

**Article 21.1 - SAFETY CODES FOR ELEVATORS, ESCALATORS, MANLIFTS AND HOISTS:  
Administration**

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Rule 1. Administration

675 IAC 21-1-1 Installation and alteration permit; registration; application; expiration

Authority: IC 22-13-2-13; IC 22-15-5-2

Affected: IC 22-13; IC 22-14; IC 22-15-5-3

Sec. 1. (a) An installation permit is required prior to commencement of work for an installation of a new regulated lifting device. An alteration permit is required prior to commencement of work for an alteration to an existing regulated lifting device.

(b) An application for an installation or alteration permit shall be made to the office of the state building commissioner on forms provided by the office. Each application shall contain the following:

- (1) The name, address, e-mail address, and fax number of the elevator contractor that will be installing or altering the regulated lifting device, and if applicable, the license number of the elevator contractor.
- (2) The name, address, and e-mail address of the owner of the building in which the new regulated lifting device is being installed or the existing regulated lifting device is being altered.
- (3) The name, address, and e-mail address of the user of the regulated lifting device.
- (4) All information required under IC 22-15-5-3(c) for registration of the regulated lifting device. This includes the following for the regulated lifting device:

- (A) The type.
- (B) The rated load and speed.
- (C) The name of the manufacturer.
- (D) The location.
- (E) The nature of use.

(5) Complete plans, including:

- (A) copies of specifications and accurately scaled and fully dimensioned plans showing the location of the installation in relation to the plans and elevation of the building;
- (B) plans showing the location of the machine room and the equipment to be installed, relocated, or altered;
- (C) plans showing the structural supporting members, including foundations; and
- (D) a specification of all materials employed and loads to be supported or conveyed.

These plans must be sufficient to show that the installation or alteration will comply with all applicable equipment laws and must be sufficiently complete to illustrate all details of construction and design.

(6) The required fee.

(7) The affirmations by the appropriate signatories as required under section 1.5 of this rule.

*(Fire Prevention and Building Safety Commission; 675 IAC 21-1-1; filed Aug 30, 1985, 11:52 a.m.: 9 IR 38, eff Oct 1, 1985; filed Sep 27, 1989, 4:30 p.m.: 13 IR 285; readopted filed Sep 11, 2001, 2:49 p.m.: 25 IR 530; filed Dec 3, 2002, 3:05 p.m.: 26 IR 1083)*

675 IAC 21-1-1.5 Signatories; affirmation

Authority: IC 22-13-2-13

Affected: IC 22-13; IC 22-14; IC 22-15-5-3

Sec. 1.5. (a) All signatories to an application shall be determined as follows:

- (1) For a corporation, the signatory shall be a responsible corporate officer. For the purpose of this section, a responsible corporate officer means a president, secretary, treasurer, or vice president of the corporation in charge of a principal business function, or any other person who performs similar policymaking or decision-making functions for the corporation.

(2) For a partnership or sole proprietorship, the signatory shall be a general partner or the proprietor, respectively.

(3) For a municipality, state, or other public agency, the signatory shall be a principal executive officer or ranking elected official.

(b) Alternatively, a duly authorized representative of a signatory listed under subsection (a) may be the signatory on the application. A person is a duly authorized representative only if:

(1) the authorization is made in writing by an individual described in subsection (a);

(2) the authorization specifies either an individual or a position having responsibility for the regulated lifting device such as the position of plant manager, superintendent, position of equivalent responsibility, or an individual or position having overall responsibility for building and fire safety matters for the company; and

(3) the written authorization is submitted to the office, if requested.

(c) The elevator contractor that is responsible for the installation or alteration of the regulated lifting device shall make the following affirmation on an application for an installation or alteration permit: "I affirm, under penalty of perjury, the following:

(1) This document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete.

(2) The regulated lifting device will be installed or altered in accordance with all applicable statutes and rules adopted by the commission and will not be changed from the design specified in the plans and specifications submitted with the application and released by the office.

(3) All individuals installing or altering the regulated lifting device:

(A) have sufficient background, knowledge, skills, and training to install or alter, inspect, and maintain the regulated lifting device;

(B) have the training and expertise necessary to recognize and report any condition that could result in the unsafe operation of the regulated lifting device;

(C) are provided with sufficient ongoing training to reasonably ensure that the individuals are proficient in the standards affecting regulated lifting devices that have been adopted by the commission; and

(D) possess the requisite authority and are required to immediately suspend the operation of the regulated lifting device upon discovering a condition that could result in the unsafe operation of the regulated lifting device, and to report the discovery of such a condition to the office."

(d) The designated signatories shall make the following affirmation on an application for an initial or renewal operating certificate:

(1) The owner of the building in which the regulated lifting device is located shall make an affirmation that reads, "I affirm, under penalty of perjury, the following:

(A) This document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete.

(B) The regulated lifting device will be maintained and repaired in accordance with all applicable statutes and rules adopted by the commission.

(C) If an elevator contractor performed the safety tests of the regulated lifting device, this contractor was chosen under my direction and to the best of my knowledge and belief, after exercising due diligence, has the expertise necessary to install or alter the regulated lifting device in accordance with the rules adopted by the commission.

(D) I hereby grant the authority to and require all individuals employed by either the elevator contractor or the owner to immediately suspend the operation of the regulated lifting device upon discovering a condition that could result in the unsafe operation of the regulated lifting device, and to report the discovery of such a condition to the office."

(2) If an elevator contractor performed the safety tests of the regulated lifting device, this contractor shall

make an affirmation that reads, "I affirm, under penalty of perjury, the following:

- (A) This document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete.
- (B) The regulated lifting device is in compliance with all applicable equipment and building laws.
- (C) All individuals responsible for performing these safety tests of the regulated lifting device:
  - (i) have sufficient background, knowledge, skills, and training to perform these tests on the regulated lifting device;
  - (ii) have the training and expertise necessary to recognize and report any condition that could result in the unsafe operation of the regulated lifting device;
  - (iii) are provided with sufficient ongoing training to reasonably ensure that the individuals are proficient in the standards affecting regulated lifting devices that have been adopted by the commission; and
  - (iv) possess the requisite authority and are required to immediately suspend the operation of the regulated lifting device upon discovering a condition that could result in the unsafe operation of the regulated lifting device, and to report the discovery of such a condition to the office."

*(Fire Prevention and Building Safety Commission; 675 IAC 21-1-1.5; filed Dec 3, 2002, 3:05 p.m.: 26 IR 1084)*

675 IAC 21-1-3.1 Operating certificate; display; location

Authority: IC 22-13-2-13; IC 22-15-5-4; IC 22-15-5-5

Affected: IC 22-13; IC 22-14; IC 22-15

Sec. 3.1. (a) A regulated lifting device may not be operated without an operating certificate that covers the operation of the regulated lifting device. However, an individual who is performing maintenance on, repairing, installing, or altering the regulated lifting device may use the regulating lifting device without an operating certificate to the extent necessary to complete the work and required testing.

(b) The office shall issue an initial operating certificate for a regulated lifting device if:

(1) the applicant for the operating certificate has:

- (A) demonstrated through an acceptance inspection and tests that the regulated lifting device complies with the laws governing its construction, repair, maintenance, and operation. This acceptance inspection must be conducted by a licensed inspector;
- (B) submitted a notice of compliance/completion to the office that has been completed and signed and affirmed by the appropriate signatory as required under section 1.5 of this rule;
- (C) paid the required fee; and

(2) been inspected by the office and the office has determined that the regulated lifting device complies with the laws governing its construction, repair, maintenance, and operation.

(c) The office shall issue a renewal operating certificate for a regulated lifting device if the applicant:

(1) demonstrates through the completion of applicable safety tests that the regulated lifting device complies with the laws governing the construction, repair, maintenance, and operation of the regulated lifting device; and

(2) has paid the required fee.

(d) Upon receiving an initial or renewal operating certificate, a copy of the initial or renewal operating certificate shall be displayed in or on each regulated lifting device or in an associated machine room. *(Fire Prevention and Building Safety Commission; 675 IAC 21-1-3.1; filed Sep 27, 1989, 4:30 p.m.: 13 IR 286; readopted filed Sep 11, 2001, 2:49 p.m.: 25 IR 530; filed Dec 3, 2002, 3:05 p.m.: 26 IR 1085)*

675 IAC 21-1-5 Existing installations; maintenance

Authority: IC 22-13-2-13

Affected: IC 22-12; IC 22-13; IC 22-14; IC 22-15

Sec. 5. All existing installations for which an operating permit is in effect shall be maintained in a safe

operating condition or shall be taken out of service. All parts of existing installations upon which safe operation is dependent, shall be maintained in proper working order. Broken, worn or otherwise defective components shall be promptly replaced. All electrical equipment and communication systems shall be maintained in a serviceable condition. *(Fire Prevention and Building Safety Commission; 675 IAC 21-1-5; filed Aug 30, 1985, 11:52 am: 9 IR 39, eff Oct 1, 1985; readopted filed Sep 11, 2001, 2:49 p.m.: 25 IR 530)*

#### 675 IAC 21-1-7 Accident reports and investigations

Authority: IC 22-13-2-13

Affected: IC 22-12; IC 22-13; IC 22-14; IC 22-15

Sec. 7. (a) An accident involving a regulated lifting device shall be reported by the owner of the regulated lifting device within twenty-four (24) hours after the accident has occurred. This initial report shall contain, to the extent available, the information specified in subsection (b)(1) through (b)(8).

(b) The owner shall submit a final written accident report to the office as soon as possible after the accident has occurred, but in any event no later than two (2) weeks after the date of the accident. The following information shall be included in the final written accident report:

- (1) Registration number of the regulated lifting device.
- (2) Owner and operator of the regulated lifting device.
- (3) The names, address, and phone numbers of all persons responsible for the maintenance or repair of the regulated lifting device.
- (4) Location of the regulated lifting device.
- (5) Names, addresses, and phone numbers of any persons injured.
- (6) Date and time of the accident.
- (7) Operating condition of the installation as known.
- (8) Brief details of the accident.
- (9) Police report, if it exists.
- (10) Fire department report, if it exists.
- (11) Emergency medical report, if it exists.
- (12) Any other emergency response reports.

(c) The office may request, and the owner shall provide, any additional records and information which in any way relate to an accident and shall assist the office in the investigation of any accident.

(d) The following definitions apply throughout this section:

- (1) "Accident" means any occurrence involving a regulated lifting device in which:
  - (A) one (1) or more individuals are fatally injured or require medical treatment; or
  - (B) the damage to the regulated lifting device exceeds two thousand five hundred dollars (\$2,500).
- (2) "First aid" means any one-time treatment, and any follow-up visit for the purpose of observation, of minor scratches, cuts, burns, splinters, and so forth, which do not ordinarily require medical care. Such one-time treatment, and follow-up visit for the purpose of observation, is considered first aid even though provided by a physician or registered professional personnel.
- (3) "Medical treatment" includes treatment administered by a physician or by registered professional personnel under the standing orders of a physician (including emergency medical technicians, advanced emergency medical technicians, and paramedics). Medical treatment does not include first aid treatment even though provided by a physician or registered professional personnel.

*(Fire Prevention and Building Safety Commission; 675 IAC 21-1-7; filed Aug 30, 1985, 11:52 a.m.: 9 IR 39, eff Oct 1, 1985; readopted filed Sep 11, 2001, 2:49 p.m.: 25 IR 530; filed Dec 3, 2002, 3:05 p.m.: 26 IR 1086)*

#### 675 IAC 21-1-9 Title

Authority: IC 22-13-2-13

Affected: IC 22-12; IC 22-13; IC 22-14; IC 22-15

Sec. 9. All codes and standards adopted or established in this article shall collectively be known as the Indiana Elevator Safety Code, 2002 edition. *(Fire Prevention and Building Safety Commission; 675 IAC 21-1-9; filed Aug 30, 1985, 11:52 a.m.: 9 IR 40, eff Oct 1, 1985; filed Sep 27, 1989, 4:30 p.m.: 13 IR 287; readopted filed Sep 11, 2001, 2:49 p.m.: 25 IR 530; filed Dec 3, 2002, 3:05 p.m.: 26 IR 1086)*

675 IAC 21-1-10 Definitions

Authority: IC 22-13-2-13

Affected: IC 22-12; IC 22-13; IC 22-14; IC 22-15-5-11

Sec. 10. (a) The definitions in this section apply throughout this article.

(b) "Elevator work" means the:

- (1) installation;
- (2) alteration;
- (3) maintenance;
- (4) repair;
- (5) replacement; or
- (6) placement out of service as described in Section 8.11.1.4 of 675 IAC 21-3-2;

of any regulated lifting device. The term does not include demolition, hole drilling, or monthly fire service testing as described in Section 8.6.10.1 of 675 IAC 21-3-2.

(c) "Licensed inspector" means an individual licensed as an elevator inspector under IC 22-15-5-11. Prior to Before *[sic.]* March 1, 2003, a qualified inspector may perform any inspection required to be conducted by a licensed inspector.

(d) "Qualified inspector" means an individual certified by an organization:

- (1) certified by an organization accredited by ASME in accordance with the requirements of ASME QEI-1;
- or
- (2) certified by an organization that the authority having jurisdiction has determined has equivalent requirements and conditions as ASME QEI-1 for obtaining and retaining such the *[sic.]* certification.

*(Fire Prevention and Building Safety Commission; 675 IAC 21-1-10; filed Dec 3, 2002, 3:05 p.m.: 26 IR 1086; filed Nov 16, 2006, 4:04 p.m.: 20061213-IR-675050050FRA)*