Technical Safety Authority of Saskatchewan

INFO Paper

# Elevator Quality Management System (EQMS) Requirements For Elevating Device Contractors

**PP-QMS-2025- 01**

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## Table of Contents

## 1. Introduction

This Elevator Quality Management System (EQMS) document establishes the elements required when developing a written Quality Management System for performing mechanical or electrical work on elevating device systems.

To ensure the safe operation and reliability of elevating devices, and compliance with jurisdictional and code requirements, elevating device contractors shall develop and implement effective systems for managing their quality work performed on elevating devices. This work includes construction, installation, rebuilding, altering, repairing, maintaining, servicing, inspecting, examining, and testing in accordance with applicable standards, codes, and customer requirements. This leads to better regulatory compliance, customer satisfaction, internal efficiencies, and long-term achievement of corporate goals. Said another way, it is a set of interconnected elements (quality policy, procedures, manual, work instruction, records, etc.) that directs and controls the organization in consistently meeting quality objectives.

The information in this document is intended to assist contractors in developing and implementing an effective EQMS. The extent of a contractor's EQMS documentation to achieve an effective and practical quality management program will vary and must be suitable for the organization's structure, business practices, and operations.

Companies holding a contractor's licence who perform any mechanical or electrical work on elevating devices are required to develop and implement a written EQMS. This excludes Class D and E contractors. A further exemption applies to companies that exclusively service passenger ropeways.

> ***Note:** Contractors with subsidiary offices in Saskatchewan shall ensure that the written EQMS manual applies to and has been fully implemented at all offices or shall consider creating separate written EQMS manuals for each location.

Elevator quality programs shall be subject to inspection, including investigation, monitoring, or audit by TSASK at any time. TSASK will periodically review programs to confirm that compliance is being maintained with the Act and Regulations, adopted codes and bulletins established by TSASK.

The information in this revision of the document was developed based on TSASK internal observations and policy development with consultation and assistance borrowing from other technologies (boiler and pressure vessel Quality Management Systems of Inspections and Quality Control Programs). Consideration was made for codes, standards, and other publications as well.

To ensure this document remains relevant, it shall be reviewed periodically to confirm that it is aligned with current industry best practices and policies. Additionally, it shall be revised whenever an urgent need is identified. Any suggestions for improvement are welcome. Please forward comments to: elevatorsafety@tsask.ca.

## 2. Contractor Licensing Process

Contractors shall have a written EQMS manual and have implemented their written EQMS requirements. Contractors will submit their written EQMS manual to TSASK for review every three years or whenever they make revisions to the manual. The manual review will evaluate whether the requirements of this document have been satisfactorily addressed and will provide feedback for recommended changes as necessary. Following the acceptance of the written EQMS manual, a program audit will be conducted by TSASK for the contractor to demonstrate that they have put in use and implemented the requirements of their EQMS. Typically, an entrance and exit meeting will be scheduled with the program audit as part of the process to establish clarity with the audit process and any findings or recommendations identified in the audit. A satisfactory manual review and program audit allows the contractor to purchase their annual licence.

## 3. Due Process

During the entrance meeting, your company will have the opportunity to ask questions they may have concerning their application, or the conduct of the manual review and program audit (review/audit). During the review/audit, your company may question any finding/deficiency reported by the TSASK Inspector and present any information you feel is applicable to the situation. To the extent possible, this should be during the review/audit process. The Inspector will consider your question(s) and re-evaluate the situation. If your company still has a disagreement with any finding/deficiency or the conduct of the review/audit, your company may submit a written statement to the Manager of Elevator Safety, for consideration by TSASK, as part of its evaluation of your application.

If the TSASK Inspector's or Manager's decision is to not approve the EQMS manual or to accept the program audit, you may request reconsideration or appeal of that decision for due process.

To request reconsideration or appeal, your company must submit, in writing, your reasons and any supportive documentation to the Chief Inspector. Your company may be invited to provide additional information or have discussions with the Chief Inspector or attend a formal appeal proceeding, as necessary.

## 4. Confidentiality

TSASK will have access to your written EQMS manual and may observe drawings, procedures, reports and other information necessary to determine that your EQMS Program is in compliance with this document, the Act, Regulations and appropriate codes and standards. The information obtained by the TSASK shall be held in strict confidence. TSASK is prohibited from discussing such information at any time, other than internally with other TSASK staff, or members of other Authorities Having Jurisdiction in general terms only.

TSASK will maintain your information confidential to the extent permitted by the applicable provincial legislation.

## 5. Contractor Licenses Summary

All contractors must have a licence issued by the Technical Safety Authority of Saskatchewan (TSASK). The classes of licences are listed in *Table 1 Classes of Contractors' Licences* (Reg. Section 5, p.7).

*Table 1 Classes of Contractors' Licences*

| Class | Description | Restriction | EQMS Required |
|---|---|---|---|
| A | Authorizes the holder to construct, rebuild, alter, repair, service or conduct periodic inspections and tests on elevators or parts of elevators | • Includes all elevating devices<br>• Restrictions as per scope on licence | • Yes |
| B | Authorizes the holder to alter, repair, maintain, service, inspect, examine, and test all categories of elevating devices that are designated on the contractors' licence | • Designated elevating devices only<br>• May not construct or install | • Yes |
| C | Authorizes the holder to construct, install, rebuild, alter, repair, service, or test lifts for barrier free devices | • Lifts for persons for barrier free devices | • Yes |
| D | Authorizes the holder to:<br>(i) provide elevator safety training programs and instruction to elevator emergency personnel, including those persons licensed as a Class B - Owner; or<br>(ii) access the elevator equipment areas such as the hoistway, top of car, pit areas, machine rooms and control rooms for the purpose of conducting a survey, audit, or developing elevator specifications on behalf of the elevator owner | • May perform consultant services on any equipment<br>• Access for training, survey, audit, or specification development only | • No |
| E | Authorizes the holder to conduct alterations to the interior of elevator cars for the purpose of refurbishing, restoring or replacing interior cab panels or ceiling materials and lighting fixtures | • No mechanical work<br>• Inside the elevator car only | • No |

## 6. Definitions and Acronyms

**Act** – *The Passenger and Freight Elevator Act*
**Regulations** – *The Passenger and Freight Elevator Regulations*
**EQMS** – Elevator Quality Management System
**Elevator** – is a general term used within this document to represent all categories of elevating devices including, but not limited to:

- Elevators (freight, passenger, observation, sidewalk, temporary, limited use/limited application, incline)
- Dumbwaiters (other than hand-powered)
- Escalators
- Moving walks
- Freight platform and material lifts (type A and B)

- Lifts for barrier free access (stair chair lifts, enclosed stair platform lifts, unenclosed stair platform lifts, enclosed vertical platform lifts, unenclosed vertical platform lifts)
- Manlifts (endless belt-type, power type, hand powered)
- Personnel hoists
- Passenger ropeways (chair lifts, gondola lifts, aerial tramways, T-bar lifts, rope-tows, tube-tows, conveyors, magic carpets)

**Elevating Device** – within this document, it is synonymous with “elevator”
**EDM** - Elevating Device Mechanic
**Service Contract** – A contract between an owner and a contractor describing service and/or maintenance requirements and commitments. The service contract may reference a maintenance control program.

## 7. Guide for Elevator Quality Management System (EQMS) Requirements

This section provides a guidance on the required elements of an elevator contractor's EQMS written program. The detail of each requirement is subject to the class of the contractor's licence and their own structure, business practices, and operations.

### *7.1. Title Page*

The Title Page shall identify the following:

- Title of the document that describes the EQMS
- The name and corporate address of the contractor
- The class of licence the contractor has
- The revision number of the manual (shall also be included on all subsequent pages)
- The Title Page must have a controlled number on the manual and to whom the manual has been assigned. The Table of Contents simply lists the sections of the manual.

### *7.2. Scope*

The Scope of the manual shall address the following components.

- A quality statement that defines the contractor's policy to ensure that all work and services provided shall comply with the Act and Regulations, TSASK bulletins, applicable codes and standards, customer requirements, and the contractor's own policies
- The class of licence to be held
- A description of the type of work and services the contractor provides and any limitations or additional requirements to your program outside of those required by the Act, Regulations, codes, or standards. For example, you may identify that construction and installation of escalators is outside the scope of your work.
- A listing of applicable codes and standards that work and services are performed to:
    - ASME A17.1/CSA B44 Safety Code for Elevators and Escalators
    - CAN/CSA-Z185 Safety Code for Personnel Hoists
    - CAN/CSA-B311 Safety Code for Manlifts
    - CSA Z98 Passenger Ropeway & Passenger Conveyor Standard
    - CSA B355 Platform Lifts and Stari Lifts for Barrier-Free Access
    - CSA C22.2 Canadian Electrical Code
    - National Building Code of Canada (NBC)
- A statement that subcontracted work must also be performed under an approved EQMS accepted by your company
- Provide an overview of the organization and additional office locations controlled by the corporate or area headquarters

### *7.3. Table of Contents*

The written description shall:

- Show a Table of Contents that lists the number and title of each section and its location in the written EQMS
- Include the signature and date of the person accountable for controlling and implementing the EQMS
- A place for the TSASK inspector to sign and date his acceptance of the EQMS
- The above two bullets shall be accomplished using a revision summary sheet or equivalent

### *7.4. Description of the Organization and Organization Chart*

The written description of this element shall include:

- A statement that management will ensure that responsibilities and authorities are defined and are communicated within the organization
- An organization chart
    - That contains the job titles of key personnel used throughout the program to designate responsibilities within the organization. The titles shown in the organization chart must be consistent within the EQMS
    - That shows the relationship or reporting structure between key personnel to reflect the current structure of the contractor
    - That shows the relationship or reporting structure between a corporate or area headquarters and additional offices controlled by the headquarters
- The person assigned the responsibility for the control and implementation of the EQMS shall have sufficient authority or communication within the organization to effect change
- A statement that all job descriptions, with defined roles and responsibilities for EQMS activities shall be maintained
- The EQMS manual shall include a description of the organization and how they define and assign responsibilities to EDMs in their employ. The description should include how the contractor will utilize the EDMs in his employee and MITs in training to perform the tasks allowed by their contractor licence.

A contractor may choose to use an organizational chart to illustrate the functionality of the company and to depict the levels of responsibility for each position. No written descriptions are required if the organizational chart is clear in illustrating the responsibilities for the program.

### *7.5. Statement of Authority*

The Statement of Authority confirms the contractor's commitment to follow the requirements of their EQMS program and to ensure that, if there are any conflicts between their program and the legislation or code or standard, there is an established hierarchy within the program to ensure that the appropriate legislative requirement, code or standard requirement is followed. The Statement also affirms the contractor's commitment to the program and provides assurance that all employees are made aware of the EQMS program and understand fully their obligations.

The written statement of this element shall include:

- A statement that the written EQMS covers the information described within the scope of the program and accurately describes the quality management system of the organization
- A statement referencing the Act, Regulations, codes, and standards listed within the scope of the program for which the EQMS is intended to comply to
- A statement that no work shall be undertaken that is outside the restrictions of the class of licence held by the contractor until such work has been included in the scope of the current licence and accepted by TSASK
- A statement that the EQMS has the full support of management who will ensure that adequate resources, including competent personnel, are provided to implement the program
- A statement that assigns the person responsible for the control and implementation of the EQMS program to an individual or position who has sufficient authority to manage the requirements of the EQMS.
- The statement shall establish the responsible person, irrespective of other duties, who has the defined freedom and authority within the organization to identify quality control problems, initiate, recommend and provide solutions. This person should have the full confidence of senior (executive) management and shall

have direct access to, and support from, senior management to resolve any implementation barriers to manage the program.
    - If the responsible person is the senior manager (i.e., owner or small company), then they shall take responsibility for the program
    - If the organization has multiple regions, separate EQMS programs shall be established for each region or the assigned responsible person for each region shall be identified. In this case, all assigned responsible persons shall sign the Table of Contents.
- It must be indicated that final resolution of problems will be made by senior management without compromising any referenced codes, standards, the Act, Regulations, safety bulletins, or this EQMS program manual
- A statement of commitment to worker safety through compliance with Occupational Health & Safety legislation that includes safe work policies and procedures
- A statement that recognizes the authority of TSASK and its inspectors. The statement shall also include provisions for the inspectors to have access to sites where the contractor may be working.
- Signature and date of the senior (executive) management official responsible for the organization's quality policy

### *7.6. Definition of Terms*

The QMS program must have a section for definitions related to the elevating device industry that shall be used within the manual. This provides assurance that the contractor is using recognized industry language.

#### *7.6.1.Acronyms*

All abbreviated titles of personnel, control documents, organizations, codes and standards, Acts and Regulations, etc. used within the EQMS manual shall be defined.

#### *7.6.2.Mandatory Definitions*

Standard definitions and acronyms that shall be included in all QMS manuals are:

**Accident** – Any occurrence with a regulated device that requires medical attention, causes health impairment or results in serious injury, or death.
***Act*** – *The Passenger and Freight Elevator Act*
***Regulations*** –*The Passenger and Freight Elevator Regulations*
**Direct supervision** – is supervision by a licensed EDM who is on the same premises as the supervised person and in sufficient proximity to:

- observe the supervised person directly and without the aid of electronic devices,
- provide verbal direction and immediate assistance to the supervised person, and
- evaluate the work of the supervised person

**Designated Signing Officer** – is a person who acts on behalf of the Licensed Contractor to verify that an EDM or MIT passport holder has successfully completed the required Workplace Achievement Criteria for a specific Scope of Work Endorsement.
**Elevating Device Mechanic** – (EDM) is a person who has been certified and licensed by TSASK to work under a contractor's licence.
**Indirect supervision** – is supervision by a licensed EDM who is readily available to the supervised person for the purpose of providing timely direction and assistance.

**Incident** – Any incidence with a regulated device that results in an adverse consequence to a person or property.
**Inspector** – means an inspector employed by TSASK and appointed under the Act. This also includes the Chief Inspector.
**Manufacturer's specifications** - means the specifications provided by the elevating device designer or manufacturer.
**Maintenance Control Program** – a documented set of maintenance tasks, maintenance procedures, examinations, and tests to ensure that equipment is maintained in compliance with the requirements of ASME A17.1 CSA B44 8.6.
**Mechanic in Training** – (MIT) Elevating Device Mechanic-In-Training
**Skills Passport** – A document that contains a record of training and competence pertaining to work skills criteria
**TSASK** – the Technical Safety Authority of Saskatchewan

#### *7.6.3.Optional Definitions*

Contractors shall carefully consider the work they are licensed to perform in Saskatchewan and include those necessary definitions from the codes and standards they may be using. Contractors shall also refer to the definition sections of the *Act* and *Regulations* (Section 2) to determine if additional definitions are required based on the class of licence they hold. It is recommended that each elevator equipment type within the scope of the EQMS has been defined and includes a reference to the applicable code or standard that applies to that equipment type (e.g a Class C licence holder shall include the definition for, “lift for barrier free access,” since that is a part of their licence scope).

### *7.7. Manual Control*

The written description of this element shall establish that there will be a documented procedure for controlling the EQMS written description. The EQMS written description shall include a written manual and may include supporting procedures.

Implementation Note: While revisions to the written EQMS manual requires TSASK acceptance prior to implementation, procedures can be revised and implemented without TSASK acceptance. Procedures are still subject to a TSASK program audit or verification to ensure they are compliant with the Act, Regulations, safety bulletins, codes, and standards and are effectively implemented.

#### *7.7.1.EQMS Written Manual*

The written statement of this element shall include:

- Who is responsible for the preparation, revision, distribution, and implementation of the EQMS manual
- How often the EQMS manual is reviewed for regulatory and code compliance. At a minimum, the EQMS manual review shall be completed within 12 months of any code, standard, or legislation revisions that affect the written EQMS program description.
- Detail how the EQMS manual will be revised, when revisions will be completed, and how the revisions will be identified within the manual
- Ensure that all proposed revisions to the EQMS are presented to TSASK for acceptance prior to inclusion and implementation within the program
- A list of controlled manual holders must be referenced
- An acceptable method of identifying text revisions made within the manual must be included

#### *7.7.2.Procedures*

The written statement of this element shall include:

- Who is responsible for the preparation, revision, distribution, and implementation of the procedures
- How often the procedures are reviewed for regulatory and code compliance. At a minimum, the procedure review shall be completed within 12 months of any code, standard, or legislation revisions that affect the procedure.
- Detail how procedures will be revised, when revisions will be completed, and how the revisions will be identified
- An acceptable method of identifying text revisions made within the procedures must be included

### *7.8. Document Control and Records Retention*

The written description of this element shall establish that there will be a documented procedure for controlling referenced procedures, forms, codes, standards, records, and other documents relevant to the EQMS and state that all documents and records shall be maintained, relevant and current.

The written statement of this element shall include:

- A description of record retention procedures must be described
- Records to be kept must be listed
- All records listed within this manual must be included within the list
- The time of retention must be specified
- Access granted to the Inspector for the review of these records must also be indicated
- how superseded documents are removed from use and destroyed
- where the records will be retained and by whom
- A description or example of the format of an equipment log book
- How signatures or initials may be identified to a legible identification name or EDM number
- Document acceptance and approval alternatives to written signature or initials shall be described

Documents and records shall be in hard copy or electronic format. Electronic systems must be able to readily reproduce a written copy, show the required authentication, and be protected from unauthorized alteration.

When documents are issued in electronic format, the system used to control these documents will be described and include the provision for documenting that key personnel have read and understand the contents of the documents issued.

If applicable, it will be established that the electronic version is the controlled copy and that any hard copy versions are uncontrolled documents.

### *7.9. Quality Management Roles to the EQMS*

Quality management establishes a systematic approach to quality at all levels with an objective to ensure consistent quality and continuous improvement. Much of the written program elements, with particular focus on the Statement of Authority and Scope of the EQMS, address the organizations responsibilities and role towards implementing a quality management system. Organizations shall consider identifying persons and specific roles and responsibilities within this written element to reinforce statements addressed in other elements or to assign additional roles with quality as a focus.

Quality Management includes quality assurance and quality control.

### *7.10. Quality Control Roles within the EQMS*

Quality control focuses on identifying and fixing defects in products. It is product oriented with key activities of testing, inspections, and defect identification.

The written statement of this element shall include:

- Assigning a position to be responsible for the completion of pre-inspection request checklists
    - Acceptance Checklist for Firefighters' Operation and Emergency Signaling Devices
    - Pre-Inspection Checklist – Elevators
    - Pre-Inspection Checklist – Lifts for Barrier Free Access (Lifts for Persons with Physical Disabilities)
- A statement that the pre-inspection checklist shall be completed prior to the acceptance inspection scheduled date and submitted to TSASK
- A statement that the pre-inspection checklist shall be available on-site to the Inspector
- Assigning a person to be responsible for the completion of the following checklists:
    - Category 1 Periodic Test Checklist for All Elevators
    - Category 5 Periodic Test Checklist for All Elevators
    - Category 1 Safety Test Checklist (for power-type manlifts)
    - Category 5 Safety Test Checklist (for power-type manlifts)
    - Category 1 Escalator/Moving Walk Test Record
    - Hand-Powered Counter-Balanced Manlift Test
- A statement that the above completed test checklists shall be recorded on the equipment record or log maintained and available within the machine room
- A statement that the above completed test checklists shall be submitted within the calendar year to TSASK upon completion and no later than December 31. Checklists for Escalators shall be submitted to TSASK upon completion and no later than July 1.
- A copy of all checklists shall be included within the Exhibits of the written EQMS manual

### *7.11. Quality Assurance Roles within the EQMS*

Quality assurance focuses on ensuring processes prevent defects. It is process oriented, ensures proper workflows, and seeks to prevent defects from occurring with key activities related to training and process standardization.

The written statement of this element shall include:

- A process of review for upcoming category test identification that identifies who performs this work, the frequency of review, and a schedule for completing the tests on all elevators where a service or maintenance contract includes category tests
- A listing of all procedures that are referenced within or support the EQMS program

### *7.12. Duties and Responsibilities of Management*

The written statement of this element shall include:

- Assigning a person to the role of a Designated Signing Officer for the purpose of reviewing, accepting, approving, and signing off workplace achievement criteria within an EDM or MIT skills passport

- Providing awareness and training to all EDM and MIT regarding the Act, Regulations, safety bulletins, codes, and standards
- Maintaining a record of the EDM and MIT training related to the Act, Regulations, safety bulletins, codes, and standards

### *7.13. Duties and Responsibilities of the EDM Supervisor*

Individuals assigned as an EDM supervisor (permanent to a role or temporary to a job or project) have the responsibility for activities and duties identified within the written EQMS program.

The written statement of this element may assign these duties and responsibilities to other positions and shall include:

- Providing training and development necessary to develop and maintain the EDM's and MIT's skill competencies to complete assigned duties and as described within their skills passports
- Maintaining a record of the EDM and MIT being supervised and a description of their assignments
- Reviewing and signing off on EDM and MIT skills where competency has been demonstrated within the EDM or MIT skills passport
- Documenting nonconforming activities per the non-conformities and corrective action EQMS element
- Ensuring the EDM and MIT being supervised are provided safety training for hazards expected to be encountered while performing assigned duties. The *Elevator Industry Field Employees' Safety Handbook* may be referenced as a guide. Alternatively, this can be achieved by another individual who is identified in the written EQMS manual.

### *7.14. Duties and Responsibilities of the EDM*

Individuals assigned as an EDM (or an MIT responsible for a specific project or job that they have been assigned responsibility by the organization and have the competency for the work completed and documented within their skills passport) have the responsibility for activities and duties identified within the written EQMS program.

The written statement of this element shall include:

- Working within their limitations or scope of documented competencies identified within their skills passport
- Maintaining their skills passport
- Following all work orders and instructions and ensuring the work is compliant to the Act, Regulations, safety bulletins, codes, and standards
- Updating complete entries describing work activities performed on an elevator on the equipment record or log maintained and available in the equipment room
- Identifying nonconforming activities per the non-conformities and corrective action EQMS element
- Completing TSASK Inspection Report directives section when work is completed and submitting the completed forms to TSASK (submission of the form may be assigned to a different person)

### *7.15. EDM and MIT Certification and Skills Passports*

This section of the written EQMS program may be addressed within its own section or within other written manual elements. All technicians working on elevators shall follow the requirements of policy paper *IP-ELE-2022-01 Elevating Device Mechanics Certification*.

The written statement of this element shall include:

- A reference to policy paper *IP-ELE-2022-01 Elevating Device Mechanics Certification* and Skills Passports
- A commitment by the EDM, with management verifications, that all EDM hold and maintain a valid licence
- A commitment by the MIT, with management verifications, that all MIT will be registered with TSASK
- Support by management to progress the education and training of an MIT towards EDM certification within a timely manner
- For management to support supervisor and mentor relationships and oversight through direct supervision as an EDM or MIT is acquiring new skill competencies
- For management to support supervisor and mentor relationships and oversight through direct or indirect supervision of an MIT who may have already acquired a skill competency but has not fulfilled an EDM certification
- Written procedures for how management assigns work to an EDM or MIT to ensure that the work is under the responsibility of an EDM that has acquired the skill competency
- How the organization maintains a record of EDM and MIT Workplace Achievement Criteria to effectively manage work and supervision assignments
- That the organization must be able to make an EDM or MIT skills passport available for review to reconcile with the organization's records and for audit verification or investigation purposes

### *7.16. Indoctrination and Training*

This section of the written EQMS program relates to the awareness and commitment of all staff to the EQMS program and to the Act, Regulations, safety bulletins, codes, and standards.

The written statement of this element shall include:

- An onboarding or indoctrination training process to familiarize all staff with the EQMS program including the written EQMS manual and supporting procedures
- A process to manage, review and understand updates to the Act, Regulations, safety bulletins, codes and standards as corporate knowledge and a process to identify and train all staff on updates that may affect their work within their assigned roles
- These training sessions shall have a record indicating the topic, presenter, agenda, training method, duration, and attendance of all participants

### *7.17. Drawings and Designs*

This section of the written EQMS program relates to the design of elevators and the use of drawings to complete work on elevators. This element may be addressed within sufficient details that would be applicable to the scope of work of the EQMS holder (e.g. installation, alteration, modernization, repair or maintenance).

The written statement of this element shall include:

- Specify who prepares design drawings
- How are drawings and latest revisions issued and retrieved
- How are superseded drawings disposed of
- What are the procedures to ensure all the documents are the latest revision
- Who approves drawings for work
- Who ensures that all designs, drawings and specifications are submitted to TSASK when required

### *7.18. Work Planning and Controls*

The EQMS program shall provide instructions for how the contractor plans and controls their work to ensure elevators are constructed, installed, altered, modernized, repaired or maintained in accordance with the requirements of the Act, Regulations, applicable codes and standards, and the design or MCP, as applicable. This section shall establish the minimum requirements to ensure the work being done is acceptable. The written element shall provide enough information in this section to properly control the type of work identified in the EQMS scope and may describe the written elements as they relate to each of construction, installation, alteration, modernization, repair or maintenance.

The written statement of this element shall include:

- Who is responsible for identifying or developing work instructions or checklists for work completion
- Who is responsible for identifying internal quality control or supervision reviews and sign off points of work
- Who ensures that all work instruction or checklist items have been marked off as they are completed
- What controls are in place to ensure that work requiring an internal quality control or supervision review has been accepted prior to completing further work
- Who is responsible for completing logbook entries and work package completion records, when the work has been completed, with sufficient detail to describe the work completed
- The identification of any examination and testing requirements and verification that they have been carried out
- Who records any examination and test results and where the record is made or kept
- How data tags, as necessary, are created and attached to equipment

#### *7.18.1. Subcontracting or Supervising Regulated Work by Others*

If the contractor sub-contracts regulated work to another contractor, the process for ensuring the sub-contractor is licensed for the work shall be discussed. If the sub-contractor is not licensed by TSASK, then the contractor shall describe how he maintains control and responsibility for the work being done by the sub-contractor under his contractor licence. This relationship must be clearly defined.

### *7.19. Service/Maintenance Contracts*

The organization shall have effective processes for ensuring they have the resources to effectively fulfill all service/maintenance contracts for maintenance and service calls established with equipment owners through service/maintenance contracts.

The written statement of this element shall include:

- Having a procedure for surveying the expected work and ensuring adequate resources are available to fulfill new service/maintenance contracts
- Assigning a person to maintain a listing of all service/maintenance contracts along with a general description of the service/maintenance level agreed to
- Assigning a person to monitor that service/maintenance frequencies and service/maintenance activities are complying to the service/maintenance contracts
- If service/maintenance levels are not meeting service/maintenance contracts, the person monitoring this work shall notify management
- Provide notification to TSASK whenever a change in a service/maintenance contract is made (new contract, completed/end of contract, service/maintenance level, or frequency change)

### *7.20. Maintenance Control Programs*

All elevators shall be maintained under a maintenance control program (MCP) in accordance with the requirements of the applicable codes and standards.

The MCP is the responsibility of the maintenance provider (contractor) and shall be developed, implemented, and maintained by the contractor holding the service or maintenance contractor for the elevator.

An MCP:

- Is not owned by the original installer unless they are also the maintenance provider
- Does not remain fixed for the life of the elevator (requirements may change over time with the age and usage of the elevator), and
- May be revised or replaced when there is a change in the maintenance contractor.

The written description of this element shall establish how a contractor applies a maintenance control program within service contracts.

The written statement of this element shall include:

- A description of how the contractor develops and implements an MCP that complies with the applicable codes and standards for the type of device being maintained
- A process for reviewing and updating the MCP to ensure it reflects current code requirements, equipment condition, operational history and any alterations or modernizations
- A description of how MCP requirements are incorporated into service or maintenance contracts
- A process for review of an MCP to ensure that it fully addresses expected servicing requirements
- That all MCP records including logbooks are provided to the elevator owner as a necessary record of the elevator's maintenance history

TSASK recognizes that certain elevators may include unique components or systems where the original equipment manufacturer (OEM), component manufacturer or installing contractor may have specific maintenance instructions or requirements that are not readily apparent through standard code provisions. In these cases, such specialized maintenance information should be provided to and retained with the elevator owner and made available to current and future maintenance providers for consideration in the development or revision of the MCP. The service or maintenance contractor is responsible for requesting OEM or component-specific maintenance information from the owner and reviewing whether it is necessary to incorporate that information into their MCP.

### *7.21. Control of Monitoring and Measuring Devices*

The written description of this element is to ensure the accuracy and fitness for purpose of measuring devices, testing equipment and specialized equipment.

The written statement of this element shall include:

- How inspection and measuring test equipment are identified
- Who is responsible for calibration
- What is the frequency of calibration
- How that the equipment is verified to be in good condition prior to use
- How the equipment is calibrated against recognized standards
- How calibrated equipment is identified and the status of calibration is recorded and tracked

- What actions required to be taken when the calibration results are unsatisfactory
- That calibration records of the equipment are maintained
- A description for the handling, preservation and storage of the equipment such that the accuracy and fitness for purpose is assured
- How safeguarding the equipment from unauthorized adjustments is defined
- A description of specialized equipment used and the calibration requirements or special care instructions that apply to ensure their accuracy and fitness for purpose

### *7.22. Special Processes*

This element will address unique topics such as alternative test methodologies that require TSASK approval. The element can identify special process, tools, alternatives, etc. approved by TSASK and either describe elements applicable to the special process or identify company procedures for the special process.

### *7.23. Purchasing and Material Control*

The written description of this element is to ensure that materials received and used on site meet specified purchasing requirements and applicable codes and are defect free.

#### *7.23.1. Purchasing*

Purchased materials and parts shall conform to the requirements of the design and applicable codes and standards. The written statement of this element shall describe:

- The process for selecting suppliers for their ability to supply materials and parts
- Who is responsible for ordering materials and parts and what source information they use (e.g. design drawings, OEM parts lists, etc.)
- The requirement for identifying the proper code, standard, certification requirement or specification for the materials or parts (e.g. material specifications including material type, grade, dimensions; welding consumable specification and classification; part description and certification requirement (e.g. UL, CSA, etc))
- A process for generating purchase orders and ensuring they are complete
- Who reviews and approves the purchase orders conform to the requirements of the design and applicable codes and standards
- The process for the substitution of materials or parts

#### *7.23.2. Receiving*

Received materials and parts shall conform to the requirements of the purchasing requirements, the design and applicable codes and standards. The written statement of this element shall describe:

- How material receivers have been trained to receiving procedures
- Who is responsible for ensuring that received materials and parts conform to the correct specifications, quantity, dimensions and that they are not damaged
- The system fort identifying, segregating and disposing of non-conforming items
- How are acceptable materials identified and issued for construction that have passed the receiving inspections
- The process for identification and maintaining traceability of materials and parts having passed the receiving inspection while in storage and during construction phases

- How do you ensure traceability of materials that have been cut
- The process for the receipt and inspection of owner supplied materials or parts to ensure that they fully comply with the design and applicable codes and standards and are in good shape

### *7.24. Communication with TSASK*

This section briefly describes how the contractor intends to communicate with TSASK. This shall include a statement on how the contractor will:

- contact TSASK for inspections
- notify TSASK of an issue with a piece of equipment or if there has been an accident or incident
- reply to TSASK when non-conformances have been raised by the Inspector that require resolution
- contact TSASK when a re-inspection is required
- contact TSASK when a seal is required to be removed
- contact TSASK when a device is removed from service upon commencement of an alteration
- contact TSASK for Inspection Report Directive compliance date extensions with the date requested and rationale for the request

This section shall also state that the authority for acceptance of installations, repairs, alterations, maintenance, servicing, and testing of elevating devices remains with TSASK Inspectors.

### *7.25. Internal Audit*

The written description of this element shall describe the audit process used to determine the effectiveness of the EQMS and to identify areas where the system can be improved.

The written statement of this element shall include:

- The development of an internal audit process
- Establishing an internal audit schedule that addresses all elements and requirements of this document
- The creation of an internal audit checklist
- Documenting the audit results and communicating the audit results to the appropriate personnel and management
- Ensuring timely action is taken as a result of the audit findings
- Defining the follow-up action to verify the success of the action taken with respect to audit findings
- Maintaining internal audit records

### *7.26. Non-conformities and Corrective Actions*

The written description of this element shall address how non-conformances and corrective actions are managed.

The written statement of this element shall:

- Establish that the contractor has a procedure in place for the handling of identified deficiencies.
- Address when TSASK needs to be involved with the resolution of the deficiency.
- Identify that any employee of the contractor shall bring to the attention of the contractor when a deficiency is found.
- Establish who reviews the deficiencies and determines the resolution.
- Define the method for tracking deficiencies to completion.

- Note that, when a re-occurring deficiency is found, the contractor has a procedure in place to address the re-occurrence and the steps that will be taken to ensure no future deficiencies of this nature occur.

## 8. Program Audits

An EQMS holder shall submit to Program Audits conducted by TSASK.

An program audit is part of a surveillance strategy to assure continual conformance to the EQMS. An program audit will be conducted every three years and as requested or required in follow up to deficiencies or concerns identified with the implementation of the EQMS. A contractor's licence may be suspended, cancelled or refused renewal if TSASK determines that the EQMS is not being followed and the Act is not being complied with.

An program audit is an in-depth examination of an EQMS holder's records, processes, procedures and practices to determine their level of compliance with their EQMS, the Act and Regulations, and TSASK bulletins, safety orders and directives.