
Passenger lift safety management

September 2025

Housing Services

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| Document Responsibility | | |
|-------------------------------|----------------------------------|------------------|
| Name | Document title | Service |
| Alex Ranson/Jonathan McKinlay | Passenger lift safety management | Housing services |
| | | |

| Document Version Control | | | |
|--------------------------|-----------|-------------------------------|--------------------|
| Date | Version | Issued by | Summary of changes |
| September 2025 | 1.0 Draft | Alex Ranson/Jonathan McKinlay | N/A |
| | | | |

| Policy Review | | | |
|---|----------------|-------------------------------------|------------------|
| Updating frequency | Review date | Person responsible | Service |
| Every 3 years or if there is a change in relevant legislation | September 2028 | Safety, Health & Compliance Manager | Housing Services |
| | | | |

| Document Review and Approvals | | |
|-------------------------------|-----------|-------------------|
| Name | Action | Date |
| Housing Committee | Consulted | 09 September 2025 |
| | | |

1 INTRODUCTION

1.1 Purpose & Scope

1.1.1 Stroud District Council (the Council) owns and manages a range of assets including single dwellings and non-domestic assets, which contain passenger lift installations and other lifting equipment to support mobility of persons. These range from hydraulic/electric passenger lifts, platform lifts, scissor lifts, stair lifts and hoists that belong to the Council in communal areas and Council owned accommodation. The key objective of this Policy is to describe how the Council manages lift safety so far as is reasonably practicable.

1.1.2 This includes:

- The identification of its specific responsibilities for each of its Assets.
- The creation of a Lifts 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., Lift Installation Condition Reporting) that the Council undertakes.
- Maintaining competent staff and contractors.
- Communication internally and with customers and other stakeholders.
- How the Council as Duty Holder, will delegate responsibility for the implementation of this policy, monitor its effectiveness and receive assurance of compliance

1.1.3 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 Stroud District Council 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.

1.1.4 The Council seeks 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
- The Social Housing (Regulations) Act 2023

1.1.5 The Council takes the view that delivery of the commitments within this policy ensures 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.

1.1.6 The application of LOLER and PUWER can be complicated and how they apply will vary across the Council portfolio (e.g., they may not apply where a lift is not used by people at work). However, the Council will generally take the view that a similar regime is required to manage the risks associated with lifting equipment whether they apply or not 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.

1.2 Terms and definitions

In this policy:

1.2.1 LOLER - Lifting Operations and Lifting Equipment Regulations 1998

1.2.2 PUWER - Provision and Use of Work Equipment Regulations 1998.

1.2.3 Competent Person - A Competent Person is someone who has sufficient training, experience or knowledge (and/or other qualities) that allow them to assist an organisation meet the requirements of Health and Safety Law.

1.2.4 SAFed - The Safety Assessment Federation

1.2.5 LEIA - Lift and Escalator Industry Association

1.2.6 Unique Property Reference Number (UPRN) - A Unique Reference Number applied to every Asset (including Property and Land) within the council's data management packages – including those used for the management and delivery of Landlord Compliance obligations – and used ensure every Asset can be accurately identified

1.2.7 Stroud District Council – “The Council”

2 ROLES AND RESPONSIBILITIES

The Council has a hierarchy of officers responsible for the Lifting Operations and Lifting Equipment Regulations (LOLER) 1998. The table below lists those responsible and their respective positions:

- Stroud District Council – Duty Holder
- Chief Executive – Delegated Duty Holder
- Strategic Director of Communities – Senior Duty Holder
- Health, Safety and Compliance Manager – Delivery Duty Holders
- Housing/Site Officers
- Data Administrator
- Contractor Responsibilities
- Competent Persons Responsibilities

- Tenant Responsibilities
- Leaseholder Responsibilities

2.1 Delegated Duty Holder

2.1.1 The Council is a 'Duty Holder' as defined within Lifting Operations and Lifting Equipment Regulations (LOLER) 1998 and the Provision and Use of Work Equipment Regulations (PUWER) 1998

2.2 Statutory Duty Holder

2.2.1 The Chief Executive Officer is a statutory duty holder and, as the senior person responsible, has overall accountabilities for all aspects of the management of health and safety in the Council.

2.2.2 Retains overall responsibility for the monitoring of the consistent implementation of this policy.

2.2.3 Effectively comply with the regulatory standards through the implementation of this policy.

2.2.4 If the regulatory standards are not maintained, to report any breach in standards to the regulator of social housing.

2.3 Senior Duty Holder

2.3.1 The Senior Duty Holder has a responsibility to support this policy by ensuring the allocation of resources including an adequate budget, suitable procurement, suitable and sufficient equipment, personnel, time and training.

2.4 Delivery Duty Holder

2.4.1 To enable any new lifting equipment, once installed, is notified to the Council's Insurance Officer to be included in the LOLER inspection schedule.

2.4.2 To ensure that all activity required for compliance within this policy is carried out.

2.4.3 Enabling all lifting equipment to be serviced in line with manufacturer's recommendations and instructions.

2.4.4 Acting promptly to remedy any defects and ensuring that any documentation complies with regulations.

2.4.5 The LOLER inspection report will provide a list of defects and observations.

2.4.6 Where defects are found which affect safety, or are highlighted as requiring immediate rectification, this will be implemented or taken out of use, after liaising with the competent person.

2.4.7 Any other defects identified, which have not been given a specified time will be

completed as soon as possible or by the next service visit, but within six months of notification.

- 2.4.8** Any recommendations identified in the LOLER inspection report as observations will be carried out as part of a planned works programme.

2.5 Housing/Site Officer

- 2.5.1** Will aid and support the delivery duty holder to gain access into Council owned communal areas and tenanted dwellings.

- 2.5.2** Keep keys or access devices for machine and/or plant rooms secure on premises and accessible for the contractor or competent person.

- 2.5.3** To perform weekly visual operational functional inspection to passenger lifts in communal areas within residential blocks and including the property care LittleCombe depot.

2.6 Data administrator

- 2.6.1** Keeping records of compliance for lifting equipment.

- 2.6.2** Responsible for retaining testing, servicing, maintenance records and LOLER inspection records.

- 2.6.3** Making relevant documentation and reports available to the delivery duty holders.

2.7 Competent Person

- 2.7.1** Conducting thorough examinations, after installation or relocation and before first use, and at regular intervals of every 6 months.

- 2.7.2** Identify and report defects or weakness that could compromise safety. Immediately report any serious or imminent dangers to the delivery duty holders. Provide a written report detailing; equipment details, date of examination, defects found and recommendations for corrective action.

- 2.7.3** Maintain accurate and up-to-date records of all examinations and reports. Ensure records are accessible for inspection by the delivery duty holder and/or enforcing authorities.

- 2.7.4** Ensure equipment suitability, confirm that passenger lifts are fit for purpose, properly marked with safe working load and other regulatory information and suitable and safe for lifting people

- 2.7.5** It is important that the competent person has independence and impartiality, the competent person should never be the same individual and/or organisation that is responsible for routine maintenance.

- 2.7.6** Possess both theoretical and practical knowledge of lifting equipment. Be trained

and experienced in identifying and assessing defects. To ensure appropriate certification and formal training records is available to the delivery duty holder.

2.8 Contractor

- 2.8.1** Ensure only competent and experienced operative undertake work for which they have the appropriate skills to carry out.
- 2.8.2** To perform servicing of lifting equipment in line with a service schedule produced in-cooperation with the delivery duty holder.
- 2.8.3** To perform maintenance as per the contract with the Council, and to notify the delivery holder of any recommended works outside of the contract scope.
- 2.8.4** Liaise with tenants in relation to arranging/keeping appointments.
- 2.8.5** Provide appropriate, complete and correct certification for all lift safety works.
- 2.8.6** Ensure the safety of all lifts and lifting equipment, identifying or pre-empting potential actions or failings which are reported to the delivery duty holders for actioning.
- 2.8.7** Monitoring and responding to passenger lift carriage auto-diallers and responding to breakdown and entrapment notifications. Either directly from building tenants or via contact from an employee within the Council's housing team.

2.9 Tenant

- 2.9.1** Tenants must give access to the competent persons and/or contractors to inspect the condition of, or to carry out repairs or improvements to the property, including lifting equipment.
- 2.9.2** For all adaptations installed by the tenant or household member at their own expense, the tenant must obtain written permission from the council before carrying out the works.
- 2.9.3** For all adaptations (including lifts and lifting equipment) required to enable the tenant to maintain independent living, the tenant will contact Gloucestershire County Council's Adult Social Care Services and arrange for an Occupational Therapist to undertake a risk assessment of the tenant's needs.

2.10 Leaseholder

- 2.10.1** For all adaptations installed by the leaseholder at their own expense, the responsibility for inspection and maintenance is solely their responsibility.

3 DATA

- 3.1** The Council acknowledges that to meet its obligations it must maintain a robust approach to identifying the assets and components for which it has responsibility and recording information related to the delivery of its control measures such as servicing and thorough examination.

The Council fulfils this by:

- 3.1.1** Maintaining an up-to-date master database of all properties that indicates both where it does and does not have a responsibility for lift equipment.
- 3.1.2** 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.
- 3.1.3** 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 UPRN; lift and installation type; detail of the control activities recommended including the recommend frequency; date of last activity; and date of next activity.
- 3.1.4** 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.
- 3.1.5** Maintaining 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 DELIVERY

4.1 Access

- 4.1.1** Tenants are required to provide reasonable access to Contractors to undertake Lift Safety Checks/Maintenance in accordance with their Tenancy Agreement. A clear and consistent process including front-line engagement and enforcement will be in place to obtain access to properties to undertake Safety Checks/ Maintenance, which shall include legal action when required.
- 4.1.2** The Council will pro-actively assess available data for relevant information about the customer to help gain access (disability, vulnerability, local connections, etc.).

4.2 Managing the Risk

4.2.1 PUWER and LOLER apply in workplaces and in non-workplace communal parts that may be used by workers. They may also apply in dwellings that contain equipment used by people in a work capacity. The application of LOLER and PUWER can be complicated, and its implementation will vary across the Council's portfolio. Strictly speaking, it may not apply where a lift is not used by people at work. However, in line with sector best practice, the Council will take the view that a LOLER/PUWER inspection regime is required to manage the risks associated with all lifting equipment – irrespective of whether LOLER/PUWER strictly applies. The council's management arrangements will reflect this, where it is reasonably practicable to do so.

4.2.2 Where there is a duty to manage the risk associated with lifting equipment, the Council will ensure an inspection and service is undertaken within specific time periods for all lifting equipment, dependent upon on the following:

- Lift Type
- Frequency of Use
- Age of Lift
- Manufacturer's Instructions

4.3 Lifting equipment responsibilities

There are two distinct types of lifts which are included with this policy.

4.3.1 Commercial Lifts

Used in communal areas within residential blocks and including the property care LittleCombe depot.

In accordance with best practice, the Council will ensure the same organisations who performs routine maintenance will not carry out the thorough examinations.

The delivery duty holder responsibilities for the council will sit within the Safety, Health and Compliance team.

4.3.2 Domestic lift equipment

Aids and adaptations within tenants' dwellings, either provided by the Council on receipt of the property by the tenant. Or, installed during a tenant's occupation following completion of the aids and adaptations process, detailed elsewhere.

The delivery duty holder responsibilities for the Council will sit within the Asset Data team.

4.4 The Thorough Examination

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 the Council. The Council 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.

In addition, the Council will ensure that:

- 4.4.1** Where Equipment is used for lifting people it is marked accordingly, and it should be safe for such a purpose, e.g. all necessary precautions should be taken to eliminate and reduce any risk.
- 4.4.2** Before Lifting Equipment (including accessories) is used for the first time, (unless the equipment has an EC Declaration of Conformity less than one year old and the equipment was not assembled on site) it must be Thoroughly Examined – this also applies after major modification, damage or change of use and at void (re-letting) stage if the Lifting Equipment is to be retained for use by any new, incoming tenant.
- 4.4.3** All Examination Work should be performed by a Competent Person (someone with the necessary skills, knowledge and experience).
- 4.4.4** Following a Thorough Examination/Inspection of any Lifting Equipment a report should be submitted to the Safety, Health & Compliance team by the Competent Person to ensure that the Council can take the necessary appropriate action.

4.5 SAFed Tests

- 4.5.1** Where concerns regarding the condition of the Lifting Equipment arise from a Thorough Examination, the Competent Person completing the Examination may request additional tests to be undertaken in accordance with The Safety Assessment Federation (SAFed) “Guidance on the supplementary tests of in-service lifts”
- 4.5.2** This is a Supplementary Inspection which includes a series of tests to support the Thorough Examination in order to establish the Equipment’s suitability for continued safe use.
- 4.5.3** SAFed Inspections will be documented in order to enable the subsequent Thorough Examination to be completed. Failure to complete the Supplementary Tests may preclude the completion of the subsequent Thorough Examination.
- 4.5.4** They are solely to support the Thorough Examination and it is ultimately the decision of the Competent Person carrying out that Thorough Examination as to

what Supplementary Tests are required and when.

4.6 Inspection and Maintenance

4.6.1 In addition to the Thorough Examination and in accordance with PUWER, the Council will ensure all lifting equipment is maintained to ensure it does not deteriorate to the extent that it may put people at risk and remains in an 'efficient state of good repair'. The frequency and nature of maintenance will be based on an initial condition survey from the maintenance contractors and will be reviewed yearly by the delivery duty holder in conjunction with the contractor and competent person.

4.6.2 The assessment considers the following:

- The manufacturers recommendations
- The intensity of use
- The operating environment (e.g. the effect of temperature, corrosion, weathering, user knowledge and experience)
- The risk to health and safety from any foreseeable failure or malfunction

4.6.3 PUWER relates to equipment provided for use at work, and the main requirements are detailed below:

- Equipment is suitable for intended use
- Equipment is safe for use, maintained in a safe condition, inspected to ensure it is correctly installed and does not subsequently deteriorate
- Used only by people who have received adequate information instruction and training
- Accompanied by suitable health and safety measures such as protective devices/controls (these will normally include emergency stop devices, adequate means of isolation from sources of energy, clearly visible marking and warning devices)
- Used in accordance with specific requirements for mobile work equipment and power presses

4.6.4 Servicing Requirements Detail

The details of the Council's servicing requirements are detailed in the table below:

| Activity | Description | Frequency | Who carries it out |
|---|---|--------------------------|-------------------------------------|
| Routine Maintenance of all lifting equipment | Checking and replacing worn or damaged parts, lubrication, replacing time-expired | Based on Risk Assessment | Carried out by contractors employed |

| | | | |
|--|--|---|--------------------------------------|
| | components, topping up fluid levels and making routine adjustments | Following adverse incidents | directly by Stroud District Council. |
| Commercial lifts – Visual operational function inspection | Visual and functional checks including non-lifting parts (e.g. checks that Alarm, Auto Dialler Equipment is operating correctly) | Weekly Following adverse incidents | On-site Staff |

4.6.5 Visual operational function inspection

In addition to the servicing and the competent person inspection of passenger lifts, the Council will ensure an inspection of the lifts is carried out each week by in-house staff or other approved persons as detailed in the Lift and Escalator Industry Association Guidelines (LEIA Guidelines 'Guidance on the Management of Lifts, Escalators and Similar Products' April 2009).

4.7 Remedial Works

4.7.1 Remedial works may be identified by LOLER/PUWER safety inspections, contractor service visits, council staff or reported directly by tenants. These can range from a missing sign to a full lift breakdown.

4.7.2 Remedial works prioritisation will be in accordance with the LOLER/PUWER Inspection Recommendation, unless otherwise agreed by a Competent Person.

4.7.3 If the Competent Person issues a reportable incident to the local Environmental Health Department and the Council it is essential that these works are completed at the earliest opportunity by the Contractor and written confirmation is issued to the delivery duty holder at the council, that the corrective works have been carried out within the completion date. This will allow the Council to let the local Environmental Health Officer that works have been completed to correct the reported item(s).

4.7.4 For Communal Sites the remedial works other than reportable incidents will be completed in accordance with the specified time indicated on the Thorough Examination Report or on the next maintenance visit following receipt of the thorough examination report. If this cannot be achieved the contractor must make the Council aware of the time when completion may be achieved.

4.7.5 For Domestic Sites the remedial works other than reportable incidents will be completed in accordance with the specified time indicated on the Thorough Examination Report or within 30 days following receipt of the Thorough Examination Report. If this cannot be achieved the contractor must make the council aware of the time when completion may be achieved.

4.8 Breakdowns

- 4.8.1** The Council will ensure it maintains a 24/7 service agreement with its service and maintenance contractor. This agreement will detail the timeframes for responding to a lift breakdown including when an entrapment happens.
- 4.8.2** All communal passenger lifts will be fitted with a two-way communication device to enable a trapped passenger to contact the maintenance service provider.
- 4.8.3** The service provider should notify the duty delivery holder of any breakdowns attended.

4.9 Lift Emergencies

- 4.9.1** In the event of any major Lift components failing, all lifts are fitted with fail-safe mechanisms to prevent injury. Any faults with the lift should be reported to the Council and the relevant contact number is placed in each block where there is a communal lift.
- 4.9.2** If there is an incident, as defined by the Health and Safety Executive (HSE), a Reporting of Injuries, Diseases and Dangerous Occurrence Regulation (RIDDOR) Form will be completed and sent to the HSE by the Safety, Health and Compliance Manager.

5 COMPETENCIES

5.1 Contractors Competency

- 5.1.1** For all thorough examinations and supplementary testing, the Council will use inspectors that are UKAS accredited to ISO/IEC17020 Standard.
- 5.1.2** All Council lifting equipment works will be undertaken by trained and competent contractors, with appropriate and theoretical knowledge and experience of the particular lifting equipment.
- 5.1.3** The Council will use lift and escalator industry association (LEIA) affiliated contractors for all repairs, servicing and new installations.
- 5.1.4** All Council contractor competencies will be subject to annual assessment or at change of contract/contractor.

5.2 Internal Competency

- 5.2.1** The Council will maintain a skills/training matrix to ensure that all staff involved in the process and procedures included in this policy have appropriate training.
- 5.2.2** The Council operates a robust individual appraisal process between all staff and respective line managers to support the constant review of appropriate skills and training.

6 MONITORING AND ASSURANCE

6.1 Monitoring

- 6.1.1** The delivery duty holder will monitor appropriate sources for updates and changes to regulations, legislation and/or best practice guidance and review the necessity for amendments to this policy.
- 6.1.2** The delivery duty holder will report each month, to the compliance committee meeting group on key performance indicators.
- 6.1.3** The indicators report will be periodically reviewed by the compliance committee group and additional/amended measures may be recommended.
- 6.1.4** Where appropriate KPIs will include the total number of actions and/or buildings required and the total.
- 6.1.5** Indicators will include numbers within target as well as a percentage figure.
- 6.1.6** Commentary will be provided for any properties or actions out of date to include the date they became overdue, days overdue and the remedy/remedies 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.

6.2 Assurance

- 6.2.1** The Council will employ an additional independent full condition report every five years of its stock of commercial passenger lifts, to assess the quality and delivery of this policy, the contractors and competent persons in relation to the lifts safety.

7 COMMUNICATION

7.1 Tenants

The Council recognises the needs of tenants. The Council will ensure that tenants are communicated with and are responsive to their needs.

The Council will encourage lift safety by the following actions:

- 7.1.1** Periodically inform tenants of the importance of reporting any issues with lifts through the provision of information via website, newsletters, and leaflets.
- 7.1.2** 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.
- 7.1.3** Maintain a clear complaints process and monitor and record complaints that indicate a risk to safety.

8 REFERENCES

- Health and Safety at Work etc. Act 1974.
- Lift Regulations 2016
- The Workplace (Health Safety and Welfare) Regulations 1992
- Construction (Design and Management) Regulations 2015
- 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
- Supply of Machinery (Safety) Regulations 2008, as amended by the Supply of Machinery (Safety) (Amendment) Regulations 2011
- Building Regulations 2010 (including Part M).
- SAFed Guidelines on the supplementary tests in service lifts 2006.
- Management of Health & Safety at Work Regulation 1999.
- Lifting Operations & Lifting Equipment Regulations 1998 (LOLER).
- The Provision and Use of Work Equipment Regulations 1998. (PUWER)
- BS 7255:2012 Code of Practice for safe Working on lifts encourages the owners of lifts, built before 1999, to undertake a programme of improvements in accordance with current standards.
- BS EN 81-80:2019 Safety rules for the construction and installation of lifts. Existing lifts. Rules for the improvement of safety of existing passenger and goods passenger lifts
- BS EN 81-28:2018, 81-20:2020 & 81-50:2020 Safety rules for the construction and installation of lifts
- (LEIA Guidelines 'Guidance on the Management of Lifts, Escalators and Similar Products' April 2009)