by people competent to do so.

Performance Management and Quality Assurance

Performance against key performance indicators relevant to this policy will be reported to the Director of Assets and Development and the Executive Management Team at least monthly. Performance and risks arising from this policy will be monitored by the Building and Resident Safety Group Board (BRSBG). Quarterly update reports will be provided to SCH Group Board.

Relevant KPI Description	Target	Rationale
Percentage communal passenger lifts that require a thorough examinations (LOLER)	100%	Tenant Satisfaction Measures (TSM)

The following key performance indicators will be used to measure how effectively the policy is being managed:

- The number and proportion of passenger lifts which have not had a monthly maintenance/servicing inspection within its due date.
- The number and proportion of passenger lifts which have not had the 6-monthly thorough inspection within its due date.
- The number and proportion of Through-lifts, Stairlifts and Hoists which have not had a 6-month maintenance/servicing inspection within its due date.
- The number and proportion of Through-lifts, Stairlifts and Hoists which have not had a thorough annual inspection within its due date.
- Number and proportion of assets with a passenger lift having an LOLER Imminent Danger examination report.
- Number and proportion of actions arising from all inspections or maintenance/servicing activity that are overdue.
- The number of RIDDOR notices issued with regards to lift safety.
- Number of sites where negative observations were made by the specialist contractor carrying out the thorough examinations of all lifts on the performance of the lift servicing/maintenance contractor.

The specialist contractor carrying out the thorough examinations of all lifts will be asked to comment on the performance of the lift servicing contractor. The comments will be reported as a KPI

Additional assurance activity will be provided via external checking by SMBCs' LOLER insurance inspections. The approach will be reported to Internal Audit & Risk Committee.

Review

This Policy shall be reviewed by the Head of Building Safety every three years, or if there are any significant changes to the current Lift Safety Policy, HSE approved codes of practice or guidance, or as the result of the outcome of an incident review.

Version number	<i>1.1</i>
Effective from	<i>May 2024</i>
Policy Owner	<i>Executive Director Operations</i>
Policy Author	<i>Sarah Hunter, Building Safety Manager</i>
Review Date	<i>May 2027</i>

Appendix 1

Policy Context and Legislative Framework

A well-maintained elevator in a commercial or residential environment will typically experience between 0.5 – 2 breakdowns in a year, of which 20% or 0.4 occurrences are mantraps (a person getting stuck inside a lift car)

Lifts carrying passengers require inspection by a 'competent person', with a maximum interval of six months between inspections. Goods-only lifts must be examined at least every 12 months. This is an important legislative requirement that should be undertaken in accordance with the Lifting Operations & Lifting Equipment Regulations 1998 (LOLER).

Regulatory Requirements and Guidance

The following list sets out the key legislation and guidance:

- LOLER (Lifting Operation and Lifting Equipment Regulations) 1998
- Lifts Regulations 2016
- Landlord and Tenant Act 1985, 1987, 1988
- Housing Act 1988, 2004.
- Management of Health & Safety at Work Regulations 1999.
- Workplace (Health, Safety & Welfare) Regulations 1992 (as amended).
- The Construction (Design and Management) Regulations 2015.
- Building Regulations (including Part P requirements).
- Right to Repair Scheme (introduced 1994).
- The Health and Safety at Work Act etc 1974.
- Defective Premises Act 1972.
- The principal codes of practice applicable to this policy are:
 - BS7255:2012 - Code of Practice for safe working on lifts
 - BS EN81-80 – Lift Upgrades for Existing Lifts
 - 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

Appendix 2

Process Mapping

