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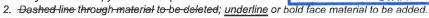
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FOR OFFICE USE ONLY			
Received 9/20/2021 Code 675	IAC 21-	Proposal nu	mber
Code title			Edition
Section number and title 675 IAC 21-1			Page number
Proponent Justin Guedel	Representing (if application IDHS	ble)	
Address (number and street, city, state, and ZIP code) 302 W. Washington St. Room E208			Telephone number (317) 232-2222
PROPOSED CODE CHANGE (check one)			
☑ Change to read as follows ☐ Add to read as follows ☐ De See attached modifications.	elete and substitute as fol	lows 🗆 D	elete without substitution
REASON STATEMENT AND FISCAL IMPACT			
See attached reason statements and fiscal impact statements.			
REVIEW RECOMMENDATION			
Approve			
Reject			
Approve as amended			
Further study			

ARTICLE 21. SAFETY CODES FOR ELEVATORS, ESCALATORS, MANLIFTS ANDHOISTS REGULATED LIFTING DEVICE RULES

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 department on a form and in a manner approved by the department. Each application shall contain the following:
 - (1) The name, address, e-mail address, and fax license number of the elevator contractor (the applicant) that will be installing or altering the regulated lifting device, and if applicable, the license number of the elevator contractor. If the installation is not required to be performed by an elevator contractor, and the applicant is not an elevator contractor, the name address, and email address of the person performing the installation or alteration.
 - (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.
 - (C) The location.
 - (D) 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 of the installation or alteration will comply with all applicable equipment laws and must be sufficiently complete to illustrate all details of construction and design as required under IC 22-15-5-1(b)(1).

- (6) The proposed date the installation or alteration work will begin.
- (7) The required fee set under IC 22-12-6-6(a)(7).
- (8) The affirmations by the appropriate signatories as required under An affirmation, in accordance with section 1.5 of this rule, by the applicant (the elevator contractor, or person installing or altering the regulated lifting device if not required to be an elevator contractor), affirming under the penalty of perjury:
 - (A) The application 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 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 department. If changes are necessary following issuance of a permit, work will be halted until a new permit is obtained.

- (C) All individuals installing or altering the regulated lifting device:
 - (i) are licensed mechanics or elevator apprentices working under the direct supervision of a licensed mechanic, or if the device is regulated by ASME A18.1, have sufficient background, knowledge, skills, and training to install or alter, inspect, and maintain 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) have the 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, and to report the discovery of such a condition to the department; and
 - (iv) 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.
- (c) Upon issuance of an installation permit, a registration number shall be assigned to the device by the department.
- (d) Prior to the actual commencement of work, the permit holder shall provide notice to the department of the following:
 - (1) The actual date the installation or alteration will commence.
 - (2) The name, address, email address, and license number of any elevator mechanic who will perform the installation or alteration of the device. If the device is not required to be installed by a licensed mechanic, and is not being installed by a licensed mechanic, the name, address, and email address of the person who will perform the installation or alteration of the device.
 - (3) The name, address, and e-mail address of any elevator apprentices who will assist with the installation or alteration.

The information in subitems (2) and (3) shall be kept up to date throughout the duration of the installation or alteration of the device. As provided in IC 22-15-5-1.3, failure to comply with this subsection may result in sanctions.

(e) If, after work authorized by a permit has commenced, work is suspended or abandoned, the permit holder shall notify the department. Prior to resuming work after suspension or abandonment, the permit holder shall provide notice to the department as required in subsection (d).

(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;

readopted filed Aug 20, 2009, 12:42 p.m.: 20090916-IR-675090380RFA; readopted filed Aug 8, 2012, 8:08 a.m.: 20120905-IR-

675120260RFA; readopted filed Jul 3, 2018, 2:22 p.m.: 20180801-IR-675180204RFA)

REASON STATEMENT AND FISCAL IMPACT

- 1. Modified the title of the Article to be more concise and consistent with its appropriate scope.
- 2. Changes were made to update references to the state building commissioner's office, to reference the Department, to coincide with statutory changes occurring over the years to provide general authority to the Department to administer its programs.
- 3. Removed the requirement for a fax number to be provided by the elevator contractor.
- 4. Eliminated language duplicating statute.
- 5. Required information pertaining to the proposed date of installation or alteration work so that IDHS can schedule inspections as necessary.
- 6. Moved the specific affirmation requirements to the applicable permit section so all requirements

- are contained in one section of the rule for clarity.
- 7. Modified the affirmation relating to changes in plans and specifications to outline the process by which modifications to plans must be made (i.e. by obtaining a new installation or alteration permit).
- 8. Updated the language regarding the attestation to the background of the individuals perfuming the actual installation to incorporate the requirement that these individuals be licensed mechanics or under the supervision of one unless the device is regulated under ASME A18.1.
- 9. Required the issuance of a registration number upon granting of the installation permit as required by IC 22-15-5-3.
- 10. Required notification to the Department of the actual date of installation and alteration so that inspections can be conducted as appropriate and it can be determined whether the appropriate work was commenced before expiration.
- 11. Required that information be submitted to the department concerning who the licensed mechanics working on the installation or alteration are so that it can be verified that work is being performed by licensed individuals.
- 12. Requires a notification if work is suspended or abandoned to calculate the proper expiration date of the permit.

Fiscal – NA. The only new requirements are simply notifications to the department that should only create a de minimis impact and will be built into the filing system for quick and easy notification.

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; readopted filed

Aug 20, 2009, 12:42 p.m.: 20090916-IR-675090380RFA; readopted filed Aug 8, 2012, 8:08 a.m.: 20120905-IR-675120260RFA;

readopted filed Jul 3, 2018, 2:22 p.m.: 20180801-IR-675180204RFA)

REASON STATEMENT AND FISCAL IMPACT

Deleted the specific affirmations needed to obtain an installation or alteration permit and an operating permit and moved them to the appropriate section covering those permits for clarify.

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.
- (b) An application for an initial operating certificate for a regulated lifting device shall be made to the department on a form and in a manner approved by the department. Each application shall contain the following:
 - (1) a copy of the acceptance inspection as required under IC 22-15-5-4(c)(1);
 - (2) the fee set under IC 22-12-6-6(a)(7); and
 - (3) An affirmation, in accordance with section 1.5 of this rule, by the owner of the building in which the regulated lifting device is located, affirming under the penalty of perjury the following:
 - (A) This application 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) 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 department.
 - (c) Upon receipt of an application completed in accordance with subsection (b), the department shall perform an inspection in accordance with IC 22-15-5-4(c)(2) and shall issue an initial operating permit if compliance has been determined.
- (d) An application for renewal of an operating certificate for a regulated lifting device shall be made to the department on a form and in a manner approved by the department. Each application shall contain the following:
 - (1) safety tests as required under IC 22-15-5-4(d)(1) and (d)(2);
 - (2) the fee set under IC 22-12-6-6(a)(7); and

(3) the affirmation contained in subsection (b)(3).

(e) A regulated lifting device shall be placed out of service upon expiration of an operating permit by submitting an out of service affirmation to the department and shutting off the power to the regulated lifting device. Any regulated lifting device placed out of service for more than five (5) years from the date it was placed out of service shall be decommissioned in accordance with the requirements of Section 8.11.1.4(b) of ASME A17.1 as adopted under 675 IAC 21-3.1, and notice that the regulated lifting device has been decommissioned shall be provide to the department no later than 7 days following its decommission. (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; filedDec 3, 2002, 3:05 p.m.: 26 IR 1085; readopted filed Aug 20, 2009, 12:42 p.m.: 20090916-IR-675090380RFA; readopted filed Aug 8, 2012, 8:08 a.m.: 20120905-IR-675120260RFA; readopted filed Jul 3, 2018, 2:22 p.m.: 20180801-IR-675180204RFA)

REASON STATEMENT AND FISCAL IMPACT

- 1. Deleted language duplicating statute.
- 2. Modified reference to the office of the state building commissioner to reference the Department as provided in the updated statutory scheme.
- 3. Included the specific affirmation needed for an operating permit previously contained in section 1.5 in this section for clarity but deleted specific requirement for contractor to affirm along with owner. If the owner wants to delegate this responsibility, he has authority to as provided for in section 1.5, but requirement to have owner and contractor affirm is not necessary.
- 4. Included language previously voted on by the Committee regarding placing regulated lifting devices out of service in subsection (e).
- 5. Deleted rule on display of operating certificate as this requirement is contained in statute.

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 to the department 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 department 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 department 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 department 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; readopted filed Aug 20, 2009, 12:42 p.m.: 20090916-IR-675090380RFA; readopted filed Aug 8, 2012, 8:08 a.m.: 20120905-IR-675120260RFA; readopted filed Jul 3, 2018, 2:22 p.m.: 20180801-IR-675180204RFA)

REASON STATEMENT AND FISCAL IMPACT

1. Modified language requiring notice to the office to be sent to the department to come in line with statutory changes.

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 **2022** Indiana Elevator Safety Code, 2011 edition Regulated Lift Device Rules. (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; readopted filed Aug 20, 2009, 12:42 p.m.: 20090916-IR-675090380RFA; filed Mar 14, 2011,

10:22 a.m.: 20110413-IR-675090871FRA; readopted filed Aug 8, 2012, 8:08 a.m.: 20120905-IR-675120260RFA; readopted filed

Jul 3, 2018, 2:22 p.m.: 20180801-IR-675180204RFA)

REASON STATEMENT AND FISCAL IMPACT

Modified the title of the rule to the 2022 Indiana Regulated Lift Device Rules as these rules are being updated and are expected to go into effect in 2022.

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

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.
- (d) "Qualified inspector" means an individual certified by an organization:
- (1) accredited by ASME in accordance with the requirements of ASME QEI-1; or
- (2) that the authority having jurisdiction has determined has equivalent requirements and conditions as ASME QEI-1 for obtaining and retaining the 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; readopted filed Aug 20, 2009, 12:42 p.m.: 20090916-IR-675090380RFA; filed Mar 14,

2011, 10:22 a.m.: 20110413-IR-675090871FRA; readopted filed Aug 8, 2012, 8:08 a.m.: 20120905-IR-675120260RFA; readopted

filed Jul 3, 2018, 2:22 p.m.: 20180801-IR-675180204RFA)

REASON STATEMENT AND FISCAL IMPACT

Modified the name of the term being defined from "elevator work" to "work" as the term "elevator work" is not used anywhere in the rule.