

# REC Market Entry and Exit

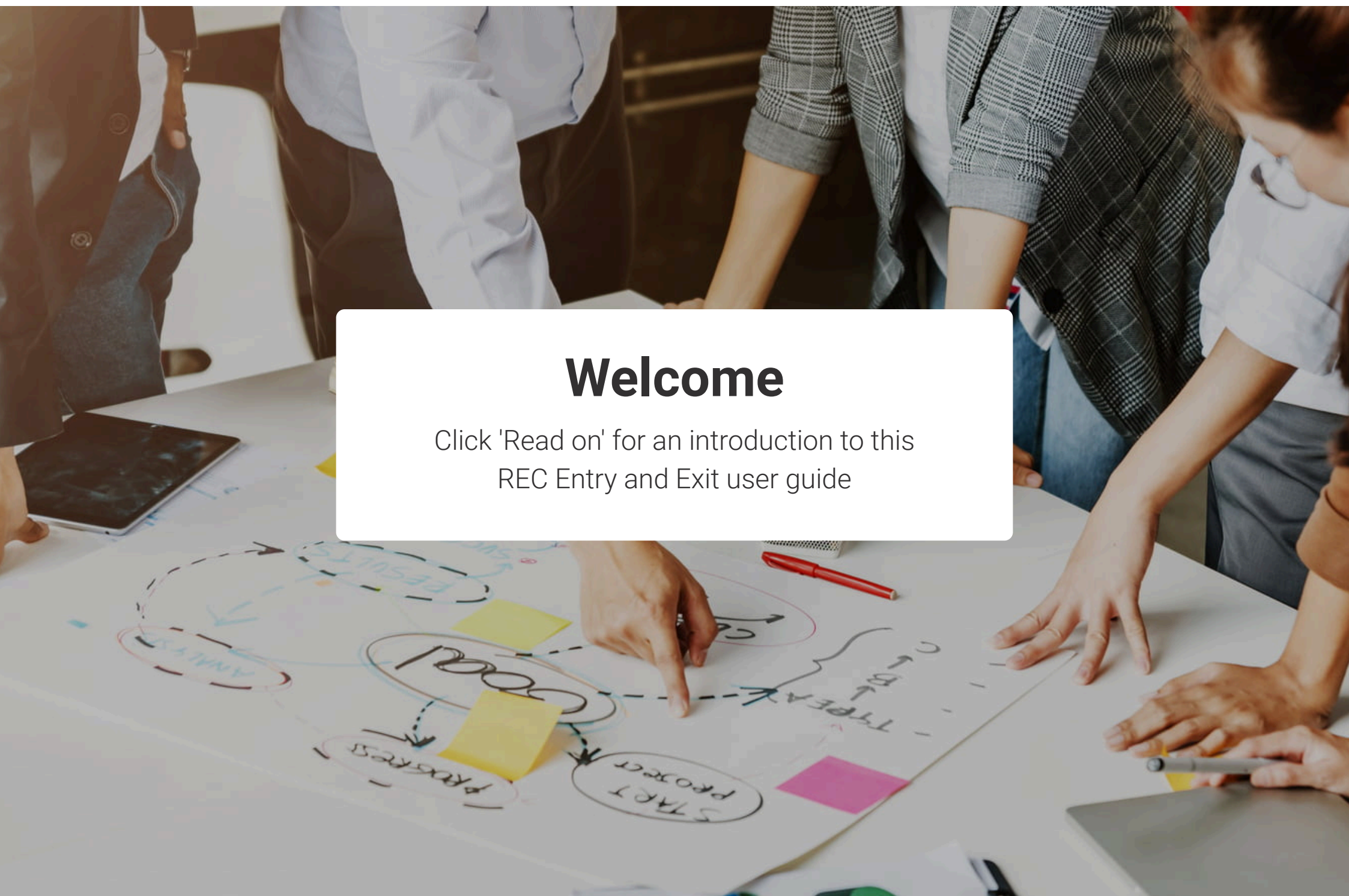
A user guide last updated in April 2024

RETAIL  
ENERGY  
CODE



# Welcome

Click 'Read on' for an introduction to this  
REC Entry and Exit user guide



Welcome to this REC User Guide.

In this document, we will provide you with key information related to the REC Entry and Exit process. We will help you understand what type of **REC Service User** you are, how to complete a market entry assessment and become a qualified **REC Service User**.

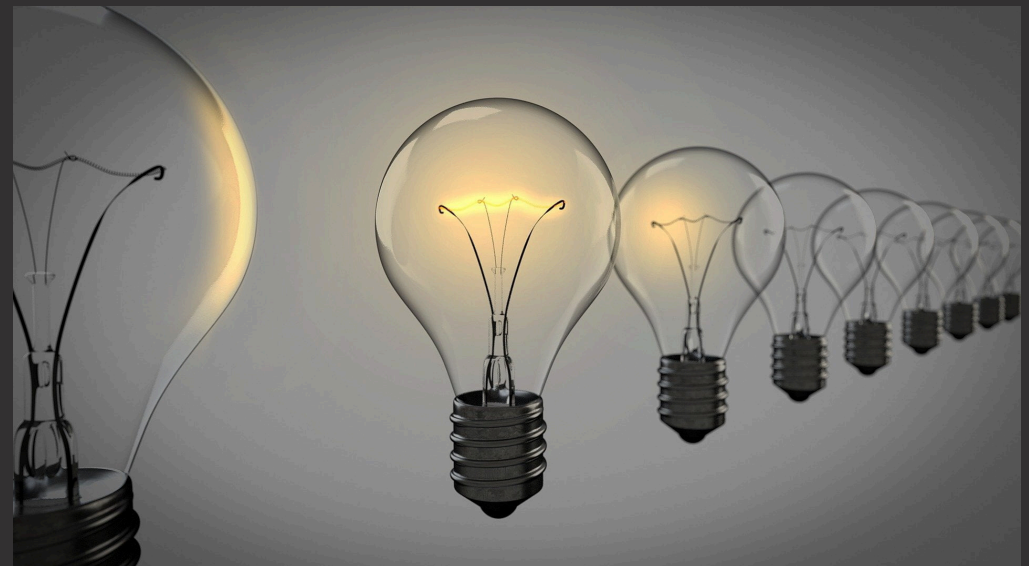
WHAT SORT OF REC USER ARE YOU?

ENTRY REQUIREMENTS

ENTRY PROCESS FOR ALL APPLICANTS

WITHDRAWING FROM THE REC

The REC Portal is the digital home of the Retail Energy Code. Maintained by the Code Manager, it has been designed to facilitate provision of information, management of data, and two-way engagement between the Code Manager and REC stakeholders. It's the tool you will use to manage your application information.





# What sort of REC User are you?

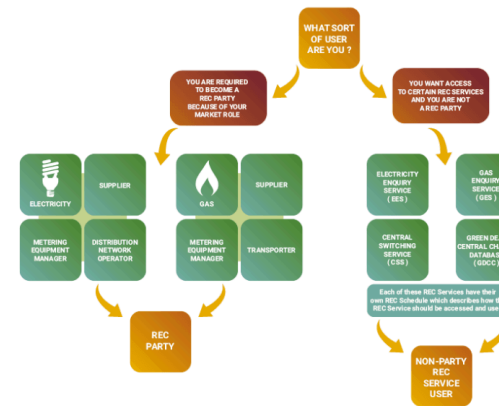
Differences between REC Parties and non-REC Party Service Users and what it means for your application



Certain types of organisation are required to accede to the REC as part of their market role.

## REC Party

Your organisation is an Electricity/Gas Supplier, Metering Equipment Manager, Transporter or Distribution Network Operator



What sort of user are you? (Click to zoom)

## Non-REC Party Service User

Your organisation needs:

- Electricity Enquiry Service (EES)
- Gas Enquiry Service (GES)
- Central Switching Service (CSS)
- Green Deal Central Charge database (GDCC)

If you are applying to be a **Non-Party REC Service User** you do not need to accede to the full REC but instead will sign individual access agreements for each of the services you require. You will also complete entry assessment to become a Qualified Non-Party REC Service User.

We have made the process for becoming a REC Party / Non-Party Service User quick and easy. Click below to explore the accession process, agree entry assessment plan and prerequisites for each type of user:

[REC Party application](#)

[Non-Party REC Service User application](#)



# REC Party User Entry Requirements

Where we explore the process and requirements for becoming a new REC Party

## Accession process

You start your application on the REC portal. If you haven't already got one, you'll need to create a REC Portal user account.

The REC Portal is the digital home of all information relevant to the REC. Signing up is simple and free. Click the button below to register your account.

[SIGN UP FOR YOUR PORTAL ACCOUNT](#)

The REC Portal hosts the online [Entry Assessment](#) form that you can use to apply for access to become a REC Party.

[ENTRY ASSESSMENT FORM](#)

Once we've received your initial application, the Code Manager will send you a REC Welcome Pack.

An Operational Account Manager will send you a [REC Accession Agreement](#) once your initial application has been validated.

You will also be appointed your own [Operational Account Manager](#) and [Lead Assessor](#) who will be on hand to answer any questions and support you throughout your application.

For more information about setting up a REC Portal account including handy tips and benefits, please click on the below button for our REC Portal user guide.

[REC PORTAL USER GUIDE](#)

Once your signed Accession Agreement has been returned and countersigned by RECCo, congratulations you are now a Party to the REC.



Shelley Rouse is one of our Operational Account Managers

Your Company will be added to the REC Party Register on the REC Portal and notice of your Accession will be published in the REC Weekly ulletin

## Agree entry assessment plan

Your [Lead Assessor](#) will work with you to define your formal entry assessment plan and qualification criteria.

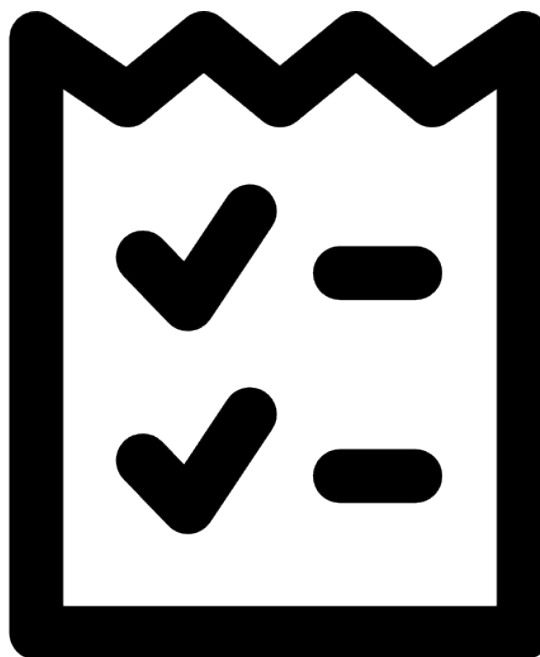
The [Entry Assessment](#) process will be a series of stages agreed with your [Lead Assessor](#) which are designed to show you are able to meet the requirements of being a REC Party.

The [Entry Assessment](#) Information Pack explains the different stages of the market entry assessment that you will need to satisfy to become a qualified REC Party.

### REC ENTRY ASSESSMENT INFORMATION PACK

Once you've satisfied the requirements of [Entry Assessment](#) - congratulations! You will be a successfully qualified [REC Party](#). We'll let the right people know so that your organisation can gain access to the full suite of [REC Services](#).

You'll also notice that more information and functionality will be available to you on the REC Portal, such as [REC Party](#) specific knowledge and training, and documents relating to REC Committees and you will also be given access to your [Performance Assurance](#) dashboard.



## My Application has been rejected - what now?

If the Code Manager is not satisfied with any aspect of your Initial Application, we'll get in touch with you to let you know why.

We may reject an application for a variety of reasons, including if you're applying on behalf of an organisation which already has access, information is inaccurate or incomplete, or access criteria have not been met.

Where we require further information from you to progress your application, you will have 20 working days to provide that information, or the application will lapse.



## Prerequisites

For REC Party Applicants, you will need to have acceded to the REC, gained REC Portal access, and have completed your application form .

## Business Solution Assessment

You will be asked complete a Self-Assessment Form to provide the following details:

- Evidence of your business solution
- Comprising business processes
- Local work instructions
- Management procedures
- IT applications

[DOWNLOAD BUSINESS SOLUTION ASSESSMENT INFORMATION AND SELF-ASSESSMENT FORM GUIDANCE](#)



Your responses will be assessed by the Code Manager as part of the Business Solution Assessment. These results will feed into the next steps of the [Energy Assessment process](#).

## Market Scenario Testing

Internal testing involves you running tests to demonstrate your systems and processes can operate against a defined list of market scenarios. The outcome of these tests will be assessed by the Code Manager at the intervals agreed within the Entry Assessment Plan.

[DETAILS OF MARKET SCENARIOS](#)

[FURTHER INFORMATION ON INTERNAL ASSESSMENT TRAINING](#)

## ISDP Assessment

You will be required to provide evidence around Information Security and Data Protection arrangements associated with REC provisions.

Responses provided by you will then be assessed by the Code Manager who will determine whether you have adequately identified and looked to address ISDP risks that your organisation will face following Qualification.

**FURTHER INFORMATION ON  
INFORMATION SECURITY AND DATA  
PROTECTION ASSESSMENT**

**GUIDANCE ON HOW TO COMPLETE THE  
INFORMATION SECURITY AND DATA  
PROTECTION QUESTIONNAIRE**

## RTS External Testing

External testing involves you running tests to demonstrate robustness of interfaces with REC Service Provider systems and other Market Participants.

The Code Manager will determine the market scenarios to be tested based on the Business Solution Assessment (BSA) and internal testing. The outcome of these tests will be assessed by the Code Manager and remediation activities discussed with you, where required.

**DETAILS OF MARKET SCENARIOS IN THE  
JOINT BSC AND REC STORYBOARDS  
DOCUMENT**

**FURTHER INFORMATION ON THE  
INTERNAL ASSESSMENT TRAINING**

## CSS External Testing

External testing involves you running tests to demonstrate robustness of interfaces with REC Service Provider systems and their Market Participants.

CSS external testing focuses on the interface between CSS Users and the CSS.



# Non-Party REC Service User Entry Requirements

Where we explore the processes and requirements for accessing REC Services as a non-REC Party

## Access process

You start your application on the REC Portal. If you haven't already got one, you'll need to create a REC Portal User account.

The REC Portal is the digital home of all information relevant to the REC. Signing up is simple and free. Click the button below to register your account.

[Sign up for your Portal account](#)

The REC Portal hosts the online [Entry Assessment](#) form that you can use to apply for access to become a Non-Party REC Service User. Be sure to select that you are applying to be a [Non-Party REC Service User](#), and indicate all [REC Services](#) you are requesting access to.

[ENTRY ASSESSMENT FORM](#)



Eve Marriner is one of our Operational Account Managers

Now we're ready to begin the entry assessment process that will result in you becoming a qualified [Non-Party REC Service User](#).

We will be in touch to put a date in the diary for a meeting. This is where we will work with you to define your formal entry assessment plan and qualification criteria.

For more information about setting up a REC Portal account including handy tips and benefits, please click on the below button for our REC Portal user guide.

[REC PORTAL USER GUIDE](#)

## Agree entry assessment plan

Once your Initial Application has been validated, you will be asked to sign and return an [Access Agreement](#) for each of the relevant [REC Services](#). This will describe the terms under which you are permitted to use the service.

The [Entry Assessment Process](#) will be a series of stages agreed with your Lead Assessor which are designed to show you are able to meet the requirements of being a [Non-Party REC Service User](#).

The [Entry Assessment](#) Information pack explains the different stages of the market entry assessment that you will need to satisfy to become a qualified Non-Party REC Service User.

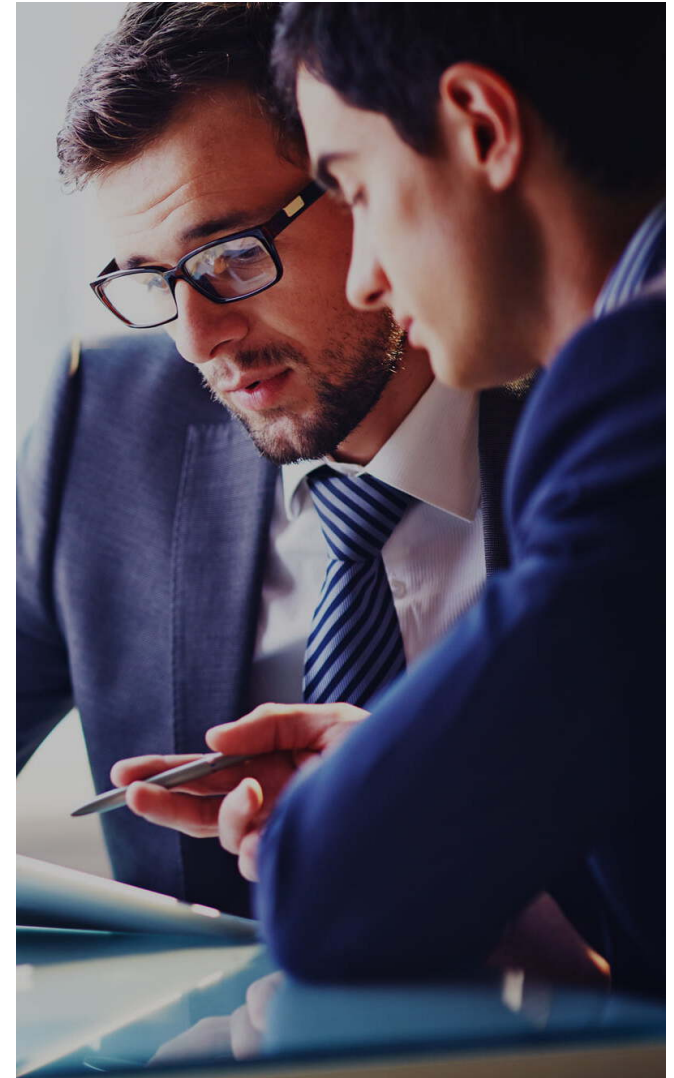
**ENTRY ASSESSMENT INFORMATION  
PACK**

## My Application has been rejected - what now?

If the Code Manager is not satisfied with any aspect of your Initial Application, we'll get in touch with you to let you know why.

We may reject an application for a variety of reasons, including if you're applying on behalf of an organisation which already has access, information is inaccurate or incomplete, or access criteria have not been met.

Where we require further information from you to progress your application, you will have 20 working days to provide that information, or the application will lapse.



## Prerequisites

Non-Party REC Service Users are not required to accede to the REC, but you will have gained REC Portal access, and have completed your application form for the service that you want to use.

## ISDP Assessment

Applicants will be required to provide evidence around Information Security and Data Protection arrangements associated with REC provisions.

Responses provided by applicants will then be assessed by the Code Manager who will determine whether the applicant has adequately identified and looked to address ISDP risks that they will face following Qualification.



[FURTHER INFORMATION ON INFORMATION SECURITY AND DATA PROTECTION ASSESSMENT](#)

[GUIDANCE ON HOW TO COMPLETE THE INFORMATION SECURITY AND DATA PROTECTION QUESTIONNAIRE](#)

## Qualification as a Non-Party REC Service User

Once you have satisfied the requirements of Entry Assessment - congratulations! You will be a successfully qualified [Non-Party REC Service User](#).

We'll let the right people know that your organisation has access to the service that you have become a qualified [Non-Party REC Service User](#).



# Maintaining Your Qualification Status

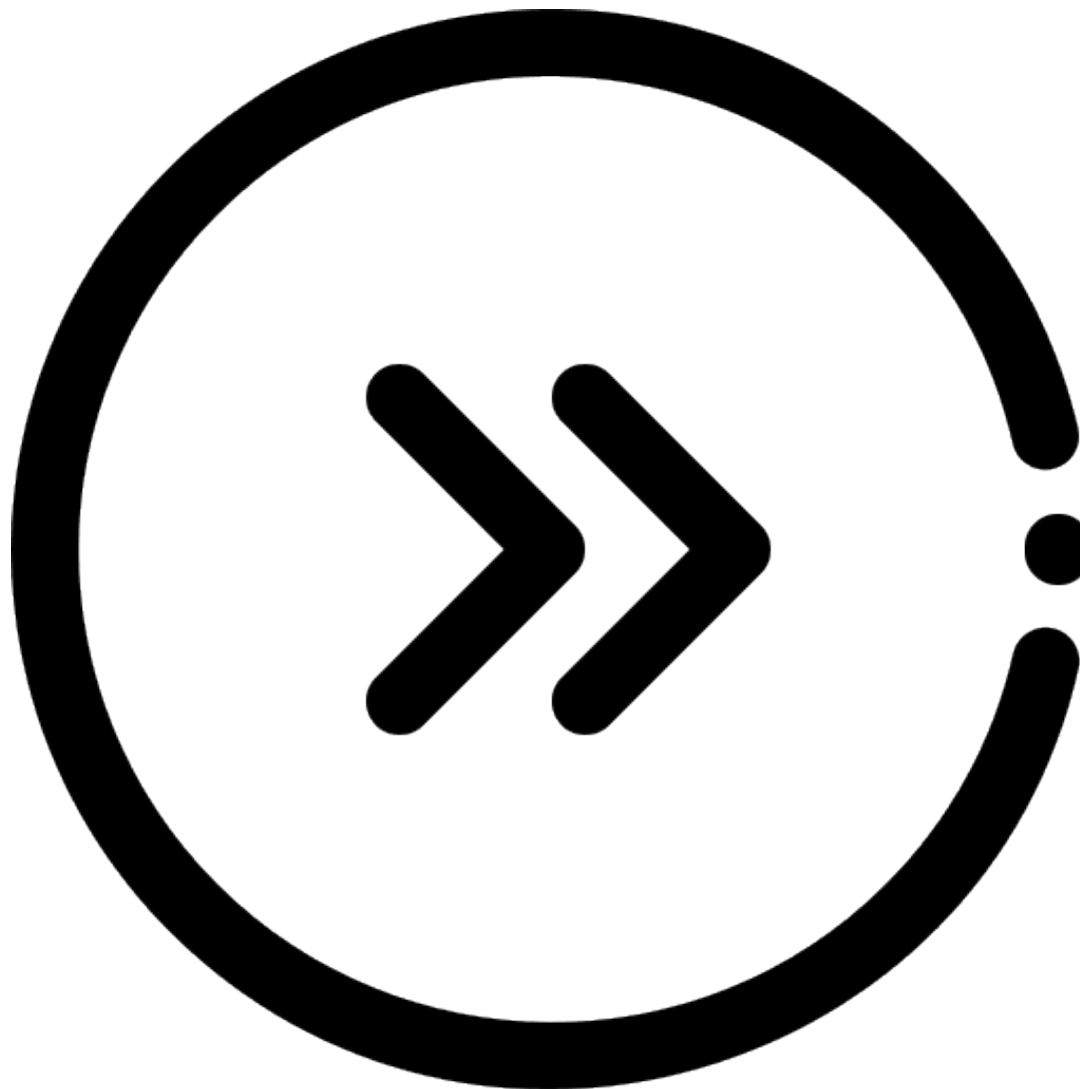
Where we explore the ongoing requirements for remaining a REC Party and/or Service User

**Following Qualification, all REC Parties and Non-Party REC Service Users will be subject to ongoing Maintenance of Qualification requirements, including the submission of an Annual Statement.**

As part of these Maintenance of Qualification arrangements, REC Service Users will be subject to an annual Information Security and Data Protection Assessment.

The level of this assessment will be based on the REC Service being accessed and the REC Service User category.

[Click here for further information on the Maintenance of Qualification arrangements](#)





# Withdrawing from the REC

Where we explore what happens when you exit the Code arrangements



## Understanding the process for the removal of your qualification status

There are circumstances in which a [REC Party](#) or a [Non-Party REC Service User](#) has its qualification and access rights withdrawn. Typical scenarios where this arises includes:

[Voluntary withdrawal](#)

[Supplier of last resort](#)

[Expulsion following an event of default](#)

## Voluntary withdrawal from the REC

You may decide that you no longer want to be a qualified [REC Party](#) or [Non-Party REC Service User](#). If this is the case, you must notify the Code Manager of your intention to withdraw.

Your intended date of withdrawal must be at least 28 calendar days from the date that you provide notice. You can provide notice of withdrawal through the relevant area on the REC Portal.

The [Code Manager](#) will receive your notice of withdrawal and carry out checks to ensure that you meet the requirements of exit.

[NOTICE OF WITHDRAWAL FORM](#)

Requirements include:

- Any outstanding charges due under the REC have been settled
- You do not continue to hold a Licence requiring you to be a REC Party
- As a Supplier, Network Operator or MEM you are not associated with any Registerable Metering Points

Providing these requirements are met and continue to be met until the date of intended withdrawal, you will formally withdraw from the REC on your notified date of withdrawal. At this point, your status as qualified [REC Party](#) or [Non-Party REC Service User](#) will lapse. Access rights to the REC Portal and [REC Services](#) will be revoked.

The REC Party Register on the REC Portal will be updated to advise other REC Parties of the change in status for your organisation.

If the Code Manager cannot confirm that conditions for withdrawal have been met at least two working days prior to the intended date of withdrawal, the process will be stopped. The Code Manager will notify you why you were unable to withdraw. If you still wish to withdraw, you must restart the process by sending a further notice of your intention to withdraw.

### Expulsion from the REC

RECCo Board may decide to expel a qualified [REC Party](#) following an Event of Default - a scenario where a [REC Party](#) has been found to be in breach of the REC and that breach has not or cannot be resolved. We may suspend or remove your access to [REC Services](#) if you breach any of the conditions of your Access Agreement.

In this event, the RECCo Board will serve you with a notice of expulsion. The [Code Manager](#) will confirm your expulsion to all other [REC Parties](#), [Non-Party REC Service Providers](#) and [Code Managers](#) for other industry codes that you may be party to. All access rights to the [REC Portal](#) and [REC Services](#) will be removed.

### Supplier of Last Resort

In the event that you are a Supplier which has entered administration or ceased to trade, Ofgem may withdraw your Supply Licence and appoint a Supplier of Last Resort to ensure your customers are protected.

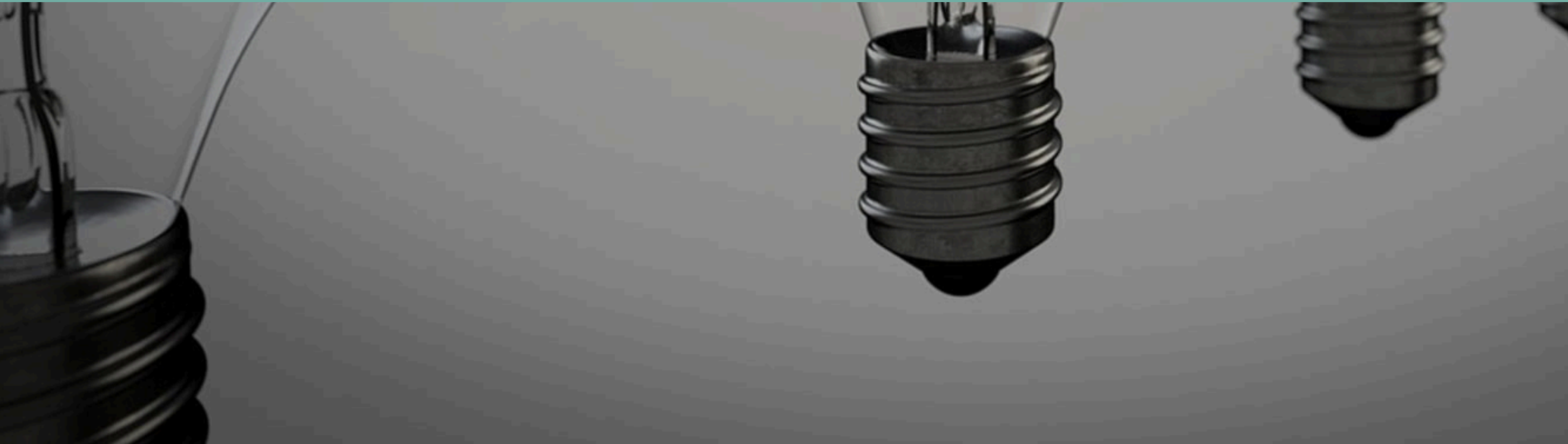
Your customers will be transferred to this new Supplier. If you are gaining customers as the Supplier of Last Resort you will have agreed with Ofgem to take these customers.

The Code Manager will work closely with the failed Supplier and the Supplier of Last Resort throughout this process, to ensure that access to the right data within [REC Services](#) is available at the right time. The Code Manager will make a recommendation to the RECCo Board of the appropriate time to withdraw access to all [REC Services](#) and the REC Portal for a failed Supplier.



# Glossary of terms

A guide to key terms used throughout this user guide



## Glossary of terms

**REC Service User** - either a Party that has become qualified to the REC or an organisation that has qualified to use REC services

**Entry Assessment** - the process for becoming qualified

**REC Party** - an organisation that has acceded to the REC

**Operational Account Manager** - a named individual who will be your REC contact point

**Lead Assessor** - an individual who will guide you through the assessment and qualification process

**Performance Assurance** - the framework to measure compliance with the REC

**REC Services** - the services provided by REC such as the Enquiry Services and the Central Switching Service

**Maintenance of Qualification** - an annual process of assessing a REC Service User

**Non-Party REC Service User** - an organisation that has signed an access agreement to use REC Services

**Access Agreement** - an agreement enabling a Non-Party REC user to use REC Services

**Qualified** - a status that means a REC Party or Non-Party REC Service User can use REC Services

Thank you for reading

# REC Entry and Exit: a REC User Guide

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