

## Change to Senior Personnel Checklist

A supplier is required to notify the Authority where there is a reasonable prospect that there will be a change in a Person with Significant Control or Significant Managerial Responsibility or Influence (as defined in SLC 19AA)

The SLC 19AA Assessment is an assessment of significant personnel developments by the Authority against the requirements set out in guidance issued by the Authority on SLC 19AA and (subject to the licensee's provision of information required by the Authority) to be carried out in advance of any significant developments.

This assessment is to increase regulatory scrutiny of supplier growth and to strengthen checks on significant personnel developments which will protect consumers by mitigating the harmful effects associated with unchecked and unsustainable supplier growth, and poor supplier business practices.

***Please complete the form below form with details of changes to be notified***

**Name of Company:**

**Name of Employee :**

**Current role:**

**New role:**

**Brief description of new role and responsibilities within the business:**

**Please answer the following questions:**

- Has the named person above been responsible for, contributed to or facilitated any serious misconduct or mismanagement (whether unlawful or not) in the course of carrying out a regulated activity (or, providing a service elsewhere which, if provided in Great Britain, would be a regulated activity)  
☐ No ☐ Yes
- Does the named person above have any unspent criminal convictions in any jurisdiction, in particular fraud or money laundering?  
☐ No ☐ Yes

- Does the named person above have any insolvency history, including undischarged bankruptcy, debt judgements and County Court judgements?  
☐ No ☐ Yes
- Has the named person above ever been disqualified from acting as a company director ?  
☐ No ☐ Yes
- Has the named person above been a person with Significant Managerial Responsibility or Influence at a current or former licensed Gas or Electricity Supplier in respect of whose Customers' premises the Authority issued a Last Resort Supply Direction (including within the 12 months prior to the Last Resort Supply Direction being issued), or at a current or former licensed Gas or Electricity Supplier that has been subject to the Special Administration Regime.  
☐ No ☐ Yes
- Has the named person above been refused, had revoked, restricted or terminated any form of authorisation, or had any disciplinary, compliance, enforcement or regulatory action taken by any regulatory body in any jurisdiction whether as an individual, or in relation to a business in which that person held Significant Managerial Responsibility or Influence.  
☐ No ☐ Yes

If you answered 'Yes' to any of the above, please provide further details below.

You should also provide details of any other information that you consider may be relevant for our consideration of the notified senior personnel change.

When providing details, give particular regard to circumstances in which the relevant person has a background in the energy sector in Great Britain and the previous actions of that person resulted in or contributed towards significant consumer or market detriment.

**Please submit the fully completed Employee Checklist by email to**  
[supplier@ofgem.gov.uk](mailto:supplier@ofgem.gov.uk)