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31 December 2015

All Registered Lift/Escalator Contractors

Dear Sirs,

**Circular No. 13/2015**  
**Revised Checklist for Handover and Takeover of Lift/Escalator**  
**Maintenance**

This circular aims to announce that the checklist for handover and takeover of lift/escalator maintenance previously issued vide Circular No. 5/2015 has been revised.

This revision provides supplementary notes recommending RPs to carry out the joint thorough examination by the existing and incoming contractors in sufficient advance before the handover date in order to establish a clear demarcation of liability in respect of the defects/ outstanding work items identified. Besides, it provides clarifications of the scope of the joint examination and reminds RPs that there is no statutory restriction on site access by the incoming registered lift/escalator contractor in carrying out the examination.

The revised checklist enclosed in this circular shall take immediate effect. The revised checklist can also be downloaded from the "Responsible Persons' Corner" in our EMSD website via the following hyperlink:

[http://www.emsd.gov.hk/emsd/eng/pps/leo\\_rpc.shtml](http://www.emsd.gov.hk/emsd/eng/pps/leo_rpc.shtml)

Yours faithfully,



(CHEUNG Kim Ching)  
for Director of Electrical & Mechanical Services

- c.c. The Director of Housing  
The Director of Architectural Services  
The Lift and Escalator Contractors Association  
The Registered Elevator and Escalator Contractors Association Limited  
The Hong Kong General Union of Lift and Escalator Employees  
The Building Services Operation and Maintenance Executives Society  
CE/AVE, CE/TSCS, CE/P, CE/GES, CE/Mun, CE/HS

## 升降機或自動梯保養工作移交事宜核對表

### CHECKLIST FOR HANDOVER AND TAKEOVER OF LIFT/ESCALATOR MAINTENANCE

升降機及自動梯負責人應為升降機/自動梯的保養指示、運行狀態及檢驗/事故報告等，備存一份全面周詳的記錄，以滿足負責人於升降機及自動梯條例(第618章)(《條例》)下的責任及可讓承辦商參考以制定保養計劃。本核對表旨在協助負責人，於轉換升降機及自動梯的保養承辦商時，管理有關記錄及保養工作的移交。交出和接管保養雙方的承辦商亦須履行《條例》及《升降機工程及自動梯工程實務守則》(《工程實務守則》)所訂明的法定責任和職責，並為負責人提供充分協助，以實現順利交接。

Responsible Persons (RP) for Lifts and Escalators should keep comprehensive records of the maintenance instructions, operation status and examination/incident reports, etc. of the lifts and escalators to fulfill their responsibilities under the Lifts and Escalators Ordinance (Cap.618) (Ordinance) and to facilitate the maintenance contractor in formulating its maintenance plan. This checklist aims at facilitating RP to manage the transfer of those records and maintenance duties when lift and escalator maintenance services are handed over from one contractor to another. Incoming and outgoing contractors are required to fulfill their legal obligations and duties specified in the Ordinance and the Code of Practice for Lift Works and Escalator Works ("Works Code"), and to provide their full supports to RP to achieve a smooth transition.

保養合約編號

Maintenance Contract Ref: \_\_\_\_\_

升降機數目及識別編號

No. of Lift and Designation of the Lifts: \_\_\_\_\_

自動梯數目及識別編號

No. of Escalators and Designation of the Escalators: \_\_\_\_\_

保養合約開始日期

Commencement date of the maintenance contract: \_\_\_\_\_

#### 第一部 (接管保養工作)

##### Part I (Takeover of maintenance)

下列資料應由接管保養工作的承辦商填寫。

The following information should be completed by the maintenance contractor who takes over the maintenance.

#### A. 保養承辦商的一般資料！

##### General Information of Maintenance Contractor

1.	公司名稱 Company Name
2.	辦事處地址 Office Address
3.	工場/維修廠房地址 Workshop/Maintenance Depots Addresses

4. 24 小時緊急事故電話中心  
24 hrs Emergency Call Centre  
電話號碼:  
Tel No.: \_\_\_\_\_

**B. 負責該合約的保養團隊**

**Maintenance Team serving the Contract**

1. 合約經理聯絡方法  
Contact of the Contract Manager  
姓名  
Name: \_\_\_\_\_  
職位  
Post: \_\_\_\_\_  
電話號碼  
Tel. No.: \_\_\_\_\_

2. 監工聯絡方法  
Contacts of the Work Supervisors

姓名	姓名
Name: _____	Name: _____
職位	職位
Post: _____	Post: _____
流動電話號碼	流動電話號碼
Mobile No.: _____	Mobile No.: _____

3. 團隊成員  
Team Members

i) 註冊工程師人數  
Registered Engineers: \_\_\_\_\_

ii) 註冊升降機工程人員人數  
No. of Registered Lift Workers: \_\_\_\_\_

iii) 註冊自動梯工程人員人數  
No. of Registered Escalator Workers: \_\_\_\_\_

iv) 一般技工人數  
No. of General Workers: \_\_\_\_\_

C. 由升降機或自動梯負責人持有並可提供予保養承辦商的資料

Documents kept by the Responsible Persons and Available to Maintenance Contractor

如在第二欄詳列的資料已由負責人持有，並可提供予保養承辦商使用及參考，請在第一欄中的適當方格內填上「√」號。

Please tick at the box in the first column if the Responsible Person is in possession of the information listed in the second column and makes available to the maintenance contractor for use and reference.

<input type="checkbox"/>	<p>1. 有關升降機或自動梯的操作及維修手冊數目(包括由過往保養承辦商提供的手冊) No. of Operation and Maintenance Manuals (including those manuals being handed over from previous maintenance contractor) in relation to the lifts/escalators being maintained: _____</p> <p>操作及維修手冊名稱 Title of the Operation and Maintenance Manuals:</p> <p>i) _____</p> <p>ii) _____</p> <p>iii) _____</p> <p>iv) _____</p>
<input type="checkbox"/>	<p>2. 有關升降機或自動梯的電源電路及安全電路的電力線路圖數目 (包括由過往保養承辦商提供的手冊) No. of Electric Schematic Diagrams of power and safety circuits (including those diagrams being handed over from previous maintenance contractor) in relation to the lifts/escalators being maintained: _____</p> <p>電源電路及安全電路的電力線路圖識別編號及名稱 Reference No. and name of the Electric Schematic Diagrams of power and safety circuits:</p> <p>i) _____</p> <p>ii) _____</p> <p>iii) _____</p> <p>iv) _____</p>
<input type="checkbox"/>	<p>3. 工作日誌合共__本，記錄由____年__月__日至____年__月__日期間的保養維修工作 ____ no. of Logbooks covering the period from ____ (dd) / ____ (mm) / ____ (yy) to ____ (dd) / ____ (mm) / ____ (yy) showing the record of previous maintenance activities</p>

D. 負責人要求承辦商提供的資料

Documents that Responsible Person Requests Maintenance Contractor to Provide

負責人應要求承辦商於接管作保養工後盡快提供下列資料。如雙方確認在第二欄詳列的資料已由負責人收妥，請在第一欄中的適當方格內填上「√」號。

The Responsible Person should request the maintenance contractor to provide the below-listed information at earliest possible time after the handover. Please tick at the box in the first column if both parties confirmed that the information in the second column had been handed over and received by the Responsible Person.

<input type="checkbox"/>	<p>1. 檢驗報告及故障或欠妥地方的清單<sup>(3), (4)</sup> Inspection checklist(s) and defect List(s) upon taking over for maintenance<sup>(3), (4)</sup></p>
<input type="checkbox"/>	<p>2. 根據《工程實務守則》5.4.5 項，就接管保養的每部升降機或自動梯的檢驗報告<sup>(5)</sup> (註：報告須於保養合約生效後兩星期內向機電工程署提交) Examination report(s) for each lift/escalator being taken over for maintenance under Clause 5.4.5 of the Works Code<sup>(5)</sup> (Note: The report(s) should be submitted to EMSD within two weeks after taking over for maintenance)</p>
<input type="checkbox"/>	<p>3. 升降機負載測試報告 (註：此項測試並非強制性要求，但建議在接管時進行以確認系統的完整性) Load tests report (Note: This test is not mandatory but is recommended to confirm the integrity of the system at the time of taking over)</p>
<input type="checkbox"/>	<p>4. 已提交機電工程署的保養工程動工通知書副本(表格 LE3) (註：根據《升降機及自動梯(一般)規例》第 3 條或第 18 條，承辦商須在其保養工程展開首日的 7 日前，以表格 LE3 通知機電工程署) Copy of notification (Form LE3) of commencement of maintenance works submitted to EMSD (Note: The contractor must, not later than 7 days before the first commencement date of the maintenance works, notify EMSD in Form LE3 in accordance with section 3/18 of the Lifts and Escalators (General) Regulation)</p>
<input type="checkbox"/>	<p>5. 保養時間表 Maintenance schedule</p>
<input type="checkbox"/>	<p>6. 供工程人員使用的升降機操作及維修指引/說明書 Maintenance instruction/handbook for workers</p>
<input type="checkbox"/>	<p>7. 工具及備用零件表 Tools and spare part list</p>
<input type="checkbox"/>	<p>8. 風險評估及工地安全計劃書 Risk assessments and site safety plans</p>

<input type="checkbox"/>	<p>9. 負責該升降機或自動梯維修保養員工的培訓記錄 Training records of the staff members who are going to take up the maintenance of the lifts/escalators under the contract</p>
<input type="checkbox"/>	<p>10. 培訓計劃 Training plans</p>
<input type="checkbox"/>	<p>11. 品質管理系統（例如 ISO9001 證書）(如適用) Quality Management System (e.g. ISO9001 certification) (if applicable)</p>
<input type="checkbox"/>	<p>12. 就該升降機或自動梯品牌及機種的保養及修理經驗的記錄 List of relevant maintenance and repair experience relevant to the particular brands and models of lift/escalator under the contract</p>
<input type="checkbox"/>	<p>13. 原廠製造商可以提供技術支援的證明文件（如適用） Documents showing the provision of technical support from lift/escalator manufacturer (if applicable)</p>
<input type="checkbox"/>	<p>14. 分包保養工作（例如：閉路電視系統的保養）(如適用) Subcontracting of maintenance (e.g. maintenance of CCTV) (if applicable) 已獲機電工程署批准的分包商數目(附上相關的書面許可) No. of subcontractor(s) approved by EMSD: _____(with approval letter) 分包保養範圍 Scope of sub-contracting: _____</p>
<input type="checkbox"/>	<p>15. 其他資料 Other information i) _____ ii) _____</p>

**負責人代表**

**Responsible Person represented by**

姓名

Name: \_\_\_\_\_

機構

Organization: \_\_\_\_\_

(例如物業管理公司、業主立案法團或業主代表等的名稱)

(e.g. name of property management company, incorporated owner, or representative of owners, etc.)

於該機構的職位

Post in the Organization: \_\_\_\_\_

簽署

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

日期

Date: \_\_\_\_\_

**接管保養工作的 \*註冊升降機/自動梯承辦商代表**

**Registered \*Lift/Escalator Contractor (Takeover) represented by**

姓名

Name: \_\_\_\_\_

於註冊承辦商的職位

Post in the Registered Company: \_\_\_\_\_

簽署

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

日期

Date: \_\_\_\_\_

**\*將不適用者刪去 \*Delete whichever is inapplicable**

## 第二部 (交出保養工作)

### Part II (Handover of maintenance)

下列資料應由交出保養工作的承辦商填寫。

The following information should be completed by the maintenance contractor who hands over the maintenance.

#### A. 保養承辦商的一般資料！

##### General Information of Maintenance Contractor

1. 公司名稱 Company Name
2. 辦事處地址 Office Address

#### B. 負責舊有合約的保養團隊

##### Maintenance Team serving the Old Contract

1. 合約經理聯絡方法 Contact of the Contract Manager			
姓名 Name:	_____		
職位 Post:	_____		
電話號碼 Tel. No.:	_____		
2. 監工聯絡方法 Contacts of the Work Supervisors			
姓名 Name:	_____	姓名 Name:	_____
職位 Post:	_____	職位 Post:	_____
流動電話號碼 Mobile No.:	_____	流動電話號碼 Mobile No.:	_____



C. 負責人須為移交保養工作而收集的資料

Documents Collected by Responsible Person for Handover of Maintenance Works

若保養承辦商於舊有合約期間未曾提供下列資料，負責人應要求承辦商於移交保養工作前提供相關資料。如雙方確認在第二欄詳列的資料已由負責人收妥，請在第一欄中的適當方格內填上「√」號。

If the maintenance contractor has not provided the below-listed documents to the Responsible Person during the contract period, the Responsible Person should request the Contractor to provide the relevant information before the handover. Please tick at the box in the first column if both parties confirmed that the information in the second column had been handed over and received by the Responsible Person.

<input type="checkbox"/>	<p>1. 有關升降機或自動梯的操作及維修手冊數目(如適用) No. of Operation and Maintenance Manuals in relation to the lifts/escalators previously maintained (if applicable): _____ 操作及維修手冊名稱 Title of the Operation and Maintenance Manuals:</p> <p>i) _____ ii) _____ iii) _____ iv) _____</p>
<input type="checkbox"/>	<p>2. 有關升降機或自動梯的電源電路及安全電路的電力線路圖數目 (如適用) No. of Electric Schematic Diagrams of power and safety circuits in relation to the lifts/escalators previously maintained (if applicable): _____ 電源電路及安全電路的電力線路圖識別編號及名稱: Reference No. and name of the Electric Schematic Diagrams of power and safety circuits:</p> <p>i) _____ ii) _____ iii) _____ iv) _____</p>
<input type="checkbox"/>	<p>3. 已提交機電工程署的不能或不願意繼續進行升降機保養工程通知書副本 (表格 LE10) (註：根據《升降機及自動梯(一般)規例》第 9 條或第 23 條，承辦商須在其停止保養工程的日期後的 14 日內，以表格 LE10 通知機電工程署) Copy of the notification (Form LE10) of termination of the maintenance submitted to EMSD (Note: The contractor must, within 14 days after the date on which the contractor ceases to undertake the maintenance works, notify EMSD in Form LE10 in accordance with section 9/23 of the Lifts and Escalators (General) Regulation)</p>

<input type="checkbox"/>	<p>4. 工作日志合共__本，記錄由____年__月__日至____年__月__日期間的保養維修工作 (如適用)        ____ no. of Logbooks covering the period from ____ (dd) / ____ (mm) / ____ (yy) to ____ (dd) / ____ (mm) / ____ (yy) showing the record of previous maintenance activities (if applicable)</p>
<input type="checkbox"/>	<p>5. 於保養期間由____年__月__日至____年__月__日，涉及有關升降機或自動梯的事故記錄 (如適用)        Incident records occurred during the maintenance period from ____ (dd) / ____ (mm) / ____ (yy) to ____ (dd) / ____ (mm) / ____ (yy) (if applicable)</p>
<input type="checkbox"/>	<p>6. 於保養期間由____年__月__日至____年__月__日，為有關升降機或自動梯進行主要更改的記錄 (如適用)        Records of major alteration of the lift(s)/escalator(s) during the maintenance period from ____ (dd) / ____ (mm) / ____ (yy) to ____ (dd) / ____ (mm) / ____ (yy) (if applicable)</p>
<input type="checkbox"/>	<p>7. 最近一次於____年__月__日進行的定期檢驗的檢驗報告 (如適用)        Examination report of the last periodic examination held on ____ (dd) / ____ (mm) / ____ (yy) (if applicable)</p>
<input type="checkbox"/>	<p>8. 最近一次於____年__月__日進行的升降機負載測試的報告 (如適用)        Report on last load test held on ____ (dd) / ____ (mm) / ____ (yy) (if applicable)</p>
<input type="checkbox"/>	<p>9. 保養時間表        Maintenance schedule</p>
<input type="checkbox"/>	<p>10. 工具及備用零件及已移交項目列表 (如適用)        Tools and spare parts and the list of items handed over (if applicable)</p>
<input type="checkbox"/>	<p>11. 分包保養工作 (例如: 閉路電視系統的保養) (如適用)        Subcontracting of maintenance (e.g. maintenance of CCTV) (if applicable)        已獲機電工程署批准的分包商數目(附上相關的書面許可)        No. of subcontractor(s) approved by EMSD: _____(with approval letter)        分包保養範圍        Scope of sub-contracting: _____</p>
<input type="checkbox"/>	<p>12. 其他資料        Other information        i) _____        ii) _____</p>

**負責人代表**

**Responsible Person represented by**

姓名

Name: \_\_\_\_\_

機構

Organization: \_\_\_\_\_

(例如物業管理公司、業主立案法團或業主代表等的名稱)

(e.g. name of property management company, incorporated owner, or representative of owners, etc.)

於該機構的職位

Post in the Organization: \_\_\_\_\_

簽署

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

日期

Date: \_\_\_\_\_

**交出保養工作的\*註冊升降機/自動梯承辦商**

**Registered \*Lift/Escalator Contractor (Handover) represented by**

姓名

Name: \_\_\_\_\_

於註冊承辦商的職位

Post in the Registered Company: \_\_\_\_\_

簽署

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

日期

Date: \_\_\_\_\_

**\*將不適用者刪去 \*Delete whichever is inapplicable**

### 注意事項：

- (1) 升降機或自動梯的負責人、交出及接管保養工作雙方的註冊承辦商，應各自保存一份已妥為填寫及簽署的核對表副本。核對表亦須妥善保存，並因應機電工程署的要求交出已作檢查。
- (2) 負責人應在移交保養工作前，盡早要求註冊承辦商填寫本核對表及提供有關資料。
- (3) 極力建議負責人須在移交保養工作時，預留足夠時間提前為每部有關升降機或自動梯安排徹底檢驗，以找出任何不正常的情況或欠妥的地方及未完成的保養工作。現任和新接管保養工作的承辦商均須出席檢驗。所有欠妥項目應當詳盡記錄在欠妥清單上，並明確地劃分清單上每個項目的負責承辦商。此外，負責人須確保現任和新接管保養工作的承辦商，已就欠妥清單上記錄的細節達成共識，有關各方亦應簽署確認該欠妥清單，以作記錄。
- (4) 有關各方應共同協商，以制訂檢驗範圍，檢驗亦不應該只局限於目視檢查，應徹底及全面，並足以找出，屬現任保養工作承辦商的保養合約下，需承擔責任的所有可能出現不正常的情況或欠妥的地方。另外，檢驗應該包括升降機或自動梯的所有部分。現行法例或實務守則均沒有限制接管保養工作的承辦商，在未正式接手時，進出升降機或自動梯的任何部分，以進行與移交保養工作所需的檢測。
- (5) 負責人應確保所有已確認為屬現任保養工作承辦商負責的欠妥項目，均已在按《工程實務守則》5.4.5項進行的正式接手後徹底檢驗前，妥善地完成復修。

### Note :

- (1) The Responsible Person, Contractor (Handover) and Contractor (Takeover) should each keep a copy of the completed and signed Checklist. The Checklist should be properly filed and made available for inspection by EMSD upon request.
- (2) Responsible Person should request the Contractors to complete the Checklist and provide the relevant information in sufficient advance before the handover.
- (3) The responsible person is strongly recommended arranging thorough examination for each of the lifts/escalators concerned in sufficient advance before the handover date with a view to identifying any defects, irregularities and outstanding maintenance work to be responsible by the existing contractor. The examination should be attended by both the incoming and existing contractors. All items identified should be comprehensively recorded in a defect list with a clear demarcation of liability in respect of each item specified. Responsible person should ensure that agreement is reached between the incoming and existing contractors on details recorded in the defect list. All parties concerned should duly sign on the finalized defect list.
- (4) The scope of the examination should be formulated and agreed among all parties concerned. It should not be limited to visual examination and be comprehensive enough to reveal all possible defects and irregularities that the existing contractor may be liable to under his contract. Inspection should cover also all parts of the lift/escalator. There is no restriction in the Ordinance and relevant codes of practice which forbidden the incoming contractor from getting access to any parts of the lift/escalator for carrying out tests and examination necessary for the transfer of maintenance responsibility before the handover date.
- (5) Responsible Person should ensure that all agreed defects and irregularities under the liability of the existing contractor have been satisfactorily rectified by them before the post-handover examination under Clause 5.4.5 of the Works Code is carried out by the incoming contractor.