MAJOR SWITCHING INCIDENT: SWITCHING OPERATOR BEST PRACTICE EVALUATION

Where the Switching Operator has been required to adhere to the Major Switching Incident: Switching Operator Best Practice Document, the Switching Operator should consequently complete this Switching Operator Best Practice Evaluation Form to:

- provide a summary of the Major Switching Incident, including timelines and impacts;
- qualify the areas and methods in which the Best Practice Document has been followed;
- offer any justifications for non-reference with best practices; or
- describe the situations in which best practice actions have not been necessary.

Upon completion, the Switching Operator should submit this evaluation form to the REC Service Desk via enquiries@recmanager.co.uk unless instructed otherwise by the Code Manager.

DOCUMENT VERSION	
DATE	

DATE OF MAJOR SWITCHING INCIDENT	
DATE OF RESOLUTION	
MAJOR SWITCHING INCIDENT PRIORITY	**Priority 1 / Priority 2**
IMPACTED MARKETPARTICIPANTS	

AUTHORED BY	
REVIEWED BY	
CODE MANAGER REVIEWEE	

SUMMARY

[A short executive summary on the nature of the Major Switching Incident and the Switching Operator's overall adherence to the Major Switching Incident: Switching Operator Best Practice Document (2-3 sentences)]

RETAIL ENERGY CODE

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1 INITIAL EXPECTATIONS

[Here, the Switching Operator has the *option* to detail their initial expectations of the Major Switching Incident and how they will apply methods of best practice. These expectations may then assist with communication and engagement to industry and impacted Market Participants, and also assist with the best practice evaluation (section 11) following the Major Switching Incident Resolution.]

METHOD OF BEST PRACTICE	WILL IT BE USED?	EXPECTED DATES OR TIMELINES	RATIONALE
Switching Parties Communication	**Yes / No**		
Root Cause Communication	**Yes / No**		
Switching Operator End-Consumer Communication	**Yes / No**		
Switching Operator Impact Review	**Yes / No**		
Broader Industry Impact Review	**Yes / No**		
Refresh and Testing of Switching Operator's Major Switching Incident Related Policies, Processes and Procedures	**Yes / No**		
Engagement to Understand any Potential Resolution Prioritisation	**Yes / No**		
Other actions not included in the Switching Operator Best Practice Document (Please state)	**Yes / No**		

2 SUMMARY

[This section will provide a summary of the Major Switching Incident including key dates, priority and industry engagement. The summary may also provide an overview of how the Major Switching Incident has been resolved and note any factors that may have influenced or impacted how the solution was chosen and/or developed. The summary should touch upon how the Major Switching Incident: Switching Operation Best Practice Document was adhered to.]

3 PRIORITY STATUS

[The Switching Operator may here state the priority status of the Major Switching Incident, and detail why it is either a Priority 1 or a Priority 2 Major Switching Incident.]

4 MAJOR SWITCHING INCIDENT AND RESOLUTION TIMELINE

[The Switching Operator may here detail and update a table of key incidents and activities completed during the Major Switching Incident resolution, beginning with the date the Major Switching Incident occurred and when the required resolution Service Level was passed.]

DATE	EVENT	DETAILS

5 IMPACTS

[The Switching Operator may here list details and update the impacts on Market Participants caused by the Major Switching Incident.]

MARKET PARTICIPANT	IMPACTS

6 CROSS-CODE IMPACTS

[If the Major Switching Incident is not limited to just the REC in the impacts, the Switching Operator may here provide details of any cross-code impacts and an overview of how the Major Switching Incident will affect the other industry codes.]

7 INDUSTRY ENGAGEMENT

[The Switching Operator may here summarise any engagement with industry and impacted Market Participants, including the Code Manager, RECCo, and the Authority, during the Major Switching Incident Resolution. This should include a summary of the groups or committee engaged with as part of the best practice methods stated in sections 2.1-2.7 of the Major Switching Incident: Switching Operator Best Practice Document.]

DATE OF ENGAGEMENT	WHO WITH	DETAILS

8 SUMMARY OF ANALYSIS UNDERTAKEN

[The Switching Operator may here set out any analysis that has been completed to assist in resolving the Major Switching Incident; what analysis techniques were used, the scope of the different analysis activities completed, who completed this etc.]

9 SOLUTION OPTIONS

[The Switching Operator may here provide details of the solution chosen to resolve the Major Switching Incident and detail, and update any alternative solution options that have been discounted to show that all resolution possibilities are considered, and a robust solution decision is made as per section 2.4 of the Major Switching Incident: Switching Operator Best Practice Document]

SOLUTION	DETAILS

OTHER SOLUTION POSSIBILITIES	DETAILS AND REASONS WHY THE POSSIBILITY HAS NOT BEEN CHOSEN

10 BEST PRACTICE EVALUATION

The Switching Operator **must** complete all the following boxes to evaluate against the Best Practice Methods stated in sections 2.1-2.7 of the Major Switching Incident: Switching Operator Best Practice Document. For all methods, the Switching Operator should:

- qualify the areas and methods in which the Best Practice Document has been followed;
- offer any justifications for noncompliance with best practices; or
- describe the situations in which best practice actions have not been necessary.

METHOD	**Switching Parties Communication**
ADHERED TO?	**YES/NO**
EVALUATION	

METHOD	**Root Cause Communication**
ADHERED TO?	**YES/NO**
EVALUATION	

METHOD	Switching Operator End-Consumer Communication
ADHERED TO?	YES/NO
EVALUATION	

METHOD	Switching Operator Impact Review
ADHERED TO?	YES/NO
EVALUATION	

METHOD	Broader Industry Impact Review
ADHERED TO?	YES/NO
EVALUATION	

METHOD	Refresh and Testing of Switching Operator's Major Switching Incident Related Policies, Processes and Procedures
ADHERED TO?	YES/NO
EVALUATION	

METHOD	Engagement to Understand any Potential Resolution Prioritisation
ADHERED TO?	YES/NO
EVALUATION	

11 RISKS, ASSUMPTIONS, ISSUES AND DEPENDENCIES

[The Switching Operator here should detail and update any Risks, Assumptions, Issues and Dependencies associated with the Major Switching Incident resolution and the application of the best practice methods stated in sections 2.1-2.7 of the Major Switching Incident: Switching Operator Best Practice Document.]

11.1 RISKS AND ISSUES

NO.	RISK	NOTES	MITIGATION

NO.	ISSUE	NOTES	HOW TO PROGRESS

11.2 ASSUMPTIONS AND DEPENDENCIES

NO.	ASSUMPTION	NOTES	HOW/WHEN TO VALIDATE

NO.	DEPENDENCY	NOTES	STATUS

12 ADDITIONAL LINKS AND DOCUMENTS

[The Switching Operator should here provide links to any additional resources or documents that either assist with their evaluation of their best practice or assist Market Participants in understanding the Major Switching Incident and the resolution process.]