
The State of Utah

Elevator/Escalator Compliance Manual



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**Utah Labor Commission
Division of Boiler, Elevator and Coal Mine Safety**

Elevator/Escalator Compliance Manual



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INTRODUCTION

History

Elevators/Escalators have been inspected by State inspectors since the early 1900s. Until the 1999 legislative session elevator/escalator inspections were performed under the general authority of the Utah Labor Commission (formerly the Industrial Commission). During the 1999 legislative session Chapter 7 of the Labor Commission Act was amended to include specific provisions for elevator and escalator safety provisions.

Relationship of Utah Code, Labor Commission Rules and Elevator/Escalator Compliance Manual

The Utah Code consists of all statutes enacted by the Legislature, including the Utah Elevator and Escalator Safety Act. The Act, found in Title 34A Chapter 7, Part 2, establishes the minimum standards for installation and operation of elevators/escalators in Utah. The Act also authorizes the Labor Commission to adopt rules to enforce the Act. The Elevator/Escalator Utah Administrative Code R616-3, clarifies elevator/escalator requirements. Like the Act itself, these rules also have the force of law. The Utah Elevator/Escalator Compliance Manual provides details as to how the Division of Boiler, Elevator and Coal Mine Safety has implemented the Act and rules.

This manual was developed to provide architects, engineers, building officials, elevator/escalator installation contractors and elevator/escalator owners and users with an easy-to-use guide to compliance with Utah's elevator laws.

National Standards Adopted

By Rule, Utah has adopted the following codes and standards to regulate elevators/escalators in Utah:

- A. ASME A17.1 Safety Code for Elevators and Escalators
- B. ASME A17.3 Safety Code for Existing Elevators and Escalators. (This code is adopted for regulatory guidance only for elevators classified as remodeled elevators by the Division of Safety)
- C. ASME A90.1 Safety Standard for Belt Manlifts
- D. ANSI A10.4 Safety Requirements for Personnel Hoists and Employee Elevators for Construction and Demolition Operations
- E. ICC/ANSI A117.1 Accessible and Usable Buildings and Facilities
- F. Safety Standard for Platform Lifts and Stairway Chairlifts, A18.1

PART I - DEFINITIONS OF TERMS

Note - A comprehensive list of technical elevator definitions can be found in Section 3 of the Safety Code for Elevators and Escalators, ASME A17.1. In the following definitions the term "elevator" is used in a general sense, unless the context requires a more limited meaning application, and includes all devices which fall under the jurisdiction of the Utah Labor Commission Division of Boiler, Elevator and Coal Mine Safety.

1. **ACT** - the Elevator and Escalator Safety Act which was enacted as Title 34A Chapter 7 Part 2 Utah Code Annotated.
2. **ALTERATION** - any change to equipment other than maintenance, repair or replacement.
3. **APPLICABLE CODE** - the Code that was in effect at the time installation or modernization of an elevator commenced.
4. **APPROVED** - approved by the Labor Commission.
5. **ASME** - the American Society of Mechanical Engineers (ASME), Three Park Avenue, New York, NY 10016.
6. **AUTHORITY HAVING JURISDICTION** - the organization, office or individual responsible for enforcement of Safety Codes for Elevators (Utah Administrative Code R616-3-3).
7. **BUFFER** - a device installed in the pit designed to stop a descending car or counterweight beyond its normal limit of travel by absorbing and dissipating the kinetic energy of the car or counterweight
8. **BUILDING CODE** - Building Code adopted by the Utah Department of Commerce.
9. **BUILDING OFFICIAL** - the officer or other designated authority charged with the administration and enforcement of the Building Code.
10. **CAR** - the load-carrying unit including its platform, car frame, enclosure and car door or gate.
11. **CERTIFICATE INSPECTION** - an inspection, the report of which is used by the Labor Commission as justification for issuing, withholding or revoking the certificate of inspection.
 - A. **ACCEPTANCE INSPECTION** - the initial inspection and tests of new or altered equipment to check for compliance with applicable Code requirements.
 - B. **PERIODIC INSPECTION** - routine inspection and tests plus additional detailed examination and operation of equipment at specified intervals witnessed by an inspector to check for compliance with the applicable Code requirements.

- C. **ROUTINE INSPECTION** - the examination and operation of equipment at specified intervals by an inspector to check for compliance with the applicable Code requirements.
- D. **SPECIAL INSPECTION** - inspection, performed upon request, under conditions outside of the normal inspection process used to issue a Certificate of Inspection and Permit to Operate.
12. **CODE** - a general term used to describe the requirements of any of the adopted national standards.
13. **COMMISSION** - the Labor Commission of the State of Utah.
14. **COMMISSIONER** - the Commissioner of the Labor Commission.
15. **DIVISION** - the Division of Boiler, Elevator and Coal Mine Safety of the Labor Commission.
16. **EARTHQUAKE PROTECTIVE DEVICES** - a device or group of devices which serve to regulate the operation of an elevator or group of elevators in a predetermined manner during or after an earthquake.
17. **ELEVATOR** - a hoisting and lowering mechanism:
(i) equipped with a car or platform;
(ii) and that moves in guides in a substantially vertical direction
18. **ESCALATOR** - a stairway, moving walkway or runway that is:
(i) power-driven;
(ii) continuous; and
(iii) used to transport one or more individuals.
19. **FIRE FIGHTER'S SERVICE**
- Phase I (Recall)** - the operation of an elevator wherein it is automatically or manually recalled to a specific landing and removed from normal service. Typically the car returns to the main floor and is parked with the doors open. Phase I may be activated by a key switch or a smoke detector.
- Phase II (In-Car Fire Service)** - a key switch in the car that allows the elevator to be operated by emergency personnel.
20. **HOISTWAY** - an opening through a building or structure for the travel of elevators extending from the pit to the roof or an intermediate floor.
21. **INSPECTOR** - a State Elevator Inspector authorized by the Commission to perform elevator safety inspections in Utah.

- 22. **INSTALLATION** - a complete elevator, as defined in the Act, including its hoistway, hoistway enclosures and related construction, and all machinery and equipment necessary for its operation.
 - A. **EXISTING INSTALLATION** - an installation that has been completed or is under construction prior to the date of adoption of the current Code.
 - B. **NEW INSTALLATION** - an installation not classified as an existing installation by definition or an existing elevator moved to a new location.
- 23. **JURISDICTION** - having legal authority per Utah Code
- 24. **MACHINE ROOM** - a room dedicated exclusively to housing the driving and control parts (driving machine, controller, selector, motor generator, etc.) of an elevator.
- 25. **MAINTENANCE** - a process of routine examination, lubrication, cleaning, adjustment and replacement of parts for the purpose of ensuring performance in accordance with the applicable Code requirements.
- 26. **MODIFICATION** - the process of changing an item that requires revision of the existing design requirements.
- 27. **NATIONAL ASSOCIATION OF ELEVATOR SAFETY AUTHORITIES (NAESA)** - an independent certifying agency for the qualification of elevator inspectors to the ASME Standard for the Qualification of Elevator Inspectors.
- 28. **ORIGINAL CODE OF CONSTRUCTION** - the Code in effect at the time the elevator contract was signed. This Code will continue to apply to that elevator until the elevator is remodeled or moved to a new location.
- 29. **OWNER OR USER** - any person, corporation or other entity responsible for the installation, operation and maintenance of any elevator within Utah.
- 30. **PENETRATE A FLOOR** - to pass through or pierce a floor in such a way that the opening has a continuous perimeter and is provided only to allow the equipment to pass through the floor.
- 31. **PIT** - that portion of a hoistway extending from the sill level of the lowest landing to the floor at the bottom of the hoistway.
- 32. **REGULATORY AUTHORITY** - the person or organization responsible for administration or enforcement of the Division rules governing design, construction, testing, maintenance, or alteration or equipment covered by Utah Code 34A-7-202 for elevators and escalators.
- 33. **REMODELED ELEVATOR** - an elevator which has undergone an alteration which could affect the operating characteristics of the elevator.

34. **REPAIR** - the process of rehabilitation or replacement of parts that are basically the same as the original for the purpose of ensuring performance in accordance with applicable Code requirements.
35. **REPLACEMENT**- the substitution of a device or component in its entirety with a new unit that is basically the same as the original for the purpose of ensuring performance in accordance with applicable safety code requirements.
36. **SAFETY DEVICE** - a mechanical device designed to perform an essential safety function without the necessity of electrical power or operating air (pneumatics). Safety devices include:
- A. **SAFETY** - a mechanical device attached to the car frame or to an auxiliary frame, or to the counterweight frame, to stop and hold the car or counterweight under one or more of the following conditions: predetermined over speed, free fall or if suspension ropes slacken.
 - B. **PRESSURE RELIEF VALVE** - a mechanical valve actuated by inlet static pressure and characterized by rapid opening or pop action.
 - C. **RUPTURE VALVE** - a mechanical valve designed to shut upon sensing a rapid loss of pressure in the hydraulic supply line.
37. **SEISMIC** - of, subject to, or caused by an earthquake.
38. **WORKING PRESSURE** - the pressure measured at the hydraulic machine when lifting car and its rated load at rated speed.

PART II - ADMINISTRATION

Note: Unless otherwise noted, the term elevator is used in a generic sense in this manual and includes escalators and all other devices which fall under the jurisdiction of the Division.

A-1 Minimum Safety Standards

All new elevators shall be designed, constructed, inspected, stamped and as listed in Utah Administrative Code R616.3.3, Safety Code for Elevators.

All ASME code interpretations will be reviewed on an individual basis. Any clarification or acceptance requests must be submitted in writing to the Division.

A-2 Exemptions

The following elevators shall be exempt from the Act.

- A. Elevators under federal control or regulation.
- B. All devices listed in ASME A17.1, 1.1.2 , Safety Code for Elevators and Escalators.
- C. Elevators located in single family private residences if the elevator is installed in such a manner as to limit use to a single family.
- D. Dumbwaiters and Material Lifts - Although these devices are included in the ASME A17.1, Safety Code for Elevators and Escalators, they are not designed to transport people.

In any circumstance, the owner or user may confer with the Division regarding exemption or non-exemption.

A-3 Conflict of Interest

An inspector or Division official shall not engage in the sale of any services, article or device relating to elevators.

A-4 Inspections

Utah elevators must pass an acceptance inspection at the completion of installation and prior to being placed in service. An elevator must also undergo a periodic (routine) inspection every two years thereafter. The Division, however, may inspect any elevator under its jurisdiction on a more frequent basis if deemed necessary.

When an elevator with a valid Certificate of Inspection/Permit to Operate undergoes an alteration or is remodeled, the Certificate of Inspection/Permit to Operate becomes

invalid. To release the altered or remodeled elevator for use by the general public, the elevator must pass an acceptance inspection conducted by the Division.

It is the elevator owner's responsibility to assure that elevators have a current safety inspection. The Division, however, tracks the status of overdue elevators and conducts inspections on overdue elevators on a priority basis. Elevators overdue for the longest period of time receive the highest priority for inspection.

A-5 Routine Inspection Scheduling

Routine elevator inspections may be scheduled by calling the Division at (801) 530-6850.

A-6 New and Remodel Acceptance Inspections

Requests for new installation and remodel acceptance inspections must be submitted via email to the Division's designated personnel. The request should include the elevator location (building name and address), type of elevator (traction, hydraulic, etc.), number of stops and date of desired inspection. The inspections will be scheduled on a first come first served basis consistent with the availability of the inspector assigned to a particular geographical area.

A-7 Certificate of Inspection (Permit to Operate)

When an inspection is performed and the inspector finds that the elevator is code compliant a Certificate of Inspection/Permit to Operate will be issued to the elevator owner or designated representative. In accordance with Utah Administrative Code 616-3-15(B), elevator companies receive the Certificate of Inspection/Permit to Operate for new installations. The elevator company, in turn, is responsible for providing the certificate to the elevator owner. The certificate will remain valid for a period of two years from the date on the Certificate of Inspection/Permit to Operate unless revoked by the Division.

A-8 "Construction Use Only" Inspections

"Construction Use Only" inspections will be performed upon request from the company installing the elevator. As a minimum, the elevator must meet the conditions specified in ASME A17.1, Safety Code for Elevators and Escalators and the permit is valid for no longer than 90 days.

Under no circumstance should an elevator approved by the Division for "Construction Use Only" be accessible to the general public. If an elevator approved for "Construction Use Only" is accessible by the general public, approval for the use of the elevator will be revoked by the Division until it is brought into full compliance with applicable sections of the ASME A17.1 Safety Code for Elevators and Escalators.

The invoice for the inspection will be issued to the company installing the elevator. All "Construction Use Only" inspection fees must be paid in full before the Division will perform a final acceptance inspection for that elevator.

A-9 Acceptance Inspection Reporting

The elevator installation company is responsible for arranging services and paying all fees associated with these inspections. During the inspection the inspector performs or observes the acceptance tests in accordance with the Safety Code for Elevators and Escalators, ASME A17.1 or other adopted codes as applicable. Since the inspector is accompanied by the elevator installation contractor, a written list of non-compliance items is provided only at the request of the elevator installation contractor. Typically, non-compliance items are marked on a new installation inspection report and also communicated verbally to the elevator installer. When the elevator successfully passes the acceptance inspection, the elevator installation company is then responsible for assuring that the elevator owner receives a copy of the Certificate of Inspection/Permit to Operate.

A-10 Routine Inspection Reporting

When a routine inspection is performed and the inspector finds that the elevator does not comply with the adopted safety code, the inspector will explain what the violations are and also document them on a inspection report and/or check off list (this is provided to the owner), the inspector along with the owner will agree on a re-inspection date

A-11 Special Inspections

Special inspections are inspections which are outside of the normal routine of the Division. Examples of special inspections include, but are not limited to, the following:

- Scheduled inspections where the elevator is not completely ready for inspection upon the inspector's arrival.
- Inspections to approve an elevator for Construction Use Only
- Routine inspections when violations are not corrected by the specified date.

A-12 Fees

The Utah legislature requires that fees be charged for certain services. Such fees are approved by the Utah legislature. For new and remodel installations these fees shall be paid by the installation contractor. Subsequent fees are paid by the owner or user unless other contractual arrangements exist. Failure to pay the fees may lead to collection action as well as other legal action to prevent the operation of the elevator. The fee schedule for elevator certifications and inspections follows:

Certification/Inspection	Fee
All Existing Elevator Certifications	\$ 85.00
New Electric Elevator Certification	\$ 700.00
New/Remodeled Hydraulic Elevator Certification	\$ 300.00

New Roped Hydraulic Elevator Certification	\$ 500.00
New Handicapped Elevator Certification	\$ 200.00
New Escalator/Moving Walk Certification	\$700.00
New Other Elevator Certification	\$ 200.00
Remodeled Electric Elevator Certification	\$500.00
Special Inspection	\$60.00/hour + expenses

A-13 New Installations

The elevator company is responsible for arranging inspections, making code violation corrections and paying the invoice for the Certificate of Inspection/Permit to Operate. Because of this requirement, the Division will deal exclusively with the elevator company until the Certificate of Inspection/Permit to Operate is issued.

A-14 Remodeled Elevators/Escalators

Remodeled elevators represent special cases in assuring elevator safety. When an elevator is remodeled, the remodeled portions must comply with the safety code in effect at the time the remodeling contract is signed. The portions of the elevator which are not remodeled must continue to meet the requirements of the current adopted edition of the Safety Code for Existing Elevators and Escalators, ASME A17.3 (See Utah Administrative Code R616-3-3). Since each case is unique, owners or elevator companies involved in an elevator remodeling project should contact the Division to receive written documentation concerning the safety requirements the remodeled elevator will have to meet.

A-15 Reinstallation of Elevators/Escalators

An elevator moved and reinstalled within Utah will be considered a new installation elevator. Persons relocating or reinstalling an elevator should notify the Division. The Division will provide the owner with written documentation of the safety standards that elevator must meet to be returned to operation.

A-16 Application of Identification Numbers

Upon completion of the installation of an elevator or at the time of the initial certificate inspection of an existing installation, each elevator shall be identified by a unique number. In the event the elevator is ever scrapped, the identification number will not be reused.

A-17 Americans with Disabilities Act Compliance

Compliance with the Americans with Disabilities Act (ADA) is the responsibility of the local building official. Questions regarding ADA requirements should be directed to the

Office of Technical and Information Services of the Architectural and Transportation
Barriers Compliance Board.

A-18 Penalties

Any person, firm or corporation violating any of the provisions of Utah's elevator laws
may be subject to the provisions of Utah Code Ann. §34A-7-204.

PART III - GENERAL REQUIREMENTS

G-1 Inspection of Elevators/Escalators

All elevators not exempted by Utah Code or by rules promulgated by the Labor Commission and which are subject to regular inspection shall be prepared for such inspections as required in G-2.

G-2 Preparation for Inspection

The owner or user shall prepare each elevator for inspection. For new/remodeled installations this preparation is completed by the elevator installation company. Proper preparation for inspection includes verification that all control and safety devices of the elevators are connected and functioning.

If necessary, the inspector may require the owner or elevator company to isolate hazardous energy.

G-3 Improper Preparations for Inspection

The elevator should be completely ready for inspection at the scheduled time for the inspection. If the inspector finds that the elevator is not ready for inspection, he/she will instruct the owner to reschedule the inspection through the Division.

G-4 Hazardous Atmosphere

Since the elevator pit and hoistway may meet the Occupational Safety and Health Administration (OSHA) definition of a "confined space", elevator inspectors may require atmosphere readings to assure their personal safety for entry.

G-5 Seismic Requirements

The seismic requirements listed in The Safety Code for Elevators and Escalators, ASME A17.1 are required for all elevators installed in seismic risk zone 2 or greater after 1993. Seismic requirements are found in the International Building Code.

Elevators installed before the seismic requirements came into effect which are then remodeled or altered may be required to incorporate certain seismic requirements. Personnel involved in remodeling or altering an existing elevator shall contact the Division for which seismic requirements are to be met.

G-6 Repairs and Alterations

The Safety Code for Elevators and Escalators, ASME A17.1 should be used for elevator repairs and alterations. The Safety Code for Existing Elevators and Escalators, ASME A17.3 will be used in the Division's determination of applicable code requirements. Each alteration will be assessed on a case by case basis by the Division and the code requirements that the altered/repaired elevator will have to meet will be documented in writing by the Division and communicated to the elevator owner and elevator company if applicable.

G-7 Unauthorized Items in Elevator Machine Rooms

As stated in ASME A17.1, using an elevator machine room for storage and installing non-elevator related equipment in the machine room are two of the most common Code violations cited by state inspectors. The purpose for both of these Code requirements is to limit exposure to the safety risks of the elevator equipment only to those personnel who have been properly trained to recognize and deal with such risks.

G-8 Hoistway Vents

All aspects of the hoistway ventilation will fall under the authority of the local building official and/or Fire Marshall. The State Elevator Inspector may ask the building official if the vent meets Code.

G-9 Refuge Space

The refuge space required on top of an elevator car provides a clear, unobstructed space for elevator repair and inspection personnel. The area required by the Code is wide enough to accommodate full-shoulder width and high enough to accommodate a large individual in a crouched position. The existence of the minimum area required by Code may be the only chance a person has to survive if certain accidents occur when a person is on top of the car.

G-10 Conditions Not Covered by These Regulations

For any conditions not covered by this manual, the applicable provisions of the adopted safety codes will apply.

G-11 Welding on Pressure Systems

All welding must be performed in accordance with ASME A17.1.

PART IV - ELECTRIC ELEVATORS

E-1 Applicable Safety Code

The applicable safety code for an electric elevator is the Safety Code for Elevators and Escalators, ASME A17.1. The specific year of the code which is applicable to a specific elevator is the code which was in effect as documented in Utah Administrative Code at the time the elevator contract was signed.

E-2 Applicable Safety Code Sections

Electric elevator requirements are found in the following documents

1. Part II of the Safety Code for Elevators and Escalators, ASME A17.1.
2. National Electrical Code, NFPA 70 Article 620
3. National Fire Alarm Code, NFPA 72

Note: The code sections listed above are not meant to be an all-inclusive list of applicable code requirements. Depending on the nature of the activity other safety code requirements may apply. If any question exists as to the applicable safety codes, the Division should be contacted.

PART V - HYDRAULIC ELEVATORS

H-1 Applicable Safety Code

The applicable safety code for a hydraulic elevator is the Safety Code for Elevators and Escalators, ASME A17.1. The specific year of the code which is applicable to a specific elevator is the code which was in effect at the time of the installation or remodel.

H-2 Applicable Safety Code Sections

Hydraulic elevator requirements are found in the following documents

1. Part 3 of the Safety Code for Elevators and Escalators, ASME A17.1.
Note: Part 3 will reference appropriate sections of Part 2.
2. National Electrical Code, NFPA 70
3. National Fire Alarm Code, NFPA 72

Note: The code sections listed above are not meant to be an all-inclusive list of applicable code requirements. Depending on the nature of the activity other safety code requirements may apply. If any question exists as to the applicable safety codes, the Division should be contacted.

H-3 Bronze Valves in Hydraulic Systems

See Utah Administrative Code R616-3-9

H-4 Grooved Pipe Fittings

See Utah Administrative Code R616-3-10

Grooved pipe fittings are allowed by the Safety Code for Elevators and Escalators, ASME A17.1 for use in hydraulic systems. However, no leakage is allowed. Leaking fittings must be repaired/replaced.

H-5 Shunt Trips

See Utah Administrative Code R616-3-11

PART VI - ESCALATORS AND MOVING WALKS

EM-1 Applicable Safety Code

The applicable safety code for an escalator or moving walk is the Safety Code for Elevators and Escalators, ASME A17.1. The specific year of the code which is applicable to a specific elevator is the code which was in effect at the time of installation or remodel.

EM-2 Applicable Safety Code Sections

Escalator or moving walk requirements are found in the following documents:

1. Section 6.1 (Escalators) of the Safety Code for Elevators and Escalators, ASME A17.1.
2. Section 6.2 (Moving Walks) of the Safety Code for Elevators and Escalators, ASME A17.1.

Note: Parts VIII and IX will reference appropriate sections of Parts I and II.

3. National Electrical Code, NFPA 70

Note: The code sections listed above are not meant to be an all-inclusive list of applicable code requirements. Depending on the nature of the activity other safety code requirements may apply. If any question exists as to the applicable safety codes, the Division should be contacted.

EM-3 Safety Devices

No person shall at any time make inoperative or ineffective any device on which the safety of users is dependent, including any electrical protective device, except where necessary for maintenance, repair or testing. Such devices shall be restored to their normal operating condition prior to returning the equipment to service.

PART VII - DISABLED PERSON LIFTS

DL-1 Applicable Safety Code

The applicable safety code for a disabled person lift (inclined stairway lift, inclined wheelchair lift or vertical wheelchair lift) is the Safety Standard for Platform Lifts and Stairway Chairlifts, ASME A18.1 or Safety Code for Elevators and Escalators, ASME A17.1 for lifts installed prior to the adoption date of A18.1. The specific year of the code which is applicable to a specific elevator is the code which was in effect at the time of installation or remodel.

DL-2 Applicable Safety Code Sections:

Disabled person lift requirements are found in the following documents

1. Safety Standard for Platform Lifts and Stairway Chairlifts, ASME A18.1 or
 - a. Part XX of the Safety Code for Elevators and Escalators, ASME A17.1 (for lifts installed prior to ASME A18.1 adoption date).
2. National Electrical Code, NFPA 70
3. ICC/ANSI A117.1-1998 Accessible and Usable Buildings and Facilities

Note: The code sections listed above are not meant to be an all-inclusive list of applicable code requirements. Depending on the nature of the activity other safety code requirements may apply. If any question exists as to the applicable safety codes, the Division should be contacted.

DL-3 Disabled Person Lift Application

International Building Code: Outlines when a platform lift may be used in new construction.

International Building Code: Platform (wheelchair) lifts shall not serve as part of accessible means of egress, except where allowed as part of a required accessible route in Section 1109.7

International Building Code: Platform (wheelchair) lifts complying with ICC/A117.1 and installed in accordance with ASME A18.1 shall be permitted as a component of an accessible route in existing buildings.

(The State of Utah, Labor Commission has adopted A18.1 to replace the requirements of A17.1 for Platform Lifts.)

PART VIII - OTHER ELEVATORS

O-1 Limited-Use, Limited-Application (LULA) Elevators

The local building official has the responsibility for determining whether a limited-use, limited application elevator (LULA) is appropriate for a proposed application. The Division will assure that the elevator meets the safety code requirements of ASME A17.1.

O-2 Belted Man-Lifts

The safety code for the belted man-lifts is the Safety Standard for Manlifts, ASME A90.1.

Man-lifts are designed to be used only by authorized personnel who are trained in their proper use.