EU ETS data viewer

User manual and background note

Table of Content

1.	Intro	oduction	3
2.	Data	viewer description	4
3.	Back	ground information on the data and figures in the EU ETS data viewer	6
	3.1.	Data availability	6
	3.2.	Country	7
	3.3.	Scope change	8
	3.4.	Year	. 10
	3.5.	ETS information	. 12
	3.6.	Sectors	. 14
	3.7.	Entity size	. 14
	3.8.	Account status	. 15
	3.9.	Measures	. 15
	3.10.	Gases	. 15

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ENQUIRIES

For questions and feedback to the EU ETS data viewer please send a message at www.eea.eu/enquiries/ including "EU ETS data viewer" in the subject line.

DISCLAIMER

The EEA accepts no responsibility or liability whatsoever with regard to any use of the EU ETS data viewer nor the use, accuracy or completeness of the EUTL data. Please also note the general disclaimer which applies for all information on the EEA website at www.eea.europa.eu/legal/disclaimer.

Version 4.1 - 17 June 2013

1. Introduction

The EU emissions trading system (ETS) is one of the main and most prominent measures introduced by the EU to reduce its greenhouse gas emissions and reach its target under the Kyoto Protocol. The main source of information on the system at EU level is the European Union Transaction Log (EUTL) formerly called Community Independent Transaction Log (CITL) (¹). The EUTL is run by the European Commission, which checks and records all transactions in the ETS. It contains information on all entities covered by the system including their activity/sector, allocation and verified emissions on an annual basis. However, the data is not easily accessible in a user-friendly format.

The European Environment Agency (EEA) (²) and its European Topic Centre on Air pollution and Climate change Mitigation (ETC/ACM) (³) developed the EU ETS data viewer, a tool to help exploring the information contained in the EUTL. The EU ETS data viewer aims to support governments, market players and other stakeholders in their assessment of the EU ETS. The EU ETS data viewer is accessible on EEA website at: www.eea.europa.eu/data-and-maps/data/data-viewers/emissions-trading-viewer

This viewer enables users to assess the data concerning installations and emissions contained in the EUTL by country or country grouping, sector, size and year. The EUTL reports entity-level data, whereas the EU ETS data viewer provides aggregated data.

The trading sectors are the nine stationary sectors mentioned in Annex I of the Emission Trading Directive (4) and an additional category for opt-in installations. Since 2012 also aviation is included in the EU-ETS as a new sector (5).

This manual describes the functionalities and underlying data of the EU ETS data viewer. The latest version of the tool is based on data downloaded from the EUTL in March 2012 for the reporting years 2005 to 2007 (6). Verified emissions, allocated allowances and surrendered units for the years 2008 to 2012 are based on data published on the 2nd of May 2013.

^{(1) &}lt;a href="http://ec.europa.eu/environment/ets">http://ec.europa.eu/environment/ets

⁽²) <u>http://www.eea.europa.eu</u>

^{(3) &}lt;u>http://air-climate.eionet.europa.eu</u>

⁽⁴⁾ Directive 2009/29/EC of the European Parliament and of the council of 23 April 2009 amending Directive 2003/87/EC so as to improve and extend the greenhouse gas emission allowance trading scheme of the Community, Official Journal of the European Union, 5.6.2009

⁽⁵⁾ Directive 2008/101/EC of the European Parliament and of the Council of 19 November 2008 amending Directive 2003/87/EC so as to include aviation activities in the scheme for greenhouse gas emission allowance trading within the Community (Text with EEA relevance)

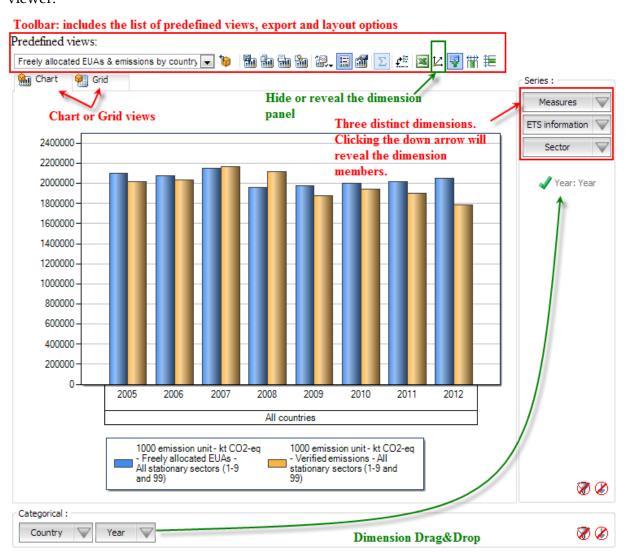
^{(6) &}lt;a href="http://ec.europa.eu/environment/ets/oha.do?languageCode=en">http://ec.europa.eu/environment/ets/oha.do?languageCode=en

2. Data viewer description

This chapter explains the requirements and usage of the tool. For a more thorough explanation of the content of the different sheets and on their interpretation please read chapter 3.

Important setting: in order to access all functionalities of the EU ETS data viewer, a specific setting has to be enabled under Internet Explorer 8. Under the menu "Tools/Internet options/security tab" the security setting "Active X controls and plug-ins/Binary and script behaviors" should be set in the "Enable" state.

The diagram below represents some main elements and functionalities of the EU ETS data viewer.



Predefined views:

The "Predefined views" drop down menu allows switching between defaults predefined views. Several "Predefined views" are available from the menu.

Dimensions:

The data viewer counts seven different dimensions: "Measures", "Year", "ETS information", "Sector", "Size", "Country" and "Account status".

Axis: two distinct axis "Series" and "Categorical".

Version 4.1 – 17 June 2013

4

Chart/Grid tabs: the "Chart/Grid" tabs allow easy switch between chart view and grid view. **Note:**

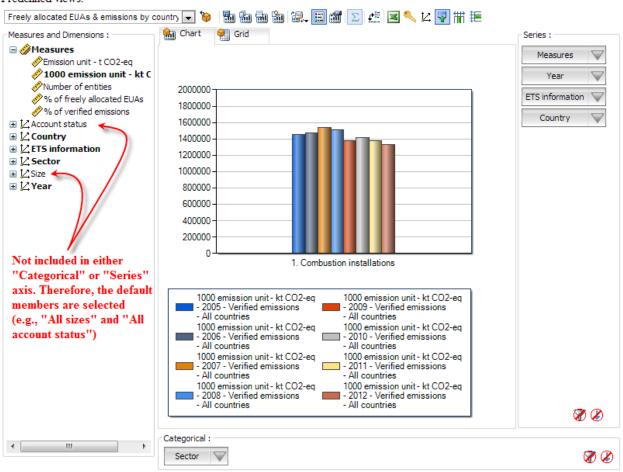
Each dimension can be removed or added to the two axis panel. This can be accomplished by clicking the button "Show/Hide the dimension panel" (see figure) and using drag and drop behavior.

A predefined member is selected by default when a dimension is removed from either two axis ("Series" or "Categorical).

Default member have been defined as followed:

- ETS information: "Verified emission";
- Year: "2012";
- Sector: "All sectors";
- Country: "All countries";
- Size: "All sizes";
- Account status: "All account status".

Predefined views:



Version 4.1 – 17 June 2013

5

Background information on the data and figures in the EU ETS data viewer

3.1. Data availability

The EU ETS data viewer contains the following information for each installation covered by the ETS:

- for stationary installations (sector 1-9 and 99): the quantity of allowances allocated to and the verified emissions of that installation for the years 2005 to 2012,
- for aircraft operator activities: the quantity of allowances allocated to and the verified emissions for the year 2012⁷,
- the activity under which the installation is registered
- the amount of total units surrendered, the amounts of EUAs surrendered, the amounts of certified reduction units (CERs) and emission reduction units (ERUs) surrendered
- the account status (open/closed).

The data contained in the EUTL is undergoing constant changes, for examples due to:

- installations entering or leaving the EU ETS;
- addition of missing information, e.g. late verified emission reports;
- correction of emission reports or inaccurate data in national registries;
- court decisions on the allocation decisions.

In most cases these changes are small and have no significant effect on the overall analysis.

In its 2nd May 2013 update, the EUTL includes data for installations associated to new main activity type codes (relevant for the trading period from 2013–2020). Where the installations concerned were already part of the ETS in previous years, the codes previously used have been kept. New installations (previously not included in the EUTL) with new activity codes were not taken into account in the viewer, except for 75 installations with reported surrendered units for the year 2012. For these 75 installations, the new activity type codes reported were translated into old codes (**Table 1** lists all translations of old and new sector codes)).

7.

⁽⁷⁾ Because of the "Stopping the clock" decision of 12th November 2012, the EU does not require allowances to be surrendered in April 2013 for emissions from air traffic from and to the EU in the year 2012. Allowances in EUTL in Aircraft Operator Accounts only partly reflect this development. In addition aircraft operators can choose to participate in the derogation or not. With this, an overall comparison of verified emissions and allowances in the aviation sector does not lead to meaningful conclusions at this point in time. Verified emissions, free allowances and surrendered units are not summed up with data from stationary installations.

Table 1	Translation	οf	sector	codes
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New sector code	New sector description	Old sector code	Old sector description
20	Combustion of fuels	1	Combustion installations
21	Refining of mineral oil	2	Mineral oil refineries
32	Manufacture of ceramics	8	Ceramic products by firing
28	Production or processing of non- ferrous metals	4	Metal ore roasting or sintering installations
35	Production of pulp	9	Production of pulp, paper and board
36	Production of paper or cardboard	9	Production of pulp, paper and board

The aggregated data presented in the EU ETS data viewer includes data for installations with incomplete information (e.g. missing reports on verified emissions, on-going court procedures on allocation, etc.).

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3.2. Country

All countries participating in the emission trading system are included in the EU ETS data viewer. The user can select individual countries or country groups. Countries are sorted alphabetically followed by the country groups. **Table 2** lists all Countries and to which groups they belong.

Table 2 Countries and country groups

	EU-15	EU-25	EU-27	All countries
Austria	х	X	X	X
Belgium	х	X	x	x
Bulgaria			х	х
Cyprus		х	х	х
Czech Republic		х	х	х
Denmark	х	х	х	х
Estonia		х	x	x

EEA EU ETS data viewer - User manual and background note

	EU-15	EU-25	EU-27	All countries
Finland	х	Х	х	х
France	X	Х	Х	Х
Germany	x	X	X	X
Greece	X	X	X	Х
Hungary		X	х	х
Iceland				Х
Ireland	x	Х	Х	Х
Italy	x	Х	Х	х
Latvia		Х	Х	Х
Liechtenstein				Х
Lithuania		Х	Х	Х
Luxembourg	x	X	х	х
Malta		Х	Х	Х
Netherlands	X	Х	Х	Х
Norway				Х
Poland		Х	Х	Х
Portugal	X	Х	Х	Х
Romania			Х	Х
Slovak Republic		Х	Х	Х
Slovenia		Х	Х	Х
Spain	x	X	Х	Х
Sweden	X	X	X	X
United Kingdom	x	X	X	Х

Croatia joined the EU-ETS since 1st January 2013, for the third trading period. With this, no data for the years 2008-2012 are included in the EUTL.

3.3. Scope change

The ETS scope designates the installations participating to the EU ETS. This scope depends on the country of the installation and on the size and activity of each installation.

In 2005 fewer countries and installations participated in the EU ETS. In order to compare verified emissions for example in year 2012 with verified emissions in year 2005 it is necessary to take into account emissions of the installations that did not yet participate in 2005. Therefore, a scope correction per country has been estimated by the EEA and included in the EU ETS data viewer. It can be viewed when choosing the sector "all stationary sectors". No scope change was carried out for aviation as it is not included in this sector.

Participating countries

The EU ETS started with the EU-25 in 2005, but the number of countries covered has since increased to 30. Bulgaria and Romania entered the EU ETS in 2007. Norway, Iceland and Liechtenstein joined in 2008, but stationary installations from Iceland will only participate in the EU ETS from 2013 onwards.

Bulgaria, **Romania**: ETS emissions for 2005 and 2006 for Bulgaria and Romania have been filled by assuming that emissions were equal to 2007 (9).

Norway, Liechtenstein: Data for ETS emissions in the year 2005 (17.82 Mt. CO₂ in 2005) is available from the Norwegian NAP (¹⁰) and the NAP of Liechtenstein (¹¹) (0.018 Mt CO₂ in 2005) for each main activity code. As no information was available on the trend of ETS emissions for Norway and Liechtenstein in 2006 and 2007, ETS emissions in 2006 and 2007 were assumed to be equal to 2005 levels.

Participating installations

For countries already participating in the EU ETS since 2005, the scope changed over time. The two main reasons for this scope change were:

- Some countries allowed for opt-outs (temporary exclusion of installations) in phase I of the EU ETS (UK, Netherlands and Belgium).
- The clarification of the definition of combustion installation by the European Commission (12) for the second trading phase resulted in the inclusion of additional installations in the EU ETS from 2008 onwards in several Member States which had applied a restrictive definition in the years 2005 to 2007.
- Certain installations were covered by the scheme in the first phase but not any longer in the second phase (e.g. due to de-minimis rules or temporary opt ins), the corresponding emissions had to be subtracted.

This scope change for the year 2005 was clarified between the Commission and Member States in the process leading to the determination of annual emission allocations under the Effort Sharing Decision' (¹³). It was assumed that the scope change for the years 2006 and 2007 is equal to the year 2005. Only in UK the scope correction is lower in 2007 compared to 2005 and 2006 as the opt-out for installations being previously covered by the UK ETS ended at the end of 2006. (¹⁴) The data is shown in **Table 3**.

For the second phase corrections are included for (mainly N_2O emitting) installations that have been opted into the EU ETS in the second trading period by three Member States (Austria, Latvia and the Netherlands). The values are also based on data used for the effort sharing target setting for the years 2008-2010. For 2011 and 2012 data is assumed to be equal to 2010.

The scope correction is both applied to verified emissions and free allocation.

Version 4.1 – 17 June 2013

⁽⁹⁾ This approach has been used also by the Commission in the process of effort sharing decisions' (ESD) target setting.

⁽¹⁰⁾ Norway (2008): NAP Phase II; March 2008; http://www.regjeringen.no/upload/MD/Vedlegg/Planer/NAP_FINAL_ESA_260308.pdf

⁽¹¹⁾ Liechtenstein (2008): Nationaler Zuteilungsplan 2008-2012 für das Fürstentum Liechtenstein; Vaduz, Januar 2008; http://www.llv.li/pdf-llv-aus-nap.pdf

⁽¹²⁾ Commission of the European Communities (CEC) (2005): Communication from the Commission "Further guidance on allocation plans for the 2008 to 2012 trading period of the EU Emission Trading Scheme", COM(2005)703 final, 22.12.2005.

^{(&}lt;sup>13</sup>) Decision C(2013) 1708 on determining Member States' annual emission allocations for the period from 2013 to 2020 pursuant to Decision No 406/2009/EC: Presentation of draft text for decision on determining annual emission allocations for the period 2013-2020; Slide 9; Climate Change Committee Working Group II; 28 June 2012, Brussels.

⁽¹⁴⁾ DECC (Department of Energy & Climate Change) 2009: Report on 2008 EU emissions trading System emissions data.

Table 3 Change in scope included in the EU ETS data viewer (in kilo tonnes of CO₂ equivalents / 1000 emission trading units)

		Phase 1		Phase 2						
	Phase 2	1/2 scope ch	ange	II-ilataral in alvaiana						
		porary opt-	•	Unilateral inclusions						
	2005	2006	2007	2008	2009	2010	2011	2012		
Austria	350.0	350.0	350.0			-64.0	-64.0	-64.0		
Belgium	5 188.7	5 188.7	5 188.7							
Bulgaria	39 182.0	39 182.0								
Croatia										
Cyprus										
Czech										
Republic										
Denmark										
Estonia	247.4	247.4	247.4							
Finland	400.0	400.0	400.0							
France	4 710.0	4 710.0	4 710.0							
Germany	11 000.0	11 000.0	11 000.0							
Greece										
Hungary	1 432.2	1 432.2	1 432.2							
Ireland	-40.9	-40.9	-40.9							
Italy	5 920.0	5 920.0	5 920.0							
Latvia				-17.2	-17.9	-9.9	-9.9	-9.9		
Lithuania	57.2	57.2	57.2							
Luxembourg										
Malta										
Netherlands	3 923.0	3 923.0	3 923.0	-557.7	-492.5	-301.3	-301.3	-301.3		
Poland	4 952.2	4 952.2	4 952.2							
Portugal	770.0	770.0	770.0							
Romania	69 616.2	69 616.2								
Slovakia	1 793.9	1 793.9	1 793.9							
Slovenia										
Spain	6 223.0	6 223.0	6 223.0							
Sweden	1 670.9	1 670.9	1 670.9							
United		20 140 2	20 540 2							
Kingdom	29 149.3	29 149.3	20 549.3							
EU-27	186 544.9	186 544.9	69 146.8	-574.9	-510.4	-375.2	-375.2	-375.2		
Liechtenstein	18.1	18.1	18.1							
Norway	17 820.0	17 820.0	17 820.0							

3.4. Year

The European Emission Trading System is based on trading periods; coverage of installations and sectors as well as allocation rules might differ between trading periods. The first trading period (also called supplementary program commitment period) covered three years (2005-2007); the second trading period covers five years (2008-2012). No banking of EUAs was possible between the first and the second trading period.

EEA EU ETS data viewer - User manual and background note

The user can choose the following settings in the category 'year':

- 2005, 2006, 2007, 2008, 2009, 2010, 2011 or 2012: data for an individual year.
- total 1st trading period (2005–2007): sum of the three years (2005 to 2007) of the first trading period.
- total 2nd trading period (2008–2012): sum of the five years (2008 to 2012) of the second trading period.

Bulgaria and Romania only entered the EU ETS in 2007. If 2005 or 2006 is selected, no data is shown for all installations for these two countries. The same goes for the selection of the years 2005, 2006 or 2007 for Norway, Iceland and Liechtenstein which joined the EU ETS in 2008. However, there are no installations from Iceland participating in the EU ETS in the period from 2008 to 2012 (15). As all combustion installations in Iceland have emissions below 25 000 t CO₂ per year, Iceland was exempted from the requirement to submit a national allocation plan for the 2008-2012 period. From 2013 onwards primary aluminium smelters from Iceland will participate in the EU ETS.

For the aviation sector information is (mainly) shown for 2012, the year the sector entered into the scheme.

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⁽¹⁵⁾ Pursuant to EEA Joint Committee Decision No 146/2007,

3.5. ETS information

The EUTL contains information on the verified emissions, the free allocation received and the surrendered units. The EU ETS data viewer gives the possibility to select one or several items described in **Table 4**.

Table 4 ETS information

Item	Description
Total EU allowances (EUAs)	Sum of free allocation and auctioning (see below):
Freely allocated EUAs	Amount of free allocation received (does not include allowances bought, e.g. through auctioning).
Auctioned or sold EUAs	Amount of EUAs auctioned or sold by Member States
Freely allocated EUAs (scope corrected)	Freely allocated EUAs including scope correction (see chapter 3.3).
Verified emissions	Emissions of the entities (installations/aircraft operators) which have been testified by a verifier; for each tonne of CO ₂ -eq. emitted operators have the obligation to surrender one emission trading unit.
Verified emissions (scope corrected)	Verified emissions including scope correction.
Total surrendered units	Different types of units are surrendered to comply with the legal obligation of the operator; each unit equals one tonne of CO ₂ -eq. These might include EUAs and EUAAs (European (Aviation) Allowance Units) allocated for free, bought at auctions or from other operators as well as CERs and ERUs (see below):
• Surrendered allowances (EUAs)	EUAs surrendered by operators of stationary installations
 Surrendered allowances of aviation operators (EUAAs) 	EUAs surrendered by aviation operators.
Surrendered CERs	CERs (Certified Emission Reductions) can be surrendered to comply with the legal obligation of the operator and originate from CDM projects; i.e. emission reduction projects in non-Annex 1 countries (countries without an emission reduction target under the Kyoto-Protocol, mostly developing countries).
Surrendered ERUs	ERUs (Emission Reduction Units) can be surrendered to comply with the legal obligation of the operator and originate from JI projects; i.e. emission reduction projects in Annex 1 countries (countries with an emission reduction target under the Kyoto-Protocol, mostly industrialized countries).

EUAs auctioned or sold by governments are not recorded in the EUTL. Therefore the number of EUAs auctioned or sold by governments has been collected from publications

from the respective countries. **Table 5** summarises the amount EUAs auctioned or sold by countries and includes the relevant sources¹⁶.

Table 5 EUAs auctioned or sold, 2005 to 2012

	2005	2006	2007	2008	2009	2010	2011	2012*	Sources
		Millio	n EUA	s (1st &	z 2 nd tra	ading	period)	
Austria					0.4	0.4	0.2	1.0	www.climex.com
Belgium								9.6	www.eex.com
Bulgaria								0.1	www.eex.com
Cyprus									
Czech								2.6	www.eex.com
Republic								2.0	www.ccx.com
									http://greenstream.dev.aucor.fi/con
Denmark		4.4						2.8	tent/greenstream-network-
Deminark		1,1						2.0	appointed-trustee-sell-2775-
									million-euas-behalf-danish-state
Estonia									
Finland									
France				40.4					
Germany				49.1	41.1	41.1	40.7	48.1	
									http://www.helex.gr/index2.php?o
Greece							10.0	8.8	ption=com_content&task=view&id
									=2239&pop=1&page=0&Itemid=105
I I		1.2	1.2					77	54
Hungary		1.2	1.2					7.7	www.euets.com; www.eex.com
Iceland									www.pointcarbon.com,
Ireland		1.2			0.2	0.2	0.2		www.ec.europa.eu
Italy									www.ec.europa.eu
Latvia									
Liechtenstein									
Lithuania			0.6				0.9	2.5	www.eex.com
Luxembourg								0.0	www.eex.com
Malta									
Netherlands						8.0	4.0	4.0	www.eex.com
									Email from Norwegian financial
Norway					12.6	6.3	6.3	9.8	department.
									http://www.gpw.pl/wydarzenia_e
Poland								0.2	
									h tresc glowna cmn id=50140
Portugal									
Romania								0.6	www.eex.com
Slovakia									
Slovenia									

 $\frac{http://www.dehst.de/cln\ 162/SharedDocs/Downloads/Publikationen/Auswertung\ 1\ Handelsperiode, template}{Id=raw,property=publicationFile.pdf/Auswertung\ 1_Handelsperiode.pdf}$

Version 4.1 - 17 June 2013

¹⁶ Auctions in Germany in 2008 include sales of 8.125 million EUA by the KfW to compensate for costs of the replenishment of the NER in phase 1. Source (Page 69):

Spain								
Sweden								
United			4.0	25.0	25.0	20.7	27.3	http://www.dmo.gov.uk/index.asp
Kingdom			4.0	23.0	35.8	30.7	27.3	x?page=ETS/AuctionInfo
EU-25	6.8	1.7	53.1	66.7	85.5	86.6	114.5	
EU-27	6.8	1.7	53.1	66.7	85.5	86.6	115.3	
All countries	6.8	1.7	53.1	79.3	91.9	92.9	125.0	

Some countries (Belgium, Czech Republic, Denmark, Lithuania, Norway and Poland) sold/auctioned allowances relative to the second trading period in the first months of 2013. These were mainly EUAs remaining in the new entrants' reserve or unused EUA set aside for UN backed emissions reduction projects. These volumes are added to the 2012 figures. In 2012 first auctions of allowances of the third trading period were held. These are not included in the volumes above as they are to be delivered in 2013 only.

3.6. Sectors

Installations included in the EUTL are grouped in different sectors according to Annex I of the EU Emission Trading Directive (¹⁷) (**Table 6**). Since 2012 emissions from aviation have been included in the EU-ETS with an additional sector. Users can select individual sectors or choose to select all sectors together. Sector 99 was included to cover other installations opted in under Article 24 of the EU ETS Directive. For example, Sweden decided to include all installations with a thermal input below 20 MW that are nevertheless connected to a district heating network with a total rated thermal input above 20 MW. In practice, the activity of an installation which is listed under sector 99 in the EUTL is rarely clear.

Table 6 Emission trading sectors

Sector code	Sector description
1	Combustion installations
2	Mineral oil refineries
3	Coke ovens
4	Metal ore roasting or sintering installations
5	Production of pig iron or steel
6	Production of cement clinker or lime
7	Manufacture of glass including glass fibre
8	Manufacture of ceramic products by firing
9	Production of pulp, paper and board
99	Other stationary activity opted-in
Industrial sectors	Industrial sectors (2-9)
All stationary sectors	All stationary sectors (1-9 and 99)
10	Aircraft Operator Activities

3.7. Entity size

In the EU ETS data viewer, it is possible to limit the data to entities (installations/aircraft operators) of a certain size category. An overview of the possible choices is presented in **Table 7**.

⁽¹⁷⁾ Directive 2009/29/EC of the European Parliament and of the council of 23 April 2009 amending Directive 2003/87/EC so as to improve and extend the greenhouse gas emission allowance trading scheme of the Community, Official Journal of the European Union, 5.6.2009

Table 7	Size definitions
I UDIC /	Size delilitions

Size	Emission values						
large	Entities with verified emissions higher than 500 000 t CO ₂						
medium	Entities with verified emissions comprised between 50 000 and 500 000 t						
	CO ₂						
small	Entities with verified emissions comprised between 25 000 and 50 000 t CO ₂						
mini	Entities with verified emissions lower than 25 000 t CO ₂						
zero	Entities with verified emissions equal to 0						
unknown	Entities where verified emissions are unknown						
All sizes	All entities						

The EUTL does not contain information on the size of an entity. As an approximation the maximum emissions of an entity over the time series were used to define its size. It is appropriate to use the maximum and not average emissions over the time series as real emissions are always lower than theoretical emissions if an installation would run at maximum capacity throughout the entire year/an airline operator would fly its planes the maximum number of kilometres possible.

3.8. Account status

The account status indicates whether an entity actively takes part in the trading system (open) or has left the system (closed). The account status always refers to the date of download. If the user wishes to assess the number of entities included in the system to date, only entities with account status "open" should be selected; if the user aims at assessing e.g. the total volume of emissions over time also closed accounts should be taken into account.

3.9. Measures

The unit in which the information is downloaded from the EUTL is tonnes of CO₂ equivalent and in emission trading units (one unit being equivalent to one tonne of CO₂). The EU ETS data viewer also gives the possibility to change the output values in kilo tonnes of CO₂ equivalents / 1000 emission trading units but also to show them in relative units. All EUTL information data can be given in relation to the allocation allowances or in relation to the verified emissions.

The viewer can show the number of entities. The EUTL does not contain information on the status of an entity in a given year, i.e. whether it is a new entrant, existing installation/aircraft operator or has been closed. A good indicator is whether an entity is participating in the system in a given year is that it has emissions in that year. Therefore the number of entities takes only into account entities for which emissions are available in the year shown.

3.10. Gases

By default the ETS covered only CO2 emissions in the first two trading periods.

However, from the year 2008 onwards, N₂O emissions of nitric acid production could be included in the system. Until now only Austria, Latvia, the Netherlands and Norway

Version 4.1 - 17 June 2013

EEA EU ETS data viewer – User manual and background note

decided to include such installations (Latvia, the Netherlands and Norway are opting-in since 2008 and Austria since 2010).

As all allowances and verified emissions are reported in CO₂ equivalent, it is not possible to distinguish whether an installation emitted CO₂ or N₂O or both. The order of magnitude of the emissions can be judged based on the scope correction information (chapter 3.3).