

Paragon Asra Housing Limited

PA Housing LIFT POLICY

December 2021

Policy Owner

**Charles Ellis, Assistant Director of Asset
Management and Compliancy**

Officer Drafting

Jitesh Jivram

Department

Maintenance Team

Approved by

EMT

Next review date

December 2024

Contents

		Page
1	Policy Statement	2
2	Roles and Responsibilities	3
3	Management Plan	4
4	Data	4
5	Key Activities to Manage Risk	6
6	Communications with Stakeholders	11
7	Monitoring and Assurance	11
8	Competence	13
9	Consultation	14
10	Equality Impact Assessment	14
11	Policy Review	14
12	Amendment Log/Version Control	14

Paragon Asra Housing Limited PA Housing is committed to equality and diversity. This policy has considered the Equality Act 2010 and its protected characteristics which are: race, gender, gender reassignment, disability, religion or belief, sexual orientation, age, marriage, civil marriage and partnership, and pregnancy and maternity explicitly.

We will make sure that all our communication is fully accessible and to achieve this if a policy or document needs to be available in other formats, we will provide them.

1. Policy Statement

- 1.1 **Paragon Asra Housing Limited PA Housing** owns and manages a range of assets including single dwellings and non-domestic assets. The key objective of this Policy is to describe how PA Housing will manage Lift Safety Risk so far as is reasonably practicable. This includes:
- The identification of its specific responsibilities for each of its Assets.
 - The creation of an Lift Safety Management Plan (LSMP) and associated staff training to provide guidance on the implementation of the commitments contained in this Policy.
 - The key activities (e.g., thorough examination and maintenance) that PA Housing undertakes.
 - Maintaining competent staff and contractors.
 - Communication internally and with customers and other stakeholders
 - How the PA Housing Board, as Duty Holder, will delegate responsibility for the implementation of this Policy, monitor its effectiveness and receive assurance of compliance.
- 1.2 The scope of this Policy includes passenger lifts and other lifts/lifting equipment (e.g., hoists, platform lifts, stair lifts) used to lift people as its principal function. For the avoidance of doubt, it is only the thorough examination and maintenance of lifting equipment for which PA Housing is responsible that is dealt with in this policy. Risk assessment and management controls - including any pre-use checks which may apply to lifting equipment and accessories - relating to lifting operations as part of care and support activities are dealt with elsewhere.
- 1.3 PA Housing will seek to comply with all current and relevant statutory obligations, including the following where applicable:
- The Housing Act 2004.
 - LOLER (Lifting Operation and Lifting Equipment Regulations) 1998
 - PUWER (Provision and Use of Work Equipment Regulations) 1998
 - Landlord Tenant Act 1985.
- 1.4 PA Housing takes the view that delivery of the commitments within this Policy will ensure that the requirements of other legislation, such as the Health and Safety at Work Act 1974 and Landlord Tenant Act 1985, will also be met.
- 1.5 In addition, PA Housing must meet the requirements of both the Regulator of Social Housing's (RSH) Home Standard and the requirements of the Care Quality Commission (CQC).
- 1.6 The application of LOLER and PUWER can be complicated and how they apply will vary across the PA HOUSING portfolio (e.g., they may not apply where a lift is not used by people at work). However, PA Housing will generally take the view that a similar regime is required to manage the risks associated with lifting equipment

whether they apply and will apply such a regime where it is reasonably practicable to do so. In any case, insurers may impose demands for similarly stringent levels of risk management to cover public liability.

- 1.7 Our primary objective is to ensure that customers, contractors, staff, and visitors remain safe in our premises (both Domestic and Non-Domestic). Failure to properly discharge our legal responsibilities may also result in:
- Prosecution under the Health and Safety at Work Act 1974, or Corporate Manslaughter and Corporate Homicide Act 2007.
 - Regulatory intervention (via scrutiny and potential determination of a breach of the Home Standard and serious detriment having been caused/potentially caused) by the RSH or CQC.
 - Reputational damage.
 - Loss of confidence by stakeholders in the organisation.
- 1.8 This Policy statement establishes the broad framework for compliance with the key statutory and regulatory obligations.

2. Roles and Responsibilities

- 2.1 Detailed roles and responsibilities will be documented within the LSMP and associated Operational Guidance. The overarching roles and responsibilities are as follows:

The PA Housing **Board** has overall responsibility for approving this Policy, delegating responsibility for its implementation, monitoring its effectiveness at high level, and receiving assurance of compliance. The PA Housing Board will also ensure that there is a system in place that provides adequate protection from detrimental treatment or victimisation for anyone making disclosures that they genuinely believe to be necessary in the interests of Lift Safety.

The **Audit Committee** will be responsible for ensuring that the PA Housing Board receives the assurance it requires.

The **Chief Executive Officer (CEO)** will be responsible for the implementation of the Policy and will allocate responsibilities within the Executive Team and ensure that there is adequate management, monitoring and visibility of performance. The CEO will recommend this Policy to the Board on behalf of the Executive Team (EMT).

The **Assistant Director of Asset Management & Compliancy** will take overall responsibility for the delivery of the Policy commitments described in the Data, Key Activities to Manage Risk and Communications sections of this Policy. The **Assistant Director of Asset Management & Compliancy** will attend the Audit committee meetings and ensure that areas of non-performance are reported and escalated where required. All potential, material non-compliance will be reported to the CEO/ EMT irrespective of whether this relates to a KPI scrutinised by the EMT or other groups.

The **Assistant Director of Asset Management & Compliancy** will take overall responsibility for planning and implementing the assurance activities described in this Policy and for the effective upward reporting of performance.

All Assistant **Directors** will take responsibility for ensuring that staff and contractors they employ have the skills, knowledge, and expertise necessary to deliver the commitments outlined in the Policy. Directors will identify Competent Person(s) (internal or external) suitable for the delivery of specific tasks.

Competent Person(s) will have a responsibility to identify any concerns about their own competency for the task that they are being asked to undertake and recommend additional competency is procured where required.

3. Management Plan

3.1 PA Housing will maintain a Lift Safety Management Plan (LSMP) and associated Operational Guidance which shall:

- Provide additional guidance on how the commitments outlined within this Policy will be implemented.
- Provide clear lines of responsibility for the management of Lift Safety.
- Set out key Operational Processes.
- Ensure that a clear and consistent process is in place to obtain access to properties where this is required. This will include pro-active assessment of available data for relevant information about the customer to help gain access (disability, vulnerability, local connections, etc.). Tenancy enforcement action will be used where required.
- Maintain a process for dealing with unsafe situations.
- Identify all other policies linked to delivery of this policy.

3.2 All staff who have roles identified in the LSMP will receive associated training appropriate to their role.

4. Data

4.1 PA Housing acknowledges that to meet its obligations it must maintain a robust approach to identifying the Assets and components for which it has responsibility. PA Housing will:

4.1.1 Maintain an up-to-date master database of all properties that will indicate both where it does and does not have a responsibility for lift equipment. This will include the identification of properties where PA Housing has no responsibility but has an interest (e.g., a block managed by others but PA Housing owns a leasehold dwelling).

4.1.2 Where a requirement for lifting equipment exists hold full copies of the current and previous thorough examination records over the past 3 years along with key reportable and auditable information from the same including but not limited

to: the unique property reference (UPRN); lift and installation type; date of last examination; and date of next examination.

- 4.1.3 Where a specific examination scheme exists for a lift, hold full copies of the current and previous schemes along with key reportable and auditable information from the same including but not limited to the unique property reference (UPRN); lift and installation type; detail of the control activities recommended including the recommend frequency; date of last activity; and date of next activity.
- 4.1.4 Where a requirement for the maintenance or inspection of lifting equipment exists hold reportable and auditable information including but not limited to: UPRN; type and location of equipment; maintenance frequencies; last date completed; and next date due. These will generally be held electronically but there may be instances where a hard copy is kept on site and in this instance additional controls will be in place as detailed in the Lift Safety Management Plan.
- 4.1.5 Maintain current and auditable records of remedial works arising from the thorough examination or other lift safety related inspection, testing or maintenance. The records will include UPRN; detail of the work item required; priority and target completion date; person responsible; completion date and associated sign off; and evidence of completion.
- 4.1.6 Where PA Housing has no responsibility for a lift safety activity described in this policy but has one or more residents living within a block where one may be required, PA Housing will write to the responsible person on an annual basis asking for written confirmation that:
- They are fully aware of all relevant legislation and their obligations.
 - All relevant activity - including but not limited risk assessment, inspection, testing, remedial works, and maintenance - has been undertaken by a person competent to do so and is not overdue.
 - They are in full compliance with all relevant legislation.
 - PA Housing has been informed of any material issues relating to resident health and safety.

Where PA Housing does not receive an adequate response, it will take reasonable steps to follow this up. Further details will be contained within the Management Plan. Records will be kept for the current and previous year.

- 4.1.7 The approach to data control will be documented in the Data Management Protocol and LSMP.

5. Key Activities to Manage Risk

5.1 Thorough Examination

5.1.1 A thorough examination is a systematic and detailed examination of the lift and all its associated equipment by a competent person. Its aim is to detect any defects which are, or might become, dangerous, and for the competent person to report them to PA Housing. PA Housing will ensure that a competent person undertakes thorough examinations of all lifts and associated equipment covered by this policy on the following basis:

- Before first use
- Following major modification, damage or change of use
- At void stage (if the lifting equipment is to be retained for use by the new tenant)
- Regularly whilst in service. This will be every 6 months unless there is a written scheme of examination recommended by a competent person that indicates that an alternative frequency is appropriate.

5.1.2 The extent of the thorough examination will depend on the professional judgement of the competent person undertaking the examination, but PA Housing shall specify that it needs to include all matters which affect the safety of the lifting equipment, including likely deterioration with time, and shall follow industry guidance.

5.1.3 Where the frequency of thorough examination varies from the general 6 month outlined above, PA Housing will hold clear written evidence of the alternative examination scheme. This will be periodically reviewed by a competent person to ensure it remains appropriate.

5.1.4 The thorough examination may identify that additional inspection, supplementary testing or remedial works are required. All follow-up actions will be time-bound and PA Housing will seek to undertake the recommended actions in timeframes recommended by the competent person. Any proposed changes to the agreed actions or completion targets will be documented, agreed by a Competent Person, and proposed to the HSC for approval. The decision will be recorded and reported within the Key Performance Indicators (KPIs) to ensure clear visibility.

5.2 Inspection and Maintenance

5.2.1 PA Housing will undertake maintenance and inspection in addition to the thorough examination. The nature and frequency of maintenance and inspection activity will be based on the specific equipment and shall take account of manufacturer's instructions, any recommendations from thorough examinations and any risk assessment by a competent person. In the absence of manufacturer's instructions, the advice of a competent person will be sought and recorded.

5.2.2 Inspection or maintenance activity may identify that additional inspection, supplementary testing or remedial works are required. All follow-up actions will be time-bound and PA Housing will seek to undertake the recommended actions in timeframes recommended by the competent person. Any proposed changes to the agreed actions or completion targets will be documented, agreed by a Competent Person, and proposed to the HSC for approval. The decision will be recorded and reported within the Key Performance Indicators (KPIs) to ensure clear visibility.

5.2.3 Inspection or maintenance activity may also identify improvement recommendations that do not affect safety but may be recommended to enhance the lift (e.g., accessibility). These will be recorded separately and dealt with as part of future planned maintenance activity were reasonably practicable.

5.3 Resident Commissioned Works

PA Housing will maintain a consent process for any resident commissioned works that involve lifting equipment. Approval will not be unreasonably withheld, although consent may be refused or conditions imposed where appropriate. Conditions may include a requirement for the resident to commission appropriate maintenance and inspection activity.

Where unauthorised work with the potential to impact safety is discovered, PA Housing will take the appropriate action to remove or remedy. The cost of doing so may be recovered from the resident.

5.4 Management

PA Housing will:

- Implement a risk-based approach to the periodic inspection of communal areas to ensure areas containing lifting equipment are locked and no visible signs of vandalism or damage to lifting equipment exist.
- Maintain a clear staged access process to gain access to properties to undertake the activities described above. This shall include enforcement action when required. PA Housing will proactively assess available data for relevant information about the customer to help gain access (disability, vulnerability, local connections, etc.).
- Enforce resident responsibilities where required considering a balance of individual residents' rights with the need for effective, timely action where there is a risk to the safety of other residents.

5.5 Repairs and Maintenance Activity

PA Housing will deal with any reported repair requirements in accordance with the Repairs Policy. All works will be undertaken by people competent to do so.

5.6 Planned and Major Works

Planned maintenance or upgrade programmes commissioned by PA Housing to buildings that include work to lifts will be subject to review by a competent person to consider their impact. PA Housing will ensure that any existing risk assessments, maintenance and inspection programmes and examination schemes are reviewed before and after major works programmes where required. PA Housing will ensure that for any lift works:

- Anyone appointed to undertake design or construction activities can demonstrate the necessary competence to discharge their responsibilities relating to lift safety.
- Request reasonable assurance that duty holders have demonstrated that resident safety and accessibility can be assured during the works.
- Engage with residents on matters that affect them.
- Request reasonable assurance that duty holders have complied with the building regulations and other applicable standards in relation to lift work where required
- Request reasonable assurance that there is an appropriate site inspection and sign-off programme in place for the stages of the work.

PA Housing will ensure that all necessary information relating to commissioning and installation certification, and future maintenance requirements is completed and handed over prior to the lift being put in to service.

5.7 Construction

There are detailed requirements on PA Housing as a Client during construction projects and these are considered elsewhere. However, in general PA Housing will ensure:

- It cooperates and shares information with stakeholders at key stages prior to and during construction.
- that the people it employs are competent to do the work they are undertaking.
- compliance with the building regulations and specific regulatory requirements imposed upon it.
- appropriate approvals are in place and that all information is handed to over to Operations prior to any occupation.

6. Communication with Stakeholders

6.1 Internal

Operate a HSC comprising of a cross organisation team of staff. Terms of Reference of the Group will be included in the LSMP.

6.2 Staff

PA Housing will train relevant staff where their work involves the use of lifting equipment.

6.3 Residents

PA Housing will encourage lift safety by the following actions:

- Periodically inform residents of the importance of reporting any issues with lifts through the provision of information via website, newsletters, and leaflets.
- Maintain a clear approach to gaining access to carry out works and be clear that enforcement action may be taken when it is necessary to do so.
- Maintain a clear complaints process and monitor and record complaints that indicate a risk to safety.

7. Monitoring and Assurance

7.1 Monitoring

7.1.1 The following Performance Indicators (PIs) and Key Performance Indicators (KPIs) will be reported to the Risk & Audit Committee (RAC), Executive Team or Board at the frequencies outlined within the LSMP:

- Assets with a passenger lift having valid thorough examination within its due date as a percentage of total assets with a passenger lift.
- Assets with a passenger lift where all maintenance and inspection activity is within its due date as a percentage of total assets where a passenger lift is present.
- Assets with other lifts having valid thorough examination within its due date as a percentage of total assets with other lifts.
- Assets with other lifts where all maintenance and inspection activity is within its due date as a percentage of total assets where other lifts are present.
- Actions arising from thorough examinations, inspection or maintenance activity that are overdue as a percentage of total outstanding actions.
- Assets with actions arising from thorough examinations, inspection or maintenance activity that are overdue as a percentage of total assets where a lift is present.
- Number of safety occurrences - including any reported lift safety related occurrence reporting (e.g., to the HSE or Regulator) during the reporting period.

7.1.2 These PIs or KPIs will be reviewed periodically by the HSC and additional/amended measures may be recommended.

- 7.1.3 Where appropriate, KPIs will include the total number of actions or buildings required and the total number within target as well as percentage figure.
- 7.1.4 Commentary will be provided for any properties or actions out of date to include the date they became overdue, days overdue, and the action proposed to bring them back into a compliant position. To provide additional context, commentary will also include information on the proportion of activities within the reporting period that were undertaken before and after their due date.
- 7.1.5 A detailed PI suite will be defined within the Management Plans and monitored by Operations Teams.

7.2 Assurance

The following assurance activity will be undertaken:

- External checking independent of the Operational Teams to provide additional assurance around the accuracy of data and reporting. The approach will be documented within the Data Management Protocol and will include sample testing of the accuracy of data and the operation of controls. The outcomes will be reported to the HSC.
- Internal audit to provide independent assurance on the operation and effectiveness of controls. Frequency agreed as part of the **Internal Audit Programme** and reported to Audit and Risk Committee.
- Works based quality assurance to test the quality of work delivered. This will be at levels detailed within the LSMP and reported to HSC.

8. Competence

- 8.1 It is not possible to succinctly define competence requirements for all roles and activities outlined in this Policy. In many areas, competence will be assessed based on skills, knowledge and experience as opposed to a single qualification or standard. As defined above, PA Housing has a system of Directors evaluating competence within their areas of responsibility and Competent Person(s) are required to highlight the limits of the competence.
- 8.2 However, in relation to lift safety work PA Housing will appoint a competent person internally or, if the skills do not exist internally, appoint an external competent person to provide retained advice and support in relation to lift safety.
- 8.3 For all thorough examinations, examination schemes and supplementary testing, PA Housing will use companies that are UKAS Accredited to ISO/IEC17020 standard. This will not be the same person who undertakes routine maintenance of the equipment - as they would then be responsible for assessing their own maintenance work.

8.4 Specific areas of competence relating to inspection and maintenance activity are listed within the LSMP along with a procedure outlining the reasonable steps PA Housing will take to ensure the competence of those carrying out work who are not under its direct control.

9. Consultation

9.1 This Policy is based on legislative and regulatory requirements and as such consultation with customers has not taken place. There has been consultation with Teams within PA Housing.

10 Equality Impact Assessment

10.1 An Equality Impact Assessment (EIA) will be undertaken on this Policy. See the full EIA document for further details.

11. Policy Review

11.1 The Policy will be reviewed upon any change to legislation or major guidance documentation, and at least every 36 months (or earlier if deemed necessary through the Monitoring and Assurance Process).

12. Amendment Log/Version Control

12.1 Revision Detail/Record:

Date of Revision:	Record of Amendments:	Reason for Revision:	By Whom: Name and Title