



An Coimisiún  
um Rialáil Fónas  
**Commission for  
Regulation of Utilities**

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**Commission for Regulation of Utilities**

# Notification to Suppliers

## Submissions to the CRU for the 2020/21 Public Service Obligation (PSO) Levy

### Information Paper

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# Executive Summary

In accordance with the governing Public Service Obligation (PSO) legislation, the Commission for Regulation of Utilities (CRU) is responsible for the calculation of the PSO Levy and for ensuring that the PSO scheme is administered appropriately and efficiently.

The CRU has prepared this Notification to Suppliers in order to inform electricity suppliers of their obligation to provide all relevant information required to enable the CRU to calculate the 2020/21 PSO Levy, and to communicate the associated timelines for providing such information. This Notification further informs suppliers that their PSO submission shall be made via the CRU's Secure Portal.

The onus is on all suppliers, both new and existing, to inform themselves of the requirements set out in this document and of the key dates that apply. In the event that an electricity supplier does not meet submission deadlines, or a supplier submits an incomplete submission, the CRU will not include the supplier's costs in the PSO Levy for 2020/21, except under certain "Exceptional Circumstances", as specified in this Notification.

To enable the calculation of suppliers' outturn PSO costs for the 2018/19 PSO year, the CRU will be publishing its decision paper on the Arrangements for the Calculation of the PSO Levy post I-SEM implementation (CRU/20/123) in January 2020. Additionally, to facilitate the certification of suppliers PSO outturn costs, the CRU will be publishing a separate Notification to Suppliers in January 2020, setting out the process for the engagement of auditors regarding the certification of the PSO Levy.

Given the recent volatility associated with R-factor payments, the CRU will be consulting on this issue in Q4 2020. To facilitate the consultation on R-factor volatility, the CRU intends publishing historical generation data provided by each supplier, which compares their submitted estimated generation quantities against actual outturn generation (broken down by PPA contracted generator).

Any queries regarding this Notification to Suppliers document should be sent to [PSO@cru.ie](mailto:PSO@cru.ie).

## **Public/Customer Impact Statement**

This Notification to Suppliers sets out the information that suppliers are required to submit to the CRU for the 2020/21 PSO cycle in order to enable the CRU to calculate the PSO Levy for the period 1 Oct 2020 to 30 Sept 2021.

This document also informs suppliers as to the timelines for submission of this information and outlines recent amendments to the PSO administration process, which suppliers are obligated to adhere to. These changes will facilitate the CRU's administration of the PSO scheme and ensure that the calculation of the PSO Levy is robust, thereby protecting the public interest.

The CRU will calculate the PSO Levy and publish a proposed decision paper containing the indicative PSO Levy and customer charges by June 2020. There will then be a consultation period during which responses to the proposed decision paper may be sent to the CRU. The final PSO Levy and customer charges for the 2020/21 PSO period will be published prior to 1 Aug 2020. These final customer charges will be applied to the bills of electricity customers from 1 Oct 2020, replacing the PSO Levy charges that have applied for the 2019/20 PSO period.

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# Glossary of Terms and Abbreviations

Abbreviation	Meaning
<b>AER</b>	Alternative Energy Requirement
<b>CRU</b>	Commission for Regulation of Utilities
<b>DCCAE</b>	Department of Communications, Climate Action and Environment
<b>DSO</b>	Distribution System Operator
<b>HECHP</b>	High Efficiency Combined Heat and Power
<b>PPA</b>	Power Purchase Agreement
<b>PSO</b>	Public Service Obligation
<b>REFIT</b>	Renewable Energy Feed in Tariff
<b>SEM</b>	Single Electricity Market
<b>SFTP</b>	Secure File Transfer Protocol

# 1. Introduction

## 1.1 The Commission for Regulation of Utilities

The CRU's mission is to protect the public interest in Water, Energy and Energy Safety.

The CRU is guided by four strategic priorities that sit alongside the core activities we undertake to deliver in the public interest. These are:

- Deliver sustainable low-carbon solutions with well-regulated markets and networks
- Ensure compliance and accountability through best regulatory practice
- Develop effective communications to support customers and the regulatory process.
- Foster and maintain a high-performance culture and organisation to achieve our vision

## 1.2 Purpose of this Document

The CRU has prepared this Notification to Suppliers in order to notify electricity suppliers of their obligations to provide the necessary information to enable the CRU to calculate the 2020/21 Public Service Obligation (PSO) levy.

This Notification informs electricity suppliers of the statutory deadline for submitting PSO applications to the CRU and other key dates for the 2020/21 PSO year (i.e. 1<sup>st</sup> October 2020 – 30<sup>th</sup> September 2021).

This Notification also informs electricity suppliers of the process for completing their annual submission of PSO information to the CRU via the CRU's secure portal.

## 1.3 Structure of Paper

This Notification to Suppliers document is structured as follows:

- **Section 1:** introduction;
- **Section 2:** provides a general background to the PSO and relevant legislation governing the PSO;

- **Section 3:** details suppliers' obligations regarding the submission of PSO information to the CRU, including the provision of estimates, actual outturn data, supporting information and supplier contact details;
- **Section 4:** provides information on use of the CRU's Secure Portal for making PSO submissions to the CRU;
- **Section 5:** identifies key dates for the 2020/21 PSO Levy, including the final cut-off date for gate 1 and gate 2 submissions to the CRU. Additionally, this section identifies specific information that will be published by the CRU in relation to each supplier/generator;
- **Section 6:** references the relevant arrangements that will be applied for the calculation of the PSO Levy;
- **Section 7:** details where queries in relation to this document should be addressed;
- **Annex 1:** contains the CRU Secure Portal Usage Policy to be signed by the supply company representative and returned to [PSO@cru.ie](mailto:PSO@cru.ie); and
- **Annex 2:** contains the CRU Secure Portal User Request Form to be completed and signed by the supply company representative and returned to [PSO@cru.ie](mailto:PSO@cru.ie).
- **Annex 3:** provides detailed guidance notes on the CRU's new multi-factor authentication (MFA) process.

## 1.4 Related Documents

- REFIT terms and conditions (DCCAЕ)<sup>1</sup> for REFIT 1, 2 and 3;
- CRU/20/123: Arrangements for the Calculation of the PSO Levy post I-SEM Implementation (to be published in January 2020)
- Notification to Suppliers: Engagement of Auditors Regarding Certification of the PSO Levy (to be published in January 2020)
- [CRU/18/261](#): PSO Withholding Mechanism Decision Paper
- [CRU/19/126](#): Information Paper – Arrangements for PSO Invoicing and Collection

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<sup>1</sup> Available on DCCAЕ's [REFIT web pages](#).

## 2. Background

### 2.1 Overview of the PSO Levy

The PSO Levy is charged to all electricity customers in Ireland. It covers various schemes designed by the Irish Government to support its national policy objectives related to renewable energy and the use of indigenous fuels (peat).<sup>2</sup>

Given that PSO-supported generation typically costs more to deliver than it can earn in the market, PSO-supported generators can enter into contracts with suppliers, which guarantee them a certain price. The PSO Levy is used to pay the difference between this price and the price that can be earned in the market.

The policy and terms associated with the generation plants supported by the PSO Levy are mandated by Government in legislation and approved by the European Commission. The CRU has no discretion over the terms of PSO schemes. The CRU's primary role in relation to the PSO is to calculate the levy in accordance with Government policy and to help ensure that the scheme is administered appropriately and efficiently. The PSO Levy is collected from electricity customers by their electricity suppliers. The levy collected is passed to ESB Networks and then to EirGrid. EirGrid pays out the appropriate PSO amounts to the relevant suppliers.<sup>3</sup>

The PSO Levy is calculated in advance each year for the forthcoming PSO period of 1 October to 30 September. It principally consists of:

1. The estimated eligible costs that suppliers are forecast to incur in the forthcoming PSO period. These costs are then reduced by the level of market revenue which is forecast to be earned. The market revenue is forecast based on a benchmark wholesale electricity price, which is set by the CRU.
2. A settlement for the PSO period two periods prior to the forthcoming period. As the PSO Levy for each year is based on estimated costs and forecast market revenues, there is also an adjustment made when the full actual costs and revenues are known. This adjustment is known as the "R-factor". The R-factor may be positive or negative, depending on whether the actual costs incurred are higher

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<sup>2</sup> Until 2016, the PSO levy was used to support security of supply policy objectives.

<sup>3</sup> In order for a supply company to receive PSO payments (for the relevant PSO year), that company's PSO cost submission must be included in the CRU's final decision (for the relevant PSO year) on the calculation of the PSO Levy, and its contracted generators supported under the PSO must be listed by the DCCA in its annual S.I. amending the Electricity Regulation Act 1999 (Public Service Obligations) Order 2002 (S.I. No. 217 of 2002).



or lower than had been estimated. The differences can arise primarily due to differences between the estimated and the actual level of generation and to differences between the estimated and the actual market payments received. The PSO Levy for each 12-month period therefore includes both the estimate of the levy costs for that period, and the R-factor adjustment for the PSO period two years previous.

The CRU notes that if a supply company over recovers their PSO costs ex-ante, they may ultimately owe monies back during a PSO year and will be invoiced by EirGrid accordingly. Therefore, it is the responsibility of the supplier to provide its best estimate regarding generation output for its REFIT contracted generation, in order to ensure that the difference between ex-ante estimates and ex-post known values are kept to a minimum. Additionally, it is the responsibility of the supplier to have monies available in case that they owe monies back to the PSO scheme.

## **2.2 Legislation governing the PSO Levy**

In accordance with Section 39 of the Electricity Regulation Act, 1999, the CRU is directed by order of the Government to impose the PSO on electricity market participants who are party to the relevant support schemes. Statutory Instrument (S.I.) No. 217 of 2002 sets out more detail in relation to the PSO Levy rules. It provides for the calculation of the PSO Levy by the CRU in accordance with State Aid Notifications to the European Commission for the various PSO schemes. The original State Aid Notification of November 2000 sets out the broad areas that may be covered by the PSO as listed in Section 39 of the Electricity Regulation Act, 1999.

Since the original notification, new schemes have been notified by the Government to the EU Commission and have received state aid clearance. These include the AER (Alternative Energy Requirement) schemes. In 2006, the REFIT 1 scheme was notified to the EU and in 2011 REFIT 2 and REFIT 3 were notified to the EU and received state aid clearance to provide support for the generation of electricity from renewable technologies. S.I. No. 217 has been amended by successive S.I.s to provide for the recovery of costs under the PSO for each of the above schemes.

## 3. Supplier Information Requirements

In order to enable the CRU to calculate the 2020/21 PSO Levy, suppliers are obliged to provide the information detailed in this section to the CRU, using the specified templates.

Spreadsheet templates will be available for suppliers to download from the CRU's Secure Portal for the purpose of making PSO submissions (see Section 4 of this Notification for further details).

For the 2020/21 PSO cycle, the CRU will also require the following information from suppliers:

- i. Generation Unit ID code for each project receiving PSO support e.g. GU\_500XXX;
- ii. Confirmation as to whether each REFIT supported project has been successful in the SEM Capacity Auctions;
- iii. Confirmation as to when each project first received PSO support under the applicable REFIT scheme (i.e. when each project began exporting under their PPA);
- iv. Confirmation from suppliers regarding the date when REFIT support for each project is to end; and
- v. Details on the basis for calculating estimated generation for each supported project e.g. historical generation data, exceedance probabilities etc.

The CRU will continue to require the submission of an EIC code for each REFIT supported project. A unique EIC code must be submitted for each REFIT supported project. Information on how to obtain EIC codes can be found on the [EirGrid Website](#).<sup>3.1</sup> Outturn for the Period 1-Oct-18 to 30-Sept-19The template “[SUPPLIER NAME] REFIT Outturn Template 2018-19” should be used to submit the actual additional costs and administrative expenses<sup>4</sup> incurred due to the purchase of PSO (REFIT) supported generation in the 2018/19 PSO period<sup>5</sup>.

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<sup>4</sup> The mechanism for the settlement of suppliers' administrative expenses is for the Distribution System Operator to deduct monthly 1/12<sup>th</sup> of the CRU-allowed administrative expenses of each supplier from the aggregated PSO Levy charges collected monthly by the supplier and to pay the net amount to EirGrid (see paragraph 10 of Schedule 2 of S.I. No. 217 of 2002). Refer to CRU/19/126 regarding arrangements for PSO invoicing and collection for further detail.

<sup>5</sup> The submission of outturn costs for a generator is only applicable for suppliers who submitted estimates for the 2018/19 PSO period and where the project is included for that PSO period in the PSO Order.

Suppliers are required by legislation to submit an auditor's certificate verifying their annual outturn figures. On 18 December 2018, the CRU published an Information Paper "*Supplier's Engagement of Auditors Regarding Certification for the PSO Levy*" ([CRU/18/258](#)). The purpose of this document was to set out the CRU's requirements with respect to the engagement of auditors for the certification of PSO costs and eligible administrative expenses submissions. It superseded notification [CER/17/021](#).

Following the publication of CRU/18/258, it was brought to the attention of the CRU that some market participants, following interactions with their auditors, encountered difficulties in complying with CRU/18/258. The CRU also received correspondence from Chartered Accountants Ireland (CAI) expressing concerns on behalf of its members regarding the CRU's requirements under CRU/18/258, and the level of assurance auditors are expected to provide.

In advance of the 2020/21 PSO cycle, the CRU has engaged with the relevant auditing bodies to address the points raised by market participants in relation to CRU/18/258. Following this process, the CRU will be publishing an updated Notification to Suppliers regarding the certification of the PSO Levy, including the role of independent auditors. This paper will be published in January 2020.

This document will set out the CRU's requirements with respect to the engagement of auditors for the certification of PSO costs and eligible administrative expenses. These new measures apply with immediate effect including submissions for outturn costs from the 2018/19 PSO period as are required to be submitted for the 2020/21 PSO Levy.

### **3.2 Estimates for the Period 1-Oct-20 to 30-Sept-21**

The template "[SUPPLIER NAME] REFIT Estimates Template 2020-21" should be used to submit estimates of the additional costs **and** administrative expenses that are forecast to be incurred due to the purchase of PSO (REFIT) supported generation in the 2020/21 PSO period.

Where a generator is expected to commence production during the 2020/21 PSO period, the supplier shall provide a realistic date as to when REFIT support is forecast to start, bearing in mind the Terms & Conditions of REFIT in this regard. The CRU should be notified immediately as soon as any significant change to the forecasted start date or the forecasted production becomes apparent.

### **3.3 Supporting Information**

As part of a supplier's PSO submission, a supplier must provide proof of the following for all new generation projects:

- i. Letter of Offer from DCCAE;
- ii. Power Purchase Agreement executed with a valid licensed supplier;

- iii. Valid supply licence (where the supplier is also new to the PSO);
- iv. Proof that the generation project will likely commence generation in the forthcoming PSO year (i.e. 2020/21) – refer to Section 5.3 for further information.

In addition, for all projects to which the following apply, suppliers must provide:

- v. Details of the methodology used for calculation of the renewable fraction(s) of biomass;
- vi. Valid HECHP certificate.

The CRU notes that it can take time to obtain these supporting documents, and suppliers (especially new suppliers) are therefore encouraged to ensure that they have this documentation in place by the cut-off date for submissions.

### **3.4 Contact Details**

The template “[SUPPLIER NAME] REFIT Contact Details” should be used to submit contact details. These details will be used by the CRU for all PSO related communication and will also be passed on to EirGrid, who will use them to obtain bank details from the supply company for transfer of the PSO payments.

The CRU notes that multiple contacts may be provided, but at least one must be a direct contact within the supply company, and not an agent. It is the responsibility of the supply company to ensure that the contact details the CRU has are correct and up to date.

## 4. Submissions via Secure Portal

All PSO submissions must be made via the CRU's Secure Portal. No files will be accepted by email.

The CRU Secure Portal is a dedicated Secure File Transfer Protocol (SFTP) server. Suppliers should complete and return the two forms contained within Annexes 1 and 2 of this Notification i.e. the "CRU Secure File Transfer Portal Usage Policy" and the "CRU Secure Portal User Request Form" respectively, by email to [PSO@cru.ie](mailto:PSO@cru.ie). These forms must be completed and submitted to the CRU by the 7<sup>th</sup> February 2020. Where applicable, the CRU may accept one copy of both forms from companies that manage PSO submissions for multiple suppliers.

Once these forms have been received, suppliers will be provided with their secure login details by phone. Suppliers can then use these login details to access, via the CRU's Secure Portal, a dedicated folder where they can upload their PSO submission. This dedicated folder may only be accessed using the confidential details provided by the CRU to the supplier, or by restricted CRU personnel.

Note that for 2020/21 PSO submissions, **a multi-factor authentication process is being implemented** to the CRU's Secure Portal. Detailed guidance on this process can be found in Annex 3 of this document.

Each supplier's folder within the portal comprises two subfolders that are pre-populated with four templates, listed below, for submission of PSO data and with instructions in relation to the supporting information required.

The following REFIT templates are provided in each supplier's 'gate 1' subfolder:

- [SUPPLIER NAME] REFIT Contact Details
- [SUPPLIER NAME] REFIT Outturn Template 2018-19
- The auditor's certificate work programme template

The following REFIT templates are provided in each supplier's 'gate 2' subfolder:

- [SUPPLIER NAME] REFIT Estimates Template 2020-21

Indicative and Final PSO statements will continue to be made available to suppliers via the CRU's Secure Portal. The CRU will continue to issue a hard copy of the final statement by post.

## 5. SUBMISSION PROCESS FOR THE 2020/21 PSO LEVY PERIOD

This section specifies the process for the submission of the information set out in section 3. The onus is on all suppliers – both new and existing – to inform themselves of the requirements set out in this Notification to Suppliers and of the key dates that apply.

The Secure Portal Usage Policy and Secure Portal Request Form, provided in Annex 1 and Annex 2 of this document, must be completed and returned to the CRU by the 7<sup>th</sup> February, 2020.

### 5.1 Multi-gate submission process

For submissions to the 2019/20 PSO, the CRU introduced a 2-gate submission process. The CRU will continue to implement a 2-gate submission process for submissions to the 2020/21 PSO. These submission deadlines are outlined below.

- **Gate 1 outturn:** 27<sup>th</sup> March 2020. This is the final deadline for suppliers to upload all of the following items to the Secure Portal:
  - Completed [SUPPLIER NAME] REFIT Contact Details
  - Completed [SUPPLIER NAME] REFIT Outturn Template 2018-19
  - Auditor's certificate, including completed work programme template
  
- **Gate 2 ex-ante:** 1<sup>st</sup> of May 2020. This is the final deadline for suppliers to upload all of the following items to the Secure Portal:
  - Completed [SUPPLIER NAME] REFIT Estimates Template 2020-21
  - All items specified in section 3.3 (if applicable)

Gates 1 and 2 gates are final deadlines for the information specified above. These deadlines will be applied as hard cut-off dates. This is to ensure the efficient administration of the PSO Levy calculation, especially given the increasing number of suppliers making submissions.

Any submissions that are incomplete on these two dates will not be included in the CRU's 2020/21 PSO Levy decision paper and will not receive PSO payments in the 2020/21 period. The CRU requires that all the data and supporting information associated with each supplier's PSO submission be received by the CRU via the Secure Portal by the relevant gate.

After the Gate 1 deadline, each supplier's edit rights to its 'gate 1' subfolder on the Secure Portal will be removed. The supplier will continue to have visibility of this part of its submission but will not be able to amend or add to it.

After the Gate 2 deadline, each supplier's edit rights to its 'gate 2' subfolder on the Secure Portal will be removed. The supplier will continue to have visibility of this part of its submission but will not be able to amend or add to it.

For the avoidance of doubt, both gates 1 and 2 are hard cut-offs. The responsibility for ensuring that a submission is complete rests with the supplier.

## **5.2 Exceptional Circumstances**

In cases where a submission of estimates has already been received by May 1<sup>st</sup>, 2020, the CRU will consider accepting amendments or additions to that submission under the following exceptional circumstances:

1. Where there has been a material change in circumstances or a material error has been identified in a previously received submission; or
2. Where the delay in fully completing the PSO submission by the supplier is clearly shown by the supply company (and accepted by the CRU) to be caused by an external party or events beyond the Supplier's control.

## **5.3 Withholding of PSO Payments**

In December 2018, the CRU published a Decision Paper (CRU/18/261), which confirmed that the CRU will apply a withholding mechanism to PSO payments in respect of generation projects that have failed to provide proof of meeting a specific milestone in terms of generation commencement. The CRU applied the withholding mechanism to submissions made to the 2019/20 PSO. The CRU will continue to apply the withholding mechanism to submissions made to the 2020/21 PSO.

For generation projects connecting to the distribution system, the appropriate proof of milestone is the provision of proof of payment of third stage connection charges. The appropriate proof of milestone for generation units connected to the transmission network is the provision of an Interim Operational Notification (ION). Proof of reaching the relevant milestones shall be provided to the CRU by the supplier before PSO payments will be initiated.

## **5.4 Other Key Dates**

The indicative PSO Levy will be published in the CRU's proposed decision paper circa early-June 2020 and indicative PSO payment statements will be issued to each supply company from the CRU.

The CRU will publish its decision paper on the final PSO Levy by 1 August 2020. Final PSO payment statements will be issued to each supply company from the CRU in October 2020.

A more detailed timeline for the 2020/21 PSO is outlined in Table 5.1 below.



**Table 5.1: Timeline for 2020/21 PSO Levy**

<b>Date</b>	<b>Stage of Process</b>
24 <sup>th</sup> January 2020	Publication of notification to suppliers
7 <sup>th</sup> February 2020	Completed Secure Portal Request Form and Secure Portal Usage Policy, to be received by the CRU (in electronic form).
Mid to Late February 2020	CRU to provide login details to supplier for Secure Portal (by phone)
27 <sup>th</sup> March 2020	Gate 1 deadline (hard cut-off)
1 <sup>st</sup> May 2020	Gate 2 deadline (hard cut-off)
Early June 2020	CRU to publish proposed decision paper on indicative PSO Levy. CRU to issue indicative PSO payment statements to each supply company.
By 1 <sup>st</sup> August 2020	CRU to publish decision paper on final PSO Levy.
October 2020	CRU to issue final PSO payment statements from CRU to each supply company.
Q4 2020	Annual S.I. amending the PSO Order 2002 and listing all projects eligible for support under the 2020/21 PSO to be published by DCCAÉ.
December 2020	The first (for the month of Oct 2020) of 12 monthly PSO payment is transferred to suppliers by EirGrid.

## 5.5 Publication of Data

To facilitate transparency regarding the allocation of PSO funds, the CRU will continue to publish actual annual outturn payments made in respect of individual generators (supported under the PSO) through their contracted supplier. Additionally, to facilitate further transparency on the calculation of the PSO Levy, the CRU intends publishing the following information, in conjunction with its 2020/21 PSO decision paper:

- i. The R-factor associated with each supply company for the 2018/19 PSO period.
- ii. Historical generation data provided by each supplier, which compares their submitted estimated generation quantities against actual outturn generation (broken down by PPA contracted generator).



Given recent volatility associated with R-factor payments, the CRU will be consulting on this issue in Q4 2020. <sup>6</sup> To facilitate the consultation on R-factor volatility, the CRU intends publishing historical generation data provided by each supplier, which compares their submitted estimated generation quantities against actual outturn generation (broken down by PPA contracted generator).

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<sup>6</sup> For further details, refer to [CRU/19/129](#): Arrangements for Calculating the PSO Levy under I-SEM - Proposed Decision Paper.

## **6. Arrangements for the Calculation of the PSO Levy post I-SEM**

In June 2018, the Department of Communications, Climate Action and Environment published a decision paper updating aspects of how REFIT support schemes are to operate under the revised SEM arrangements (arising from I-SEM implementation).

In May 2019, the CRU published an Information and Consultation Paper (CRU/19/054) on its arrangements for calculating the PSO Levy in order to update the published PSO calculation methodology to reflect changes since 2008, and to implement the Department's decisions regarding transitioning existing support schemes to I-SEM.

Following this consultation, in October 2019 the CRU published a Proposed Decision Paper (CRU/19/129) on Arrangements for the Calculation of the Public Service Obligation Levy post I-SEM Implementation. It is envisaged that the CRU will publish its final decision on Arrangements for the Calculation of the Public Service Obligation Levy post I-SEM Implementation (CRU/20/123) in January 2020.

## 7. Queries

Queries in relation to the information in this document should be addressed to [PSO@cru.ie](mailto:PSO@cru.ie). Any queries in relation to a generator's eligibility for acceptance into a REFIT support scheme should be addressed to the DCCAE.

# ANNEX 1: CRU Secure File Transfer Portal Usage Policy

## Portal Guidelines

A secure file transfer portal has been put in place by the CRU to facilitate the sharing of files and documentation between stakeholders.

This secure file transfer portal usage policy applies to all internal and external stakeholders. Use of the secure file transfer portal by stakeholders is permitted and encouraged anywhere such use supports the goals and objectives of the CRU.

All stakeholders, having received their official username and passwords firstly from the CRU ICT Department must confirm receipt of this policy and confirm that they have understood and agree to abide by the rules hereunder.

To govern its use this policy has been approved by CRU Operations division. Anyone using this facility must abide by this usage policy.

## Secure Portal Usage Policy

- Stakeholders are expected to use the secure file transfer portal responsibly and productively.
- Stakeholders must use the portal for CRU related functions only. Documents unrelated are not to be uploaded to the secure file transfer portal.
- All documentation that is uploaded and resides on the portal, falls under Freedom of Information legislation unless deemed commercially sensitive or legally privileged.
- The CRU ICT Dept. will manage and maintain the portal in order to ensure that this policy is being adhered to and will take the necessary steps if acceptable use guidelines are breached.
- Documents uploaded to the shared portal should not contain content that is deemed to be offensive. This includes, but is not limited to, the use of vulgar or harassing language/images.
- The uploading of documents for use between stakeholders which is unrelated to the CRU is strictly prohibited.
- In uploading information to the secure file transfer portal, stakeholders are responsible for ensuring they are compliant with the policy guidelines and all relevant laws, including but not limited to the General Data Protection Regulation (GDPR), 2018. Stakeholders are responsible for the information they upload, and the CRU is in no way liable for any information uploaded to the portal that is inappropriate, illegal or unauthorised.
- The CRU secure file transfer portal should not be used for long term file storage. All files older than 3 months will be removed by the ICT Dept. without notification. Period of retention is set @ 3 months. If separate arrangements have been agreed, then please specify.
- A user's credentials must not be shared with any other persons, including individuals within the same organisation, or external consultants working on behalf of the organisation.

## Multi-Factor Authentication:

To ensure all information is protected whilst stored on the CRU secure portal, all users must apply multi-factor authentication (MFA). Detailed guidance notes are attached to assist. The use of multi-factor is mandatory and must be configured at first login. Users who do not apply MFA, will have their accounts automatically suspended without notice.

## Unacceptable use of the secure portal by stakeholders includes, but is not limited to:

- Uploading discriminatory, harassing, or threatening messages or images on the secure portal,
- Stealing, using, sharing or disclosing someone else's username & password,
- Uploading information that is defamatory to another stakeholder company, its products/services, colleagues and/or customers,
- Uploading malicious software onto the secure portal and/or jeopardising the security of the CRU system,
- Uploading chain letters, solicitations, or advertisements,
- Using the Secure portal without MFA applied.

If a stakeholder is unsure about what constitutes acceptable usage, then he/she should ask the CRU ICT Dept. for further guidance and clarification.

All terms and conditions as stated in this document reflect an agreement of all parties and should be governed and interpreted in accordance with the policies and procedures mentioned above. Any user violating these policies may have their access privileges revoked, without notice.

## Password Policy

The CRU reserves the right to change the user's portal passwords without notice in accordance with the internal CRU Password Policy or if the CRU suspects a security breach. All password changes will be notified to the user by the CRU.

## User compliance

I understand and will abide by this Secure File Transfer Portal Usage Policy. I further understand that should I commit any violation of this policy; my access privileges may be revoked.

---

**Stakeholder:**

---

**Date:**

I understand the importance of applying the Multi-factor Authentication and confirm that I confirm that I have configured same.

**Please tick here →**

# ANNEX 2: CRU Secure Portal User Request Form

## CRU Secure File Transfer Portal

### PERSONAL DETAILS:

All Fields are mandatory, except where highlighted \*

Name:

Email Address:

Organisation:

Telephone Number:

Public IP Address:  \* (If Available)

Reason/purpose for which you are requesting Access:

Requested by: \_\_\_\_\_

Date: \_\_\_\_\_

The CRU requests your consent to process and retain this data for the express function for that which this form is created, conforming to current GDPR Regulations. Please tick here →

### PROFILE DETAILS:

(CRU Use Only)

Folder Access:

(Please specify existing folders or new folders that the new user will require access too.)

Access Rights:  Read →   
 Read + Write →

(Please tick that which applies)

Specify the Department/Division Requesting Access:

Dates Access Required From:

Dates Access Required To:

### Note:

Period of retention is set @ 3 months.

If separate arrangements have been agreed please specify:

Configured by: \_\_\_\_\_

Date: \_\_\_\_\_

ICT Administrator

Approved by: \_\_\_\_\_

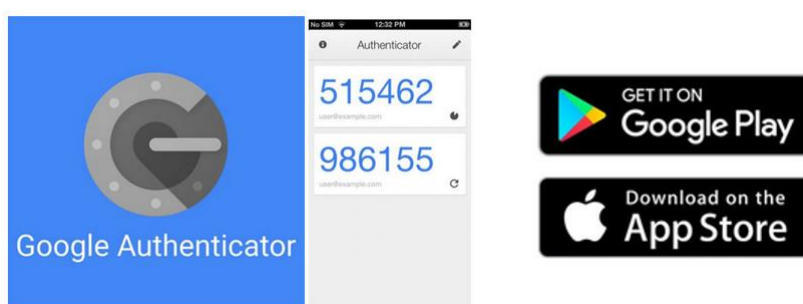
Date: \_\_\_\_\_

ICT Manager/ ICT Technical Analyst

## ANNEX 3: FTP Portal Access:

The CRU has applied an additional layer of security to its File Transfer Protocol (FTP) Server for all internal staff and external clients looking to gain access to the terminal server. This is a prerequisite for parties looking to gain access.

Before you can gain access to the existing account, you are required to have a smart phone application downloaded, called 'Goggle Authenticator', from either the Google Play or the Apple Store for free. Otherwise known as a Multifactor Authentication providing an additional layer of security to the systems used.

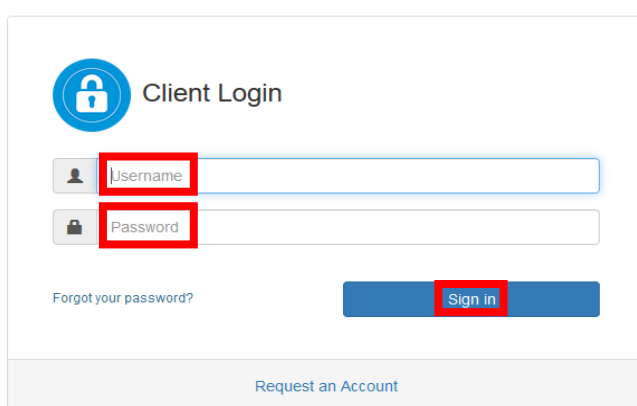


**Image 1: Goggle Authenticator**

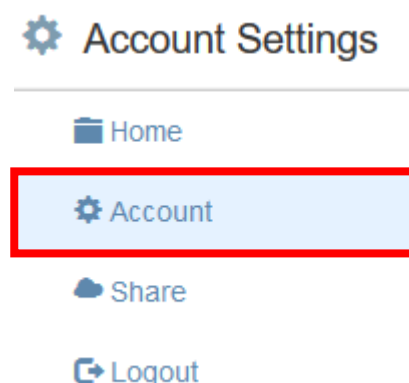
Once installed you can gain access to the portal is via the URL below, enter it into your browser

<https://portal.cer.ie/login>

You will be presented with the login screen that you will have been given the **Username** and **Password** for when you first requested access to the portal from the CRU. (access to the CRU portal will only be granted once you have completed the user agreement declaration form). Then please selected **Sign in**.



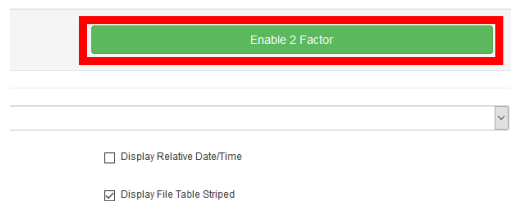
**Image 2: Client login Screen**



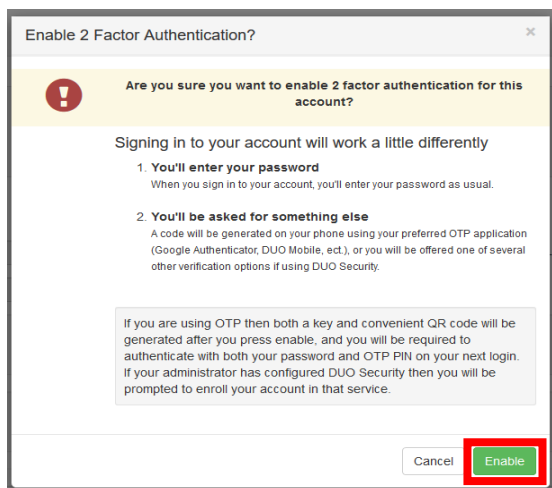
**Image 3: Account**

Go to the Account Tab and prepare to enable the 2FA via the Goggle Authenticator App which must be set up in advance

On the next screen you will be presented with the level of security that ensures that you the User can will be provided access to the server. Select the green button that asks you to 'Enable 2 Factor'.



**Image 4: Enabling 2FA**



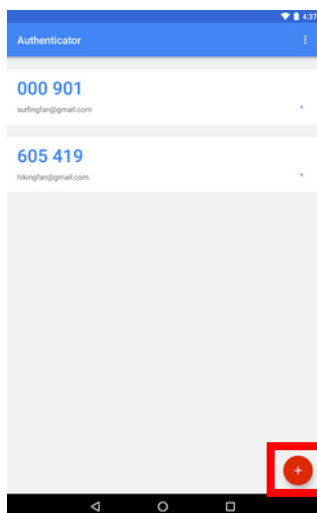
**Image 5: Further enabling of the 2FA**

You will be prompted to Enable 2 Factor Authentication, once you have read, and understand the commentary, then select 'Enable'.

A QR code (bar code below) will present itself.



**Image 6: QR Code**



Now returning to your smart phone open the Google Authenticator app and select the red circle at the bottom of the screen, to add the CRU Portal to the smart phone app.

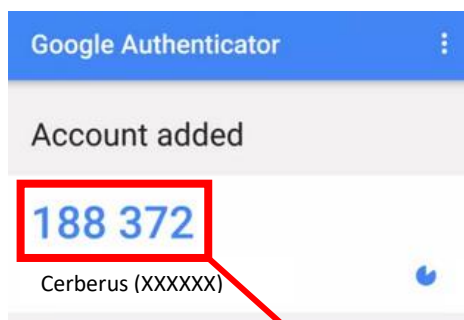
**Image 7: Portal addition to 2FA**

Your smart phone will turn on your camera, the objective is to now place the QR code between the cross hairs. This will then activate the link between the smart phone and your acces to the CRU portal.



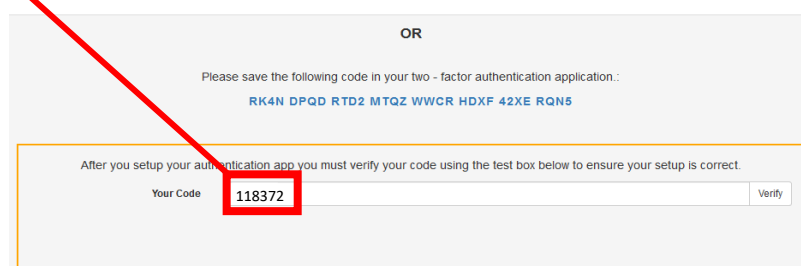
**Image 8: scanning of the QR Code**





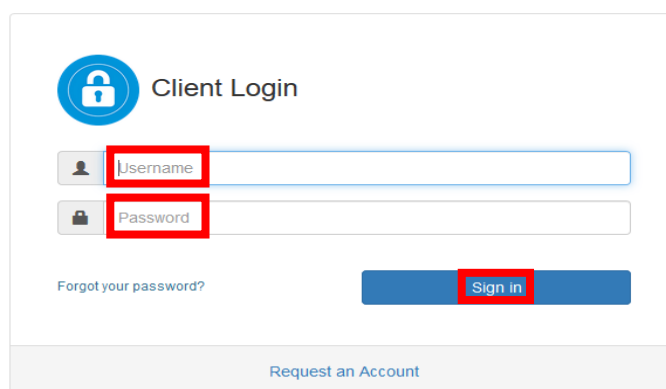
Once the link has been created a six-digit PIN will be cycled through the Google Authenticator every 30 seconds which you will need to provide before you can gain access to the portal. For the first time you will be asked on the same webpage to enter in your first six-digit PIN code, (as shown below).

**Image 9: Portal PIN creator**



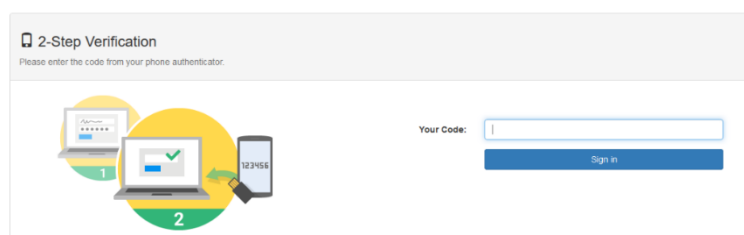
**Image 10: Portal PIN creator**

Now when you go back to the Portal URL <https://portal.cer.ie/login> again, and enter your Username and Password, (same as the one provided earlier), and sign in again.



**Image 11: Client login Screen**

You will be asked to verify your login details with the six-digit pin that will be provided to you on your smart phone within the Google Authenticator app. (see screen shot below) then select 'Sign In'.



**Image 12: Authentication Screen**

You will then have full access to the folder created for you by the CRU ICT Administrator.