

Regional Greenhouse Gas Initiative

An Initiative of the Northeast and Mid-Atlantic States of the U.S.

Distribution of First Control Period (2009-2011) CO₂ Allowances

Date: 6/16/2017

Values in this spreadsheet are current as of the last date of update listed above.

Distribution of First Control Period (2009-2011) CO ₂ Allowances By State											
State	CO ₂ Allowance Budget	Offered at Auction	Sold at Auction	Sold at Fixed Price	Transferred from State Set-Aside Accounts	Early Reduction Allowances (ERAs) ⁶	Offered but Unsold at Auction ⁷	Remaining Set-Aside Allowances ⁸	Set-Aside Allowances Retired ^{4,5}	Unsold Allowances Retired ¹	Sold Allowances Retired ²
Connecticut ^{1,2}	32,085,108	30,939,990	24,341,232	221,278	601,834	198,231	0	0	322,006	6,596,578	2,180
Delaware ³	22,679,361	12,958,576	9,952,619	N/A	6,098,153	3,128	0	0	3,622,632	3,005,957	0
Maine	17,846,706	14,971,146	11,797,376	N/A	2,518,615	0	3,173,770	352,384	4,561	0	0
Maryland ⁴	112,511,949	95,225,672	74,943,417	1,600,000	0	217,703	0	0	15,686,277	20,282,255	0
Massachusetts	79,980,612	78,855,612	62,024,346	N/A	24,201	18,276	0	1,100,799	0	16,831,266	0
New Hampshire	25,861,380	18,360,928	14,479,101	N/A	7,500,000	1,064,718	3,881,827	0	452	0	0
New Jersey	68,678,190	61,375,032	46,266,477	5,655,178	982,173	113,469	0	0	665,807	15,108,555	0
New York ⁵	192,932,415	183,107,306	144,305,904	N/A	4,499,999	806,883	0	0	5,325,110	38,801,402	0
Rhode Island	7,977,717	7,974,349	6,270,050	N/A	0	0	0	0	3,368	1,704,299	0
Vermont	3,677,490	3,665,232	2,877,123	N/A	0	0	0	0	12,258	788,109	0
Total	564,230,928	507,433,843	397,257,645	7,476,456	22,224,975	2,422,408	7,055,597	1,453,183	25,642,471	103,118,421	2,180

¹ For Connecticut, the Unsold Allowances Retired column also includes CO₂ allowances that are intended to be retired.

² For Connecticut, of the 2,029 CO₂ allowances in the Sold Allowances Retired column, 801 were Connecticut-issued CO₂ allowances, 265 were Massachusetts-issued CO₂ allowances, 151 were Maryland-issued CO₂ allowances, 435 were New Jersey-issued CO₂ allowances, 153 were New York-issued allowances, and 375 were Vermont-issued CO₂ allowances.

³ In Delaware, the percentage of CO₂ allowances allocated to auction shall increase by 8 percent per year from 2009-2014, such that 100 percent of CO₂ allowances shall be auctioned in 2014.

⁴ For Maryland, the Set-Aside Allowances Retired column also includes CO₂ allowances that will be retired in accordance with deadlines in Maryland regulations.

⁵ For New York, the Set-Aside Allowances Retired column also includes New York's Behind-the-Meter Adjustments for 2009, 2010 and 2011.

⁶ 2,422,408 Early Reduction Allowances (ERAs) were awarded for the first control period. For more information, see https://rggi.org/sites/default/files/Uploads/Allowance-Tracking/2009_12_16_ERA_Awards.pdf.

⁷ States do not intend to re-offer CO₂ allowances in the Offered but Unsold at Auction column. New Hampshire may convert some of these CO₂ allowances to Cost Containment Reserve allowances.

⁸ States do not intend to distribute CO₂ allowances in the Remaining Set-Aside Allowances column.

Legend Key

CO₂ Allowance Budget: Total number of CO₂ allowances issued by each state for the first three-year control period (2009-2011).

Offered at Auction: Total number of CO₂ allowances offered at auction (includes Sold at Auction, Offered but Unsold at Auction, and Unsold Allowances Retired).

Sold at Auction: Total number of CO₂ allowances sold at auction.

Sold at Fixed Price: Total number of CO₂ allowances sold directly to regulated sources at a fixed price.

Sold Allowances Retired: Total number of CO₂ allowances that were offered and sold at an auction and have been retired.

Unsold Allowances Retired: Total number of CO₂ allowances that were offered at an auction but were not sold and have been retired.

Offered but Unsold at Auction: Total number of CO₂ allowances that were offered at an auction but were not sold.

Transferred from State Set-Aside Accounts: Total number of CO₂ allowances that have been distributed directly from state accounts to date. For more information on state set-aside accounts, please see: https://rggi.org/sites/default/files/Uploads/Allowance-Tracking/States_Set-Aside_Accounts.pdf.

Remaining Set-Aside Allowances: Total number of CO₂ allowances delegated as state set-aside allowances that are remaining in state set-aside accounts.

Set-Aside Allowances Retired: Total number of CO₂ allowances that have been retired from state set-aside accounts.

Regional Greenhouse Gas Initiative

An Initiative of the Northeast and Mid-Atlantic States of the U.S.

Distribution of First Control Period (2009-2011) CO₂ Allowances

Date: 6/16/2017

Values in this spreadsheet are current as of the last date of update listed above.

Distribution of First Control Period (2009-2011) CO₂ Allowances By State

State	CO ₂ Allowance Budget	Offered at Auction	Sold at Auction	Sold at Fixed Price	Transferred from State Set-Aside Accounts	Offered but Unsold at Auction ⁶	Remaining Set-Aside Allowances ⁷	Set-Aside Allowances Retired ^{4,5}	Unsold Allowances Retired ¹	Sold Allowances Retired ²
Connecticut ^{1,2}	32,085,108	96.43%	75.86%	0.69%	1.88%	0.00%	0.00%	1.00%	20.56%	<0.01%
Delaware ³	22,679,361	57.14%	43.88%	N/A	26.89%	0.00%	0.00%	15.97%	13.25%	0.00%
Maine	17,846,706	83.89%	66.10%	N/A	14.11%	17.78%	1.97%	0.03%	0.00%	0.00%
Maryland ⁴	112,511,949	84.64%	66.61%	1.42%	0.00%	0.00%	0.00%	13.94%	18.03%	0.00%
Massachusetts	79,980,612	98.59%	77.55%	N/A	0.03%	0.00%	1.38%	0.00%	21.04%	0.00%
New Hampshire	25,861,380	71.00%	55.99%	N/A	29.00%	15.01%	0.00%	<0.01%	0.00%	0.00%
New Jersey	68,678,190	89.37%	67.37%	8.23%	1.43%	0.00%	0.00%	0.97%	22.00%	0.00%
New York ⁵	192,932,415	94.91%	74.80%	N/A	2.33%	0.00%	0.00%	2.76%	20.11%	0.00%
Rhode Island	7,977,717	99.96%	78.59%	N/A	0.00%	0.00%	0.00%	0.04%	21.36%	0.00%
Vermont	3,677,490	99.67%	78.24%	N/A	0.00%	0.00%	0.00%	0.33%	21.43%	0.00%
Total	564,230,928	89.93%	70.41%	1.33%	3.94%	1.25%	0.26%	4.54%	18.28%	<0.01%

¹ For Connecticut, the Unsold Allowances Retired column also includes CO₂ allowances that are intended to be retired.

² For Connecticut, of the 2,029 CO₂ allowances in the Sold Allowances Retired column, 801 were Connecticut-issued CO₂ allowances, 265 were Massachusetts-issued CO₂ allowances, 151 were Maryland-issued CO₂ allowances, 435 were New Jersey-issued CO₂ allowances, 153 were New York-issued allowances, and 375 were Vermont-issued CO₂ allowances.

³ In Delaware, the percentage of CO₂ allowances allocated to auction shall increase by 8 percent per year from 2009-2014, such that 100 percent of CO₂ allowances shall be auctioned in 2014.

⁴ For Maryland, the Set-Aside Allowances Retired column also includes CO₂ allowances that will be retired in accordance with deadlines in Maryland regulations.

⁵ For New York, the Set-Aside Allowances Retired column also includes New York's Behind-the-Meter Adjustments for 2009, 2010 and 2011.

⁶ States do not intend to re-offer CO₂ allowances in the Offered but Unsold at Auction column. New Hampshire may convert some of these CO₂ allowances to Cost Containment Reserve allowances.

⁷ States do not intend to distribute CO₂ allowances in the Remaining Set-Aside Allowances column.

Note: In addition to the above, 2,422,408 Early Reduction Allowances (ERAs) were awarded for the first control period. For more information, see https://rggi.org/sites/default/files/Uploads/Allowance-Tracking/2009_12_16_ERA_Awards.pdf.

Legend Key

CO₂ Allowance Budget: Total number of CO₂ allowances issued by each state for the first three-year control period (2009-2011).

Offered at Auction: Total number of CO₂ allowances offered at auction (includes Sold at Auction, Offered but Unsold at Auction, and Unsold Allowances Retired).

Sold at Auction: Total number of CO₂ allowances sold at auction.

Sold at Fixed Price: Total number of CO₂ allowances sold directly to regulated sources at a fixed price.

Sold Allowances Retired: Total number of CO₂ allowances that were offered and sold at an auction and have been retired.

Unsold Allowances Retired: Total number of CO₂ allowances that were offered at an auction but were not sold and have been retired.

Offered but Unsold at Auction: Total number of CO₂ allowances that were offered at an auction but were not sold.

Transferred from State Set-Aside Accounts: Total number of CO₂ allowances that have been distributed directly from state accounts to date. For more information on state set-aside accounts, please see: https://rggi.org/sites/default/files/Uploads/Allowance-Tracking/States_Set-Aside_Accounts.pdf.

Remaining Set-Aside Allowances: Total number of CO₂ allowances delegated as state set-aside allowances that are remaining in state set-aside accounts.

Set-Aside Allowances Retired: Total number of CO₂ allowances that have been retired from state set-aside accounts.