

SCHEME RULES UNDER THE LIFTS DIRECTIVE 2014/33/EU

and

THE SUPPLY OF MACHINERY (SAFETY) REGULATIONS 2008

Lift Cert Ltd Management System activities are geographically restricted to Europe and the Channel Islands.

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**SCHEME RULES UNDER THE LIFTS DIRECTIVE 2014/33/EU and
& THE SUPPLY OF MACHINERY (SAFETY) REGULATIONS 2008**

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Applicants are required to read these rules and confirm acceptance by signing the associated Application Form.

1 Introduction

This document states the rules that are to be applied to any activity relating to certification of products under the Lifts Directive 2014/33/EU or The Supply of Machinery (Safety) Regulations 2008. These rules are mandatory and reflect the content of the relevant United Kingdom statutory instrument and the equivalent European Directive. Any change to the application of the rules can only be with the formal, documented approval of the Technical Director.

2 Scope

2.1 These rules apply to all activities undertaken under the **Lifts Directive** or The Supply of Machinery (Safety) Regulations 2008. The rules apply to LIFT CERT Limited and the Applicant as appropriate.

3 Applications

3.1 The Applicant shall submit the following details with any request for conformity assessment services:

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3.1.1 Signed original of Application Form (LC002.)

3.1.2 **Annex IV(b) EU** Type Examination of Model Lift.

- A Technical File in English.

- A sample(s) of the Model Lift or details of where such a sample can be examined and tested.

3.1.3 **Annex V** Final Inspection of Lift

- All information and facilities necessary to allow checks on conformity.

- Full name and address of lift owner and location of Lift.

3.1.4 **Annex VIII** Unit Verification Installed Lift.

- Technical Dossier in English.

- Full name and address of owner location of Lift.

3.1.5 **Annex X** Product Quality Assurance of Lift.

- Quality System Documentation including scope of activities and types of lift to be tested.

3.1.6 **Annex XI** Full Quality Assurance of Lift.

- Quality System Documentation including scope of activities and types of lift to be designed, installed and tested.

3.1.7 **Annex XI** Design Examination.

- Identification of clauses of EN81 not complied with.
- How the design will ensure compliance with the Regulations
- Design Solution
- Full name and address of Designer of Lift.

3.1.8 **Annex XII** Production Quality Assurance of Installed Lift.

- Quality System Documentation including scope of activities and types of lift to be installed and tested.

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3.1.9 Signed original of Application Form (LC002).

3.1.10 The Supply of Machinery (Safety) Regulations 2008 – Schedule 2 - Part 9

- Technical File in English
- List of Harmonised Standards used
- Sample of machine or a statement as to where such example can be examined

3.1.11 The Supply of Machinery (Safety) Regulations 2008 – Schedule 2 Part 10

Quality System Documentation including scope of activities and Technical File in accordance with Schedule 2 Part 7A for each Schedule 2 Part 4 machine to be manufactured.

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3.2 A Technical File or Dossier for all Applications shall contain:

3.2.1 General Arrangement Drawing of the product and Drawing of electrical, pneumatic and/or hydraulic control circuits.

3.2.2 Full detailed Drawings, calculations, notes, test results and any other data which may be necessary to check the conformity of the product with Essential Health and Safety requirements.

3.2.3 A description of methods adopted to eliminate hazards presented by the product, a list of Harmonised Standards, National Standards or other documents used to ensure conformity.

3.2.4 A copy of the instructions to be supplied with the products these to be in English and any other language of the EU where the product may be used.

3.2.5 For series manufacture the internal measures which will be used to ensure that all products of the type referred to in the Application are in conformity with the provisions of the Regulations.

3.2.6 A Matrix of Technical Information to be supplied under Schedules 6; 9 and Design Examination Applications is given in Appendix 1. (Annex VIII may be used as a guide for **EU** Type examination).

- 3.3 Where a product is modified the original Applicant, or his legal successor, must inform LIFT CERT Limited of the Modification.
- 3.4 The Applicant will freely supply all relevant information necessary to allow assessment for conformity with the Directive to LIFT CERT Limited. If an Application has been submitted to any other Notified Body then LIFT CERT Limited must be informed and the circumstances resulting in a submission to LIFT CERT Limited must be fully and frankly documented.
- 3.5 The Applicant shall provide, where considered necessary by LIFT CERT Limited, access to relevant samples of the machine.
- 3.6 Where the conformity assessment includes under the Regulations a requirement to assess the Quality System then LIFT CERT Limited shall be provided with relevant documentation and facilities to allow a Quality System Assessment and Product Audit to be carried out.

4 General Activities

- 4.1 On receipt of an Application LIFT CERT Limited shall advise of proposed completion date for the project, which shall normally be defined as the issue of any certification. If the work cannot be initiated within a period of three months then the Applicant shall be so advised and the work may be refused
- 4.2 A budget estimate of the cost shall be advised, if required, prior to undertaking any works associated with the Application. If the budget figure will, or is likely to, be exceeded then the Applicant shall be informed as soon as practicable.
- 4.3 No information gained during the project shall be divulged to any other person by LIFT CERT Limited, or where relevant any Sub-contractor, with the exception of those statutory bodies defined within the Regulations or regulatory bodies who may from time to time request such information in pursuance of the Application of the Regulations.
- 4.4 All persons employed by LIFT CERT Limited either directly or as a sub-contractor shall be required to sign a Confidentiality and Disclosure Declaration. On receipt of evidence that the provisions of this Declaration have been breached the Applicant will be informed and any disciplinary action or penalty invoked.
- 4.5 When a sub-contractor is to be used the Applicant will be informed and the works to be undertaken by the sub-contractor will be fully described.
- 4.6 If the assessment module includes a requirement to assess the Quality System then LIFT CERT Limited shall inform the Applicant of the minimum frequency of audit visits. If this minimum frequency is to be reduced then the Applicant shall be informed immediately and the reason for such reduction clearly documented. Where the Applicant operates a Quality System in accordance with ISO 9000 Series the surveillance audit period will be annual with a full re-assessment every 3 years. If these periods are to be reduced then the reasons for this will be stated, in writing, to the Applicant.

Any changes to the Quality System, including changes in relevant personnel must be referred to LIFT CERT Limited for assessment.

As required by the Lifts Directive 2014/33/EU and SOMSAR 2008, LIFT CERT Limited shall inform **BEIS** of any Quality System Approvals or Certificates issued. As required by The Lifts Directive 2014/33/EU **BEIS** will be informed of all EU Design Examination Certificates issued. **BEIS** and other Notified Bodies will be informed of any approvals or Certificates Refused, Withdrawn or Suspended.

5 Design Assessment

In the following cases a design assessment shall be undertaken:

The Lifts Directive 2014/33/EU

Annex IV(b)

Annex VIII

Annex XI (where the Applicant does not apply the Harmonised Standard).

The Supply of Machinery (Safety) Regulations 2008 – Schedule 2 Part 9

6 Inspection

6.1 **Annex IV(b)** EU Type-Examination of Model Lift.

- A prototype of the equipment that is to be subjected to type approval shall be subjected to a full examination by LIFT CERT Limited. In all cases this shall include witness of functional tests as described in LC007 and LC008.

6.2 **Annex V** Final Inspection of Lift.

- Under this module LIFT CERT Limited shall undertake a final inspection of the lift. This shall include a review of the documentation and will include a witness of functional tests of protective devices as described in LC007 and LC008.

6.3 **Annex VIII** Unit Verification Installed Lift.

- Under this module LIFT CERT Limited shall undertake a final inspection of the lift. This shall include a review of the documentation and will include a witness of functional tests of protective devices as described in LC007 and LC008.

6.4 **Annex X** Product Quality Assurance of Lifts.

Annex XII Production Quality Assurance of Installed Lift.

Annex XI Full Quality Assurance of Lifts.

- In the case of the modules previously specified Inspection activities will normally be undertaken as part of the surveillance activities. However, in the case of lifts installed on site, additional visits to site to inspect lift installations may be arranged.

6.5 The Supply of Machinery (Safety) Regulations 2008 – Part 9

- A prototype of the machinery that is to be subjected to type approval shall be fully examined by LIFT CERT LIMITED.

7 Continuing Registration

7.1 Registration will continue for a three-year period from the first registration date subject to payment of all outstanding fees and successful outcome of surveillance visits which are held at annual interval as a minimum. Additional visits may be necessary to verify corrective actions, conduct extensions to scope or investigate complaints. Client must also continue to provide access to all relevant premises, documents and records for audit purposes by Lift Cert Ltd. Records of Management Reviews and Internal Audits must be retained for a minimum of three years.

- 7.2 Client is required to keep Lift Cert Ltd informed of changes related to:
- 7.2.1 the legal, commercial, organizational status or ownership
 - 7.2.2 organization and management including management representative
 - 7.2.3 contact address and sites
 - 7.2.4 scope of registration
 - 7.2.5 significant changes to the documented management systems.
 - 7.2.6 modifications to product or production processes
 - 7.2.7 any EU Design Examination Certificate issued

Information shall be sent to Lift Cert Ltd at least twenty-eight days prior to the changes becoming effective.

- 7.3 At the end of the three-year period a recertification visit will be made and following successful completion a new Certificate of Registration will be issued for a further three-year registration period upon payment of all outstanding fees.
- 7.4 For all assessment and surveillance visits fees are to be paid in accordance with Lift Cert Ltd Terms and Conditions. Where a visit is cancelled by the client with less than two weeks' notice Lift Cert Ltd may apply a cancellation fee.
- 7.5 Lift Cert Ltd undertake to keep clients informed of any changes to its requirements for Certification. Compliance with any new requirements will be verified by Lift Cert Ltd.
- 7.6 The client, not Lift Cert Ltd, has the responsibility for the conformity with the requirements for certification.
- 7.7 Where a client issues or prints copies of certificates these must be in their entirety.
- 7.8 Client shall maintain record of all complaints against it and make these available to Lift Cert Limited. In addition, complaints must be actioned appropriately, documented and Lift Cert informed of corrective/preventive actions taken to ensure compliance with the relevant Regulations.

8 Suspension and Withdrawal of Certification

- 8.1 Lift Cert Ltd may suspend or withdraw certification of a client for failure to pay any amounts due. In the case of an application registration will not be granted until all payments are received.

The decision to suspend or withdraw registration will be notified in writing to the client and shall be deemed to become effective 14 days after the date of the letter. If the client wishes their registration to be reinstated, then all payments must be received and Lift Cert Ltd may add further charge to cover the costs involved.

- 8.2 Lift Cert Ltd may at any time suspend or withdraw certification if the client:
- 8.2.1 commits a breach of any of the obligations imposed by these rules.
 - 8.2.2 fails to maintain its management system in accordance with the requirements of the relevant standard.

- 8.2.3 fails to rectify non-conformities from the relevant standard identified by the auditor during periodic assessment of the management system.
- 8.2.4 fails to notify Lift Cert Ltd of a new address from which activities covered by the scope of registration are carried out
- 8.2.5 fails to notify Lift Cert Ltd within twenty-eight days of a change of ownership which results in a change to the controlling interest of the company.
- 8.2.6 fails to advise Lift Cert Ltd of change to its Management Representative
- 8.2.7 fails to advise Lift Cert Ltd of a known breach of legislation which may impact on the certification granted.
- 8.2.8 misuses or misrepresents certification/registration marks in a manner which may bring Lift Cert Ltd into disrepute.
- 8.2.9 declares itself or is declared insolvent or bankrupt or if in the opinion of Lift Cert Ltd the nature of the client's work has changed or change of ownership affects the conditions under which the client is registered.
- 8.2.10 it behaves in a fashion which in the opinion of Lift Cert Ltd is against or prejudicial to the reputation, intent or accreditation of Lift Cert Ltd.
- 8.2.11 No sample of product has been submitted for examination in accordance with clause 9 of these rules.
- 8.2.12 fails to provide all information and allow necessary arrangements for investigation of complaints.
- 8.2.13 fails to allow for participation of observers (UKAS, BIS) at assessment, test or surveillance visits.
- 8.2.14 fails to implement any changes required by Lift Cert Limited
- 8.3 Before withdrawing certification Lift Cert Ltd may decide to suspend certification for a period no greater than six months. This decision will be communicated to the client by letter which will identify the reasons for suspension and the actions necessary to restore certification. Within fourteen days the client may make representations in writing to Lift Cert Ltd which Lift Cert Ltd will consider before imposing suspension or continuing certification. Client then has the right of appeal as in clause 10 below. Where it is required, Lift Cert Ltd may carry out a chargeable special audit visit, to resolve any of the above issues.
- 8.4 Before withdrawing certification Lift Cert Ltd will notify the client, in writing, of its decision and allow the client fourteen days to make representation in writing. Lift Cert Ltd will consider these representations before imposing withdrawal and requesting return of all associated Certificates. Client then has the right of appeal as in clause 10 below.
- 8.5 Lift Cert Ltd may make public the withdrawal of certification and the standard(s) which was/were infringed.
- 8.6 It should be noted that where a client is approved under a product directive which relies upon satisfactory quality management system being maintained that approval will also be withdrawn.
- 8.7 Where Certification/Registration is withdrawn client must cease reference to Certification/Registration in any advertisement and must return certification as required by Lift Cert Limited.

9 Quality System and Surveillance

In the case of the following **Annexes** LIFT CERT Limited shall assess the applicant's Quality System.

Following the assessment LIFT CERT Limited shall notify the Applicant of its decision.

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Annex X Product Quality Assurance for Lifts

Annex XII Production Quality Assurance

Annex XI Full Quality Assurance for Lifts

SOMSAR 2008 – Schedule 2 – Part 10 Full Quality Assurance

A team of Assessors/Engineers shall conduct the assessment and at least one member of the team shall be experienced in Lift Technology. The assessment of the Quality System will be against the BS EN ISO 9001 Standard. As required by ISO 9001:2015 and **determination of context** the exclusions from Clause 8 of ISO 9001:2015 claimed in the Quality Management system will determine the **Annex of the Lifts Directive 2014/33/EU** for which approval can be assessed and awarded. As part of the assessment, samples of documentation and samples of the Product shall be examined to confirm/demonstrate compliance with the relevant Harmonised Standards.

At initial assessment under the **Lifts Directive 2014/33/EU Annexes X, XI, XII** or SOMSAR Schedule 2 Part 10 the final product may not be available. A registration certificate may be issued but within one year from date of registration an examination of the product shall be carried out. If this period is exceeded the Lift Cert Limited will review the circumstances and document that the period has been extended or certification withdrawn.

Surveillance of the Quality System shall be undertaken every 6 months, this may vary dependent upon activity levels. Where significant non-compliances are found during surveillance audits the period to the next audit may be reduced until satisfactory performance is re-established. Unannounced Visits may be carried out at the discretion of the Notified Body. During surveillance audits at least one sample of an installed lift/machine shall normally be visited. A full re-assessment will be undertaken every three years.

Note: For all inspection and Q.S. Modules the critical measuring and test equipment must be calibrated and traceable to National Standard (at least to 2nd level).

10 Appeals

In the circumstances LIFT CERT Limited declines to issue the certification or agreement cannot be reached regarding any findings issued then the Manufacturer/member may appeal, in writing or otherwise formally present its case.

The initial appeal should be made within 30 days of receipt of the LIFT CERT Limited Certification decision.

The Appeal should be made to the Technical Director of LIFT CERT Limited or his Deputy, not the person responsible for the assessment.

When the appeal has been completed the decision will be notified, in writing, to the Appellant, including reason for the decision. The manufacturer may then make a further appeal. In this case the matter will be referred to an Independent Arbiter, acceptable to both parties, at the cost of the Appellant.

11 Modifications

Any modifications to a Certified Product or Approved Quality Management System must be advised to LIFT CERT Limited for review, assessment and approval. Failure to notify of such modifications may result in withdrawal of associated approval.

12 Records

Records associated with the Certification project are retained in Confidential Files for a period of ten years following advice from the Applicant that the last unit of relevant lift to which the Certification applies is produced.

13 CE Marking

Subject to compliance with these rules the Applicant will be granted the use of LIFT CERT Limited Notified Body Number.

The CE Mark applied to Passenger Lifts in conformity with the **Lifts Directive 2014/33/EU** shall be followed by the number (1291). The Licensee shall not use the Notified Body Number in any other context.

The CE Mark applied to machines in conformity with the SOMSAR 2008 Schedule 2 Part 10 shall be followed by the number (1291). The Licensee shall not use the Notified Body Number in any other context.

If the Licensee wishes to advertise his approval under the **Lifts Directive 2014/33/EU**, this can only be done by writing – “Approved to **Annex ??** of the **Lifts Directive 2014/33/EU**”, under the approved Lift Cert Ltd logo.

If the Licensee wishes to advertise his approval under SOMSAR 2008 Schedule 2 Part 10, this can only be done by writing – “Approved to Schedule 2 Part 10 of SOMSAR 2008”, under the approved Lift Cert Ltd logo.

The CE Mark shall only be affixed to a Conforming Product and should not be used in any way which could imply another product or service is in compliance with a Directive.

Should LIFT CERT Limited find evidence that the Licensee is not complying with the undertakings, it reserves the right to withdraw the use of the Notified Body Number.

14 Fee Structure

At the commencement of the contract, LIFT CERT Limited will inform the Applicant of the Fee Structure and the Applicant agrees to pay such fees as are reasonably incurred during the certification activities. Upon completion of the certification activity and issue of any relevant certificates, if the Applicant has not previously/does not pay the fees invoiced, then LIFT CERT Limited reserves the right to withdraw the Certification issued and inform all other Notified (Approved) Bodies of its action and the reason for it.

15 Confidentiality

LIFT CERT Limited agrees to keep and to ensure that its personnel (or approved sub-contractors) shall keep, confidential, any information or documentation and all other matters arising or coming to their attention in connection with the provision of services. Information from complainants or Regulators about

a client will be treated as confidential. No one shall at any time, or for any reason whatsoever, disclose or permit the disclosure of any information to any third party, except as permitted hereunder or under the Rules of the Scheme to enable LIFT CERT Limited to carry out its duties and obligations. LIFT CERT may be required, on request, to provide Statutory or Regulatory Bodies with confidential documentation or information, unless prohibited by law.

16 Reference

LIFT CERT Limited Quality Manual
The Lifts Directive 2014/33/EU
The Supply of Machinery (Safety) Regulations 2008
Application Form LC002
Lift Conformity Checklist LC007
Lift Test Report LC008

17 Appendix – The Lifts Directive 2014/33/EU only

Documentation Information Required	Final Test Annex V	Unit Verification Annex VIII	Design Examination Certificate
Lift Specification	•	•	•
Manufacturer/Designer	•	•	•
Installer Details	•	•	
G A Drawing	•	•	•
Electrical Diag.	•	•	
Hydraulic Circuit	•	•	
Instructions for use of Lift	•	•	
Maintenance Instructions	•	•	
Periodic Inspection Actions	•	•	
Logbook	•	•	
Installation Instructions	•		
Emergency Release Procedures	•	•	
Allocation of Responsibilities for persons carrying out work on lift (Builders notes)	•	•	
Site Specific Requirements			
Fire Protection	•	•	
Disabled Access/Use	•	•	
Local Regulations/Requirements	•	•	
Certificates and Attestations			
EC Type examination certificate for lift or Conformity Declaration of designer and Design Examination Certificate	•		
EC Declaration of Conformity			
Buffers	•	•	
Landing Gear Locks	•	•	
Safety Gear Upwards and Downwards Acting	•	•	
Over Speed Governor	•	•	
Rupture/Restrictor Valve	•	•	
Electrical Circuits containing Safety Switches with Electronic Components	•	•	

Documentation Information Required	Final Test Annex V	Unit Verification Annex VIII	Design Examination Certificate
EC Type Test Certificate			
Buffers energy Accumulating		•	
Landing Door Locks		•	
Safety Gear Upwards and Downwards Acting		•	
Over Speed Governor		•	
Rupture/Restrictor Valve		•	
Electrical Circuits containing Safety Switches with Electronic Components		•	
Other Certificates			
Suspension Rope/Chain Test Certificate	•	•	
Glass Walls/Doors	•	•	
Fire Resistance	•	•	
Calculations			
Suspension Rope/Chain Selection		•	
Guide Rails; type fixings		•	
Guide Rails Calculation		•	
Traction Calculation		•	
Jack/Ram		•	
Risk Assessment			
Clauses of EN81 not complied with design solution	•		•