

Market Entry

Self-Assessment Forms -
DNOs and Suppliers

RETAIL
ENERGY
CODE





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. Once you have completed your response, please upload the completed form, along with the required supporting material into the REC Portal. To upload files into the REC Portal, please navigate to Party Operations, then Performance Assurance, and click 'Your Files'. As you will have multiple files to upload, please zip your files relating to this application, naming each file with the reference number relating to the question below where relevant.

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

Section 2 – Business Solution

#	Item to be assessed	Your Response
2.1a	How many UK retail energy customers do you currently have?	



#	Item to be assessed	Your Response
2.1b	How many metering points are there in your operational area?	
2.1c	Do you intend to solely serve Micro Business Consumer?	



#	Item to be assessed	Your Response
2.2	From which locations will the various business functions that support your REC requirements be operated?	
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	
2.4	Please detail how senior management monitor the ongoing delivery of your service and identify and resolve any risks.	



#	Item to be assessed	Your Response
2.5	Please provide information around what relevant experience your organisation and staff have in operating within this market.	
2.6	Please provide details around your current position in regard to putting in place Supplier Agent Contracts.	





#	Item to be assessed	Your Response
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?	
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?	





#	Item to be assessed	Your Response
2.9	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?	
2.9.1	Please indicate what limitations you would propose and why?	





#	Item to be assessed	Your Response
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.	





#	Item to be assessed	Your Response
2.10.2	How do you intend to manage the relationship(s) with your subcontractors, third parties or service providers?	
2.11	Please provide details of your business processes around the installation of smart meters?	





#	Item to be assessed	Your Response
2.11.1	How will you maintain compliance with all relevant clauses the Smart Meter Installation Schedule?	





Section 3 - Technical Solution

#	Item to be assessed	Your Response
3.1	Please describe the architecture of your in-scope systems.	
3.2	Will you be deploying business processes and/or computer applications that are already operating in the market?	





#	Item to be assessed	Your Response
3.3	Please specify your mechanism for routing of incoming data flows to applications and/or procedures and how the next step is determined.	
3.4	How does your business solution check that Market Messages are received and processed completely, accurately and in a timely manner?	





#	Item to be assessed	Your Response
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?	
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?	





#	Item to be assessed	Your Response
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?	
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?	





#	Item to be assessed	Your Response
3.9	What business continuity and disaster recovery arrangements are in place within your organisation to ensure minimum disruption to service?	





Section 4 - Configuration Solution

#	Item to be assessed	Your Response
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.	





#	Item to be assessed	Your Response
4.2	How have you developed and implemented your test strategy and/or plans to demonstrate that you are able to operate the service?	
4.3	How have you demonstrated that these plans have been formally approved?	





#	Item to be assessed	Your Response
4.4	How have you determined the extent and coverage of testing that you intend to perform?	
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?	





#	Item to be assessed	Your Response
4.6	How are you able to demonstrate that all planned testing has been completed?	





#	Item to be assessed	Your Response
4.7	<p>Please detail the business processes in place within the 'Business Process Table' (see Appendix 1).</p> <p>For each business process please detail:</p> <ul style="list-style-type: none">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?	



Appendix 1 - 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	Change of Consumer or Meter Details
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



Name	
Title	
Company	
Date	
Signature	





To find out more please contact:

enquiries@recmanager.co.uk

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