

**Definitions****1 Year Test (Annual Inspection) / Category 1**

- Category 1 (Annual Inspection) is an inspection/test performed between January 1<sup>st</sup> and December 31<sup>st</sup> of each calendar year.
- Category 1 (Annual Inspection) report shall be submitted within 60 calendar days from the date of inspection with satisfactory inspection results for each listed device.
- Unsatisfactory items – identified defects must be corrected within 120 days following the date of inspection of test. Additionally, a certification (ELV29) must be filed within 60 calendar days following the date of completion of repairs.
- Select the appropriate box in **Section # 2**.
- Note: Notification is required for Category 1 (Annual Inspection) on all escalators only by indicating the date in the appropriate box of the “Date DOB notified of.” box in the top right corner of the ELV3 form and completing an ELV36 Form.

**3 Year Test - Water Hydraulic / Category 3**

- Category 3 is an inspection/test performed every 3 years only on water hydraulic type elevators.
- Category 3 (Water Hydraulic Elevators Only) shall be submitted within 60 calendar days from the date of inspection with satisfactory inspection results for each listed device.
- Select the appropriate box in **Section # 2**.
- Note: A report for a category 3 inspection must not be submitted without providing proper notification by indicating the date in the appropriate box of the “Date DOB notified of.” box in the top right corner of the ELV3 form and completing an ELV36 Form.

**5 Year Test / Category 5**

- Category 5 is an inspection/test performed every 5 years on all applicable devices, as per NYC Building Code, Appendix K, Table N1.
- Category 5 shall be submitted within 60 calendar days from the date of inspection with satisfactory inspection results for each listed device.
- Select the appropriate box in **Section # 2**.
- Note: A report for a Category 5 inspection must not be submitted without providing proper notification by indicating the date in the appropriate box of the “Date DOB notified of.” box in the top right corner of the ELV3 form and completing an ELV36 Form.

**Test Tags**

- As per NYC Building Code, Appendix K, Section 8.11.1.6 - A metal test tag with the test date, the category number requiring the test, the name of the person or firm performing the test, and the Approved Agency License number, shall be installed in the machine room and at the vicinity of the lower starting station of escalators and moving walks for all Category 1, 3 and 5 tests.

**Inspection Certificates**

- As per NYC Building Code, Section 28-304.6.4 - After each inspection or test, the inspector shall affix the inspection date and his or her signature over a stamp identifying his or her approved agency name and his or her approval number on the Inspection Certificate issued by the department.

**Section 1 – Location Information**

- Complete all applicable fields.
- Borough name must be typed out. (Do not use borough code numbers.)

**Section 2 – Report Type**

- Must not remain blank. Select a type by marking “X” on the appropriate field.
- If “Elevator Inspection / Test” is selected, please select a subtype by marking “X” on the appropriate field(s).
- Mark all appropriate Category Test(s) being reported on this form. One additional test (Category 3 or 5) may be reported along with Category 1 results.
- If “Personnel Hoist Inspection / Test” is selected, provide the “Badge #” and select a subtype by marking “X” on the appropriate field.
- Note: Personnel Hoist Inspection / Test filings shall only be submitted to the Elevator Window located on the 4th floor of 280 Broadway.

**Section 3 – Fee Status**

- Must not remain blank. Select a type by marking “X” on the appropriate field.
- If “Fee Exempt with Proof Enclosed” is selected, provide Dept. of Finance verification.

**Section 4 – Applicant Information**

- All fields shall be completed by the agency performing the inspection.

**Section 5 – Owner Information**

- All fields shall be completed by the Property Owner.

**Section 6 – Test Information**

- List the device number and inspection/test date.
- Select a device type, inspection result, and category by marking "X" in the appropriate box.
- Tests for the same device performed on different dates require separate lines.
- Satisfactory and Unsatisfactory results **only** apply to Category 1 tests. **Unsatisfactory results are not accepted for Category 3 or Category 5 tests.**
- Floor numbers affected must be provided for Personnel Hoists **only**.
- Only 5 devices may be listed on document ELV3. Refer to document ELV3A to list additional devices.
- You must complete Section 8 for all unsatisfactory Category 1 test results.
- Note: Hazardous Conditions / Cease Use items shall not be reported on this form. These items shall be corrected immediately.

**Section 7 – Location Information**

- Provide the same information as in section 1 in the event paperwork is separated.

**Section 8 – Unsatisfactory Devices**

- Refer to page 3 of this instruction set for elevator part, violation condition, and suggested remedy codes.
- Refer to document ELV3A to list additional devices.

**Sections 9 – Property Owner's Statements and Signatures**

- This section shall **always** be reviewed and completed by the Property Owner.

**Sections 10 – Inspecting Agency's Statements and Signatures**

- This section shall **always** be reviewed and completed by the Inspecting Agency.

**Sections 11 – Witnessing Agency's Statements and Signatures**

- This section is **not** required if the following device types reported on this form: Private Residential Elevators, Conveyors, Dumbwaiters, and Material Lifts. (*Refer to Table N1—Appendix K Chapter K1 of the NYC Building Code for requirements*)
- This section shall be reviewed and completed by the Witnessing Agency if required.

**Elevator Part**

INSIDE CAR	TOP OF CAR		
01 Emergency Stop Switch	26 Top Emergency Exit Cover	51 Slack Rope Switch	77 Underside Platform
02 Alarm System	27 Governor Release Carrier	52 Hoist Cables	78 Tension Weight
03 Car Enclosure	28 Door Hangers & Connectors	53 Governor Ropes	79 Comp / Chains / Ropes / Switch
04 Side Emergency Exit	29 Door Operator	54 Car Counterweight Rope	80 Counterweight Runby
05 Car Door/Gate	30 Normal Limits	55 Drum Counterweight Rope	81 Counterweight Runby Signage
06 Car Door/Gate Contact	31 Final Limits	56 Hoist Machine	82 Plunger Gripper
07 Door Reopening Device	32 Guide Shoes / Roller Guides	57 Hoist Motor	<b>ESCALATOR/ MOVING WALK</b>
08 Car Floor to Landing Still	33 Counterweight	58 Worm / Gear / Bearings	83 Fire Shutters
09 Car Floor	34 Hoistway	59 Machine Brake	84 Skirt Switch
10 Car Door Gibs	35 Electrical Wiring	60 Lighting Machine Space	85 Skirt Deflection Device
11 Car Button Station	36 Pipes and Ducts	61 Machine Disconnect SW	86 Comb Plate / Comb Plate Teeth
12 Car Lighting	37 Overhead & Deflector Sheave	62 Commutator	87 Landing Plate / Impact Switches
13 Emergency Lighting	38 Traveling Cable & Junction	63 Motor Brushes	88 Handrails / Handrail Safeties
14 Car Mirror	39 Car Top	64 NYC Device #	89 Step / Thread
15 Certificate Frame	<b>MACHINE ROOM</b>	65 Unintended Car Movement	90 Key Switch
<b>OUTSIDE HOISTWAY</b>	40 Machine Room	66 Emergency Brake/Rope Gripper	91 Emergency Stop Button
16 Hoistway Doors	41 Machine Room Door	67 Communication	92 Decking and Ballustrades
17 Hoistway Door Gibs	42 Controller—Selector	68 Maintenance Log	93 Ceiling Guards
18 Hoistway Door Reinforcements	43 Reverse Phase Relay	69 Code Data Plate	94 Deck Barricades
19 Hoistway Door Safety Retainer	44 Traction Sheave	<b>PIT</b>	95 Internal Safeties
20 Vision Panel	45 Governor	70 Pit	96 Safety Signage
21 Interlocks	46 Governor Switch	71 Pit Light	<b>ALL TYPES</b>
22 Parking Device	47 Drum	72 Pit Stop Switch	97 Entire Device
23 Hall Button Station	48 Pump Unit	73 Car Guide-Rails & Brackets	98 Current Five Year Tag
24 Indicators	49 Drum Machine Limit SW	74 Cwt Guide-Rails & Brackets	99 Current One Year Tag
25 Door Safety Retainer	50 Generator	75 Buffers	100 Miscellaneous
		76 Car Safety & Tail Rope	

**Violating Condition**

A Altered	H Worn	O Dirty	V Not Level
B Insufficient	I Damaged	P No Means of Access	W Unlocked
C Padlocked	J Misaligned	Q Unguarded	X Inoperative
D Unsecured	K Rusted	R Illegal	Y Oil Leak
E Rubbing	L Defective	S Not Fire Retardant	Z Water Leak
F Lost Motion	M Missing	T Unlabeled	AA Carbon Buildup
G Improper Fuses	N By-passed	U Device Not Tagged	BB Expired Tag

**Suggested Remedy**

01 Adjust	06 Properly Secure	11 Replace	16 Provide Means of Access
02 Clean	07 Provide	12 Reshackle	17 Re-inspection Required
03 Install Guards	08 Regroove	13 Seal	
04 Patch	09 Remove	14 Shorten	
05 Perform & File Test	10 Repair	15 Tag Device	