



**ALABAMA DEPARTMENT  
OF LABOR**

Fitzgerald Washington  
Secretary

Inspections Division

**Administrative Procedures  
State Licensed Elevator Inspectors**

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Eddie Wiggins  
Chief Elevator/Boiler Inspector  
649 Monroe Street  
Montgomery, AL 36131  
Office 334-549-7411  
Fax 334-956-7405  
[edward.wiggins@labor.alabama.gov](mailto:edward.wiggins@labor.alabama.gov)

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(These procedures are intended as a guide and are not all inclusive)

## **(1) Elevator Inspectors Responsibilities and Duties:**

The licensed elevator inspector here on referred to as inspector, is authorized to perform acceptance inspections for new installations and alterations, annual inspections, and special inspections in accordance with the applicable codes and the rules and regulations developed by the licensing board. All inspectors report directly to the Chief Elevator Inspector, Alabama Department of Labor, Inspections Division.

The inspector is responsible for setting up and maintaining their file system containing copies of their inspection reports.

The inspector is responsible for neat, accurate, and concise reports. The reports must be received by the Inspection Division within **15** working days from the date of inspection.

All inspectors after reading these procedures are required to sign and return the Acknowledgement of Administrative Procedures for State Licensed Inspectors to the Chief Inspector. (**Attachment (b)**).

## **(2) Code of Ethics / Conflicts of Interest / Complaints and Disputes:**

Alabama Department of Labor expects all licensed inspectors to follow the Exemplar Code of Ethics and the Policy on Conflicts of Interest as stated below.

If you believe an inspector acting under a license of the Alabama Department of Labor is not acting in accordance with the Code of Ethics or the Conflicts of Interest Policy, you may file a complaint with the Board.

### ***Exemplar Code of Ethics***

For Certified/Licensed Inspectors

#### **(a) Fundamental Principles**

Inspectors shall uphold and advance the integrity, honor, and dignity of the inspecting profession and the Board by:

- using their knowledge and skill for the enhancement of human welfare
- being honest and impartial, and serving with fidelity the public, their employers, and clients; and Alabama Department of Labor
- striving to increase the competence, prestige, and integrity of the inspecting profession and the Alabama Department of labor

## (b) Fundamental Standards

- Inspectors shall hold paramount the safety, health, and welfare of the public in accordance with the Department Standard in the performance of their professional duties under the rules of the Department.
- Inspectors shall perform services only in the areas of their competence as licensed by the Board.
- Inspectors shall continue their professional development throughout their careers.
- Inspectors shall act in professional matters for each employer or client as faithful agents or trustees and shall avoid conflicts of interest or the appearance of conflicts of interest.
- Inspectors shall build their professional reputations on the merit of their services and shall not compete unfairly with others.
- Inspectors shall associate only with reputable persons or organizations.
- Inspectors shall issue public statements and reports only in an objective, impartial, and truthful manner.
- Inspectors accepting a license under the Alabama Department of Labor agree to abide by the Boards " Policy on Ethics" and procedures for its implementation and accept their duty to report any violations of this code.

## ***Alabama Department of Labor Policy on Conflicts of Interest***

### I PREAMBLE

Each individual acting for or in the name of Alabama Department of Labor a certified/licensed Inspector is in a position of trust. Particularly since the Elevator Safety Review Board holds as paramount the safety, health, and welfare of the general public, each such individual has a fundamental responsibility to exercise impartial professional judgment to enhance the elevator inspection profession in the public interest. The Board's Policy on Conflicts of Interest is intended to further assure the fairness, independence, objectivity, and public confidence in the integrity of all activities by establishing guidelines and procedures concerning conflicts of interest. It is acknowledged and understood that competent and knowledgeable individuals of recognized abilities, qualifications, and interests who participate in the Department activities may have potential conflicts of interest. This Policy establishes guidelines and procedures to enable such individuals to act ethically and uphold the integrity of the Alabama Department of Labor and its Board's policies, rules, codes, and standards.

### II POLICY

(a) The potential for a conflict of interest exists whenever a person owes loyalty to multiple interests or organizations. Having different interests or loyalties does not constitute a conflict of interest when the action desired by each interest is the same. This situation may be described as a community of interest.

(b) A conflict of interest occurs when loyalty to one interest would impede a course of action different from that implied by another interest. For example, while acting for or on behalf of the Department of Labor having Jurisdiction, an Inspector may consider a matter that directly affects the specific rather than the collective interests of the individual's employer, association, affiliation, or a competitor of the employer, association, or affiliation.

Where an individual may be under an obligation not to report in a fair, objective, and independent manner due to his/her membership, affiliation, or employment with another organization or company having policies, rules, directives, bylaws, agreements, or procedures that prohibit fair, objective, and independent reporting, a conflict of interest would exist. For example, if an individual performing an inspection would be influenced because of a directive from his/her supervisor or he/she is inspecting equipment on which he/she works, a fellow employee works, or family member or on which a competitor works, a conflict of interest would arise.

In such instances, there could be a conflict of interest between exercise of the inspector's independent professional judgment on behalf of the Department of Labor, and the public and the individual's loyalties and responsibilities to his/her employer, association, or another entity.

(c) It is the duty of the Inspector acting for or on behalf of the Department to be aware of the possibility of a conflict of interest between their responsibilities to the Department and the public on the one hand and to their employer or another entity on the other. All Inspectors have a fundamental responsibility to refrain from participating in or compliance inspections when a competing interest precludes or inhibits the exercise of the License Inspector's independent professional judgment on behalf of the Department of Labor, when the nature of the competing interest is such that the inspector's continued activity would unreasonably jeopardize the integrity, independence, objectivity, or fairness of the inspection.

### III RESPONSIBILITIES

(a) Individual Responsibilities. In instances where it is clear to individual License Inspectors that their judgment with respect to the conducting of fair, objective, and independent inspections is controlled by their loyalty to a competing interest, they should disqualify themselves and refrain from participating in the activities regarding the conflict-affected matter.

In instances where individual Licensed Inspectors believe that there may be the appearance of a conflict of interest, as in Part II(c) above, although they believe that their independent judgment will not be affected by a competing interest, the Certified/Licensed Inspectors should nevertheless avail themselves of at least one of the following consultative courses of action:

Advise the Chief Elevator Inspector (Department of Labor) of the potential conflict and the details creating the condition. Allow the Chief to determine the appropriate course of action within the organization's operating procedures or bylaws and establish limitations, if required, to mitigate the potential results of the conflict.

Advise the employer, or contractor for which the Inspector is performing inspections of the potential conflict and the details creating the condition. Allow the relevant party to determine the appropriate course of action and establish limitations, if required, to mitigate the potential results of the conflict.

(b) Challenges by Other Members. Individuals wishing to challenge the behavior of an inspector with regards to Board's policy on Conflicts of Interest must submit a written complaint to the Board.

## IX ACCEPTANCE

Before receiving a License or renewing his/her License, each Inspector shall acknowledge adherence to the conditions of this Policy and the Code of Ethics (Conduct). If this acknowledgment is not on file, the license will not be issued.

Note that when either this Policy or the Code of Ethics (Conduct) receives substantive revision as determined by the Department of Labor, all persons required to have a Conflict of Interest Statement on file shall receive a copy of the revised documents and shall be requested to acknowledge that he/she has received and reviewed a new Conflict of Interest Statement.

### *Complaints and Disputes*

If you believe a licensed inspector is not acting in accordance with the Code of Ethics or Conflicts of Interest Policy, you may file a complaint against said inspector with the Department of Labor and its Board (**Attachment (a)**).

The procedure for complaints is listed on the Complaint Form which can be downloaded by clicking the link below:

[https://labor.alabama.gov/docs/forms/BoilersElevators\\_Complaint\\_Form.pdf](https://labor.alabama.gov/docs/forms/BoilersElevators_Complaint_Form.pdf)

**You Must Include Supporting Documentation Of Your Claims.**

### **(3) Safety on the Job**

On the job safety is of paramount importance and is the responsibility of each inspector. Of approximately 30 people killed by conveyances each year, about half of those are mechanics and/or inspectors.

The inspector should determine the necessary safety equipment required for their personal safety, and to take the necessary care to use/wear that equipment when it is considered necessary.

The inspector should ensure that the owner or user has in place and uses lockout/tag-out procedures and confined space entry procedures, when required.

The inspector should always have someone with them or in the area while performing inspections. This should be maintenance personnel when available. The inspector should not enter unoccupied areas or buildings without someone being with them.

#### **(4) Jurisdiction Numbers**

All conveyances first inspection shall be assigned a state jurisdiction number and recorded on the inspection report. The jurisdiction numbers are issued through the inspection division on metal tags. The jurisdiction number will start with the letters "ALE". The jurisdiction number shall be permanently attached to the crosshead on all equipment with crossheads. The jurisdiction number will be permanently attached to the controller on escalators, moving walks and other conveyances.

If an inspector is performing an inspection on an elevator that they know has been previously inspected, but no jurisdiction number can be located, see if the building owner has a copy of a previous inspection, or contact this office for the jurisdiction number that was originally assigned. The inspector should then write the jurisdiction number on the equipment as required.

#### **(5) Annual Inspections (Existing Installations)**

All conveyances requiring inspection shall be safety inspected annually and evidence of the inspection shall be affixed to disconnect to include the Jurisdiction number, Company Name, Inspector, Date and Type of inspection. These conveyances include, but are not limited to; elevators, dumbwaiters, escalators, moving sidewalks, platform lifts, stairway chairlifts, material lifts that are not listed as exempt by statute and automated people movers. A17.3 and the board's rules and regulations apply to existing elevators. Fire service requirements for A17.3 are the same as A17.1 1987 code.

#### **(6) New Installations and Alterations**

All new elevators and alterations shall be inspected by a licensed inspector, prior to use/turnover and evidence of the inspection shall be affixed to disconnect to include the Jurisdiction number, Company Name, Inspector, Date and Type of inspection . There must be a permit on file with the department. All safety tests required by the applicable codes shall be performed in the presence of an Alabama licensed inspector before this equipment is turned over. If no permit is on the job site, the inspector shall contact this office for resolution before the inspection proceeds.

All new conveyances shall have all violations completed before final acceptance. The inspector shall hold the report for new installations and alterations until all violations are complete. Installers will be allowed 2 scheduled visits per permit. Each additional visit will cost \$260.00, payable to the inspector.

Inspectors should be aware that the certificate of operation fee is included in the permit fee. **It is very important to put the permit number on the inspection report for proper billing.**

All elevators are required to have a current certificate of operation when used by the public. That includes an elevator undergoing alteration. All safety requirements must be adhered to during the alteration when accessed by the public.

## **(7) Temporary Certificate of Operation**

At the request of the owner of the elevator, temporary use elevators shall be inspected in accordance with ANSI/ASME A17.1 Section 5.10. The inspector must complete a separate inspection report for a temporary certificate of operation, indicating in the appropriate space on the report that it is a temporary certificate. A fee of \$100.00 is collected at the time of issuance. This fee must be sent with the inspection report to the Inspections Division. The remaining \$160.00 will be paid to the inspector. The temporary certificate of operation shall be good for 90 days and will be mailed to the location address unless special instructions apply. In some cases, the temporary certificate of operation may be used for construction purposes and extended an additional 90 days following a re-inspection and payment of fee. This re-issue must be approved by the department prior to issuance.

All safety tests required shall be witnessed by the inspector before the conveyance is allowed to be used as a temporary elevator. All violations that would prevent issuing a temporary certificate of operation shall be completed before sending in the report.

## **(8) Temporally Dormant Elevator, Dumbwaiter, or Escalator**

When an owner/user chooses not to operate a conveyance for whatever the reason, the inspector must see that the conveyance has the power supply disconnected by removing fuses and placing a seal installed by a State Inspector on the mainline disconnect switch in the "OFF" position. The car is parked, and the hoist way doors are in the closed and latched position. A wire seal and a red tag shall be installed by a State Inspector on the mainline disconnect switch. The conveyance shall not be used again until it has been restored to a safe operating condition and re-inspected. Annual inspections shall continue for the duration of the temporally dormant status by a licensed elevator inspector to the extent of verifying the elevator is properly locked out as described. This status is renewable each year for no longer than five (5) years. The inspector shall file a report with the chief inspector describing current conditions. The wire seal and padlock shall not be removed for any purpose without permission from the chief inspector. After the five (5) year period the conveyance must be properly removed from service or meet all chapters of Alabama Code 25-13-1-25., and the rules and regulation developed by the elevator board.



## **(9) Processing Inspection Reports, Violations, and Violation Notification Letters.**

(a) An inspection report acceptable to the department must be submitted within **15 days** for each conveyance inspected. All violations must be completed within **30 days**, unless otherwise approved by this department. **Reports may be submitted by mail or emailed to inspection.reports@labor.alabama.gov.**

1.) Single bottom jack replacement or alteration, was to be completed by October 1, 2007.

All violations and recommendations must be discussed during the exit interview with responsible persons before leaving a copy of the inspection report. If there are no violations or recommendations, then that should be indicated on the report as "No violations noted" No reports with blank violation sections can be accepted.

Upon receipt of the inspection report by the department, an invoice for the certificate of operation in the amount of \$75.00 will be sent to either the location address or a special billing address as indicated on the inspection report. Please inform the owner/user the invoice is due upon receipt and should be paid as soon as possible. The owner/user Violation Notification Letters, if any, will be mailed to the same address as the invoice usually along with the invoice. The inspector should inform the owner/user that thirty days are allowed to correct all violations unless otherwise provided for. The Violation Notification Letter (VNL) must be signed and dated by the owner/user when all violations are complete and returned to this office for updating.

Once the invoice has been paid, and the VNL received, signed, and dated, the certificate of operation will be mailed according to the billing instructions provided by the inspector on the report.

## **(10) Placing Unsafe Equipment out of Service**

**Only a State Inspector employed by the Alabama Department of Labor Inspections Division may shutdown/lock out any conveyance.** If a conveyance deemed to be unsafe, the Chief Elevator Inspector shall be contacted to make arraignments to shut-down the conveyance as soon as possible.

## **(11) Sprinkler and smoke detector requirements for elevator hoistways and machine rooms of new construction or alterations.**

Elevator hoistways and machine rooms are inspected for fire rating and sprinkler compliance by many different state and local authorities. In the spirit of cooperation, this department will help mediate any code conflicts between agencies involved. In order to provide uniform inspections of elevator hoistways and machine rooms pertaining to sprinklers and smoke detectors, the following code references are provided:

A17.1 "Safety code for elevators and escalators" (2004 edition), because it was adopted by Statute 25-13-1 of the Alabama Code.

NFPA 13 "Installation of Sprinkler Systems" because it shall be permitted by A 17.1

NFPA 72 "National Fire Alarm Code" because it shall be permitted by A17.1.

### **What the A17.1 Elevator Code Requires**

(Latest edition of the codes unless noted otherwise)

**A17.1 section 2.8.2.3** Sprinkler systems conforming to NFPA 13 or the NBCC (National Building Code of Canada), whichever is applicable shall be permitted to be installed in the hoist way, machine room, and machinery spaces, subject to the requirements of ASME A17.1 sections 2.8.2.3.1 through 2.8.2.3.4.

**A17.1 section 2.8.2.3.1** All risers and returns shall be located outside these spaces. Branch lines in the hoist way shall supply sprinklers at not more than one floor level. When the machine room is located above the roof of the building, risers, return pipes, and branch lines for the machine room sprinkler(s) shall be permitted to be located in the hoist way between the top floor and the machine room.

**A17.1 section 2.8.2.3.2** In jurisdictions not enforcing the NBCC, means shall be provided to automatically disconnect the main line power supply to the affected elevator upon or prior to the application of water from sprinklers located in the machine room *or* in the hoist way more than 600 mm (24 in) above the pit floor. This means shall be independent of the elevator control and shall not be self- resetting. The activation of sprinklers outside of the hoist way or machine room shall not disconnect the main power supply.

*Note 1: If the sprinkler is no more than 24 inches above the pit floor no means to automatically disconnect the main power supply is required.*

**A17.1 section 2.8.2.3.3** Smoke detectors shall not be used to activate sprinklers in these spaces or to disconnect the main line power supply.

**A17.1 section 2.8.2.3.4** In jurisdictions not enforcing the NBCC, when sprinklers are installed in the hoist way, all electrical equipment, except earthquake protective devices conforming to 8.4.10.1.2(d), located less than 1225 mm (48") above the pit floor, shall be:

(a) weatherproof (NEMA4)

(b) wiring shall be identified for use in wet locations in accordance with the requirements in NFPA 70

## What NFPA 13 (2013 edition) Says

**NFPA 8.14.5.1\*** Sidewall spray sprinklers shall be installed at the bottom of each elevator hoist way not more than 2ft (0.61 m) above the pit floor. *(see note 1 above)*

**NFPA 8.14.5.2** The sprinkler required at the bottom of the elevator hoistway by 8.14.5.1 shall not be required for enclosed, noncombustible elevator shafts that do not contain combustible hydraulic fluids. *Note 2: such as traction elevators.*

**NFPA 8.14.5.3\*** Automatic sprinklers in elevator machine rooms or at the tops of hoistways shall be of ordinary or intermediate temperature rating.

**NFPA 8.14.5.4\*** Upright or pendent spray sprinklers shall be installed at the top of elevator hoistways.

**NFPA 8.14.5.5** The sprinkler required at the top of the elevator hoistway by rule 8.14.5.4 shall not be required where the hoistway for passenger elevators is noncombustible and the car enclosure materials meet the requirements of ASME A17.1 safety code for elevators and escalators.

*Note 3: It is this rule that virtually eliminates sprinkler heads in the tops of hoistways for passenger type elevators, thereby, eliminating automatic disconnecting means for sprinklers located in the hoistway because all other sprinkler heads are required to be located 24 inches or less from the pit floor.*

## A17.1 Elevator Smoke Detector Requirements

A17.1 2.27.3.2.1 In jurisdictions not enforcing the NBCC, fire alarm initiating devices used to initiate Phase I Emergency Recall Operation shall be installed in conformance with the requirements of NFPA 72, and shall be located

- (a) at each floor served by the elevator;*
- (b) in the associated elevator machine room; and*
- (c) in the elevator hoistway, when sprinklers are located in those hoistways.*

## What NFPA 72 (2013 edition) says about smoke detectors

Rather than type the entire NFPA 72 code, I will reference an item of interest and the code section where it can be found. Interested parties can research the area of interest further as needed.

**6.15.3** Discusses system type smoke detectors shall be connected to the building fire alarm system.

**6.15.3.2** States in part, facilities without a building fire alarm system, shall be connected to a dedicated

**6.15.3.6** States in part, smoke detectors shall not be installed in un-sprinklered elevator hoistways unless they are installed to activate the elevator hoistway smoke relief equipment.

**A.6.15.5 (annex)** States in part that smoke detectors should not be installed in outdoor locations or locations that are open to the weather (such as unenclosed elevator lobbies in open parking structures) refers the reader to section 6.15.3.7.

**6.15.3.7** States in part if ambient conditions prohibit installations of automatic smoke detection, other automatic fire detection shall be permitted.

*Note 4: If a contractor chooses no detection devices at the locations described in A.6.15.5 and 6.15.3.7 none will be required by this department. If the contractor chooses to install an acceptable detection device other than a smoke detector, it will be allowed.*

## **What the Elevator Safety Review Board Requires Concerning Shunt Trips and Elevator Disconnecting Means**

In order to reduce the hazards associated with water on energized circuits from the activation of sprinklers in the elevator equipment room, the shunt trip for each affected elevator disconnecting means shall be located outside the elevator machine room.

It shall de-energize both the line side and load side of the affected elevator's disconnecting means.

In cases of extreme difficulty in locating the shunt trip outside the machine room, and with prior written approval from the administrator, locating the shunt trip in the disconnecting means in the machine room may be approved, if the disconnect is a weatherproof NEMA 3R or better enclosure.



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DEPARTMENT OF LABOR

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STATE OF ALABAMA

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GOVERNOR

Department of Labor

SECRETARY OF LABOR

### Inspection Division Elevators / Boilers Complaint Form

Complaint received by Mail [ ] Email [ ] Phone [ ] In Person [ ]

1. Person Making Complaint: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_\_

2. What is the nature of your complaint? \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_\_

3. Please summarize the details of your complaint as clearly and completely as possible. Include dates and any means of corroboration. Attach additional sheets if needed.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I certify that all information which I have given herein to be true, correct and complete to the best of my knowledge.

Signature (Must be witnessed by Notary Public) \_\_\_\_\_

Subscribed and sworn to, before me this date: \_\_\_\_\_

State/County: \_\_\_\_\_ Commission Expires: \_\_\_\_\_

Notary Signature: \_\_\_\_\_

Received by: \_\_\_\_\_ Date: \_\_\_\_\_

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## **Acknowledgement of Administrative Procedures for State Licensed Inspectors**

I, \_\_\_\_\_,  
a Licensed Elevator Inspector doing inspections in the State of Alabama in accordance with the Alabama Department of Labor, Inspections Division, do hereby certify that I have received a copy of the administrative procedures regarding administrative policies, procedures, code of ethics and complaint procedures. Violation of any of these policies may subject me to discipline, according to the Elevator Safety Review Board and/or the Chief Elevator Inspector up to and including suspension of my License to Inspect Elevators in the State of Alabama.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
AL License #

Reviewed by the Chief Inspector  
Copied to Elevator Safety Review Board

\_\_\_\_\_  
Chief Inspector

\_\_\_\_\_  
Date

\_\_\_\_\_  
Assistant

\_\_\_\_\_  
Date