MCS Redeveloped Scheme Assessment

Guidance Document and Checklist

MCS

Contents

NAPIT
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Introduction

MCS is the UK's quality mark for small-scale renewable energy technologies like solar PV, solar heating, heat pumps, biomass, and battery storage.

This guidance document has been developed by NAPIT to support businesses preparing for initial certification or surveillance assessments under the redeveloped scheme.

The information enclosed combines the latest MCS redevelopment assessment guidance with a practical MCS pre-assessment checklist, presenting a structured, operating scenario-based approach for you to ensure readiness and compliance. We encourage all applicants and members to utilise this document to assist preparations for your assessment.

- Whether you're a sole trader or a multi-regional organisation, this document provides guidance on:

- How your business size and complexity determines what level of processes and controls you need in place (operating scenario A-D in Appendix A of Installer Operating Requirements)

- What minimum information may be required prior to and during your assessments

- What happens on the day of assessment and who needs to be available

- What actions and processes are required after the assessment

Your assessment will be conducted against the MCS Assessment Criteria for each technology, which integrate both service delivery and technical compliance checks as per the "You and your Certification Body" section of the Installer Operating Requirements, using the Pre-sale Information and System Performance Estimate Standards and MCS Installation Standards to verify your compliance with the scheme standards.

Summary MCS Roadmap to Certification

To become MCS certified, the following steps will need to be completed:

- ✓ Submit a completed application to NAPIT, inclusive of the evidence of valid qualifications recognised by MCS or personnel certification (in accordance with ISO/IEC 17024) and in-date insurances

- ✓ MCS Scheme checks, which include those listed within clause 4.1 of the Installer Operating Requirements

- ✓ NAPIT assessment of process and controls and scope specific site installation(s)

- ✓ If non-conformities are identified following an assessment, an installer must provide root cause analysis, corrective and preventive actions for each non-conformity identified

- ✓ Certification recommended and a Certificate of Conformity issued by NAPIT

- ✓ Final review by MCS

- ✓ Acceptance and signing of the MCS Installer Agreement by you and MCS

Once these steps are complete, an installer will be permitted to operate as MCS certified.

What scheme documents and standards do installers have to meet

MCS provide a comprehensive Standards and Tools Library where all MCS standards, guidance documents, tools, and templates that you'll need to carry out compliant, high-quality low-carbon installations.

MCS approve and monitor compliance with:

- MCS Installer Operating Requirements; the framework for how you'll gain and maintain MCS certification

- MCS Customer Commitment, which outlines your responsibilities to protect and safeguard consumers and adhere to consumer protection laws

NAPIT assess and monitor compliance with:

- MCS Pre-sale Information and System Performance Estimate Standards: new technical standards that outline how to carry out system performance estimates and the pre-sale information that must be provided before a contract is awarded to the customer

- MCS Installation Standards: technical requirements that have been restructured and streamlined to be clear "technical truths"

- NAPIT Installer Scheme Rules: Requirements and provisions that certified installers must follow to gain and maintain certification with NAPIT, ensuring their work complies with relevant standards, Building Regulations, and scheme-specific technical requirements

NAPIT will conduct the compliance assessments in accordance with the Conformity Assessment Guidelines, ensuring that installers are delivering quality installations.

Further guidance regarding the relationship between you and NAPIT can also be found in section 3 of the MCS Installer Operating Requirements.

Responsibilities of the Technical Supervisor

A Technical Supervisor is the individual who for a specific installation takes overall responsibility for the safety, technical standard and quality of the work on behalf of the MCS certified Installer.

- The Technical Supervisor shall hold an in-date MCS approved qualification or personnel certification (in accordance with ISO/IEC 17024)

- NAPIT offers a wide variety of Renewable Training to support this requirement, which can be found here

- Members will be expected to appoint a suitable number of Technical Supervisors appropriate to the size and complexity of their MCS activities. Further guidance can be found in MCS Guidance for the Supervision of Installation Work

- When registering an installation on the MCS Installation Database (MID), the full name of the Technical Supervisor must be assigned. They will take full responsibility for the compliance of the installation

What the assessment involves

Both the checks on processes and controls and site assessment(s) rely on the collection of evidence to demonstrate competence and compliance with the scheme requirements.

Please ensure that evidence is readily available on your assessment day and that the Main Contact and Technical Supervisor(s) responsible for the installation(s) are available throughout.

You can ascertain which scenario (A-D) your company falls under by reviewing the criteria within Appendix A of the Installer Operating Requirements.

1. **Service Delivery Checks:**
   The NAPIT assessor will audit your processes and controls against the scenario requirements (A-D), applicable to the size and complexity of your company's related activities. The applicable operating scenario will be determined by NAPIT using the information supplied within your application or annual return

2. **Site Assessment::**
   The assessor will require evidence to confirm your capability and capacity to deliver an installation, in compliance with the relevant Pre-sale Information and System Performance Estimate Standards and MCS Installation Standard(s)

Ensure you can access copies of the relevant standard(s), you understand them fully and that your installation(s) are carried out in full compliance with them.

What happens after the assessment

The assessor will complete the assessment reports and submit the findings to NAPIT Scheme Administration for processing.

If there are no non-conformities identified:

For initial assessments:
The reports will be passed for a certification decision. If certification is recommended, NAPIT will raise a Certificate of Conformity, inform the business and MCS, which will prompt MCS to conduct their final scheme checks

For surveillance assessments:
Our Schemes Administration Team will contact the business to confirm the completion of a successful assessment and issue your ongoing certification

If non-conformities are identified:

For both initial and surveillance assessments, these will be communicated to you. Depending on the severity of the non-compliance, you will be advised of the permitted time-scales to provide a response and confirm the outcome of your root cause analysis, and the corrective and preventative actions you have implemented.

For more information surrounding what is needed for root cause analysis, corrective and preventive actions, please refer to clause 3.16 of the Installer Operating Requirements.

Once the non-conformities have been evidenced as addressed, the approval and certification process will be completed.

MCS Installer Pre-Assessment Checklist

This checklist is designed to support your preparation ahead of assessment. It is, however, guidance only and not exhaustive.

To ensure full compliance, installers must read, understand, and implement all relevant scheme requirements. These include, where applicable, the MCS Installer Operating Requirements, Conformity Assessment Guidelines, relevant MCS Installation Standards (MIS), Pre-sale Information and System Performance Estimate Standards, as well as all necessary statutory obligations.

Please note that NAPIT may request additional evidence where appropriate. Keeping your procedures, records, and competencies current, accurate, and complete will help you get the most from your assessment and demonstrate your commitment to quality installations and scheme compliance.

For more detail of the requirements for the delivery of quality service please see Appendix A of the ***Installer Operating Requirements.***

Use the tick boxes below to track your progress in the preparation for your assessment.

The following pages provide easy to follow check-lists for each of the scenario based requirements that businesses must meet

Sole Traders operating in a single region without subcontractors

Requirement	Guidance
☐ Main Contact available throughout the audit	This is the individual within the business that handles scheme related queries and was identified in the application or membership as being the main point of contact
☐ In-date MCS recognised qualifications for the Technical Supervisor	Certificates aligned to MCS approved qualifications
☐ Access to the latest standards and guidance documents:	Digital or physical access to: • MCS Scheme Documents, including Installer Operating Requirements, Customer Commitment, Conformity Assessment Guidelines • Relevant Pre-sale Information & System Performance Estimate Standards and MCS Installation Standards (MIS) • Approved Documents A, B, G, J, L and/or P of Building Regs • IET Code of Practice (for EESS/PV)* • BS 7671 Wiring Regulations* • WRAS Water Regulations Guide (Heating scope only) *These can be purchased from NAPIT www.napit.org.uk/napit-shop/publications/industry-publications
☐ Complaint records are maintained with analysis and improvement actions documented	Paper or electronic based complaints log (details, dates, root cause, actions, outcome, prevention) and show how you learn from wider customer feedback. The full details required can be located under Scenario A, in Appendix A of Installer Operating Requirements. *Installers may choose to utilise the MCS Principles for Good Complaint Handling guidance available on the MCS website*
☐ All installation documentation securely stored and retained for a minimum of 6 years	Evidence of GDPR-compliant, backed-up filing system (electronic or physical)
☐ For existing members, records of Building Notifications and MCS Certificates for all installs in the last 12 months	Demonstrated access to MID, NAPIT online notification system or other register
☐ Records of all quotations and installations	Show alignment with installer capacity and scope of certification

Scenario B

Business with up to 49 Employees operating in a single region without subcontractors

Requirement	Guidance
☐ All requirements from scenario A	See above
☐ In-date MCS recognised qualifications for all employed Technical Supervisors	Log of all Technical Supervisor qualifications register (name, start date, qualifications, issue/expiry dates) with an expiry reminder mechanism
☐ Version-controlled installation delivery checklists, manuals and work instructions	Printed or digital with version history demonstrating compliance with applicable standards
☐ Process in place to ensure effective supervision where the Technical Supervisor is not present on-site for the installation	Documented evidence of processes and/or controls to undertake quality checks on the installation performed. *See the MCS Guidance for Supervision of Installation Work*
☐ Complaint handling process, including customer feedback/improvements and internal communication mechanism	Personnel guidance/training material and records, paper or electronic complaints log, a process that ensures the right people in the Installer's organisation are involved in managing and resolving complaints, and that there is a process of sharing and communicating the learning from complaints and customer feedback and share further instructions more generally with staff
☐ Record management access/training for all relevant persons involved in the delivery of the installation and management of the customer	Personnel access logs and training records

Scenario C

Business with equal to or more than 50 employees, but less than 250 employees OR business with less than 50 employees either utilising subcontractors or operating in multiple geographical regions

Requirement	Guidance
☐ All requirements from scenario A and B	See above
☐ In-date MCS recognised qualifications for all sub-contracted Technical Supervisors	Log of all sub-contracted Technical Supervisor qualifications register (name, employment start date, qualifications, issue/expiry dates) with an expiry reminder mechanism
☐ Complaint management and feedback process, including subcontractor analysis	Complaint records should distinguish the involvement of subcontractors to determine whether their delivery has given rise to a complaint or customer feedback
☐ Quality control process for multiple teams/regions and subcontractors when the Technical Supervisor is not directly involved with the installation on-site	Documented evidence of processes and/or controls to undertake quality checks on the installation performed. *See the MCS Guidance for Supervision of Installation Work*
☐ Enhanced record management access/training for all relevant persons, including subcontractors involved in the delivery of the installation and management of the customer	Personnel access logs and training records

Scenario D

Business with 250+ Employees OR Subcontractors AND operate in multiple regions

Requirement	Guidance
☐ All requirements from scenario A to C	See above
☐ Full Tech Supervisor register including records of qualifications, and contracts	Evidence clearly identifying those that are subcontracted, with copies of qualifications and contractual arrangements stored and readily accessible
☐ Subcontractor contract clauses requiring currency of qualifications and authority to correct work	Reviewable agreements including necessary clause requirements
☐ Version-controlled and maintained organisation-wide controls such as procedures, checklists, work instructions and/or manuals	Evidence of procedures aligned and kept up to date to MIS & MCS requirements
☐ Internal audits, monitoring, and continual improvement of quality processes	Audit records, meeting notes
☐ Supervision process based on operative competence and installation risk (per MCS Supervision Guidance)	Document supervision matrix or decision logic based on the competence, resource and region of operations
☐ Complaint/feedback procedures covering intake, investigation, resolution, learning & personnel communication of improvements	Complaints procedure and documented examples. Ensuring differentiation of subcontractor involvement in complaint records and feedback. Implementation of a customer feedback procedure, the results from which should inform improvements to the Installer's processes and controls
☐ Enhanced personnel access and training on record management	Records of user access to the record management system and has received adequate training/associated instructions on how to maintain the integrity of the records

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On-Site Installation Assessment

Requirement	Guidance
☐ The Technical Supervisor assigned to the installation(s) being assessed, to be available throughout the assessment	This must be the Technical Supervisor(s) responsible for the installation under assessment
☐ Installation selected demonstrates technical competence and is completed in line with relevant Presale Information standard, MIS standard and other applicable standards/ regulations	Fully completed and commissioned installation to verify technical competence, inclusive of a full installation file
☐ Suitable and sufficient risk assessments have been conducted prior to any work commencing	Completed risk assessment records pre- installation
☐ DNO application and notification where applicable	Confirmation of the completed procedures published by the Energy Networks Association, EREC G98 or EREC G99
☐ Installer ready to answer scope-related questions on standards, regulations, and principles	Knowledge of applicable standards and regulations, fundamental principles and the relevant building regulations
☐ Internet access available for NAPIT assessor online reporting	This is preferred but not required