

University of Birmingham

## Estate Management Office

# Arrangements for the Statutory Inspection, Examination and/or Testing Equipment as Specified in University Policy

## INTRODUCTION

This document covers the arrangements to be followed in order to implement the requirements of University Policy UHSP/16/SIET/01 *Statutory Inspection, Examination and/or Testing of Specified Equipment*.

### Equipment specified includes:

- Pressure systems;
- Lifting equipment;
- Power presses stamping out cold metal;
- Local exhaust ventilation systems.

### Note:

Radiation monitors are included in the Policy but separate arrangements apply which the Health and Safety Unit manages.

### Definitions:

- **Equipment** refers to the specified equipment listed above.
- **Maintenance** refers to the Maintenance Function, Office of Estate Management.
- **Competent Person** is a person(s) appropriately trained and qualified to carry out the required inspections, examinations and/or testing.
- **Technical Library** refers to the area within the Maintenance building where hardcopies of all documentation associated with statutory testing is stored.

### The arrangements are split into the following stages:

1. Acquisition and putting equipment into service;
2. Routine inspection, examination and/or testing;
3. Arrangements for equipment that fails an inspection, examination, and/or testing or requires remedial work;
4. Action to be taken in the event of non-compliance;
5. Withdrawing equipment from service.

A number of important steps need to be complied with during each stage in order to meet the requirements of statutory legislation and University Policy.

A summary flowchart for each stage can be found in Appendix 1.

**All contact with Maintenance should be through the Estate Management Technical Assistants.**

**Steve Curtis 47375  
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# STAGE 1

## Acquisition and putting equipment into service

This includes equipment that is not only newly manufactured but is new to the University. It also includes leased, hired and borrowed equipment.

In order for the University and its insurers to be able to accept the equipment a number of tests need to be carried out and certified to ensure compliance with legislation. These tests are normally done during manufacture or commissioning. Relevant paperwork is supplied by the installer, supplier or manufacturer. It is the responsibility of the Budget Centre acquiring the equipment to obtain the relevant paperwork. If equipment is made 'in house' then the Budget Centre must carry out the required tests and provide the relevant paperwork. Maintenance can advise Budget Centres as to the relevant paperwork that needs to be obtained.

The Budget Centre must supply a copy of the relevant paperwork to Maintenance, who will hold it in the Technical Library. Maintenance will arrange for the details of the equipment and copies of the relevant certificates to be passed to the University insurers.

### 1.1 Design Assessments

In order to attain the correct certification, some equipment will need to undergo design assessment before they are constructed. This is normally only required for custom built equipment such as steam pipework, lifting frames and calorimeter bombs. If there is any uncertainty Maintenance should be contacted in the first instance, which will make initial inquiries to establish the correct procedure to be followed. Any expense incurred by Maintenance or the insurer will be the responsibility of the Budget Centre concerned. Where this is carried out by Maintenance the usual handling surcharge will apply. Where possible the design assessment should be carried out by the University insurer (who will ask to check any design assessment that they will have to subsequently insure). Maintenance will compile and maintain a list of approved companies who can carry out this preliminary assessment and testing.

### 1.2 Written Schemes of Examination

Pressure vessels that require a written scheme of examination need to have the scheme available in hard copy **before the equipment is brought into service.** Maintenance can arrange for the written scheme to be prepared where required and this is normally done by the Competent Person during the first inspection when new equipment is added to the register.

Budget Centres should note that this normally takes around 4 weeks. In order to speed up this process Maintenance will place an order with the Competent Person at the first inspection. However the cost of the written scheme is the responsibility of the Budget Centre and Maintenance will claim this back from the Budget Centre. When the written scheme has been received by Maintenance it will be copied into the Technical Library and the original passed on to the Budget Centre.

Budget Centres can obtain their own written schemes, but must send a copy to Maintenance to be held in the Technical Library. The University insurer may wish to approve the written scheme. **Only when the written scheme is completed and approved by the University insurer may the equipment be brought in to service.**

### **1.3 Bringing Equipment into Service**

Any equipment that is acquired without the relevant certification will have to undergo inspection, examination and/or testing as determined by the Competent Person, normally the inspector from the University insurer. **The equipment must not enter service until the Competent Person is satisfied that the equipment is safe.**

Once notified that equipment has been acquired Maintenance will ensure that the documentation is held in the Technical Library and copied to the University Insurer where appropriate. For equipment that does not require a written scheme, the equipment can be used when all the statutory paperwork is completed. However to ensure that the University Policy is complied with no equipment should be operated until it has been authorised by Maintenance.

In order that any equipment can be easily located for future reference it should be clearly marked with a University reference number and where appropriate an insurance number or tag. This will normally be carried out by Maintenance to ensure they are aware of the location and the distinguishing features of the equipment.

## **STAGE 2**

### **Routine inspection, examination and/or testing**

Once equipment has been placed on the register and database, its future inspection, examination and/or testing will be determined by the Competent Person in accordance with legislation. The database will prompt Maintenance as to when the next visit is due. The insurer also does this.

### **2.1 Arranging Inspections, Examinations and/or Tests**

Requests for access to equipment to carry out inspection, examination and/or testing will be issued to the Budget Centre some 30 to 60 days before for the due date. Consequently the new report/certificate will be received well before the due date. This allows some time for minor repairs to be made before equipment becomes overdue.

Maintenance will contact the Budget Centre that owns or has control of the equipment to arrange for the necessary preparation to be carried out. For equipment that needs no particular preparation the inspector may contact the Budget Centre directly (e.g. lifting equipment). It is the responsibility of the Budget Centre to ensure equipment that it controls is inspected, examined and/or tested. Where arrangements need to be made, an e-mail will be sent by Maintenance in the first instance to a designated representative in the Budget Centre. This will normally be either a Technical Superintendent or the Health & Safety Co-ordinator. If this is unsuccessful then a telephone call or a memo will be sent. The Head of Budget Centre must keep Maintenance informed of any changes of designated personnel.

Budget Centres can also make requests for visits via Maintenance should the Budget Centre feel it necessary for operational reasons (e.g. change of use), or if equipment appears to have been missed. Please contact the Technical Assistants in Maintenance.

Requests from Maintenance for access will usually suggest a date. The Budget Centre can reschedule this if it is not convenient, but must allow for all inspection, examination and/or testing (including any re-testing after repairs) to be completed before the equipment becomes overdue. Due to the nature of inspection, examination and/or testing and the number of items of equipment that need to be seen in a day it may not be possible to give an appointment time for the visit. Maintenance will try to give an approximate time for equipment that needs to be seen working but has a limited duty cycle (e.g. autoclaves). Budget Centres should be aware of this when arranging access for the Competent Person. Whilst Maintenance will endeavour to keep disruption to a minimum, reasonable time must be allowed for the Competent Person to arrive and complete the work.

It is the responsibility of the Budget Centre to make equipment available for inspection, examination and/or testing. If Maintenance are unable to make suitable arrangements the procedure outlined under Stage 4, *Action to be taken in the event of non-compliance* will be applied.

## **2.2 Preparatory Requirements**

Not only are Budget Centres responsible for making equipment available, but also for arranging any preparatory work. This work is defined by legislation, the written scheme where applicable, and any further requirements of the Competent Person. Although Maintenance may be able to assist with minor work, (such as the preparation of pressure cooker type autoclaves) they do not have the resources (or in some cases, the technical expertise) to carry out this work for Budget Centres. Maintenance will maintain a list of suitable specialist companies who may be used to carry out this work. Any work arranged by Maintenance using these companies will be subject to the usual oncosts.

When the Competent Person is inspecting, examining and/or testing the equipment it is recommended that someone is available from the Budget Centre, who is familiar with the equipment. This will enable the work to be carried out more quickly, and is particularly vital for working examinations of complex equipment where the associated safety devices are checked to prove they are functioning correctly.

Any failures will be reported to the Budget Centre as soon as they are known by Maintenance. This will be carried out in accordance with the procedure outlined in Stage 3, *Arrangements for equipment that fails an inspection, examination, and/or testing or requires remedial work*. The result of the inspection, examination and/or test can be obtained from the Competent Person at the time of the visit, or from the Maintenance Technical Assistants. When equipment has completed a test to the satisfaction of the Competent Person it can be returned to service.

## **2.3 Recording of Data and Reports**

The Competent Person issues reports and certificates to Maintenance, who will update the database and hold the originals in the Technical Library. A copy will be forwarded to the Budget Centre. Reports are normally issued to Maintenance within 10 working days and copies forwarded to Budget Centres within 5 working days. Budget Centres should keep their own records of tests and reports received. Where appropriate they should be kept in the logbook associated with the equipment (e.g. fume cupboards).

## **STAGE 3**

### **Arrangements for equipment that fails an inspection, examination, and/or testing or requires remedial work**

If equipment fails an inspection, examination and/or test the first concern is to minimise the risk to persons.

#### **3.1 Dangerous Equipment and Statutory Notices**

Where equipment is considered by the Competent Person to be a high risk, and likely to cause injury if operated, a statutory notice will be issued immediately and the Health and Safety Executive informed by the Competent Person. The statutory notice will be signed by an Area Maintenance Manager or above within Maintenance on behalf of the University. The Health and Safety Unit will be notified by Maintenance.

The priority under these circumstances is to make the equipment safe. The equipment will be shutdown as described in Stage 4.3 *Removal of equipment from service*. **This will be done regardless of who owns or is in control of the equipment or whatever disruption it may cause.**

#### **3.2 Required Repairs & Re-Inspection, Examination and/or Testing**

When a failure is notified to Maintenance by the Competent Person, the reasons, any mandatory repairs and/or recommended actions will be recorded in the Maintenance database. This information will be forwarded to the Budget Centre in control of the equipment. The Competent Person will either:

- prohibit the use of the equipment until repairs and/or recommended actions have been completed;
- or
- if there is no immediate risk allow the equipment to continue to be used subject to repairs and/or recommended actions being carried out within a specified time.

Maintenance must be advised when repairs and/or recommended actions have been completed. If at any time the equipment is not considered safe to the satisfaction of the Competent Person then the equipment will be shutdown as described in Section 4.3 *Removal of equipment from service*.

The Budget Centre may decide to decommission (or scrap) the equipment rather than to carry out repairs and/or recommended actions. In this case the procedure outlined in Section 5, *Withdrawing Equipment From Service* should be followed.

#### **3.3 Returning Equipment to Service**

Upon completion of the remedial work the equipment must not be returned to service until the Competent Person has given permission. Re-testing must be arranged with Maintenance. This re-test may be undertaken by Maintenance or a contractor acceptable to the Competent Person, provided it is witnessed and recorded to the satisfaction of the Competent Person. For some re-tests the Competent Person will carry out the test himself. **No equipment shall be returned to service until all re-tests have been completed to the satisfaction of the Competent Person.**

## **STAGE 4**

### **Action to be taken in the event of non-compliance**

In order to keep the University compliant with legislation it may be necessary to enforce inspection, examination and/or testing. Equipment may need to be removed from service while this is completed.

#### **4.1 Notices Issued**

If Maintenance are unable to complete inspection, examination and/or testing arrangements satisfactorily a *Final Request Notice* (see Appendix 2) will be sent to the Head of Budget Centre. This will contain details of the equipment concerned and the inspection, examination and/or testing required. This may be accompanied by a report from the insurer requiring the equipment to be made available. This will be recorded on the Maintenance database. Finally when the equipment becomes overdue the Competent Person will issue a report. This will be recorded on the database, and then issued to the Head of Budget Centre along with an *Overdue Notice* (see Appendix 2). **The equipment will be removed from service by Maintenance until the required inspection, examination and/or test has been completed**, as detailed in Stage 4.3. A copy of this letter will be forwarded to the Health and Safety Unit.

#### **4.2 Timing of Events**

The issue of these notices is connected to the statutory requirements for inspection, examination and/or testing. As indicated in Section 2.1 the initial request for access will be made well before the equipment would fall overdue. The *Final Request Notice* will be sent out approximately 10 to 15 days before the equipment becomes overdue. The *Overdue Notice* will be sent out and the subsequent making safe will occur once the equipment becomes overdue.

#### **4.3 Removal of Equipment from Service**

The object of this procedure is to ensure that unsafe or overdue equipment is not operated. This ensures the University remains within legal requirements and that the equipment poses no risk to health and safety.

Maintenance will carry out this duty when equipment:

- becomes overdue for inspection, examination and/or testing;
- is served a statutory notice prohibiting its use;
- is withdrawn from service;
- is considered unsafe for further use.

This will be actioned by:

- either locking off the electrical isolator;
- removing the supply fuses;
- valving off the main supply (steam, air, gas) and locking off;
- moving the equipment to a controlled access area;
- any combination of the above.

Once equipment is made safe it will have a notice (see Appendix 2 - *Unsafe Notice*) fixed to it stating it is not to be used.

## **STAGE 5**

### **Withdrawing equipment from service**

When the Budget Centre decides equipment under its control is no longer required, Maintenance must be informed in writing that the equipment is to be withdrawn.

#### **5.1 Options**

Equipment can be:

- passed on to another Budget Centre, in which case Maintenance will update the database;
- passed to a new owner outside the University. Maintenance will copy all relevant documentation for the new owner, and remove the equipment from the register;
- scrapped, which must be done in a permanent way. This is especially vital for equipment that has failed an inspection. This can be done by Maintenance if requested;
- made inoperable. This can be done by Maintenance if requested. This equipment is recorded on the Maintenance database as a "Not In Use Item".

#### **5.2 Not In Use Items**

When equipment is not in use, it must be disabled or isolated. Maintenance will then label the equipment as decommissioned (see Appendix 2, *Decommissioned Notice*). Where possible the equipment must be removed to a secure store. Access to the store will normally be controlled by a responsible person, e.g. the Health and Safety Co-ordinator or Technical Superintendent.

Following decommissioning Maintenance will update the database and Technical Library and where appropriate instruct the insurer to remove the equipment from the register. Equipment which is expected to be unused for only a short period (no more than 3 years) will be kept on the insurance register, and visually inspected every year. After 3 years the Budget Centre will be contacted so that the equipment can be deleted from the insurance register.

#### **5.3 Returning to Service**

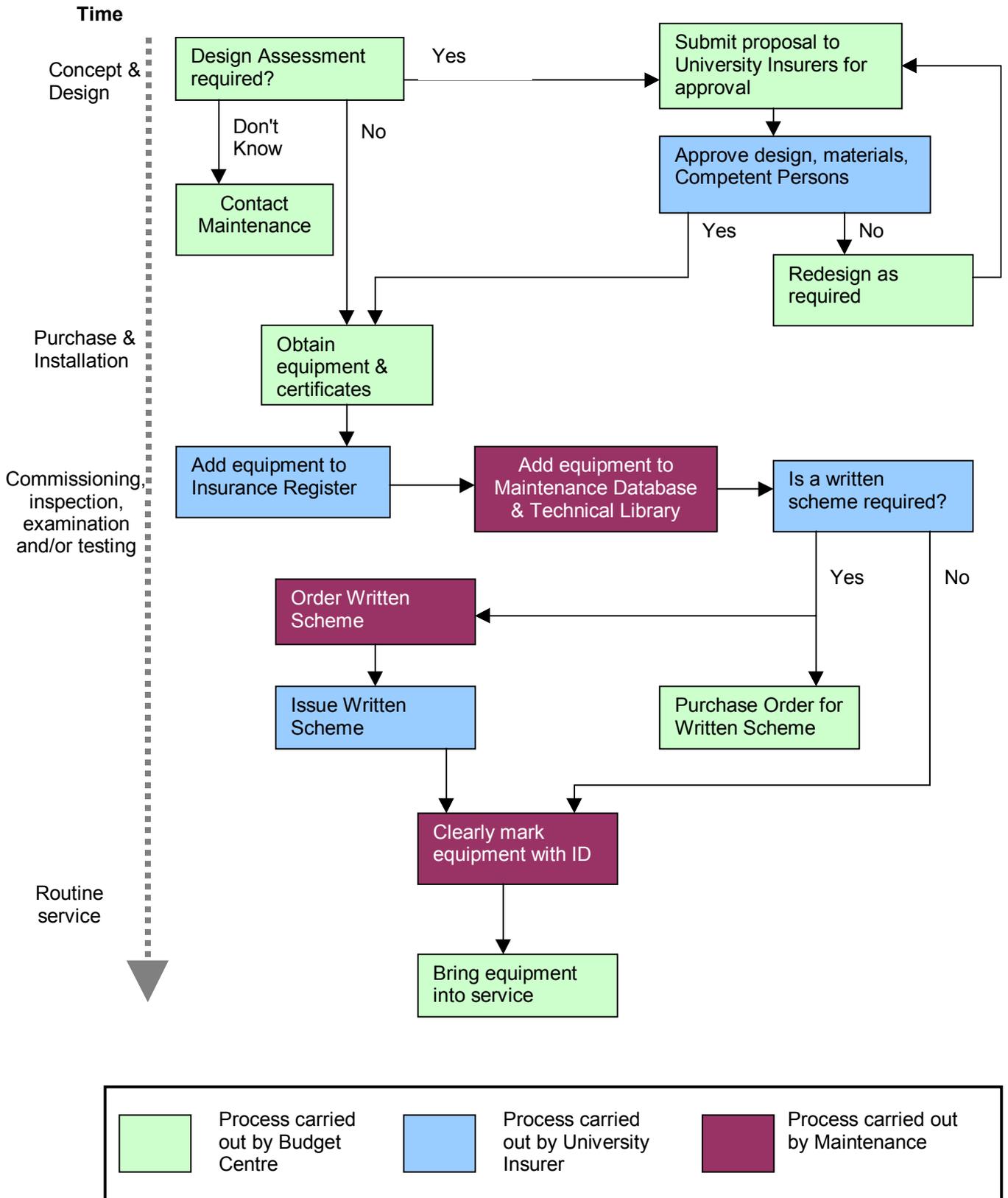
Any equipment that is to be returned to service must first be inspected, examined and/or tested as required by the Competent Person. This will usually mean at least a thorough inspection. Maintenance should be contacted and arrangements made. The procedures outlined in stage 1.3 and stage 2 will be applied. **No equipment shall be returned to service until all inspection, examination and/or testing has been completed to the satisfaction of the Competent Person.**

Budget Centres should be aware that any equipment that does not have all its original certification would need to be reassessed before the equipment can be returned to service. The cost of doing this is likely to be higher than buying equivalent new equipment.

# Appendix 1

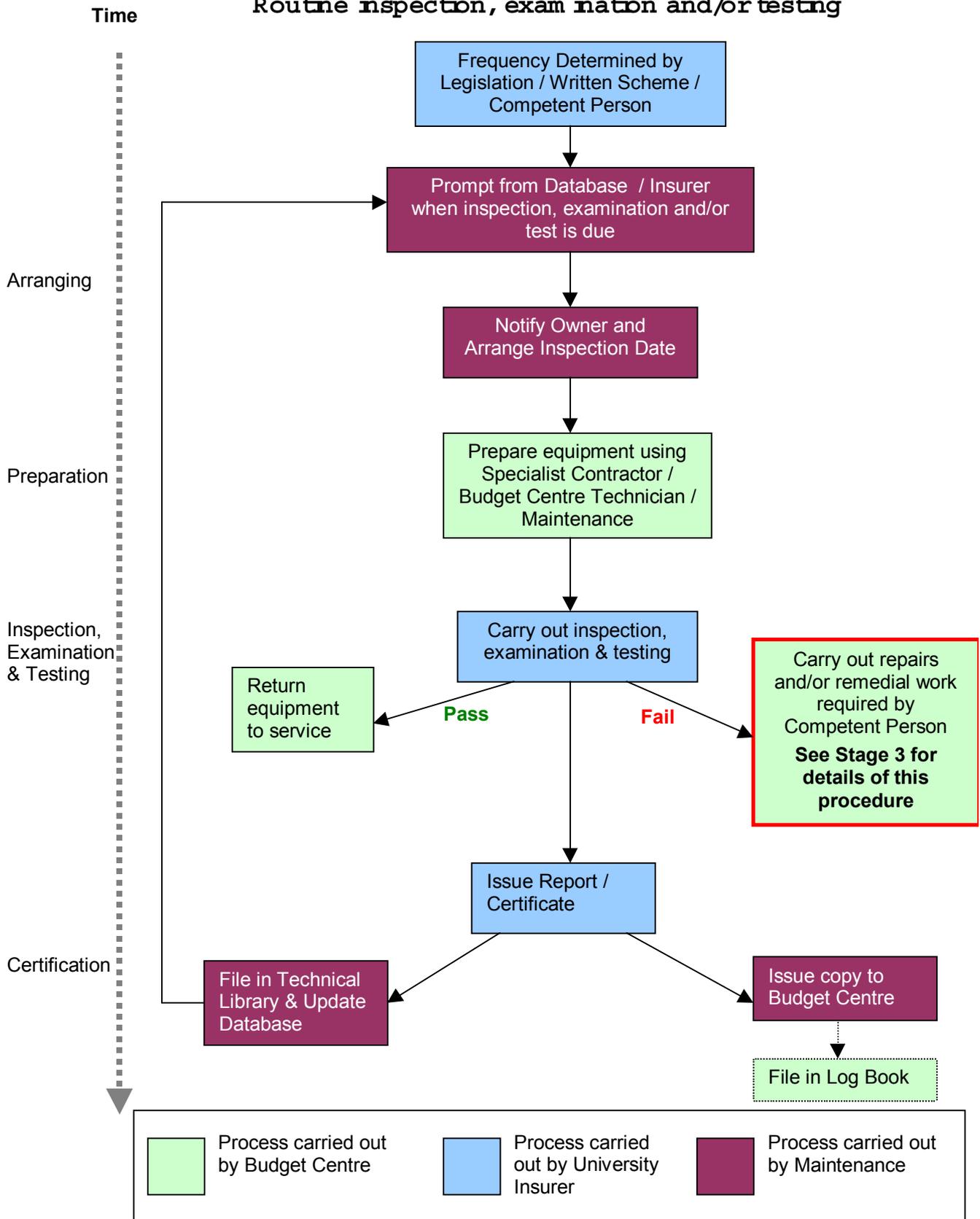
## STAGE 1

### Acquisition and putting equipment into service



# Appendix 1 STAGE 2

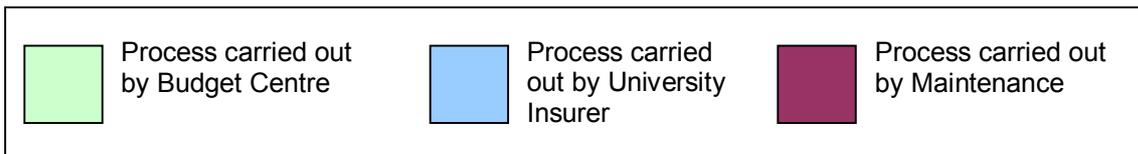
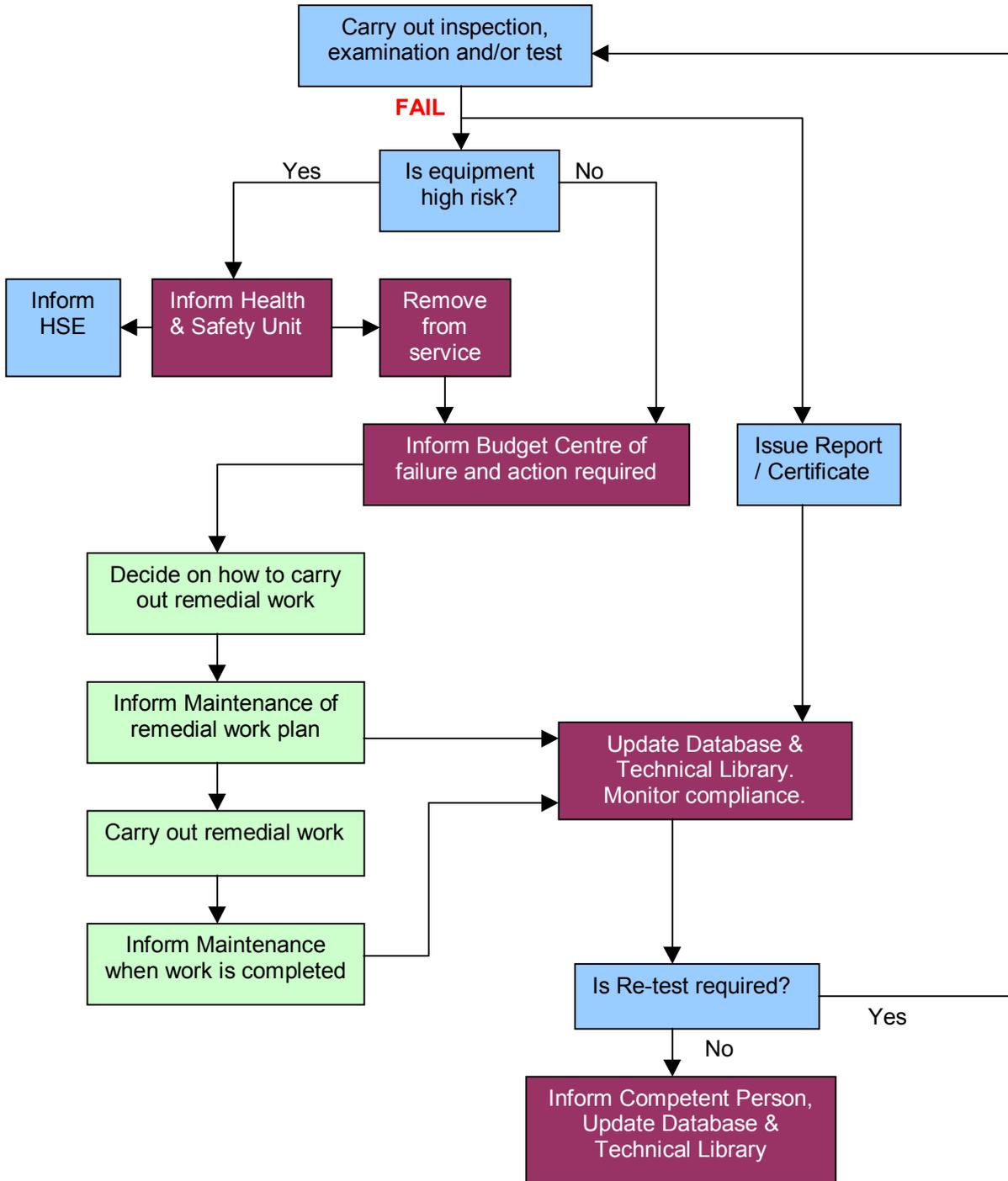
## Routine inspection, examination and/or testing



# Appendix 1

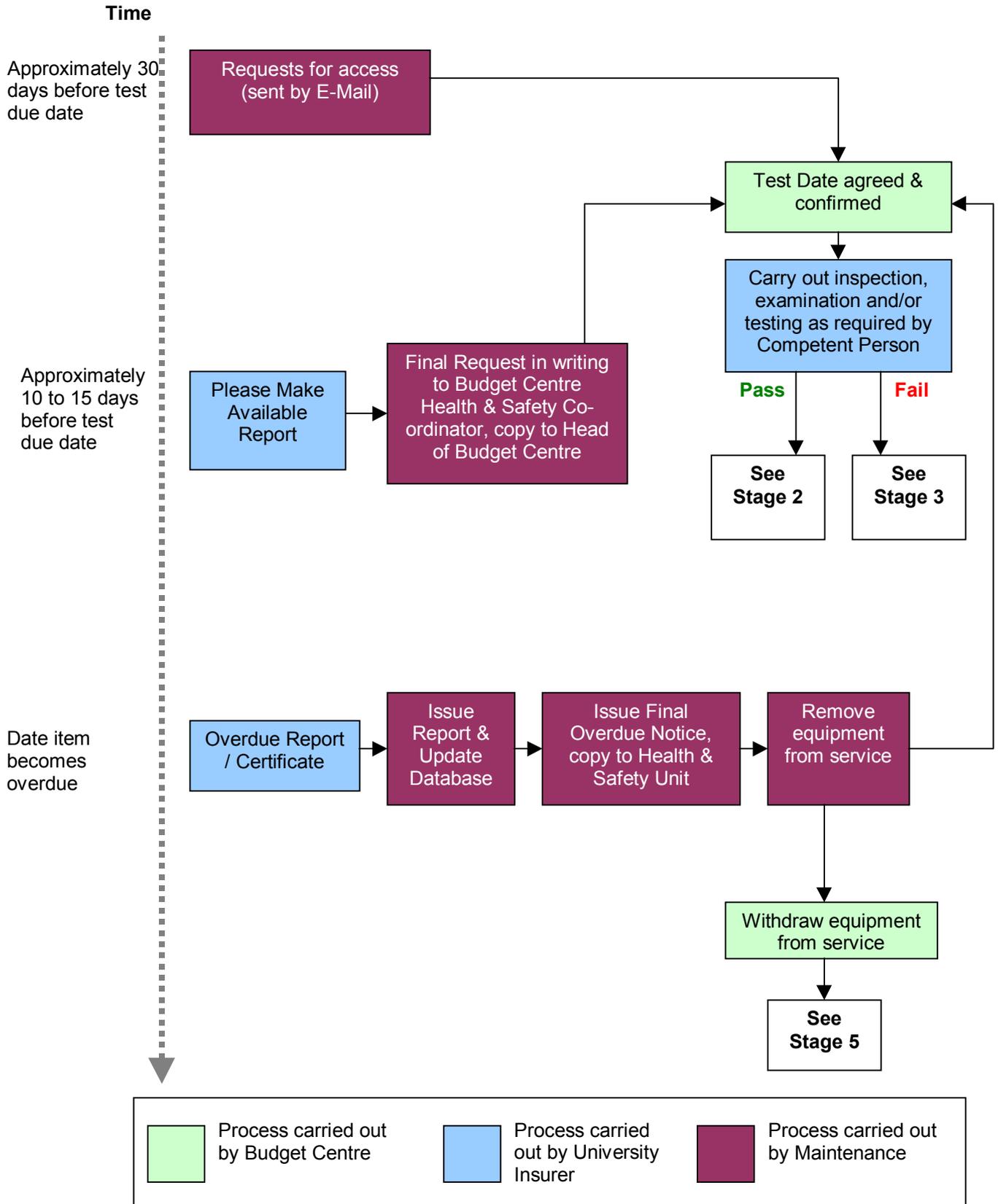
## STAGE 3

Arrangements for equipment that fails an inspection, examination, and/or testing or requires remedial work



# Appendix 1 STAGE 4

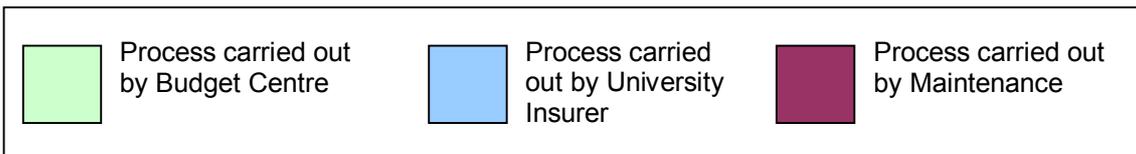
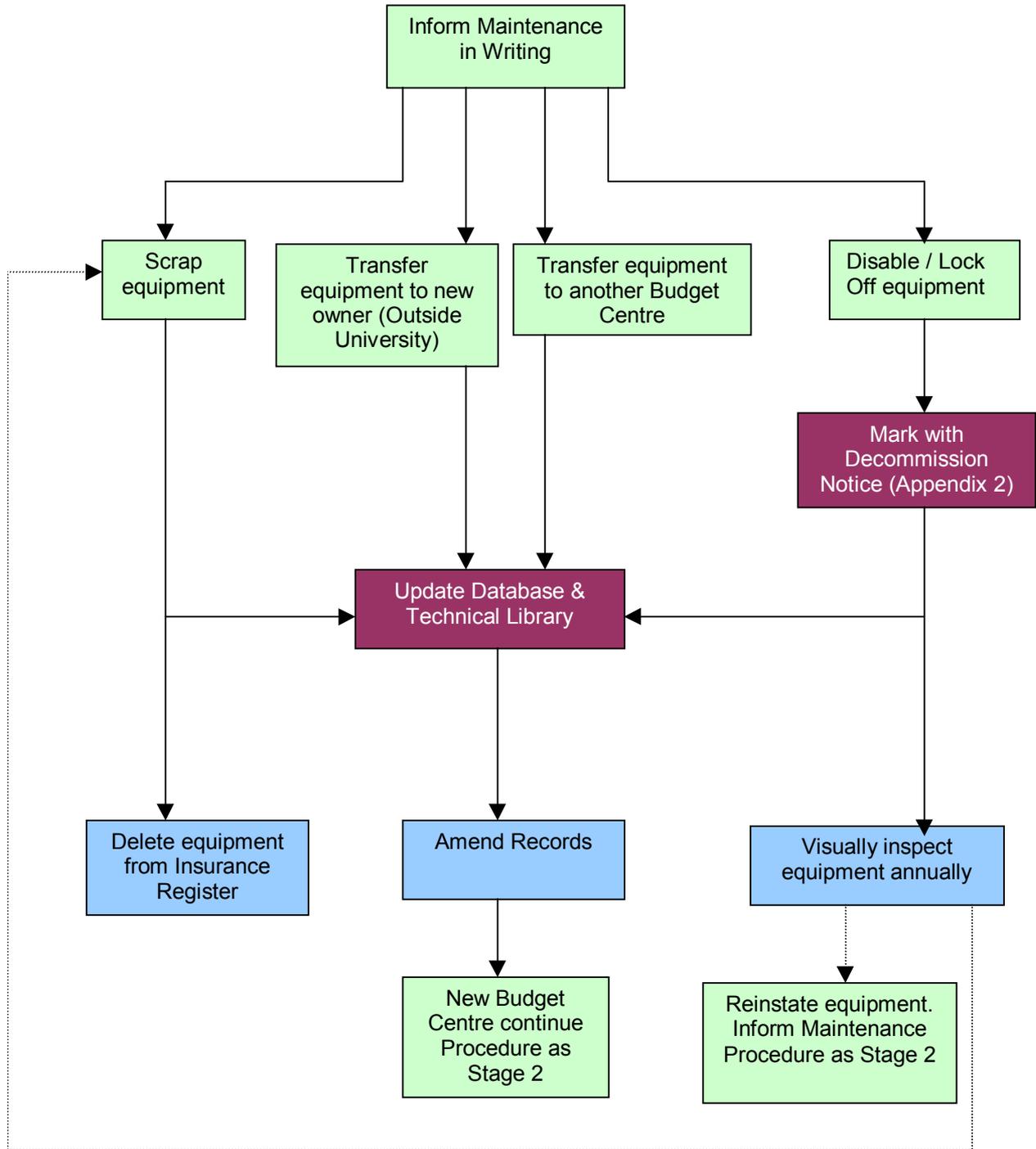
## Action to be taken in the event of non-compliance



# Appendix 1

## STAGE 5

### Withdrawing equipment from service





**THE UNIVERSITY  
OF BIRMINGHAM**

**ESTATE MANAGEMENT OFFICE**

**MAINTENANCE**

**Final Request for Statutory Inspection**

<p><b>From:</b></p> <p><b>Name</b></p> <p><b>Position</b></p> <p><b>Unit</b></p> <p>E-Mail</p> <p><b>Tel:</b>   xxxx</p>	<p><b>To:</b>   Name</p> <p>Head of Budget Centre</p> <p>Budget Centre</p> <p><b>Date:</b>   Date</p>
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We have tried to arrange the statutory inspection for the equipment listed below. Despite Requesting this from our contact in your Budget Centre for the last few weeks the necessary arrangements have still not been made. This notice is the last request we shall make for the equipment before they become overdue. The date the equipment becomes overdue is listed next to the equipment description. Please contact myself urgently to make the necessary arrangements.

May I remind you that once the equipment become overdue Maintenance will disable the equipment until all statutory testing is complete. This is done to ensure that the University complies with legislation.

Equipment Number	Bxxx
Description	e.g. Air Receiver
Building	Building Name
Location	Room number or name
Serial Number	12345/abc
Test Required	e.g. Thorough Examination
Expiry Date	01/01/2000

Equipment Number	Bxxx
Description	e.g. Autoclave
Building	Building Name
Location	Room number or name
Serial Number	6789-zyx
Test Required	e.g. Working Examination
Expiry Date	04/01/2000

## Appendix 2 - Overdue Notice



THE UNIVERSITY  
OF BIRMINGHAM

ESTATE MANAGEMENT OFFICE

MAINTENANCE

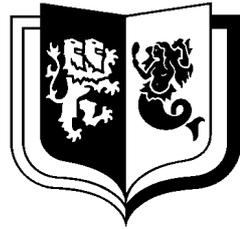
### Notice of Equipment Overdue for Statutory Inspection

<b>From:</b>	<b>Name</b>	<b>To:</b>	Name
	<b>Position</b>		Head of Budget Centre
	<b>Unit</b>		Budget Centre
	E-Mail		
<b>Tel:</b>	xxxx	<b>Date:</b>	Date

The statutory inspection for the equipment listed below has not been completed before the expiry date. As the equipment no longer complies with either the University Policy Document or legislation it will be made safe by Maintenance disabling the equipment at the earliest opportunity. No equipment can be used until statutory testing has been completed. Please contact myself urgently to make the necessary arrangements.

Equipment Number	Bxxx
Description	e.g. Air Receiver
Building	Building Name
Location	Room number or name
Serial Number	12345/abc
Test Required	e.g. Thorough Examination
Expiry Date	01/01/2000

Equipment Number	Bxxx
Description	e.g. Autoclave
Building	Building Name
Location	Room number or name
Serial Number	6789-zyx
Test Required	e.g. Working Examination
Expiry Date	04/01/2000



**THE UNIVERSITY  
OF BIRMINGHAM**

## **Estate Management Office**

**This equipment is unsafe.  
It must not be operated  
until authorised.**

**Contact  
Maintenance  
46406**



**THE UNIVERSITY  
OF BIRMINGHAM**

## **Estate Management Office**

**This equipment has been  
decommissioned. It  
requires a thorough  
insurance examination  
before being returned to  
service. Contact  
Maintenance  
46406**