Entry Assessment Forms

Version 1.0 - July 2021

RETAIL ENERGY CODE

Contents

CHANGE HISTORY

Version	Status	Issue Date	Author	Comments
v1.0	Final	19 July 2021	The Code Manager	N/A

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.

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 Companies House ID.	
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 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.	

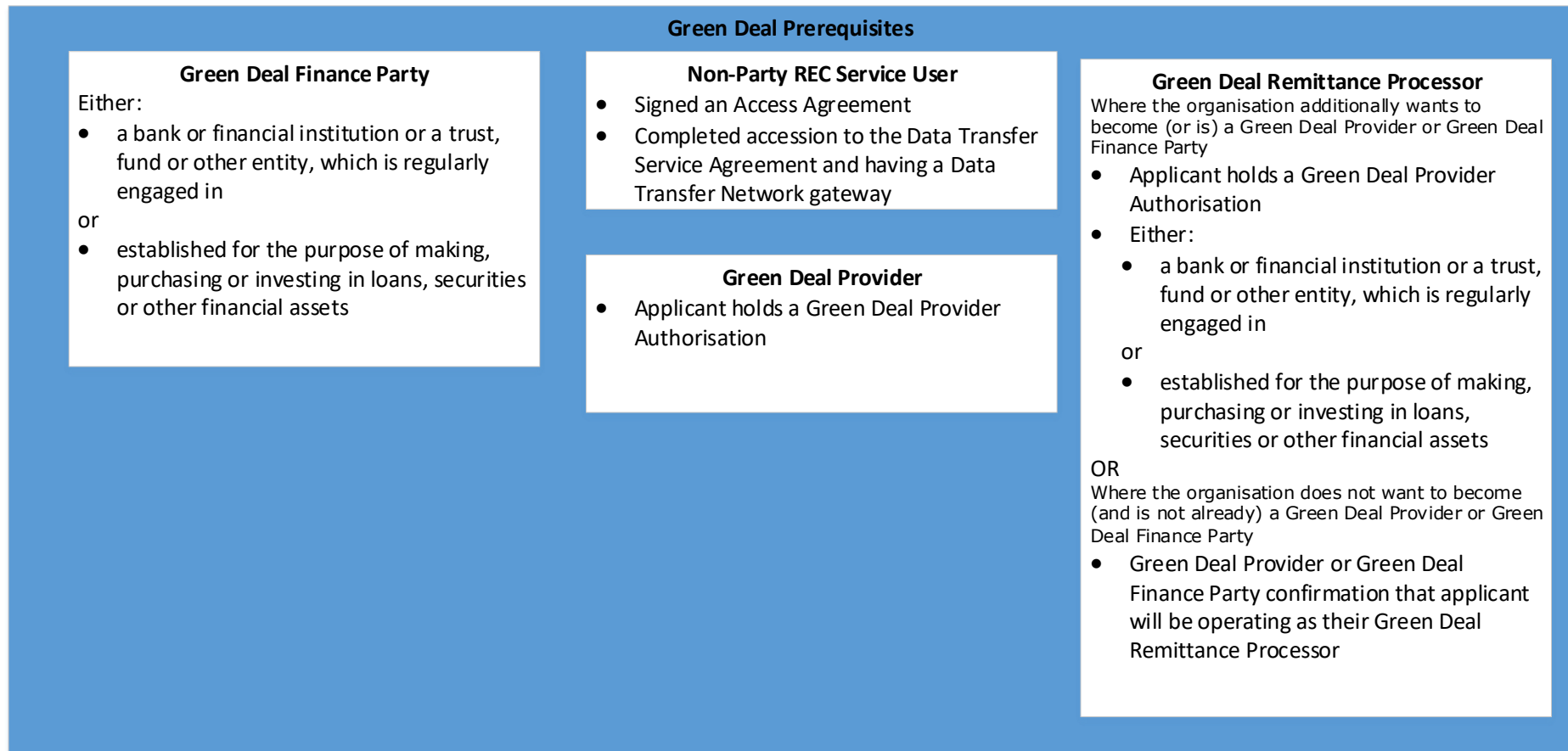| #	Item to be assessed	Your Response	Evidence to support
1.2.3	Director 1 Email address	Please provide the email address of your Director.	
1.2.4	Director 1 Business address	Please detail the business address of your Director.	
1.2.5	Director 1 Telephone Number	Please detail the telephone number of your Director.	
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.	

#	Item to be assessed	Your Response	Evidence to support
1.6	Please provide details around your organisation's current status is in terms of certifying against recognised industry standards, agreements and obligations where applicable.	Please mark where you are in the process around obtaining all relevant industry standards, agreements and obligations – further guidance can be found in the sections entitled 'External Obligations and Agreements' and 'REC Pre-Conditions' below.	

REC Prerequisites

There are a number of 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 these requirements by developing a bespoke plan for your entry process.

For each applicable condition in this section you should enter a status for progress in reaching the agreements, according to the category key below:

Non REC Parties

Green Deal Prerequisites

Green Deal Finance Party

Either:
- a bank or financial institution or a trust, fund or other entity, which is regularly engaged in

or
- established for the purpose of making, purchasing or investing in loans, securities or other financial assets

Non-Party REC Service User
- Signed an Access Agreement
- Completed accession to the Data Transfer Service Agreement and having a Data Transfer Network gateway

Green Deal Provider
- Applicant holds a Green Deal Provider Authorisation

Green Deal Remittance Processor

Where the organisation additionally wants to become (or is) a Green Deal Provider or Green Deal Finance Party
- Applicant holds a Green Deal Provider Authorisation
- Either:
  - a bank or financial institution or a trust, fund or other entity, which is regularly engaged in

  or
  - established for the purpose of making, purchasing or investing in loans, securities or other financial assets

OR

Where the organisation does not want to become (and is not already) a Green Deal Provider or Green Deal Finance Party
- Green Deal Provider or Green Deal Finance Party confirmation that applicant will be operating as their Green Deal Remittance Processor

Other Non - Party REC Service User prerequisites

Central Switching Service User

- Completed Information Security and Data Protection Assessment
- Established the required public and private keys to enable secure messaging
- Established the required webhooks for CSS message routing
- Completion of CSS testing

Electricity Enquiry Service / Gas Enquiry Service

- Completed Information Security and Data Protection Assessment
- Completed identity validation
- Confirmed that the applicant meets the characteristics expected for the requested EES User Category
- Confirmation that the Data Items to which access is requested are consistent with those permitted in the Data Access Matrix

REC Parties

REC Party Prerequisites

Energy Supplier
- Acceded to the Energy Codes to which they are required to accede by their Energy Licence
- Established a valid Market Participant ID (the arrangements for which are specified in the UNC or BSC, as applicable)
- Have become a User under the Smart Energy Code
- Have become a gas and/or electricity Enquiry Service User in accordance with the Data Access Schedule
- Have become a CSS User and Switching Operator Service User in accordance with the CSS Onboarding Schedule and Service Management Schedule respectively
- Have become an Energy Theft Tip Off Service User in accordance with the Theft Reduction Schedule
- Have become a Secure Data Exchange Portal User in accordance with the Secure Data Exchange Schedule (n/a for Non-Domestic Gas Suppliers)
- Completed accession to the Data Transfer Service Agreement and having a Data Transfer Network gateway (n/a for Non-Domestic Gas Suppliers)
- Have become a REC Portal User and providing the required operational contact details as specified by the Code Manager (see Non-Party REC Service User for details)
- Hold the Energy Licence relevant to their Market Role

DNO
- Acceded to the Energy Codes to which they are required to accede by their Energy Licence
- Established a valid Market Participant ID (the arrangements for which are specified in the BSC)
- Have become a CSS User and Switching Operator Service User in accordance with the CSS Onboarding Schedule and Service Management Schedule respectively
- Have become an Electricity Enquiry Service User
- Have become an Energy Theft Tip Off Service User in accordance with the Theft Reduction Schedule
- Have become a Secure Data Exchange Portal User in accordance with the Secure Data Exchange Schedule Completed accession to the Data Transfer Service Agreement and having a Data Transfer Network gateway
- Have become a REC Portal User and providing the required operational contact details as specified by the Code Manager (see Non-Party REC Service User for details)
- Hold the Energy Licence relevant to their Market Role

MEM
- Obtained accreditation in accordance with the Metering Accreditation Schedule
- Establishment of a valid Market Participant ID (the arrangements for which are specified in the UNC or BSC, as applicable)

Gas Transporter
- Acceded to the Energy Codes to which they are required to accede by their Energy Licence
- Established a valid Market Participant ID (the arrangements for which are specified in the UNC)
- Have become an Energy Theft Tip Off Service User in accordance with the Theft Reduction Schedule
- Have become a REC Portal User and providing the required operational contact details as specified by the Code Manager
- Hold the Energy Licence relevant to their Market Role

Category	Description
1	Not Started
2	Awaiting Documentation
3	Negotiations/ Application in process
4	Complete subject to REC Entry process completion
5	In place
6	Not Applicable

These obligation and agreements do not need to be in place when initially submitting the application form but should be updated as the agreements progress to different levels of completion whilst in the Entry Assessment process as all need to be in place to become Qualified.

This section must then be updated as the agreements progress to different levels of completion whilst in the Entry Assessment process prior to Qualification.

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.

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

Section 2 – Business Solution

#	Item to be assessed	Your Response	Evidence to support
2.1a (Suppliers only)	How many UK retail energy customers do you currently have?	Please provide details of how many customers you have, including any relevant split between Domestic and Non-Domestic, and gas and electricity. This could be 0 depending on the maturity of your entry to the market.	
2.1b (DNOs only)	How many metering points are there in your operational area?	Please provide details of how many metering points are within the operational area in which you are responsible for. This could be 0 depending on the maturity of your entry to the market.	

#	Item to be assessed	Your Response	Evidence to support
2.1c (Suppliers only)	Do you intend to solely serve Micro Business Consumer?	Micro Business Consumers are defined in Electricity Supply Licenses 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/	
2.2	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
2.3	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.
2.4	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
2.5	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.	
2.6 (Electricity Supplier only)	Please provide details around your current position in regard to putting in place Supplier Agent contracts.	Additional guidance is found in the section entitled 'Supplier Agents'.	

#	Item to be assessed	Your Response	Evidence to support
2.7	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.
2.8	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.
2.9 (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 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.	

#	Item to be assessed	Your Response	Evidence to support
2.9.1 (Suppliers and DNOs only)	Please indicate what limitations you would propose and why?	Details of the limitations within which you are prepared to operate and why the limits are sensible.	Propose limitations and rationale.
2.10	Are you making use of any subcontractors, third parties or service providers to provide the operation of the service or develop and manage any of the technical solution?		
2.10.1	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 its 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.
2.10.2	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 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.

#	Item to be assessed	Your Response	Evidence to support
2.11 (Suppliers only)	Please provide details of your business processes around the installation of smart meters?	Include 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.	
2.11.1 (Suppliers only)	How will you maintain compliance with all relevant clauses the Smart Meter Installation Schedule?	Include descriptions of the management information, controls and training that you intend to utilise to meet your obligations. Suppliers that only supply Micro Business Customers do not need to complete this question.	

Section 3 − 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 operate 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
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 be 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 change and configuration management procedures do you have in place around change, test and release management and how do you ensure that these procedures are operating effectively?	As well as catering for internally triggered changes, procedures need to include provision for externally triggered changes e.g. changes to the REC Product Set.	Documented procedures for: Change control Configuration management Release management Test management
3.9	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

Section 4 – Configuration Solution

#	Item to be assessed	Your Response	Evidence to support
4.1	Do you intend to seek any Derogations from any of the compliance obligations?		
4.1.1	Please mark all obligations to which you are seeking a derogation and include justification as to why you are seeking the derogation.	Please detail all derogations you are seeking, and why.	
4.2	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	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	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	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	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

| 4.7 | Please detail the business processes in place within the 'Business Process Table'.

For each business process please detail:

a) How have you tested this and what were the results?

b) Where any issues identified?

c) What steps have you taken to resolve these issues, including any additional testing to demonstrate the issue has been fixed? | Please detail the business processes, factoring in any feed in and feed out processes as applicable.

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 |

Business Process Table

#	Business Process
4.7.1	Address Maintenance
4.7.2	Agent Appointments
4.7.3	Allocation of PPM Payments
4.7.4	Change of Consumer or Meter Details
4.7.5	Change of Measurement Class - HH to NHH
4.7.6	Change of Measurement Class - NHH to HH
4.7.7	Change of Metering Agent(s)
4.7.8	CoT indicator
4.7.9	Crossed Meters
4.7.10	Customer Debt Information & Assignment
4.7.11	Erroneous Switches
4.7.12	Exception Processing
4.7.13	Manage Meter Irregularities
4.7.14	Manage Pre-payment Metering
4.7.15	Manage Supply Faults & Planned Outages
4.7.16	Management of Changes to Systems
4.7.17	MPAS validation procedures

4.7.18	NOSI
4.7.19	Objection processing
4.7.20	Records, audits & non-functional requirements
4.7.21	Refresh of Registration Details
4.7.22	Register MPAN on Switch
4.7.23	Related Metering Points
4.7.24	Reporting
4.7.25	SoLR
4.7.26	Priority Service Register
4.7.27	Update Customer Data
4.7.28	Update Registration Data

Supplier Agents

The Supplier Agents section is applicable only to Electricity Suppliers [1].

You must create an entry in the Supplier Agents section for each Market Role that is to be performed on behalf of the yourself by a qualified MEM Agent and PPMIP. These are typically for Data Collection, Data Aggregation and Meter Equipment Management and all applicable Supplier Agents should be listed.

You will need to include the Supplier Agent MPID (or name) and describe the status of the relationship with that agent.

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[1] This will become applicable to Gas Suppliers on CSS go live.

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.

#	Item to be assessed	Your Response	Evidence to support
1.1	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. 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 operate 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

#	Item to be assessed	Your Response	Evidence to support
1.2	Are you making use of any subcontractors, third parties or service providers to provide the operation of the service or develop and manage any of the technical solution?		
1.2.1	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.	List of all subcontractors, third parties or service providers including details of what they are providing
1.3	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.	

#	Item to be assessed	Your Response	Evidence to support
1.4	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 risks which may include organisation's risk appetite, risk and threat identification processes, risk scoring and treatment criteria and how risks are addressed and governed. A risk register detailing security and data risks 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 risks identified.	Risk methodology Risk register Risk treatment plans (where applicable)
1.5	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.	Including but not limited to: ISO27001 certificate Cyber Essentials Plus certification IASME Governance Standard ISO27701 certificate
1.6	How do you ensure that you have appropriate risk, security and control arrangements in place that are reviewed on a regular basis?	A process demonstrating how information security and data protection risks are kept under review, including items that may include triggers, threat sources and the frequency of reviews.	Risk methodology Governance review minutes
1.7	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

#	Item to be assessed	Your Response	Evidence to support
1.8	How has your business taken steps to ensure appropriate information security and control procedures are in place?	Describe how you identify the types of policies and processes required for your business.	Information security policy Statement of applicability Audit/review documentation
1.9	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.	Physical and environmental security policy
1.10.	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
1.11	How has your business taken steps to ensure that credentials used to access services are held in a secure manner, and any relevant secret key material is secured throughout its lifecycle.	Provide an overview of how you keep keys and secrets confidential, cycle them appropriately and make use of them without risk of disclosure.	Access controls policy Cryptographic lifecycle policy Secret key register

#	Item to be assessed	Your Response	Evidence to support
1.12	What steps has your business taken in relation to human resource security, such as appropriate screening and relevant training?	Provide an overview of your human resource security controls, with reference to REC processes and associated data.	Human resource security policy Screening and training matrix
1.13	How does your business 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.	System monitoring policy
1.14	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.	Vulnerability scanning procedures Patch management procedures
1.15	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.	Incident management procedure
1.16	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.	Data classification and retention policy

#	Item to be assessed	Your Response	Evidence to support
1.17	How do you ensure data is only accessed for the purposes for which it is required?	Please describe your processes to prevent inappropriate use of data, particularly Consumer data relating to your REC obligations.	Data access policy
1.18	Please provide a completed up-to-date and relevant ICO checklist.	Please provide a completed up-to-date and relevant ICO checklist?	Completed ICO checklists
1.19	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
1.20.	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.	

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

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#	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	How were CMEC enforced?	Please describe briefly the types of management controls that were employed to ensure compliance with CMEC.	Procedure references, internal audit. Please provide a copy(s) with your response.
3	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.
4	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.
5	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.
6	Has your organisation been involved in any issues that have been escalated to the PAB? If so, please give details.	Please provide sufficient information to enable the Code Manager to assess the impact on	Problem reports, correspondence between involved parties and the Code Manager, resolution details etc. Please provide a copy(s) with your response.

		inter-operability of issues that have occurred during operations.	
7	Has your organisation been involved in any disputes that have been escalated to the Code Manager? If so, please give details of disputes and resolutions.	Please provide sufficient information to enable the Code Manager to assess the impact on inter-operability of disputes that have occurred during operations.	Dispute reports, correspondence between involved parties, resolution details etc. Please provide a copy(s) with your response.

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