

Section 1 Introduction

Background

In March 2005, the parts of the Building Act 2004 (the Building Act) covering compliance schedules and building warrants of fitness (BWofFs) came into force and the Building Act 1991 (the former Act) was repealed. The Building Act and the introduction of the Building (Specified Systems, Change the Use, and Earthquake-prone Buildings) Regulations 2005 have brought about significant changes to the compliance schedule and BWofF regimes, including changes to the systems required on a building's compliance schedule. These regimes ensure that systems or features that contribute to the proper functioning of a building, such as lifts and sprinkler systems, are regularly monitored and maintained.

Use of this document

The Compliance Schedule Handbook is broken into three sections. The first is the introduction. The second, *Compliance schedule regime*, is intended to provide information about the compliance schedule and BWofF regimes under the Building Act. The third section, *Compliance schedule content guidelines*, provides a guide to developing a compliance schedule for a specified system or systems in a building, including guidance on the associated inspection, maintenance and reporting procedures.

Guidance

The Compliance Schedule Handbook is intended as a guide in accordance with section 175 of the Building Act. Readers should always refer to the Building Act and Building Regulations as the source documents. In all cases, a compliance schedule must be issued by a building consent authority. However, a building owner must, if required by the building consent authority, submit proposals for the inspection and routine maintenance procedures for the purposes of the compliance schedule as part of a building consent application. A building owner may submit these proposals with the building consent application even if the building consent authority has not required them.

Independent qualified persons

With the exception of Section 2 Paragraph 8.0, reference in the Compliance Schedule Handbook has been made to independent qualified persons (IQP), not licensed building practitioners (LBP), to align with the transitional arrangements provided by the Building Act – see Section 2.

Regional authorities

Under the Building Act, a regional authority performs the functions of a building consent authority and territorial authority that relate to compliance schedules and BWofFs, to the extent that those functions relate to dams. For the purpose of performing functions relating to dams, every reference (with the exception of Section 2 Paragraph 8.0) to a building consent authority or territorial authority in the Compliance Schedule Handbook should be read as a reference to a regional authority.

What this document does not cover

The Compliance Schedule Handbook does not provide model compliance schedules or examples of what a compliance schedule should look like. Its use is limited to providing guidance on how to develop a compliance schedule. It does not include advice about cable cars, which are not required by legislation to be covered by a compliance schedule until 31 March 2008.

Section 2 Compliance schedule regime

1.0 Compliance schedules

A compliance schedule is a document that contains specific information about, and procedures for, specified systems within a building.

Section 103 of the Building Act requires that a compliance schedule must state:

- the specified systems that are covered by the compliance schedule
- the performance standards for the specified systems
- the inspection, maintenance, and reporting procedures to be followed for each specified system
- the specified systems that relate to the following:
 - means of escape from fire
 - safety barriers
 - access and facilities for use by persons with disabilities
 - handheld hose reels for fire-fighting
 - any signs that are required by the Building Code or section 120 of the Building Act.

Section 100 of the Building Act states that a compliance schedule is required for a building (except a single household unit) containing any of the prescribed specified systems (currently there are 15 different specified systems prescribed – see Paragraph 7.0).

From 31 March 2008 any building, including a building used wholly as a single household unit, will require a compliance schedule if the building has a cable car attached to it, or servicing it.

Household units will only require the compliance schedule for the cable car, not any other specified system.

1.1 Owner's obligations

Section 101 of the Building Act provides that the owner of a building for which a compliance schedule is required under section 100 must obtain one. Failure to do so is an offence

carrying a fine of up to \$20,000, and a further \$2,000 for every day the offence is continued.

The owner is responsible for being aware of any specified system installed in their building and ensuring it is listed on a compliance schedule.

Owners of a building for which a compliance schedule has been issued also have a responsibility to ensure:

- each of the specified systems are performing and will continue to perform to the performance standards for that system
- they provide the territorial authority with an annual BWoF on the anniversary of the issue of the compliance schedule, accompanied by Form 12A(s) from an IQP for each specified system and any recommendations to amend the compliance schedule by an IQP
- the compliance schedule is kept at the place stated on the schedule and agreed to by the owner and the territorial authority
- the compliance schedule is available for inspection by any person or organisation with the right to inspect the building under any Act
- for the first 12 months after the compliance schedule is issued, a compliance schedule statement is displayed in a public place within the building
- they obtain annual written reports (see Paragraph 5.0) relating to the inspection, maintenance, and reporting procedures of the compliance schedule signed by the IQP
- they keep the annual written reports together with the compliance schedule for a period of 2 years and produce these reports when required by the territorial authority or person/organisation that has the right to inspect the building.

1.2 Issue of a compliance schedule

Compliance schedules for new buildings (ie, those with no existing schedule) are issued by a building consent authority when the code compliance certificate (CCC) is issued.

A building consent authority that issues a compliance schedule must provide a copy to the territorial authority in whose district the building is situated within five working days.

Where a certificate of acceptance is issued and a compliance schedule or amended compliance schedule is required as a result of the building work it covers, the new or amended compliance schedule is required to be attached to the certificate of acceptance.

Where a certificate for public use is issued, there is no requirement that the compliance schedule be issued with it.

If a certificate for public use is issued, the building's specified systems will still require inspection and maintenance procedures to be carried out prior to the issue of the code compliance certificate. One solution is for the territorial authority to issue a draft compliance schedule as a condition on the certificate for public use under section 363A(3)(b). Later, when the code compliance certificate is issued, the building consent authority can issue the official compliance schedule in accordance with section 102(1).

1.3 Amendment of a compliance schedule

Existing compliance schedules can be amended by both a building consent authority and a territorial authority, depending on the circumstances for which the amendment is required.

1.3.1 Amendments by building consent authorities

A building consent authority may amend a compliance schedule where necessary as a result of building work. This includes situations where new building work is occurring that:

- will affect an existing specified system that will require altered inspection and maintenance requirements
- will result in new specified systems being installed
- will remove an existing specified system.

1.3.2 Amendments by territorial authorities

A territorial authority may amend a compliance schedule where:

- the owner requests a change to the compliance schedule
- the owner's IQP recommends that the compliance schedule is amended, to ensure the specified systems will perform to the performance standards for those systems
- the territorial authority decides that the compliance schedule needs to be amended, to ensure the specified systems will perform to the performance standards for those systems.

The Building Act specifies procedures to be followed in each case.

No amendment can occur without consultation with the owner, although it may occur without the owner's agreement.

1.3.3 Effect of amendments

Amending a compliance schedule will not affect the timing of the issue of the Form 12A and subsequent BWoF.

Section 108(3)(a) provides that the BWoF is supplied on the anniversary of the issue of the original compliance schedule.

Where a compliance schedule is amended to incorporate or alter a specified system part way through the BWoF period, a Form 12A and BWoF can still be issued, and will be required to be issued on the original compliance schedule anniversary.

The Form 12A for the new or altered specified system will cover compliance with the inspection, maintenance, and reporting procedures for the period it has been installed. This is allowable because Forms 12A and 12 are signed based on compliance with the compliance schedule procedures **during** the previous 12 months. It does not indicate that a specified system has to be installed for 12 months or more before Forms 12A and 12 can be signed.

In these situations it may be useful to note on the compliance schedule report (see Paragraph 5.0) that the specified system has been installed for less than 12 months.

1.4 Existing buildings

All existing buildings that contain a system or feature listed in the former Act for inclusion on a compliance schedule should already have been issued with a compliance schedule under that Act. These compliance schedules remain in effect as if they were issued under the Building Act 2004. However, these compliance schedules should be amended to align with the specified systems in the Building (Specified Systems, Change the Use, and Earthquake-prone Buildings) Regulations 2005.

The following points need to be taken into consideration by: a building consent authority when issuing or amending a compliance schedule; a territorial authority when amending a compliance schedule; and by an IQP inspecting the specified systems.

- Existing buildings (including their specified systems) are not required to be upgraded to comply with the Building Code unless an alteration, change of use, or certain types of subdivision take place in the building. Refer to sections 112A, 115 and 116A of the Building Act.
- The inspection and maintenance procedures for a specified system are specific and appropriate to the system at the time it was installed. There is no requirement for these to be updated on the compliance schedule as more recent Standards are developed. However, existing compliance schedules should be amended for the purposes of ensuring specified systems continue to meet the performance standards (see Paragraph 1.3 on the previous page).

1.5 Compliance schedule form

The Building Act does not require a compliance schedule to be on a prescribed form. As a result, there is no authority in legislation that allows this form to be created in Regulations. The Department recognises that it is important to achieve national consistency in the format, layout and content of compliance schedules, and has provided an example of a compliance schedule form at the end of Part 1 of the compliance schedule content guidelines.

2.0 Compliance schedule statement

A compliance schedule statement states the specified systems contained in the building and notes where the compliance schedule is kept. It is not a statement about the performance of the specified systems listed.

A compliance schedule statement is issued on Form 10 of the Building (Forms) Regulations 2004 by the territorial authority.

It is required to be publicly displayed for 12 months after the compliance schedule is issued.

3.0 Building warrant of fitness (BWof)

A BWof is required where a compliance schedule has been issued for a building. A BWof verifies that the inspection, maintenance and reporting procedures for all the specified systems within a building have been carried out in accordance with the compliance schedule for the previous 12 months.

The BWof must be prepared in accordance with the prescribed form (Form 12) in the Building (Forms) Regulations 2004.

Section 108 of the Building Act requires that a BWof must:

- be supplied on each anniversary of the issue of the compliance schedule
- state the location of the compliance schedule and associated compliance schedule reports
- state that the inspection, maintenance, and reporting procedures have been fully complied with during the previous 12 months
- have attached to it all Form 12A certificates issued by IQPs for the specified systems
- have attached to it any recommendations from an IQP to amend the compliance schedule.

The owner must display a copy of the BWof in a place in the building where it can be seen by building users.

If a BWof is not displayed when required, or a false or misleading BWof is displayed, or a BWof is displayed in a manner not in

accordance with section 108 of the Building Act, the owner is liable for a fine of up to \$20,000.

4.0 Form 12A – Certificate of compliance

Form 12A is a form issued by an IQP to verify that the inspection, maintenance and reporting procedures on a compliance schedule for a specified system have been carried out during the previous 12 months.

In order for the BWoF to be valid, the owner must obtain Form 12A(s) covering all the specified systems in the building and attach them to the BWoF, before supplying it to the territorial authority.

There may be a Form 12A for each specified system or one Form 12A may cover several specified systems. This will depend on the number of IQPs required for a building. Whatever the case, when those certificates are considered together, they must certify that the inspection and maintenance procedures stated in the compliance schedule for all specified systems have been fully complied with during the previous 12 months.

The Form 12A cannot be amended or altered to create exceptions from the requirement to fully comply with the inspection, maintenance, and reporting procedures for the previous 12 months.

5.0 Compliance schedule reports

Section 110 of the Building Act requires that an owner of a building for which a compliance schedule has been issued must obtain annual written reports relating to the inspection, maintenance, and reporting procedures of the compliance schedule.

The owner must ensure the reports are:

- signed by an IQP who carried out one or more of the inspection, maintenance, and reporting procedures
- kept for a period of 2 years
- produced when required by the territorial authority and any other person or organisation who has the right to inspect the building under any Act.

The owner must also ensure the BWoF states where the reports, along with the compliance schedule, are kept.

6.0 Performance standard

The term 'Performance standard' for a specified system is not defined by the Building Act. However, it can be interpreted as the level of performance a specified system was intended to meet, and to continue to meet, at the time it was designed and installed in a building.

The Building Act requires that a specified system must be inspected and maintained in order to ensure that it performs, and continues to perform, to that standard.

If a specified system is designed and installed to a Compliance Document, Standard or specific documentation, this will set the performance standard for that specified system. An example is the level required by NZS 4541: 1996 for sprinkler systems.

7.0 Specified systems

Specified systems are systems or features that contribute to the proper functioning of the building. Specified systems require ongoing inspection and maintenance to ensure they function as required, because if they fail to operate properly, they have the potential to adversely affect health or life safety.

The specified systems are listed in Schedule 1 of the Building (Specified Systems, Change the Use, and Earthquake-prone Buildings) Regulations 2005, and are listed below. Where one or more of these systems exist in a building (except a single household unit), a compliance schedule is required.

- SS 1 Automatic systems for fire suppression
- SS 2 Automatic or manual emergency warning systems for fire or other dangers
- SS 3 Electromagnetic or automatic doors or windows
- SS 4 Emergency lighting systems
- SS 5 Escape route pressurisation systems
- SS 6 Riser mains for use by fire services

- SS 7** Automatic back-flow preventers connected to a potable water supply
- SS 8** Lifts, escalators, travelators, or other systems for moving people or goods within buildings
- SS 9** Mechanical ventilation or air conditioning systems
- SS 10** Building maintenance units providing access to exterior and interior walls of buildings
- SS 11** Laboratory fume cupboards
- SS 12** Audio loops or other assistive listening systems
- SS 13** Smoke control systems
- SS 14** Emergency power systems for, or signs relating to, a system or feature specified in any of SS 1 to SS 13 above
- SS 15** Other fire safety systems or features (systems for communicating information intended to facilitate evacuation, final exits, fire separations, signs, fire separations).

8.0 Transitional arrangements for independent qualified persons (IQPs)

The Building Act introduces the licensed building practitioner (LBP) regime to improve control of, and encourage better practices in, design and construction. This new regime includes the requirement for inspection, maintenance and reporting procedures for a specified system on a compliance schedule to be verified by a LBP through the requirement to issue a Form 12A.

Under the former Act, the equivalent role was the responsibility of an independent qualified person (IQP).

The Building Act only refers to LBPs, not IQPs, when discussing the compliance schedule and BWoF provisions.

The Building Act deals with the gap between regimes (IQP – LBP) by providing the following transitional provisions before 30 November 2009.

- A reference in the compliance schedule and BWoF sections to LBP(s), in relation to a territorial authority, includes a reference to an IQP accepted by the territorial authority as being qualified to carry out the inspection, maintenance, and reporting procedures required for a specified system stated in a compliance schedule.
- A person who immediately before 30 November 2004 was accepted by a territorial authority as being qualified to carry out the inspection, maintenance, and reporting procedures required for a specified system stated in a compliance schedule, continues to be accepted until the territorial authority withdraws its acceptance.
- A territorial authority may accept any person as being qualified to carry out the inspection, maintenance and reporting procedures required for a specified system stated in a compliance schedule.
- A territorial authority may withdraw its acceptance of any person as being qualified to carry out the inspection, maintenance and reporting procedures required for a specified system stated in a compliance schedule.

If not earlier withdrawn, a territorial authority's acceptance of a person as being qualified to carry out the inspection, maintenance, and reporting procedures required for a specified system expires on 30 November 2009.

SS 8 Lifts, escalators, travelators, or other systems for moving people or goods within buildings

- SS 8/1 Passenger-carrying lifts
- SS 8/2 Service lifts
- SS 8/3 Escalators and moving walks

SS 8/1 Passenger-carrying lifts

A.	Scope
<p>A passenger-carrying lift is required to be listed on a compliance schedule in all cases.</p> <p>Examples:</p> <p>Examples of passenger-carrying lifts include, but are not limited to:</p> <ul style="list-style-type: none"> (i) a high speed elevator in a commercial office building (ii) a platform lift providing access for a person with disabilities. 	

B.	Inspections
<p>General</p> <p>Passenger-carrying lifts require regular inspection and testing to ensure they operate as required by the performance standard.</p> <p>Content and frequency of inspections</p> <p>Depending on the type of installation and its performance standard, one or more of the following referenced Standards or documents could be used.</p> <p>For lifts installed in buildings before the introduction of the Building Act 1991:</p> <ul style="list-style-type: none"> • B.1 Power Lift Rules applicable at the time of installation. <p>For installations that comply with D2/AS1 and are installed to NZS 4332:</p> <ul style="list-style-type: none"> • B.2 inspections and checks should be carried out annually in accordance with the requirements of the checklist on pages 30, 31 and 32. <p>For installations that comply with D2/AS1 and are installed to EN 81 (Part 1 or 2):</p> <ul style="list-style-type: none"> • B.3 inspections and tests should be carried out annually in accordance with EN 81 Clause D.2 'Tests and verifications' of Annex D plus the checks required by the checklist on pages 30, 31 and 32. <p>Where the above inspection procedures are not appropriate to the installation:</p> <ul style="list-style-type: none"> • B.4 a specifically-designed solution prepared by a person who, on the basis of experience and qualifications, is competent to do so. 	

Inspections (continued)

Annual inspection

Where the system is connected to the building's emergency warning system, testing of the interface between the two systems should be carried out annually.

C. Maintenance

Planned preventative maintenance and responsive maintenance should be carried out in accordance with the nominated performance and inspection Standard or document, and to ensure safe and suitable use.

Checklists

List of inspections and checks required for passenger carrying lifts complying with D2/AS1			
	For lift designed to D2/AS1 based on reference document:		Initials and comments
	NZS 4332¹	EN 81^{2,3}	
	Inspections and checks required	Checks required	
Machine room			
Visual inspection of machine beams and supports	6.1, 6.3, 7.18	✓	
Check security of machine room door	7.4.1	6.3.3, 6.3.4	
Check there are no obstructions or rubbish in the machine room	7.2, 7.7	✓	
Check that lighting in machine room functions	7.14	6.3.6	
Check ventilation in machine room functions	7.17	1.6 (7.17)	
Check for the presence of circuit diagrams and manual	24.10	1.6 (24.10)	
Check condition of any emergency hand winding equipment	8.16	12.5	
Machinery			
Check condition of traction sheave, with special attention to the grooves	18.1, 18.2	✓	
Check condition of divertor sheave and other sheaves	18.1, 18.2	✓	
Check the operation of the brake	8.11	12.4	
Check the condition of the brake and the brake linings	8.11	12.4	
Check the running of machines, gearboxes, motors, generators, their bearings and any communicators	✓ 30	✓ 9.9	
Check operation of governor			
Lift well			
Visual check of liftwell enclosure	12.1, 12.3, 12.4	5.2	
Check hoisting ropes for equal tension, attachments and terminations are correct and in good condition, number of broken wires within acceptable limits	16.17	9.2.3.1, 9.5.1	
Check for presence and legibility of rope data plates	16.6	–	
Check that rope retainers are present and correctly fastened	18.2	9.5.4	
Visual check of guide rails for straightness and security	20	✓	
Lift pit			
Check there are no obstructions or rubbish in the pit	11.3	1.6 (11.3)	
Check that lighting in the lift pit and lift well functions	11.6	5.9	
Check dryness of pit	11.3, 11.9	1.6 (11.3, 11.9)	
Visual check of buffer condition	10	✓	
Check function of lift pit safety switch	11.7	5.7.3.4 (a)	
Lift car exterior			
Check functioning of car external lighting	22.20.1	13.6	
Check condition of guides or rollers	19.4, 20.15, 20.16	10.2	
Check function of car top controls	25.3	8.15	

List of inspections and checks required for passenger carrying lifts complying with D2/AS1 (continued)			
	For lift designed to D2/AS1 based on reference document:		Initials and comments
	NZS 4332¹	EN 81^{2,3}	
	Inspections and checks required	Checks required	
Lift car			
Inspect and test safety gear (car and counterweight)	29, 30, 69	9.8	
Visual check of the car construction and linings	22	8.3	
Check door operation, including door protective devices	23	1.6 (23.6), 8.7	
Check lift rating plate present	21.3	15.2.1	
Check lift controls for correct operation	25	14.2	
Check correct operation of alarms and emergency telephone	28.2	1.6 (28.2.1), 14.2.3, 15.12	
Check access to all, if any, emergency trapdoor	22.15	8.12	
Landing doors			
Check door locks	14.1, 14.4	7.7	
Check emergency opening facilities on landing doors	14.5	7.7.3.2, 15.11	
Check door operation, including door protective devices	23.6	1.6 (23.6), 7.5	
Hydraulic systems			
Visual check of the hydraulic system, including hoses, ram and cylinder	34, 35, 37	✓	
Check caisson for moisture	34.3.7	✓	
Check condition of flow restriction valve	36.5	12.5.5	
Check operation of the manual lowering means	36.6	12.9	
Check operation of device to hold car at lowest floor	31.6	5.7.3	
Check operation of anti-creep device	60.4	9.5.1	
Operation			
Check operation of door locks, limit switches, slack rope switch, stop switches, trapdoor switch and other safety switches	7.12, 11.7, 22.15(f), 24.1, 26.1, 26.7, 27, 60	14.1, 14.2	
Check functioning of lift car emergency lighting	22.20.2.7, 22.21	1.6 (22.20.2.7)	
Check for correct operation under fire conditions	25.6, 25.7	1.6 (25.6, 25.7)	
Check correct operation of counterweight displacement detector	25.8	1.6 (25.8)	
Check operation of load weighting device	26.6		
Lifts on access routes for people with disabilities			
Check floor leveling	70.1	1.6 (70.1)	
Check door dwell time	70.3	1.6 (70.3)	
Check controls distinction	70.4	1.6 (70.4)	
Check correct operation of landing indicators	70.5	1.6 (70.5)	
Check handrails	70.6	1.6 (70.6)	

List of inspections and checks required for passenger carrying lifts complying with D2/AS1 (continued)			
	For lift designed to D2/AS1 based on reference document:		Initials and comments
	NZS 4332¹	EN 81^{2,3}	
	Inspections and checks required	Checks required	
General			
Visual check for any repairs or modifications carried out incorrectly	✓	✓	
Check maintenance records are properly kept	✓	✓	
Note:			
1 For lifts designed to NZS 4332 all of the items above must be checked. References given are to clauses of NZS 4332.			
2 For lifts designed to EN 81 (Part 1 or 2) checks shall be carried out where the item is ticked (✓) or a reference is given. References given are to clauses EN 81, as modified by D2/AS1. References given in brackets are the relevant clauses imported from NZS 4332.			
3 These checks are to be made in addition to the tests and verifications of Clause D.2 of Annex D of EN 81.			

SS 8/2 Service lifts

A.	Scope
<p>A service lift is required to be listed on a compliance schedule in all cases.</p> <p>Examples:</p> <p>Examples of service lifts include, but are not limited to:</p> <ul style="list-style-type: none"> (i) dumb waiter (ii) book hoist (iii) vehicle stacking systems (iv) stage lifts. 	

B.	Inspections
<p>General</p> <p>Service lifts require regular inspection and testing to ensure they operate as required by the performance standard and to ensure loading and unloading provisions are safe.</p> <p>Content and frequency of inspections</p> <p>Depending on the type of installation and its performance standard, one or more of the following referenced Standards or documents could be used.</p> <p>Where the lift installation complies with D2/AS2:</p> <ul style="list-style-type: none"> • B.1 inspections and checks should be carried out annually in accordance with the requirements of the checklist on pages 34 and 35. <p>Installations installed before the requirements of D2/AS1:</p> <ul style="list-style-type: none"> • B.2 should comply with the Rules for Power Lifts Not Exceeding 750 Watts (1.H.P.) applicable at the time of installation. <p>Where the above inspection procedures are not appropriate to the installation:</p> <ul style="list-style-type: none"> • B.3 a specifically-designed solution prepared by a person who, on the basis of experience and qualifications, is competent to do so. <p>Annual inspection</p> <p>Where the system is connected to the building's emergency warning system, testing of the interface between the two systems should be carried out annually.</p>	

C.	Maintenance
<p>Planned preventative maintenance and responsive maintenance should be carried out in accordance with the nominated performance and inspection Standard or document, and to ensure safe and suitable use.</p>	

Checklist

Checklist suitable for service lifts complying with D2/AS2		
References are rules in The Rules For Power Lifts Not Exceeding 750 Watts (I.H.P)		
* Indicates that the rule has been modified by D2/AS2		
	Reference	Initials and comments
Machinery spaces		
Visual inspection of machine beams and supports	3.1(a)	
Check security of machine room door	3.2(f)*	
Clean the machinery space and clear out any rubbish	3.2(f)*	
Check lighting in the machinery space functions	3.2(d)	
Check the condition of the controller		
Check the governor and any position devices		
Check for the presence of circuit diagrams, manual and log book		
Machinery		
Check sheaves, pulleys and drums with special attention to the grooves	6.2	
Check the condition and operation of the brake and the condition of brake linings	3.1(b)	
Check the running of the lift machinery		
Check condition of drive belts	3.1(c)	
Lift well		
Inspect and test any safety gear	1.5	
Visual check of liftwell enclosure	5	
Check hoisting ropes for equal tension, attachments and terminations are correct and in good condition, number of broken wires within acceptable limits, filling not being shed, all ropes of similar condition, correct length of rope	6.1.1	
Visual check of guide rails for integrity, straightness and security	9.2*	
Check condition of guide shoes or rollers		
Lift pit		
Remove any rubbish from the lift pit		
Check lighting in the pit functions	4.4(g)	
Check dryness of pit	4.4(b)	
Visual check of buffer condition and other pit components	4.3*	
Landing stations		
Check door locks	8.3(a) and (b), 8.4	
Check lift controls for correct operation		
Lift car		
Check car doors or safety barriers		
Check lift car lighting		
Hydraulic systems		
Visual check of the hydraulic system, including hoses, ram and cylinder	12*	
Check caisson for moisture		
Check operation of anti-creep device	12.7	
Check the operation of control and auxiliary valves	12.8, 12.9	

Checklist suitable for service lifts complying with D2/AS2 (continued)

References are rules in The Rules For Power Lifts Not Exceeding 750 Watts (I.H.P)

* Indicates that the rule has been modified by D2/AS2

	Reference	Initials and comments
Operation		
Check operation of terminal stopping devices, slack rope switch and any emergency switch	10	
Check landing door interlocks and opening of the door when the car is away from the landing	8.4(a)	
General		
Visually check for any repairs or modifications carried out		
Maintain full records of maintenance and inspections		

SS 8/3 Escalators and moving walks

A.	Scope
<p>An escalator or moving walk is required to be listed on a compliance schedule in all cases.</p> <p>Examples:</p> <p>Examples of escalators and moving walks include, but are not limited to:</p> <ul style="list-style-type: none"> (i) an escalator within a shopping mall for occupant use (ii) a moving horizontal walkway for occupant use. 	

B.	Inspections
<p>General</p> <p>Escalators and moving walks require regular inspection and testing to ensure they operate as required by the performance standard.</p> <p>Content and frequency of inspections</p> <p>Depending on the type of installation and its performance standard, the following referenced Standard or document could be used.</p> <p>Where the installation complies with D2/AS3:</p> <ul style="list-style-type: none"> • B.1 inspections and checks should be carried out annually in accordance with the requirements of the checklist on page 37. <p>Where the above inspection procedures are not appropriate to the installation:</p> <ul style="list-style-type: none"> • B.2 a specifically-designed solution prepared by a person who, on the basis of experience and qualifications, is competent to do so. <p>Annual inspection</p> <p>Where the system is connected to the building's emergency warning system, testing of the interface between the two systems should be carried out annually.</p>	

C.	Maintenance
<p>Planned preventative maintenance and responsive maintenance should be carried out in accordance with the nominated performance and inspection Standard or document, and to ensure safe and suitable use.</p>	

Checklist**Checklist suitable for escalators and moving walks**

References are to Clauses in EN 115

* Indicates that the rule has been modified by D2/AS3

	Reference	Initials and comments
Safety devices as appropriate		
Switches to inspection doors	5.1.3	
Stop switch in machinery space	6.3.3*	
Overspeed protection	12.5	
Emergency stop devices	14.2.2.3.1	
Other stop switches	14.2.2.1 (a) to (h)	
Brakes	12.4, 16.2.1 (d)	
Driving elements for visible signs of wear and tear and for insufficient tension of belts and chains	9.0*	
Steps, pallets or the belt for defects, true run and guidance.	8.0*	
Dimensions and tolerances	0.1.2, 11.0	
Combs for proper condition and adjustment	8.3, 11.3	
Balustrade interior panelling and the skirting	5.1.5.4 to 5.1.5.6	
Handrails	7.0*	