



*from the lift directive  
to the owner  
documentation*

# *guideline*

→ *for the preparation of*

*documentation*

*to be delivered*

*with a new lift*

**revision 2001**



EUROPEAN ELEVATOR ASSOCIATION



## FROM THE LIFTS DIRECTIVE, EN 81-1/2 AND EN 13015 TO THE OWNER DOCUMENTATION

"This document has been developed to assist all parties involved in the preparation of owner documentation required by the Lifts Directive (95/16/EC), the harmonised standard EN 81-1/2 - 1998 and as specified in EN 13015 "Maintenance for Lifts and Escalators – Rules for Maintenance Instructions".

It brings a common understanding of the requirements, thus assisting to raise the standard of information provided throughout the Industry.

This Guideline has been prepared with the help of an international team of EEA Members, supported by the EEA Committees for Technique & Safety, Codes & Standards and Legal Affairs."

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Chairman of the Work Team  
Owner Documentation  
September 2001

guideline for the  
  
preparation of  
  
«documentation  
  
to be delivered with  
  
a new lift»

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**INTRODUCTION**

The European Elevator Association (EEA) is a European Economic Interest Grouping, which was created with the specific objective of promoting the quality and safety of the products and services of the Lift and Escalator Industry, in the interest of the users.

In the context of this activity, the EEA examines the progress of regulations in the European Union (EU). The EEA has realised the need for clear understanding of regulations, such as the Lifts Directive, which became mandatory on July 1st, 1999.

Within the EU, there are at present approximately 50 000 new lifts coming into operation every year where the Lifts Directive is applicable directly.

To guarantee health and safety of users and competent persons of maintenance organisations and inspection authorities, a clear understanding and application of regulations by all parties involved is required and is the key purpose of this brochure.

This brochure contains Guidelines for full compliance with the Lifts Directive, EN 81-1/2 and EN 13015 in respect of the Owner Documentation to be handed over with each new lift. EN 13015 clarifies the information necessary for the owner and the maintenance company in respect of maintenance instructions.

The basic information that should be provided by the Installer to ensure the safety of persons who use or work on the lifts, as well as information on the safe and intended functioning of the installation and its components form part of the owner documentation.

The instructions should establish through risk assessment the safe conditions under which maintenance can be carried out and the responsibilities and communication requirements between the parties.

The brochure guides the installer of the lift step by step through the regulations, explaining their meaning as well as their application, showing clearly to the Installer what he has to deliver to the owner. References to the regulations help to find the relevant paragraphs (§). The interpretation of paragraphs (§) is well supported by typical examples of application.

Standardisation of the Owner Documentation helps both, the owner and the installer of the lift to find answers to open questions in respect of maintenance of lifts and respective liabilities.

The Guideline gives clear presentation of the documentation with the information required. Correctly, structured documentation provides for optimal understanding, irrespective of the type of lift.

The EEA members welcome, in addition to the Lifts Directive and EN 81-1/2 the implementation of EN 13015 as a great assistance to the owners, installers, authorities and users of lifts. They strongly believe that this Guideline will assist in the correct and easy interpretation of the regulations and standards. This view is supported by the EEA Committees for Technique & Safety, Codes & Standards and Legal Affairs.



## PRELIMINARY REMARK

The delivery of documentation to the owner when handing over a new installation, based on § 1.7.4 of the Machinery Directive (89/392/EEC) is already in force. Therefore, this Guideline concentrates exclusively on new lifts under the Lifts Directive .

Any additional documents required by national legislation as well as instructions to be handed over by the Manufacturer to the Installer are not part of this document.

## INTRODUCTION

The following contains the Guideline for the documentation (register or file) to be provided to the owner when handing over a new lift (**Lifts Directive (LD)- Annex 1, clause 6**) or, at the latest at the time the lift is put into service (**EN 81-1/2, § 16.2**).

The objective of this Guideline is to help the installer to provide the necessary information based on EN 13015 to ensure safe and proper operation of the lift in accordance with:

**LD 95/16/EC - Annex 1, clause 6**  
**EN 81 – 1/2, §16.3**

Note : when reference is made to one of these documents, please refer to it for detailed information.

**The documentation must be drawn up in the official language(s) of the Member State in which the lift is installed (LD - Annex 1, clause 6.2).**

The documentation has to be delivered irrespective of the type of Conformity Assessment Procedure (**LD - article 8**).

The receipt of the documentation has to be confirmed by the signature of the owner and countersigned by the installer (**Example 1**).

For practical reasons, the document should contain:

- the serial number of the lift to which it applies,
- date of issue
- name and address of the installer/maintenance company
- the list of content,
- numbered pages.

For correct understanding of this document, refer to Symbols and Definitions shown in the relevant section of this document.

Note: Terms used in this Guideline are those used in the Lifts Directive, EN 81- 1/2 and EN 13015.



The following table shows the possible grouping of documents fulfilling the above mentioned regulations:

**Examples** to this Guideline are informative only and show one possible solution.

## PACKAGE OF DOCUMENTATION TO BE DELIVERED WITH A NEW LIFT

1. BASIC DOCUMENTATION	2. TECHNICAL DOCUMENTATION
1.1 Declaration of Conformity	2.1 Plans of lift in the building
1.2 Basic Characteristics	2.2a Electric schematic diagrams
1.3 Logbook	2.2b Hydraulic diagram
	2.3 Safety components
	2.4 Basic characteristics of ropes and chains
3. MAINTENANCE INSTRUCTIONS	4. INSTRUCTIONS FOR USE
3.1 General Maintenance Instructions for the lift	4.1 Instructions for normal use of the lift
3.2 Maintenance instructions for Safety Components	4.2 Instructions for rescue operations



## SYMBOLS



**Danger** : This symbol draws attention to a high risk of injury to persons. It must always be obeyed.



**Warning** : This symbol draws attention to information which, if it is not observed, can lead to injury to persons or extensive damage to property. It must always be observed.



**Caution** : This symbol draws attention to information containing important instructions for use. Failure to observe the instructions can lead to damage or danger.

## DEFINITIONS

**Owner of the Installation** Natural or legal person who has the power of disposal of the installation and takes the responsibility for its operation and use (*EN13015, §3.7*).

**Handover of Lift** The point in time at which the installer makes the lift available to the owner for the first time.

**Emergency** An abnormal situation in which persons require outside assistance.

**Fault** A situation of operation in which safe operation of the lift for its intended use is restricted or impossible.

**Installer** Natural or legal person who takes responsibility for the design, manufacture, installation and placing on the market of lifts (*EN13015, §3.5*).

**Maintenance Organisation** Company or part of company where competent maintenance person(s) carry out maintenance operations on behalf of the owner of the installation (*EN 13015, § 3.2*).

**Maintenance** All necessary operations (lubrication, inspections, cleaning operations etc.) to ensure the safe and intended functioning of the installation and its components after the completion of the installation and throughout its life cycle.

**Notified Body** An independent body with Quality Assurance, lift experience, professional integrity and technical competence, appointed by an EU Member State.

**Repair** Replacement or repair of defective and/or worn components.

**Safety Components** Components which are defined as safety components in the EU Lifts Directive (95/16/EC- Annex IV).

**Competent Maintenance Person** Designated person, suitably trained (see EN ISO 9000 series), qualified by knowledge and practical experience provided with necessary instructions and supported within his maintenance organisation to enable the required maintenance operations to be safely carried out (*EN13015, §3.3*).



### 1.1 DECLARATION OF CONFORMITY

As required by **LD - article 8.3 and Annex II footnote N°3**, the declaration of conformity states the relevant provisions to which the lift conforms (**LD Annex II - B**). The declaration of conformity signed by the installer shall be delivered to the owner (**Example 2**).

### 1.2 BASIC CHARACTERISTICS

Based on **EN 81- 1/2, §16.2**, basic characteristics of the lift shall be indicated (**Example 3**) such as:

- drive system
- power supply characteristics
- capacity (-rated load, number of persons)
- speed (-rated speed)
- length of travel (rise)
- number of stops (number of levels served)
- location of machinery

### 1.3 LOGBOOK

Based on **LD Annex I, clause 6.2**, a logbook shall be delivered in which repairs and, where appropriate, periodic checks (statutory inspections) can be noted as well as duplicate dated copies of reports of examinations and inspections executed by the maintenance organisation or inspection bodies in line with national regulations (**EN 81-1/2, § 16.2.b**) can be filed. The logbook shall be safely kept and maintained by the owner as long as the lift is in existence.

Requirements :

- Basic information per lift:
  - Installation N°
  - Contract N°
  - Handover date
  - Site address
- Following items should be recorded in the logbook:
  - Date of first putting into service of the lift
  - Maintenance organisation identification
  - Major repairs/ important modifications
  - Statutory inspections
  - other information (including rescue operations/ accidents) (**Example 4**)

BASIC DOCUMENTATION



## 2.1 PLANS OF LIFT IN THE BUILDING (LAYOUT DRAWING)

A drawing showing the basic layout of the lift (*LD Annex I, clause 6.2 and EN 81- 1/2, § 16.2*) shall be provided at the handover. This drawing shall include, in particular, information relating to:

- entrance size(s),
- car size,
- dimensions of lift well and machine room,
- operational safety clearances.

Dimensions on the drawing may be shown in table form.

## 2.2A ELECTRIC SCHEMATIC DIAGRAMS

As stated in *EN 81-1/2, § 16.2 a)*, the circuit diagrams may be limited to the circuits for the overall understanding of the safety considerations, i.e. safety circuits connected with electric safety devices and the power circuits (*EN 81-1/2, Annex C.4*). These schematic diagrams should be clearly legible, conform to the relevant lift and use CENELEC symbols (identical IEC).

The abbreviations used with the symbols shall be explained by means of a nomenclature (*EN 81 1/2, § 16.2a)*).

The following information need not be provided and remains the sole intellectual property of the Original Equipment Manufacturer (OEM):

- software listings and software documentation
- printed circuit board layout plans and logic design diagrams
- wiring diagrams.

## 2.2B HYDRAULIC DIAGRAM (FOR HYDRAULIC LIFTS)

As stated in *EN 81-1/2, § 16.2 a)*, the circuit diagrams may be limited to the circuits for the overall understanding of safety considerations, i.e. circuits connected with electricity devices, power circuits (*EN 81-1/2, Annex C.4*) and the hydraulic diagram (*EN 81-2, Annex C.4*). These schematic diagrams should be clearly legible, conform to the relevant lift and use ISO 1219 symbols.

The abbreviations used with the symbols shall be explained by means of a nomenclature (*EN 81- 1/2, § 16.2.a)*).

## 2.3 SAFETY COMPONENTS

A list of the safety components incorporated in the lift (*LD - Annex IV*) and their test certificate number, if any, shall be provided (*Example 5*).

## 2.4 BASIC CHARACTERISTICS OF ROPES AND CHAINS

The basic characteristics of ropes and/or chains (e.g. suspension, governor, etc.) shall be provided (*EN 81-1/2, § 16.2*) either by a list of the characteristics or a copy of the certificates originating from the manufacturer.





Each lift must be accompanied by maintenance instructions (*LD Annex I, clause 6.2, EN 13015 § 4.1*) and shall be maintained regularly by a maintenance organisation (*EN 13015, §3.2*) using competent persons (*EN 13015, § 3.3*).

Maintenance instructions shall take into account (*EN 13015, § 4.2*):

- a) the specifications and the intended use of the installation (type of installation, performance, type of goods to be transported, type of users, etc.);
- b) the environment in which the installation and its components are installed (weather conditions, vandalism, etc.);
- c) any restriction of use;
- d) the result of the risk assessment for every working area and for every task to be undertaken;
- e) the specific maintenance instructions provided by the manufacturer of safety components;
- f) in case of components other than safety components, where maintenance is necessary, the maintenance instructions provided by the manufacturer of these components.

The owner shall be informed that, based on the elements given above, the maintenance organisation shall develop a suitable maintenance plan as part of its maintenance contract (*EN 13015, § 4.3.3.5 and §4.3.3.6*). For this maintenance plan it is necessary to determine the different intervention procedures of the maintenance operations and the appropriate safety measures for each of these procedures, based on a risk assessment (*EN 13015, § 5.1*).

The maintenance instructions shall be laid down in a handbook, in the format given in *EN 13015, clause 8*. The maintenance instruction handbook shall contain at least:

1. General maintenance instructions for the lift.
2. Maintenance instructions for safety components.

Where "safety symbols and definitions" are used in the maintenance instructions, refer to section "Safety symbols and Definitions" of this Guideline.



### 3.1 GENERAL MAINTENANCE INSTRUCTIONS FOR LIFTS

The instructions for general maintenance of a lift shall include the necessary information to the owner of the installation (*EN 13015, §4.3.2*) and information to the maintenance organisation (*EN 13015, § 4.3.3*). All the requirements in *EN 13015 § 4.3.2 and §4.3.3* shall be taken into account respectively.

The owner shall be informed that maintenance work shall be carried out by a maintenance organisation (*EN 13015, §4.3.2.1*) with competent persons and according to the instructions provided by the installer in the instruction manual (*EN 81- 1/2, § 16.3.2*).

The instructions shall inform about:

- necessary maintenance of the lift and its accessories, in order to keep it in safe working condition;
- instruction for safe maintenance.

Annex A of *EN 13015* provides typical examples of checks to be taken into account in maintenance instructions (*Example 6*).

As defined by the installer, some of the following maintenance tasks:

- cleaning of the external parts of the well of the lift,
- cleaning of the internal parts of the car of the lift,
- putting the lift in or out of service, when permitted,
- checking proper working of lift,
- rescue operations (*see 4.2 of this Guideline and EN 13015, clause 6*) may be carried out by other competent persons than the maintenance organisation's. Based on the instructions given by the installer the persons must be instructed by a competent third party and authorised by the owner to perform these tasks.

### 3.2 MAINTENANCE INSTRUCTIONS FOR SAFETY COMPONENTS

Specific maintenance instructions provided by the manufacturers of the safety components shall be addressed.

Maintenance work on safety components (*LD, Annex IV*) shall be carried out by a maintenance organisation with competent persons.

The maintenance instruction manual shall provide the minimum information necessary for carrying out effectively and without danger activities required in maintaining safety components.

NOTE: Instructions for assembly and connection refer to the construction of a New Lift and therefore are not part of this Documentation.



#### 4.1 INSTRUCTIONS FOR NORMAL USE OF THE LIFT

The normal use instructions (*En 81- 1/2, § 16.3.1 and LD Annex I, clause 6.2*) shall inform about the following topics by drawing attention to possible risks.

Issues to be considered:

1. Purpose and scope of the instructions.
2. Intended use of the lift.
3. Symbols and definitions.
4. Duties of the owner.
5. Description of the lift.
6. Necessary information about the normal use of the lift, especially about:
  - keeping the documentation,
  - events requiring the intervention of a competent person,
  - safe loading and unloading,
  - free access on landings,
  - precaution to be taken on a lift with partially enclosed well,
  - keeping the machine room door locked,
  - use of the landing door emergency unlocking key.
7. Maintenance activities:
  - Safety precautions,
  - Cleaning,
  - Correction of faults,
  - Repairs,
  - Taking the lift out of service.
8. Information about examinations and tests after an important modification or after an accident.
9. Rescue responsibilities and procedures (see 4.2 of this brochure).
10. Environmental aspects/disposal of material.
11. National statutory requirements.



#### 4.2 INSTRUCTIONS FOR RESCUE OPERATIONS

Rescue Operations Instructions (*LD Annex I, clause 6.2 and EN 81-1/2, § 16.3.1*) should:

- be legible and printed on durable material.
- use illustrations of the machine and tools etc. to facilitate rescue operations.
- use symbols where possible to highlight risks, dangers etc. (*see ISO 3864*).
- provide address of the maintenance company.
- be placed near the equipment in a visible position.
- define responsibilities (between maintenance organisation, rescue service and authorised persons).
- state that operations to rescue trapped passengers shall only be performed by authorised persons, trained for the specific installation by the maintenance organisation or a competent third party (*EN 13015, § 6.1 and 6.2*).
- state that rescuing people by authorised persons shall be done only through landing doors. (*EN 13015, § 6.3*).
- inform about the use of the landing door emergency unlocking key (*EN 81-1/2, § 7.7.3.2 and § 16.3.1.f*).
- give warnings where there is a special risk, inform of any actions that should NOT be performed, particularly contact the maintenance organisation when the lift car cannot be moved (*EN 13015, § 6.4 and 6.5*).



**CONCLUSION.**

This brochure will certainly be of value to you, making it much easier for you to interpret and apply the regulations, as well as influencing positively the costs of preparation of the necessary documents to be provided with a new lift to the owner.

We believe that this Guideline will also help to improve safety of all users, including maintenance persons, inspection authorities, as well as strengthening the image of the whole Lift Industry.

The EEA is always at your disposal for assistance with the application of this Guideline in the framework of existing regulations.

# PACKAGE OF DOCUMENTATION TO BE DELIVERED WITH A NEW LIFT

## 1. BASIC DOCUMENTATION

- 1.1 Declaration of Conformity
- 1.2 Basic Characteristics
- 1.3 Logbook

## 2. TECHNICAL DOCUMENTATION

- 2.1 Plans of lift in the building
- 2.2a Electric schematic diagrams
- 2.2b Hydraulic diagram
- 2.3 Safety components
- 2.4 Basic characteristics of ropes and chains

## 3. MAINTENANCE INSTRUCTIONS

- 3.1 General Maintenance Instructions for the lift
- 3.2 Maintenance instructions for Safety Components

## 4. INSTRUCTIONS FOR USE

- 4.1 Instructions for normal use of the lift
- 4.2 Instructions for rescue operations





# Example 1

## ACKNOWLEDGEMENT OF OWNER DOCUMENTATION

### Lift Identification :

Lift Serial N°	
Address	
Location	
Country	
Date of Handover	

### Owner :

Name	
Address	
Country	

We confirm herewith the receipt of the Owner's Documentation by the owner.  
The Documentation consists of : (Tick according tick box to check)

- Declaration of conformity
- Basic characteristics of the lift
- Logbook
- Plans of lift in the building (layout drawings)
- Electric diagrams of the safety and main power circuit
- Hydraulic diagram (for hydraulics lifts)
- List of safety components
- Basic characteristics of ropes and chains
- General maintenance instructions for the lift
- Maintenance instructions for Safety Components
- Instructions for normal use of the lift
- Rescue operations instructions

In case where the building/lift is used by other persons, or if the ownership of the building changes, the Owner Documentation has to be passed on.

Place /Date	
Signature of the owner	
Signature of the installer	



# Example 2

## DECLARATION OF CONFORMITY

Name of Installer	
Address of Installer	
Product	
Type	
Serial number	
Year of installation	
Location of installation	
Notified Body	
Name	
Address	
Reference.N°	
If relevant	
Type examination	
Certificate N°	

We herewith declare that this product meets the following EC Directives and EN Standards:

EC Directives  
95/16/EC (Lifts)

EN standards (when appropriate, also reference of the EC design certification)

Further standards to which the declaration relates :

Intended use : according to the data plate in the car and the instruction manual

- Passengers
- Passengers & Goods
- Others (precise)

Place

Name of responsible person

Date

Signature









# Example 5

## SAFETY COMPONENTS

	Lift Component Identification	Component Type	Type Examination Certificate Number	Test Office Location
1. Devices for locking landing door				
2. Devices to prevent the car from falling or unchecked upward movement				
3. Overspeed limitation devices				
4. Energy-accumulating/dissipation type shock absorbers				
5. Safety devices fitted to jacks of hydraulic power circuits (to prevent falls)				
6. Electric safety devices (safety switches containing electronic components)				



# Example 6

MAINTENANCE INSTRUCTIONS  
(based on Pr EN 13015 - February 1997  
Non exhaustive list of operations to be taken into account for maintenance

A.1 Electric Lifts	
Pit Area	Check for excess oil/grease at bottom of guides. Check the pit area is clean, dry and free from debris.
Anti-rebound mechanism and switch (where fitted)	Check for free movement and operation. Check for equal tension of ropes. Check switch where fitted. Check lubrication.
Buffers	Check oil level. Check lubrication. Check switch where fitted. Check fixings.
Drive motor/Generator	Check bearings for wear. Check lubrication. Check condition of commutator.
Gear Box	Check gear for wear. Check lubrication.
Traction Sheave	Check condition and grooves for wear.
Brake	Check braking system. Check parts for wear. Check stopping accuracy.
Controller	Check cabinet is clean, dry and free from dust.
Overspeed Governor and Tension Pulley	Check moving parts for free movement and wear. Check operation. Check switch.
Main Rope Diverter Pulley(s)	Check condition and grooves for wear. Check bearings for abnormal noise and/or vibrations. Check guarding. Check lubrication.
Car/Counterweight guides	Check for film of oil where required on all guide surfaces. Check fixings.



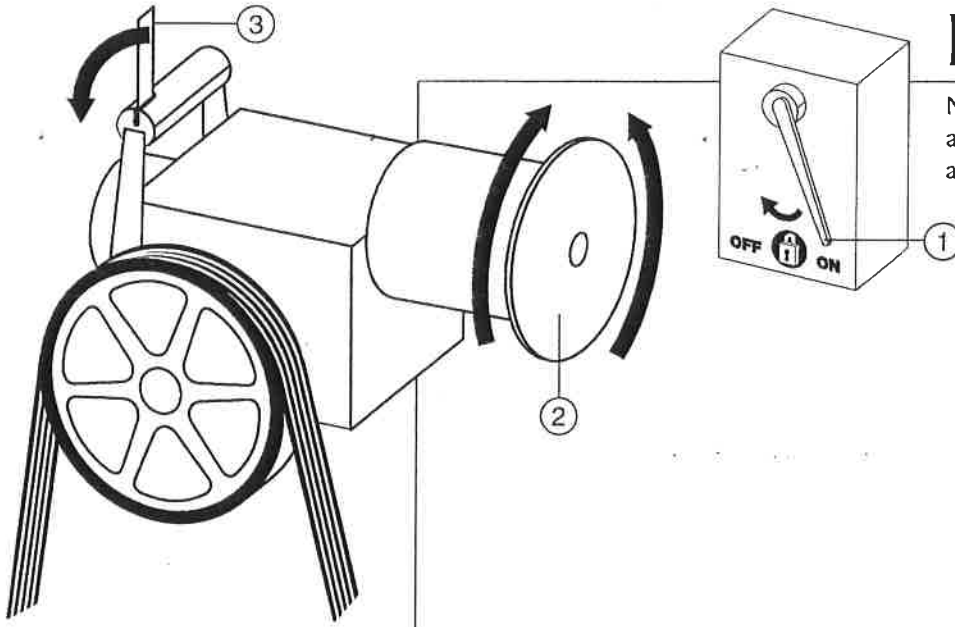
# Example 6

MAINTENANCE INSTRUCTIONS  
(based on Pr EN 13015 - February 1997  
Non exhaustive list of operations to be taken into account for maintenance

A.1 Electric Lifts	(Following)
Car/Counterweight guide shoes	Check guide shoes/rollers for wear. Check fixings. Check lubrication where necessary.
Electric wiring	Check insulation.
Lift car	Check emergency lighting, car buttons, key switches. Check fixings of panels and ceiling.
Safety gear(s) /Ascending car over speed protection means	Check moving parts for free movement and wear. Check lubrication. Check fixings. Check operation. Check switch.
Suspension ropes/chains	Check for wear, elongation and tension. Check lubrication only where intended.



# Example 7



Note : this example has to be adapted by the installer to the actual situation of the lift !

## Instructions for Rescue Operations for an electric traction lift



Interventions must be carried out properly by trained or competent persons only.



### Safety devices must not be rendered inoperative.

- 1) Turn off the main power switch (1)
- 2) Determine the car position.
- 3) Calm down trapped passengers and explain what is going on
- 4) Note direction of rotation plate on the motor
- 5) Hold the handwheel (2) firmly ; start releasing the brake carefully with the brake release lever (3) and observe the direction of rotation of the handwheel (2)



### Caution : Lift car may move in either direction, up or down !

- 6) Turn the handwheel slowly to move the car to the next landing (noting the rope marking) ; then re-engage the brake
- 7) Determine the car position again



### Caution : If the car begins to pick up speed quickly, let go off the brake, release lever (3) immediately !

- 8) Slide open the hoistway door by hand and evacuate the passengers



### Caution : Have people mind their step so they do not trip !

- 9) Afterwards, check to make sure the hoistway doors are closed
- 10) The power switch (1) remains turned off



**Notify the emergency service of the company that services the lift**



**If the car cannot be moved by hand, you must immediately notify the emergency service of the company that services the lift.**



Use of landing door emergency unlocking key strictly limited to trained/competent persons

Maintenance company  
Address

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Phone