

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE
STATE OF CALIFORNIA**

Order Instituting Rulemaking to Implement the)
Commission's Procurement Incentive)
Framework and to Examine the Integration of)
Greenhouse Gas Emission Standards into)
Procurement Policies.)
_____)

R.06-04-009
(Filed April 13, 2006)

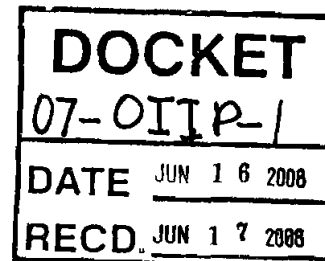
**REPLY COMMENTS OF CALPINE CORPORATION ON
EMISSION ALLOWANCE ALLOCATION POLICIES AND OTHER ISSUES**

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Dated: June 16, 2008

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Pursuant to the May 13, 2008 ruling of Administrative Law Judges TerKeurst and Lakritz, as revised by ruling issued May 20, 2008, Calpine Corporation ("Calpine") submits these reply comments on the allocation of greenhouse gas ("GHG") emissions allowances in the electricity sector, flexible compliance rules and non-market emissions reduction measures.

I. INTRODUCTION

As it has stated throughout this proceeding, Calpine strongly supports the GHG emissions reduction goals set forth in Assembly Bill 32 ("AB 32") and appreciates the significant efforts of the California Public Utilities Commission ("CPUC"), California Energy Commission ("CEC")¹, and the Air Resources Board ("ARB") to design and implement a fair, workable, market-based approach to achieving these goals. The implications of the Commissions' recommendations in this proceeding and ARB's ultimate adoption of a GHG emissions reduction program will not only be felt by Californians but likely set a national precedent. Thus, it is critical that the Commissions look to a market-based approach that will result in emissions reductions over the near-term and provide a structure for encouraging the investment and technical innovation that will be necessary to maintain and further increase emissions reductions over the long-term.

¹ The CPUC and CEC are collectively referred to as the "Commissions."

As discussed in its Opening Comments, Calpine supports a market-based approach to achieving GHG reductions goals. In particular, Calpine recommends the adoption of a multi-sector cap-and-trade program, with emissions allowances allocated using a regularly updated, non-fuel specific output-based approach. While a broad cross-section of parties in this proceeding agree that a market-based mechanism is the best option to achieve California's GHG reductions goals, there is disagreement as to the most appropriate approach for allocating emissions allowances. Specifically, some parties advocate allocating emissions based on historical emissions or auctioning all allowances at the outset of the cap-and-trade program. In addition, several parties support a broad range of flexible compliance mechanisms that these parties claim are necessary for cost containment purposes.

These allowance allocation approaches and flexible compliance mechanisms should not be adopted by the Commissions. They are shortsighted and run the risk of both increasing costs and minimizing actual emissions reductions. In short, these positions compromise the likelihood of achieving the emissions reduction goals set out in AB 32, as well as California's traditional leadership role on important environmental issues.

II. MARKET-BASED CAP-AND-TRADE PROGRAM IS THE MOST EFFICIENT AND COST-EFFECTIVE MEANS OF ACHIEVING EMISSIONS REDUCTIONS

Several parties, including the Northern California Power Authority ("NCPA"), the Los Angeles Department of Water and Power, and the Modesto Irrigation District, support the use of non-market, programmatic (*i.e.*, "command and control"), means for achieving emissions reductions mandated by AB 32. For example, NCPA states that information gathered by various "regulatory bodies" suggest that "any cap-and-trade program will *not* account for the majority of the emissions reductions" in the electricity sector.² Relying solely, or even predominantly, on

² NCPA Comments at 8-9 (emphasis in original).

non-market mechanisms to achieve required emissions reductions – even in the near-term - is a short-sighted policy that will likely increase costs and discourage innovation and the development of new technologies.

In contrast to a programmatic approach, the incremental benefits of a market-based approach for achieving emissions reductions are significant. For instance, as Calpine has noted in prior comments filed in this proceeding, experience with the Acid Rain program in the United States demonstrates that emission reductions can be realized more quickly and at much lower costs under a cap-and-trade system than traditional regulatory approaches.³ This is the case because, unlike programmatic approaches, allowance trading inherently encourages *over-compliance* by entities subject to the cap. Over-compliance is encouraged because entities can trade (*i.e.*, sell) unused/unneeded allowances – thus, providing a financial incentive for maximizing emissions reductions. The net effect is that greater levels of emissions reductions will be realized sooner than under a programmatic approach. Furthermore, and perhaps most importantly, the ability to trade allowances rewards innovation which, in turn, encourages increased investment in new emission reduction technologies. There is no doubt that new technologies and fuels will be critical to meeting emission reduction goals over the long-term - 2020 and beyond.

In addition, market-based cap-and-trade programs represent the overwhelming regional, national, and international trend for reducing GHG emissions. Indeed, functional cap-and-trade markets have already been developed in the European Union and are being considered throughout the United States at both the state and federal level. Several proposals for the creation of a national cap-and-trade market are being considered before the United States Senate and House of Representatives, and policymakers are closely monitoring on California's actions.

³ Calpine Comments on Type and Point of Regulation Issues at 3 (Dec. 3, 2007).

AB 32 clearly anticipates California taking a leadership role and serving as a model for future regional and/or federal emissions reduction efforts:

The program established by this division will continue this tradition of environmental leadership by placing California at the forefront of national and international efforts to reduce emissions of greenhouse gases ...[A]ction taken by California to reduce emissions of greenhouse gases will have far-reaching effects by encouraging other states, the federal government, and other countries to act.⁴

In light of the broader regional and national movement towards market-based solutions for achieving GHG emissions reductions, abandoning a market-based cap-and-trade program in favor of a purely command-and-control approach is simply inconsistent with California's traditional leadership role on environmental issues and would likely marginalize California on an issue of critical national and world wide importance.

III. A SECONDARY MARKET FOR TRADING EMISSIONS ALLOWANCE IS CRITICAL TO THE SUCCESS OF A MARKET-BASED CAP-AND-TRADE PROGRAM

The Utility Reform Network ("TURN") asserts that any adopted cap-and-trade program should not include a secondary market for trading emissions allowances. TURN reasons that such a restriction will protect low-income communities⁵ and mitigate the potential for market manipulation.⁶ TURN is wrong.

As discussed above, the ability to trade emissions allowances encourages over-compliance by entities subject to the cap resulting in greater levels of emissions reductions being realized sooner than under non-trading approaches. Moreover, the ability to trade allowances will better ensure a liquid market for allowances which will serve to stabilize prices. As Morgan Stanley correctly notes, "[l]arge liquid markets with many diverse participants prevent or more

⁴ Chapter 488, §§ 38501(c)-(d) at 2, Statutes of 2006.

⁵ TURN Comments at 6

⁶ TURN Comments at 7

correctly correct price excursions caused by activities or ‘schemes’ designed to defeat or subvert the underlying market.”⁷ Thus, in contrast to TURN, steps should be taken to ensure a robust market for trading emission allowances.

IV. ALLOWANCE ALLOCATION ISSUES

A. A regularly updated, non-fuel specific output-based allocation approach is the most efficient and cost-effective means for achieving the emissions reduction goals mandated in AB 32

As discussed in its opening comments, Calpine supports a regularly updated, non-fuel specific output-based allocation approach for allocating GHG emissions allowances. Among its benefits, such an approach (1) recognizes early actors who have already invested in low or zero emissions technologies and practices since the quantity of allowances an entity receives is predicated on the entity’s output, rather than historical emissions; (2) provides important incentives for new investment low or zero emissions technologies; (3) discourages the continued use of dirty, inefficient generators or contracts with such generators; (4) provides potential market entrants with equal access to allowances through the use of a new entrant set aside; and (5) provides the opportunity to include non-fossil fuel generators in the allocation process, thereby further promoting non-emitting technologies. Neither an emission-based (*i.e.*, “grandfathering”) approach nor an auction approach offer this same range of benefits or would result in the same level of emissions reductions as cost-effectively as the output-based approach recommended by Calpine.

B. A “grandfathering” approach rewards carbon-intensive generation and should be rejected.

Several parties, including Southern California Edison (“SCE”), Dynegy and the Division of Ratepayer Advocates (“DRA”), support adopting some form of a historic emissions-based or

⁷ Morgan Stanley Comments at 5.

“grandfathering” allowance allocation methodology. Calpine strongly opposes the adoption of such an approach to allocating emissions allowances.

In contrast to a regularly updated, non-fuel specific output-based allocation approach, a “grandfathering” approach would penalize carbon-efficient generation. Specifically, allocating allowances based on grandfathered emission levels rewards high-emitting generators by reducing their compliance costs relative to lower emitting resources. This, in turn, could prolong the life of these higher-emitting resources. Prolonging the life of inefficient, dirty generating resources is clearly contrary to the goals of AB 32. Moreover, grandfathering provides a *disincentive* for entities to shift to low-GHG technologies since to do so would result in loss of allowances – again, something that is contrary to the purpose of AB 32.

A grandfathering approach would also hinder the development of new low-emission generation because generation new to the market would not, by definition, have historic emissions. As a result, new entrants would not be eligible for an administrative allocation of allowances under a grandfathering approach. The costs of purchasing allowances would both disadvantage new more carbon-efficient entrants, relative to existing resources, and increase the cost of generation in general. It is critical to the long-term success of California’s emissions reduction efforts - both in terms of actual emissions reductions and the overall costs to achieve such reductions - that the development of low or zero emissions technologies be encouraged.

C. Allocating the value of emissions allowances directly to load serving entities distorts market signals and poses market power concerns.

Pacific Gas and Electric Company (“PG&E”) proposes that the “value” of emissions allowances be allocated exclusively to load serving entities (“LSEs”). Specifically, PG&E

asserts that allocating allowances to LSEs will best ensure that consumers benefit from the value of the allowances.⁸ PG&E's proposal will not ensure lower costs over the long-term.

As Calpine discussed in its opening comments, allocating the value of allowances directly to LSEs would likely shield consumers from bearing any of the costs associated with GHG emissions reductions.⁹ While Calpine agrees that it may be appropriate to adopt measures that will mitigate rate impacts for low-income consumers at the outset of *any* emissions reduction program (whether market-based or not), shielding consumers from *all* emissions reduction costs means that consumers will not be getting accurate price signals that might otherwise incentivize them to implement energy efficiency measures or take other actions to reduce the consumption of electricity.

In addition, allocating allowances directly to LSEs raises competitive concerns because it would concentrate a disproportionate share of allowances in the hands of a relatively small portion of market participants – reducing liquidity in the emissions allowance market. Because some LSEs – in particular, the IOUs – own generation assets, LSE-owned assets would likely have preferential access to allowances to the detriment of Independent Power Producers and power marketers that compete on a head-to-head basis with LSE-owned resources in the wholesale energy market. Thus, allocating allowances only to LSEs harms competition.

D. In the event an auction approach is adopted, a gradual phase-in is necessary to prevent market volatility and maintain reliability.

Calpine opposes the use of distributing 100% of allowances through an auction process, especially in the initial stages of a GHG emissions reduction program.¹⁰ It should be expected that during the early years of California's emissions reduction program, entities regulated under

⁸ PG&E Comments at 19.

⁹ Calpine Opening Comments at 12.

¹⁰ Calpine Opening Comments at 10.

AB 32 will face considerable compliance costs. However, as DRA notes, none of the existing cap-and-trade programs (either in the United States or abroad) have started with a 100% auction approach at the outset of the program.¹¹ Thus, there is substantial uncertainty with respect to the impact of such a 100% auction approach on compliance costs. Calpine agrees with DRA that, “[i]n the absence of certainty on allowance prices under an auction market, it would be very difficult for covered entities to plan their cash flow requirements.”¹²

In contrast, a gradual or “phased-in” auction approach would allow entities subject to the GHG cap to better plan for the auction process both financially and administratively. Furthermore, given the likely (although unknown) level of these costs, administratively allocating allowances at no cost on an updating, non-fuel specific output basis (as Calpine proposes) will encourage generation efficiency and provide incentives for investment in low-GHG technologies and fuel. As Calpine has previously stated, such an approach can offset or mitigate compliance costs in the near-term and serve to reduce overall costs to consumers over the long-term.

In short, a gradual move toward an auction process as the primary mode of allowance distribution in later years of the program will allow for a more orderly transition to a cap-and-trade system which should minimize price and supply disruptions; and, as a result, better ensure that the emissions reductions mandated by AB 32 are most cost effectively achieved.

V. THE USE OF FLEXIBLE COMPLIANCE MECHANISMS SHOULD BE LIMITED

The number and range of flexible compliance mechanisms proposed by parties has been remarkable. While many parties believe that flexible compliance mechanisms can offer unique benefits, market integrity and administrative simplicity require the Commissions to limit the

¹¹ DRA Comments at 5, footnote 6.

¹² DRA Comments at 7.

number of permissible flexible compliance mechanisms to only those that will provide the most desirable balance between retaining market integrity and protecting against market failure.

Calpine agrees with many parties that flexible compliance mechanisms can, if properly employed, help mitigate short-term price volatility and other potential market fluctuations that could hinder emissions reduction efforts. However, excessive use of flexible compliance mechanisms can erode the integrity of the emissions cap by, at times, “hiding” actual carbon costs. Moreover, the liberal use of flexible compliance mechanisms will diminish incentives to curb carbon-intensive activities or invest in low- or zero GHG emitting technologies, serving only to stall and exacerbate future costs. Accordingly, Calpine urges the *limited* use of flexible compliance mechanisms to mitigate price volatility while still ensuring that GHG reduction goals are met.

To best achieve the appropriate balance between retaining market integrity and protecting against market failure, the following mechanisms should be considered as a bundled “package:”

A. Banking:

Banking allows an entity to “store” extra allowances and use them during a future compliance period. This mechanism encourages early action to reduce emissions reductions and controls price volatility.

B. Rolling Compliance Period:

Calpine supports the recommendation of the Western Power Trading Forum (“WPTF”) for a rolling compliance period in which capped entities are required to surrender allowances each year to cover emissions from the previous year. In exchange, capped entities would be allowed access to a limited quantity of allowances from the next year (plus any allowances banked from previous years).¹³

¹³ WPTF Comments at 16-17.

C. Limited Use of Offsets:

Offsets should be secondary to the primary goal of reducing emissions at the source. As discussed in the comments submitted by the Natural Resources Defense Council (“NRDC”), offsets allow GHG emissions to rise within capped sectors while overall emissions levels between capped and uncapped sectors remains unchanged. As a result, offsets offer limited environmental benefits while presenting several substantial risks.¹⁴ At a minimum, offsets must be measurable, real, additive, and have clear ownership standards to allow regulators to verify details of offset-eligible projects. Such conditions will better ensure market integrity is maintained and will help prevent market manipulation.

In contrast, The Climate Trust argues that a robust and rigorous GHG offset program allows regulated entities to meet their emission reduction targets at a lower cost in the near term without necessitating the premature retirement of high cost infrastructure.¹⁵ While such an argument offers superficial appeal, offsets may offer little or no actual reductions in GHG emissions because they are, in effect, a mechanism that excuses actual emissions reductions *at the emitting source*. Indeed, given liberal use of offsets, it is entirely possible to falsely achieve the goals of AB 32 without reducing GHG emissions at all.

D. Executive Powers under AB 32

Health & Safety Code § 38599(a) provides that:

[i]n the event of extraordinary circumstances, catastrophic events, or threat of significant economic harm, the Governor may adjust the applicable deadlines for individual regulations, or for the state in the aggregate, to the earliest feasible date after that deadline.

The authority of the Governor to take protective action in the face of extraordinary circumstances serves as a critical backstop that would allow additional measures to be

¹⁴ NRDC Comments at 25

¹⁵ Climate Trust at 3.

implemented *if necessary* to protect against drastic market fluctuations in the emissions allocation market. In light of this safety valve, there is simply no need to adopt an overly broad range of flexible compliance mechanisms, particularly given the possibility that the excessive use of flexible compliance mechanisms can erode the integrity of the emissions cap.

Respectfully submitted,

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Dated: June 16, 2008

CERTIFICATE OF SERVICE

I, Judy Pau, certify:

I am employed in the City and County of San Francisco, California, am over eighteen years of age and am not a party to the within entitled cause. My business address is 505 Montgomery Street, Suite 800, San Francisco, California 94111.

On June 16, 2008, I caused the following to be served:

REPLY COMMENTS OF CALPINE CORPORATION ON ALLOWANCE ALLOCATION ISSUES

via electronic mail to all parties on the service list R.06-04-009 who have provided the Commission with an electronic mail address and by First class mail on the parties listed as “Parties” and “State Service” on the attached service list who have not provided an electronic mail address.

/s/ Judy Pau

Judy Pau

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CALIFORNIA PUBLIC UTILITIES COMMISSION

Service Lists

**PROCEEDING: R0604009 - CPUC - PG&E, SDG&E,
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