

UC Berkeley

UC Berkeley Previously Published Works

Title

In-Use Passenger Vessel Emission Rates of Black Carbon and Nitrogen Oxides

Permalink

<https://escholarship.org/uc/item/5rm7g8xp>

Journal

Environmental Science and Technology, 56(12)

ISSN

0013-936X

Authors

Sugrue, Rebecca A

Preble, Chelsea V

Tarplin, Anna G

et al.

Publication Date

2022-06-21

DOI

10.1021/acs.est.2c00435

Copyright Information

This work is made available under the terms of a Creative Commons Attribution-NonCommercial License, available at <https://creativecommons.org/licenses/by-nc/4.0/>

Peer reviewed

1 In-Use Passenger Vessel Emission Rates of Black Carbon and Nitrogen Oxides

2

3 Rebecca A. Sugrue^{1,2}, Chelsea V. Preble^{1,2}, Anna G. Tarplin^{1,2,a}, Thomas W. Kirchstetter^{1,2,*}

4 ¹Department of Civil and Environmental Engineering, University of California, Berkeley, CA,
5 94720, USA.

6 ²Energy Technologies Area, Lawrence Berkeley National Laboratory, Berkeley, CA, 94720,
7 USA.

8 ^aCurrent: Department of Civil and Environmental Engineering, Stanford University, Palo Alto,
9 CA, 94305, USA.

10 *Corresponding author: twkirchstetter@lbl.gov

11

12 **Abstract**

13 This study quantified emission factors of black carbon (BC) and nitrogen oxides (NO_x) from 21
14 engines on in-use excursion vessels and ferries operating in California's San Francisco Bay,
15 including EPA uncertified and Tier 1–4 engines and across engine operating modes. On average,
16 ~60 fuel-based emission factors per engine were measured using a novel combination of exhaust
17 plume capture combined with GPS location and speed data that can be more readily deployed
18 than common portable emissions measurement systems. BC and NO_x emission factors (g kg⁻¹)
19 were lowest and least variable during fast cruising and highest during maneuvering and docked
20 operation. Selective catalytic reduction (SCR) reduced NO_x emissions by ~80% when functional.
21 However, elevated NO_x emissions that exceeded corresponding exhaust standards were
22 measured on most Tier 3 and Tier 4 engines sampled, which can be attributed to inactive SCR
23 during frequent low engine load operation. In contrast, BC emissions exceeded the PM emission

24 standard for only one engine, and SCR systems employed as a NO_x reduction technology also
25 reduced emitted BC. Using these measured emission factors to compare commuting options, we
26 show that the CO₂-equivalent emissions per passenger-kilometer are comparable when
27 commuting by car and ferry, but BC and NO_x emissions can be several to more than ten times
28 larger when commuting by ferry.

29

30 **Keywords**

31 selective catalytic reduction, pollutant emission inventory, carbon footprint, diesel exhaust, air
32 pollution, commercial harbor craft, transportation

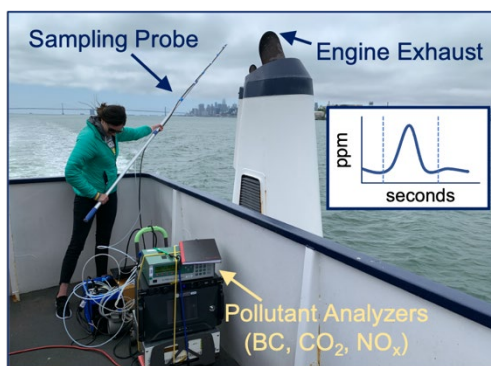
33

34 **Synopsis**

35 This study uses a novel approach to quantify pollutant emission rates from in-use passenger
36 vessels and the effectiveness of selective catalytic reduction of nitrogen oxides to support
37 emission inventory development and inform air pollution policy decision-making.

38

39 **Graphic for Table of Contents (TOC)/Abstract Art**



40

41

42 **Introduction**

43 Diesel engines are an important source of air pollutants that degrade air quality and
44 contribute to climate change, including nitrogen oxides (NO_x), particulate matter (PM), and
45 black carbon (BC), a major component of diesel PM.¹⁻³ While most diesel fuel is consumed by
46 on-road vehicles, stricter regulations and broader use of emission control technologies by the on-
47 road fleet mean that off-road engines increasingly contribute a larger portion of remaining
48 emissions.⁴⁻¹⁰

49 Marine vessels are an off-road source that cause an estimated 60,000 cardiopulmonary
50 and lung cancer deaths each year globally.^{11,12} Commercial harbor craft (CHC), including ferries
51 and excursion vessels, are a subset of marine vessels that operate particularly close to shore and
52 nearby communities, unlike other categories of ocean-going vessels. Recognizing these impacts,
53 California has accelerated the adoption of higher tier marine engines that meet more stringent
54 PM and NO_x emission standards set by the U.S. Environmental Protection Agency (EPA).^{13,14}
55 Since 2009, all newly purchased vessels must meet the standards for Tier 2 or better engines, and
56 select in-use vessel categories operating in Regulated California Waters must meet Tier 2 or Tier
57 3 engine standards by the end of 2022 via engine replacement or certification.

58 As efforts to control CHC emissions continue, it is noteworthy that pollutant emissions
59 rates from in-use CHC have not been well characterized and only a few studies have related
60 emissions to engine operating conditions.¹⁵⁻²² Additionally, as Tier 4 engines are originally
61 equipped and other engines can be retrofitted with selective catalytic reduction (SCR) to reduce
62 NO_x emissions, it is critical to verify the effectiveness of SCR on in-use vessels. Emission
63 inventories used for air pollution hazard assessments currently rely heavily on outdated datasets
64 and older, controlled engine certification tests.²³ These inventories need be updated with newly

65 measured emission factors that include in-use engine and emission control system operation and
66 performance.

67 This study measured BC and NO_x emission rates from excursion vessels and ferries
68 operating in California's San Francisco (SF) Bay. Engines on the vessels met a range of emission
69 standards (EPA uncertified and Tier 1–4) and included Tier 3 engines retrofitted with SCR, as
70 described in Table S1 of the Supporting Information (SI). For simplification, we refer to EPA
71 uncertified engines as Tier 0. While the sampled fleet was based in the SF Bay, these vessels
72 comply with national engine emission standards. Therefore, the results of this study are
73 informative of what can be expected as CHC fleets outside of California modernize. The scope
74 of this study was made possible through a novel application of an exhaust plume capture method
75 that had previously been extensively applied to measure pollutant emission rates from on-road
76 heavy-duty diesel trucks.^{5,6,24} Owing to the low cost, size, and power consumption of modern
77 sensors and the noninvasive approach of exhaust plume capture, the method is more readily
78 deployable than a traditional portable emission measurements system (PEMS) and enables
79 access to a greater number of engines. More than 1400 short-duration exhaust samples were
80 captured on-board in-use vessels to characterize the influence of operating mode on emission
81 rates and effectiveness of SCR systems. On three vessels, engine data was provided by either the
82 manufacturer or another research team that concurrently deployed PEMS. This data provided
83 fuel consumption rates that informed the weighting of the snapshot emission factors measured in
84 the present study across engine operating modes for each sampled engine. These in-use,
85 operating-mode-weighted emission rates are also compared to EPA emission standards and used
86 to compare the carbon and air pollution footprints associated with commuter travel by ferry and
87 passenger vehicle.

88

89 **Materials and Methods**

90 Concentrations of carbon dioxide (CO₂), BC, and NO_x were measured in the diluted
91 exhaust from the main engines of ferries and excursion vessels. In total, 25 tests were conducted
92 on 21 engines on 14 vessels, as summarized in Table S2. Emissions from one engine were
93 measured while testing two different fuel types, and three engines were measured under two
94 emission control modes (enabled or disabled SCR) for a total of 25 engine tests.

95 During all tests, an Aerosol Black Carbon Detector (ABCD)²⁵ and SBA-5 (PP Systems)
96 were used to measure BC and CO₂, respectively. Both analyzers are relatively low cost, report
97 concentrations at a frequency of 1 Hz, and are small and battery powered. These features made
98 them convenient to carry aboard and use in this application, especially when compared to a
99 traditional PEMS method that is more invasive and, therefore, more difficult to deploy on a large
100 number of vessels. A NO_x analyzer meeting those requirements does not currently exist.
101 Therefore, NO_x was measured on a subset of the vessels where plug-in power was available,
102 using a research-grade EcoPhysics CLD64. For this subset of 10 tests, research-grade CO₂ (LI-
103 7000, LI-COR) and BC (Aethalometer AE33, Magee Scientific) analyzers were used in addition
104 to the corresponding lower cost analyzers. Analyzer specifications are provided in Table S3.

105 Prior to sampling onboard, CO₂ and NO_x analyzers were calibrated with certified zero
106 and span concentration gases, and the zero-response of BC analyzers was verified by sampling
107 with a particle filter on their inlets. Post sampling, concentration data was corrected for sampling
108 artifacts and instrumental errors, as described in the SI.

109 During sampling, a pole was used to extend gas and particle sample lines into the engine
110 exhaust for approximately 5–10 seconds per minute throughout the course of each ferry and

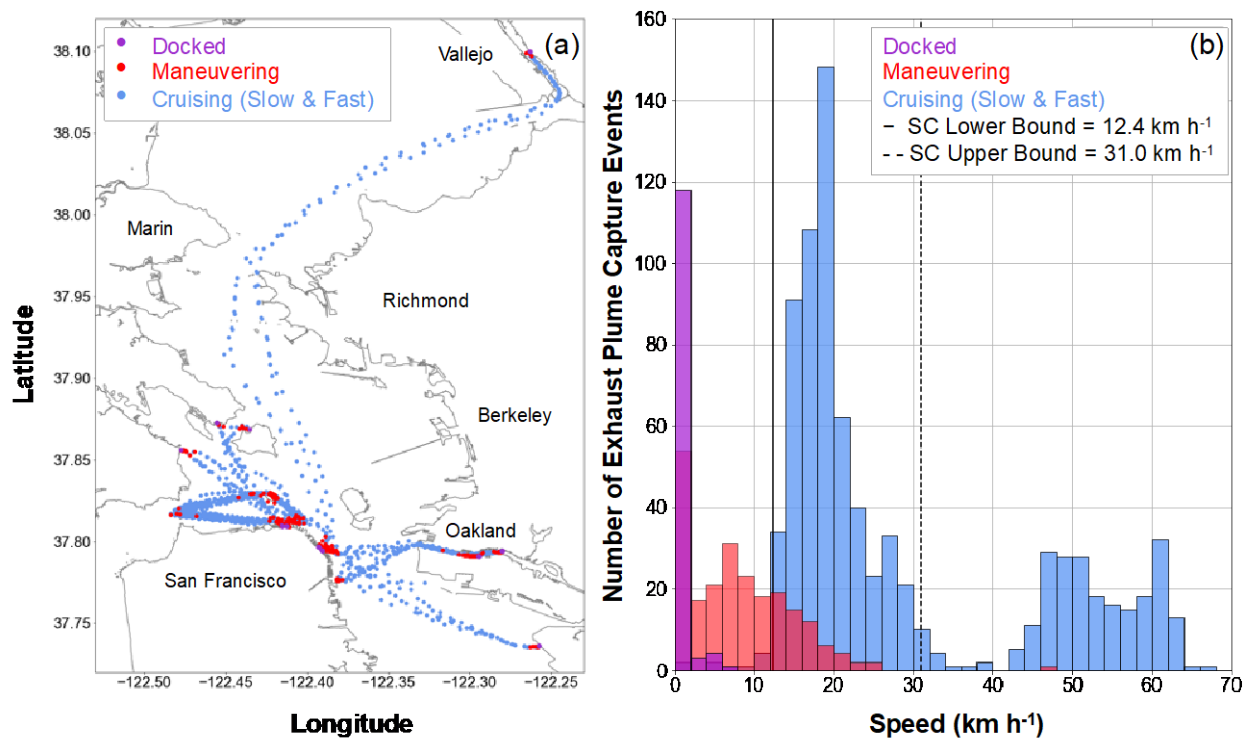
111 excursion vessel trip, as shown in Figure S1. When not extended into the exhaust plume, the
112 sample lines were oriented so that clean ambient air was sampled. This plume capture method
113 generates peaks in the concentration time series related to the pollutants emitted and fuel burned
114 by the engine.

115 Pollutant concentration peaks that correspond to each short-duration plume sample were
116 integrated to calculate fuel-based BC and NO_x emission factors using a carbon balance method
117 (Equation 1). The emission factor for pollutant P (EF_P) has units of g of pollutant emitted per kg
118 of fuel burned and is calculated over the time interval $t_1 \leq t \leq t_2$, which corresponds to the onset
119 and end of the rise above baseline concentration of each pollutant. The numerator and
120 denominator represent the baseline-subtracted peak areas for pollutant P and CO₂, respectively.
121 This ratio compares the relative abundances of pollutant P and CO₂ in the sampled exhaust
122 plume when [P] and [CO₂] have mass concentration units (e.g., $\mu\text{g m}^{-3}$). The factor of 44/12
123 converts CO₂ to carbon mass, the weight fraction of carbon in diesel fuel ($w_c = 0.87$) converts
124 that ratio to a per mass of fuel burned basis, and the factor of 10^3 converts units from g to kg of
125 fuel. This method assumes that all fuel carbon is oxidized to CO₂ during combustion, such that
126 carbon monoxide and volatile organic compounds are comparatively negligible in the total
127 carbon balance.^{24,26}

$$128 \quad EF_P [g \text{ kg}^{-1}] = \frac{\int_{t_1}^{t_2} ([P]_t - [P]_{t_1})}{\int_{t_1}^{t_2} ([CO_2]_t - [CO_2]_{t_1})} \cdot \frac{44}{12} \cdot w_c \cdot 10^3 \quad (1)$$

129 The vessels in this study fell within two main types of travel routes, short-haul and long-
130 haul (noted in Table S2). Excursion vessels tended to operate at slower speeds as they traveled
131 short-haul routes in a loop between tourist attractions (e.g., SF to the Golden Gate Bridge and
132 Alcatraz Island). Commuter ferries included shorter routes between Oakland and SF and longer
133 routes between SF and Vallejo, with some vessels specifically noted as high-speed ferries.

134 Pollutant emission factors were averaged within four different engine operating modes: docked,
135 maneuvering, slow cruising, and fast cruising. When docked, engines were either idling or
136 pushing the vessel against the dock to allow passengers to board and disembark. Maneuvering
137 operation occurred when the vessel was entering or exiting the harbor or moving around tourist
138 attractions. These activities were recorded in an experimental log during each trip. Cruising
139 encompasses all other times when the vessel was moving at a steady speed between destinations;
140 slow cruising occurred while traveling along corridors, in harbors, or between tourist
141 destinations, and fast cruising occurred on long stretches between destination points. The
142 distinction between slow and fast cruising for all vessels was based on field notes and vessel
143 speed, with slow cruising defined as 12.4–31.0 km h⁻¹ and fast cruising as >31.0 km h⁻¹ (see
144 Figure 1 and SI for additional details). Vessel speeds were measured at 0.2 Hz using a GPS
145 logger (GlobalSat DG-500).



146

147 **Figure 1.** (a) Map of San Francisco Bay overlaid with points depicting locations of on-board
 148 exhaust plume measurement locations and (b) distribution of vessel speeds during all exhaust
 149 plume measurements (n = 1438) categorized by engine operating mode (docked, maneuvering, or
 150 cruising). Cutoffs for slow and fast cruising are shown as the solid and dashed lines, respectively.
 151

152 Using Equation 2, individual emission factors characterized by operating mode were
 153 averaged and then weighted based on the amount of fuel consumed in each mode over the course
 154 of a trip to compute a single mode-weighted pollutant emission factor (EF_{wtd}) for each vessel.
 155 Fuel consumption rates for each operating mode were assumed based on engine data
 156 concurrently collected by other teams from three representative vessels: (i) a short-haul (SH),
 157 Tier 2 excursion vessel; (ii) a long-haul (LH), Tier 3 commuter ferry; and (iii) a long-haul, high-
 158 speed (LH/HS), Tier 4 commuter ferry. See Table S4 in the SI for additional details and data
 159 sources. The engine data showed that most of the fuel is consumed in the cruising mode, so those
 160 mode-average emission factors were weighted more heavily. For short-haul excursion tours and
 161 ferry commutes, slow and fast cruising (SC + FC) together accounted for 90% of fuel
 162 consumption during a trip and all other modes (docked and maneuvering, D + M) combined were
 163 weighted by 10%. Long-haul ferry commutes follow a different fuel consumption pattern that is
 164 dominated by fast cruise operation under high engine loads (Table S4), so slow cruise emission
 165 factors were combined with those measured during docked and maneuvering operation for these
 166 vessels. Fast cruising (FC) values were weighted by 90% for the long-haul ferries and by 96%
 167 for designated high-speed, long-haul ferries, while docked, maneuvering, and slow cruising
 168 modes (D + M + SC) were together weighted by the remaining 10% and 4%, respectively.

$$169 \quad EF_{wtd} = \left\{ \begin{array}{l} 0.90(\overline{EF}_{SC+FC}) + 0.10(\overline{EF}_{D+M}), \text{ SH} \\ 0.90(\overline{EF}_{FC}) + 0.10(\overline{EF}_{D+M+SC}), \text{ LH} \\ 0.96(\overline{EF}_{FC}) + 0.04(\overline{EF}_{D+M+SC}), \text{ LH/HS} \end{array} \right\} \quad (2)$$

170 Another objective of this study was to evaluate the performance of SCR systems that
171 have been installed as retrofits on Tier 3 engines or as original equipment on Tier 4 engines. In
172 this study, the SCR system on a subset of Tier 3 engines was manually disabled such that the
173 impact of SCR operation on NO_x and BC emission factors could be directly evaluated (Table
174 S2). The other engines equipped with SCR systems were sampled under their normal operation,
175 without any intervention. None of the vessels in this study were equipped with diesel particle
176 filters.

177

178 **Results and Discussion**

179 Between January and November 2019, 1438 BC and 589 NO_x emission factors were
180 measured during the 25 tests of 21 engines on 14 vessels in the SF Bay. Approximately 65% of
181 these plume capture events were during slow and fast cruising, 25% during maneuvering, and
182 10% while docked. Details of this sampling, including route type, engine tier, fuel type, SCR
183 activity, orientation of engine exhaust, and auxiliary engine operation, are specified in Table S2.
184 The present study focuses on emissions differences due to engine tier, operation mode, and SCR
185 activity, as urea dosing depends on engine operation. For the results below, engine tests are
186 categorized as Inactive when there is evidence that urea was not dosing for a majority of the
187 vessel trip or when SCR systems were manually disabled. All other SCR engine tests are noted
188 as Active. Other factors such as fuel type showed comparatively minimal impact on the emission
189 trends. Emission factors reported below are average values \pm 95% confidence intervals, unless
190 otherwise noted.

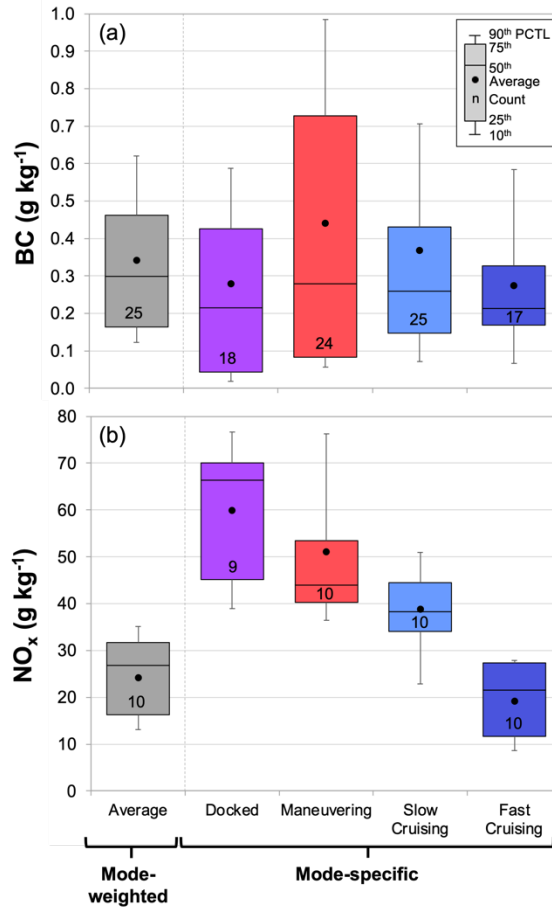
191

192 *In-Use Emissions Trends*

193 Mode-weighted and mode-specific average BC and NO_x emission factors measured on
194 vessels with Tier 0–4 engines are shown in Figure 2 and reported in Tables S5 and S6. Across
195 the mode-weighted averages determined for each of the 25 engine tests in the present study, the
196 mean BC emission factor for the sampled vessel fleet is $0.34 \pm 0.03 \text{ g kg}^{-1}$. This result is similar
197 to average BC emission factors reported for passenger vessel fleets measured in Texas (0.36 g
198 kg^{-1}) and California (0.30 g kg^{-1}) in 2006 and 2010, respectively.^{15,18} BC emission factors were
199 highest during maneuvering ($0.44 \pm 0.31 \text{ g kg}^{-1}$) and lowest during fast cruising ($0.27 \pm 0.02 \text{ g}$
200 kg^{-1}). Docked and maneuvering BC emissions were more variable than during cruising. It is
201 important to note that much of the docked mode variability is driven by a single test with only
202 two plume capture events (engine test 9, equal to $1.09 \pm 9.63 \text{ g kg}^{-1}$).

203 NO_x emissions were measured on a subset of engines (tests 7, 17–25): Tier 2 without
204 SCR, Tier 3 with retrofit SCR, and Tier 4 that were originally equipped with SCR. The average
205 NO_x emission factor of this subset—not including the Tier 0 and non-SCR Tier 3 engines
206 sampled in this study—was $24.1 \pm 1.4 \text{ g kg}^{-1}$. Average NO_x emission rates were highest when
207 docked ($59.9 \pm 8.4 \text{ g kg}^{-1}$) and lowest and least variable during fast cruising ($19.2 \pm 1.2 \text{ g kg}^{-1}$),
208 as shown in Figure 2b. Further, NO_x emission factors during slow and fast cruising were lower
209 than when docked and maneuvering. As discussed in further detail below, this difference is most
210 likely attributable to SCR operation, as it is expected that engine exhaust temperatures exceed
211 the minimum requirement for SCR system urea dosing with the high engine load and power
212 conditions typical of cruising operation.²⁷

213



214

215 **Figure 2.** Distributions of average mode-weighted and mode-specific (a) BC and (b) NO_x
 216 emission factors from the sampled engine tests. Mean values are shown as a closed circle and the
 217 number of engine test averages included in each distribution is listed. PCTL refers to percentile.
 218

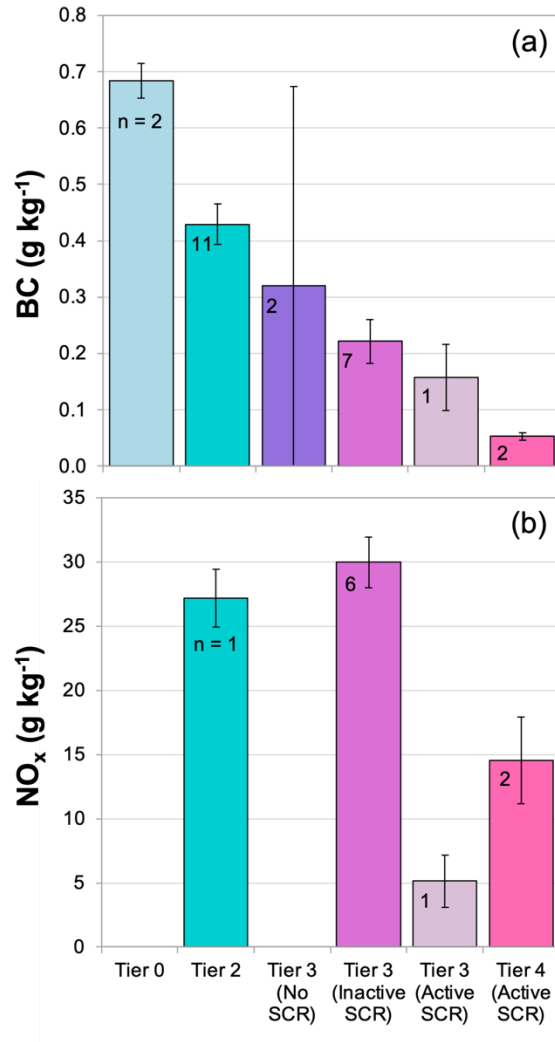
219 Average BC and NO_x emission factors by engine tier are shown in Figure 3 and reported
 220 in Tables S5 and S6. The trend in BC emission rates followed the increasingly more stringent
 221 exhaust standards set by the EPA for each engine tier, which were highest for Tier 0 engines
 222 (engine tests 1–2) and progressively lower for each subsequent tier (Table S1, Figure 3a). On
 223 average, Tier 4 engines (engine tests 24–25) emitted 92% less BC per kg of fuel than Tier 0
 224 engines. BC emission factors from SCR-equipped Tier 3 engines were 29% lower when the SCR
 225 system was active (engine test 23) rather than inactive (engine tests 17–22). Relative to Tier 3
 226 engines without SCR (engine tests 14–15), BC emissions from those with SCR retrofits were

227 31% lower with inactive SCR and 51% lower with active SCR. Thus, presence of SCR appears
228 to offer a co-benefit of reducing BC emissions in addition to the primary intention of reducing
229 NO_x emissions.

230 Unlike the BC trend, NO_x emission factors did not decrease with engine tier and
231 increasingly stringent EPA emission standards (Figure 3b). Rather, the main feature that stands
232 out is the marked reduction in NO_x emissions with active SCR. This effect is most pronounced
233 for the active SCR system on the Tier 3 engine, which reduced NO_x emissions by 83% compared
234 to Tier 3 engines with inactive SCR; this is similar to the 95% reduction seen on an SCR-
235 retrofitted Tier 2 tugboat previously studied.²⁰ SCR systems on the Tier 4 engines were much
236 less effective, reducing NO_x emissions by only 52% relative to the inactive SCR on Tier 3
237 engines. Though these differences in SCR performance warrants further study, they may be
238 related to engine tuning. Similar to how heavy-duty diesel truck engines with diesel particle
239 filters and SCR are tuned, Tier 4 engines with original SCR systems may be tuned for higher
240 engine-out NO_x and lower engine-out PM compared to Tier 3 engines.⁶ In use, however, SCR is
241 less effective under low engine load conditions like docked or maneuvering modes, when engine
242 exhaust temperatures likely fall below the minimum temperature required for urea injection
243 (Figure S4).²¹

244

245



246

247 **Figure 3.** Average (a) BC and (b) NO_x emission factors for each sampled engine tier. The
 248 number (n) of engine tests included each average is noted. The error bars represent the 95%
 249 confidence intervals about the mean value.

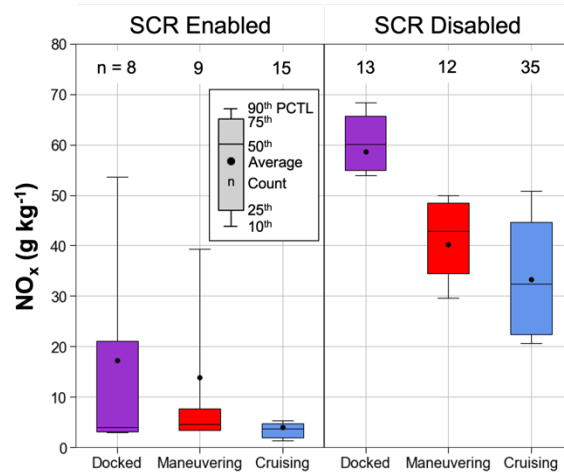
250

251 *SCR Effectiveness*

252 The NO_x reduction performance of Tier 3 engines retrofitted with SCR was explicitly
 253 evaluated using two different approaches. First, emissions were measured during a vessel trip
 254 when the SCR system was manually disabled and then again with the same SCR system enabled,
 255 while all other factors like route and operating modes remained the same. Second, SCR data was

256 provided by the vessel operator and used to evaluate SCR operation relative to measured NO_x
257 emission factors.

258 Figure 4 shows the NO_x emission factor distributions for two engine tests during the
259 docked, maneuvering, and cruising (combined slow and fast) operating modes with the SCR
260 system enabled (engine test 23) and intentionally disabled (engine test 22). On average, tailpipe
261 exhaust NO_x emission factors were ~70% lower in the docked and maneuvering modes and
262 ~90% lower while cruising when the SCR system was enabled. However, the SCR performance
263 was not uniformly effective throughout the docked and maneuvering modes, as indicated by the
264 skewed emission factor distribution: mean values were much greater than median values, and
265 90th percentile NO_x emission rates were comparable to those measured when SCR was
266 intentionally disabled. Periods of elevated NO_x emissions that caused this skewness likely
267 occurred during intermittent high engine load operation to push the vessel steady against the
268 dock, leading to high engine-out NO_x that was not scrubbed in the SCR because engine exhaust
269 temperatures fell below the temperature required for urea injection.



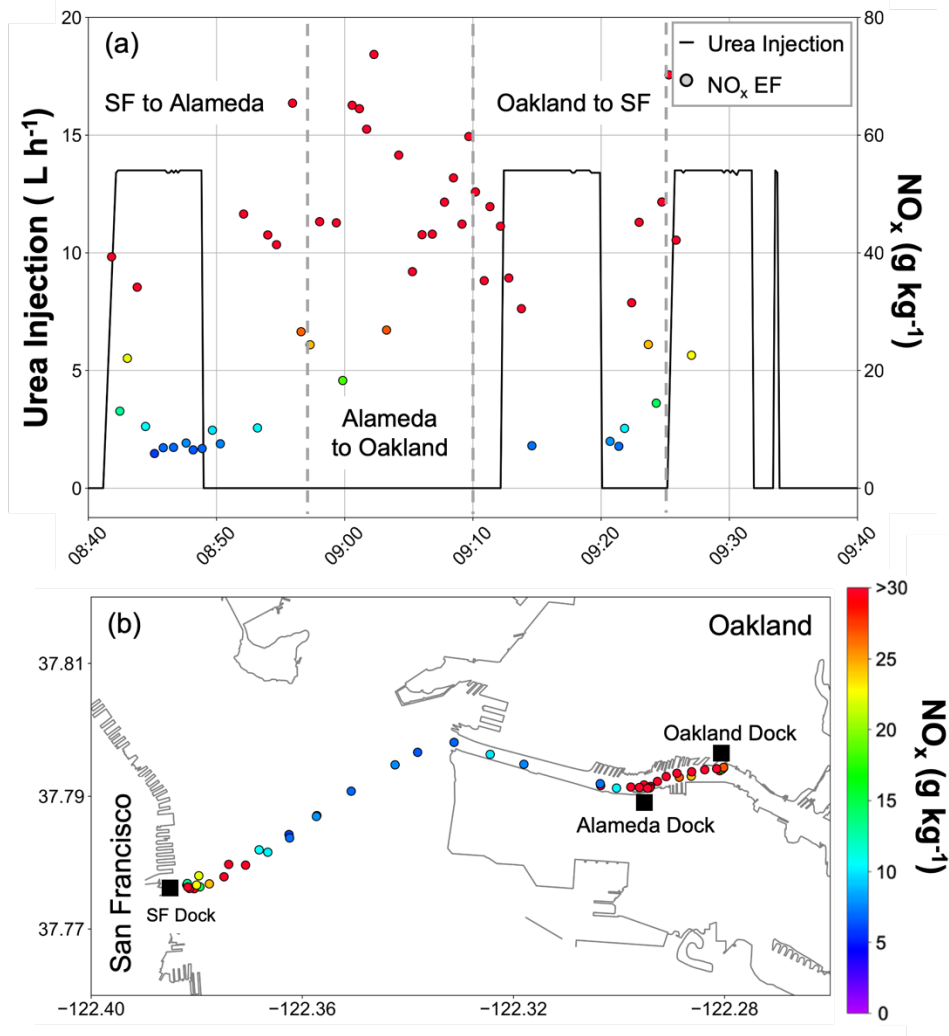
271

272 **Figure 4.** Distributions of operating-mode-specific tailpipe exhaust NO_x emission factors
 273 measured on a ferry with a Tier 3 engine, where the retrofit SCR system was enabled (left panel,
 274 engine test 23) and intentionally disabled (right panel, engine test 22). The number of emission
 275 factors included is noted above each distribution. The cruising distribution includes both slow
 276 and fast cruising emission factors.

277

278 Figure 5 shows the SCR data from engine test 17 and the corresponding NO_x emission
 279 factors. As shown in Figure 5a, urea injection was intermittent for a majority of this route, but
 280 there were no reported SCR system errors. NO_x emission rates decreased to <10 g kg⁻¹ following
 281 urea injection and increased to ~40–70 g kg⁻¹ minutes after urea injection stopped. As further
 282 illustrated in the map of this vessel's roundtrip route between Oakland and SF (Figure 5b), the
 283 lowest NO_x emission factors were measured when the ferry was cruising at high speeds across
 284 the SF Bay, while elevated NO_x emissions occurred when the ferry was docked, maneuvering,
 285 and slow cruising between docks in the Oakland Inner Harbor. An analogous pattern in NO_x
 286 emissions was observed for the newest ferry measured in this study that featured a Tier 4 engine
 287 originally equipped with an SCR system (Figure S5). Though data on the urea injection rate was
 288 not available for this ferry, the operator confirmed that there were no SCR system errors. It
 289 stands to reason that the elevated NO_x emissions occurred when the system stopped injecting

290 urea into the catalyst because exhaust temperatures dipped below the minimum threshold during
 291 docked, maneuvering, and slow cruise operation, as was previously described from
 292 measurements on-board a New York-based ferry equipped with SCR.²¹ These results highlight
 293 the importance of engine operation and vessel route on SCR effectiveness for NO_x reduction.



294

295 **Figure 5.** (a) Time series of simultaneously measured urea injection rate (black line) and tailpipe
 296 exhaust NO_x emission factors (circles) measured on a ferry with a Tier 3 engine with enabled
 297 SCR system (engine test 17). NO_x emission factors are reported on the secondary vertical axis
 298 and are also indicated by the color scale. Vertical lines and labels indicate the ferry's progress
 299 over the roundtrip between SF and Oakland. (b) Corresponding map of measured NO_x emission
 300 factors, which were greater during docked, maneuvering, and slow cruise operation compared to
 301 the fast cruising in the middle of the SF Bay. Docks are labeled and shown as black squares.

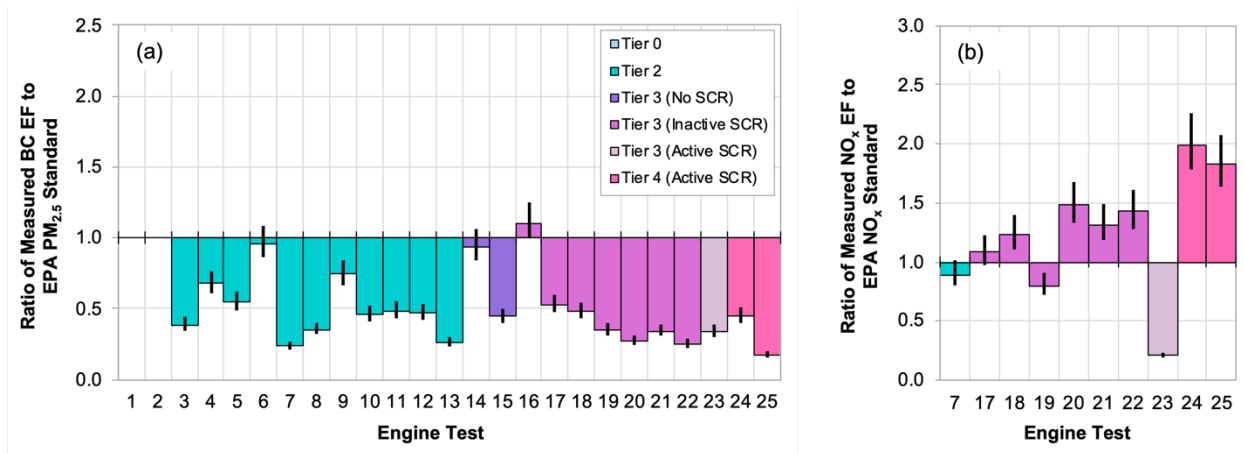
302

303 *Comparison to EPA Emission Standards*

304 The emission factors measured in this study are compared to EPA exhaust emission
305 standards, which all engines are required to meet during laboratory certification testing. For this
306 comparison, measured operating-mode-weighted average BC and NO_x emission factors for each
307 engine test were converted from fuel- to power-based units using typical values for brake
308 specific fuel consumption (BSFC), as described in the SI and reported in Table S7. Figure 6
309 shows the ratios of these converted average BC and NO_x emission factors and the corresponding
310 EPA PM and NO_x emission standards. It should be noted that BC is a major but not sole
311 component of diesel PM, such that real-world PM emission rates may be larger than the reported
312 BC emission rates.

313 In this study, measured BC emission rates were less than the corresponding PM emission
314 standards by 10–70% for all but one engine (Figure 6a). The in-use NO_x emission rates exceeded
315 corresponding exhaust standards for most Tier 3 engines sampled, and Tier 4 engines were ~1.9
316 times the emission standard (Figure 6b). Note that the SCR system was intentionally disabled
317 during engine tests 18 and 20–22, however, these engines are held to a Tier 3 standard that is
318 independent of SCR retrofit. Though the in-use measurements presented here did not follow
319 procedures to verify compliance with EPA standards, this work highlights that these standards
320 should not be the default assumption in emission inventories.

321



322

323 **Figure 6.** Ratios of mode-weighted average (a) BC and (b) NO_x emission factors measured for
 324 each engine test and their corresponding EPA PM and NO_x emission standards, respectively. The
 325 error bars represent uncertainty in actual BSFC due to engine operation variability, showing the
 326 range of ratios if the minimum and maximum values from Table S4 were used instead of the
 327 average. Tier 0 engines are not EPA certified, so the emission factors for engine tests 1–2 are not
 328 compared to a PM emission standard.

329

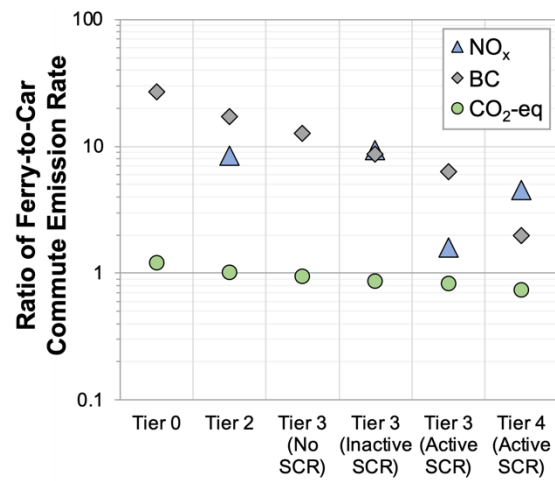
330 *Commuter Emissions Footprint*

331 To put these results into meaningful context, we consider the pollution and carbon
 332 footprints of commuting by ferry versus passenger vehicle. As an example, we compare the NO_x,
 333 BC, and CO₂-equivalent (CO₂-eq) emissions from modern light-duty, gasoline-fueled vehicles
 334 and diesel-fueled ferries with engines ranging Tier 0–4, including Tier 3 engines with inactive
 335 and active SCR retrofits. The following inputs and assumptions are used in this analysis.

336 BC and NO_x emission rates for commuting by passenger car were assumed to be 0.02 g
 337 BC kg⁻¹ and 2.29 g NO_x kg⁻¹, based on light-duty vehicle fleet average values measured in the SF
 338 Bay Area.²⁶ BC and NO_x emission rates for each ferry engine type are reported in Tables S5 and
 339 S6, and emissions from both main engines on the ferries are assumed equal and summed. Ferry
 340 and light-duty car occupancies are assumed to be 200 and 1.18 passengers, respectively. The
 341 former represents 50% capacity for the observed ferries and the latter is the national average

342 occupancy for a work commute.²⁸ The ferry fuel economy (0.2 km L^{-1}) was derived from engine
343 data collected from the two long-haul ferries, as described above and detailed in Table S4. The
344 2020 national average fuel economy for passenger vehicles, 10.6 km L^{-1} , was used.²⁹ Conversion
345 of BC and NO_x to CO_2 -equivalents (CO_2 -eq) is based on 20-year global warming potential
346 (GWP) values of 3200 and -2.4 , respectively.^{30,31} Results for GWP values on a 100-year time
347 horizon are reported in the SI.

348 Following these assumptions, emission rates of NO_x , BC, and CO_2 -eq on a per passenger-
349 km basis were calculated for each commute option, as summarized in Table S8 and shown in
350 Figure 7 as emission ratios for each ferry engine type relative to light-duty vehicles. Across all
351 engine tiers, ferries emit 1.6–9.4 and 2.0–27.1 times more NO_x and BC per passenger-km,
352 respectively, than light-duty vehicles. Conversely, the net CO_2 -eq (20-year) emissions per
353 passenger-km is 1.0–1.3 times higher for the typical passenger vehicle than ferries. For both the
354 passenger vehicle and ferries, the carbon footprint of each commute mode is overwhelmingly
355 dominated by CO_2 emissions. The data reported in this study can be adapted to consider other
356 scenarios, for example, with different route distances or vehicle and ferry occupancy.



358

359 **Figure 7.** Ratio of ferry to light-duty vehicle NO_x, BC, and CO₂-eq (20-year GWP) emissions
 360 per passenger-km. Here, ratios greater than 1 indicate that commuting by ferry results in more
 361 pollution or carbon emissions than a commute by passenger car, and vice versa for ratios less
 362 than 1. A very small, negative contribution of NO_x emissions is not included in the reported CO₂-
 363 eq emissions value for Tier 0 and 3 vessels, as there were no on-board NO_x measurements for
 364 these engines.

365

366 As shown in this study, BC emission rates—a proxy for toxic, carcinogenic diesel PM—

367 from ferries are lowest for Tier 4 engines. Thus, the disparity in BC emissions will decrease

368 overtime as ferry fleets modernize. However, these results also indicate that NO_x emissions

369 reductions from SCR systems may not be fully achieved due to frequent operation at low engine

370 loads. This finding warrants further study to understand if it is generally true of a larger number

371 of vessels. The results of the commuter analysis highlight the dependence on ridership levels:

372 increasing ferry occupancy will help reduce the per-passenger air pollution and carbon footprints

373 in comparison to light-duty vehicles. Whereas this analysis is illustrative, a health impacts

374 assessment would further consider the proximity of emissions to population centers, as it is vital

375 to consider where the pollution is occurring with respect to where people reside and breathe.

376

377 **Supporting Information**

378 Detailed description of materials and methods, BC and NO_x emission rates categorized by engine
379 tier and engine test, and supporting figures and tables (Figures S1–S5 and Tables S1–S8)

380

381 **Acknowledgements & Dedication**

382 This paper is dedicated to our colleague and friend, Professor George Ban-Weiss, who left us too
383 soon.

384

385 The project was supported by the California Air Resource Board (CARB) under contract number
386 18TTD005, Department of Energy under Contract No. DEAC02-05CH11231, and the National
387 Science Foundation Graduate Research Fellowship under Grant No. DGE 1752814. The
388 statements and conclusions herein are those of the authors and do not necessarily reflect the
389 views of the project sponsors. We thank many who contributed to this study: Grant Sellar from
390 Blue & Gold Fleet and San Francisco Bay Ferry and Dan Johnson from Red and White Fleet for
391 coordinating access to vessels and providing engine-specific data; UC Riverside CE-CERT,
392 Rolls Royce Power Systems, and CARB for engine data; Heejung Jung from UC Riverside and
393 Hannah Schlaerth and George Ban-Weiss from the University of Southern California for their
394 collaboration; and Trevor Krasowsky, Wei Liu, and David Quiros at CARB for conceptualizing
395 and managing the project.

396

397 **References**

398 (1) Brunekreef, B.; Holgate, S. T. Air Pollution and Health. *Lancet* **2002**, *360* (9341), 1233–
399 1242, DOI:10.1016/S0140-6736(02)11274-8.

- 400 (2) Health Effects Institute. *Traffic-related air pollution: a critical review of the literature on*
401 *emissions, exposure, and health effects*; 2010; Vol. 17. [https://www.healtheffects.org/](https://www.healtheffects.org/publication/traffic-related-air-pollution-critical-review-literature-emissions-exposure-and-health)
402 [publication/traffic-related-air-pollution-critical-review-literature-emissions-exposure-](https://www.healtheffects.org/publication/traffic-related-air-pollution-critical-review-literature-emissions-exposure-and-health)
403 [and-health](https://www.healtheffects.org/publication/traffic-related-air-pollution-critical-review-literature-emissions-exposure-and-health) (accessed Apr 23, 2019).
- 404 (3) Hoek, G.; Krishnan, R. M.; Beelen, R.; Peters, A.; Ostro, B.; Brunekreef, B.; Kaufman, J.
405 D. Long-Term Air Pollution Exposure and Cardio-Respiratory Mortality: A Review.
406 *Environ. Heal. A Glob. Access Sci. Source* **2013**, *12* (1), DOI:10.1186/1476-069X-12-43.
- 407 (4) Ban-Weiss, G. A.; McLaughlin, J. P.; Harley, R. A.; Lunden, M. M.; Kirchstetter, T. W.;
408 Kean, A. J.; Strawa, A. W.; Stevenson, E. D.; Kendall, G. R. Long-Term Changes in
409 Emissions of Nitrogen Oxides and Particulate Matter from on-Road Gasoline and Diesel
410 Vehicles. *Atmos. Environ.* **2008**, *42* (2), 220–232, DOI:10.1016/j.atmosenv.2007.09.049.
- 411 (5) Dallmann, T. R.; Harley, R. A.; Kirchstetter, T. W. Effects of Diesel Particle Filter
412 Retrofits and Accelerated Fleet Turnover on Drayage Truck Emissions at the Port of
413 Oakland. *Environ. Sci. Technol.* **2011**, *45* (24), 10773–10779, DOI:10.1021/es202609q.
- 414 (6) Preble, C. V.; Cados, T. E.; Harley, R. A.; Kirchstetter, T. W. In-Use Performance and
415 Durability of Particle Filters on Heavy-Duty Diesel Trucks. *Environ. Sci. Technol.* **2018**,
416 *52*, 11913–11921, DOI:10.1021/acs.est.8b02977.
- 417 (7) US Dept. of Energy. *Energy Use by Transportation Mode and Fuel Type* [https://afdc.](https://afdc.energy.gov/data/10661)
418 [energy.gov/ data/10661](https://afdc.energy.gov/data/10661) (accessed Sep 10, 2021).
- 419 (8) Yu, K. A.; McDonald, B. C.; Harley, R. A. Evaluation of Nitrogen Oxide Emission
420 Inventories and Trends for On-Road Gasoline and Diesel Vehicles. *Environ. Sci.*
421 *Technol.* **2021**, *55* (10), 6655–6664, DOI:10.1021/acs.est.1c00586.

- 422 (9) Jiang, Y.; Yang, J.; Cocker, D.; Karavalakis, G.; Johnson, K. C.; Durbin, T. D.
423 Characterizing Emission Rates of Regulated Pollutants from Model Year 2012 + Heavy-
424 Duty Diesel Vehicles Equipped with DPF and SCR Systems. *Sci. Total Environ.* **2018**,
425 *619–620*, 765–771, DOI:10.1016/j.scitotenv.2017.11.120.
- 426 (10) Davis, S. C.; Boundy, R. G. Transportation Energy Futures, 39th ed.; Oak Ridge National
427 Laboratory, 2021. https://tedb.ornl.gov/wp-content/uploads/2021/02/TEDB_Ed_39.pdf
428 (accessed September 10, 2021)
- 429 (11) Corbett, J. J.; Winebrake, J. J.; Green, E. H.; Kasibhatla, P.; Eyring, V.; Lauer, A.
430 Mortality from Ship Emissions: A Global Assessment. *Environ. Sci. Technol.* **2007**, *41*
431 (24), 8512–8518, DOI:10.1021/es071686z.
- 432 (12) Fuglestvedt, J.; Berntsen, T.; Eyring, V.; Isaksen, I.; Lee, D. S.; Sausen, R. Shipping
433 Emissions: From Cooling to Warming of Climates - and Reducing Impacts on Health.
434 *Environ. Sci. Technol.* **2009**, *43* (24), 9057–9062, DOI:10.1021/es901944r.
- 435 (13) CARB. Airborne Toxic Control Measure for Commercial Harbor Craft; CARB: USA,
436 2008. [https://ww2.arb.ca.gov/sites/default/files/barcu/regact/2007/chc07/rev93118.pdf?_g](https://ww2.arb.ca.gov/sites/default/files/barcu/regact/2007/chc07/rev93118.pdf?_ga=2.94191385.505100276.1642301540-939302171.1617336902)
437 [a=2.94191385.505100276.1642301540-939302171.1617336902](https://ww2.arb.ca.gov/sites/default/files/barcu/regact/2007/chc07/rev93118.pdf?_ga=2.94191385.505100276.1642301540-939302171.1617336902) (accessed September 10,
438 2021)
- 439 (14) CARB. Low Sulfur Fuel Requirement, Emission Limits and Other Requirements for
440 Commercial Harbor Craft; CARB: USA, 2008. [https://ww2.arb.ca.gov/sites/default/](https://ww2.arb.ca.gov/sites/default/files/barcu/regact/2007/chc07/rev2299.pdf?_ga=2.18455357.505100276.1642301540-939302171.1617336902)
441 [files/barcu/regact/2007/chc07/rev2299.pdf?_ga=2.18455357.505100276.1642301540-](https://ww2.arb.ca.gov/sites/default/files/barcu/regact/2007/chc07/rev2299.pdf?_ga=2.18455357.505100276.1642301540-939302171.1617336902)
442 [939302171.1617336902](https://ww2.arb.ca.gov/sites/default/files/barcu/regact/2007/chc07/rev2299.pdf?_ga=2.18455357.505100276.1642301540-939302171.1617336902) (accessed September 10, 2021)

- 443 (15) Lack, D.; Lerner, B.; Granier, C.; Baynard, T.; Lovejoy, E.; Massoli, P.; Ravishankara,
444 A. R.; Williams, E. Light Absorbing Carbon Emissions from Commercial Shipping.
445 *Geophys. Res. Lett.* **2008**, *35* (13), 6–11, DOI:10.1029/2008GL033906.
- 446 (16) Lack, D. A.; Corbett, J. J. Black Carbon from Ships: A Review of the Effects of Ship
447 Speed, Fuel Quality and Exhaust Gas Scrubbing. *Atmos. Chem. Phys.* **2012**, *12* (9), 3985–
448 4000, DOI:10.5194/acp-12-3985-2012.
- 449 (17) Schlaerth, H.; Ko, J.; Sugrue, R.; Preble, C.; Ban-Weiss, G. Determining Black Carbon
450 Emissions and Activity from In-Use Harbor Craft in Southern California. *Atmos.*
451 *Environ.* **2021**, *256* (January), 118382, DOI:10.1016/j.atmosenv.2021.118382.
- 452 (18) Buffaloe, G. M.; Lack, D. A.; Williams, E. J.; Coffman, D.; Hayden, K. L.; Lerner, B.
453 M.; Li, S. M.; Nuaaman, I.; Massoli, P.; Onasch, T. B.; Quinn, P. K.; Cappa, C. D. Black
454 Carbon Emissions from In-Use Ships: A California Regional Assessment. *Atmos. Chem.*
455 *Phys.* **2014**, *14* (4), 1881–1896, DOI:10.5194/acp-14-1881-2014.
- 456 (19) Jiang, Y.; Yang, J.; Gagné, S.; Chan, T. W.; Thomson, K.; Fofie, E.; Cary, R. A.;
457 Rutherford, D.; Comer, B.; Swanson, J.; Lin, Y.; Van Rooy, P.; Asa-Awuku, A.; Jung,
458 H.; Barsanti, K.; Karavalakis, G.; Cocker, D.; Durbin, T. D.; Miller, J. W.; Johnson, K. C.
459 Sources of Variance in BC Mass Measurements from a Small Marine Engine: Influence
460 of the Instruments, Fuels and Loads. *Atmos. Environ.* **2018**, *182* (August 2017), 128–137,
461 DOI:10.1016/j.atmosenv.2018.03.008.
- 462 (20) Gysel, N. R.; Russell, R. L.; Welch, W. A.; Cocker, D. R. Impact of Aftertreatment
463 Technologies on the In-Use Gaseous and Particulate Matter Emissions from a Tugboat.
464 *Energy and Fuels* **2016**, *30* (1), 684–689, DOI:10.1021/acs.energyfuels.5b01987.

- 465 (21) Nuzzkowski, J.; Clark, N. N.; Spencer, T. K.; Carder, D. K.; Gautam, M.; Balon, T. H.;
466 Moynihan, P. J. Atmospheric Emissions from a Passenger Ferry with Selective Catalytic
467 Reduction. *J. Air Waste Manag. Assoc.* **2009**, *59* (1), 18–30, DOI:10.3155/1047-
468 3289.59.1.18.
- 469 (22) Aakko-Saksa, P.; Kuittinen, N.; Murtonen, T.; Koponen, P.; Aurela, M.; Järvinen, A.;
470 Teinilä, K.; Saarikoski, S.; Barreira, L. M. F.; Salo, L. Suitability of Different Methods
471 for Measuring BC Emissions from Marine Engines. *Atmosphere* **2022**, *13* (31),
472 DOI:[https:// doi.org/10.3390/atmos13010031](https://doi.org/10.3390/atmos13010031).
- 473 (23) Frederickson, C.; Miller, J. W.; Jung, H. Investigation of Harbor Craft Activities for
474 Emission Inventory Calculation. *J. Air Waste Manag. Assoc.* **2021**, *00* (00), 1–8,
475 DOI:10.1080/10962247.2021.1936292.
- 476 (24) Ban-Weiss, G. A.; Lunden, M. M.; Kirchstetter, T. W.; Harley, R. A. Measurement of
477 Black Carbon and Particle Number Emission Factors from Individual Heavy-Duty
478 Trucks. *Environ. Sci. Technol.* **2009**, *43* (5), 1419–1424, DOI:10.1021/es8021039.
- 479 (25) Caubel, J. J.; Cados, T. E.; Kirchstetter, T. W. A New Black Carbon Sensor for Dense
480 Air Quality Monitoring Networks. *Sensors* **2018**, *18* (3), 1–18, DOI:10.3390/s18030738.
- 481 (26) Dallmann, T. R.; Kirchstetter, T. W.; Demartini, S. J.; Harley, R. A. Quantifying On-
482 Road Emissions from Gasoline-Powered Motor Vehicles: Accounting for the Presence of
483 Medium- and Heavy-Duty Diesel Trucks. *Environ. Sci. Technol.* **2013**, *47* (23), 13873–
484 13881, DOI:10.1021/es402875u.
- 485 (27) Koebel, M.; Madia, G.; Elsener, M. Selective Catalytic Reduction of NO and NO₂ at
486 Low Temperatures. *Catal. Today* **2002**, *73* (3–4), 239–247, DOI:10.1016/S0920-
487 5861(02)00006-8.

- 488 (28) McGuckin, N.; Fucci, A. *Summary of Travel Trends: 2017 National Household Travel*
489 *Survey*. https://nhts.ornl.gov/assets/2017_nhts_summary_travel_trends.pdf (accessed
490 August 7, 2021).
- 491 (29) US EPA. *The 2020 EPA Automotive Trends Report: Greenhouse Gas Emissions, Fuel*
492 *Economy, and Technology since 1975*. [https://www.epa.gov/sites/default/files/2021-](https://www.epa.gov/sites/default/files/2021-01/documents/420r21003.pdf)
493 [01/documents/420r21003.pdf](https://www.epa.gov/sites/default/files/2021-01/documents/420r21003.pdf) (accessed September 27, 2021).
- 494 (30) Bond, T. C.; Doherty, S. J.; Fahey, D. W.; Forster, P. M.; Berntsen, T.; Deangelo, B. J.;
495 Flanner, M. G.; Ghan, S.; Kärcher, B.; Koch, D.; Kinne, S.; Kondo, Y.; Quinn, P. K.;
496 Sarofim, M. C.; Schultz, M. G.; Schulz, M.; Venkataraman, C.; Zhang, H.; Zhang, S.;
497 Bellouin, N.; Guttikunda, S. K.; Hopke, P. K.; Jacobson, M. Z.; Kaiser, J. W. I Klimont,
498 Z.; Lohmann, U.; Schwarz, J. P.; Shindell, D.; Storelvmo, T.; Warren, S. G.; Zender, C.
499 S. Bounding the Role of Black Carbon in the Climate System: A Scientific Assessment.
500 *J. Geophys. Res. Atmos.* **2013**, *118* (11), 5380–5552, DOI:10.1002/jgrd.50171.
- 501 (31) Myhre, G.; Shindell, D.; Breon, F.-M.; Collins, W.; Fuglestedt, J.; Huang, J.; Koch, D.;
502 Lamarque, J.-F.; Lee, D.; Mendoza, B.; Nakajima, T.; Robock, A.; Stephens, G.;
503 Takemura, T.; Zhang, H. Anthropogenic and Natural Radiative Forcing. *Clim. Chang.*
504 *2013 Phys. Sci. Basis Work. Gr. I Contrib. to Fifth Assess. Rep. Intergov. Panel Clim.*
505 *Chang.* **2013**, 659–740, DOI:10.1017/CBO9781107415324.018.
- 506