

Dear Editor:

Thank you very much for pointing out the deficiency of our response, and we are sorry for that. We would like to give our reply as following after reconsidering the comments carefully.

Firstly, the representative and the difference of the test vessels in present study have always been questioned, more contexts about the test vessels were required in manuscript. We would like to give our explanation as following:

Reply: Thanks for the comments. As we mentioned on Page 7, it is true that the test vessels in present study can't represent the whole shipping fleet in China, and the Chinese vessel conditions are also really different from other developed countries and areas. This study was focusing on the emissions of offshore vessels with diesel oil used. Due to the shortage of measurement data of shipping emissions in China, we couldn't tell the differences from previously reported vessels, no matter what type, which might lead to significant uncertainty in calculating shipping emission inventories in China. Besides, a large part of Chinese vessels were light-tonnage vessels compared to most previously large-tonnage test vessels that might have differences among them. Therefore, measurement data of all kinds of ships are essential. Though inland ships and some other offshore vessels in China have been tested by now, it is far from enough. More different types of vessels need to be measured, such as low-speed engine vessel with heavy fuel oil, medium-speed engine vessel with heavy fuel oil and small motor vessels and so on. We also have measured another low-speed engine vessel with heavy fuel oil and some fishing vessels with low engine power by now, and more typical ships in China are in plan. The conditions of Chinese ships are showing on Line 19 to 30, Page 4 as following:

“Conditions in China differ substantially from those in other countries, such as in vessel types (more small motor vessels, and the type composition of offshore vessels is shown in Table S1, more light-tonnage vessels, e. g. with 79.3% less than 3000 t in offshore area of Yangtze River Delta that shown in Table S2), different fuel standards compared with other countries (fuel meeting the GB/T 17411-2012 standard with sulfur contents of less than 3.5% m/m; however, the ISO 8217-2010 international

standard has the maximum sulfur content according to the relevant statutory requirements that always have lower values, such as less than 0.1% in emission control areas; besides, a large percentage of diesel fuel were used in China, especially in offshore areas, seen in Table S3), age of vessels (Chinese commercial vessels have an average age of 19.2 yr compared with 8.0 yr and 8.9 yr for Japan and Germany, respectively). However, a large part of previous studies were focusing on emission of large-tonnage vessels such as cargo ships (Moldanova et al., 2009; Celo et al., 2015), large marine ships (Khan et al., 2013; Sippula et al., 2014), tanker (Agrawal et al., 2008; Winnes and Fridell, 2010) and so on, whose fuels were heavy fuel oil as usual, and most of them had engines less than 10 years.”

The Yangtze River Delta is one of the biggest three port areas in China, whose statistical data of distribution of vessels through gross tonnage in offshore areas could be used as reference in this study that added in Table S2. And the test vessels in present study could account for 34.7% of the total vessels according to this distribution, which could has certain degree of representation. Two of the test vessels were small motor, light-tonnage vessels (HH and XYH) and another one was a medium speed engine vessel with an 18 year old engine. Besides, the test vessels in present study could reflect the emission condition of diesel vessels in China, especially in offshore areas where diesel oil always been used as fuel. Some explanations were added in the revised manuscript as following:

“Three different diesel engine power offshore vessels, including one engineering vessel, Haohai 0007 (HH), with low power and high speed engine, one large research vessel, Dongfanghong 2 (DFH), with high power and medium speed engine, and another research vessel, Xiangyanghong 08 (XYH), with medium power and medium speed engine were selected for this study, whose technical parameters are shown in Table 1. High speed and medium speed engines are the predominant engines used in vessels of offshore and inland rivers in China, which always take light diesel as fuel. Two of the test vessels were small motor, light-tonnage vessels (HH and XYH) and another one was a medium speed engine vessel with an 18 year old engine. Engineering vessels are designed for construction activities such as building docks in

port areas or waterways, dredging, etc. They are common vessels in coastal areas of China because of the heavy demand for oilfield construction and port expansion. The maintenance of engineering vessels is typically poorer than for other types of vessels and as a result, they may have relatively high emissions. On the other hand, research vessels of DFH and XYH from universities and research institutes are generally well maintained and use high-quality diesel fuel but with different engine powers, which might have relatively low emission factors for pollutants. Therefore, these research vessels can reflect the impact of engine power on emissions and also can represent the lower end of expected EFs for Chinese vessels. The test vessels in present study could account for 34.7% of the total vessels according to the distribution of vessels through gross tonnage in China (seen in Table S2), which could have certain degree of representation. In all, a general range of EFs for gaseous and PM pollutants emitted from different offshore vessels of China and their influence factors could be given through the on-board measurement.

The fuels used in all test vessels were common diesel fuels obtained from fueling stations near the ports. According to statistical data, the total oil consumption of vessels in China was 20.99 million tons in 2011, including 10.99 million tons bonded oil and 5.93 million tons domestic trade oil, with light fuel oil accounting for 40% of the domestic trade oil and 25% of the total consumption (shown in Table S3). (Zhu, 2013) The test vessels in present study could reflect the emission condition of diesel vessels in China, especially in offshore areas where diesel oil always been used as fuel. Results of fuel analyses are presented in Table 2. All of these fuels had relatively low sulfur contents ($\leq 0.13\%$) and low metals concentrations (V, Al, Si, Pb, Zn, Mn, etc.).”

Table S2 Distribution of vessels through gross tonnage in 2014 in offshore area of Yangtze River Delta

| Gross tonnage (t) | Percentage (%) |
|-------------------|----------------|
| 10000-49999 | 3.7 |
| 3000-9999 | 12.7 |

| | |
|-----------|------|
| 1000-2999 | 50.3 |
| 500-999 | 13.8 |
| 100-499 | 8.2 |
| <99 | 7.0 |

Secondly, comparisons of emissions in present study to previous test vessels and explanations for the differences were required.

“If authors claim that work is needed to represent the situation of vessels in China, then these vessels should be described in that context. If these vessels are similar in fuel, engine type and so on, compared with others that have been tested, but the emission factors are different, authors should explain this too, and evaluate whether the difference is significant. Reviewer 1 indicated that a comparison of emission by power level could be done. This isn't addressed. Table 4 is a good start, as I mentioned previously, but it is far from addressing this question. Authors say that engine type is an influencing factor, but no engine type is given in Table 4 (unless authors are using fuel type as a proxy for engine type; in that case the terminology throughout the manuscript should be revised!) Authors do not even compare emissions among only HFO ships. Fuel types in the current study are not given in Table 4 for comparison (although they are elsewhere in the manuscript). Some of the abbreviations in the last column are not explained in the footnote. The added text on page 23 does not provide any of this context. Readers should be able to look at the text and table and answer the question, “What do we now know about ship emissions that we did not know before?”

Authors claim that there is an “urgent need” for more measurements. This claim has not been supported by the analysis in the paper. In order to support this statement, authors need to say what is missing from the overall understanding of ships.”

Reply: Thanks for pointing out the questions, and the replies are given as following:

Engine power and engine speed as well as fuel type in present study have been

added in Table 4.

Abbreviations in Table 4 have been checked and added in the footnote.

Comparisons of emissions in this study and other test vessels have been given in revised manuscript, including comparisons among test vessels and other similar vessels, also differences among HFO fuel vessels. The details are shown in Line 6 to 17, Page 19, Line 23 to 27, Page 19 and Line 1 to 6, Page 19 as following:

“The EFs for HH were much higher than those for the other two vessels, except for SO₂. HH also had significantly higher EFs for NO_x than previously reported values, while EFs for NO_x of DFH and XYH were within the range of previously reported results. Engine type was considered to be a significant influence factor for NO_x emissions, with lower engine speed having higher NO_x emission factors (Celo et al., 2015). In addition, compared to other vessels with the similar engine type and diesel fuel, HH still had relatively higher NO_x EF (seen in Table 4), which could reflect the impact of engine condition (engine quality and maintenance level) on shipping emissions. CO EFs for the test vessels in present study were higher than previous studies, which had the similar results of inland ships and other test vessels in China (Fu et al., 2013; Song, 2015). In spite of the influence of engine type on CO emissions that with the higher engine speed having higher CO EFs (Celo et al., 2015), engine condition combined with fuel quality might have significant influence. All of the EFs for SO₂ in the present study were lower than those in previous studies, because of the low sulfur content of the present fuels. Generally, PM emissions from marine diesel fuels are dependent on the fuel (sulfate and metal oxide ash constituents) and on combustion conditions (unburned hydrocarbons and carbon residue constituents) (Cooper, 2003). HH had the highest PM emissions among the test vessels, although there were almost no differences among the fuels (Table S6). Besides, HH had even higher PM EFs than previously reported vessels with HFO fuel, and XYH had much lower PM EFs than all the other vessels with even lower sulfur content fuel. Therefore, combustion conditions were likely the determining factor for the differences. It can be seen from Table 4 that most previous studies were focusing on heavy fuel oil of shipping emissions. Compared with diesel fuels, it always had

relatively low CO emission factors and high PM emission factors. And among the heavy fuel oil used vessels, engine type (engine speed and engine power level) always played an important role on emissions such as NO_x and CO, which with lower engine speed having higher NO_x EFs and lower CO EFs.”

Besides, combined with other measured data of inland ships and offshore vessels in China, we compared the EF data to other test vessels in previous studies and also the EF data used for ship inventory calculation in China, which suggested the significant differences among them and the necessary of measurement for more different ships. The details are given in the revised manuscript on Line 14 to 29, Page 20 as following:

“Combined with other emission data of test ships in China (Fu et al., 2013; Song, 2015), it could be seen that inland and some offshore ships in China always had higher NO_x, CO and PM emissions compared with other test vessels in previous studies. And among the test vessels in China, there also had differences for different engine types and ship types. In addition, emission factors that used for calculation of ship inventories in China always came from other countries and areas. However, there seemed to have significant differences between the reference and test data, such as 10.0 to 13.2 g kW h⁻¹ of NO_x EF and 1.1 to 1.7 g kW h⁻¹ of CO EF were used for inland ships for ship inventory calculation (Zhu et al., 2015), 10.0 to 18.1 g kW h⁻¹ of NO_x EF and 1.1 to 1.5 g kW h⁻¹ of CO EF for harbor ships (Yang et al., 2015; Yang et al., 2015), compared to 15 to 17.3 g kW h⁻¹ of NO_x EF and 4.6 to 10.3 g kW h⁻¹ of CO EF from test inland ships (convert the fuel-based EF to power-based EF with an factor of 200 g kW h⁻¹) (Song, 2015) and 6.97 to 25.8 g kW h⁻¹ of NO_x EF and 1.39 to 7.38 g kW h⁻¹ of CO EF in present study.(Yang et al., 2015). Besides, whether there are obvious differences of EFs between other type of vessels in China (such as low-speed engine vessel with heavy fuel oil) and previous studies is still unclear. Therefore, much more measurement data for different vessels in China are still in urgent need for more accurate assessment of shipping emissions.”

Lastly, minor changes have been made in parts of Abstract and Conclusions on

Line 4 to 5, Page 1, Line 10 to 12, Page 1, Line 15 to 17, Page 1, Line 27 to 30, Page 1, Line 1, Page 2, and Line 8 to 11, Page 23, showing as following:

“Abstract.

Shipping emissions have significant influence on atmospheric environment as well as human health, especially in coastal areas and the harbor districts. However, the contribution of shipping emissions on the environment in China still need to be clarified especially based on measurement data, with the large number ownership of vessels and the rapid developments of ports, international trade and shipbuilding industry. Pollutants in the gaseous phase (carbon monoxide, sulfur dioxide, nitrogen oxides, total volatile organic compounds) and particle phase (particulate matter, organic carbon, elemental carbon, sulfates, nitrate, ammonia, metals) in the exhaust from three different diesel engine power offshore vessels in China (350kW, 600kW and 1600kW) were measured in this study. Concentrations, fuel-based and power-based emissions factors for various operating modes as well as the impact of engine speed on emissions were determined. Observed concentrations and emissions factors for carbon monoxide, nitrogen oxides, total volatile organic compounds, and particulate matter were higher for the low engine power vessel (HH) than for the two higher engine power vessels (XYH and DFH), for instance, HH had NO_x EF of 25.8 g kWh⁻¹ compared to 7.14 and 6.97 g kWh⁻¹ of DFH and XYH, and PM EF of 2.09 g kWh⁻¹ compared to 0.14 and 0.04 g kWh⁻¹ of DFH and XYH. Average emissions factors for all pollutants except sulfur dioxide in the low engine power engineering vessel (HH) were significantly higher than that of the previous studies (such as 30.2 g kg⁻¹ fuel of CO EF compared to 2.17 to 19.5 g kg⁻¹ fuel in previous studies, 115 g kg⁻¹ fuel of NO_x EF compared to 22.3 to 87 g kg⁻¹ fuel in previous studies and 9.40 g kg⁻¹ fuel of PM EF compared to 1.2 to 7.6 g kg⁻¹ fuel in previous studies), while for the two higher engine power vessels (DFH and XYH), the average emissions factors for all pollutants were comparable to the results of the previous studies, engine type was one of the most important influence factors for the differences. Emissions factors for all three vessels were significantly different during different operating modes. Organic carbon and elemental carbon were the main components of particulate matter,

while water-soluble ions and elements were present in trace amounts. The test inland ships and some test offshore vessels in China always had higher EFs for CO, NO_x and PM than previous studies. Besides, due to the significant influence of engine type on shipping emissions and no accurate local EFs could be used in inventory calculation, much more measurement data for different vessels in China are still in urgent need. Best-fit engine speeds during actual operation should be based on both emissions factors and economic costs. ”

“Fuel-based average EFs as well as power-based EFs for the three different engine power vessels were given. EFs for most gaseous species and PM of HH were much higher compared with the other higher engine power vessels, which was also >100% above the IMO standard for NO_x. Average PM EF of the low engine power vessel HH was also much higher than that in the literatures. However, average EFs for most species of the two larger engine power vessels were within the range of previously reported results. Engine type was inferred as one of the most influence factors for the differences of emission factors. Inland and some test offshore ships in China always had higher NO_x, CO and PM emissions compared with other test vessels in previous studies. In addition, emission factors that used for calculation of ship inventories in China always had lower values than test vessels.”

1 **Emissions factors for gaseous and particulate pollutants**
2 **from offshore diesel engine vessels in China**

3

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22

23 **Abstract.**

24 Shipping emissions have significant influence on atmospheric environment as well as
25 human health, especially in coastal areas and the harbor districts. However, the
26 contribution of shipping emissions on the environment in China still need to be
27 clarified especially based on measurement data, with the large number ownership of
28 vessels and the rapid developments of ports, international trade and shipbuilding

1 industry. Pollutants in the gaseous phase (carbon monoxide, sulfur dioxide, nitrogen
2 oxides, total volatile organic compounds) and particle phase (particulate matter,
3 organic carbon, elemental carbon, sulfates, nitrate, ammonia, metals) in the exhaust
4 from three different diesel engine power offshore vessels in China (350kW, 600kW
5 and 1600kW) were measured in this study. Concentrations, fuel-based and
6 power-based emissions factors for various operating modes as well as the impact of
7 engine speed on emissions were determined. Observed concentrations and emissions
8 factors for carbon monoxide, nitrogen oxides, total volatile organic compounds, and
9 particulate matter were higher for the low engine power vessel (HH) than for the two
10 higher engine power vessels (XYH and DFH), for instance, HH had NO_x EF of 25.8
11 g kWh⁻¹ compared to 7.14 and 6.97 g kWh⁻¹ of DFH and XYH, and PM EF of 2.09
12 g kWh⁻¹ compared to 0.14 and 0.04 g kWh⁻¹ of DFH and XYH. Fuel-based average
13 emissions factors for all pollutants except sulfur dioxide in the low engine power
14 engineering vessel (HH) were significantly higher than that of the previous studies
15 (such as 30.2 g kg⁻¹ fuel of CO EF compared to 2.17 to 19.5 g kg⁻¹ fuel in previous
16 studies, 115 g kg⁻¹ fuel of NO_x EF compared to 22.3 to 87 g kg⁻¹ fuel in previous
17 studies and 9.40 g kg⁻¹ fuel of PM EF compared to 1.2 to 7.6 g kg⁻¹ fuel in previous
18 studies), while for the two higher engine power vessels (DFH and XYH), most of the
19 ~~fuel based~~ average emissions factors for pollutants were comparable to the results of
20 the previous studies, engine type was one of the most important influence factors for
21 the differences. ~~Fuel based average emission factors for nitrogen oxides for the small~~
22 ~~engine power vessel was more than twice the International Maritime Organization~~
23 ~~standard, while those for the other two vessels were below the standard.~~ Emissions
24 factors for all three vessels were significantly different during different operating
25 modes. Organic carbon and elemental carbon were the main components of
26 particulate matter, while water-soluble ions and elements were present in trace
27 amounts. The test inland ships and some test offshore vessels in China always had
28 higher EFs for CO, NO_x and PM than previous studies. Besides, due to the significant
29 influence of engine type on shipping emissions and no accurate local EFs could be
30 used in inventory calculation, much more measurement data for different vessels in

1 | China are still in urgent need. Best-fit engine speeds during actual operation should be
2 based on both emissions factors and economic costs.

4 **1 Introduction**

5 Gaseous and particulate pollutants emitted from vessels operating in the open ocean
6 as well as in coastal areas and inland waterways have significant adverse impacts on
7 human health, air quality, and climate change (Cappa et al., 2014;Righi et al.,
8 2011;Marmer and Langmann, 2005;Winebrake et al., 2009). It has been estimated that
9 87,000 premature deaths occurred in 2012 due to burning of marine fuels with high
10 sulfur content. Shipping-related particulate matter (PM) emissions have been reported
11 to be responsible for approximately 60,000 cardiopulmonary and lung cancer deaths
12 annually, with most cases occurring near coastlines in Europe (Viana et al., 2014),
13 East Asia, and South Asia (Corbett et al., 2007). Approximately 9,200 and 5,200 t yr⁻¹
14 of PM are emitted from oceangoing and coastal ships, respectively, in the USA
15 (Corbett, 2000), with most of which are fine or even ultrafine aerosols (Viana et al.,
16 2009;Saxe and Larsen, 2004). Globally, about 15% of nitrogen oxides (NO_x) and 5–8%
17 of sulfur oxides (SO_x) emissions are attributable to oceangoing ships (Corbett, 2000).
18 Shipping emissions affect acid deposition and ozone concentrations, contributing
19 more than 200 mg S m⁻² yr⁻¹ over the southwestern British Isles and Brittany as well
20 as additional 6 ppb surface ozone during the summer over Ireland (Derwent et al.,
21 2005). Moreover, aerosol emissions from international shipping also greatly impact
22 the Earth's radiation budget, directly by scattering and absorbing solar radiation and
23 indirectly by altering cloud properties (Righi et al., 2011). Besides, according to
24 estimates from IMO (2014), total shipping emissions were approximately 938 million
25 | tonnes CO₂ and 961 million tonnes CO₂e (CO₂ equivalent) for GHGs combining CO₂,
26 CH₄ and N₂O for the year 2012. International shipping emission accounts for
27 approximately 2.2% and 2.1% of global CO₂ and GHG emissions on a CO₂ equivalent
28 (CO₂e) basis, respectively. Because nearly 70% of ship emissions are estimated to
29 occur within 400 km of land (Endresen, 2003), ships have the potential to contribute

1 significantly to air quality degradation in coastal areas. In addition, ports are always
2 the most concentrated areas for ships to berth at, emission reduction measures such as
3 switching heavy fuels to cleaner fuels are required when ships are close to ports or
4 offshore areas, but not all of them can obey the regulations (De Meyer et al., 2008),
5 which result in significant influence on atmospheric environment of port cities and
6 regions.

7 Rapid developments of ports, international trade, and the shipbuilding industry in
8 China have negatively affected the ambient air quality of the coastal zone due to
9 shipping emissions. It was estimated that 8.4% of SO₂ and 11.3% of NO_x were
10 emitted from ships in China in 2013 with port cities were the worst effect areas
11 (http://news.xinhuanet.com/politics/2015-06/08/c_127890195.htm). In 2013, there
12 were 0.18 million water transport vessels (Ministry of Transportation, 2013) active in
13 Chinese waters, 8 ports in China were listed among the world's largest 10 ports, and
14 11 container ports were listed among the world's largest 20 container ports. The
15 number of ports with cargo handling capacity of more than 200 million t yr⁻¹ grew to
16 16 (Ministry of Transportation, 2010). Rapid development of ports in China has
17 resulted in increasingly serious pollution of ambient air, particularly in coastal zones
18 and near ports. Only a few studies have focused on pollution from shipping emissions
19 in China. Rough estimates of the influence of shipping emissions on ambient air in the
20 port of Shanghai, the largest port in China (Zhao et al., 2013), and in the Bohai Rim
21 (Zhang et al., 2014) that have been generated using empirical formulas. One case
22 study of real-world emissions of inland vessels on the Grand Canal of China has been
23 conducted (Fu et al., 2013) and another research focused on inland ships and several
24 offshore vessels gave some rough emission data (Song, 2015). Other studies also have
25 developed to the inventories in large ports or delta regions (Zheng et al., 2011;Zheng
26 et al., 2009) by using EFs obtained from other countries or areas. However, there are
27 no systematic studies of vessel emissions in the coastal zone or in ports, nor accurate
28 estimates of shipping emissions to ambient air based on measured emission factors
29 (EFs). Conditions in China differ substantially from those in other countries, such as
30 in vessel types (more small motor vessels, -and the type composition of offshore

1 vessels is shown in Table S1, more light-tonnage vessels, e. g. with 79.3% less than
2 3000 t in offshore area of Yangtze River Delta that shown in Table S2), different fuel
3 standards compared with other countries (fuel meeting the GB/T 17411-2012 standard
4 with sulfur contents of less than 3.5% m/m; however, the ISO 8217-2010 international
5 standard has the maximum sulfur content according to the relevant statutory
6 requirements that always have lower values, such as less than 0.1% in emission
7 control areas; besides, a large percentage of diesel fuel were used in China, especially
8 in offshore areas, seen in Table S3), age of vessels (Chinese commercial vessels have
9 an average age of 19.2 yr compared with 8.0 yr and 8.9 yr for Japan and Germany,
10 respectively). However, a large part of previous studies were focusing on emission of
11 large-tonnage vessels such as cargo ships (Moldanova et al., 2009; Celo et al., 2015),
12 large marine ships (Khan et al., 2013; Sippula et al., 2014), tanker (Agrawal et al.,
13 2008; Winnes and Fridell, 2010) and so on, whose fuels were heavy fuel oil as usual,
14 and most of them had engines less than 10 years. Thus, experimentally determined
15 EFs for vessels in other countries cannot be used directly to estimate shipping
16 emissions and their contribution to ambient air quality in China, especially in offshore
17 areas. Systematical measurement EFs for different kinds of vessels in China is
18 essential.

19 Numerous studies of shipping emissions based on experimental measurements have
20 been conducted since the International Maritime Organization (IMO) first began to
21 address air pollution from vessels in 1996, particularly in developed countries. Most
22 of these studies have been carried out by performing tests on-board from the exhaust
23 pipe (Agrawal et al., 2008; Murphy et al., 2009; Fridell et al., 2008; Juwono et al.,
24 2013; Moldanova et al., 2013) or by taking measurements within the exhaust plumes
25 (Sinha et al., 2003; Chen et al., 2005; Lack et al., 2009; Murphy et al., 2009; Berg et al.,
26 2012; Pirjola et al., 2014; Petzold et al., 2008). NO_x, carbon monoxide (CO), sulfur
27 dioxide (SO₂), and PM are the main constituents of shipping emissions (Moldanova et
28 al., 2009; Williams et al., 2009; Agrawal et al., 2008; Poplawski et al., 2011; Endresen,
29 2003) that have been quantified. In addition, black carbon (BC) (Lack and Corbett,
30 2012; Sinha et al., 2003; Moldanova et al., 2009; Corbett et al., 2010) and cloud

1 condensation nuclei (CCN) (Sinha et al., 2003;Lack et al., 2011) also have been
2 reported in some studies. Reported emissions factors for CO, SO₂, NO_x, PM, and BC
3 are in the range of 0.5–16, 2.9–44, 22–109, 0.3–7.6, and 0.13–0.18 g kg⁻¹ fuel,
4 respectively, and 0.2–6.2×10¹⁶ particles kg⁻¹ fuel for CCN. Besides, characteristics of
5 gaseous species and PM have attracted more attention recently (Anderson et al.,
6 2015;Celo et al., 2015;Mueller et al., 2015;Reda et al., 2015).

7 The IMO has set the emission limits for NO_x and SO_x in the revised MARPOL
8 (Maritime Agreement Regarding Oil Pollution) Annex VI rules (IMO, 1998). Ships
9 operating in the emission control areas (ECAs) (the Baltic Sea, the North Sea, the
10 North America and the Caribbean of US) should use fuels with sulfur less than 0.1%
11 m/m since January 2015. Even more stringent limits have been laid down in some
12 national or regional regulations. For example, in some EU ports, seagoing ships at
13 berth are required to switch into fuels of under 0.1 % m/m sulfur since 2010 (The
14 Council of the European Union, 1999); both marine gas oil and marine diesel oil used
15 in water area within 24 nautical miles of coastline in California should have sulfur
16 content less than 0.1 % m/m since 2014 (California Code of Regulation Titles 13 and
17 17). Emission standard of Tier II for NO_x set by MARPOL VI has been executed since
18 January 2011 in ECAs, and more stringent rules of Tier III will be executed from
19 January 2016. However, in China, no specific policy or limit for shipping emissions
20 has been implemented except in Hong Kong, which is making legislation about the
21 limit of 0.5% sulfur content fuel used when berth in the port from 2015. But because
22 of the serious air pollution these years in China, emission limits for the main sources
23 such as vehicle exhaust, coal combustion, biomass combustion and fugitive dust have
24 become more and more stringent. A draft aimed to limit the emissions from marine
25 engines set by Ministry of Environmental Protection is on soliciting opinions. It has
26 set the limits of CO, HC, NO_x and PM for different kinds of vessels, which are mainly
27 based on the Directive 97/68/EC set by EU and 40 CFR part 1042 set by EPA. In
28 addition, an implementation plan has been released by the Ministry of Transport of the
29 People's Republic of China in December 2015 aiming to set shipping emission control
30 areas to reduce SO₂ emissions in China (Ministry of Transport of the People's

1 Republic of China, 2015). All the regulations were set mostly based on other
2 directives and regulations. Detailed measurement data will assist with further policy
3 making more appropriate to current situations of vessels.

4 Average EFs are often used for shipping emissions inventories on large scales or in
5 regional areas (Tzannatos, 2010;Eyring V., 2005). However, to evaluate the effects of
6 shipping emissions on air pollution in local areas such as near ports, various ship
7 speeds and operating modes should be considered, including docking, berthing, and
8 departing from ports etc. Previous studies have confirmed that EFs are significantly
9 different under various load conditions (Petzold et al., 2010) or in different operating
10 modes (Fu et al., 2013;Winnes and Fridell, 2010) for individual vessels. Therefore,
11 more detailed measurements of EFs in different operating modes are necessary to
12 better estimate the impacts of shipping emissions on the environment.

13 In this study, experimental data for three different diesel engine power vessels were
14 collected. All pollutants were measured directly in the stack. Gaseous emissions and
15 PM from the diesel engines were the main targets, including CO, carbon dioxide
16 (CO₂), SO₂, NO_x, total volatile organic compounds (TVOCs), and total suspended
17 particulates (TSP). Fuel-based EFs for the three vessels were calculated using the
18 carbon balance method under different operating conditions. In addition, fuel-based
19 average EFs as well as power-based average EFs to values reported in other studies
20 and for other vessels were compared. Finally, the impacts of engine speed on the EFs
21 of NO_x were evaluated.

22

23 **2 Experimental**

24 **2.1 Test Vessels and Fuel Types**

25 Initially, it was hoped that the choice of measurement ships would reflect the shipping
26 fleet in general, i.e. in terms of engine type (engine speed and power output), fuel
27 used, engine age and mode of operation, with more than 10 vessels planned to test.
28 However, consideration was given to the practicalities involved with the

1 measurements, i.e. installation of sampling systems, external conditions, etc. Besides,
2 time and economic constraints weighed heavily and only several shipowners willing
3 to participate in the project. Thus, the chosen vessels of different engine powers with
4 diesel used represent a compromise.

5 Three different diesel engine power offshore vessels, including one engineering vessel,
6 Haohai 0007 (HH), with low power and high speed engine, one large research vessel,
7 Dongfanghong 2 (DFH), with high power and medium speed engine, and another
8 research vessel, Xiangyanghong 08 (XYH), with medium power and medium speed
9 engine were selected for this study, whose technical parameters are shown in Table 1.

10 High speed and medium speed engines are the predominant engines used in vessels of
11 offshore and inland rivers in China, which always take light diesel as fuel. Two of the
12 test vessels were small motor, light-tonnage vessels (HH and XYH) and another one
13 was a medium speed engine vessel with an 18 year old engine. Engineering vessels

14 are designed for construction activities such as building docks in port areas or
15 waterways, dredging, etc. They are common vessels in coastal areas of China because
16 of the heavy demand for oilfield construction and port expansion. The maintenance of
17 engineering vessels is typically poorer than for other types of vessels and as a result,
18 they may have relatively high emissions. On the other hand, research vessels of DFH
19 and XYH from universities and research institutes are generally well maintained and
20 use high-quality diesel fuel but with different engine powers, which might have
21 relatively low emission factors for pollutants. Therefore, these research vessels can
22 reflect the impact of engine power on emissions and also can represent the lower end
23 of expected EFs for Chinese vessels. The test vessels in present study could account
24 for 34.7% of the total vessels according to the distribution of vessels through gross
25 tonnage in China (seen in Table S2), which could have certain degree of representation.

26 In all, a general range of EFs for gaseous and PM pollutants emitted from different
27 offshore vessels of China and their influence factors could be given through the
28 on-board measurement.

29 The fuels used in all test vessels were common diesel fuels obtained from fueling
30 stations near the ports. According to statistical data, the total oil consumption of

1 vessels in China was 20.99 million tons in 2011, including 10.99 million tons bonded
2 oil and 5.93 million tons domestic trade oil, with light fuel oil accounting for 40% of
3 the domestic trade oil and 25% of the total consumption (shown in Table [S2S3](#)). (Zhu,
4 2013) The test vessels in present study could reflect the emission condition of diesel
5 vessels in China, especially in offshore areas where diesel oil always been used as
6 fuel. Results of fuel analyses are presented in Table 2. All of these fuels had relatively
7 low sulfur contents ($\leq 0.13\%$) and low metals concentrations (V, Al, Si, Pb, Zn, Mn,
8 etc.).

9 **2.2 Test Operating Modes**

10 EFs are significantly different under differing load conditions and operating modes.
11 Vessel speed is also an important influence factor for emissions which has reported by
12 Starcrest Consulting Group, LLC (Starcrest Consulting Group, 2012) that 15-20% of
13 fuel consumption could be reduced by reduce 10% of the vessel speed. In this study,
14 vessel operating modes were classified according to actual sailing conditions. There
15 were six modes of HH: low speed (4 knots), medium speed (8 knots), high speed (11
16 knots), acceleration process, moderating process and idling, four modes of DFH:
17 cruise (10 knots, medium speed for DFH), acceleration process, moderating process
18 and idling, and five modes of XYH: low speed (3 knots), high speed (10 knots),
19 acceleration process, moderating process and idling. Three to five sets of replicate
20 samples were collected for each operating mode.

21 **2.3 Emissions Measurement System and Chemical Analysis of Particulate** 22 **Matter.**

23 A combined on-board emissions test system (Fig. 1) was used to measure emissions
24 from the coastal vessels under actual operating conditions. There was no dilution in
25 this test system with all the species measured directly from the exhaust and there were
26 four main components of the system: a flue gas analyzer, three particulate samplers,
27 an eight-stage particulate sampler, and a TVOCs analyzer. (see Supporting

1 Information for more details). All analytes are also shown in Fig. 1: The flue gas
2 analyzer (Photon II) is aimed to test instantaneous emissions of gaseous pollutions,
3 including O₂, NO₂, NO, N₂O, CO, CO₂ and SO₂ (Detection parameters for the
4 gaseous matter are shown in Table S3S4). Three particulate samplers are installed to
5 collect PM using different filters at the same time, including quartz fiber filter, glass
6 filter and polytetrafluoroethylene filter to analyze different chemical components of
7 PM. And the portable TVOCs Analyzer is used to monitor the concentration of total
8 VOCs with isobutylene as correction coefficient gas. Besides, a temperature sensor is
9 installed near the smoke outlet to test the flue gas temperature. A total of 33 sets of
10 samples for HH, 20 sets for DFH and 23 sets for XYH were collected, with 3 to 5 sets
11 for each operating mode.

12 The OC and EC were measured on a 0.544 cm² quartz filter punched from each filter
13 by thermal optical reflectance (TOR) following the IMPROVE protocol with a DRI
14 Model 2001 Thermal/Optical Carbon Analyzer (Atmoslytic Inc., Calabasas, CA). The
15 measuring range of TOR was from 0.05 to 750 μg C cm⁻² with an error of less than
16 10%. Concentrations of water soluble ions in PM_{2.5}, such as Na⁺, NH₄⁺, K⁺, Mg²⁺,
17 Ca²⁺, Cl⁻, NO₃⁻ and SO₄²⁻, were determined by Ion Chromatography (Dionex ICS3000,
18 Dionex Ltd. America) based on the measurement method of Shamsavani et al.
19 (Shamsavani et al., 2012). The detection limit was 10 ng ml⁻¹ with an error of less than
20 5%, and 1ml RbBr with concentration of 200 ppm was put in the solution as internal
21 standard before sampling. The concentrations of 33 inorganic elements in PM_{2.5} were
22 estimated using Inductively Coupled Plasma coupled with Mass Spectrometer
23 (ICP-MS of ELAN DRC II type, PerkinElmer Ltd. Hong Kong) following the
24 standard method (Wang et al., 2006). The resolution of ICP-MS ranged from 0.3 to
25 3.0 amu with a detection limit lower than 0.01 ng ml⁻¹, and the error was less than 5%.

26 **2.4 Data Analysis**

27 Carbon balance formula was used to calculate the EFs for all exhaust gas components.
28 It was assumed that all carbon in the fuel was emitted as carbon-containing gases (CO,
29 CO₂, and TVOC) and carbon-containing particulate matter. So there was a certain

1 equilibrium relationship between the carbon in the fuel and in the exhaust:

$$2 \quad C_F = R_{FG} \times (c(C_{CO}) + c(C_{CO_2}) + c(C_{PM}) + c(C_{TVOC})) \quad (1)$$

3 where C_F represents the mass of C in per kg diesel fuel (g C kg^{-1} fuel); R_{FG} represents
4 the flue gas emissions rate ($\text{m}^3 \text{kg}^{-1}$ fuel); and $c(C_{CO})$, $c(C_{CO_2})$, $c(C_{PM})$, and
5 $c(C_{TVOC})$ represent the mass concentrations of carbon as CO, CO₂, PM, and TVOC
6 (g C m^{-3}) in the flue gas, respectively.

7 The EF for CO₂ was calculated as follows:

$$8 \quad EF_{CO_2} = R_{FG} \cdot c(CO_2) \cdot M_{CO_2} \quad (2)$$

9 where EF_{CO_2} is the EF for CO₂ (g kg^{-1} fuel), $c(CO_2)$ is the molar concentration of
10 CO₂ (mol m^{-3}), and M_{CO_2} is the molecular weight of CO₂ (44 g mol^{-1}).

11 The remaining EFs were calculated as follows:

$$12 \quad EF_X = \frac{\Delta X}{\Delta CO_2} \cdot \frac{M_X}{M_{CO_2}} \cdot EF_{CO_2} \quad (3)$$

13 where EF_X is the EF for species X (g kg^{-1} fuel), ΔX and ΔCO_2 represent the
14 concentrations of X and CO₂ with the background concentrations subtracted (mol m^{-3}),
15 and M_X represents the molecular weight of species X (g mol^{-1}).

16 In addition, average EFs for each vessel were calculated based on actual operating
17 conditions, as follows:

$$18 \quad EF_{X,A} = \sum_{X,i} EF_i \times P_i \quad (4)$$

19 where $EF_{X,A}$ is the average EF for species X, EF_i is the EF for operating mode i for
20 species X, and P_i is the percentage of time spent in operating mode i during the
21 shipping cycle.

22 Power-based emission factors and fuel-based emission factors could be interconverted
23 with the formula as following:

$$24 \quad EF_{X,P} = EF_X \cdot FCR \quad (5)$$

25 where $EF_{X,P}$ is the power-based emission factor for species X (g kW h^{-1}), FCR is fuel
26 consumption rate for each vessel ($\text{kg fuel (kW h)}^{-1}$).

1 3 Results and discussion

2 3.1 Concentrations in Shipping Emissions

3 Concentrations of CO, NO_x, SO₂, TVOC, and PM from the three vessels are shown in
4 Fig. S1. Nearly all of the concentrations measured in the exhaust of low engine power
5 vessel HH were higher than those of the two higher engine power vessels.
6 Concentrations of CO, SO₂, and NO_x from HH were 10.7–756, 5.34–33.1, and 87.8–
7 1295 ppm, respectively, and 14.3–59.5 mg m⁻³PM. In contrast, concentrations of CO,
8 SO₂, NO_x, and PM were 50.1–141, 5.27–16.9, 169–800 ppm and 7.06–21.8 mg m⁻³,
9 respectively, for DFH and 36.0–224, 0.49–35.9, and 235–578 ppm and 0.56–6.31 mg
10 m⁻³ respectively, for XYH.

11 A previous study demonstrated that concentrations of CO primarily depend on engine
12 power, with higher CO emissions resulting from vessel engines with lower power
13 (Sinha et al., 2003). There was a similar trend in this study with generally higher
14 concentrations for HH and lower concentrations for DFH. The CO concentrations in
15 the present study were similar but slightly lower than those of inland vessels (Fu et al.,
16 2013), except in the idling mode of HH. In different operating modes, CO
17 concentrations were significantly different. For example, the maximum value was
18 observed in idling mode and the minimum value in medium speed mode for HH. All
19 three ships had the lowest CO concentrations at their economic speeds (medium speed
20 for HH, cruise mode for DFH, and high speed for XYH), demonstrating that their
21 engines are optimized for the most common operating mode.

22 More than 80% of the NO_x was NO in this study, with NO₂ and N₂O accounting for
23 <20% in all operating modes (Fig. S1). Again, nearly all of these concentrations were
24 higher in the exhaust gas of HH than in that of the two vessels. In high speed modes,
25 all of the vessels had high concentrations of NO_x. NO_x emissions mainly depend on
26 the combustion temperature of the engines. More powerful combustion systems
27 operate at higher temperatures, thereby producing more NO_x (Corbett, 1999).
28 However, the NO_x emissions were much lower than for the inland vessels studied by
29 Fu et al. (Fu et al., 2013), particularly in cruise mode (NO_x concentrations of ~1,000

1 ppm).

2 SO₂ concentrations in the exhaust gas depend on the sulfur content of the fuel and the
3 flow rate of the flue gas. There were significant differences among the three vessels in
4 their flow rates, which could account for the different concentrations of one vessel in
5 different operating modes. But because of the low-sulfur fuels used in these vessels,
6 the SO₂ concentrations were low compared with those in other studies (Williams et al.,
7 2009;Berg et al., 2012).

8 Much lower concentrations of PM in the exhaust gas were observed in the present
9 study compared to those of inland ships in China (Fu et al., 2013). However, they
10 were similar to those from ships at berth reported by Cooper et al (Cooper, 2003). HH
11 had higher PM concentrations than the two vessels in the exhaust gas. There were
12 significant differences among the different operating modes because of changes in the
13 injection point of the engines (Sippula et al., 2014;Li et al., 2014).

14 **3.2 Fuel-based Emissions Factors**

15 Fuel-based EFs for the gaseous species CO₂, CO, NO, NO₂, N₂O, and TVOCs and for
16 PM based on the carbon balance method were determined. In addition, SO₂ was
17 calculated based on the sulfur content of the fuels. Fuel-based EFs for the typical
18 pollutants such as CO, PM and nitrogen oxides in different operating modes are
19 shown in Fig. 2 (detailed EFs for all the gaseous pollutants are shown in Table [S4-S5](#)
20 and detailed EFs for PM and its chemical composition are shown in Table [S5S6](#)).

21 CO₂ emissions from vessels primarily depend on the carbon content of the fuel
22 (Carlton et al., 1995). Accordingly, the EFs for CO₂ in the present study should
23 theoretically be 3177, 3168, and 3171 g kg⁻¹ fuel for complete combustion. Under
24 actual conditions, CO₂ emissions were 2940–3106, 3121–3160, and 3102–3162 g kg⁻¹
25 fuel for HH, DFH and XYH, respectively, which means they had combustion
26 efficiencies with 92.5–97.8%, 98.5–99.7% and 97.8–99.7% in terms of CO₂ for these
27 three vessels.

28 CO emissions of HH were much higher than of XYH, followed by DFH. The power
29 of their respective engines was 350, 600, and 1600 kW. In addition, there were large

1 differences in CO emissions among different modes. All these three vessels had
2 relatively high EFs for CO while accelerating compared with other modes, but the
3 highest EFs were during the idling modes of HH and DFH, and the low-speed mode
4 of XYH. Because CO emissions in diesel engines primarily depend on the excess air
5 ratio (which determines the fuel-air mixture), combustion temperature, and uniformity
6 of the fuel-air mixture in the combustion chamber (D, 2004), ship engines with lower
7 power generally have higher CO emissions (Carlton et al., 1995). Localized hypoxia
8 and incomplete combustion in cylinder were the main reasons for CO emission of
9 diesel engine. CO emissions always had positive relationships with the air-fuel ratio.
10 There was lower air fuel ratio when in low engine load, which resulted in lower CO
11 emission, and vice versa (Ni, 1999).

12 Much higher NO_x EFs were observed for HH than for the other two vessels. These
13 results were inconsistent with those of Sinha et al. (Sinha et al., 2003), in which
14 emissions of NO_x increased with the power of the ship engine. With increasing vessel
15 speed, NO_x EFs for HH first increased and then decreased. XYH had lower EFs when
16 operating at high speed than at low speed. Nitrogen oxides included NO, NO₂, and
17 N₂O in the present study. More than 70% of the NO_x was in the form of NO for all
18 vessels, because most of the NO_x emissions were generated through thermal NO
19 formation (Haglund, 2008). The primary reasons that slow diesel engines such as the
20 one in HH have higher NO_x emissions include higher peak flame temperatures and the
21 NO formation reactions being closer to their equilibrium state than in other engines
22 (Haglund, 2008). NO_x emissions from vessels are temperature-dependent (Sinha et al.,
23 2003) and also are influenced by the oxygen concentration in the engine cylinder (Ni,
24 1999). In larger engines, the running speed is generally slower and the combustion
25 process more adiabatic, resulting in higher combustion temperatures and more NO_x.
26 Besides, with the increasing of air-fuel ratios, concentration of NO_x showed a
27 tendency first to increase, then to decrease, which always had the maximum value in
28 the operating mode that close to full load of engine because of the high temperature
29 and oxygen in the engine cylinder (Ni, 1999). Furthermore, there were always higher
30 EFs values in acceleration process and lower in moderating process in this study.

1 When the engines were in transient operating conditions, such as acceleration process
2 or moderating process, concentrations of NO_x always had corresponding changes in
3 the cylinder. Studies about diesel engines showed that when the rotational speed had a
4 sudden increase, there would be a first increasing, then decreasing and last stable
5 tendency for the NO_x concentrations, and vice versa (Tan et al., 2012).

6 TVOCs emissions from HH were much higher than from the other two vessels; the
7 lowest emissions were observed for DFH. Previous studies (Sinha et al., 2003) have
8 reported that hydrocarbon emissions from vessels depend on engine power, with
9 low-power engines emitting more hydrocarbons. The present results were partially
10 consistent with these previous studies. Besides, hydrocarbon emissions also depend
11 on the percentage utilization of engine power (Sinha et al., 2003). As for various
12 operating modes, TVOCs EFs had large differences. For example, HH had the highest
13 TVOCs emissions in accelerating mode, which was almost three times the high of the
14 lowest value in medium-speed mode. The EFs for SO₂ depended solely on the sulfur
15 content of the fuels and were 1.6, 0.9, and 2.6 g kg⁻¹ fuel for HH, DFH, and XYH,
16 respectively in this study. Hydrocarbon could be generated because of the incomplete
17 combustion. For example, in diesel cylinders, there always exist air in wall regions
18 and crevices, as well as when scavenging occurred during the aeration, which could
19 cause the uneven mixing of air and fuel (Ni, 1999).

20 Fuel-based EFs for PM and its chemical components were shown in Table [S5S6](#). OC
21 and EC were the main components of PM, followed by SO₄²⁻, NH₄⁺, and NO₃⁻. Metals
22 such as V, Ni, Cr, Fe, As, and Cd made up a proportionately small part of the total PM
23 mass. However, other rare elements such as Tb, Er, Yb, and Lu had higher values than
24 did some of the common elements. PM was an in-process product during the
25 combustion in cylinder, whose forming process included the molecular cracking,
26 decomposition and polymerization results of lack of oxygen. High temperature and
27 oxygen deficiency were the main reasons for the formation in diesel engines, which
28 always had high concentration values in high load operating modes (Ni, 1999). HH
29 had much higher PM emission factors than the other two vessels, the engine type was
30 considered to be the most significant influence factor, which had a good agreement

1 with NO_x emission factors.

2 EFs for OC and EC and the ratios between them are shown in Fig. 3. EFs for OC and
3 EC for HH were higher than for the other two vessels. Organic matter (OM) is
4 generally calculated as OC × 1.2 (Petzold et al., 2008) to account for the mass of
5 elements other than carbon in the emitted molecules. OM EFs for individual vessels
6 mainly depend on the engine type and the amount of unburned fuel, i.e., the efficiency
7 of combustion. (Moldanova et al., 2013) BC emissions also depend heavily on the
8 engine type (Lack et al., 2009). Therefore, the different types of engines and their
9 levels of maintenance could account for the large differences in OC and EC EFs
10 observed among the three vessels in this study. The ratios of OC to EC in the present
11 study were much lower than those for large diesel ships reported previously (OC/EC
12 = 12) (Moldanova et al., 2009) and also lower than that reported for a medium-speed
13 vessel (Petzold et al., 2010). The usage of non-dilution sampling in this study was one
14 possible reason for the lower OC to EC ratio. Besides, TOR was used to measure OC
15 and EC in PM, which always had a lower OC content compared with other methods
16 (such as TOT) because of the different definitions of OC and EC (Khan et al., 2012).
17 Compared with other diesel engines, the ratios of OC to EC in this study were higher
18 than that of automobile diesel soot, in which EC comprises 75–80 wt% of the total
19 PM (Clague et al., 1999), and also higher than heavy heavy-duty diesel trucks
20 (HHDDT) with OC to EC ratios below unit for cruise and transient modes even though
21 higher in cold-start/idle and creep modes (Shah et al., 2004).

22 Studies have shown that SO₄²⁻ formed from vessel-emitted SO₂ is a major contributor
23 to CCN and ship track formation (Schreier et al., 2006;Lauer et al., 2007). Sulfate is
24 also an important component of PM emitted from vessels. In the present study, EFs
25 for SO₄²⁻ were much lower than previously reported (Petzold et al., 2008;Agrawal et
26 al., 2008), but similar to those detected by a high-resolution time-of-flight aerosol
27 mass spectrometer in a previous study (Lack et al., 2009). This may be because EFs
28 for SO₄²⁻ are mainly related to the sulfur content of the fuel; SO₄²⁻ is not generally
29 emitted directly from the engines, but forms after release from the stack (Lack et al.,
30 2009). Because PM was collected directly from engine emissions in the present study,

1 the sulfur-to-sulfate ratios were low (<0.6% for vessels). Other ions such as NO_3^- and
2 NH_4^+ accounted for a small percentage of the PM emitted from the vessels compared
3 with SO_4^{2-} , consistent with previous studies (Lack et al., 2009). SO_2 is more easily
4 oxidized to SO_3 in catalytic reaction cycles with metals commonly present in the
5 exhaust gas (V, Ni), while hydroxyl radicals are additional needed to convert NO_x to
6 NO_3^- (Moldanova et al., 2009).

7 Na^+ and Cl^- were considered to originate from marine air. Their concentrations were
8 highly correlated ($r^2 = 0.78$); the differing air demands of the engines under different
9 conditions might have caused observed variations in the EFs relative to the fuel
10 demand.

11 The elemental composition of PM in the present study differed from previous studies
12 showing high elemental contents of S, Ca, V, Fe, Cu, Ni, and Al (Agrawal et al.,
13 2008;Moldanova et al., 2009). V and Ni are typically associated with combustion of
14 heavy fuel oil (Almeida et al., 2005). In the present study, the high-quality fuels
15 resulted in low EFs for V and Ni. In our previous study, PM from shipping emissions
16 was estimated to account for 2.94% of the total $\text{PM}_{2.5}$ at Tuoji Island in China, using
17 V as a tracer of shipping emissions (Zhang et al., 2014). Reconsidering the former
18 results based on the EFs obtained in the present study, we determined that the
19 contribution of vessels near Tuoji Island had been underestimated, because the
20 estimate should have included both heavy and other types of fuels. However, some
21 rare elements such as Tb, Er, Yb, and Lu had relatively high EFs compared with those
22 of other elements in the present study, which may be related to the source of the fuels.

23 **3.3 Fuel-based Average Emissions Factors**

24 | Based on actual operating conditions (Table [S6S7](#)), average EFs for the three vessels
25 in the present study (according to formula (4)) along with EFs from previous studies
26 are shown in Table 3. EFs for all of the pollutants except SO_2 were significantly
27 higher for HH than for the other two vessels, potentially due to poor combustion
28 conditions. Most of the EFs for DFH and XYH were within the range of emissions for
29 other vessels due to having well maintained engines and the high quality of the fuels

1 used. The EFs for NO_x, PM, and SO₂ were much lower than reported in previous
2 studies (other than NO_x for ocean-going vessels). All the sulfur of the fuels in the
3 present study were significantly below the emissions limit of 3.50% established by
4 IMO in the revised MARPOL Annex VI rules, applicable since 2012 (IMO, 1998).
5 The IMO Tier I emissions limit for NO_x is $45.0 \times n^{-0.2}$ g kWh⁻¹ (n, rated speed, 130 <
6 $n < 2000$ rpm). The rated speed and fuel consumption rate for each vessel are shown
7 in Table 1. Thus, the emissions limits for HH, DFH, and XYH would be 54.5, 57.5,
8 and 56.5 g kg⁻¹ fuel, respectively, calculating combined with formula (5). The average
9 fuel-based EFs for NO_x of ship HH was more than 100% above the IMO standard,
10 while those of the other two ships were below the IMO standard (Table 3). PM
11 emissions for HH were also higher than previously reported, but those for the two
12 research vessels were much lower (Table 3). Fuel type is one of the most important
13 influence factors on pollutant emissions, for example, sulfur content in the fuel not
14 only influence the SO₂ emission directly, but also had impact on PM formation in the
15 flue gas stack with low sulfur content in fuels reduces PM formation (Lack et al.,
16 2011). Vessels with higher sulfur content always had relatively higher PM emissions,
17 which were also shown in Table 3. In addition, different engines and levels of
18 maintenance have a significant impact on all combustion-dependent emissions.
19 Emission reduction measures have been used in some vessels. For example, NO_x
20 emissions can be reduced by measures such as selective catalytic reduction (SCR) and
21 direct water injection (DWI), which had been implemented on some vessels
22 previously studied in a harbor in Finland (Pirjola et al., 2014). The results showed that
23 SCR effectively reduced NO_x emissions, while vessels with DWI had high PM
24 emissions. The engine type might be an important cause of the different emissions,
25 such as HH had much higher pollutants emissions with an engine produced in China
26 and yet DFH's engine produced in Germany. Besides, emission test for a high-speed
27 marine diesel engine with different kind of diesels showed that, diesel type had
28 limited influence on emissions such as NO_x, CO and CH, but a significant impact on
29 PM emission (28.9-41.5%) because of the different sulfur content in fuel (Xu, 2008).

3.4 Power-based Emissions Factors

Based on the engine power and fuel consumption rates of the vessels, power-based EFs were calculated (according to formula (5)) and compared to results from previous studies (Table 4). The EFs for HH were much higher than those for the other two vessels, except for SO₂. HH also had significantly higher EFs for ~~CO and~~ NO_x than previously reported values, while EFs for NO_x of DFH and XYH were within the range of previously reported results. Engine type was considered to be a significant influence factor for NO_x emissions, with lower engine speed having higher NO_x emission factors (Celo et al., 2015). In addition, compared to other vessels with the similar engine type and diesel fuel, HH still had relatively higher NO_x EF (seen in Table 4), which could reflect the impact of engine condition (engine quality and maintenance level) on shipping emissions. CO EFs for the test vessels in present study were higher than previous studies, which had the similar results of inland ships and other test vessels in China (Fu et al., 2013; Song, 2015). In spite of the influence of engine type on CO emissions that with the higher engine speed having higher CO EFs (Celo et al., 2015), engine condition combined with fuel quality might have significant influence. On the other hand, most of the EFs for DFH and XYH were within the range of previously reported results. All of the EFs for SO₂ in the present study were lower than those in previous studies, because of the low sulfur content of the present fuels. Generally, PM emissions from marine diesel fuels are dependent on the fuel (sulfate and metal oxide ash constituents) and on combustion conditions (unburned hydrocarbons and carbon residue constituents) (Cooper, 2003). HH had the highest PM emissions among the test vessels, although there were almost no differences among the fuels (Table S5S6). Besides, HH had even higher PM EFs than previously reported vessels with HFO fuel, and XYH had much lower PM EFs than all the other vessels with even lower sulfur content fuel. Therefore, combustion conditions were likely the determining factor for the differences. ~~The PM emissions observed in the present study were within the range previously reported, except for XYH, which had a much lower value.~~

1 It can be seen from Table 4 that most previous studies were focusing on heavy fuel oil
2 of shipping emissions. Compared with diesel fuels, it always had relatively low CO
3 emission factors and high PM emission factors ~~from heavy fuel oil~~. And among the
4 heavy fuel oil used vessels, engine type (engine speed and engine power level) always
5 played an important role on emissions such as NO_x and CO, which with lower engine
6 speed having higher NO_x EFs and lower CO EFs. ~~However, the marine diesel~~
7 ~~consumption accounts for a large part of the total marine consumption in China (40%~~
8 ~~of the domestic marine fuel consumption and 25% of the total marine fuel~~
9 ~~consumption, seen in Table S2).~~ ~~This study could enrich the measurement database of~~
10 ~~diesel marine vessels, especially in China.~~ ~~Besides, among the test vessels in this~~
11 ~~study, emission factors for CO, NO_x and PM had large differences (seen in Table 4),~~
12 ~~which suggested that engine type also had significant influence on shipping~~
13 ~~emissions.~~

14 Combined with other emission data of test ships in China (Fu et al., 2013; Song, 2015),
15 it could be seen that inland and some offshore ships in China always had higher NO_x,
16 CO and PM emissions compared with other test vessels in previous studies. And
17 among the test vessels in China, there also had differences for different engine types
18 and ship types. In addition, emission factors that used for calculation of ship
19 inventories in China always came from other countries and areas. However, there
20 seemed to have significant differences between the reference and test data, such as
21 10.0 to 13.2 g kW h⁻¹ of NO_x EF and 1.1 to 1.7 g kW h⁻¹ of CO EF were used for
22 inland ships for ship inventory calculation (Zhu et al., 2015), 10.0 to 18.1 g kW h⁻¹ of
23 NO_x EF and 1.1 to 1.5 g kW h⁻¹ of CO EF for harbor ships (Yang et al., 2015),
24 compared to 15 to 17.3 g kW h⁻¹ of NO_x EF and 4.6 to 10.3 g kW h⁻¹ of CO EF from
25 test inland ships (convert the fuel-based EF to power-based EF with an factor of 200 g
26 kW h⁻¹) (Song, 2015) and 6.97 to 25.8 g kW h⁻¹ of NO_x EF and 1.39 to 7.38 g kW h⁻¹
27 of CO EF in present study.(Yang et al., 2015). Besides, whether there are obvious
28 differences of EFs between other type of vessels in China (such as low-speed engine
29 vessel with heavy fuel oil) and previous studies is still unclear. Therefore, much more
30 measurement data for different vessels in China are still in urgent need for more

1 | [accurate assessment of shipping emissions.](#)

2 | **3.5 Impact of Engine Speed on NO_x Emissions Factors**

3 | NO_x is formed in the combustion chamber by a combination of atmospheric nitrogen
4 | and oxygen under high-pressure and high-temperature conditions. Many factors affect
5 | NO_x formation, including engine temperature, injection point, and fuel quality. The
6 | IMO emissions limit for NO_x is determined by the rated speed of the engine; however,
7 | other factors must also be considered to reduce NO_x emissions.

8 | The NO_x EFs for the test vessels at various engine speeds are shown in Fig. 4. The
9 | rated speeds of the vessels were 1200, 900, and 1000 rpm for HH, DFH, and XYH,
10 | respectively. The actual engine speeds of HH were much lower than the rated speed,
11 | while the two larger engine power vessels operated close to their rated speeds, except
12 | during one operating mode of DFH. The NO_x EFs for HH differed significantly in
13 | different operating modes, ranging from 39.1 to 143 g kg⁻¹ fuel. The NO_x EF was
14 | highest when the engine speed reached ~750 rpm (Fig. 4). At lower engine speeds, the
15 | NO_x EFs had fluctuating but lower values. At higher engine speeds closer to the rated
16 | speed of 1200 rpm, the NO_x EFs were much lower. The NO_x EFs for the two larger
17 | engine power vessels changed slightly with engine speed, but also had lowest values
18 | when their engine speeds approached their rated speeds. Combined with the diesel
19 | propulsion characteristic curve, there were large increases in the fuel consumption
20 | rate when the engine speed increased. Therefore, a best-fit engine speed should be
21 | determined based on both EFs and economic costs.

22 | Engineering approaches for reducing the NO_x emissions of marine engines may be
23 | applied before, during, or after the combustion process (Verschaeren et al.,
24 | 2014; Habib et al., 2014). In the present study, the NO_x EFs of the two research vessels
25 | were below the IMO Tier I emissions limits. However, for EMS, measures should be
26 | taken to meet the IMO emissions limit, including increasing the engine speed and
27 | applying engineering technologies during or after combustion, such as exhaust gas
28 | recirculation (EGR), selective non-catalytic reduction (SNCR), or SCR.

29

1 **4 Conclusions**

2 Three offshore vessels with different engine power were chosen in this study to
3 collect measured data of gaseous species and particulate matter, including NO₂, NO,
4 N₂O, CO, CO₂, TVOCs, SO₂ and the total suspended particulate. Besides, chemical
5 composition of the PM were also analyzed to give detailed EFs for OC, EC, water
6 soluble ions and metal elements. Concentrations, fuel-based EFs, fuel-based average
7 EFs as well as power-based average EFs for species of offshore vessels in China were
8 given. Furthermore, impact of engine speed on NO_x EFs was also discussed.

9 There were higher concentrations of pollutants for low engine power vessel HH than
10 for the other two vessels. CO concentrations for offshore vessels were slightly lower
11 than inland vessels in China, and all the three vessels had the lowest CO
12 concentrations at their economic speeds (the speed of the least vessel operating
13 expenditures during one voyage, they were high speed mode, cruise mode and high
14 speed mode for HH, DFH and XYH, respectively). More than 80% of the NO_x was
15 NO, and all the offshore vessels had higher NO_x concentrations in high speed modes.
16 Because of the low-sulfur fuels used in this study, SO₂ concentrations of these three
17 offshore vessels were lower than that in the literatures. And the PM concentrations
18 were much lower than inland vessels while showing significant differences among
19 different operating modes.

20 Fuel-based EFs for gaseous species and PM were given based on the carbon balance
21 method. EFs for CO₂ were 2940–3106, 3121–3160, and 3102–3162 g kg⁻¹ fuel for HH,
22 DFH and XYH. Because of the combustion conditions such as excess air ratio,
23 combustion temperature and uniformity of the fuel-air mixture, EFs for CO showed
24 high values in idling mode, but low values in economic speed. All the offshore vessels
25 had high NO_x EFs in low speed than in high speed, but showed higher values when in
26 acceleration process. EFs for SO₂ were 1.6, 0.9 and 2.6 g kg⁻¹ fuel for HH, DFH and
27 XYH based on sulfur content of the fuels. OC and EC were the main components of
28 PM, with low OC to EC ratios that were lower than 0.1, followed by SO₄²⁻, NH₄⁺, and
29 NO₃⁻. Metals such as V, Ni, Cr, Fe, As and Cd made up a proportionately small part of
30 the total PM mass.

1 Fuel-based average EFs as well as power-based EFs for the three different engine
2 power vessels were given. EFs for most gaseous species and PM of HH were much
3 higher compared with the other higher engine power vessels, which was also >100%
4 above the IMO standard for NO_x. Average PM EF of the low engine power vessel,
5 HH was also much higher than that in the literatures. However, average EFs for most
6 species of the two larger engine power vessels were within the range of previously
7 reported results. Engine type was inferred as one of the most influence factors for the
8 differences of emission factors. Inland and some test offshore ships in China always
9 had higher NO_x, CO and PM emissions compared with other test vessels in previous
10 studies. In addition, emission factors that used for calculation of ship inventories in
11 China always had lower values than test vessels.

12 The impact of engine speed on EFs for NO_x showed that when the engine speed was
13 close to the rated speed, there would be lower NO_x EFs values. However, combined
14 with the high fuel consumption rate, an optimal engine speed should be determined
15 based on both EFs and economic costs. Emission reduction measures for NO_x for
16 some of the offshore vessels in China are still essential to meet the IMO emission
17 limit.

18 Given the limits of vessel types and numbers, this study substantially gives the EFs
19 for gaseous species and PM of three different diesel engine power offshore vessels.
20 However, as the development of ports in China, emissions from cargo ships and
21 container ships with large engine power have becoming one of the most important air
22 pollution sources in port cities and regions. Systematical measurement EFs of all
23 kinds of offshore vessels in China are essential in order to give the accurate emission
24 inventory of ships.

25 **Supporting Information**

26 Supporting Information includes the details of the real-world measurement system for
27 vessels (Fig. S1), the concentrations of main gaseous matter and PM of shipping
28 emissions (Fig. S2), the types composition of offshore vessels in China (Table S1), the
29 distribution of vessels through gross tonnage in 2014 in offshore area of Yangtze

1 [River Delta \(Table S2\)](#), the Chinese market consumption of marine oil in 2011 (Table
2 [S2S3](#)), the detection parameters for gaseous matter (Table [S3S4](#)), the fuel-based EFs
3 for the gaseous pollutants (Table [S4S5](#)), PM and the chemical composition in PM for
4 different operating (Table [S5S6](#)) modes and the actual operating conditions of vessels
5 (Table [S6S7](#)).

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1 Table 1. Technical parameters of test vessels

| Vessel ID | Vessel type | Displacement (ton) | Ship length ×width (m) | Engine power (kw) | Vessel age (year) | Rated speed (rpm) | Fuel consumption rate (g/KWh) |
|-----------|--------------------|--------------------|------------------------|-------------------|-------------------|-------------------|-------------------------------|
| HH | Engineering vessel | 307 | 44×13 | 350×2 | 4 | 1200 | 200 |
| DFH | Research vessel | 3235 | 96×15 | 1600×2 | 18 | 900 | 200 |
| XYH | Research vessel | 602 | 55×9 | 600 | 5 | 1000 | 200 |

2

1 Table 2 Results from the fuel analysis (diesels)

| | Units | HH | DFH | XYH |
|-----------------------|---------------------|--------|--------|--------|
| Total calorific value | MJ kg ⁻¹ | 45.44 | 45.40 | 45.50 |
| Net calorific value | MJ kg ⁻¹ | 42.51 | 42.48 | 42.55 |
| Ash content | %m | 0.001 | <0.001 | <0.001 |
| Sulfur (S) | %m | 0.0798 | 0.0458 | 0.130 |
| Carbon (C) | %m | 86.66 | 86.40 | 86.49 |
| Hydrogen (H) | %m | 13.32 | 13.22 | 13.44 |
| Nitrogen (N) | %m | <0.2 | <0.2 | <0.2 |
| Oxygen (O) | %m | <0.4 | <0.4 | <0.4 |

1 Table 3 Fuel-based average EFs in the present study and previous studies (g kg⁻¹ fuel)

| Vessel ID | CO ₂ | CO | NO | NO ₂ | N ₂ O | NO _x | TVOCs | PM | SO ₂ | S content (%m) |
|---|-----------------|-----------|-----------|-----------------|------------------|-----------------|-----------|-----------|-----------------|----------------|
| HH | 3071±1565 | 30.2±16.2 | 98.2±37.2 | 15.5±5.45 | 1.28±1.70 | 115±44.3 | 23.7±21.0 | 9.40±2.13 | 1.60 | 0.08 |
| DFH | 3153±176 | 6.93±1.00 | 30.2±1.60 | 5.09±0.42 | 0.38±0.18 | 35.7±2.20 | 1.24±0.04 | 0.72±0.33 | 0.92 | 0.05 |
| XYH | 3151±175 | 9.20±2.95 | 26.6±1.63 | 4.71±0.42 | 0.30±0.15 | 31.6±2.20 | 4.18±0.15 | 0.16±0.07 | 2.60 | 0.13 |
| Commercial vessel (Williams et al., 2009) | 3170 | 7-16 | - | - | - | 60-87 | - | - | 6-30 | |
| Cargo vessel (Moldanova et al., 2009) | 3441 | 2.17 | - | - | - | 73.4 | - | 5.3 | 39.3 | 1.9 |
| Diesel engine (Haglund, 2008) | - | 7.4 | - | - | - | 87 | - | 7.6 | 54 | 2.7 |
| Ocean-going ships (Sinha et al., 2003) | 3135 | 19.5 | - | - | - | 22.3 | - | - | 2.9 | 0.1 |
| Ocean-going ships (Sinha et al., 2003) | 3176 | 3.0 | - | - | - | 65.5 | - | - | 52.2 | 2.4 |
| Cargo and passenger ships(Endresen, 2003) | 3170 | 7.4 | - | - | 0.08 | 57-87 | 2.4 | 1.2-7.6 | 10-54 | 0.5-2.7 |
| Ships operating in harbor areas(Pirjola et al., 2014) | - | - | 42-72 | - | - | 65-86 | - | - | 4.6-9.8 | NONE |
| | - | - | 16-49 | - | - | 25-79 | - | - | 5.4-17.0 | SCR |
| Ships operating in Port(Diesch et al., 2013) | - | - | 16 | 37 | - | 53 | - | - | 7.7 | |

2 (NONE=No treatment of emissions, SCR=Selective catalytic reduction)

1 Table 4. Power-based EFs in present study and previous studies (g kWh⁻¹)

| Vessel ID | CO ₂ | CO | NO | NO ₂ | N ₂ O | NO _x | TVOCs | PM | SO ₂ | <u>Engine power (kW)</u> | <u>Engine speed (rpm)</u> | Fuel type and sulfur content (wt %) |
|---|-----------------|-----------|-----------|-----------------|------------------|-----------------|-----------|-----------|-----------------|------------------------------|-----------------------------------|---|
| HH | 699±352 | 7.38±3.76 | 22.0±8.41 | 3.45±1.24 | 0.30±0.39 | 25.8±10.0 | 5.44±4.84 | 2.09±0.48 | 0.36 | <u>350</u> | <u>1200</u> | <u>DO, 0.0798</u> |
| DFH | 631±35.2 | 1.39±0.20 | 6.04±0.32 | 1.02±0.08 | 0.08±0.04 | 7.14±0.44 | 0.17±0.01 | 0.14±0.07 | 0.18 | <u>1600</u> | <u>900</u> | <u>DO, 0.0458</u> |
| XYH | 697±38.5 | 2.01±0.65 | 5.87±0.36 | 1.04±0.09 | 0.07±0.03 | 6.97±0.48 | 0.92± | 0.04±0.01 | 0.57 | <u>600</u> | <u>1000</u> | <u>DO, 0.130</u> |
| Tanker(Winnes and Fridell, 2010) | - | 1.61 | - | - | - | 7.82 | - | 0.58 | - | <u>4500</u> | <u>600</u> | HFO, 1.6 |
| Berthed ships(Cooper, 2003) | 653-768 | 0.33-0.97 | - | - | - | 14.2-20.2 | - | 0.14-0.45 | 0.26-5.3 | <u>AE, 720-1270</u> | <u>720-1800</u> | MGO, 0.06-1.2 |
| | 691-803 | 0.77-1.71 | | | | 12.9-17.5 | | 0.48-0.67 | 2.5-9.6 | <u>1270-2675</u> | <u>720-750</u> | RO, 0.53-2.2 |
| Crude Oil | 691-694 | 0.92-0.98 | | | | 9.6-9.9 | | 0.17-0.19 | 1.0 | <u>1480</u> | <u>720</u> | MDO, 0.23 |
| Tanker(Agrawa l et al., 2008) | 588-660 | 0.77-1.78 | - | - | - | 15.8-21.0 | - | 1.10-1.78 | 7.66-8.60 | <u>15750</u> | <u>90</u> | HFO, 2.85 |
| Cruise ships(Poplawsk i et al., 2011) | - | - | - | 14.0 | - | - | - | 2.91 | 4.20 | | | |
| US EPA | 621 | 1.4 | - | - | - | 18.1 | - | 1.31 | 10.3 | | | |
| Marine Engine(Sippula et al., 2014) | - | 1.2-11.4 | 11.3-29.5 | - | - | 11.4-30.9 | 0-9.5 | 0.83-6.36 | - | | <u>1500</u> | HFO, 2.7 |
| | | 0-88 | 5.69-25.8 | | | 5.84-33.9 | 0.83-19.7 | 0.15-0.93 | | | | DF |

| | | | | | | | | | | | | |
|--|-----------------|------------------|---|---|---|------------------|---|------------------|-----------------|--------------------|---------------|----------------|
| Large marine ships(Khan et al., 2013) | 533-612 | 0.35-0.60 | - | - | - | 16.6-20.6 | - | 0.91-2.19 | 7.2-11.4 | <u>36740-68530</u> | <u>97-102</u> | HFO, 2.15-3.14 |
| Ocean going container vessel(Agrawal et al., 2008) | 588-660 | 0.77-1.81 | - | - | - | 15.8-21.0 | - | 1.09-1.76 | 7.66-8.60 | <u>50270</u> | <u>104</u> | HFO, 2.05 |
| Large cargo vessel(Moldanova et al., 2009) | 667 | 0.42 | - | - | - | 14.22 | - | 1.03 | 10.3 | <u>20200</u> | <u>97</u> | HFO, 1.9 |
| | <u>614-6286</u> | <u>0.26-0.83</u> | - | - | - | <u>11.3-16.3</u> | - | <u>0.81-1.51</u> | <u>5.8-8.78</u> | | <u>128</u> | IFO180 |
| | <u>14±1</u> | <u>3±0.01</u> | | | | <u>3±0.2</u> | | <u>.51±0.07</u> | <u>±0.1</u> | | | |
| Ocean going cargo vessel(Celo et al., 2015) | <u>626±7</u> | <u>0.26±0.01</u> | | | | <u>11.4±0.1</u> | | <u>0.81±0.02</u> | <u>5.8±0.07</u> | | <u>525</u> | <u>IFO180</u> |
| | <u>628±9</u> | <u>0.30±0.01</u> | | | | <u>11.3±0.1</u> | | <u>0.94±0.02</u> | <u>8.7±0.1</u> | | <u>450</u> | <u>IFO180</u> |
| | <u>628±1</u> | <u>0.81±0.03</u> | | | | <u>12.2±0.01</u> | | <u>0.83±0.01</u> | <u>6.4±0.1</u> | | <u>450</u> | <u>IFO180</u> |
| | 609±1 | 1.31±0.02 | - | - | - | 8.4±0.03 | - | 0.37±0.01 | 4.7±0.01 | | <u>440</u> | IFO60 |
| | 605±1 | 0.00 | - | - | - | 16.7±0.1 | - | 2.2±0.2 | 10.3±0.03 | | <u>116</u> | IFO380 |
| | 622±1 | 1.22±0.02 | - | - | - | 10.7±0.04 | - | 0.30±0.03 | 0.47±0.1 | | <u>450</u> | MDO |

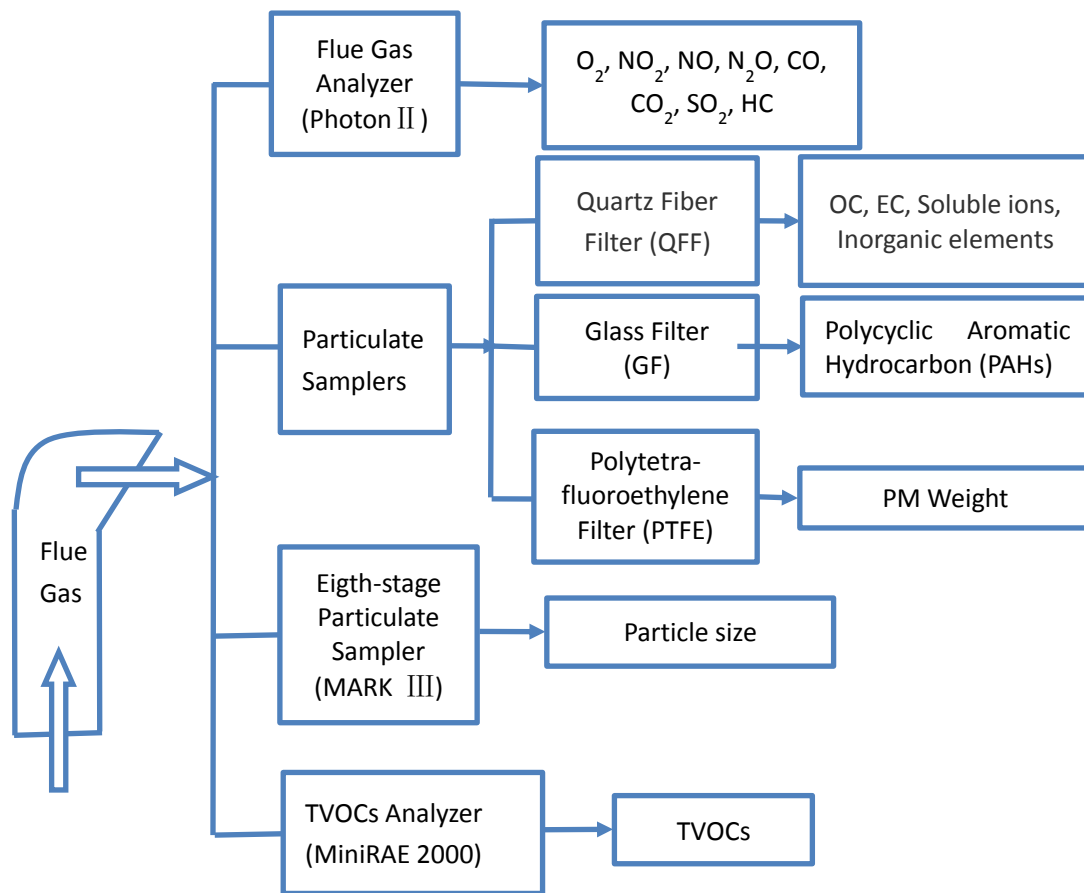
1 (AE, auxiliary engine.

2 DO, diesel oil; HFO, heavy fuel oil; -MGO, marine gasoil; RO, residual oil;- MDO, marine diesel oil; DF, diesel fuel;HDO, heavy diesel oil IFO, intermediate fuel

3 oil.)

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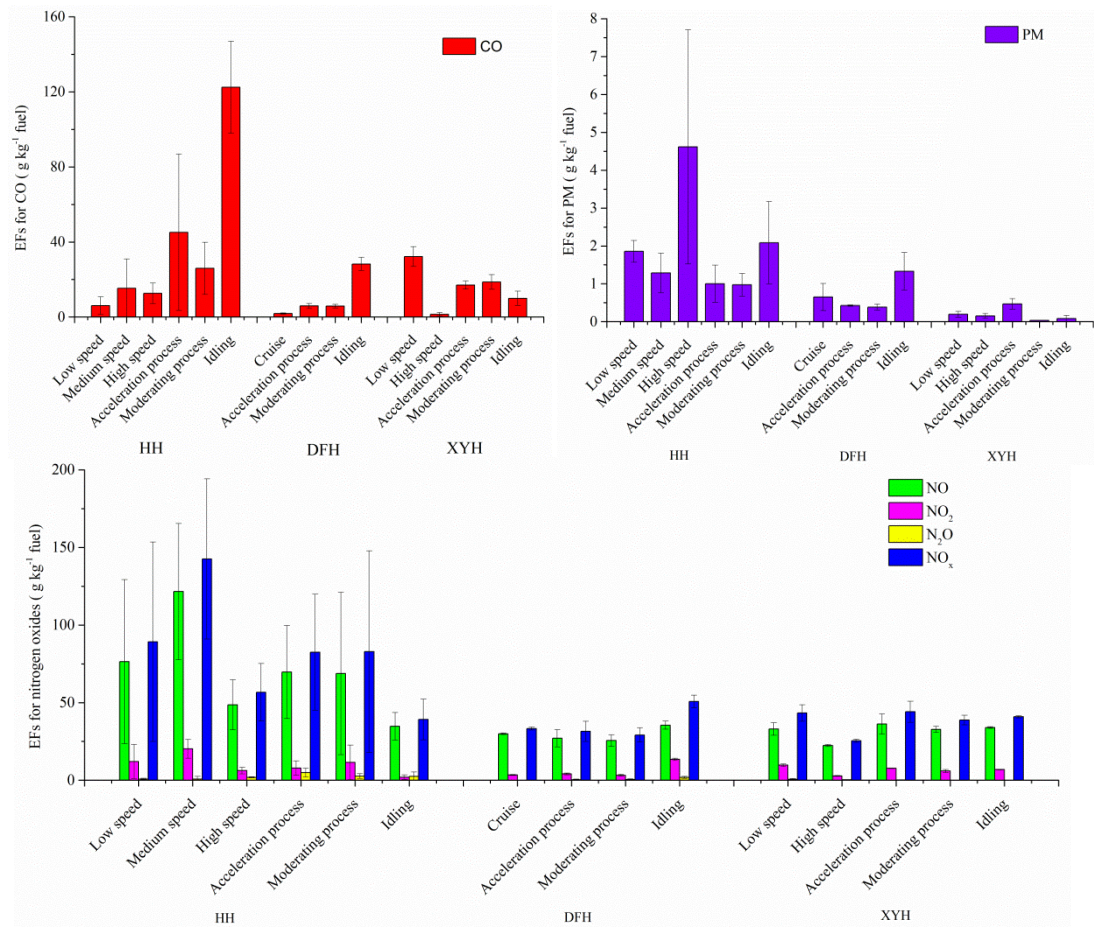


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4 Figure 1. On-board emissions test system and measured analytes.

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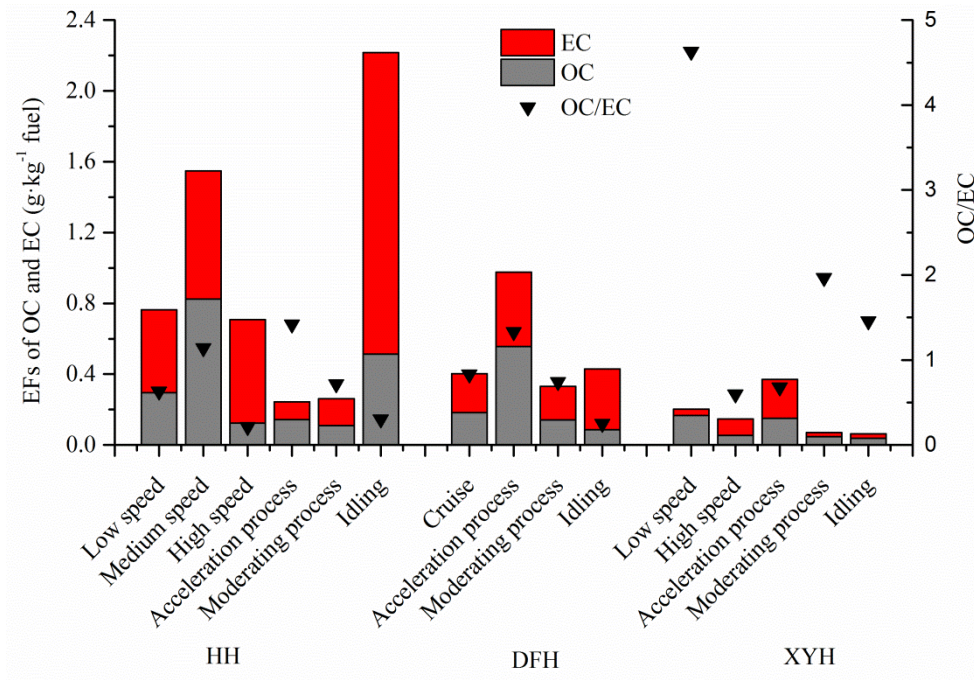


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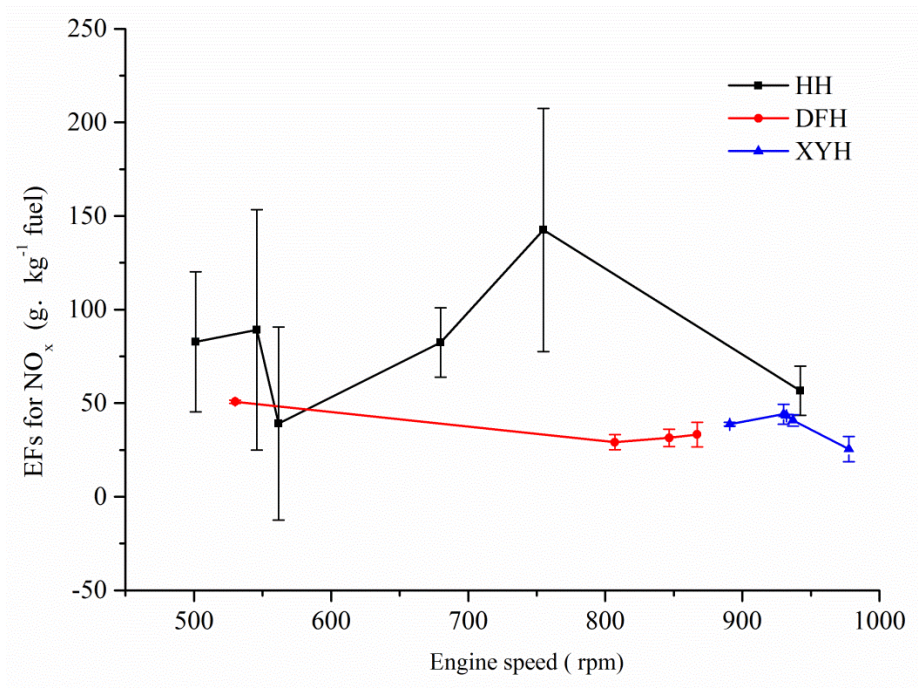
3 Figure 2. EFs for the typical pollutants in different operating modes

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Figure 3. EFs for OC and EC and the ratios between them



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Figure 4. Emissions factors for NO_x at different engine speeds