

OFTEC information sheet and audit plan

Your OFTEC registration... the first steps



Your OFTEC regional inspector will soon carry out an audit of your business practices and evaluate your competency (and/or that of your registered technicians) via an on-site technical assessment. This information sheet is designed to be the audit plan and answer any questions that you may have and to help you prepare fully for your evaluation visit.

Why is my business being evaluated?

The application stage for your business's registration is complete and you now need to undergo an evaluation to be granted Competent Person Scheme (CPS) registration status. To complete your registration, we need to do a check on your business at your offices and then a technical on-site evaluation must then be completed on all scopes by an OFTEC inspector. This must take place within three months of your initial application. The inspection will ensure that your business operates in accordance with the requirements of our registration scheme rules, the mandatory technical competencies for CPS, regional building regulations and the Health and Safety at Work Act 1974. For more information, see [OFTEC's Rules of Registration R100](#).

How long will the audit and evaluation take?

It is advisable to allow at least half a day to meet your inspector. However, by being prepared and having a local site (or sites) available, you may reduce the duration of their visit.

What do I need to do before the inspector's visit?

The most important thing is to make arrangements for access to a site (or sites), so that your inspector can view recent examples of your work (or that of your registered technician(s)) covering all of the scopes of registration you have applied for.

For example:

- If you have applied to be registered to install liquid-fuel boilers or cookers or oil storage tanks, your inspector will need to see a recent installation that you have completed and self-certified under a special probationary period of registration.
- If you have applied to be registered to

service and commission only, please arrange access to an existing working installation to enable your inspector to evaluate your competency.

- If you have applied to be registered for solid fuel or renewable technologies, your inspector will need to see a recent installation completed by yourself. Simulated work is not acceptable for solid fuel or renewable registration and as probationary registration is not available for these technologies self-certification cannot be undertaken until inspected. In these instances, once inspected and any non-conformance cleared you can re-commission this one installation and self-certify it once your registration is granted.
- Other work completed before you are registered and not inspected by OFTEC will require local authority building control approval (in applicable regions).

What is involved in the auditing and evaluation process?

An evaluation will start at your business address and will take the following format:

- The opening meeting explains the format for the audit and evaluation, including likely timescales, paperwork requirements and the purpose of the visit to your chosen site(s).
- An audit of your office procedures, records and paperwork.
- Technical competency must then be evaluated and affirmed. This is done by practical demonstration during an on-site assessment as well as via questions.
- The closing meeting is an opportunity for your inspector to give feedback and recommendations. You will also be emailed a copy of your inspector's 'OFTEC R553 inspection report' for your records after the inspection.



The inspection checklist

The checklist below advises you of other items to have available for your inspector and is intended to help speed up the audit and evaluation process

Checklist

- A copy of your business's current [public liability insurance](#) certificate and policy schedule (min cover £2m or €2.6m). If design work is undertaken, then we recommend you hold professional indemnity insurance too.
- Test equipment appropriate to your work and evidence of current calibration if required (e.g. flue gas analyser).
- A copy of your business's health and safety policy if required under the Health and Safety at Work Act 1974, example available [here](#).
- A log of any work related complaints received by your business and how they have been resolved, example available [here](#).
- Evidence of continued professional development (e.g. certificates of recent training courses, seminars or manufacturer courses/events attended).
- Documentation and records that you use.
- Evidence of heat loss calculations and design specifications.
- The full postal address, contact name and telephone number for the site(s) to be inspected.
- Evidence of upper-tier waste carriers' licence (if applicable).

What happens if the inspector finds something to be unsatisfactory?

If your inspector finds that your business procedures, documentation or on-site technical competence does not meet the requirements of our registration scheme (what we term a non-conformity) we will require you to carry out corrective action or remedial work.

You will receive by email an 'OFTEC R534 non-conformity advisory notice' and you then have 28-days in which to rectify the non-conformity to OFTEC's satisfaction. Your registration will not be complete, and your registration certificates and identity cards will not be issued until any corrective actions that OFTEC requests have been completed and closed.

What happens if I disagree with the inspector's findings?

OFTEC's Rules of Registration R100 provides a route for appeal. Your appeal must be made in writing within 28 days of the inspector's findings.

What happens if the evaluation cannot be completed?

If, during the visit, your inspector is unable to view recent sample(s) of work that covers all of the scopes of registration, a further visit will need to be arranged and this may be chargeable or OFTEC will offer a limited scope of registration. The issuing of registration certificates and identity cards may also be delayed. To minimise costs, including your time, it is best to have the site(s) where your technical competency can be evaluated available during a single inspection visit. Alternately, we may be able to offer a reduced scope of registration.

What happens if I postpone the appointment?

If an appointment has been confirmed and is subsequently postponed, an administration charge may apply.

What happens if I refuse or cancel an appointment?

Refusal to undertake or the cancellation of an evaluation will result in the suspension and possible cancellation of your OFTEC registration application.