

TRADING DISPUTES REVIEW – PROJECT INITIATION DOCUMENT (PID)

1. Background

- 1.1 The Trading Disputes Performance Assurance Technique was outside of the scope of the Performance Assurance Framework (PAF) review because it was found by the PAF review team to have no dependencies on other Performance Assurance techniques.
- 1.2 It was recognised that the Trading Disputes technique would require an independent review, so that areas requiring improvement could be identified.

2. Project Scope

- 2.1 The scope of this project is to complete a comprehensive review of the current Trading Disputes processes. In addition, the project will consider the effect that market-wide Half Hourly Settlement will have on the Trading Disputes technique.
- 2.2 This project aims to carry out an independent review of the Trading Disputes technique by:
 - obtaining stakeholder feedback;
 - examining feedback;
 - undertaking a Trading Disputes process level review; and
 - considering the effect of market-wide Half Hourly Settlement on Trading Disputes processes
- 2.3 This project will recommend any identified changes and improvements that can be made to the Trading Disputes technique as short-term and long-term changes.

3. Project Plan

- 3.1 The project will review five input work streams. Each work stream will have associated activities to be completed within the project. The activities will highlight possible changes and improvements that can be made to the Trading Disputes technique (outputs).
- 3.2 The work streams, activities to be completed during the project against each work stream, the possible outputs and the possible areas of impact on ELEXON and the Industry are recorded below:

Input work stream	Activities to be completed	Possible outputs	Impacted areas
Stakeholder feedback	Notify the TDC of the planned Trading Disputes review via an information paper Review stakeholder feedback that was collected prior to the PAF review Obtain new stakeholder feedback Hold a workshop with Trading Disputes Committee (TDC) members: <ul style="list-style-type: none"> • Discuss existing feedback responses • Obtain new feedback 	Lessons learned approach Exceptional circumstances approach A method of feeding Trading Disputes data into Risks	ELEXON internal processes Guidance BSCP11 Risk reporting

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	<p>Discuss the collated feedback internally within the Trading Disputes team</p> <p>Discuss the impact of any proposed changes with Risk Owners</p> <p>Discuss potential BSC changes with the Change team</p> <p>Propose viable changes via the Change process</p>		
Lessons learned exercise (Trading Dispute DA846)	<p>Review the concerns raised by the Performance Assurance Board (PAB) and TDC</p> <p>Discuss the PAB and TDC concerns internally</p> <p>Complete the lessons learned¹ exercise (internal process)</p> <p>Collate the lessons learned findings and record any potential changes</p> <p>Communicate the lessons learned findings internally and to the TDC and PAB</p> <p>Discuss potential BSC changes with the Change team</p> <p>Propose viable changes via the Change process</p>	Escalation process	<p>ELEXON internal processes</p> <p>BSCP11</p> <p>ELEXON Guidance</p>
Internal review of Trading Disputes processes	<p>Analysis of previous Trading Disputes</p> <p>Review Trading Disputes processes within the Trading Disputes team</p> <p>Process mapping</p> <p>Review the previously rejected change for an increased materiality threshold</p>	<p>Increased materiality threshold</p> <p>Reporting to Risk owners</p> <p>Standardised Trading Dispute investigation process</p>	<p>ELEXON internal processes</p> <p>BSCP11</p> <p>ELEXON Guidance</p>
Foundation Programme	<p>Consider inputs proposed by the Foundation Programme including the use of Salesforce</p> <p>Raise a CP to allow for the digitisation of Trading Dispute forms</p>	New BSCP11 form templates	<p>ELEXON internal processes</p> <p>BSCP11</p>

¹ Approach to be determined by researching previous lessons learned exercises on Trading Disputes

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Market-wide Half Hourly Settlement	<p>Review consultation responses</p> <p>Discuss the responses internally</p> <p>Discuss potential BSC changes with the Change team</p> <p>Propose viable changes via the Change process</p>	<p>MwH materiality rather than monetary value</p> <p>Value/time framework</p> <p>Mandated timescales for correcting faults</p> <p>Transition to a shorter Settlement timetable</p> <p>A scaled materiality threshold</p>	<p>ELEXON internal processes</p> <p>BSC/BSCPs</p> <p>ELEXON Guidance</p>
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3.3 This project will take an agile approach. Outputs can be identified and recorded as the review stages of the project are completed.

4. Stakeholders

4.1 The following parties could be affected by any changes that are made to the Trading Disputes technique, and are therefore considered stakeholders:

- Stakeholder 1: ELEXON staff (Trading Disputes Team, Metering Team, Risk Owners, Operational Support Managers (OSMs), Change Team)
- Stakeholder 2: TDC members
- Stakeholder 3: BSC Parties (Registrants, Meter Operator Agents (MOAs), Licenced Distribution System Operators (LDSOs), Data Collectors (DCs), Central Data Collection Agent (CDCA))
- Stakeholder 4: PAB members
- Stakeholder 5: The Technical Assurance Agent (TAA)
- Stakeholder 6: Market-wide Half Hourly Settlement consultees

5. Project Approach

Manage by Stages

5.1 Each input work stream and associated activities will be broken down into steps to be completed throughout the project. These steps will form a stage plan.

5.2 A stage is considered as complete when all of the planned steps within the stage have been completed. Each stage will be signed off once the planned steps are completed. At this point, the steps to be completed in the next stage will be authorised.

Approach to Risk

5.3 A project Risk Register will be created and maintained throughout the lifetime of the project. Identified risks will be graded as low, medium and high based on their perceived threat to the efficient running of the project.

5.4 Outputs and deliverables can be altered and added throughout the lifetime of the project based on the outcome of the planned review activities; therefore, it is unlikely that identified risks will be graded as high.

Approach to Change

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5.5 During the review stages of the project, it is anticipated that potential changes will be identified. These changes will be recorded on a change log and discussed with the Change Team on an ad-hoc basis.

5.6 Viable changes will be raised using the existing Change process.

Approach to Communications

5.7 The progress of the project will be communicated to stakeholders as follows:

Stakeholder	Method of communication	Frequency
ELEXON Staff	Livewire Team meetings Review discussions	Ad-hoc
Trading Disputes Committee	Information papers Decision papers Workshop	Monthly information papers Ad-hoc decision papers Workshop to be planned as a single activity
BSC Parties	Newscast	Ad-hoc (if required)
Performance Assurance Board	Quarterly Performance Assurance Report (QPAR)	Quarterly
Technical Assurance Agent	Email	Ad-hoc
Market-wide Half Hourly Settlement consultees	Email	Ad-hoc (if required)

6. Next steps

6.1 Once the Project Initiation Document (PID) has been approved, a stage plan will be created. The stage plan will contain all of the steps to be undertaken in each stage.

6.2 Once the stage plan has been approved, the steps in the first stage of the project will begin.