

Lifting Operations and Lifting Equipment Policy

Purpose of the Policy

- 1.1 The Council owns and manages properties that have passenger lifts. It also owns and lets a number of domestic properties adapted with lifting equipment and assisted living aids such as stairlifts and hoists to enable tenants to continue to live independently within their homes.
- 1.2 The Council is responsible for the inspection and maintenance of passenger lifts to ensure they operate safely. This duty also extends to stairlifts and hoists, which the Council must maintain and inspect to ensure the safety of their tenants within their homes.

Policy Objectives and Scope

- 2.1 The Council 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 relevant lifting equipment
- 2.2 The Council must also ensure that compliance with lift safety legislation and performance against this policy is formally reported to the Council's Corporate Leadership Team and Cabinet (where appropriate), including details of any non-compliance, associated risks and planned corrective actions.
- 2.3 This policy is relevant to all Council 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 the Council's lifts.
- 2.4 This policy should be used to ensure all relevant stakeholders understand the Council's obligations to maintain a safe environment within the home of each tenant and within all non-residential premises or communal buildings.

Key terms and definitions

Thorough Examination	A systematic and detailed examination of the equipment and safety critical parts, carried out at specified intervals by an independent competent person who must then complete a written report
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Competent Person	Person with appropriate knowledge, experience and training
LOLER	Lifting Operations and Lifting Equipment Regulations 1998 Lifting accessories Items used to attach a load (or person) to a lift and lifting equipment, e.g., ropes, chains, hooks, in-situ, and transfer slings etc.
Lifting Equipment	Equipment for lifting or lowering loads (including people) and includes its attachments used for anchoring, fixing or supporting it. It includes any lifting accessories that attach the load to the equipment in addition to the equipment which carries out the actual lifting function
Lifting Operation	The lifting or lowering of a load, including a person

Legal/Regulatory Framework

- 3.1 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.
- 3.2 The principal 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 The principal codes of practice applicable to this policy are:
- ACoP L113 - Safe use of lifting equipment: Lifting Operations and Lifting Equipment Regulations 1998
 - INDG422 - Thorough examination of lifting equipment: A guide for employers
 - INDG339 - Thorough examination and testing of lifts: Simple guidance for lift owners
- 3.4 The Council 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 etc Act 1974, and/or prosecution under the Corporate Manslaughter and Corporate Homicide Act 2007 and via a serious detriment judgement from the Regulator of Social Housing.
- 3.5 In addition, the Regulator of Social Housing has powers to proactively intervene where landlords are performing badly on consumer issues (including non-compliance with building safety measures) and may conduct routine inspections to investigate systematic issues.

- 3.6 The Council will use the legal remedies available to it, including seeking an access injunction from the Court, should any tenant, leaseholder or shared owner refuse access to carry out essential lift safety related inspection and remediation works.
- 3.7 This policy also operates in the context of the following additional legislation:
- 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
 - Control of Asbestos Regulations 2012
 - 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
- 3.8 This policy is in also in accordance with the (LEIA) Lift and Escalator Industry Association (LEIA) – Asbestos Safety Information Sheet, in relation to lift motor rooms, brake pads, which if containing asbestos and are left in place wear down and release asbestos fibres. This policy will follow LEIA advice that asbestos will be removed rather monitored to achieve high standards of compliance.

Obligations

- 4.1 The Council is 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 take responsibility for the health and safety of employees and other people using or visiting their premises so far as reasonably practicable.
- 4.2 Passenger lifts in workplaces (for example, offices and communal blocks), which are primarily used by people at work, are subject to the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) and the Provision and Use of Work Equipment Regulations 1998 (PUWER) as well as the 1974 Act referenced above.
- 4.3 The Council is 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 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.
- 4.4 Where stairlifts, hoists or through floor lifts have been provided in communal areas, the Council has 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 regular maintenance and inspection, (6-monthly, done to the standard of a thorough

examination). LOLER (thorough examination) and PUWER (maintenance and inspection) apply only to stairlifts provided as work equipment for use by employees.

- 4.5 Stairlifts in domestic properties are not subject to LOLER inspections, however, the council will ensure that these are maintained and inspected, at a minimum, every 6 months, subject to the condition of an individual stairlift, where the Council has installed the stairlifts.
- 4.6 Insurers may impose demands for similarly stringent levels of risk management to cover public liability

Statement of Intent

- 5.1 The Council acknowledges and accepts its responsibilities with regard to lift safety and the inspection and maintenance of lifts, stairlifts and hoists.
- 5.2 All lift, stairlift or hoist equipment in communal areas and any equipment in tenant's homes that was installed by the Council is the responsibility of the Council.
- 5.3 The Council 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.
- 5.4 The Council will appoint/train competent 'responsible persons' who will be responsible for the operation, condition and compliance with all relevant statutory requirements. This includes taking action (within the advised timescales) to remedy any faults or defects identified through routine inspections or insurer's thorough examinations.
- 5.5 The Council will ensure that it meets all of its legal requirements in regard to lift safety operations through a combination of regular inspections, thorough examinations (in conjunction with the organisation's insurers) and periodic routine maintenance of all relevant lifting equipment within properties it owns and manages.
- 5.6 The Council will ensure that all lifts in properties it owns and manages will be fully accessible for disabled users (as per the requirements of the Equality Act 2010, and to the specifications outlined in Part M of the Building Regulations 2004). The Council will work to remove asbestos from old lift motor rooms and brake pads.
- 5.7 The Council will endeavour to ensure that all lifts and lifting equipment in properties it owns and manages will be in full working order at all times. Where the Council becomes aware that lifts or lifting equipment are not operating as they should, emergency repairs orders will be issued to remedy faults as quickly on the timescales as stated below:

Repair Type	Target response times following work order issued	Target fix time following work order issued	Comments
Emergency	Entrapment 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 4 hours during between 8am – 8pm – Monday to Sunday	Fix where possible or make safe within 24 hours For stairlifts where there is not a complete breakdown but faults are appearing, the response time is within the first 48 hours of the report of the fault having been made	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 4 hours – Out of Hours	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.
Urgent	Within 24 hours	Fix within 5 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	Timescale to be agreed with the Council	This is for further works that may be required following a repair, Thorough Examination or Planned Preventative Maintenance (PPM) where the Council will advise of the target fix time

5.8 All lift repairs should be carried out in accordance with approved standards and the manufacturer’s instructions. Thorough Examinations should be undertaken by engineers who 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, supported by appropriate practical and theoretical knowledge and experience.

- 5.9 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 the Council immediately. For lifts in communal areas used by multiple residents Property Services will advise the Director of Housing and site staff so that residents can be kept informed.
- 5.10 The Council will ensure that all prescribed maintenance and relevant inspections is carried out on all known aids and adaptations designed for lifting operations, including platform lifts, stairlifts and hoists, in properties it owns and manages. These checks will take place every six months across all lifting equipment types and may be carried out more frequently where required in line with manufacturers' recommendations or following any void works which may impact the installation (provided the lift is not to be removed prior to a new tenancy commencing).
- 5.11 The Council will respond and take remedial action for any defects to aids and adaptations designed for lifting operations identified during routine use in line with the standard provisions for repairs and maintenance. All requests of this nature will be addressed.
- 5.12 Where access is required to a residential dwelling to carry out an inspection or planned preventative maintenance (PPM) visit (such as, for example, a stairlift or hoist or through floor lift) this will be managed in accordance with the Council's No Access policy.
- 5.13 Access attempts will start 8 weeks ahead of the due date for the inspection to ensure 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.
- 5.14 Access efforts will include appointment letters, phone calls and property visits by the contractor and their Tenant Management Officer, with further support from Landlord Services if required. The procedure should allow sufficient flexibility to accommodate residents' needs and circumstances.
- 5.15 The Council will ensure that there are clear procedures in place and these procedures are communicated to, and understood by, all relevant staff for appropriate action in the event of any persons becoming trapped in lifts the Council owns or manages.
- 5.16 The Council staff cannot 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.
- 5.17 The Council will have a service level agreement with lift maintenance service providers that ensures an emergency response in cases of entrapment.
- 5.18 The Council will aim to ensure all passenger lifts have an intercom fitted that dials 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 trapped. If there is an urgent concern for a person's welfare the emergency services will be called and asked to attend immediately.

- 5.19 The Council will ensure that all lifting equipment 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 examination in accordance with the equipment's examination scheme.
- 5.20 The Council will ensure that only suitably competent consultants, and engineers undertake works for the organisation in respect of lifts, stairlifts and hoists. Consultants will be employed to undertake visual inspections and audits, for quality assurance purposes, and liaise with the engineers as appropriate.
- 5.21 The Council 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. This will include removing asbestos from old lift motor rooms and brake pads.
- 5.22 The Council will ensure robust processes and controls are in place to ensure that any health and safety incident relating to lift safety is properly reported as required under RIDDOR. These include defects classed as 'immediately dangerous'.
- 5.23 The Council will ensure that robust processes and controls are in place to manage works to void and occupied properties that may affect existing lifts, stairlifts or hoists.
- 5.24 The Council will implement a robust process to deal with all changes to housing 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 that records remains up-to-date.
- 5.25 The Council will ensure contracts and service level agreements are in place with the contractors delivering the compliance service and ensure that all contractors' employee and public liability insurances are up to date on an annual basis..

Compliance Risk Assessment/Inspection Programmes

- 6.1 The Council 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.
- 6.2 To comply with the requirements of the Construction (Design and Management) Regulations 2015 (CDM) a Construction Phase Plan will be completed for all repairs work to void and tenanted properties (at the start of the contract and annually thereafter), 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 relevant written examination scheme, including any testing and maintenance.

- 6.3 The Council will carry out a programme of maintenance visits by competent persons to all properties that have a lift, stairlift or hoist and a written examination scheme in place where the Council has installed the stairlifts. These programmes will ensure that all maintenance and testing set out in the written examination scheme is fully completed at the times and intervals stated. This will include the removal of asbestos from old motor rooms and brake pads.
- 6.4 The Council will oversee a programme of thorough examinations of passenger lifts by competent contractors appointed by the Council's insurers. This is to ensure that the organisation's responsibilities towards lift safety are being discharged and provide its insurers with adequate assurance around the quality of lift safety management.
- 6.5 The Council will carry out a programme of independent third-party quality assurance audits annually to 10% of written examination schemes for lifts (where not included within the insurer's inspection programme). This is to ensure that all examinations and planned maintenance activities are being fully and robustly implemented and completed. This is additional to inspections carried out by the Council's insurers.

Compliance

- 7.1 The Council 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 where identified by a competent person, when undertaking required maintenance activities.
- 7.2 The Council 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 organisation's insurers.
- 7.3 The Council will ensure that there is a robust process in place to collate and record details of all remedial works completed against individual installations.
- 7.4 The Council will ensure there is a robust process in place to investigate and manage all RIDDOR notices issued with regard to lift safety.
- 7.5 The Council will maintain a core asset register of all properties with lifts, stairlift or hoist and written examination scheme in place. This register will also hold data against each property asset of the type, age and condition of lift plant in place.
- 7.6 The Council 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 carried out, together with the dates. This should include details about the state of operation and condition of the installation.

- 7.7 The Council will establish and maintain accurate records of all inspections carried out by its insurers, the findings of these inspections, and records of completed remedial works, where identified by insurer's inspections; including dates.
- 7.8 The Council 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.
- 7.9 The Council will keep a record of any entrapment incidents and will use these to inform future revisions of Examination Schemes.
- 7.10 The Council will hold and maintain accurate records on the qualifications of all consultants and engineers undertaking lift inspection and maintenance works for the organisation.
- 7.11 The Council will ensure robust processes and controls are in place to provide and maintain appropriate levels of security for all lift safety related data.
- 7.12 Robust performance indicator measures will be established and maintained to ensure the Council is able to report on performance in relation to lift safety.
- 7.13 Performance measures will be produced and provided at Corporate Leadership Team (CLT) as part of the reporting cycle, as required. As a minimum these measures will include reporting on:
- Compliance with written examination schemes for lift plant;
 - The number of entrapments within lifts (in month and year to date);
 - The number of outstanding high- and medium-level risk actions as identified in insurer's inspection reports;
 - The number of RIDDOR notices issued with regards to lift safety.
 - Communal (passenger) lifts with a valid insurance check (LOLER).
- 7.14 Performance will be monitored by Property Services and may also include:
- lifts with a completed service;
 - Communal (passenger) lifts with a valid insurance check;
 - Domestic (individual) lifts with a completed service.
- 7.15 In addition, performance reporting may also include (where necessary) written narrative on the current position, mitigating circumstances and/or progress on corrective action. The standard operating procedure for out of office hours maintenance can be found in Annex A to this policy.
- 7.16 The Council will carry out independent third-party quality assurance audits annually to a minimum of 10% of written examination schemes for lifts (where not included within the insurer's inspection programme) to ensure that all examinations and planned maintenance activities are being fully and robustly implemented and completed. This is in addition to inspections carried out by the Council's insurers.

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

Non-Compliance/ Escalation Process

- 8.1 The definition of non-compliance in relation to this policy refers to any incident which results in a potential breach of legislation or regulatory standard, or which causes or has the potential to cause a significant risk to health or safety.
- 8.2 Any non-compliance issue identified at an operational level will be formally reported to the Council's Director of Housing.
- 8.3 The Council's Director of Housing will agree an appropriate course of corrective action to address the non-compliance issue and report details of the same to the Corporate Leadership Team.
- 8.4 The Director of Housing will ensure Corporate Leadership Team (CLT) and the Council's Cabinet Member for Housing is made aware of any non-compliance issue so they can consider the implications and take action as appropriate.
- 8.5 In cases of a serious non-compliance issue the Corporate Leadership Team and the Council's Monitoring Officer 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.

Training

- 9.1 The Council will ensure that all operatives working for, or on behalf of, the organisation have the relevant training required for their role which will include asbestos awareness training. This policy and the procedures that support it will be subject to a range of training across the Council and will involve all relevant stakeholders. The training will be bespoke and tailored to the individual stakeholders and refresher training will be provided as appropriate.
- 9.2 Training will include team briefings for those employees who need to have a basic understanding and awareness of lift safety but who may not be directly involved in the delivery of the lift safety policy. This will be basic lift safety awareness training.
- 9.3 On-the-job training will be provided to those employees who will be responsible for managing the programme of lift inspections, planned maintenance and repair works as part of their daily job. The Council will have a designated lead Officer responsible for operational delivery who would 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).

Equality, diversity, inclusion, and vulnerability (including most at risk groups)

- 10.1 An Equality Impact Assessment (EqIA) has been carried out to determine whether the policy would have an impact on any member of staff, tenants, or contractor workforce, which unfairly discriminates or disadvantages them in the context of the Equality Act 2010.
- 10.2 Whilst the EqIA has identified that there are no particular groups who will be unlawfully disadvantaged by this policy, it is identified that there are certain groups at increased risk from malfunctions of lifting equipment. These groups are:
- children
 - adults with learning difficulties
 - oxygen users
 - people taking certain medication
 - those suffering the effects of drugs and alcohol
 - adults aged 65 and older
 - people with disabilities
- 10.3 This policy aims to reduce the risks to these groups of people through proactively identifying these risk factors, raising awareness and education and making Safe and Well referrals to Oxfordshire Fire and Rescue Service where appropriate. [Keep safe and well | Oxfordshire County Council](#)
- 10.4 We will assess the needs of residents who inform us they have a disability such as a hearing impairment, visual impairment, and mobility issue, and will provide appropriate equipment or support.

Communication of the policy

- 11.1 This policy will be communicated internally to Oxford City Council staff and key stakeholders.

Resident communication

- 12.1 We regularly share information with residents. This is done through our resident community strategy which includes sharing regular safety messages through resident emails, letters, leaflets, and social media.
- 12.2 Key content from this policy will be included in the [Oxford City Council Welcome Pack and Oxford City Council webpage](#).
- 12.3 A full copy of this policy will be made available via the Oxford City Council website

Resident Engagement

- 13.1 Oxford City Council is committed to providing a high level of customer care and positive communication.
- 13.2 Further monitoring of feedback will take place through resident surveys and this intelligence will be used to inform future reviews of this policy.

- 13.3 Periodic engagement with residents will take place to ensure that this policy, along with other policies, remain customer facing.
- 13.4 Residents who are wanting to report a non-urgent safety concern can do so by using the link below: [Report a Building Safety Concern with council housing | Instructions – Oxford City Council](#)
- 13.5 All emergency and urgent safety reports should be made to 01865 249811.

Policy review

- 14.1 A full policy review will take place in response to any changes in legislation, significant events that may impact on the policy, or at periods not exceeding 2 years.

Appendix 1: OCC Guidance, Procedures and Policies

- **Oxford City Council Safeguarding Policy**
- **Oxford City Council Equality, Diversity and Inclusion Strategy**

This Policy supports objectives detailed in the [OCC Strategy 2024-2028](#):

Appx 2 OCC Objectives

This Policy supports objectives detailed in the [OCC Corporate Strategy 2024-2028](#):

- Housing, Homelessness and Rough Sleeping Strategy 2023 to 2028
- Meet the Housing Needs of Vulnerable Groups
- Support Sustainable Communities
- Good Quality Homes For All
- Thriving Communities Strategy

Annex A

Standard Operating Procedure for After-Hours Lift Maintenance

Purpose

This Standard Operating Procedure (SOP) outlines the steps to be followed when carrying out lift maintenance outside regular operating hours. The objective is to ensure safety, compliance, and minimal disruption to building occupants.

Scope

This SOP applies to all maintenance personnel and contractors responsible for lift servicing in the premises during evenings, nights, weekends, and public holidays.

Procedure

1. Pre-Maintenance Preparation

2. Obtain written authorisation from building management for out-of-hours access.
3. Notify security and relevant stakeholders of scheduled maintenance, including estimated start and end times.
4. Ensure all required tools, PPE, and lift maintenance documentation are available.

5. Site Access and Safety

6. Sign in at security and collect access keys or passes.
7. Display warning signage at lift entrances and on the affected floors to inform occupants of maintenance work.
8. Ensure the lift is taken out of service and locked off before commencing work.

9. Maintenance Activities

10. Follow manufacturer's guidelines and safety protocols during all maintenance tasks.
11. Record all actions, parts replaced, and observations in the maintenance log.
12. Report any hazards or defects identified during maintenance to management immediately.

13. Completion and Handover

14. Test the lift thoroughly to confirm safe operation.
15. Remove signage and restore lift service for occupants.
16. Sign out with security and submit maintenance reports to building management.

Emergency Procedures

If an incident occurs during maintenance, immediately contact building security and emergency services. Follow established protocols for evacuation and reporting.

Documentation

All maintenance records should be completed and filed with the HRA Assets Team within 24 hours of the work being conducted.

Review

This SOP should be reviewed annually or following any major incident or regulatory change.

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