



# Product standards

## LIFTS

**Guidance notes on the UK Regulations**

**November 1999**

**dti**

Department of Trade and Industry

Whilst every effort has been made to ensure that the information in this booklet is accurate, the Department of Trade and Industry cannot accept liability for any errors, omissions or misleading statements in that information, whether caused by negligence or otherwise.

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**IMPORTANT NOTE: THREE CHANGES HAVE BEEN MADE TO THE WORDING OF THE ANNEXES OF THE DIRECTIVE AS RECORDED IN THIS GUIDE AT THE REQUEST OF THE EUROPEAN STANDARDISATION COMMITTEE (CEN) TO BRING THE ENGLISH WORDING INTO LINE WITH THE EQUIVALENT WORDS IN FRENCH AND GERMAN. THESE ARE THE WORDS IN BOLD TYPE IN ANNEX A, CLAUSE 1.4.2; ANNEX A, CLAUSE 4.6; AND ANNEX D, CLAUSE 4 AND REFLECT THE IMPLEMENTATION OF THE DIRECTIVE.**

# Lifts - the Regulations in brief

European Parliament and Council Directive 95/16/EC of 29 June 1995 on the approximation of the laws of the Member States relating to lifts (the “Lifts Directive” has been implemented in the UK with effect from 1 July 1997 by way of the Lifts Regulations 1997.

Installers of lifts and manufacturers of safety components (“suppliers”) had the option of complying with the provisions of the Regulations or with existing national regulations in force on 29 June 1995, during a transitional period up to 30 June 1999.

From 1 July 1999, all suppliers have to comply with the Regulations. All lifts and safety components within the scope of the Regulations which are placed on the market and put into service in the United Kingdom, including imports, will have to:

- be safe (or in the case of a safety component enable the lift in which it is installed to be safe);
- meet the relevant essential health and safety requirements in their design, construction and installation;
- satisfy the appropriate conformity assessment procedures set out in the Regulations.
- carry CE marking;
- be accompanied by an EC declaration of conformity.

There are also duties concerning:

- liaison between installers of lifts and those responsible for work on the building or construction;
- keeping lift shafts free of extraneous piping, wiring or fittings;
- keeping and supplying relevant information to those who are entitled to it.

From 1 July 1999, the provisions of the Lifts Directive apply in the 15 Member States of the European Community and, in the remainder of the EEA (Norway, Iceland and Liechtenstein). Together the 18 states constitute the European Economic Area (EEA).

# Free movement of goods

Achieving the free movement of goods lies at the heart of achieving an open market for business in Europe.

In May 1985, the European Community Ministers agreed on a “New Approach to Technical Harmonisation and Standards” in order to fulfil this objective.

“New Approach” Directives (that is Community laws) set out essential requirements (for safety, for example), written in general terms which must be met before products may be sold in the United Kingdom or anywhere else in the EEA. European harmonised standards fill in detail and are the main way for business to meet the essential requirements. Products meeting the requirements of the respective Directives are to carry CE marking, which means they can be sold anywhere in the Community (which, in many cases, is extended to the EEA). Directive 95/16/EC is one of these “New Approach” Directives, which has been so extended.

# Lifts Regulations 1997 (S.I. 1997/831)

**Entry into force:** 1 July 1997. The Regulations apply to lifts and safety components first placed on the market and put into service on or after 1 July 1997.

**Transitional Arrangements:** The transitional period ended on the 30 June 1999 (see page 3).

**Coverage:** the Regulations apply to lifts and to safety components (as defined).

## Definitions -

**For the purposes of the Regulations, certain words are defined; these include:**

**Lift** means an appliance serving specific levels, having a car moving along guides which are rigid or along a fixed course even where they do not move along guides which are rigid (for example, scissor lifts) and inclined at an angle of more than 15 degrees to the horizontal and intended for the transport of:

- persons;
- persons and goods;
- goods alone if the car is accessible, that is to say, a person may enter it without difficulty, and fitted with controls situated inside the car or within reach of a person inside.

**Installer of the lift** means the natural or legal person who takes responsibility for the design, manufacture, installation and placing on the market of the lift and who affixes the CE marking and draws up the EC declaration of conformity.

**Placing on the market of the lift** (subject to certain exceptions in the Regulations - see page 9) occurs when the installer first makes the lift available to the user.

**Manufacturer of the safety components** means the natural or legal person who takes responsibility for the design and manufacture of the safety components and who affixes the CE marking and draws up the EC declaration of conformity.

**Safety components** are those which are listed in Schedule 4 to the Lifts Regulations (and Annex D of this Guide).

**Other components** are components for lifts other than those listed in Schedule 4 (NB this phrase is not actually used in the Lifts Regulations but see page 9 below).

**A model lift** means a representative lift whose technical dossier shows the way in which the essential health and safety requirements will be met for lifts which conform to the model lift defined by objective parameters and which uses identical safety components.

All permitted variations between the model lift and the lifts forming part of the lifts derived from the model lift must clearly be specified (with maximum and minimum values) in the technical dossier. (see regulation 13(2)(b).)

By calculation and/or on the basis of design plans it is permitted to demonstrate the similarity of a range of equipment to satisfy the essential health and safety requirements (see regulations 8(2)(a)(ii).)

**Exclusions:** The list of products to which the Regulations do not apply are specified in Schedule 14 to the Lifts Regulations - see Annex P of this Guide. Safety components for the lifts so specified are also excluded (see regulation 4(b).)

**Essential health and safety requirements (EHSRs):** lifts and safety components must satisfy the relevant essential health and safety requirements set out in Schedule 1 to the Regulations (see Annex A), or, in the case of a safety component, it shall enable the lift in which it is installed to satisfy those requirements. It should be noted that the essential requirements of the Construction Products Regulations 1991 (S.I. 1991/1620) also apply to lifts. It should also be noted that where the relevant hazard exists and is not dealt with in Schedule 1, the EHSRs of the Machinery Directive (Annex 1 of 89/392/EEC<sup>1</sup>, as amended, implemented in the UK in Schedule 3 to The Supply of Machinery (Safety) Regulations 1992 (as amended)) apply. The Machinery Directive principles of safety integration (see its EHSR 1.1.2) must apply in any event.

**Methods of complying with the Essential Health and Safety Requirements:** conformity with:

- harmonised standards, the reference for which has been published in the Official Journal of the European Communities; or
- in the absence of harmonised standards, existing national technical standards and specifications regarded as important or relevant to the proper implementation of the essential health and safety requirements; or
- the essential health and safety requirements themselves.

Paragraph 2.2 of Annex I to the Directive (Schedule 1 to the Regulations) provides a derogation from the manner in which the objective will be achieved. This derogation affords member States the possibility of giving prior approval to other means to avoid the specified risk (see Annex A below). Arrangements are in hand for the exercise of this derogation in appropriate cases in the United Kingdom: further information can be obtained from the DTI Contact point (see page 12).

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<sup>1</sup> 89/392/EEC and its amendments 91/368/EEC, 93/44/EEC & 93/68/EEC have now been codified and replaced by 93/37/EC

**ATTESTATION (conformity assessment procedure - how to show compliance):**  
the Regulations define various procedures and specify the options available to installers of lifts and manufacturers of safety components (see regulation 13 and Schedules 5 to 13).

**FOR LIFTS -**

**Under regulations 8(2)(b) and 13(2), before being placed on the market and put into service a lift must have undergone one of the following procedures**

- (i) either, if it was designed in accordance with a lift having undergone an EC type examination as referred to in Schedule 5 of the Regulations, (see Annex E) it shall be constructed, installed and tested by implementing:
  - either the Final Inspection referred to in Schedule 6 (see Annex F);
  - or the quality assurance system referred to in Schedule 11 (see Annex L);
  - or the quality assurance system referred to in Schedule 13 (see Annex N).

The procedures for the design and construction stages, on the one hand, and the installation and testing stages, on the other, may be carried out on the same lift;

- (ii) or, if it was designed in accordance with a model lift having undergone an EC type examination as referred to in Schedule 5 to the Regulations, it shall be constructed installed and tested by implementing;
  - either the final inspection referred to in Schedule 6 (see Annex F);
  - or the quality assurance systems referred to in Schedule 11 (see Annex L);
  - or the quality assurance system referred to in Schedule 13 (see Annex N).
- (iii) or, if it was designed in accordance with a lift for which a quality assurance system (QAS) pursuant to Schedule 12 (see Annex M) was implemented, supplemented by an examination of the design if the latter is not wholly in accordance with harmonised standards, it shall be installed and constructed and tested by implementing, in addition:
  - the final inspection referred to in Schedule 6 (see Annex F), or
  - the QAS in accordance with Schedule 11 (see Annex L), or
  - the QAS in accordance with Schedule 13 (see Annex N)

- (iv) or, having undergone the unit verification procedure, referred to in Schedule 9 (see Annex J), by a notified body
- (v) or, having been subject to the QAS in accordance with Schedule 12 (see Annex M) supplemented by an examination of the design if the latter is not wholly in accordance with the harmonised standards

In the cases referred to in (i) (ii) and (iii) above, the person responsible for the design must supply to the person responsible for the construction, installation and testing all necessary documents and information for the latter to be able to operate in absolute security (see regulation 11(2)).

In all the cases above ((i), (ii), (iii), (iv) or (v)) the installer shall affix the CE marking on the lift and draw up a declaration of conformity containing the information listed in Schedule 2 (see Annex B), taking account of the specifications given in the Schedule used (Schedules 6, 9, 11, 12 or 13, as the case may be).

The installer must keep a copy of the declaration of conformity for 10 years from the date on which the lift is placed on the market.

The Commission, the member States and the other notified bodies may, on request, obtain from the installer a copy of the declaration of conformity and reports of the tests involved in the final inspection.

**FOR SAFETY COMPONENTS** - (as listed in Schedule 4 - see Annex D of the Guide)

**Under regulations 9(2) and 13(3), before placing safety components listed in Schedule 4 to the Regulations on the market and putting it into service, the manufacturer of a safety component or his authorised representative established in the Community must:**

- (a) have undergone one of the following procedures:
  - (i) either submit a model of the safety component for EC type-examination in accordance with Schedule 5 (see Annex E) and for production checks by a notified body in accordance with Schedule 10 (see Annex K);
  - (ii) or submit the model of the safety component for EC type-examination in accordance with Schedule 5 and operate a QAS in accordance with Schedule 7 (see Annex G for checking production);
  - (iii) or operate a full QAS in accordance with Schedule 8 (see Annex H);
- (b) affix the CE marking on each safety component<sup>(1)</sup> and draw up a declaration of conformity containing the information listed in Schedule 2 taking account of the specifications given in the Annex used (Schedule 7, 8 or 10) as the case may be);

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<sup>1</sup> Note: Paragraph 5 of Schedule 3 to the Regulations provides that the CE marking shall be affixed on each of the safety components or, where that is not possible, on a label inseparably attached to the safety component.

- (c) draw up a declaration of conformity and keep a copy for 10 years from the date on which the safety component was last manufactured.

The safety component must also satisfy the relevant EHSRs and be “safe”.

### **Other Directives:**

By paragraph 6 of Schedule 3, where a lift or safety component is subject to other Community Directives concerning other aspects and which also provide for the affixing of the CE marking, such marking shall indicate that the lift or safety component is also presumed to conform to the provisions of those other Directives.

By paragraph 7 of Schedule 3, where one or more of those Directives allows the manufacturer, during a transitional period, to choose which arrangements to apply, the CE marking shall indicate conformity only to the Directives applied by the installer of the lift or the manufacturer of the safety components. In this case, particulars of the Directives applied, as published in the Official Journal of the European Communities, must be given in the documents, notices or instructions required by the Directives and accompanying the lift or safety component.

### **Obligations of other persons:**

By regulation 14(1), subject to the provisions of regulation 14(2), where neither the installer of the lift nor the manufacturer of the safety component nor his authorised representative established in the Community has complied with the respective requirements of regulations 8, 9, 11 and 13, those obligations may be fulfilled by the person who places the lift or safety component on the market in the Community. The same obligations shall apply to whomsoever manufactures or imports (from outside the Community) a lift or safety component and puts it into service.

### **Supplementary provisions:**

Regulation 11(1) requires the person responsible for work on the building or construction and the installer of the lift to keep each other informed of the facts necessary for, and to take the appropriate steps to ensure, the proper operation and safe use of the lift and that they take the appropriate measures to ensure its proper operation and safe use.

Regulation 11 also requires, in that connection, that it shall be ensured that the shafts intended for lifts do not contain any piping or wiring or other fittings other than that necessary for the operation and safety of the lift.

Also by virtue of regulation 3(2)(b) nothing in the Regulations shall preclude the placing on the market of **other components** which on the basis of a declaration by the manufacturer or his authorised representative established in the Community, are intended to be incorporated into a lift covered by the Directive.

There are certain exceptions to “placing on the market” or “supply” for the purposes of the Regulations (see regulation 12). These include lifts or safety components being shown at trade fairs, exhibitions or demonstrations provided that a visible

sign clearly indicates that the lifts or safety components do not conform and are not for sale until they have been brought into conformity. During demonstrations, however, adequate safety measures must be taken to ensure people's protection.

**Free circulation:**

Member States are required by Article 2 of the Lifts Directive to take all appropriate measures to ensure that lifts and safety components may be placed on the market and put into service only if the lifts (or, in the case of safety components, the lifts in which they are to be installed) are not liable to endanger the health or safety of persons or, where appropriate, the safety of property, when properly installed and maintained and used for their intended purpose. This is reflected in the Regulations by the definition of "safe" (in regulation 2(2)) and the obligations in that respect (see regulations 8(2)(e), 9(2)(e) and 10).

But by virtue of Article 4 of the Lifts Directive, member States must not prohibit, restrict or impede the placing on the market or putting into service of **lifts and safety components** which comply with the provisions of the Lifts Directive.

**Safeguard procedure:** under the Lifts Directive, a member State is required to take all appropriate measures to withdraw from the market lifts or safety components bearing the CE marking and used in accordance with their intended purpose which are liable to endanger the safety of people and, where appropriate, of property. The member State must immediately inform the European Commission of such action and give reasons. Where, after consultation with the parties concerned, the Commission finds that the measures are justified, it informs that member State and the other member States.

Member States are required to take action against anyone who affixes the CE marking to lifts or safety components which do not conform to the Lifts Directive and so inform the Commission and other member States.

These requirements are reflected in Part IV of, and Schedule 15 to, the Regulations.

**Implementation :** The Directive has been implemented in United Kingdom by the Lifts Regulations 1997 (S.I. 1997/831) made under the European Communities Act 1972.

**Enforcement :** In Great Britain the Health and Safety Executive is responsible for relevant products for use in the workplace; the Secretary of State in relation to relevant products for private use.

In Northern Ireland the Health and Safety Executive, Northern Ireland is responsible for relevant products for use in the workplace and for private use; **(Further details on enforcement and penalties are set out in Part IV of, and Schedule 15 to, the Regulations.)**

**Repeals:** The Directive repealed Directives 84/528/EEC and Directive 84/529/EEC with effect from 1 July 1999 (these were implemented in the United Kingdom by the Electrically, Hydraulically and Oil-Electrically Operated Lifts (Components) (EEC Requirements) Regulations 1991 S.I. 1991/2748 which have been revoked from that date).

**Standards:** A number of standards are currently being drawn up. Information relating to the harmonisation of standards may be obtained from the BSI contact (see next page).

**Availability of text of the Regulations:** The Lifts Regulations 1997 (S.I. 1997/831) are available from the Stationery Office (Tel: 020 7873 9090)

**Availability of the text of the Directive:** the complete text of the Lifts Directive has been published in the Official Journal of the European Communities (No. L 213 Volume 38 of 7 September 1995). (Copies of this text are available from The Stationery Office Tel: 020 7873 9090).

**Further Information:**

Further copies of this booklet are available from the DTI Publications Orderline, who can be contacted at:

Telephone: 0870 1502 500  
Fax: 0870 1502 333  
Minicom: 0870 1502 100  
E-mail: dtipubs@echristian.co.uk

**Notified Bodies:** Member States shall appoint Notified Bodies that they consider satisfy the minimum criteria laid down in Annex VII of the Directive (see Annex Q). A list of UK Notified Bodies appointed is available from the DTI Publications Orderline (see details above). Relevant provisions are contained in regulations 15, 16 and 17; anyone interested in being appointed as a Notified Body in the United Kingdom should also refer to the Guidelines on the appointment of Notified Bodies which are available from the DTI contact (see details on page 12).

# Further Information

## **Regulations**

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\* Sponsorship basically involves helping UK firms to win both at home and overseas.

(Schedule 1 of the Regulations)

## ESSENTIAL HEALTH AND SAFETY REQUIREMENTS RELATING TO THE DESIGN AND CONSTRUCTION OF LIFTS AND SAFETY COMPONENTS

### PRELIMINARY REMARKS

1. Obligations under essential health and safety requirements apply only where the lift or safety component is subject to the hazard in question when used as intended by the installer of the lift or the manufacturer of the safety components.
2. The essential health and safety requirements contained in the Directive are imperatives. However, given the present state of the art, the objectives which they lay down may not be attainable. In such cases, and to the greatest extent possible, the lift or safety components must be designed and built in such a way as to approximate to those objectives.
3. The safety-component manufacturer and the installer of the lift are under an obligation to assess the hazards in order to identify all those which apply to their products; they must then design and construct them taking account of the assessment.
4. In accordance with Article 14, the essential requirements laid down in Directive 89/106/EEC, not included in this Directive, apply to lifts.

### 1. GENERAL

#### 1.1. Application of Directive 89/392/EEC<sup>1</sup>, as amended by Directives 91/368/EEC, 93/44/EEC and 93/68/EEC.

Where the relevant hazard exists and is not dealt with in this Annex, the essential health and safety requirements of Annex I to Directive 89/392/EEC apply. The essential requirement of Section 1.1.2 of Annex I to Directive 89/392/EEC must apply in any event.

#### 1.2. Car

The car must be designed and constructed to offer the space and strength corresponding to the maximum number of persons and the rated load of the lift set by the installer.

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<sup>1</sup> 89/392/EEC and its amendments 91/368/EEC, 93/44/EEC & 93/68/EEC have now been codified and replaced by 93/37/EC

## ANNEX A

In the case of lifts intended for the transport of persons, and where its dimensions permit, the car must be designed and constructed in such a way that its structural features do not obstruct or impede access and use by disabled persons and so as to allow any appropriate adjustments intended to facilitate its use by them.

### 1.3. Means of suspension and means of support

The means of suspension and/or support of the car, its attachments and any terminal parts thereof must be selected and designed so as to ensure an adequate level of overall safety and to minimise the risk of the car falling, taking into account the conditions of use, the materials used and the conditions of manufacture.

Where ropes or chains are used to suspend the car, there must be at least two independent cables or chains, each with its own anchorage system. Such ropes and chains must have no joins or splices except where necessary for fixing or forming a loop.

### 1.4. Control of loading (including overspeed)

1.4.1. Lifts must be so designed, constructed and installed as to prevent normal starting if the rated load is exceeded.

1.4.2. Lifts must be equipped with **limitation devices**.

These requirements do not apply to lifts in which the design of the drive system prevents overspeed .

1.4.3. Fast lifts must be equipped with a speed-monitoring and speed-limiting device.

1.4.4. Lifts driven by friction pulleys must be designed so as to ensure stability of the traction cables on the pulley .

### 1.5. Machinery

1.5.1. All passenger lifts must have their own individual lift machinery. This requirement does not apply to lifts in which the counterweights are replaced by a second car.

1.5.2. The installer of the lift must ensure that the lift machinery and the associated devices of a lift are not accessible except for maintenance and in emergencies.

### 1.6. Controls

1.6.1. The controls of lifts intended for use by unaccompanied disabled persons must be designed and located accordingly.

- 1.6.2. The function of the controls must be clearly indicated.
- 1.6.3. The call circuits of a group of lifts may be shared or interconnected.
- 1.6.4. Electrical equipment must be so installed and connected that:
- there can be no possible confusion with circuits which do not have any direct connection with the lift,
  - the power supply can be switched while on load,
  - movements of the lift are dependent on electrical safety devices in a separate electrical safety circuit,
  - a fault in the electrical installation does not give rise to a dangerous situation.

## 2. HAZARDS TO PERSONS OUTSIDE THE CAR

- 2.1. The lift must be designed and constructed to ensure that the space in which the car travels is inaccessible except for maintenance or in emergencies. Before a person enters that space, normal use of the lift must be made impossible.
- 2.2. The lift must be designed and constructed to prevent the risk of crushing when the car is in one of its extreme positions.

The objective will be achieved by means of free space or refuge beyond the extreme positions.

However, in specific cases, in affording Member States the possibility of giving prior approval, particularly in existing buildings, where this solution is impossible to fulfil, other appropriate means may be provided to avoid this risk.

- 2.3. The landings at the entrance and exit of the car must be equipped with landing doors of adequate mechanical resistance for the conditions of use envisaged.

An interlocking device must prevent during normal operation:

- starting movement of the car, whether or not deliberately activated, unless all landing doors are shut and locked,
- the opening of a landing door when the car is still moving and outside a prescribed landing

However, all landing movements with the doors open shall be allowed in specified zones on condition that the levelling speed is controlled.

## **ANNEX A**

### **3. HAZARDS TO PERSONS IN THE CAR**

- 3.1. Lift cars must be completely enclosed by full-length walls, fitted floors and ceilings included, with the exception of ventilation apertures, and with full-length doors. These doors must be so designed and installed that the car cannot move, except for the landing movements referred to in the third subparagraph of Section 2.3, unless the doors are closed, and comes to a halt if the doors are opened.

The doors of the car must remain closed and interlocked if the lift stops between two levels where there is a risk of a fall between the car and the shaft or if there is no shaft.

- 3.2. In the event of a power cut or failure of components the lift must have devices to prevent free fall or uncontrolled upward movements of the car.

The device preventing the free fall of the car must be independent of the means of suspension of the car.

This device must be able to stop the car at its rated load and at the maximum speed anticipated by the installer of the lift. Any stop occasioned by this device must not cause deceleration harmful to the occupants whatever the load conditions.

- 3.3. Buffers must be installed between the bottom of the shaft and the floor of the car.

In this case, the free space referred to in Section 2.2 must be measured with the buffers totally compressed.

This requirement does not apply to lifts in which the car cannot enter the free space referred to in Section 2.2 by reason of the design of the drive system.

- 3.4. Lifts must be so designed and constructed as to make it impossible for them to be set in motion if the device provided for in Section 3.2 is not in an operational position.

### **4. OTHER HAZARDS**

- 4.1. The landing doors and car doors or the two doors together, where motorised, must be fitted with a device to prevent the risk of crushing when they are moving.
- 4.2. Landing doors, where they have to contribute to the protection of the building against fire, including those with glass parts, must be suitably resistant to fire in terms of their integrity and their properties with regard to insulation (containment of flames) and the transmission of heat (thermal radiation).
- 4.3. Counterweights must be so installed as to avoid any risk of colliding with or falling on to the car.

- 4.4. Lifts must be equipped with means enabling people trapped in the car to be released and evacuated.
- 4.5. Cars must be fitted with two-way means of communication allowing permanent contact with a rescue service.
- 4.6. Lifts must be so designed and constructed that, in the event of the temperature in the lift **machine room** exceeding the maximum set by the installer of the lift, they can complete movements in progress but refuse new commands.
- 4.7. Cars must be designed and constructed to ensure sufficient ventilation for passengers, even in the event of a prolonged stoppage.
- 4.8. The car should be adequately lit whenever in use or whenever a door is opened; there must also be emergency lighting.
- 4.9. The means of communication referred to in Section 4.5 and the emergency lighting referred to in Section 4.8 must be designed and constructed so as to function even without the normal power supply. Their period of operation should be long enough to allow normal operation of the rescue procedure.
- 4.10. The control circuits of lifts which may be used in the event of fire must be designed and manufactured so that lifts may be prevented from stopping at certain levels and allow for priority control of the lift by rescue teams.

### 5. MARKING

- 5.1. In addition to the minimum particulars required for any machine pursuant to Section 1.7.3 of Annex I to Directive 89/392/EEC, each car must bear an easily visible plate clearly showing the rated load in kilograms and the maximum number of passengers which may be carried.
- 5.2. If the lift is designed to allow people trapped in the car to escape without outside help, the relevant instructions must be clear and visible in the car.

### 6. INSTRUCTIONS FOR USE

- 6.1. The safety components referred to in Annex D must be accompanied by an instruction manual drawn up in an official language of the Member State of the lift installer or another Community language acceptable to him, so that:

- assembly,
- connection,
- adjustment, and
- maintenance,

can be carried out effectively and without danger.

## **ANNEX A**

6.2. Each lift must be accompanied by documentation drawn up in the official language(s) of the Community, which may be determined in accordance with the Treaty by the Member State in which the lift is installed. The documentation shall contain at least:

- an instruction manual containing the plans and diagrams necessary for normal use and relating to maintenance, inspection, repair, periodic checks and the rescue operations referred to in Section 4.4.
- a logbook in which repairs and, where appropriate, periodic checks can be noted.

(Schedule 2 to the Regulations)

## CONTENTS OF DECLARATIONS OF CONFORMITY

### A. Content of the EC declaration of conformity for safety components<sup>(1)</sup>

The EC declaration of conformity must contain the following information:

- name and address of the manufacturer of the safety components<sup>(2)</sup>,
- where appropriate, name and address of his authorised representative established in the Community<sup>(2)</sup>,
- description of the safety component, details of type or series and serial number (if any),
- safety function of the safety component, if not obvious from the description,
- year of manufacture of the safety component,
- all relevant provisions with which the safety component complies,
- where appropriate, reference to harmonised standards used,
- where appropriate name, address and identification number of the notified body which carried out the EC type-examination in accordance with Article 8 (1) (a) (i) and (ii),
- where appropriate, reference to the EC type-examination certificate issued by that notified body,
- where appropriate, name, address and identification number of the notified body which carried out the production checks in accordance with Article 8 (1) (a) (ii),
- where appropriate, name, address and identification number of the notified body which checked the system of quality assurance implemented by the manufacturer in accordance with Article 8 (1) (a) (iii),
- identification of the signatory empowered to act on behalf of the manufacturer of the safety components or his authorised representative established in the Community.

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<sup>1</sup> The declaration must be drafted in the same language as the instruction manual referred to in Annex A, Section 6.1, and be either typewritten or printed.

<sup>2</sup> Business name, full address, in the case of unauthorised representative, also indicate the business name and address of the manufacturer of the safety components.

## ANNEX B

### B. Content of the EC declaration of conformity for installed lifts<sup>(3)</sup>

The EC declaration of conformity must contain the following information:

- name and address of the installer of the lift<sup>(4)</sup>,
- description of the lift, details of the type or series, serial number and address where the lift is fitted,
- year of installation of the lift,
- all relevant provisions to which the lift conforms,
- where appropriate, reference to harmonised standards used,
- where appropriate, name, address and identification number of the notified body which carried out the EC type-examination of the model of the lift in accordance with Article 8 (2), (i) and (ii),
- where appropriate, reference of the EC type examination certificate,
- where appropriate, name, address and identification number of the notified body which carried out the verification of the lift in accordance with Article 8 (2) (iv),
- where appropriate, name, address and identification number of the notified body which carried out the final inspection of the lift in accordance with the first indent of Article 8 (2), (i), (ii) and (iii),
- where appropriate, name, address, and identification number of the notified body which inspected the quality assurance system implemented by the installer in accordance with the second and third indents of Article (8) (2) (i), (ii), (iii) and (v),
- identification of the signatory having been empowered to act on behalf of the lift installer.

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<sup>3</sup> This declaration must be drafted in the same language as the instruction manual referred to in Annex A, Section 6.2, and be either typewritten or printed.

<sup>4</sup> Business name and full address.

(Extract from Schedule 3 to the Regulations)

## CE CONFORMITY MARKING & OTHER INSCRIPTIONS

The CE conformity marking shall consist of the initials 'CE' taking the following form:



Diagram 1

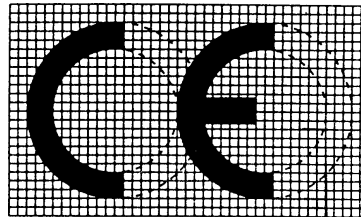


Diagram 2

If the CE marking is reduced or enlarged the proportions given in the above drawing must be respected.

The various components of the CE marking must have substantially the same vertical dimension, which may not be less than 5 mm. This minimum dimension may be waived for small-scale safety components.

The CE marking shall be followed by the identification number of the notified body that deals with

- the procedures referred to in Regulation 13 (3)(b) and (c).
- the procedures referred to in Regulation 13 (2).

The CE marking shall be fixed to every lift car distinctly and visibly in accordance with Section 5 of the Essential Health and Safety Requirements set out in Schedule 1.

(Schedule 4 to the Regulations )

### LIST OF SAFETY COMPONENTS

1. Devices for locking landing doors.
2. Devices to prevent falls referred to in Section 3.2 of Annex A to prevent the car from falling or unchecked upward movements.
3. Overspeed limitation devices.
4. (a) Energy-accumulating **buffers**:
  - either non-linear,
  - or with damping of the return movement.
- (b) Energy-dissipating **buffers**.
5. Safety devices fitted to jacks of hydraulic power circuits where these are used as devices to prevent falls.
6. Electric safety devices in the form of safety switches containing electronic components.

## Schedule 5 to the Regulations

### EC TYPE - EXAMINATION: SAFETY COMPONENTS AND LIFTS (module B)

#### A. EC type-examination of safety components

1. EC type-examination is the procedure whereby a notified body ascertains and certifies that a representative specimen of a safety component will permit the lift to which it is correctly fitted to satisfy the relevant requirements of the Directive.
2. The application for EC type-examination must be lodged by the manufacturer of the safety component, or his authorised representative established in the Community, with a notified body of his choice.

The application must include:

- the name and address of the manufacturer of the safety component and of his authorised representative, if the application is made by the latter, and the place of manufacture of the safety components,
  - a written declaration that the same application has not been lodged with any other notified body,
  - a technical dossier,
  - a representative specimen of the safety component or details of the place where it can be examined. The notified body may make reasoned requests for further specimens.
3. The technical dossier must allow an assessment of the conformity and adequacy of the safety component to enable a lift to which it is correctly fitted to conform with the provisions of the Directive.

In so far as is necessary for the purpose of assessing conformity, the technical dossier should include the following:

- a general description of the safety component, including its area of use (in particular possible limits on speed, load and power) and conditions (in particular explosive environments and exposure to the elements),
- design and manufacturing drawings or diagrams,
- essential requirement(s) taken into consideration and the means adopted to satisfy it (them) (e.g. a harmonised standard),

## ANNEX E

- results of any tests or calculations performed or subcontracted by the manufacturer,
  - a copy of the assembly instructions for the safety components,
  - steps taken at the manufacturing stage to ensure that series-produced safety components conform to the safety component examined.
4. The notified body must:
- examine the technical dossier to assess how far it can meet the desired aims,
  - examine the safety component to check its adequacy in terms of the technical dossier,
  - perform or have performed the appropriate checks and tests necessary to check whether the solutions adopted by the manufacturer of the safety component meet the requirements of the Directive allowing the safety component to carry out its function when correctly fitted on a lift.
5. If the representative specimen of the safety component complies with the provisions of the Directive applicable to it, the notified body must issue an EC type-examination certificate to the applicant. The certificate must contain the name and address of the manufacturer of the safety component, the conclusions of the check, any conditions of validity of the certificate and the particulars necessary to identify the approved type.
- The Commission, the Member States and the other notified bodies may obtain a copy of the certificate and, on a reasoned request, a copy of the technical dossier and reports of examinations, calculations and tests carried out. If the notified body refuses to issue an EC type-examination certificate to the manufacturer, it must state the detailed grounds for refusal. Provision must be made for an appeal procedure.
6. The manufacturer of the safety component or his authorised representative established in the Community must inform the notified body of any alterations, even of a minor nature, which he has made or plans to make to the approved safety component, including new extensions or variants not specified in the original technical dossier (see the first indent of Section 3). The notified body must examine the alterations and inform the applicant whether the EC type-examination certificate remains valid<sup>(1)</sup>.
7. Each notified body must communicate to the Member States the relevant information concerning:
- EC type-examination certificates issued,
  - EC type-examination certificates withdrawn.

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<sup>1</sup> If the notified body deems it necessary, it may either issue an addition to the original EC type-examination certificate or ask for a fresh application to be submitted.

Each notified body must also communicate to the other notified bodies the relevant information concerning the EC type-examination certificates it has withdrawn.

8. EC type-examination certificates and the dossiers and correspondence relating to EC type-examination procedures must be drawn up in an official language of the Member State where the notified body is established or in a language acceptable to it.
9. The manufacturer of the safety component or his authorised representative must keep with the technical documentation copies of EC type-examination certificates and their additions for a period of 10 years after the last safety component has been manufactured.

Where neither the manufacturer of a safety component nor his authorised representative is established in the Community, the obligation to keep the technical documentation available falls to the person who places the safety component on the Community market.

### **B. EC type-examination of lifts**

1. EC type-examination is the procedure whereby a notified body ascertains and certifies that a model lift, or that a lift for which there is no provision for an extension or variant, satisfies the requirements of the Directive.
2. The application for EC type-examination must be lodged by the installer of the lift with a notified body of his choice.

The application must include:

- the name and address of the installer of the lift,
  - written declaration that the same application has not been lodged with any other notified body.
  - a technical dossier,
  - details of the place where the model lift can be examined. The model lift submitted for examination must include the terminal parts and be capable of serving at least three levels (top, middle and bottom).
3. The technical dossier must allow an assessment of the conformity of the lift with the provisions of the Directive and an understanding of the design and operation of the lift.

In so far as is necessary for the purpose of assessing conformity, the technical dossier should include the following:

- a general description of the representative model of the lift. The technical dossier should indicate clearly all possible extensions to the representative model of the lift under examination (see Article I (4)),

## ANNEX E

- design and manufacturing drawings or diagrams,
  - essential requirements taken into consideration and the means adopted to satisfy them (e.g. a harmonised standard),
  - a copy of the EC declarations of conformity of the safety components used in the manufacture of the lift,
  - results of any tests or calculations performed or subcontracted by the manufacturer,
  - a copy of the lift instruction manual,
  - steps taken at the installation stage to ensure that the series-produced lift conforms to the provisions of the Directive.
4. The notified body must:
- examine the technical dossier to assess how far it can meet the desired aims,
  - examine the representative model of the lift to check that it has been manufactured in accordance with the technical dossier,
  - perform or have performed the appropriate checks and tests necessary to check that the solutions adopted by the installer of the lift meet the requirements of the Directive and allow the lift to comply with them.
5. If the model lift complies with the provisions of the Directive applicable to it, the notified body must issue an EC type-examination certificate to the applicant. The certificate must contain the name and address of the lift installer, the conclusions of the check, any conditions of validity of the certificate and the particulars necessary to identify the approved type.
- The Commission, the Member States and other notified bodies may obtain a copy of the certificate and, on a reasoned request, a copy of the technical dossier and reports of examinations, calculations and tests carried out.
- If the notified body refuses to issue an EC type-examination certificate to the manufacturer, it must state the detailed grounds for refusal. Provision must be made for an appeal procedure.
6. The installer of the lift must inform the notified body of any alterations, even of a minor nature, which he has made or plans to make to the approved lift, including new extensions or variants not specified in the original technical dossier (see the first indent of Section 3). The notified body must examine the alterations and inform the applicant whether the EC type-examination certificate remains valid <sup>(1)</sup>.

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<sup>1</sup> If the notified body deems it necessary, it may either issue an addition to the original EC type-examination certificate or ask for a fresh application to be submitted.

7. Each notified body must communicate to the Member States the relevant information concerning:
  - EC type-examination certificates issued,
  - EC type-examination certificates withdrawn.

Each notified body must also communicate to the other notified bodies the relevant information concerning the EC type-examination certificates it has withdrawn.

8. EC type-examination certificates and the dossiers and correspondence relating to EC type-examination procedures must be drawn up in one of the official languages of the Member State where the notified body is established or in a language acceptable to it.
9. The installer of the lift must keep with the technical documentation copies of EC type-examination certificates and their additions for a period of at least 10 years after the last lift has been manufactured in conformity with the representative model of the lift.

### Schedule 6 to the Regulations

#### FINAL INSPECTION OF LIFTS

1. Final inspection is the procedure whereby the installer of the lift who fulfils the obligations of Section 2 ensures and declares that the lift which is being placed on the market satisfies the requirements of the Directive. The installer of the lift shall affix the CE marking in the car of each lift and draw up an EC declaration of conformity.
2. The installer of the lift shall take all steps necessary to ensure that the lift being placed on the market conforms with the model lift described in the EC type-examination certificate and the essential health and safety requirements applicable to it.
3. The installer of the lift shall keep a copy of the EC declaration of conformity and the final inspection certificate referred to in Section 6 for 10 years from the date when the lift was placed on the market.
4. A notified body chosen by the installer of the lift shall carry out or have carried out the final inspection of the lift about to be placed on the market. The appropriate tests and checks defined by the applicable standard(s) referred to in Article 5, or equivalent tests, must be carried out in order to ensure conformity of the lift with the relevant requirements of the Directive.

These checks and tests shall cover in particular:

- (a) examination of the documentation to check that the lift conforms with the representative model of the lift approved in accordance with Annex E.B;
- (b)
  - operation of the lift both empty and at maximum load to ensure correct installation and operation of the safety devices (end stops, locking devices, etc.),
  - operation of the lift at both maximum load and empty to ensure the correct functioning of the safety devices in the event of loss of power,
  - static test with a load equal to 1,25 times the nominal load.

The nominal load shall be that referred to in Annex A, Section 5.

After these tests, the notified body shall check that no distortion or deterioration which could impair the use of the lift has occurred.

5. The notified body must receive the following documents:

- the plan of the complete lift,
- the plans and diagrams necessary for final inspection, in particular control circuit diagrams,
- a copy of the instruction manual referred to in Annex A, Section 6.2.

The notified body may not require detailed plans or precise information not necessary for verifying the conformity of the lift about to be placed on the market with the model lift described in the EC type-examination declaration.

6. If the lift satisfies the provisions of the Directive, the notified body shall affix or have affixed its identification number adjacent to the CE marking in accordance with Annex C and shall draw up a final inspection certificate which mentions the checks and tests carried out.

The notified body shall fill in the corresponding pages in the logbook referred to in Annex A, Section 6.2.

If the notified body refuses to issue the final inspection certificate, it must state the detailed reasons for refusal and recommend means whereby acceptance may be obtained. Where the installer of the lift again applies for final inspection, he must apply to the same notified body.

7. The final inspection certificate, dossiers and correspondence relating to the acceptance procedures shall be drawn up in one of the official languages of the Member State where the notified body is established or in a language acceptable to it.

**Schedule 7 to the Regulations****PRODUCT QUALITY ASSURANCE FOR SAFETY COMPONENTS  
(module E)**

1. Product quality assurance is the procedure whereby the manufacturer of the safety component who satisfies Section 2 ensures and declares that the safety components are in conformity with the type as described in the EC type-examination certificate and satisfy the requirements of the Directive that apply to them and ensures and declares that the safety component will enable a lift to which it is correctly fitted to satisfy the provisions of the Directive.

The manufacturer of the safety component or his authorised representative established in the Community must affix the CE marking to each safety component and draw up an EC declaration of conformity. The CE marking must be accompanied by the identification number of the notified body responsible for surveillance as specified in Section 4.

2. The manufacturer must apply an approved quality assurance system for final inspection of the safety component and testing as specified in Section 3, and must be subject to surveillance as specified in Section 4.

**3. Quality assurance system**

- 3.1. The manufacturer of the safety component must lodge an application for assessment of his quality assurance system for the safety components concerned with a notified body of his choice.

The application must include:

- all relevant information for the safety components envisaged,
- the documentation on the quality assurance system,
- the technical documentation of the approved safety components and a copy of the EC type examination certificates.

- 3.2. Under the quality assurance system, each safety component must be examined and appropriate tests as set out in the relevant standards referred to in Article 5 or equivalent tests must be carried out in order to ensure its conformity to the relevant requirements of the Directive.

All the elements, requirements and provisions adopted by the manufacturer of the safety components must be documented in a systematic and orderly manner in the form of written measures, procedures and instructions. This quality assurance system documentation must ensure a common understanding of the quality programmes, plans, manuals and records.

It must contain in particular an adequate description of:

- (a) the quality objectives;
- (b) the organisational structure, responsibilities and powers of the management with regard to safety component quality;
- (c) the examinations and tests that will be carried out after manufacture;
- (d) the means to verify the effective operation of the quality assurance system;
- (e) quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.

- 3.3. The notified body must assess the quality assurance system to determine whether it satisfies the requirements referred to in Section 3.2. It must presume conformity with these requirements in respect of quality assurance systems that implement the relevant harmonised standard<sup>(1)</sup>.

The auditing team must have at least one member with experience of assessment in the lift technology concerned. The assessment procedure must include a visit to the premises of the safety component manufacturer.

The decision must be notified to the manufacturer of the safety components. The notification must contain the conclusions of the examination and the reasoned assessment decision.

- 3.4. The manufacturer of the safety components must undertake to discharge the obligations arising from the quality assurance system as approved and to ensure that it is maintained in an appropriate and efficient manner.

The manufacturer of the safety components or his authorised representative established in the Community must keep the notified body which has approved the quality assurance system informed of any intended updating of the quality assurance system.

The notified body must assess the modifications proposed and decide whether the modified quality assurance system still satisfies the requirements referred to in Section 3.2 or whether a reassessment is required.

It must notify its decision to the manufacturer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

#### 4. **Surveillance under the responsibility of the notified body**

- 4.1. The purpose of surveillance is to make sure that the manufacturer of the safety component duly fulfils the obligations arising out of the approved quality assurance system.

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<sup>1</sup> This harmonised standard will be EN 29003, supplemented where necessary to take account of the specific features of safety components.

## ANNEX G

4.2. The manufacturer must allow the notified body access for inspection purposes to the inspection, testing and storage locations and provide it with all necessary information, in particular:

- the quality assurance system documentation,
- the technical documentation,
- the quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.

4.3. The notified body must periodically carry out audits to ensure that the manufacturer of the safety components maintains and applies the quality assurance system and must provide an audit report to the manufacturer of the safety components.

4.4. Additionally, the notified body may pay unexpected visits to the manufacturer of the safety component.

At the time of such visits, the notified body may carry out tests or have them carried out in order to check the proper functioning of the quality assurance system where necessary; it must provide the manufacturer of the safety components with a visit report and, if a test has been carried out, with a test report.

5. The manufacturer must for a period ending 10 years after the last safety component has been manufactured, keep at the disposal of the national authorities:

- the documentation referred to in the third indent of the second paragraph of Section 3.1,
- the updating referred to in the second paragraph of Section 3.4,
- the decisions and reports from the notified body which are referred to in the final paragraph of Section 3.4 and in Sections 4.3 and 4.4.

6. Each notified body must forward to the other notified bodies the relevant information concerning the quality assurance system approvals issued and withdrawn.

## Schedule 8 to the Regulations

### FULL QUALITY ASSURANCE FOR SAFETY COMPONENTS (module H)

1. Full quality assurance is the procedure whereby the manufacturer of the safety component who satisfies the obligations of Section 2 ensures and declares that the safety components satisfy the requirements of the Directive that apply to them and that the safety component will enable a lift to which it is correctly fitted to satisfy the requirements of the Directive.

The manufacturer or his authorised representative established in the Community must affix the CE marking to each safety component and draw up an EC declaration of conformity. The CE marking must be accompanied by the identification number of the notified body responsible for the surveillance as specified in Section 4.

2. The manufacturer must operate an approved quality assurance system for design, manufacture and final inspection of the safety components and testing as specified in Section 3 and must be subject to surveillance as specified in Section 4.

#### 3. **Quality assurance system**

- 3.1. The manufacturer must lodge an application for assessment of his quality assurance system with a notified body. The application must include:

- all relevant information on safety components,
- the documentation on the quality assurance system.

- 3.2. The quality assurance system must ensure compliance of the safety components with the requirements of the Directive that apply to them and enable lifts to which they have been correctly fitted to satisfy those requirements.

All the elements, requirements and provisions adopted by the manufacturer must be documented in a systematic and orderly manner in the form of written measures, procedures and instructions. This quality assurance system documentation must ensure a common understanding of the quality policies and procedures such as quality programmes, plans, manuals and records.

It must contain in particular an adequate description of:

- the quality objectives and the organisational structure, responsibilities and powers of the management with regard to the design and quality of the safety components,

## ANNEX H

- ❑ the technical design specifications, including standards, that will be applied and, where the standards referred to in Article 5 will not be applied in full, the means that will be used to ensure that the essential requirements of the Directive that apply to the safety components will be met,
- ❑ the design control and design verification techniques, processes and systematic actions that will be used when designing the safety components,
- ❑ the corresponding manufacturing, quality control and quality assurance techniques, processes and systematic actions that will be used,
- ❑ the examinations and tests that will be carried out before, during and after manufacture, and the frequency with which they will be carried out,
- ❑ the quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.,
- ❑ the means of monitoring the achievement of the required design and product quality and the effective operation of the quality assurance system.

3.3. The notified body must assess the quality assurance system to determine whether it satisfies the requirements referred to in Section 3.2. It must presume compliance with these requirements in respect of quality assurance systems that implement the relevant harmonised standard<sup>(1)</sup>.

The auditing team must have at least one member with experience of assessment in the lift technology concerned. The assessment procedure must include a visit to the manufacturer's premises.

The decision must be notified to the manufacturer of the safety- components. The notification must contain the conclusions of the examination and the reasoned assessment decision.

3.4. The manufacturer of the safety components must undertake to discharge the obligations arising from the quality assurance system as approved and to ensure that it is maintained in an appropriate and efficient manner.

The manufacturer or his authorised representative established in the Community must keep the notified body which has approved the quality assurance system informed of any intended updating of the quality assurance system.

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<sup>1</sup> This harmonised standard will be EN 29001, supplemented where necessary to take account of the specific features of safety components.

The notified body must assess the modifications proposed and decide whether the modified quality assurance system will still satisfy the requirements referred to in Section 3.2 or whether a reassessment is required.

It must notify its decision to the manufacturer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

#### **4. Surveillance under the responsibility of the notified body**

4.1. The purpose of surveillance is to make sure that the manufacturer of the safety components duly fulfils the obligations arising out of the approved quality assurance system.

4.2. The manufacturer must allow the notified body access for inspection purposes to the inspection, testing, and storage locations and provide it with all necessary information, in particular:

- the quality assurance system documentation,
- the technical documentation,
- the quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.

4.3. The notified body must periodically carry out audits to make sure that the manufacturer of the safety components maintains and applies the quality assurance system and must provide an audit report to the manufacturer of the safety components.

4.4. Additionally, the notified body may pay unexpected visits to the manufacturer of the safety components. At the time of such visits the notified body may carry out tests or have them carried out in order to check the proper functioning of the quality assurance system where necessary; it must provide the manufacturer of the safety components with a visit report and, if a test has been carried out, with a test report.

5. The manufacturer of the safety components or his authorised representative must, for a period of 10 years after the last safety component has been manufactured, keep at the disposal of the national authorities:

- the documentation referred to in the second indent of the second paragraph of Section 3.1,
- the updating referred to in the second paragraph of Section 3.4,
- the decisions and reports from the notified body which are referred to in the final paragraph of Section 3.4 and in Sections 4.3 and 4.4.

Where neither the manufacturer of the safety components nor his authorised representative is established in the Community, the obligation to keep the

## **ANNEX H**

technical documentation available falls to the person who places the safety component on the Community market.

6. Each notified body must forward to the other notified bodies the relevant information concerning the quality assurance system approvals issued and withdrawn.
7. The dossiers and correspondence relating to the full quality assurance procedures must be drawn up in one of the official languages of the Member State where the notified body is established or in a language acceptable to it.

## Schedule 9 to the Regulations

### UNIT VERIFICATION FOR LIFTS (module G)

1. Unit verification is the procedure whereby the installer of a lift ensures and declares that a lift which is being placed on the market and which has obtained the certificate of conformity referred to in Section 4 complies with the requirements of the Directive. The installer of the lift must affix the CE marking in the car of the lift and draw up an EC declaration of conformity.
2. The lift installer shall apply to a notified body of his choice for unit verification.

The application shall contain:

- the name and address of the installer of the lift and the location where the lift is installed,
  - a written declaration to the effect that a similar application has not been lodged with another notified body,
  - a technical dossier.
3. The purpose of the technical dossier is to enable the conformity of the lift with the requirements of the Directive to be assessed and the design, installation and operation of the lift to be understood.

So far as relevant for conformity assessment, the technical dossier shall contain the following:

- a general description of the lift,
  - design and manufacturing drawings and diagrams,
  - the essential requirements in question and the solution adopted to meet them (e.g. harmonised standard),
  - the results of any tests or calculations carried out or subcontracted by the installer of the lift,
  - a copy of the instructions for use of the lift,
  - a copy of the EC type-examination certificates of the safety components used.
4. The notified body must examine the technical dossier and the lift and carry out the appropriate tests as set out in the relevant standard(s) referred to in Article 5 of the Directive, or equivalent tests, to ensure its conformity with the relevant requirements of this Directive.

## ANNEX J

If the lift meets the requirements of this Directive, the notified body shall affix, or cause to be affixed, its identification number adjacent to the CE marking in accordance with Annex C and shall draw up a certificate of conformity relating to the tests carried out.

The notified body shall fill in the corresponding pages of the logbook referred to in Section 6.2 of Annex A.

If the notified body refuses to issue the certificate of conformity, it must state in detail its reasons for refusing and indicate how conformity can be achieved. When the installer of the lift reapplies for verification he must apply to the same notified body.

5. The certificate of conformity and the dossiers and correspondence relating to unit verification procedures must be drawn up in an official language of the Member State where the notified body is established or in a language acceptable to it.
6. The installer of the lift shall keep with the technical dossier a copy of the certificate of conformity for a period of 10 years from the date on which the lift is placed on the market.

## Schedule 10 to the Regulations

### CONFORMITY TO TYPE WITH RANDOM CHECKING FOR SAFETY COMPONENTS (module C)

1. Conformity to type is the procedure whereby the manufacturer of the safety components or his authorised representative established in the Community ensures and declares that the safety components are in conformity with the type as described in the EC type certificate and satisfy the requirements of the Directive that apply to them and enable any lift to which they are correctly fitted to satisfy the essential health and safety requirements of the Directive.

The manufacturer of the safety components, or his authorised representative established in the Community, must affix the CE marking to each safety component and draw up an EC declaration of conformity.

2. The manufacturer of the safety components must take all measures necessary to ensure that the manufacturing process assures conformity of the manufactured safety components with the type as described in the EC type-examination certificate and with the requirements of the Directive that apply to them.
3. The manufacturer of the safety components or his authorised representative must keep a copy of the EC declaration of conformity for a period of 10 years after the last safety component has been manufactured.

Where neither the manufacturer of the safety components nor his authorised representative is established in the Community, the obligation to keep the technical documentation available falls to the person who places the safety components on the Community market.

4. A notified body chosen by the manufacturer must carry out or have carried out checks on safety components at random intervals. An adequate sample of the finished safety components, taken on site by the notified body, must be examined and appropriate tests as set out in the relevant standard(s) referred to in Article 5, or equivalent tests, must be carried out to check the conformity of production to the relevant requirements of the Directive. In those cases where one or more of the safety components checked do not conform, the notified body must take appropriate measures.

The points to be taken into account when checking the safety components will be defined by joint agreement between all the notified bodies responsible for this procedure, taking into consideration the essential characteristics of the safety components referred to in Annex D.

On the responsibility of the notified body, the manufacturer must affix that body's identification number during the manufacturing process.

## **ANNEX K**

5. The dossiers and correspondence relating to the random checking procedures referred to in Section 4 must be drawn up in one of the official languages of the Member State where the notified body is established or in a language acceptable to it.

## Schedule 11 to the Regulations

### PRODUCT QUALITY ASSURANCE FOR LIFTS (module E)

1. Product quality assurance is the procedure whereby the installer of a lift who satisfies Section 2 ensures and declares that the lifts installed are in conformity with the type as described in the EC type-examination certificate and satisfy the requirements of the Directive that apply to them.

The installer of a lift must affix the CE marking to each lift and draw up an EC declaration of conformity. The CE marking must be accompanied by the identification number of the notified body responsible for surveillance as specified in Section 4.

2. The installer of a lift must apply an approved quality assurance system for final inspection of the lift and testing as specified in Section 3, and must be subject to surveillance as specified in Section 4.

3. **Quality assurance system**

- 3.1. The installer of a lift must lodge an application for assessment of his quality assurance system for the lifts concerned with a notified body of his choice.

The application must include:

- all relevant information for the lifts envisaged,
- the documentation on the quality assurance system,
- the technical documentation on the approved lifts and a copy of the EC type-examination certificates.

- 3.2. Under the quality assurance system, each lift must be examined and appropriate tests as set out in the relevant standards referred to in Article 5 or equivalent tests must be carried out in order to ensure its conformity to the relevant requirements of the Directive.

All the elements, requirements and provisions adopted by the installer of a lift must be documented in a systematic and orderly manner in the form of written measures, procedures and instructions. This quality assurance system documentation must ensure a common understanding of the quality programmes, plans, manuals and quality records.

It must contain in particular an adequate description of:

- (a) the quality objectives,

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- (b) the organisational structure, responsibilities and powers of the management with regard to lift quality,
- (c) the examinations and tests that will be carried out before placing on the market, including at the very least the tests laid down in Annex F, 4(b),
- (d) the means to verify the effective operation of the quality assurance system,
- (e) quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.

3.3. The notified body must assess the quality assurance system to determine whether it satisfies the requirements referred to in Section 3.2. It must presume conformity with these requirements in respect of quality assurance systems that implement the relevant harmonised standard<sup>(1)</sup>.

The auditing team must have at least one member with experience of assessment in the lift technology concerned. The assessment procedure must include a visit to the premises of the lift installer and a visit to the installation site.

The decision must be notified to the lift installer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

3.4. The installer of a lift must undertake to discharge the obligations arising from the quality assurance system as approved and to ensure that it is maintained in an appropriate and efficient manner

The installer of a lift must keep the notified body which has approved the quality assurance system informed of any intended updating of the quality assurance system.

The notified body must assess the modifications proposed and decide whether the modified quality assurance system still satisfies the requirements referred to in Section 3.2 or whether a reassessment is required.

It must notify its decision to the lift installer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

## 4. Surveillance under the responsibility of the notified body

4.1. The purpose of surveillance is to make sure that the installer of a lift duly fulfils the obligations arising out of the approved quality assurance system.

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<sup>1</sup> This harmonised standard will be EN 29003, supplemented where necessary to take account of the specific features of the lifts.

- 4.2. The installer of a lift must allow the notified body access for inspection purposes to the inspection and testing locations and provide it with all necessary information, in particular:
- the quality assurance system documentation,
  - the technical documentation,
  - the quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.
- 4.3. The notified body must periodically carry out audits to ensure the installer of a lift maintains and applies the quality assurance system and must provide an audit report to the lift installer.
- 4.4. Additionally, the notified body may pay unexpected visits to the lift installation sites.

At the time of such visits, the notified body may carry out tests or have them carried out in order to check the proper functioning of the quality assurance system where necessary and of the lift; it must provide the lift installer with a visit report and, if a test has been carried out, with a test report.

5. The installer of a lift must, for a period of 10 years after the last lift has been manufactured, keep at the disposal of the national authorities:
- the documentation referred to in the third indent of the second paragraph of Section 3.1,
  - the updating referred to in the second paragraph of Section 3.4,
  - the decisions and reports from the notified body which are referred to in the final paragraph of Section 3.4 and in Sections 4.3 and 4.4.
6. Each notified body must forward to the other notified bodies the relevant information concerning the quality assurance system approvals issued and withdrawn.

### Schedule 12 to the Regulations

#### **FULL QUALITY ASSURANCE FOR LIFTS (module H)**

1. Full quality assurance is the procedure whereby the installer of a lift who satisfies the obligations of Section 2 ensures and declares that lifts satisfy the requirements of the Directive that apply to them.

The installer of a lift must affix the CE marking on each lift and draw up an EC declaration of conformity. The CE marking must be accompanied by the identification number of the notified body responsible for the surveillance as specified in Section 4.

2. The installer of a lift must operate an approved quality assurance system for design, manufacture, assembly, installation and final inspection of the lifts and testing as specified in Section 3 and must be subject to surveillance as specified in Section 4.

3. **Quality assurance system**

- 3.1. The installer of a lift must lodge an application for assessment of his quality assurance system with a notified body.

The application must include:

- all relevant information on the lifts, in particular information which makes for an understanding of the relationship between the design and operation of the lift and enables conformity with the requirements of the Directive to be assessed,
- the documentation on the quality assurance system.

- 3.2. The quality assurance system must ensure conformity of the lifts with the requirements of the Directive that apply to them.

All the elements, requirements and provisions adopted by the lift installer must be documented in a systematic and orderly manner in the form of written measures, procedures and instructions. This quality assurance system documentation must ensure a common understanding of the procedures such as programmes, plans, manuals and quality records.

It must contain in particular an adequate description of:

- the quality objectives and the organisational structure, responsibilities and powers of the management with regard to the design and quality of the lifts,

- ❑ the technical design specifications, including standards that will be applied and, where the standards referred to in Article 5 of the Directive will not be applied in full, the means that will be used to ensure that the requirements of the Directive that apply to the lifts will be met,
- ❑ the design control and design verification techniques, processes and systematic actions that will be used when designing the lifts,
- ❑ the examinations and tests that will be carried out on acceptance of the supplies of materials, components and sub-assemblies,
- ❑ the corresponding assembly, installation and quality control techniques, processes and systematic actions that will be used.
- ❑ the examinations and tests that will be carried out before (inspection of installation conditions: shaft, housing of machinery, etc.), during and after installation (including at the very least the tests laid down in Annex F, Section 4 (b)),
- ❑ the quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.,
- ❑ the means of monitoring the achievement of the required design and installation quality and the effective operation of the quality assurance system.

### 3.3. Design inspection

When the design is not entirely in accordance with harmonised standards, the notified body must ascertain whether the design conforms to the provisions of the Directive and, if it does, issue an 'EC design examination certificate' to the installer, stating the limits of the certificate's validity and giving the details required for identification of the approved design.

### 3.4. Assessment of the quality assurance system

The notified body must assess the quality assurance system to determine whether it satisfies the requirements referred to in Section 3.2. It must presume compliance with these requirements in respect of quality assurance systems that implement the relevant harmonised standard<sup>(1)</sup>.

The auditing team must have at least one member with experience of assessment in the lift technology concerned. The assessment procedure must include a visit to the lift installer's premises and a visit to an installation site.

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<sup>1</sup> This harmonised standard will be EN 29001, supplemented where necessary to take account of the specific features of the lifts.

## ANNEX M

The decision must be notified to the lift installer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

- 3.5. The lift installer must undertake to discharge the obligations arising from the quality assurance system as approved and to ensure that it is maintained in an appropriate and efficient manner.

The lift installer must keep the notified body that has approved the quality assurance system informed of any intended updating of the quality assurance system.

The notified body must assess the modifications proposed and decide whether the modified quality assurance system will still satisfy the requirements referred to in Section 3.2 or whether a reassessment is required.

It must notify its decision to the lift installer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

### **4. Surveillance under the responsibility of the notified body**

- 4.1. The purpose of surveillance is to make sure that the installer of a lift duly fulfils the obligations arising out of the approved quality assurance system.

- 4.2. The lift installer must allow the notified body access for inspection purposes to the design, manufacture, assembly, installation, inspection and testing and storage locations, and must provide it with all necessary information, in particular:

- the quality assurance system documentation,
- the quality records provided for in the design part of the quality assurance system, such as results of analyses, calculations, tests, etc.,
- the quality records provided for in the part of the quality assurance system concerning acceptance of supplies and installation, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.

- 4.3. The notified body must periodically carry out audits to make sure that the installer of a lift maintains and applies the quality assurance system and must provide the installer with an audit report.

- 4.4. Additionally, the notified body may pay unexpected visits to the premises of a lift installer or to the assembly site of a lift.

At the time of such visits, the notified body may carry out tests or have them carried out in order to check the proper functioning of the quality assurance system where necessary;

it must provide the lift installer with a visit report and, if a test has been carried out, with a test report.

5. The installer of a lift must, for a period of 10 years after the lift has been placed on the market, keep at the disposal of the national authorities:
  - the documentation referred to in the second indent of the second paragraph of Section 3.1,
  - the updating referred to in the second paragraph of Section 3.5,
  - the decisions and reports from the notified body which are referred to in the final paragraph of Section 3.5 and in Sections 4.3 and 4.4.

Where the installer is not established in the Community, this obligation falls to the notified body.

6. Each notified body shall forward to the other notified bodies the relevant information concerning the quality assurance systems issued and withdrawn.
7. The dossiers and correspondence relating to the full quality assurance procedures must be drawn up in one of the official languages of the Member State where the notified body is established or in a language acceptable to it.

**Schedule 13 to the Regulations****PRODUCTION QUALITY ASSURANCE FOR LIFTS  
(module D)**

1. Production quality assurance is the procedure whereby the installer of a lift who satisfies the obligations of Section 2 ensures and declares that the lifts satisfy the requirements of the Directive that apply to them. The installer of the lift must affix the CE marking to each lift and draw up a written declaration of conformity. The CE marking must be accompanied by the identification symbol of the notified body responsible for surveillance as specified in Section 4.
2. The installer of the lift must operate an approved quality assurance system for production, installation, final lift inspection and testing as specified in Section 3 and is subject to surveillance as specified in Section 4.

**3. Quality assurance system**

- 3.1. The installer must lodge an application for assessment of his quality assurance system with a notified body of his choice.

The application must include:

- all relevant information for the lifts,
  - the documentation concerning the quality assurance system,
  - the technical documentation of the approved type and a copy of the EC type-examination certificate.
- 3.2. The quality assurance system must ensure compliance of the lifts with the requirements of the Directive that apply to them.

All the elements requirements and provisions adopted by the installer of a lift shall be documented in a systematic and orderly manner in the form of written policies, procedures and instructions. The quality assurance system documentation must permit a consistent interpretation of the quality programmes, plans, manuals and records.

It must contain in particular an adequate description of:

- the quality objectives and the organisational structure, responsibilities and powers of the management with regard to the quality of the lifts,
- the manufacturing, quality control and quality assurance techniques, processes and systematic actions that will be used,

- the examinations and tests that will be carried out before, during and after installation<sup>(1)</sup> ,
- the quality records, such as inspection reports and test data, calibration data, qualification reports of the personnel concerned, etc.,
- the means to monitor the achievement of the required lift quality and the effective operation of the quality assurance system.

3.3. The notified body must assess the quality assurance system to determine whether it satisfies the requirements referred to in Section 3.2. It presumes conformity with these requirements in respect of quality assurance systems that implement the relevant harmonized standard<sup>(2)</sup>.

The auditing team must have at least one member with experience of assessment in the lift technology concerned. The assessment procedure must include an inspection visit to the installer's premises.

The decision must be notified to the installer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

3 4. The installer must undertake to discharge the obligations arising from the quality assurance system as approved and to ensure that it is maintained in an appropriate and efficient manner.

The installer shall keep the notified body that has approved the quality assurance system informed of any intended updating of the quality assurance system.

The notified body must assess the modifications proposed and decide whether the modified quality assurance system will still satisfy the requirements referred to in Section 3.2 or whether a re-assessment is required.

It must notify its decision to the installer. The notification must contain the conclusions of the examination and the reasoned assessment decision.

#### 4. **Surveillance under the responsibility of the notified body**

4.1. The purpose of surveillance is to make sure that the installer duly fulfils the obligations arising out of the approved quality assurance system.

4.2. The installer must allow the notified body access for inspection purposes to the manufacture, inspection, assembly, installation, testing and storage locations and must provide it with all necessary information, in particular:

- the quality assurance system documentation,

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<sup>1</sup> These tests include at least the tests provided for in Annex F, Section 4 (b).

<sup>2</sup> This harmonised standard will be EN 29002, supplemented where necessary to take account of the specific nature of the lifts.

## ANNEX N

- the quality records, such as inspection reports and test data, calibration data, reports on the qualifications of the personnel concerned, etc.
- 4.3. The notified body must periodically carry out audits to make sure that the installer maintains and applies the quality assurance system and must provide an audit report to the installer.
- 4.4. Additionally the notified body may pay unexpected visits to the installer. During such visits the notified body may carry out, or cause to be carried out, tests to verify that the quality assurance system is functioning correctly, if necessary. The notified body must provide the installer with a visit report and, if a test has taken place, with a test report.
5. The installer must, for a period of 10 years after the last lift has been manufactured, keep at the disposal of the national authorities:
- the documentation referred to in the second indent of Section 3.1,
  - the updating referred to in the second paragraph of Section 3.4,
  - the decisions and reports from the notified body which are referred to in the final paragraph of Section 3.4, Sections 4.3 and 4.4.
6. Each notified body must give the other notified bodies the relevant information concerning the quality assurance system approvals issued and withdrawn.
7. Documentation and correspondence relating to the production quality assurance procedures shall be drawn up in an official language of the Member State in which the notified body is established or in a language acceptable to it.

**Schedule 14 to the Regulations (see Regulation 4)****LIST OF PRODUCTS EXEMPTED FROM THE SCOPE OF THE REGULATIONS**

- cableways, including funicular railways, for the public or private transportation of persons;
- lifts specially designed and constructed for military or police purposes;
- mine winding gear;
- theatre elevators;
- lifts fitted in means of transport;
- lifts connected to machinery and intended exclusively for access to the workplace;
- rack and pinion trains;
- construction-site hoists intended for lifting persons or persons and goods.

**MINIMUM CRITERIA TO BE TAKEN INTO ACCOUNT BY MEMBER STATES FOR THE NOTIFICATION OF BODIES**

1. The body, its director and the staff responsible for carrying out verification operations may not be the designer, builder, supplier or manufacturer of safety components or installer of the lifts which they inspect, nor the authorised representative of any of these parties. Similarly, the body, its director and the staff responsible for supervising the quality assurance systems referred to in Article 8 of the Directive may not be the designer, builder, supplier or manufacturer of safety components or installer of the lifts which they inspect, nor the authorised representative of any of these parties. They may not become involved either directly or as authorised representatives in the design, construction, marketing or maintenance of the safety components or in the installation of lifts. This does not preclude the possibility of exchanges of technical information between the manufacturer of the safety components or the installer of the lift and the body.
2. The body and its staff must carry out the inspection or supervision operations with the highest degree of professional integrity and technical competence and must be free from all pressures and inducements, particularly financial, which might influence their judgement or the results of the inspection, especially from persons or groups of persons with an interest in the result of inspection or supervision.
3. The body must have at its disposal the necessary staff and possess the necessary facilities to enable it to perform properly the technical and administrative tasks connected with inspection or supervision; it must also have access to the equipment required for special verification.
4. The staff responsible for inspection must have:
  - sound technical and professional training,
  - satisfactory knowledge of the requirements for the tests they carry out and adequate experience of such tests,
  - the ability to draw up the certificates, records and reports required to authenticate the performance of the tests.
5. The impartiality of the inspection staff must be guaranteed. Their remuneration must not depend on the number of tests carried out or on the results of such tests.

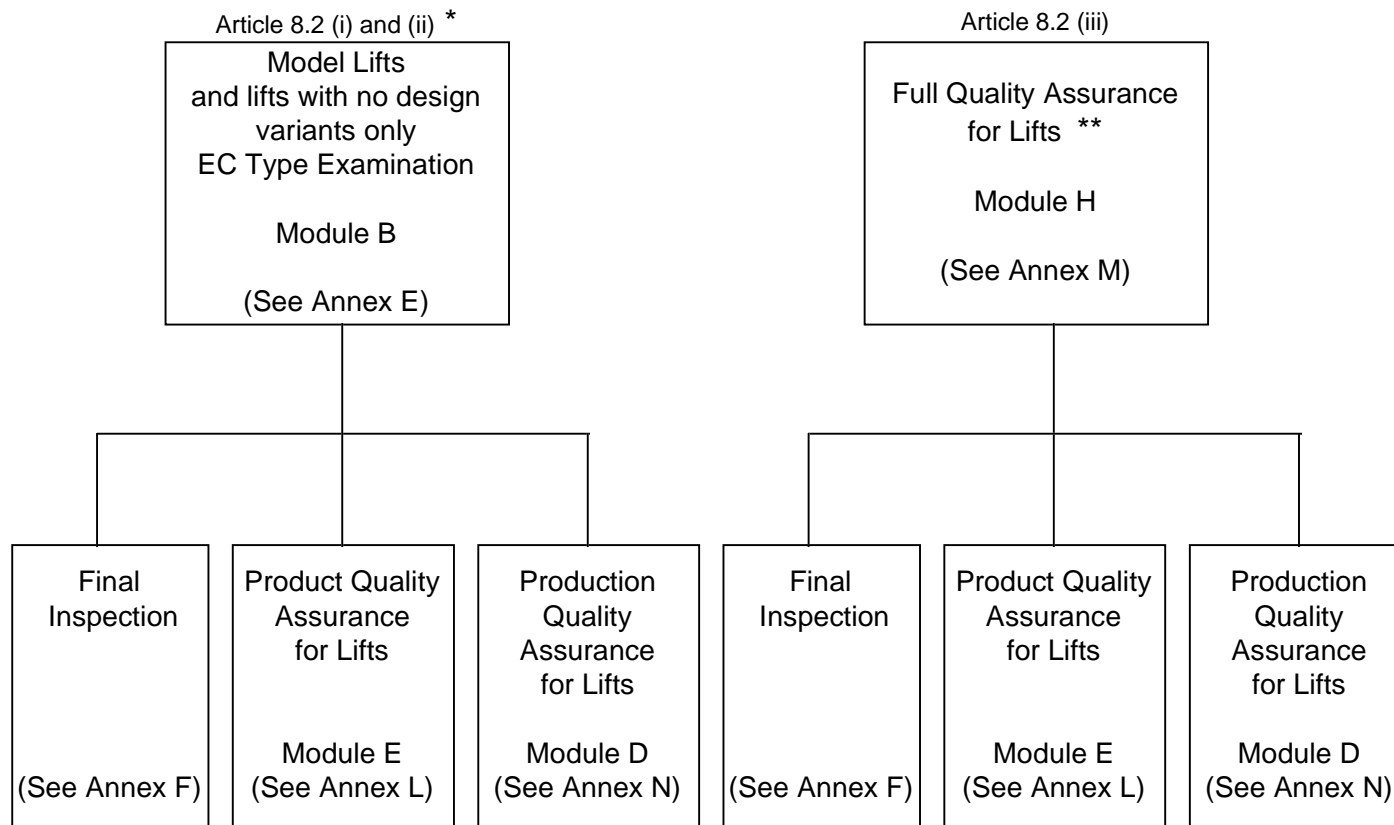
6. The body must take out liability insurance unless its liability is assumed by the State in accordance with national law or the Member State itself is directly responsible for the tests.
7. The staff of the body must observe professional secrecy with regard to all information gained in carrying out its tasks (except *vis-à-vis* the competent administrative authorities of the State in which its activities are carried out) under this Directive or any provision of national law giving effect to it.

**ANNEX R (i)**

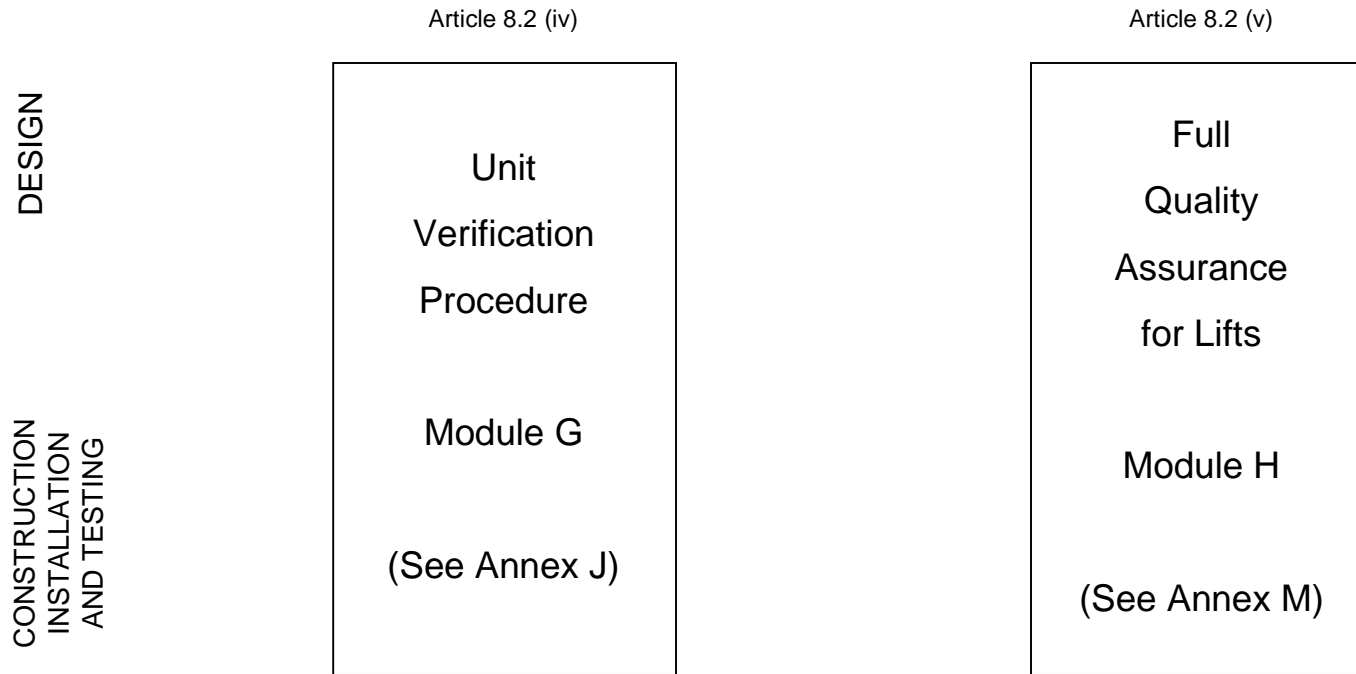
**CONFORMITY ASSESSMENT PROCEDURES FOR LIFTS** (See Article 8.2 of the Directive) <sup>\*\*\*</sup>

DESIGN

CONSTRUCTION  
INSTALLATION  
AND TESTING



**ANNEX R (ii) CONFORMITY ASSESSMENT PROCEDURES FOR LIFTS** (See Article 8.2 of the Directive) <sup>\*\*\*</sup>



\* Note: The procedures for design and construction stages and the installation and testing stages may be carried out on the same lift.

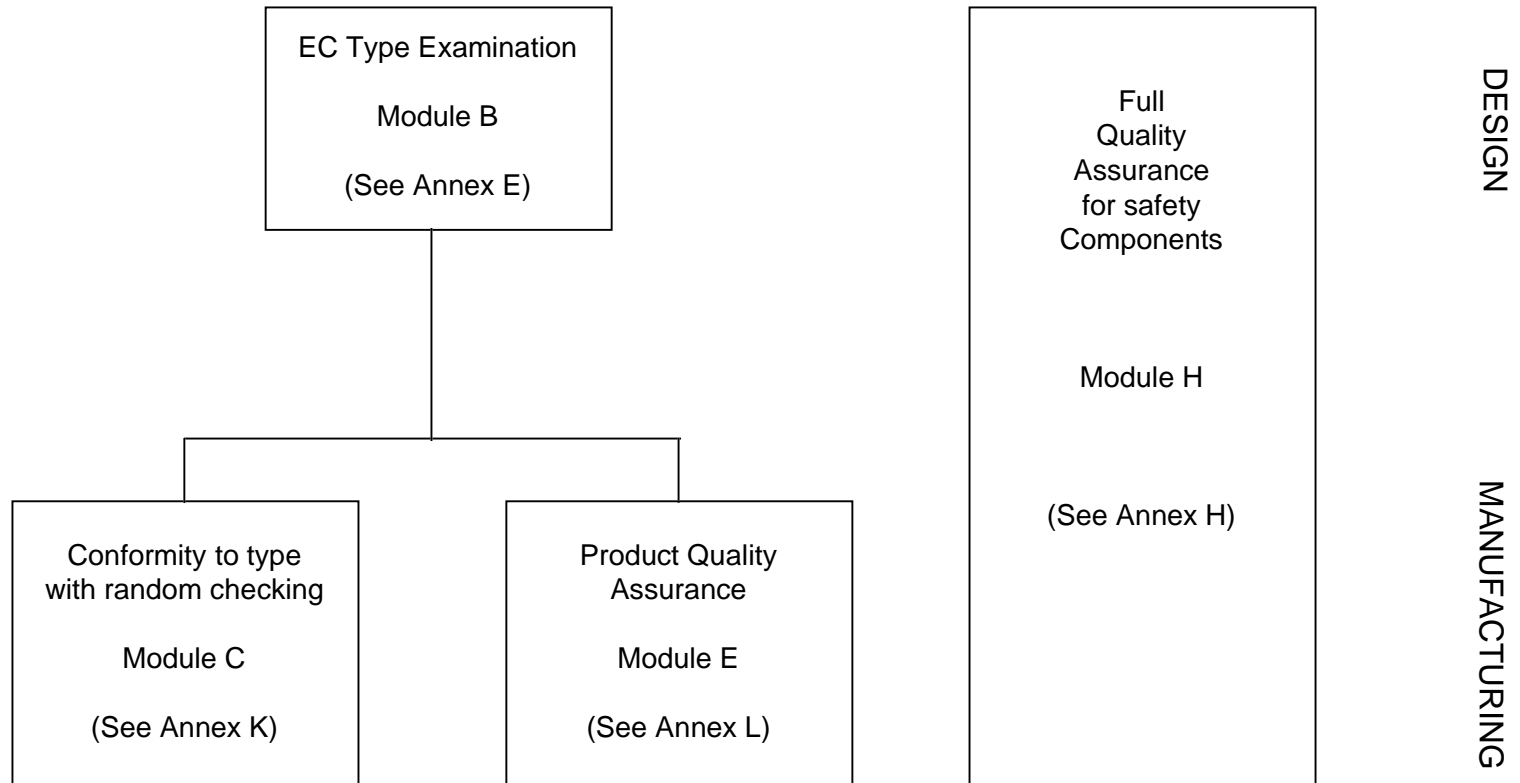
\*\* The design must be examined if it is not wholly in accordance with harmonised standards.

\*\*\* Note: See also the requirements in Article 8.3

**ANNEX R (iii)**

**CONFORMITY ASSESSMENT PROCEDURES FOR SAFETY COMPONENTS**

( See Article 8.1 of the Directive) \*



\* plus CE marking and declaration of conformity requirements