



Baltic Electric

TITLE

DOCUMENTED PROCEDURE MANUAL

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This Manual has been issued to:

Alan Baltic

MCS Registration Number: TBC

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DOCUMENTED PROCEDURE MANUAL

ACKNOWLEDGMENT

The MCS 001 working group would like to give thanks to NAPIT Registration Ltd for supplying the template for the documented procedure manual and all associated documents.

1. INTRODUCTION

- 1.1 This Manual has been written to provide a basic management system for the Installer named on the front cover, whose scope of work covered by the Manual is indicated in Appendix A.
- 1.2 The main body of the Manual is under the control of MCS and cannot be amended by the Installer. The Installer implements the provisions in this Manual as described and enters information and details in the Appendices and associated Spreadsheets, as well as retaining the records required.
- 1.3 The scope of the Manual covers the procedures required by the Microgeneration Certification Scheme but is not specifically limited to microgeneration installation work. Holding, and working to this Manual does not represent any guarantee of certification by MCS, nor will it represent any advantage over any other documented procedure or management system that could be used.
- 1.4 MCS accepts no liability for the way in which this Manual is used or any situations arising from its use.
- 1.5 If the Installer uses this Manual but follows a different approach for any aspect covered by the Manual, this is identified in Appendix D. Where there are documented systems that exceed the scope of this Manual or provide greater detail, this is also indicated in Appendix D.
- 1.6 Appendix A lists the Installer's contact details.
- 1.7 The Manual identifies a number of instances where it is required that records are retained. Record locations (electronic files and hard copy storage) are detailed in Appendix C.
- 1.8 The Manual makes reference to spreadsheets which are provided with the Manual for use in the form of Microsoft Excel spreadsheets. Users without Microsoft Excel should contact MCS for alternative versions of the sheets.

NOTE: This version of the Manual is based on an installer business where a single individual is responsible for all the activities covered (e.g. a sole trader, or similar organisation with one primarily active individual). There is a separate version for other companies where responsibilities for work covered by the Manual are shared between employees.

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2. DEFINITIONS

Certification Body	A body that undertakes the assessment of microgeneration installers in accordance with the requirements of this scheme and is accredited to do so in accordance with BS EN ISO/IEC 17065 by UKAS or an equivalent (i.e. a member of the International Accreditation Forum (IAF) Multilateral Recognition Arrangement (MLA)).
Competent Persons Scheme (CPS)	Government approved schemes allowing the self-certification of specified installations under the Building Regulations including both building services and building fabric work as identified in the Regulations.
Consumer Protection Scheme	Schemes such as the Renewable Energy Consumer Code (or equivalent) to which the Installer belongs for providing consumer protection.
Installer	The enterprise implementing and complying with the provisions in this Manual. The Installer is also the individual identified in Appendix A as responsible for all activities covered by this Manual. As such the term "installer" meets the definitions of both "company" and "scheme nominee" referenced in the Microgeneration Certification Scheme.
Microgeneration Certification Scheme (MCS)	MCS is a standards organisation; creating and maintaining standards that allows for the certification of products, installers and their installations. Associated with these standards is the certification scheme, run on behalf of MCS by Certification Bodies who hold UKAS accreditation to ISO 17065. MCS certifies low-carbon products and installations used to produce electricity and heat from renewable sources.
Scheme	In the context of this Manual, either the Microgeneration Certification Scheme, Competent Persons Scheme or Green Deal Installer Scheme for which the Installer is using this Manual

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3. RESPONSIBILITY FOR QUALITY

- 3.1 The Installer is named in Appendix A and is responsible for all activities which fall within the scope of work identified in Appendix A as being covered by this Manual, and is responsible for quality issues described below.
- 3.2 The Installer conducts a regular review of all documented procedures and their effectiveness, considering any issues arising. The review takes place at least quarterly and the findings and actions are recorded. Copies of the findings are retained in the location(s) identified in Appendix C.

The review considers:

- a) Actions arising from assessments, surveillance or inspections carried out by the Certification Body
- b) Feedback from members of staff, customers, suppliers or other parties
- c) Complaints received, under investigation or resolved
- d) Any problems with products
- e) Currency of documents produced or held
- f) Performance of Company staff
- g) Performance of suppliers and/or subcontractors
- h) Health and safety incidents
- i) Changes that could affect compliance (e.g. standards, regulations, company documents/structure/activities)
- j) Any corrective or preventive actions identified as a result of the items above (or elsewhere) and how to implement these effectively
- k) Any action plans currently active

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4. DOCUMENT AND DATA CONTROL

- 4.1 The amendment history of this Manual is given in Annex 1.
- 4.2 A master list of controlled documents is held in the Document Control Spreadsheet [Document and Data Control.xls].
- 4.3 For controlled documents held by the Installer from external sources the spreadsheet identifies the issue level of the document currently held, where the document can be obtained and the source of information that will be used to identify if any changes are made to the document. The Installer will respond to information received from the Certification Body, general industry information or other external sources that indicate that changes may have taken place and will acquire replacement editions as soon as practicable. In any case, the currency of the documents held is confirmed at least annually.
- 4.4 For key documents not held by the Installer, but accessed for information at an external source (such as a web site), such documents are listed on the spreadsheet together with the means of accessing them.
- 4.5 For controlled documents produced by the Installer the spreadsheet identifies the document's unique identity (by title, document number or filename), the issue date, any amendment history and the folder in which the electronic master copy is held. Documents are reviewed on amendment and, when not amended, are checked via the review described in 3.2.
- 4.6 For data generated by the Installer the spreadsheet identifies the location(s) in which it is stored (electronically or in printed form).
- 4.7 Software used to generate data (including calculating performance) is identified in the spreadsheet which indicates the version being used and the means for accessing it. For software that is considered to be "current when used" (such as when accessing live internet based systems), the records indicate the date on which the data was generated. When software is used on a local machine or downloaded for use, there is a check, at least annually, to identify if any amendments or upgrades have been issued and this check is recorded on the spreadsheet.
- 4.8 The electronic master copy of documents, together with electronically stored data, is backed up to separate electronic media which is stored in a separate location from the master copy. The spreadsheet identifies the frequency of data backup and the location(s) where the backup is held. Documents shall be available for retrieval from backup within 48 hours of a request.

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5. CUSTOMER ENQUIRIES AND QUOTATIONS

- 5.1 Where the Installer is a member of a Consumer Protection Scheme this is identified in Appendix A. Appendix C indicates where a copy of the certificate of membership (or equivalent evidence) is held.
- 5.2 The Installer is responsible for complying with the requirements of their Consumer Protection Scheme in providing quotations or responding to invitations to tender. Copies of quotations are retained in the location(s) identified in Appendix C.
- 5.3 The need for a site survey before quoting is always considered. In some cases there may be a provisional quote which is subject to the completion of a site survey. Details in the quotation indicate when this is the case.
- 5.4 Where relevant, estimated system performance is communicated to the customer before any contract is awarded. Such estimates are prepared in accordance with the requirements of the Scheme and are accompanied by any required disclaimers.

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6. CONTRACTS

6.1 Work undertaken by the Installer within the scope of its approval is always covered by a contract (or other written agreement). The Installer is responsible for complying with the requirements of their Consumer Protection Scheme in reviewing contracts. Contract review is carried out to confirm the following:

- a) That the contracts are sufficiently detailed to supply a compliant installation.
- b) That the Installer is capable of fulfilling the contract.
- c) That if the timescales deviate from those recorded in the contract, the customer is informed of this and any revised timescales.
- d) In the case of MCS activities, that the products to be installed are certificated under the MCS. Where this is not the case (e.g. because the customer has specified non-certificated equipment) the contract will make clear that the installation itself will not be certificated under the MCS and may not therefore be eligible for grant funding.
- e) If the Installer is engaged to carry out an installation where the specification and design work has been carried out by another party, a design review is carried out and held with the contract records to demonstrate that the design meets the requirements of the standards under the Scheme.
- f) Whether any planning and/or building control requirements exist and the means for complying with those requirements. This may require action by the customer which they will be advised of and their agreement confirmed.
- g) Whether arrangements are needed for grid connection for electrical systems and the means for complying with the requirements of the appropriate network operator. This may require action by the customer which they will be advised of and their agreement confirmed.
- h) Whether the customer needs advice or information in support of any grants that could be fully or partly funding the work.

6.2 Contracts are uniquely identified (by customer name and/or contract number). Any amendments to a contract are indicated by its own unique version identifier.

6.3 An index of contracts is recorded in the Contracts Spreadsheet [Contracts.xls]. The spreadsheet identifies the customer, relevant dates, the nature of the installation and the quantities of products installed.

6.4 Copies of contracts are retained in the location(s) identified in Appendix C. Copies are kept for at least seven years.

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7. SUPPLIERS AND SUBCONTRACTORS

7.1 A master list of suppliers is held in the Suppliers Spreadsheet [Suppliers.xls].

7.2 Several types of supplier are listed, including:

- a) Designers (e.g. those who develop specifications or detailed designs on behalf of the Installer)
- b) Specialist Trades (e.g. plumbers, roofing contractors, scaffold erectors, electricians etc)
- c) Product suppliers (concerning major items of equipment)
- d) Consumables suppliers (e.g. materials relevant to installation work such as nuts and bolts)

7.3 The spreadsheet holds brief details of the supplier name, contact details, the service / product / consumable supplied and any status information (such as past history, availability, agreed rates or terms etc). If a supplier is no longer to be used (for any reason, including poor performance or simply a lapse in their use) the spreadsheet is updated to show their status as no longer used.

7.4 Where a supplier has a specialist trade or profession, the basis of their selection is indicated on the spreadsheet. For example, if a tradesperson is engaged with the expectation of them taking responsibility for self-certification under the Building Regulations they are confirmed as being a member of a Competent Persons Scheme. All such suppliers are recorded, even when only used on a single contract. If the Installer's customer has separately engaged other suppliers for elements of the work, a note of this is held with the contract records.

7.5 Product suppliers are selected on the basis that they are able to provide compliant product within acceptable time limits.

7.6 Consumable suppliers are listed when they are a regular supplier. It is acceptable for consumables to be purchased in an ad hoc fashion to ensure effective operations on site, in which case the person purchasing the consumables will ensure that they are suitable and fit for purpose.

7.7 For significant products or services, instructions are issued that clearly identify the service / product required from the supplier. Copies of such instructions (or orders) are retained in the location(s) identified in Appendix C.

7.8 If a significant element of work that would normally be carried out by the Installer is passed to a subcontractor they are not considered to be suppliers and a formal subcontract agreement will be drawn up which will require the subcontractor to meet the requirements of the installation standards that cover the work (including the competence of the subcontractor's operatives). Copies of subcontracts are retained in the location(s) identified in Appendix C.

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8. PRODUCTS / MATERIALS AND THEIR INSTALLATION

- 8.1 Products may be delivered to the Installer, to the customer site, or to a separate location. Any warehousing service (or other storage facility) used by the Installer is identified in the Suppliers Spreadsheet [section 7].
- 8.2 In normal circumstances product is transported in its original packaging. Any suppliers engaged in packing products for transport, or with any specialist handling requirements are identified in the Suppliers Spreadsheet [section 7] and are appointed on the basis that they can fulfil their function without causing damage or deterioration of the products.
- 8.3 Received products are inspected for condition and verified against the purchase order documentation (by item and quantity) prior to installation. Basic checking may be done by the customer to confirm delivery, but only if they are willing to do so and is not in any way deemed to be a formal acceptance by them.
- 8.4 The most common elements of non-conforming material are incorrectly supplied goods or damaged goods. In these cases the Installer contacts the supplier for replacement parts and arranges for the return of the incorrect or damaged goods. The Installer will ensure that such non-conforming material is not installed unless it can be made good in-situ. When necessary, the non-conforming material is separated from other materials and labelled "DEFECTIVE" to identify it as such.
- 8.5 Further inspection of products takes place throughout the installation which is carried out to the standards required by the Scheme.
- 8.6 For MCS installations the Scheme requirements for commissioning and handover are deemed to be the final inspection. For CPS installations the Scheme requirements for the testing, inspection, certification and notification of the installation are deemed to be the final inspection.
- 8.7 All records related to installation and inspection are retained in the location(s) identified in Appendix C and are kept for at least seven years.

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9. EQUIPMENT

- 9.1 Specialist equipment needed for installation to the standards, and in particular all equipment that requires calibration, is logged on the Equipment Spreadsheet [Equipment.xls]. The spreadsheet contains information including a description of the equipment and its serial number (or other identifier when no serial number exists).
- 9.2 Where equipment needs to be periodically checked or calibrated the spreadsheet identifies the nature of any checking/calibration and its frequency; the date last calibrated and the date that calibration is next due.
- 9.3 Copies of any equipment certificates and relevant data are retained in the location(s) identified in Appendix C.

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10. COMPLAINTS

- 10.1 The Installer recognises that it may receive complaints from customers, and others, in a variety of forms.
- 10.2 The complainant is asked to provide details of their complaint in writing, but the complaint is logged and investigated irrespective of whether this is the case. Complaints are recorded on the Complaints Spreadsheet [Complaints.xls]. The spreadsheet identifies the complainant, the date logged, a summary of the complaint, a summary of any investigation findings, an indication of the outcome, and a summary of any action taken to resolve the complaint if it was upheld.
- 10.3 The Installer recognises the reputation damage that can arise from unresolved complaints and handles all complaints as promptly as possible. Where relevant, complaints are handled in line with the requirements of the Consumer Protection Scheme.
- 10.4 If the Certification Body or the Consumer Protection Scheme asks the Installer to investigate and resolve a complaint that has been lodged with them, the procedure above is followed and the outcome fed back to the person who asked for the investigation.
- 10.5 If the Certification Body or the Consumer Protection Scheme has a complaint about the Installer that they are investigating, the Installer will cooperate fully with that investigation.
- 10.6 All correspondence associated with complaints is retained in the location(s) identified in Appendix C.

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11. TRAINING AND COMPETENCE

- 11.1 The Installer recognises the need for all individuals engaged in specific operations to be competent to undertake the work involved. All individuals fall into one of the following types:
- a) The installer themselves (e.g. the sole trader or equivalent)
 - b) Individuals engaged under an individual arrangement to work under the direct control of the Installer (in these procedures these are not subcontractors or suppliers)
 - c) Individuals engaged as specialist tradesmen or professionals and registered on the Suppliers Spreadsheet [section 7]
 - d) Individuals engaged under a subcontract [section 7].
- 11.2 The competence of individuals falling under listed Suppliers is covered by the basis on which they were added to the Supplier Spreadsheet. The competence of individuals working for a subcontractor is the responsibility of the subcontractor and such a requirement will be included in the formal subcontract agreement [section 7].
- 11.3 The Installer and other individuals under direct control each have a training summary record in the Training Record Spreadsheet [Training Records.xls]. This indicates the date of appointment by the Installer and lists relevant qualifications and training undertaken (internal and external), dates when undertaken, any associated examinations or qualifications, any certificates of attendance or competence, and the training provider used.
- 11.4 Copies of certificates referenced in the spreadsheet are retained in the location(s) identified in Appendix C.
- 11.5 The Installer ensures that the records are kept up to date and that the training and qualifications evidence is suitable for the type of work carried out by the individual.

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12. HEALTH AND SAFETY

- 12.1 The Installer complies with all health and safety regulations that apply to the activities undertaken.
- 12.2 The Installer's Health and Safety Policy Statement is held in the location indicated in Appendix C.
- 12.3 The Installer carries out and documents risk assessments covering the work they carry out. Risk assessments and any health and safety procedures, methods of work etc, are all retained in the location(s) identified in Appendix C.
- 12.4 The management of health and safety is carried out in such a way as to consider (in general and/or for each contract) at least the following issues when they are within the scope of activities covered by the Installer:
- a) Working at heights (also consider scaffolding and ladders)
 - b) Manual handling
 - c) First aid
 - d) Personal protective equipment
 - e) Electrical safety
 - f) High temperatures (heating systems, combustion systems and/or hot water storage)
 - g) Pressurised systems (such as unvented hot water cylinders)
 - h) Moving equipment (such as wind turbines)
 - i) Managing ground works (such as for ground source heat pumps)

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ANNEX 1 – AMENDMENT HISTORY

Version	Amendment Summary	Date
1.0	First Issue	**/**/****

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APPENDIX A – INSTALLER DETAILS

Installer Details

Installer (the responsible individual)	Alan Baltic
Trading Name	Baltic Electric Ltd
Organization Type	Limited Company
Registration Number (if applicable)	14391115
Office Address	128 City Road, London, United Kingdom, EC1V 2NX
Office Telephone	02082646715
Contact Email Address	alan@balticelectric.com

Scope of Work

This is a description of the work carried out by the Installer and covered by the procedures described in this Manual. This can include work that is not within the scope of MCS certification as indicated by the status below:

Activity	Approval Status
Design, supply and installation of Solar PV systems (MIS 3002)	MCS certification pending (Solar PV)
Design, supply and installation of Battery storage systems (MIS 3012)	MCS certification pending (Battery)

Consumer Protection Scheme(s)

Scheme	Date Membership Began
Consumer Protection Code: TBC (e.g. HIES or RECC)	

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APPENDIX B - RESPONSIBILITIES

In these documented procedures, modified for sole traders and smaller companies, the individual named in Appendix 1 is responsible for all aspects of the procedures.

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APPENDIX C - RECORDS

The following list identifies where specific records are retained. This could be by physical location (a folder, an office, filing cabinet etc), or electronic file (full computer address to folder name level) or held by a named individual. Note that the location of backups is covered in Document Control [section 4]. Section numbers indicate where the requirements are described in the Manual.

Manual Section	Type of Record(s)	Location(s) Records Held
3	Internal Review Meeting Notes	QMS Portal (WordPress) -> Records -> Internal Review
	Insurance Certificates	QMS Portal (WordPress) -> References -> Company Documents (or Media Library)
5	Membership Certificate for Consumer Protection Scheme(s)	
	Scheme Registration Certificates	
5	Quotations	Job folder / quoting system (TBC)
6	Contracts	QMS Portal (WordPress) -> Installations -> Evidence uploads (and/or Job folder)
7 & 8	Purchase Orders	QMS Portal (WordPress) -> Records -> Goods-In Check (attach PO/delivery note)
7	Subcontracts	QMS Portal (WordPress) -> Installations -> Evidence uploads (and/or Job folder)
8	Installation Records (certificates, data, reports etc)	QMS Portal (WordPress) -> Installations -> Evidence uploads
9	Calibration Certificates	QMS Portal (WordPress) -> Records -> Tools & Calibration (attachments)
9	Equipment Records (checks, data etc)	QMS Portal (WordPress) -> Records -> Tools & Calibration
10	Complaints	QMS Portal (WordPress) -> Records -> Complaint
11	Training Records (copies of qualifications and certificates)	QMS Portal (WordPress) -> Records -> Training Record
12	Health & Safety Policy Statement	Company H&S folder (TBC) + link in QMS Portal References
12	Health & Safety Documentation (risk assessments, methods of work etc)	Per job: Installations -> Evidence uploads (RAMS etc)

The Manual refers to a number of Spreadsheets that are to be maintained. Their location is indicated below (full computer address to folder name level).

Manual Section	Spreadsheet	File Location
4	Document Control Spreadsheet	Not used - replaced by QMS Portal (WordPress)
6	Contracts Spreadsheet	Not used - replaced by QMS Portal (WordPress)

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7, 8, 11	Suppliers Spreadsheet	Not used - replaced by QMS Portal (WordPress)
9	Equipment Spreadsheet	Not used - replaced by QMS Portal (WordPress)
10	Complaints Spreadsheet	Not used - replaced by QMS Portal (WordPress)
11	Training Records Spreadsheet	Not used - replaced by QMS Portal (WordPress)

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APPENDIX D – VARIANCE FROM THE MANUAL

If the Installer uses this Manual without following each requirement of the Manual, the way in which they differ is identified below. This can be a specific requirement within a section, or an entire section.

Manual Section	Requirement	Installer Approach
10	<i>Example – Complaints handling (whole section)</i>	<i>Example – the Installer follows its own procedure for handling complaints. Document XYZ version ABC.</i>
7	<i>Example – Section Refers to a Supplier Spreadsheet</i>	<i>Example - the master list of suppliers is held on an accounts package which is a Sage Accounting System.</i>

If the Installer has added more detailed procedures to complement this Manual they are identified below.

Installer Procedure	Summary of Content
<i>Example - Contracting Practice for Green Deal Providers</i>	<i>Example – procedure covering the additional requirements of the Green Deal Code of Practice</i>

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