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## SCHEDULE XX

### Data Access

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Version: 0.1

Effective Date: N/A

Domestic Suppliers	Mandatory
Non-Domestic Suppliers	Mandatory
Gas Transporters	Mandatory
Distribution Network Operators	Mandatory
DCC	Mandatory

*[Cover Note: The obligations to operate and maintain Enquiry Services differ across electricity and gas.]*

*Gas Transporters are responsible for maintaining the Data Enquiry Service. High level obligations are set out under Gas Transporter Licence Standard Conditions 31. We are proposing that RECCo is required under the REC to procure this service (referred to as the Gas Enquiry Service). We think that this is compatible with the Gas Transporter Licence obligation and that such an arrangement could meet the requirements of the Gas Transporter Licence. However, we are also requesting views on whether the licence obligations on Gas Transporters could be removed once the new REC obligations are in place.*

*Electricity Network Operators are required to provide an MPAS enquiry service under SLC 18. Electricity Suppliers and Electricity Distribution Operators are responsible for operating and maintaining ECOES under the MRA. We are proposing that RECCo is required under the REC to procure this service (referred to as the Electricity Enquiry Service). We think that this is compatible with the Distribution Licence obligation and that such an arrangement could meet the requirements of the Distribution Licence. However, we are also requesting views on whether the licence obligations on DNOs could be removed once the new REC obligations are in place.*

*The service definition for the Gas Enquiry Service and Electricity Enquiry Service, including the technical requirements for on-boarding and using the service, will be set out under the Technical Specification.]*

*Change History*

Version Number	Implementation Date	Reason for Change
0.1	N/A	Version for June 2019 consultation

## **1. Introduction**

- 1.1 This REC Schedule:
- (a) sets out the process by which Market Participants and other interested parties can access data via one or more Enquiry Services;
  - (b) describes the Data Access Matrix which governs which categories of person can access which data; and
  - (c) sets out obligations on Parties and Switching Data Service Providers to make data available so that it can be accessed through the Enquiry Services.
- 1.2 This REC Schedule should be read in conjunction with the Technical Specification which defines the service being delivered by each Enquiry Service, including the means by which data is made available to Enquiry Service Users.
- 1.3 RECCo shall contract with one or more Enquiry Service Provider for provision of a Gas Enquiry Service consistent with the description set out in the Technical Specification. Where necessary, RECCo shall exercise its rights under the service provider contract to ensure that the contract remains consistent with the Technical Specification.
- 1.4 RECCo shall contract with one or more Enquiry Service Providers for provision of an Electricity Enquiry Service consistent with the description set out in the Technical Specification. Where necessary, RECCo shall exercise its rights under the service provider contract to ensure that the contract remains consistent with the Technical Specification.
- 1.5 Each Party shall take all steps within its control to ensure that RECCo complies with its obligations under Paragraphs 1.3 and 1.4.

## **2. Provision of Data to the Enquiry Services**

- 2.1 Each Party and each Switching Data Service Provider (other than the Enquiry Service Providers) have obligations under this Code to make certain data available to the Enquiry Services, including under the Registration Services Schedule, the Data Management Schedule and the Address Management Schedule.
- 2.2 Each Energy Supplier is obliged to ensure that its Supplier Agents make certain data available either directly to the Enquiry Services or via the relevant Switching Data Service Provider under the [Meter Data Update Schedule].

## **3. Provision of Enquiry Services**

- 3.1 RECCo shall ensure that each Enquiry Service Provider provides each Enquiry Service User with access to the Data Items in the Enquiry Service (subject to and in accordance with the Data Access Matrix, the user's Data Access Agreement and this REC Schedule).
- 3.2 RECCo shall ensure that each Enquiry Service Provider only permits each Enquiry Service User to access Data Items through the Enquiry Service which that Enquiry Service User is authorised to access, as set out in the Data Access Matrix and the user's Data Access Agreement.
- 3.3 The rules for how each Enquiry Service User can access Data Items through an Enquiry Service will be set out in the user's Data Access Agreement. Any conditions associated with access to specific Data Items will be included in the Data Access Matrix (subject to Paragraph 5.6).

- 3.4 Data shall be made available to Enquiry Service Users in the format and timescales prescribed in the Technical Specification. This may include provision of data through various means including website access, telephone services or APIs.
- 3.5 Charges for the provision of access to data through Enquiry Services are set out in the [REC Schedule of Charges.] RECCo shall ensure that the charges for use of the Enquiry Services are fair, reasonable and non-discriminatory.

#### **4. Permission to Access Data Items**

- 4.1 Enquiry Service Users will be categorised as either 'Market Participant Enquiry Service Users' where they are included within Market Participant Market Domain Data; or 'Other Enquiry Service Users' where they are not included within Market Participant Market Domain Data.
- 4.2 An Enquiry Service User may only access data under this Schedule in accordance with the terms of its Data Access Agreement.
- 4.3 The Code Manager may only access data for the purpose of fulfilling its obligations under this Code.

#### **5. Data Access Matrix**

- 5.1 Amongst other things, the Data Access Matrix will set out the Data Items that each category of Enquiry Service User can access.
- 5.2 The Data Access Matrix forms part of the Technical Specification. The Code Manager is responsible for managing updates to the Data Access Matrix in accordance with Paragraph 7 and 8.
- 5.3 The categories of Enquiry Service User which shall, as a minimum, be maintained in the Data Access Matrix are as follows (as such expressions are defined in the Data Access Matrix):
- (a) a separate category for each Market Participant Role;
  - (b) Third Party Intermediaries;
  - (c) Non-Domestic Customers (for portfolio access);
  - (d) AMR Service Providers;
  - (e) Smart Meter System Operators;
  - (f) the Code Manager; and
  - (g) a separate category for each manager or administrator of each other Energy Code.
- 5.4 For each Enquiry Service User Category linked to a Market Participant Role, the Data Access Matrix must specify:
- (a) the Data Item(s) that each Enquiry Service User can access for an RMP (known as 'Community View'); and
  - (b) the Data Item(s) that each Enquiry Service User can access for an RMP if it has a specified responsibilities for that RMP (known as 'Portfolio View').

- 5.5 Market Participant Enquiry Service Users will be able to access all Data Items recorded in the Data Access Matrix for their Enquiry Service User Category subject to the terms of the Data Access Agreement.
- 5.6 Other Enquiry Service Users may be permitted to access fewer Data Items than the total number potentially available for its Enquiry Service User Category. The specific Data Items that each Other Enquiry Service User is permitted to access and the circumstances when they can be accessed, will be set out in its individual Data Access Agreement.
- 5.7 The Code Manager shall publish the Data Access Matrix, and any changes to it, on the Website.

## **6. Becoming an Enquiry Service User**

- 6.1 An Enquiry Service User must have a Data Access Agreement in place with RECCo before the Enquiry Service User can access the Enquiry Services.
- 6.2 Each Enquiry Service User that is a Party shall be deemed to have signed a Data Access Agreement as part of its accession to this Code, and shall automatically have the applicable rights and obligations under the Data Access Agreement while such Party remains a Qualified Market Participant.
- 6.3 Each Party shall comply with its Data Access Agreement, but in the event of conflict the provisions of this Code shall prevail.
- 6.4 RECCo shall ensure that the Data Access Agreements are managed by an Enquiry Service Administrator in accordance with this REC Schedule and the Technical Specification. The Enquiry Service Administrator can be the Code Manager, an Enquiry Service Provider or another person procured by RECCo for that purpose. There can be a different Enquiry Service Administrator for each Enquiry Service.
- 6.5 The Code Manager shall publish the standard terms for each Data Access Agreement on the Website. These are the terms which automatically apply to each Party. The standard terms for a Data Access Agreement shall, as a minimum, set provisions relating to<sup>1</sup>:
  - (a) data security;
  - (b) data protection;
  - (c) audit requirements (if applicable);
  - (d) restrictions on the use of data (if applicable);
  - (e) restrictions on passing data to other persons and their use of the data (if applicable); and
  - (f) testing and on-boarding requirements for the relevant Enquiry Services.
- 6.6 The Data Access Agreement for individuals or organisations which are not Parties will be based on the published standard form of Data Access Agreement, subject to changes agreed by RECCo which are consistent with the Data Access Principles.

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<sup>1</sup> [Alternatively, the Data Access Agreement could be included as an annex to this REC Schedule.]

- 6.7 Individuals or organisations (not being Parties) which wish to access data should apply directly to the relevant Enquiry Service Administrator using the contact details provided on the Website. The Enquiry Service Administrator shall agree a plan for meeting any on-boarding requirements set out in the Technical Specification for that Enquiry Service and gaining access to the required data via the means specified in the individual Data Access Agreement. An Enquiry Service User's application will be assessed by the Enquiry Service Administrator against criteria approved by the REC Board.
- 6.8 The Enquiry Service Administrator shall, based on its assessment of the criteria, decide if the application should be approved or rejected.
- 6.9 The criteria may differ for each Enquiry Service User Category and will, as a minimum, cover:
- (a) applicant identity validation;
  - (b) confirmation that the applicant meets the characteristics expected for the requested Enquiry Service User Category; and
  - (c) confirmation that the Data Items requested are consistent with those permitted in the Data Access Matrix.
- 6.10 The Enquiry Service Administrator shall provide information and other reasonable support to an applicant. This includes:
- (a) coordinating with Enquiry Service Providers; and
  - (b) providing information to support testing with Enquiry Service Providers.

## **7. Adding or Removing a Data Item in the Data Access Matrix**

- 7.1 The Code Manager shall seek to ensure that all Data Items defined in the Technical Specification are covered by the Data Access Matrix, and that the access rights permitted by the Data Access Matrix are consistent with the Data Access Principles.
- 7.2 The Code Manager shall seek to include within the Data Access Matrix rules for accessing any new Data Items added to the Technical Specification.
- 7.3 The Code Manager shall raise and manage proposals to add or remove Data Items from the Data Access Matrix in accordance with the Change Management Schedule, to be assessed against the Data Access Principles and the charging principles described in Paragraph 3.5.
- 7.4 Before submitting a Change Report requesting a change, the Code Manager must consult with all relevant parties, including the Data Master(s) for the Data Item in question; provided that, in instances where the Meta Data Owner for a Data Item is a body under another Energy Code, the Code Manager may agree with that body that it will consult with the relevant Data Master(s).
- 7.5 As soon as possible after the Change Proposal has been approved, the Code Manager shall publish an updated Data Access Matrix on the Website, providing information on the date that the change will become effective from, and inform each relevant Enquiry Service Provider.

## **8. Adding a new Enquiry Service User Category to the Data Access Matrix**

- 8.1 Where the Enquiry Service Administrator receives a Data Access Agreement application that does not conform to the characteristics of an existing Enquiry Service User Category, the Enquiry Service Administrator shall notify the Code Manager.

- 8.2 Following any such notification, the Code Manager shall seek to introduce a new Enquiry Service User Category into the Data Access Matrix. In doing so, the Code Manager shall:
- (a) consider the proposal against the Data Access Principles;
  - (b) where necessary, consult with all relevant parties, including the Data Master(s) for each Data Item that is proposed to be accessible to parties in the new category of Enquiry Service User (or, in instances where the Meta Data Owner for a Data Item is a body under another Energy Code, the Code Manager may agree with that body that it will consult with the relevant Data Master(s));
  - (c) develop proposed criteria to be used in assessing an application to become an Enquiry Service User for this new category;
  - (d) identify any standard terms that should be included in Data Access Agreements for parties in the new Enquiry Service User Category; and
  - (e) raise a Change Proposal and develop a Change Report for approval in accordance with the Change Management Schedule.
- 8.3 As soon as possible after a Change Proposal has been approved, the Code Manager shall publish an updated Data Access Matrix on the Website, providing information on the date that the change will become effective from, and inform each relevant Enquiry Service Provider.

## **9. Appeals**

- 9.1 Where a Data Access Agreement applicant disagrees with the Enquiry Service Administrator's decision to reject its request, it may appeal that decision to the REC Board by submitting an appeal to the Code Manager (using the proforma provided for this purpose on the Website). Any appeal made to the REC Board by a Data Access Agreement applicant must specify the reasons for such an appeal.

## **10. Misuse of data<sup>2</sup>**

- 10.1 The Enquiry Service Administrator shall be responsible for monitoring the performance of Enquiry Service Users with the purpose of promptly identifying non-compliance by an Enquiry Service User with its Data Access Agreement.
- 10.2 The REC PAB [and the Security Board] will provide direction to the Enquiry Service Administrator on the risks to be mitigated through monitoring and how these may differ by Enquiry Service User Category. Details of the assurance provisions will be included in the standard Data Access Agreement.
- 10.3 The Enquiry Service Administrator shall develop an appropriate range of tools to meet its requirements under paragraph 10.1 and to mitigate any risks identified to it by the REC PAB [and the Security Board]. Such tools could include ongoing monitoring and auditing compliance with requirements specified in Data Access Agreements.
- 10.4 Any potential non-compliance shall be identified by the Enquiry Service Administrator to the REC PAB for its consideration. The REC PAB shall consider the report from the Enquiry Service Administrator and determine next steps, including if access to an Enquiry Service should be restricted or removed.

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<sup>2</sup> [Audit and monitoring requirements to be further developed].

- 10.5 RECCo will ensure that contracts with Enquiry Service Providers also include rights to audit to ensure access to data is provided in line with the Data Access Matrix and Data Access Agreements. RECCo will, with guidance from the REC PAB [and the Security Board] on the risks to be mitigated, ensure that audits are undertaken as appropriate.