


ESTATES SERVICE PROCEDURE			 UNIVERSITY OF LINCOLN
Subject: STATUTORY TESTING & MAINTENANCE OF LIFTS	ESP 41	Rev. 1	
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	Owner: M Skinner		

1.0 PURPOSE

This document provides guidance on lift inspection regimes and maintenance within the University campus. The following regulations apply:-

- The lift Regulations 1997
- The lifting Operations and the Lifting Equipment Regulations 1998 (LOLER) specifically regulation 9.

This procedural guidance details the requirements that must be met for all lifts on University premises and all the lifts where the University is the designated duty holder.

2.0 DEFINITIONS

2.1 Competent Person

A person with appropriate practical and theoretical knowledge and experience of lifting equipment as will enable them to detect defects of weaknesses and to assess their importance in relation to safety and continued use, currently for the University they are provided by Zurich (insurance approved inspectors).

2.2 Duty holder

Persons or organisations in control of non-domestic premises that provide passenger lifts must comply with their duties under LOLER and the Lifts Regulations 1997.

These duties include ensuring that passenger lifts are safe to use and they receive thorough examinations and, where appropriate, inspections. The University is classified as the 'Duty holder' with respect to all passenger lifts on its premises.

This is shown more clearly on the diagram overleaf;

University of Lincoln Vice chancellor (designated duty holder)



Director of Estates



Mechanical and Electrical Engineer, (delegated duty holder)

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2.3 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 delegated duty holder and if appropriate the Estates services Compliance Officer and/or the enforcing authority (the Health & Safety Executive) via the contact details show below:

Health & Safety Executive
City Gate West
Level 6 (First Floor)
Toll House Hill
Nottingham, NG1 5AT

So that appropriate remedial action can be taken. In order to determine the extent of the thorough examination, the competent person will assess the risks, considering factors such as where the lift will be used, frequency of use, age and condition of lift, the weights and types of loads to be lifted etc.

The competent person will determine what if any testing is required taking into account the relevant guidance.


Thorough examination should not be confused with preventative maintenance, although they may have some elements in common. Preventative maintenance usually involves replacing worn or damaged parts, topping up fluid levels and making routine adjustments to ensure risks are avoided. Thorough examination may act as a check that maintenance is being carried out properly, but is not intended to replace it.

The Health & Safety Executive guidance 'Through examination and testing of lifts' indicates that a thorough examination does consist of the following:

- Landing and car doors and their interlocks
- Worn and other gearing
- Main drive system components
- Governors
- Safety gear
- Suspension ropes
- Suspension chains
- Overload detection devices
- Electrical devices (including earthing, earth bonding, safety devices, selection of uses etc)
- Braking systems (including buffers and over speed devices)
- Hydraulics

(Note – this list is not exhaustive)

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3.0 PROCEDURE

3.1 Statutory requirements for Examinations and Inspections

As the Duty holder the University is legally responsible for ensuring that the lift is safe to use and that it is thoroughly examined. These responsibilities are all passed to the delegated duty holder, they include:

- maintaining the lift so that it is safe to use.
- Selecting and instructing the Competent person (currently Zurich (6 monthly checks) and a lift maintenance contractor.
- ensuring the lift is examined at statutory intervals of every 6 months (currently carried out by Zurich Insurance)
- keeping the competent person informed of any changes to the use or operation of the lift which may affect the risk assessment.
- making relevant documentation available to the competent person, e.g. manufacturer's instructions and maintenance records.
- Acting promptly (dependent upon risk assessment, usually within 6 hours for Urgent jobs) to remedy any defects. If it cannot be rectified within that timeframe or the risk is deemed so high the lift will be placed out of use and electrically isolated and locked off with appropriate signage displayed and the University Health & Safety Department informed and Study Disability Services (DART) as soon as practicable.
- ensuring that all documentation complies with the Regulations.
- Record keeping.

3.2 Selecting a Competent Person


It is the responsibility of the Director of Estates in conjunction with the maintenance Mechanical and Electrical Engineer and the Maintenance Manager to select a competent person to carry out routine inspections and maintenance on all the lifts not under warranty. Thorough inspections are carried out by lift engineers approved and supplied by Zurich Insurance who also ensure the 6 monthly regime is maintained. It is however the responsibility of the delegated Duty holder to inform them of new lifts and ensure they are added to the insurance database before the lifts enters the commissioning phase.

3.3 Action following notification of defects

The competent person is legally required to notify direct via email the delegated Duty holder as soon as practicable. If they do not receive an adequate response within 3 days for non-urgent work they are to forward the original email to the Compliance Officer for the Estates Services Department to action.

3.4 Documentation

The Competent person is legally required to supply the nominated Duty holder with a written and signed report of the thorough examination as soon as possible. This should normally be within 28 days. However if there is a serious fault refer to the end paragraph of 3.1 for guidance as to the timeframes permitted within the University.

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If the Competent person identifies a defect which presents an 'existing or imminent risk of serious personal injury' they are legally required to send a copy of the report to the Health and Safety Executive (contact details shown at 2.3)

In summary the report must contain certain information, specified in schedule 1 of LOLER, but also shown overleaf.

- Identify the equipment examined (serial number, make, etc) the employer and Duty holder, as well as the premises.
- Give the date of the last thorough examination and specify when the next one should take place.
- Specify the safe working load of the lift.
- Give the reason for the thorough examination (i.e. following installation or repair or return to service)
- Identify any defect that **is or may become a danger to people**
- Give the details of any repair, renewal or alteration required to remedy the defect and the **date by which it should be undertaken.**
- Give details of any tests carried out.

Give details of the person carrying out the report and the person validating the report on their behalf.

IF the report does not contain **ALL** of the above the University should not accept it as we have nobody in-house deemed competent who can complete the technical information legally required, for us to maintain or act upon.

3.5 Lift maintenance work

The Mechanical and Electrical Engineer, (delegated Duty holder) is responsible for ensuring that Competent persons are appointed to carry out maintenance works on lifts, and informing the University Health & Safety Department and DART team of planned maintenance activities in advance of the lifts being temporarily out of order.


Where possible a minimum of 3 working days' notice will be given.

3.6 Risk Assessments and Method Statements

Copies of suitable and sufficient Risk Assessments and Method Statements must be obtained from the appointed competent Contractor (Competent person) prior to any lift working being undertaken. Risk Assessments should include details of control measures to protect against:

- Work at height and protection against falls from a height
- Inadvertent start-up
- Protection against falling material
- Restricted space work

It is the responsibility of the delegated Duty holder to obtain site specific Risk Assessments and review them regularly.

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3.7 Permit to Work (hazardous areas)

Will not normally be required for maintenance work on the lifts as they have been designated as a restricted space, although some areas where access to other areas other than the lift shaft may require permits on occasions such as working at height (above open lift shaft), hot works or confined spaces (inside the lift motor room) as deemed appropriate by the delegated Duty holder.

4.0 LIFT STOPPAGE PROCEDURE

Arrangements are in place for the extraction of people in the event of a lift stoppage (they are shown in Appendix 1 of this procedure). Operations to extract people from lifts consider all aspects of this procedural guidance.

It is the responsibility of the delegated Duty holder to ensure any employee or contractor who carries out the extraction of people from lifts understand the hazards they are undertaking to ensure a successful conclusion of the operation in safety.

Appendix 1

Security – Lift Stoppage Procedure

Lift autodiallers are sequenced to relay emergency calls to Security.

On receiving a call between the hours of 8.30am to 5pm Security will notify the Facilities/Maintenance Support desk who will in turn notify the maintenance contractor on 01522 529268 (contracted lift maintenance emergency call out) and inform them they have a priority rescue with people stuck in a lift to be released as soon as possible.

Out of hours security will contact 08456066999

The following actions must be taken:

- 1) Security staff attend scene and calmly reassure those trapped in the lift car that help/recovery is on the way.
- 2) Ask bystanders to keep clear of the lift control area.
- 3) Call the Facilities and Maintenance Helpdesk for updates on expected attendance by lift contractor or trained staff.
- 4) Call the local Fire and Rescue Service if assistance is not available within 1 hour.
- 5) Remain in attendance for the duration until people released.
- 6) Prepare incident report.

Following a stoppage the Lift Sub-Contractor working for the maintenance Contractor will restore the electrical supply and return the lift to full service or ensure it is locked until full repair has been carried out.