



Colorado Department of Labor and Employment
Division of Oil and Public Safety – Conveyance Program
633 17th Street, Suite 500
Denver, CO 80202-3610

Phone: 303-319-5834
Fax: 303-318-8534
Email: david.hutchcraft@state.co.us
Web: ops.colorado.gov

LICENSED CONVEYANCE INSPECTORS AUDIT GUIDANCE

This document outlines basic procedures and guidelines that State of Colorado Conveyance Audit Inspectors will follow while conducting audit inspections on licensed conveyance inspectors. This document serves as a supplement to the Inspectors guidance document that can found at <https://ops.colorado.gov/Conveyance/Guidance>. The scope and purpose of audit inspections vary from inspection to inspection and although not intended to be all inclusive, the areas and components outlined in this document will be checked during audit inspections. These items should be considered high priority and failure to document deficiencies related to these items could result in enforcement action being taken. Please refer to the full Inspectors Guidance document for more detail regarding the Inspector enforcement process.

- ❖ **Maintenance Control Plan (MCP)** - Verification that there is one on site, which contains the required components and, is being utilized. The fire service/emergency communication test log is not considered up to date if the only entry is from your inspection. Please refer to Section 2-3-3 of the State Conveyance Regulations for a full list of MCP requirements. Service frequency rate should be being followed by contractor and checked.
- ❖ **Required testing documentation** – The most current and applicable test tags are affixed in the correct locations and properly filled out. The corresponding test documents are available in the MCP.
- ❖ **Electrical Protective Safety Devices** – Any electrical protective safety device that is required by the code in effect on the date of installation or alteration of the conveyance to include those that have been installed but not required.
- ❖ **Fire Fighters Emergency Operation** – Where applicable Phase I and Phase II fire service will be tested and verified operable.
- ❖ **Two-Way Emergency Communication** – The two way communication system will be tested to the requirements of the applicable code for that particular conveyance.
- ❖ **Emergency escape hatch** – These will be verified to meet the code at the time of installation or alteration. Size opening requirements, clear path, electrical safety devices etc.
- ❖ **Car Top Inspection Station** – Functions as required, and all safety functions are operable.
- ❖ **Door Restrictors** – Where required. Verification that they function properly, or the violation is noted if they have been removed and not replaced.
- ❖ **Door Closing Force** – Not to exceed 30 ft. pounds.
- ❖ **Escalator/Moving Walk Comb Plate teeth** – Checked to ensure there are no broken teeth that were missed. Adjacent or individual.

In addition all State of Colorado Licensed Conveyance Inspectors should be aware that as of January 1, 2021 the Division of Oil and Public Safety Conveyance Section (OPS) will no longer accept or process inspection reports that do not reference specific code violations. Only reports that cite the applicable code for the conveyance, State of Colorado conveyance regulations or, other code that applies (i.e. IBC, NFPA) will be accepted and processed for the issuance of the applicable Certificate of Operation. Inspectors and their office personnel that aid in preparing the inspection reports for submission to OPS should begin preparation immediately for this transition. Inspection reports that are received after December 31, 2020 that are identified as not citing violations with the applicable code reference will be sent back to the conveyance owner with a description of why the report cannot be processed and corrective action needing to be taken. Submission of an incorrectly completed inspection report will not delay enforcement processes for expired Certificates of Operation issued by OPS.



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Table 2: Violations Warranting TCO or Shutdown for Elevators

Deficiency Identified	TCO	RFS
Failure of witnessed Acceptance Tests for a new Installation or alteration.		X
Failure of components tested with full load (or via alternative testing) during a witnessed Category 5 test (see Section 2-3-2 of these regulations), such as, brakes, car and counterweight safeties, governor, buffer, or overspeed valve.		X
Required electrical protective safety device missing or inoperable (stop switch, door interlock, final terminal stop, car top exit device, etc.).		X
Any past due safety tests as listed in Table 2-3-2 of these regulations.	X	
Violations (other than those listed in this table) that are not mitigated prior to the next annual Periodic Inspection.	X	
Maintenance Control Program (MCP) is missing or is not complete.	X	
Failure of Category 1 (see Section 2-3-2 of these regulations) test items listed on the Administrator's test form except for the items listed in rows below which may warrant a TCO instead of a shutdown.		X
Governor rope nominal size is: <ul style="list-style-type: none"> • Less than 8mm and is undersized, the wire break criteria is not met, or there is evidence of rouging. • Greater than 8mm and is undersized or the wire break criteria is not met. 	X	
Wire suspension means are undersized or have breaks not meeting code requirements.	X	
Suspension means monitoring devices are missing or inoperable.	X	
Door restrictors are missing or inoperable for elevators: <ul style="list-style-type: none"> • Installed between January 1,1990 to present • Altered between January 1,1990 and present, where the Alteration required the installation of door restrictors (i.e., Alteration of hoistway openings or change in Type of Service) • Where there is evidence that door restrictors have been previously installed on the elevator 	X	
Top and/or bottom hoistway door retainers are missing. (NOTE: Required hoistway door bottom guides that are missing requires shutdown.)	X	
Door closing force exceeds 30 foot-pounds (lbf).	X	
Firefighters' emergency operation components are inoperable (not including signage).	X	
Two-way communication is missing or inoperable.	X	
Keys described in Section 2-3-1-1(3) of these regulations are not made available.	X	

Table3: Violations Warranting TCO or Shutdown for Escalators and Moving Walks

Deficiency Identified	TCO	RFS
Failure of witnessed Acceptance Test (new or altered).		X
Required electrical protective safety device missing or inoperable (stop switches, broken chain switch or floor access plate switch).		X
Any past due safety tests as listed in Table 2-3-2 of these regulations.	X	
Violations (other than those listed in this table) that are not mitigated prior to the next annual Periodic Inspection.	X	
MCP is missing or is not complete.	X	
Failure of Category 1 test items listed on the Administrator's test form except for the items listed in rows below which may warrant a TCO.		X
Comb plates with two or more adjacent broken teeth.		X
Comb plates with one broken tooth not adjacent to another broken tooth.	X	
Failure of a step-skirt indexing test.	X	