Entry Assessment Forms

Version 2.2 - October 2024

RETAIL ENERGY CODE

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CHANGE HISTORY

Version	Status	Issue Date	Author	Comments
v1.0	Final	19 July 2021	The Code Manager	N/A
v2.0	Final	31 May 2022	The Code Manager	CSS Update
v2.1	Final	22 December 2023	The Code Manager	Reformat BSA/ISDP
v2.2	Final	07 October 2024	The Code Manager	Pre-MHHS Update

Purpose of the Document

When applying for qualification under the Retail Energy Code applicants must complete an application form. This is a dynamic form on the REC Portal. This means based on the information you input into the form, relevant questions appear.

Some applicants may wish to understand the questions that they may be asked before completing an application. We have therefore included in this document the questions that can be asked during the application process.

These Entry Assessment Forms do not include the requirements for MHHS Qualification through the MHHS Programme; further information regarding the requirements for MHHS Qualification are noted in the REC Entry Assessment Information Pack.

1 - Entry Assessment Application Form

The questions that appear on the Entry Assessment Application Form to be filled out in the REC Portal appear on the pages below.

The questions themselves are within the “Item to be assessed” column. We have provided guidance on how to respond in the “Your response” column. If there is specific evidence you should provide it is set out in the “Evidence to support” column. This is not an exhaustive list, if you think that you have different evidence, or can provide us better information please do so.

Entry Assessment Application Form

#	Item to be assessed	Your Response	Evidence to support
1.1	Please detail your company information		
1.1.1	Company Name	Please detail your organisation's full legal name.	
1.1.2	Company Registration Number	Please detail your organisation’s company registration number.	
1.1.3	Registered Address	Please detail your organisation's registered address.	
1.1.4	Reason for submission	Please detail the reason why your organisation is applying to become a REC Party or Non-Party REC Service User.	
1.2	Please provide details of your Director (s)	Please detail the relevant Director within the organisation. This should be an individual who is sufficiently senior to sign off this application on behalf of the company.	
1.2.1	Director 1 Full name	Please detail the full name of your Director.	
1.2.2	Director 1 Role	Please detail the job title or role of your Director.	
1.2.3	Director 1 Email address	Please provide the email address of your Director.	
1.2.4	Director 1 Business address	Please detail the business address of your Director.	
1.2.5	Director 1 Telephone Number	Please detail the telephone number of your Director.	

#	Item to be assessed	Your Response	Evidence to support
1.2.6	Any additional Director(s)?	Please mark if there are any additional Directors and the questions set above will reappear.	
1.3	Please provide details of your key contact (s)		
1.3.1	Contract Manager 1 Full name	Please detail the full name of your key contact.	
1.3.2	Contract Manager 1 Role	Please detail the job title or role of your key contact.	
1.3.3	Contract Manager 1 Email address	Please provide the email address of your key contact.	
1.3.4	Contract Manager 1 Business address	Please detail the business address of your key contact.	
1.3.5	Contract Manager 1 Telephone Number	Please detail the telephone number of your key contact.	
1.3.6	Any additional Contract Managers?	Please mark if there are any additional key contacts and the questions set above will reappear.	
1.4	What role are you applying for?	Please select all applicable roles you are applying for.	
1.5	What systems are you applying to access?	Please select all applicable REC Services you are requesting access too.	

REC Prerequisites

There are several REC entry criteria that you must attain as a pre-condition to Qualification, depending on the Market Role and/or REC Service you have applied for. These are set out in the Qualification and Maintenance Schedule. When these take place can vary, for example some are required for particular testing stages, whereas others, like acquiring a licence, will take place at the end of the process.

We will help you understand any specific criteria that apply to you, based on the market role you wish to fulfil, and develop a bespoke plan for your entry process.

2 - Self-Assessment Form

This section applies to applicants to be REC Parties only.

The questions that appear on the Self-Assessment form to be filled out in the REC Portal appear on the pages below.

The questions themselves are within the “Item to be assessed” column. We have provided guidance on how to respond in the “Your response” column. If there is specific evidence you should provide it is set out in the “Evidence to support” column. This is not an exhaustive list, if you think that you have different evidence, or can provide us better information please do so.

The form is in 3 distinct sections, asking questions around your Business, Technical and Configuration Solutions. There is a separate section only for Parties who were previously qualified prior to retail code consolidation but that did not become a REC signatory at transition.

Please note that not all questions are applicable to every Market Role.

Business Solution

#	Item to be assessed	Your Response	Evidence to support
2.1	Do you already operate in a related market role?	Please confirm any related activities you already perform in the Retail Energy Market which may provide additional context on your ability to operate in new areas and help inform your Entry Assessment plan.	

#	Item to be assessed	Your Response	Evidence to support
2.2 (Suppliers only)	Do you intend to solely serve Micro Business Consumer?	Micro Business Consumers are defined in Electricity Supply Licence as: a Non-Domestic Customer: (a) which is a “relevant consumer” (in respect of premises other than domestic premises) for the purposes in article 2(1) of The Gas and Electricity Regulated Providers (Redress Scheme) Order 2008 (S.I. 2008/2268); or (b) which has an annual consumption of not more than 100,000 kWh. Please respond no if you plan on registering Consumers that do not meet this definition/	
2.3	From which locations will the various business functions that support your REC requirements be operated?	All functions may be operated from a single location or may be split across several, e.g. Contracts operated from location XXXX Customer services operated from location YYYY	List of business functions versus locations.

#	Item to be assessed	Your Response	Evidence to support
2.4	Please describe your organisational structure showing reporting structure and lines of communication. Please also include details around how senior management monitor the ongoing delivery of your service and identify and resolve any risks.	Please provide sufficient information to enable the Code Manager to identify relevant roles and individuals within your organisation for the whole Entry Assessment process, including all senior responsibility and applicable governance functions.	Organisation charts. Governance structures. Documentation showing applicable roles and responsibilities.
2.5	Please detail how senior management monitor the ongoing delivery or your service and identify and resolve any risks.	Please provide details around how process demonstrating how risk is kept under review, including triggers, threat sources and the frequency of reviews.	Risk governance documentation Risk register
2.6	Please provide information around what relevant experience your organisation and staff have in operating within this market.	Please provide a description of any previous experience in the Market your organisation has, along with experience held by key members of staff within the organisation.	
2.7 (Energy Supplier only)	Please provide details around your current position in regard to putting in place Supplier Agent contracts.	Please provide the details of all Supplier Agents you intend on using. This should cover Data Collection, Data Aggregation, Prepayment Meter Infrastructure Provider and Meter Equipment Management. Please include relevant information, such as the Supplier Agent MPID.	

#	Item to be assessed	Your Response	Evidence to support
2.8	What is your intended scale of operation within the first 1, 3 and 5 years of live operations and what is your growth plan that outlines how you intend to achieve this?	Please provide details of your intended volume at which you expect to operate in the market and how this has been factored in to how you are building in scalability into your operations and systems.	Growth plan.
2.9	What planning have you undertaken and/or what ongoing monitoring processes do you have in place to ensure you have sufficient resources to operate your service, in terms of required levels of staffing and from a technical capacity?	Please detail how you have planned to meet the resource (IT infrastructure, IT systems, staff at all levels/functions, office space, etc.) requirements to operate your service such as future capacity planning and staff reviews.	Capacity planning and testing.
2.10 (Suppliers and DNOs only)	Is your organisation prepared to accept limitations to its operational market activity in order to be able to commence those operations with less onerous Entry Assessment requirements? If so, please indicate what limitations you would propose and why.	If your organisation has limited aspirations for market activity e.g. a small niche market, this could be a factor that limits the risk to the Market posed by you. Should you wish to exceed the limitations at a later date, a further Entry Assessment would be applicable at that point. Additionally, if you are an Electricity Supplier, please confirm whether you intend to operate with both legacy and MHHS-migrated RMPs, else wish to limit operations to only MHHS-migrated RMPs. *Note: If you are a Supplier, you can choose whether you wish to operate with legacy and/or MHHS processes between MHHS Programme Milestone M11/12 and M14. If you are a DNO, you must be Qualified to operate with both MHHS and Legacy processes until M14.*	Propose limitations and rationale.

#	Item to be assessed	Your Response	Evidence to support
2.11	Please provide a list of any subcontractors, third parties or service providers to provide the operation of the service or develop and manage any of the technical solution, including what activity they are performing. This can include any technical solutions to interact with any industry systems (e.g. DTN / CSS / DIP / IX).	Please enter details of all subcontractors, third parties and/or service providers that you intend to rely on in operating the service once you have acceded, whether they have permission to act on your behalf, and their role in operating the service. In addition, please detail any service providers who are supporting you through the assessment process.	List of all subcontractors, third parties or service providers including details of what they are providing.
2.11.1	How do you intend to manage the relationship(s) with your subcontractors, third parties or service providers?	Please provide measures put in place to ensure the third party deliver its obligations and include any contractual arrangements (e.g. technical requirements) to ensure obligations are met, defining the scope of services to be contracted.	Details around Contracts, SLAs and other assurance activities performed to manage and monitor subcontractors, third parties or service providers.
2.12 (Suppliers only)	How will you maintain compliance with all relevant clauses within CoMCoP, including around the installation of smart meters?	This should include how you make sure you use qualified metering providers to both manage industry data and complete metering works on site. CoMCoP also includes specific smart meter installation provisions that apply to Energy Suppliers that work with domestic customers; you should provide relevant processes, standards, and other information that provide details of these processes. Suppliers that only supply Micro Business Customers do not need to complete this question.	Local work instructions and business processes around smart meter installation requirements

Technical Solution

#	Item to be assessed	Your Response	Evidence to support
3.1	Please describe the architecture of your in-scope systems.	Please provide sufficient information to enable the Code Manager to understand the overall structure of your systems including the type of gateway, routing and validation mechanisms, applicable security systems and applications. Please also include a list of all systems utilised. In-scope systems means any systems used for generating, sending, receiving, storing (including for the purposes of back-up), manipulating or otherwise processing electronic communications, including all hardware, software, firmware and data associated with such activities in relation to the REC Service, which are operated by, or on behalf of, your organisation.	Schematic diagram to show components and relationships, with annotation showing where data flows are processed Indicate the type of gateway, whether it is high or low volume, remote, and/or shared with other organisations (who should be identified) List of all relevant systems
3.2	Will you be deploying business processes and/or computer applications that are already operating in the market?	Please detail if the systems being used have been built new for use by your organisation or are already common systems available to the market.	
3.3	Please specify your mechanism for routing of incoming data flows to applications and/or procedures and how the next step is determined.	Please detail the system flow of all data flowing through your architecture from start to finish, including details around what routes the data to the correct location.	Data flow diagram

#	Item to be assessed	Your Response	Evidence to support
3.4	How does your business solution check that Market Messages are received and processed completely, accurately and in a timely manner?	Please detail how the structure and content of data flows has been validated for both incoming and outgoing data flows, both electronic and manual. This may be by means of a central validation routine, or by individual applications/procedures, or other means. Your particular approach should be outlined.	Diagram/statement of validation approach
3.5	What procedures are in place for identifying, monitoring and resolving unprocessed data flows or notification exceptions arising in processing and other errors in order to ensure that service level requirements are met?	Please detail how the system detects and resolves unprocessed data including details around detection reporting mechanisms in place, and the steps taken once anything identified.	Exceptions process
3.6	How have you ensured that all of the applicable functions, obligations and working practices embodied in your REC obligations are included within your processes and applications?	Please provide sufficient information to allow the Code Manager to understand the controls you employed to confirm that all applicable functions are embodied in your processes and applications.	Cross-reference from REC obligations to business processes/applications
3.7	How do you ensure that any risks arising as a result of changes to be made to your organisation, systems and processes are identified and assessed?	Please detail how your change management process works including how risk around change is identified and assessed.	Change management

#	Item to be assessed	Your Response	Evidence to support
3.8	What business continuity and disaster recovery arrangements are in place within your organisation to ensure minimum disruption to service? (Supplier and DNOs only)	Please detail how your disaster recovery plans include all critical components of the business processes which comprise the service you are providing, both in terms of business systems and manual processes. Include detail around how all critical aspects have been addressed and how the relevant plans have been tested.	Business impact assessment Disaster recovery and business continuity plan Testing evidence

Configuration Solution

#	Item to be assessed	Your Response	Evidence to support
4.1	Have you completed any testing prior to Market Scenario Testing with the REC? If so, please provide details of this testing, including whether that testing covered the areas as described in the Business Process Table below.	Please detail any testing you have already completed, and whether it covers any of the business processes below. If you have completed any testing, please detail how you have tested all aspects of this, including relevant interface, performance, capacity testing, along with testing of the business processes and working procedures and user acceptance testing and the results of each of each stage. Please state if you identified any issues as part of the testing. Please provide details of any issues faced and the impact they have on the service. Please provide details of how the issue has been fixed and re-tested, or the reason why the issue has not been fixed, with any expected timescales for remediation.	Process document Testing report Issue report Remediation plan

4.2	For any testing you have already completed, how have you developed and implemented your test strategy and/or plans to demonstrate that you are able to operate the service?	Please detail your overall approach to testing, including clear responsibilities for each element, acceptance criteria and how regression testing should occur.	Test strategy Test plan
4.3	For any testing you have already completed, how have you demonstrated that these plans have been formally approved?	Please demonstrate that the plans have been formally signed off at a senior level prior to testing.	Evidence of sign off
4.4	For any testing you have already completed, how have you determined the extent and coverage of testing that you intend to perform?	Please provide details around the extent and coverage of testing together with an explanation as to how this has been determined.	Testing scope
4.5	For any testing you have already completed, how have you ensured that all high severity faults, problems and issues identified have been addressed and do you have a plan in place to address any non-high severity faults, which you consider can be addressed at a later stage?	Please provide high level details of any issues faced and how they have been remediated.	Issue log Remediation plans
4.6	For any testing you have already completed, how are you able to demonstrate that all planned testing has been completed?	Please provide details of how you have demonstrated completion of all aspects including relevant sign off, or, if not all elements have been completed, why that is the case?	Test completion report

	Do you believe any of the Market Scenario Tests should be descoped from your test plan?	Most market entrants will need to complete Market Scenario Testing with the REC Code Manager. The scope of this testing is based on the business process table below. Please confirm if you intend to complete the full list of scenarios for your market role, or whether you believe that any of these tests should be descoped. If you believe that any of these tests should be descoped, please provide justification such as whether the business processes do not apply to your business, or whether you have already covered them in prior testing,	
4.7 (Electricity Suppliers and DNOs only)	Please confirm when you intend to begin operating your service, and whether you intend to complete MHHS Qualification with the MHHS Programme.	The MHHS Programme and Code Bodies are currently conducting MHHS Qualification for existing Market Entrants. Depending on when you intend to enter the Market, you may be required to complete MHHS Qualification via the MHHS Programme. Please confirm when you intend to begin operating, and any interactions you have had with the MHHS Programme.	

Business Process Table

The tables below represents the business processes that each role type would be expected operate once qualified. These are aligned to the latest version of the joint storyboards.

Supplier	
MESS001	Switch Request as Gaining Supplier
MESS002	Switch Request as Losing Supplier
MESS003	Switch Request as Gaining Supplier with Upheld Objection
MESS004	Switch Request as Losing Supplier with upheld objection due to erroneous switch
MESS005	Switch Request as Gaining Supplier with Disputed Meter Read
MESS006	Switch Request as Losing Supplier with Resolved Objection and Disputed Meter Read
MESS007	New Metering System Installation, Initial Registration and Energisation
MESS008	Update to Priority Services Register
Applicable to all Non-Half Hourly Suppliers	
JSS006	NHH Meter Irregularity Investigation
JSS007	NHH Change of Meter Technical Details
JSS008	NHH Revenue Protection Services Investigation
JSS009	NHH De-energisation of a Metering Point
JSS010	NHH Disconnection of a Metering Point
JSS011	NHH Metering Point Energisation
JSS012	NHH New Metering System, Initial Registration, Energisation, Initial SVA
JSS013	NHH Bulk Change of Agent
JSS014	NHH Exception Report Processing (D0095)
JSS015	NHH Resolution of an Erroneous Switch
Applicable to Non-Half Hourly Suppliers to Domestic Premises	
JSS021	NHH Prepayment Change from Credit meter to Pre-Payment Metering
JSS024	NHH Prepayment Debt Transfer
JSS025	NHH Change of Tenancy (CoT)

Applicable to all Half Hourly Suppliers	
JSS105	HH Meter Re-configuration
JSS106	HH De-energisation of a Metering Point
JSS107	HH Disconnection
JSS108	HH Metering Equipment Fault & RPS Report
JSS109	HH Multiple Change of Data Collector and Data Aggregator
JSS110	HH to HH Change of Measurement Class (No Change of Supplier)
JSS111	HH Gain Coincident with Change of Measurement Class
JSS112	HH Exception Report processing (D0235)

DNO	
MESD001	Switch Request
MESD002	Investigation into irregularity
MESD003	De-energisation of a Metering Point
MESD004	New Metering System, Initial Registration and Energisation
Non-Half Hourly processes applicable to all Distributors	
JSD209	NHH Bulk Change of Data Collector and Data Aggregator
JSD210	NHH Emergency Fault
JSD211	NHH New Unmetered Supply
Half Hourly processes applicable to all Distributors	
JSD304	HH Change of Meter Functionality
JSD306	HH Rejection of a Request for Disconnection
JSD307	NHH to HH Change of Measurement Class with no Switch
JSD308	HH Transfer from SMRS (MPAS) to CMRS
JSD309	HH Energisation with Pending Switch

MEM

MESM001	Metering Asset Installation (Gas and Electricity)
MESM002	Metering Asset Removal (Gas and Electricity)
MESM003	Metering Asset Replacement / Reconfiguration (Gas and Electricity)
MESM004	Change of MEM (Gas and Electricity)
MESM005	Change of MAP (Electricity Only)
MESM006	Energisation of a Metering point (Electricity Only)
MESM007	De-Energisation of a Metering point (Electricity Only)
MESM008	Change of Measurement Class (Electricity Only)
MESM009	Fault Resolution (Electricity only)
MESM010	Proving Tests (Electricity Half Hourly Only)

Previous Qualification and REC Changes (for Suppliers and DNOs previously or currently operating in the Market)

#	Item to be assessed	Your Response	Evidence to support
5.1	To what extent are you currently operating in the market?	Please provide details on how many meter points you have registered or are responsible for, as well as any additional context on these meter points.	
5.2	What qualifications do/did you hold under current/previous Energy Codes?	Please provide details on any Qualifications you hold under current Energy Codes or held prior to REC Consolidation.	
5.3	What is your intended scale of operation within the next 1, 3 and 5 years of live operations and what is your growth plan that outlines how you intend to achieve this?	Please provide details of your intended volume at which you expect to operate in the market going f forward and how this has been factored in to how you are building in scalability into your operations and systems.	Growth plan.
5.4	Have you fulfilled all of the pre-conditions to REC Qualification as noted in Schedule 9 Qualification and Maintenance?	Please provide evidence that you have met the relevant pre-conditions to Qualification for your role as per Schedule 9 Qualification and Maintenance, and note any that you still need to complete. -	

5.5	Please describe your organisational structure showing reporting structure and lines of communication. Please also include details around how senior management monitor the ongoing delivery of your service and identify and resolve any risks.	Please provide sufficient information to enable the Code Manager to identify relevant roles and individuals within your organisation for the current and future operations, including all senior responsibility and applicable governance functions.	Organisation charts. Governance structures. Documentation showing applicable roles and responsibilities.
5.6	Please provide information around what relevant experience your organisation and staff have in operating within this market.	Please provide a description of any previous experience in the Market your organisation has, along with experience held by key members of staff within the organisation.	
5.7	Please provide a list of all subcontractors, third parties or service providers, including what activity they are performing.	Please enter details of all subcontractors, third parties and/or service providers that you intend to rely on in operating the service once you have acceded, whether they have permission to act on your behalf, and their role in operating the service. In addition, please detail any service providers who are supporting you through the change process. If you are not using any, please note “None”.	List of all subcontractors, third parties or service providers including details of what they are providing.
5.8	How have you ensured that all of the applicable functions, obligations and working practices embodied in your REC obligations are included within your processes and applications?	Please provide sufficient information to allow the Code Manager to understand the controls you employed to confirm that all applicable functions are embodied in your processes and applications.	Cross-reference from REC obligations to business processes/applications

5.9	Please describe the architecture of your in-scope systems.	Please provide sufficient information to enable the Code Manager to understand the overall structure of your systems including the type of gateway, routing and validation mechanisms, applicable security systems and applications. Please also include a list of all systems utilised. In-scope systems means any systems used for generating, sending, receiving, storing (including for the purposes of back-up), manipulating or otherwise processing electronic communications, including all hardware, software, firmware and data associated with such activities in relation to the REC Service, which are operated by, or on behalf of, your organisation.	Schematic diagram to show components and relationships, with annotation showing where data flows are processed Indicate the type of gateway, whether it is high or low volume, remote, and/or shared with other organisations (who should be identified) List of all systems
5.10	What changes will you introduce in order to operate in-line with your REC Obligations?	Please describe the change in business terms and how it affects the processes you use in order to meet with the requirements of the REC and to interoperate with other Market Participants.	Change description
5.11	How do you intend to identify the items (procedures, instructions, applications etc.) that are impacted by the change(s)?	Please describe the analysis that will be carried out and the impact assessment records that will be available.	Change management impact assessment process and impact assessment records.

5.12	What risks have you identified in the changes you propose to make, and how have you mitigated these?	Please describe how you have identified the risks and put in place arrangements to ensure these are minimised.	Change risk assessment Change risk treatment plans
5.13	Do you intend to perform any testing on these changes? If so, how have you determined the extent and coverage of this testing, and how have you implemented your test strategy and/or plans to demonstrate that you are able to operate the updated service?	Please detail your overall approach to testing, including clear responsibilities for each element, acceptance criteria and how regression testing should occur.	Test strategy Test plan
5.14	How will you ensure that all business users are fully conversant with the new operational processes and procedures associated with this change?	How will you ensure that all business users are fully conversant with the new operational processes and procedures associated with this change?	Training strategy & plans. Training guides. Training records.

3 - Information Security and Data Protection Assessment

This section applies to all applicants, except those applying to only access the Green Deal Central Charging Database.

The questions that appear on the ISDP form to be filled out in the REC Portal for the ISDP Assessment appear on the pages below.

The questions themselves are within the “Item to be assessed” column. We have provided guidance on how to respond in the “Your response” column. If there is specific evidence you should provide it is set out in the “Evidence to support” column. This is not an exhaustive list, if you think that you have different evidence, or can provide us better information please do so.

Section 1 – All Applicants

#	Item to be assessed	Your Response	Evidence to support
1.1	How will you be accessing the data for the REC Service you have requested?	Please provide details of how you intend to access the data on the relevant REC Service, such as if through the web portal, APIs, or report.	
1.2	How will you be processing and storing the data for the REC Service you have requested?	Please describe how the REC Services data flows through your in-scope systems, referencing all systems utilised. In-scope systems means any systems used for generating, sending, receiving, storing (including for the purposes of back-up), manipulating or otherwise processing electronic communications, including all hardware, software, firmware and data associated with such activities in relation to the REC Service, which are operated by, or on behalf of, your organisation.	List of all systems

1.3	How has your business taken steps to ensure appropriate information security and control procedures are in place, proportionate to the relevant Information Security and Data Protection risks, and are reviewed on a regular basis?	Describe how you identify the types of policies and processes required for your business and how these are reviewed to ensure they are still operating effectively.	Information security policy Statement of applicability Audit/review documentation Risk register
1.4	How has your business taken steps to ensure appropriate user access security and control procedures have been developed with respect to your service to guard against unauthorised logical access to data and programs?	Provide an overview of logical access controls, with reference to REC processes and associated data.	Access controls policy Access control matrix User Management Procedures
1.5	How do you ensure data is only accessed for the purposes for which it is required and approved?	Please describe your processes to prevent inappropriate use of data, particularly Consumer data relating to your REC obligations, as well as the authorised purpose of access in Schedule 12 – Data Access.	Data access policy
1.6	What information security accreditation do you hold to mitigate the applicable risks to your organisation?	Please provide any relevant information security or data protection accreditation covering all or elements of your architecture and organisation. Please additionally note if you plan to gain such accreditation in the future.	Including but not limited to: ISO27001 certificate Cyber Essentials Plus certification IASME Governance Standard ISO27701 certificate
1.7	What is your process for notifying the Code Manager and the Switching Operator of any identified material vulnerability?	Please provide details of the process you will follow to notify the Code Manager and the Switching Operator of a material vulnerability, including how you will notify them, who performs this, what information will be provided and the relevant timeframe of the notification.	

1.8	How do you ensure your data is held in a secure manner, retained for only the necessary time required and deleted appropriately?	Provide an overview of your data retention, security and disposal processes, covering the technology relevant to your REC obligations and relevant legislation.	Data classification and retention policy Data protection policy
1.9	Please provide a completed up-to-date and relevant ICO checklist.	Please provide a completed up-to-date and relevant ICO checklist from https://ico.org.uk/for-organisations/advice-for-small-organisations/checklists/data-protection-self-assessment.	Completed ICO checklists
1.10	Please provide your Data Protection Registration number and registration	Please provide your Data Protection Registration number as registered with the Information Commissioner's Office.	Copy of data protection registration
1.11	Have you reported any data breaches to the ICO in the last year and what action did you take to remedy these?	Please provide details of all data breaches you have provided to the ICO, along with any remedial action taken.	

Section 2 – Additional questions if applying for API access or if instructed by the Code Manager

2.1	Please specify the architecture of your in-scope systems.	Please provide sufficient information to enable the Code Manager to understand the overall structure of your systems including the type of gateway, routing and validation mechanisms, applicable security systems and applications. Your diagram should make clear how the REC Services data flows through your in-scope system; therefore please also reference all systems utilised. In-scope systems means any systems used for generating, sending, receiving, storing (including for the purposes of back-up), manipulating or otherwise processing electronic communications, including all hardware, software, firmware and data associated with such activities in relation to the REC Service, which are operated by, or on behalf of, your organisation.	Schematic diagram to show components and relationships, with annotation showing where data flows are processed Indicate the type of gateway, whether it is high or low volume, remote, and/or shared with other organisations (who should be identified) List of all systems
2.2	Please provide a list of all subcontractors, third parties or service providers, including what activity they are performing.	Please enter details of all subcontractors, third parties and/or service providers that you intend to rely on in operating the service once you have acceded and their role in operating the service. In addition please detail any service providers who are supporting you through the assessment process. If you are not using any, please note “None”.	List of all subcontractors, third parties or service providers including details of what they are providing

2.3	How do you ensure that you have identified and appropriately assessed all information security and data protection risks relating to your business operations?	A risk methodology, aligned to a recognised risk framework, detailing how the organisation manages security and data risk associated with obligations under this Code which may include organisation's risk appetite, risk and threat identification processes, risk scoring and treatment criteria and how risk associated with obligations under this Code are addressed and governed. A risk register detailing security and data risk associated with obligations under this Code identified in respect to the REC requirements, including risk scoring, owners, applicable controls and mitigating actions. Where applicable, risk treatment plans detailing the response to any risk associated with obligations under this Code identified.	Risk methodology Risk register Risk treatment plans (where applicable)
2.4	How do you ensure there is appropriate governance, oversight and right tone from the top in relation to Information Security?	Describe your Information Security governance, including the people involved, the information they use to make decisions and the committees or other groups established to make these decisions.	Policy document detailing responsibilities Governance committee TOR, agenda and minutes detailing Information security
2.5	How has your business taken steps to ensure appropriate physical security and environmental control procedures are in place?	Describe the key physical and environmental controls in place including how appropriate access arrangements are managed.	Physical and environmental security policy

2.6	How has your business taken steps to ensure that credentials used to access services are held in a secure and confidential manner, and any relevant secret key material is secured throughout its lifecycle.	Provide an overview of what systems you use to manage keys and secrets, how you will look to keep keys and secrets confidential, manage them throughout their lifecycle and make use of them without risk of disclosure. Please provide details of: - Any good practice or regulatory policies your process enforces. - How you have determined that based on the confidentiality of the keys and secrets, the security measures in place are sufficient to protect them. How you look to securely manage each step of a key's lifecycle, such as the accurate generation of certificates, secure and restricted storage, and secure destruction and/or deletion.	Access controls policy Cryptographic lifecycle policy Secret key register
2.7	What steps has your business taken in relation training staff on information security and data protection risks and policies?	Provide an overview of the coverage of information security and data protection during induction training as well as ongoing training. Please also note how often ongoing training is required to be completed and how the training team monitors completion.	Training Policy Training matrix Onboarding Handbook

2.8	How does your business keep track of all access attempts and activities within the system and ensure that any unauthorised activity within your relevant systems is monitored and if detected is appropriately prevented and/or rectified?	Provide an overview of the protective monitoring in place, how you review this information and how you act upon identified security events. Provide an overview of the detective monitoring in place (e.g. logs of logon, logoff, failed attempts) and security events for all information systems and services that interact with REC Services. Please elaborate on what audit and security event log activity is collect, the process for its review and how long this information is retained for?	System monitoring policy System logging policy
2.9	How does your business monitor and identify any vulnerabilities on your relevant systems and, if identified, what steps are taken to mitigate or remediate the vulnerabilities?	Provide an overview of vulnerability scanning, resolution and patching processes, including the scope and frequency of any vulnerability scanning performed, and actions taken where vulnerabilities are found	Vulnerability scanning procedures Patch management procedures
2.10	What processes does your business have in place in relation to incident management?	Provide an overview of your incident management processes, covering the technology relevant to your REC obligations, the relevant roles and responsibilities for each stage of the processes.	Incident management procedure

4 - Controlled Market Entry Self-Assessment

This section applies only to REC Parties with Controlled Market Entry Conditions in place.

The below section is the Controlled Market Entry Self-Assessment form which you must complete on the REC Portal and then it needs be to approved by a director (or equivalent representative), along with the completion of the responses to the questions underneath and any applicable supporting evidence. The questions themselves are within the “Item to be assessed” column. We have provided guidance on how to respond in the “Your response” column. If there is specific evidence you should provide it is set out in the “Evidence to support” column. This is not an exhaustive list, if you think that you have different evidence, or can provide us better information please do so.

The questions below must be answered by all those looking to remove Controlled Market Entry Conditions; however, you may also have been given bespoke exit conditions which will have been communicated to you when you became Qualified.

These will be given on a case by case basis depending on the results of the Entry Assessment process and evidence will need to be submitted alongside your answers to the questions on the REC Portal to demonstrate compliance. These can be submitted under the form within the free text boxes.

Controlled Market Entry Self-Assessment form

#	Item to be Assessed	Your Response	Evidence to support…
1	What mechanisms have been used to provide assurance that all relevant obligations in the REC are adhered to during operations?	Please describe briefly the types of management controls that have been employed.	Procedure documentation and/or internal audit records etc.
2	During CMEC, were any Domestic Pre-payment MPANs registered? And/or any sites with special needs requirements?	Please confirm if applicable	Description of pre-payment customer base, if applicable.

3	During CMEC, were any problems experienced during the registrations process? If so, please detail the problem and resolution.	Please provide sufficient information to enable the Code Manager to assess the impact and resolution of issues that occurred during CMEC. These can be system related as well as operational problems.	Problem reports, correspondence between involved parties, resolution details etc. Please provide a copy(s) with your response.
4	During CMEC, were any problems experienced relating to the timely receipt of information from other Parties? If so, please detail the problem and resolution.	Please provide sufficient information to enable the Code Manager to assess the impact on inter-operability of timing issues that have occurred during operations.	Problem reports, correspondence between involved parties, resolution details etc. Please provide a copy(s) with your response.
5	If you are a domestic supplier / micro-business supplier, have you completed processes to become a DCC User?	Please provide information on the progress of your application to become a DCC User, if relevant.	
6	Please include any additional information or context you would like to be considered as part of this review.		



To find out more please contact:

enquiries@recmanager.co.uk

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