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**APPENDIX M TO PART 51—RECOMMENDED
TEST METHODS FOR STATE IMPLE-
MENTATION PLANS**

Method 201—Determination of PM₁₀ Emissions (Exhaust Gas Recycle Procedure).

Method 201A—Determination of PM₁₀ and PM_{2.5} Emissions From Stationary Sources (Constant Sampling Rate Procedure)

Method 202—Dry Impinger Method for Determining Condensable Particulate Emissions From Stationary Sources

Method 203A—Visual Determination of Opacity of Emissions from Stationary Sources for Time-Averaged Regulations.

Method 203B—Visual Determination of Opacity of Emissions from Stationary Sources for Time-Exception Regulations.

Method 203C—Visual Determination of Opacity of Emissions from Stationary Sources for Instantaneous Regulations.

Method 204—Criteria for and Verification of a Permanent or Temporary Total Enclosure.

Method 204A—Volatile Organic Compounds Content in Liquid Input Stream.

Method 204B—Volatile Organic Compounds Emissions in Captured Stream.

Method 204C—Volatile Organic Compounds Emissions in Captured Stream (Dilution Technique).

Method 204D—Volatile Organic Compounds Emissions in Uncaptured Stream from Temporary Total Enclosure.

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Method 204F—Volatile Organic Compounds Content in Liquid Input Stream (Distillation Approach).

Method 205—Verification of Gas Dilution Systems for Field Instrument Calibrations

Method 207—Pre-Survey Procedure for Corn Wet-Milling Facility Emission Sources

1.0 Presented herein are recommended test methods for measuring air pollutant emanating from an emission source. They are provided for States to use in their plans to meet the requirements of subpart K—Source Surveillance.

2.0 The State may also choose to adopt other methods to meet the requirements of subpart K of this part, subject to the normal plan review process.

3.0 The State may also meet the requirements of subpart K of this part by adopting, again subject to the normal plan review process, any of the relevant methods in appendix A to 40 CFR part 60.

4.0 *Quality Assurance Procedures.* The performance testing shall include a test method performance audit (PA) during the performance test. The PAs consist of blind audit samples supplied by an accredited audit sample provider and analyzed during the performance test in order to provide a measure of test data bias. Gaseous audit samples are designed to audit the performance of the sampling system as well as the analytical system and must be collected by the sampling system during the compliance test just as the compliance samples are collected. If a liquid or solid audit sample is designed to audit the sampling system, it must also be collected by the sampling system during the compliance test. If multiple sampling systems or sampling trains are used during the compliance test for any of the test methods, the tester is only required to use one of the sampling systems per method to collect the audit sample. The audit sample must be analyzed by the same analyst using the same analytical reagents and analytical system and at the same time as the compliance samples. Retests are required when there is a failure to produce acceptable results for an audit sample. However, if the audit results do not affect the compliance or noncompliance status of the affected facility, the compliance authority may waive the reanalysis requirement, further audits, or retests and accept the results of the compliance test. Acceptance of the test results shall constitute a waiver of the reanalysis requirement, further audits, or retests. The compliance authority may also use the audit sample failure and the compliance test results as evidence to determine the compliance or noncompliance status of the affected facility. A blind audit sample is a sample whose value is known only to the sample provider and is not revealed to the tested facility until after it reports the measured value of the audit sample. For pollutants that exist in the gas phase at ambient temperature, the audit sample shall consist of an appropriate concentration of the pollutant in air or nitrogen that will be introduced into the sampling system of the test method at or near the same entry point as a sample from the emission source. If no gas phase audit samples are available, an acceptable alternative is a sample of the pollutant in the same matrix that would be produced when the sample is recovered from the sampling system as required by the test method. For samples that exist only in a liquid or solid form at ambient temperature, the audit sample shall consist of an appropriate concentration of the

pollutant in the same matrix that would be produced when the sample is recovered from the sampling system as required by the test method. An accredited audit sample provider (AASP) is an organization that has been accredited to prepare audit samples by an independent, third party accrediting body.

a. The source owner, operator, or representative of the tested facility shall obtain an audit sample, if commercially available, from an AASP for each test method used for regulatory compliance purposes. No audit samples are required for the following test methods: Methods 3A and 3C of appendix A-3 of part 60 of this chapter, Methods 6C, 7E, 9, and 10 of appendix A-4 of part 60, Methods 18 and 19 of appendix A-6 of part 60, Methods 20, 22, and 25A of appendix A-7 of part 60, Methods 30A and 30B of appendix A-8 of part 60, and Methods 303, 318, 320, and 321 of appendix A of part 63 of this chapter. If multiple sources at a single facility are tested during a compliance test event, only one audit sample is required for each method used during a compliance test. The compliance authority responsible for the compliance test may waive the requirement to include an audit sample if they believe that an audit sample is not necessary. "Commercially available" means that two or more independent AASPs have blind audit samples available for purchase. If the source owner, operator, or representative cannot find an audit sample for a specific method, the owner, operator, or representative shall consult the EPA Web site at the following URL, <http://www.epa.gov/ttn/emc>, to confirm whether there is a source that can supply an audit sample for that method. If the EPA Web site does not list an available audit sample at least 60 days prior to the beginning of the compliance test, the source owner, operator, or representative shall not be required to include an audit sample as part of the quality assurance program for the compliance test. When ordering an audit sample, the source owner, operator, or representative shall give the sample provider an estimate for the concentration of each pollutant that is emitted by the source or the estimated concentration of each pollutant based on the permitted level and the name, address, and phone number of the compliance authority. The source owner, operator, or representative shall report the results for the audit sample along with a summary of the emissions test results for the audited pollutant to the compliance authority and shall report the results of the audit sample to the AASP. The source owner, operator, or representative shall make both reports at the same time and in the same manner or shall report to the compliance authority first and then report to the AASP. If the method being audited is a method that allows the samples to be analyzed in the field, and the tester plans to analyze the samples in the field, the tester

may analyze the audit samples prior to collecting the emission samples provided a representative of the compliance authority is present at the testing site. The tester may request and the compliance authority may grant a waiver to the requirement that a representative of the compliance authority must be present at the testing site during the field analysis of an audit sample. The source owner, operator, or representative may report the results of the audit sample to the compliance authority and then report the results of the audit sample to the AASP prior to collecting any emission samples. The test protocol and final test report shall document whether an audit sample was ordered and utilized and the pass/fail results as applicable.

b. An AASP shall have and shall prepare, analyze, and report the true value of audit samples in accordance with a written technical criteria document that describes how audit samples will be prepared and distributed in a manner that will ensure the integrity of the audit sample program. An acceptable technical criteria document shall contain standard operating procedures for all of the following operations:

1. Preparing the sample;
2. Confirming the true concentration of the sample;
3. Defining the acceptance limits for the results from a well qualified tester. This procedure must use well established statistical methods to analyze historical results from well qualified testers. The acceptance limits shall be set so that there is 95 percent confidence that 90 percent of well qualified labs will produce future results that are within the acceptance limit range;
4. Providing the opportunity for the compliance authority to comment on the selected concentration level for an audit sample;
5. Distributing the sample to the user in a manner that guarantees that the true value of the sample is unknown to the user;
6. Recording the measured concentration reported by the user and determining if the measured value is within acceptable limits;
7. Report the results from each audit sample in a timely manner to the compliance authority and to the source owner, operator, or representative by the AASP. The AASP shall make both reports at the same time and in the same manner or shall report to the compliance authority first and then report to the source owner, operator, or representative. The results shall include the name of the facility tested, the date on which the compliance test was conducted, the name of the company performing the sample collection, the name of the company that analyzed the compliance samples including the audit sample, the measured result for the audit sample, and whether the testing company passed or failed the audit. The AASP shall report

the true value of the audit sample to the compliance authority. The AASP may report the true value to the source owner, operator, or representative if the AASP's operating plan ensures that no laboratory will receive the same audit sample twice.

8. Evaluating the acceptance limits of samples at least once every two years to determine in consultation with the voluntary consensus standard body if they should be changed;

9. Maintaining a database, accessible to the compliance authorities, of results from the audit that shall include the name of the facility tested, the date on which the compliance test was conducted, the name of the company performing the sample collection, the name of the company that analyzed the compliance samples including the audit sample, the measured result for the audit sample, the true value of the audit sample, the acceptance range for the measured value, and whether the testing company passed or failed the audit.

c. The accrediting body shall have a written technical criteria document that describes how it will ensure that the AASP is operating in accordance with the AASP technical criteria document that describes how audit samples are to be prepared and distributed. This document shall contain standard operating procedures for all of the following operations:

1. Checking audit samples to confirm their true value as reported by the AASP;

2. Performing technical systems audits of the AASP's facilities and operating procedures at least once every 2 years.

3. Providing standards for use by the voluntary consensus standard body to approve the accrediting body that will accredit the audit sample providers.

d. The technical criteria documents for the accredited sample providers and the accrediting body shall be developed through a public process guided by a voluntary consensus standards body (VCSB). The VCSB shall operate in accordance with the procedures and requirements in the Office of Management and Budget *Circular A-119*. A copy of *Circular A-119* is available upon request by writing the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW., Washington, DC 20503, by calling (202) 395-6880 or by downloading online at http://standards.gov/standards_gov/a119.cfm. The VCSB shall approve all accrediting bodies. The Administrator will review all technical criteria documents. If the technical criteria documents do not meet the minimum technical requirements in this Appendix M, paragraphs b. through d., the technical criteria documents are not acceptable and the proposed audit sample program is not capable of producing audit samples of sufficient quality to be used in a compliance test. All acceptable technical criteria docu-

ments shall be posted on the EPA Web site at the following URL, <http://www.epa.gov/ttn/emc>.

METHOD 201—DETERMINATION OF PM₁₀ EMISSIONS

(EXHAUST GAS RECYCLE PROCEDURE)

1. Applicability and Principle

1.1 Applicability. This method applies to the in-stack measurement of particulate matter (PM) emissions equal to or less than an aerodynamic diameter of nominally 10 μm (PM₁₀) from stationary sources. The EPA recognizes that condensible emissions not collected by an in-stack method are also PM₁₀, and that emissions that contribute to ambient PM₁₀ levels are the sum of condensible emissions and emissions measured by an in-stack PM₁₀ method, such as this method or Method 201A. Therefore, for establishing source contributions to ambient levels of PM₁₀, such as for emission inventory purposes, EPA suggests that source PM₁₀ measurement include both in-stack PM₁₀ and condensible emissions. Condensible emissions may be measured by an impinger analysis in combination with this method.

1.2 Principle. A gas sample is isokinetically extracted from the source. An in-stack cyclone is used to separate PM greater than PM₁₀, and an in-stack glass fiber filter is used to collect the PM₁₀. To maintain isokinetic flow rate conditions at the tip of the probe and a constant flow rate through the cyclone, a clean, dried portion of the sample gas at stack temperature is recycled into the nozzle. The particulate mass is determined gravimetrically after removal of uncombined water.

2. Apparatus

NOTE: Method 5 as cited in this method refers to the method in 40 CFR part 60, appendix A.

2.1 Sampling Train. A schematic of the exhaust of the exhaust gas recycle (EGR) train is shown in Figure 1 of this method.

2.1.1 Nozzle with Recycle Attachment. Stainless steel (316 or equivalent) with a sharp tapered leading edge, and recycle attachment welded directly on the side of the nozzle (see schematic in Figure 2 of this method). The angle of the taper shall be on the outside. Use only straight sampling nozzles. "Gooseneck" or other nozzle extensions designed to turn the sample gas flow 90°, as in Method 5 are not acceptable. Locate a thermocouple in the recycle attachment to measure the temperature of the recycle gas as shown in Figure 3 of this method. The recycle attachment shall be made of stainless steel and shall be connected to the probe and nozzle with stainless steel fittings. Two nozzle sizes, e.g., 0.125 and 0.160 in., should be available to allow isokinetic sampling to be

conducted over a range of flow rates. Calibrate each nozzle as described in Method 5, Section 5.1.

2.1.2 PM₁₀ Sizer. Cyclone, meeting the specifications in Section 5.7 of this method.

2.1.3 Filter Holder. 63mm, stainless steel. An Andersen filter, part number SE274, has been found to be acceptable for the in-stack filter.

NOTE: Mention of trade names or specific products does not constitute endorsement by the Environmental Protection Agency.

2.1.4 Pitot Tube. Same as in Method 5, Section 2.1.3. Attach the pitot to the pitot lines with stainless steel fittings and to the cyclone in a configuration similar to that shown in Figure 3 of this method. The pitot lines shall be made of heat resistant material and attached to the probe with stainless steel fittings.

2.1.5 EGR Probe. Stainless steel, 15.9-mm ($\frac{5}{8}$ -in.) ID tubing with a probe liner, stainless steel 9.53-mm ($\frac{3}{8}$ -in.) ID stainless steel recycle tubing, two 6.35-mm ($\frac{1}{4}$ -in.) ID stainless steel tubing for the pitot tube extensions, three thermocouple leads, and one power lead, all contained by stainless steel tubing with a diameter of approximately 51 mm (2.0 in.). Design considerations should include minimum weight construction materials sufficient for probe structural strength. Wrap the sample and recycle tubes with a heating tape to heat the sample and recycle gases to stack temperature.

2.1.6 Condenser. Same as in Method 5, Section 2.1.7.

2.1.7 Umbilical Connector. Flexible tubing with thermocouple and power leads of sufficient length to connect probe to meter and flow control console.

2.1.8 Vacuum Pump. Leak-tight, oil-less, noncontaminating, with an absolute filter, "HEPA" type, at the pump exit. A Gast Model 0522-V103 G18DX pump has been found to be satisfactory.

2.1.9 Meter and Flow Control Console. System consisting of a dry gas meter and calibrated orifice for measuring sample flow rate and capable of measuring volume to ± 2 percent, calibrated laminar flow elements (LFE's) or equivalent for measuring total and sample flow rates, probe heater control, and manometers and magnehelic gauges (as shown in Figures 4 and 5 of this method), or equivalent. Temperatures needed for calculations include stack, recycle, probe, dry gas meter, filter, and total flow. Flow measurements include velocity head (Δp), orifice differential pressure (ΔH), total flow, recycle flow, and total back-pressure through the system.

2.1.10 Barometer. Same as in Method 5, Section 2.1.9.

2.1.11 Rubber Tubing. 6.35-mm ($\frac{1}{4}$ -in.) ID flexible rubber tubing.

2.2 Sample Recovery.

2.2.1 Nozzle, Cyclone, and Filter Holder Brushes. Nylon bristle brushes property sized and shaped for cleaning the nozzle, cyclone, filter holder, and probe or probe liner, with stainless steel wire shafts and handles.

2.2.2 Wash Bottles, Glass Sample Storage Containers, Petri Dishes, Graduated Cylinder and Balance, Plastic Storage Containers, and Funnels. Same as Method 5, Sections 2.2.2 through 2.2.6 and 2.2.8, respectively.

2.3 Analysis. Same as in Method 5, Section 2.3.

3. Reagents

The reagents used in sampling, sample recovery, and analysis are the same as that specified in Method 5, Sections 3.1, 3.2, and 3.3, respectively.

4. Procedure

4.1 Sampling. The complexity of this method is such that, in order to obtain reliable results, testers should be trained and experienced with the test procedures.

4.1.1 Pretest Preparation. Same as in Method 5, Section 4.1.1.

4.1.2 Preliminary Determinations. Same as Method 5, Section 4.1.2, except use the directions on nozzle size selection in this section. Use of the EGR method may require a minimum sampling port diameter of 0.2 m (6 in.). Also, the required maximum number of sample traverse points at any location shall be 12.

4.1.2.1 The cyclone and filter holder must be in-stack or at stack temperature during sampling. The blockage effects of the EGR sampling assembly will be minimal if the cross-sectional area of the sampling assembly is 3 percent or less of the cross-sectional area of the duct and a pitot coefficient of 0.84 may be assigned to the pitot. If the cross-sectional area of the assembly is greater than 3 percent of the cross-sectional area of the duct, then either determine the pitot coefficient at sampling conditions or use a standard pitot with a known coefficient in a configuration with the EGR sampling assembly such that flow disturbances are minimized.

4.1.2.2 Construct a setup of pressure drops for various Δp 's and temperatures. A computer is useful for these calculations. An example of the output of the EGR setup program is shown in Figure 6 of this method, and directions on its use are in section 4.1.5.2 of this method. Computer programs, written in IBM BASIC computer language, to do these types of setup and reduction calculations for the EGR procedure, are available through the National Technical Information Services (NTIS), Accession number PB90-500000, 5285 Port Royal Road, Springfield, VA 22161.

4.1.2.3 The EGR setup program allows the tester to select the nozzle size based on anticipated average stack conditions and prints a setup sheet for field use. The amount of recycle through the nozzle should be between 10 and 80 percent. Inputs for the EGR setup program are stack temperature (minimum, maximum, and average), stack velocity (minimum, maximum, and average), atmospheric pressure, stack static pressure, meter box temperature, stack moisture, percent O₂, and percent CO₂ in the stack gas, pitot coefficient (C_p), orifice Δ H₂, flow rate measurement calibration values [slope (m) and y-intercept (b) of the calibration curve], and the number of nozzles available and their diameters.

4.1.2.4 A less rigorous calculation for the setup sheet can be done manually using the equations on the example worksheets in Figures 7, 8, and 9 of this method, or by a Hewlett-Packard HP41 calculator using the program provided in appendix D of the EGR operators manual, entitled *Applications Guide for Source PM₁₀ Exhaust Gas Recycle Sampling System*. This calculation uses an approximation of the total flow rate and agrees within 1 percent of the exact solution for pressure drops at stack temperatures from 38 to 260 °C (100 to 500 °F) and stack moisture up to 50 percent. Also, the example worksheets use a constant stack temperature in the calculation, ignoring the complicated temperature dependence from all three pressure drop equations. Errors for this at stack temperatures ±28 °C (±50 °F) of the temperature used in the setup calculations are within 5 percent for flow rate and within 5 percent for cyclone cut size.

4.1.2.5 The pressure upstream of the LFE's is assumed to be constant at 0.6 in. Hg in the EGR setup calculations.

4.1.2.6 The setup sheet constructed using this procedure shall be similar to Figure 6 of this method. Inputs needed for the calculation are the same as for the setup computer except that stack velocities are not needed.

4.1.3 Preparation of Collection Train. Same as in Method 5, Section 4.1.3, except use the following directions to set up the train.

4.1.3.1 Assemble the EGR sampling device, and attach it to probe as shown in Figure 3 of this method. If stack temperatures exceed 260 °C (500 °F), then assemble the EGR cyclone without the O-ring and reduce the vacuum requirement to 130 mm Hg (5.0 in. Hg) in the leak-check procedure in Section 4.1.4.3.2 of this method.

4.1.3.2 Connect the probe directly to the filter holder and condenser as in Method 5. Connect the condenser and probe to the meter and flow control console with the umbilical connector. Plug in the pump and attach pump lines to the meter and flow control console.

4.1.4 Leak-Check Procedure. The leak-check for the EGR Method consists of two

parts: the sample-side and the recycle-side. The sample-side leak-check is required at the beginning of the run with the cyclone attached, and after the run with the cyclone removed. The cyclone is removed before the post-test leak-check to prevent any disturbance of the collected sample prior to analysis. The recycle-side leak-check tests the leak tight integrity of the recycle components and is required prior to the first test run and after each shipment.

4.1.4.1 Pretest Leak-Check. A pretest leak-check of the entire sample-side, including the cyclone and nozzle, is required. Use the leak-check procedure in Section 4.1.4.3 of this method to conduct a pretest leak-check.

4.1.4.2 Leak-Checks During Sample Run. Same as in Method 5, Section 4.1.4.1.

4.1.4.3 Post-Test Leak-Check. A leak-check is required at the conclusion of each sampling run. Remove the cyclone before the leak-check to prevent the vacuum created by the cooling of the probe from disturbing the collected sample and use the following procedure to conduct a post-test leak-check.

4.1.4.3.1 The sample-side leak-check is performed as follows: After removing the cyclone, seal the probe with a leak-tight stopper. Before starting pump, close the coarse total valve and both recycle valves, and open completely the sample back pressure valve and the fine total valve. After turning the pump on, partially open the coarse total valve slowly to prevent a surge in the manometer. Adjust the vacuum to at least 381 mm Hg (15.0 in. Hg) with the fine total valve. If the desired vacuum is exceeded, either leak-check at this higher vacuum or end the leak-check as shown below and start over.

CAUTION: Do not decrease the vacuum with any of the valves. This may cause a rupture of the filter.

NOTE: A lower vacuum may be used, provided that it is not exceeded during the test.

4.1.4.3.2 Leak rates in excess of 0.00057 m³/min (0.020 ft³/min) are unacceptable. If the leak rate is too high, void the sampling run.

4.1.4.3.3 To complete the leak-check, slowly remove the stopper from the nozzle until the vacuum is near zero, then immediately turn off the pump. This procedure sequence prevents a pressure surge in the manometer fluid and rupture of the filter.

4.1.4.3.4 The recycle-side leak-check is performed as follows: Close the coarse and fine total valves and sample back pressure valve. Plug the sample inlet at the meter box. Turn on the power and the pump, close the recycle valves, and open the total flow valves. Adjust the total flow fine adjust valve until a vacuum of 25 inches of mercury is achieved. If the desired vacuum is exceeded, either leak-check at this higher vacuum, or end the

leak-check and start over. Minimum acceptable leak rates are the same as for the sample-side. If the leak rate is too high, void the sampling run.

4.1.5 EGR Train Operation. Same as in Method 5, Section 4.1.5, except omit references to nomographs and recommendations about changing the filter assembly during a run.

4.1.5.1 Record the data required on a data sheet such as the one shown in Figure 10 of this method. Make periodic checks of the manometer level and zero to ensure correct ΔH and Δp values. An acceptable procedure for checking the zero is to equalize the pressure at both ends of the manometer by pulling off the tubing, allowing the fluid to equilibrate and, if necessary, to re-zero. Maintain the probe temperature to within 11 °C (20 °F) of stack temperature.

4.1.5.2 The procedure for using the example EGR setup sheet is as follows: Obtain a stack velocity reading from the pitot manometer (Δp), and find this value on the ordinate axis of the setup sheet. Find the stack temperature on the abscissa. Where these two values intersect are the differential pressures necessary to achieve isokineticity and 10 μm cut size (interpolation may be necessary).

4.1.5.3 The top three numbers are differential pressures (in. H_2O), and the bottom number is the percent recycle at these flow settings. Adjust the total flow rate valves, coarse and fine, to the sample value (ΔH) on the setup sheet, and the recycle flow rate valves, coarse and fine, to the recycle flow on the setup sheet.

4.1.5.4 For startup of the EGR sample train, the following procedure is recommended. Preheat the cyclone in the stack for 30 minutes. Close both the sample and recycle coarse valves. Open the fine total, fine recycle, and sample back pressure valves halfway. Ensure that the nozzle is properly aligned with the sample stream. After noting the Δp and stack temperature, select the appropriate ΔH and recycle from the EGR setup sheet. Start the pump and timing device simultaneously. Immediately open both the coarse total and the coarse recycle valves slowly to obtain the approximate desired values. Adjust both the fine total and the fine recycle valves to achieve more precisely the desired values. In the EGR flow system, adjustment of either valve will result in a change in both total and recycle flow rates, and a slight iteration between the total and recycle valves may be necessary. Because the sample back pressure valve controls the total flow rate through the system, it may be necessary to adjust this valve in order to obtain the correct flow rate.

NOTE: Isokinetic sampling and proper operation of the cyclone are not achieved unless the correct ΔH and recycle flow rates are maintained.

4.1.5.5 During the test run, monitor the probe and filter temperatures periodically, and make adjustments as necessary to maintain the desired temperatures. If the sample loading is high, the filter may begin to blind or the cyclone may clog. The filter or the cyclone may be replaced during the sample run. Before changing the filter or cyclone, conduct a leak-check (Section 4.1.4.2 of this method). The total particulate mass shall be the sum of all cyclone and the filter catch during the run. Monitor stack temperature and Δp periodically, and make the necessary adjustments in sampling and recycle flow rates to maintain isokinetic sampling and the proper flow rate through the cyclone. At the end of the run, turn off the pump, close the coarse total valve, and record the final dry gas meter reading. Remove the probe from the stack, and conduct a post-test leak-check as outlined in Section 4.1.4.3 of this method.

4.2 Sample Recovery. Allow the probe to cool. When the probe can be safely handled, wipe off all external PM adhering to the outside of the nozzle, cyclone, and nozzle attachment, and place a cap over the nozzle to prevent losing or gaining PM. Do not cap the nozzle tip tightly while the sampling train is cooling, as this action would create a vacuum in the filter holder. Disconnect the probe from the umbilical connector, and take the probe to the cleanup site. Sample recovery should be conducted in a dry indoor area or, if outside, in an area protected from wind and free of dust. Cap the ends of the impingers and carry them to the cleanup site. Inspect the components of the train prior to and during disassembly to note any abnormal conditions. Disconnect the pitot from the cyclone. Remove the cyclone from the probe. Recover the sample as follows:

4.2.1 *Container Number 1* (Filter). The recovery shall be the same as that for Container Number 1 in Method 5, Section 4.2.

4.2.2 *Container Number 2* (Cyclone or Large PM Catch). The cyclone must be disassembled and the nozzle removed in order to recover the large PM catch. Quantitatively recover the PM from the interior surfaces of the nozzle and the cyclone, excluding the "turn around" cup and the interior surfaces of the exit tube. The recovery shall be the same as that for Container Number 2 in Method 5, Section 4.2.

4.2.3 *Container Number 3* (PM_{10}). Quantitatively recover the PM from all of the surfaces from cyclone exit to the front half of the in-stack filter holder, including the "turn around" cup and the interior of the exit tube. The recovery shall be the same as that for Container Number 2 in Method 5, Section 4.2.

4.2.4 *Container Number 4* (Silica Gel). Same as that for Container Number 3 in Method 5, Section 4.2.

4.2.5 *Impinger Water*. Same as in Method 5, Section 4.2, under "Impinger Water."

4.3 *Analysis*. Same as in Method 5, Section 4.3, except handle EGR Container Numbers 1 and 2 like Container Number 1 in Method 5, EGR Container Numbers 3, 4, and 5 like Container Number 3 in Method 5, and EGR Container Number 6 like Container Number 3 in Method 5. Use Figure 11 of this method to record the weights of PM collected.

4.4 *Quality Control Procedures*. Same as in Method 5, Section 4.4.

4.5 *PM₁₀ Emission Calculation and Acceptability of Results*. Use the EGR reduction program or the procedures in section 6 of this method to calculate PM₁₀ emissions and the criteria in section 6.7 of this method to determine the acceptability of the results.

5. Calibration

Maintain an accurate laboratory log of all calibrations.

5.1 *Probe Nozzle*. Same as in Method 5, Section 5.1.

5.2 *Pitot Tube*. Same as in Method 5, Section 5.2.

5.3 *Meter and Flow Control Console*.

5.3.1 *Dry Gas Meter*. Same as in Method 5, Section 5.3.

5.3.2 *LFE Gauges*. Calibrate the recycle, total, and inlet total LFE gauges with a manometer. Read and record flow rates at 10, 50, and 90 percent of full scale on the total and recycle pressure gauges. Read and record flow rates at 10, 20, and 30 percent of full scale on the inlet total LFE pressure gauge. Record the total and recycle readings to the nearest 0.3 mm (0.01 in.). Record the inlet total LFE readings to the nearest 3 mm (0.1 in.). Make three separate measurements at each setting and calculate the average. The maximum difference between the average pressure reading and the average manometer reading shall not exceed 1 mm (0.05 in.). If the differences exceed the limit specified, adjust or replace the pressure gauge. After each field use, check the calibration of the pressure gauges.

5.3.3 *Total LFE*. Same as the metering system in Method 5, Section 5.3.

5.3.4 *Recycle LFE*. Same as the metering system in Method 5, Section 5.3, except completely close both the coarse and fine recycle valves.

5.4 *Probe Heater*. Connect the probe to the meter and flow control console with the umbilical connector. Insert a thermocouple into the probe sample line approximately half the length of the probe sample line. Calibrate the probe heater at 66 °C (150 °F), 121 °C (250 °F), and 177 °C (350 °F). Turn on the power, and set the probe heater to the specified temperature. Allow the heater to equilibrate, and record the thermocouple temperature and the meter and flow control console temperature to the nearest 0.5 °C (1 °F). The two temperatures should agree within 5.5 °C

(10 °F). If this agreement is not met, adjust or replace the probe heater controller.

5.5 *Temperature Gauges*. Connect all thermocouples, and let the meter and flow control console equilibrate to ambient temperature. All thermocouples shall agree to within 1.1 °C (2.0 °F) with a standard mercury-in-glass thermometer. Replace defective thermocouples.

5.6 *Barometer*. Calibrate against a standard mercury-in-glass barometer.

5.7 *Probe Cyclone and Nozzle Combinations*. The probe cyclone and nozzle combinations need not be calibrated if the cyclone meets the design specifications in Figure 12 of this method and the nozzle meets the design specifications in appendix B of the *Application Guide for the Source PM_{3.0} Exhaust Gas Recycle Sampling System*, EPA/600/3-88-058. This document may be obtained from Roy Huntley at (919) 541-1060. If the nozzles do not meet the design specifications, then test the cyclone and nozzle combination for conformity with the performance specifications (PS's) in Table 1 of this method. The purpose of the PS tests is to determine if the cyclone's sharpness of cut meets minimum performance criteria. If the cyclone does not meet design specifications, then, in addition to the cyclone and nozzle combination conforming to the PS's, calibrate the cyclone and determine the relationship between flow rate, gas viscosity, and gas density. Use the procedures in Section 5.7.5 of this method to conduct PS tests and the procedures in Section 5.8 of this method to calibrate the cyclone. Conduct the PS tests in a wind tunnel described in Section 5.7.1 of this method and using a particle generation system described in Section 5.7.2 of this method. Use five particle sizes and three wind velocities as listed in Table 2 of this method. Perform a minimum of three replicate measurements of collection efficiency for each of the 15 conditions listed, for a minimum of 45 measurements.

5.7.1 *Wind Tunnel*. Perform calibration and PS tests in a wind tunnel (or equivalent test apparatus) capable of establishing and maintaining the required gas stream velocities within 10 percent.

5.7.2 *Particle Generation System*. The particle generation system shall be capable of producing solid monodispersed dye particles with the mass median aerodynamic diameters specified in Table 2 of this method. The particle size distribution verification should be performed on an integrated sample obtained during the sampling period of each test. An acceptable alternative is to verify the size distribution of samples obtained before and after each test, with both samples required to meet the diameter and monodispersity requirements for an acceptable test run.

5.7.2.1 *Establish the size of the solid dye particles delivered to the test section of the*

wind tunnel using the operating parameters of the particle generation system, and verify the size during the tests by microscopic examination of samples of the particles collected on a membrane filter. The particle size, as established by the operating parameters of the generation system, shall be within the tolerance specified in Table 2 of this method. The precision of the particle size verification technique shall be at least ± 0.5 μm , and the particle size determined by the verification technique shall not differ by more than 10 percent from that established by the operating parameters of the particle generation system.

5.7.2.2 Certify the monodispersity of the particles for each test either by microscopic inspection of collected particles on filters or by other suitable monitoring techniques such as an optical particle counter followed by a multichannel pulse height analyzer. If the proportion of multiplets and satellites in an aerosol exceeds 10 percent by mass, the particle generation system is unacceptable for purposes of this test. Multiplets are particles that are agglomerated, and satellites are particles that are smaller than the specified size range.

5.7.3 Schematic Drawings. Schematic drawings of the wind tunnel and blower system and other information showing complete procedural details of the test atmosphere generation, verification, and delivery techniques shall be furnished with calibration data to the reviewing agency.

5.7.4 Flow Rate Measurement. Determine the cyclone flow rates with a dry gas meter and a stopwatch, or a calibrated orifice sys-

tem capable of measuring flow rates to within 2 percent.

5.7.5 Performance Specification Procedure. Establish the test particle generator operation and verify the particle size microscopically. If monodispersity is to be verified by measurements at the beginning and the end of the run rather than by an integrated sample, these measurements may be made at this time.

5.7.5.1 The cyclone cut size (D_{50}) is defined as the aerodynamic diameter of a particle having a 50 percent probability of penetration. Determine the required cyclone flow rate at which D_{50} is 10 μm . A suggested procedure is to vary the cyclone flow rate while keeping a constant particle size of 10 μm . Measure the PM collected in the cyclone (m_c), exit tube (m_t), and filter (m_f). Compute the cyclone efficiency (E_c) as follows:

$$E_c = \frac{m_c}{(m_c + m_t + m_f)} \times 100$$

5.7.5.2 Perform three replicates and calculate the average cyclone efficiency as follows:

$$E_{\text{avg}} = \frac{(E_1 + E_2 + E_3)}{3}$$

where E_1 , E_2 , and E_3 are replicate measurements of E_c .

5.7.5.3 Calculate the standard deviation (σ) for the replicate measurements of E_c as follows:

$$\sigma = \left[\frac{(E_1^2 + E_2^2 + E_3^2) - \frac{(E_1 + E_2 + E_3)^2}{3}}{2} \right]^{\frac{1}{2}}$$

if σ exceeds 0.10, repeat the replicate runs.

5.7.5.4 Using the cyclone flow rate that produces D_{50} for 10 μm , measure the overall efficiency of the cyclone and nozzle, E_o , at the particle sizes and nominal gas velocities in Table 2 of this method using this following procedure.

5.7.5.5 Set the air velocity in the wind tunnel to one of the nominal gas velocities from Table 2 of this method. Establish isokinetic sampling conditions and the correct flow rate through the sampler (cyclone and nozzle) using recycle capacity so that the D_{50} is 10 μm . Sample long enough to ob-

tain ± 5 percent precision on the total collected mass as determined by the precision and the sensitivity of the measuring technique. Determine separately the nozzle catch (m_n), cyclone catch (m_c), cyclone exit tube catch (m_t), and collection filter catch (m_f).

5.7.5.6 Calculate the overall efficiency (E_o) as follows:

$$E_o = \frac{(m_n + m_c)}{(m_n + m_c + m_t + m_f)} \times 100$$

5.7.5.7 Do three replicates for each combination of gas velocities and particle sizes in Table 2 of this method. Calculate E_o for each particle size following the procedures described in this section for determining efficiency. Calculate the standard deviation (σ) for the replicate measurements. If σ exceeds 0.10, repeat the replicate runs.

5.7.6 Criteria for Acceptance. For each of the three gas stream velocities, plot the average E_o as a function of particle size on Figure 13 of this method. Draw a smooth curve for each velocity through all particle sizes. The curve shall be within the banded region for all sizes, and the average E_c for a D_{50} for 10 μm shall be 50 \pm 0.5 percent.

5.8 Cyclone Calibration Procedure. The purpose of this section is to develop the relationship between flow rate, gas viscosity, gas density, and D_{50} . This procedure only needs to be done on those cyclones that do not meet the design specifications in Figure 12 of this method.

5.8.1 Calculate cyclone flow rate. Determine the flow rates and D_{50} 's for three different particle sizes between 5 μm and 15 μm , one of which shall be 10 μm . All sizes must be within 0.5 μm . For each size, use a different temperature within 60 °C (108 °F) of the temperature at which the cyclone is to be used and conduct triplicate runs. A suggested procedure is to keep the particle size constant and vary the flow rate. Some of the values

obtained in the PS tests in Section 5.7.5 may be used.

5.8.1.1 On log-log graph paper, plot the Reynolds number (Re) on the abscissa, and the square root of the Stokes 50 number $[(\text{Stk}_{50})^{1/2}]$ on the ordinate for each temperature. Use the following equations:

$$\text{Re} = \frac{4\rho Q_{\text{cyc}}}{d_{\text{cyc}} \pi \mu_{\text{cyc}}}$$

$$(\text{Stk}_{50})^{1/2} = \left[\frac{4Q_{\text{cyc}} (D_{50})^2}{9\pi \mu_{\text{cyc}} (d_{\text{cyc}})^3} \right]^{1/2}$$

where:

Q_{cyc} = Cyclone flow rate cm³/sec.

ρ = Gas density, g/cm³.

d_{cyc} = Diameter of cyclone inlet, cm.

μ_{cyc} = Viscosity of gas through the cyclone, poise.

D_{50} = Cyclone cut size, cm.

5.8.1.2 Use a linear regression analysis to determine the slope (m), and the y-intercept (b). Use the following formula to determine Q, the cyclone flow rate required for a cut size of 10 μm .

$$Q = \frac{\pi \mu_{\text{cyc}}}{4} \left[(3000)(K_1)^b \right] - (0.5 - m) \left[\frac{T_s}{M_c P_s} \right] m / (m - 0.5)^{(m-1.5)/(m-0.5)}$$

where:

Q = Cyclone flow rate for a cut size of 10 μm , cm³/sec.

T_s = Stack gas temperature, °K,

d = Diameter of nozzle, cm.

$K_1 = 4.077 \times 10^{-3}$.

5.8.2. Directions for Using Q. Refer to Section 5 of the EGR operators manual for directions in using this expression for Q in the setup calculations.

6. Calculations

6.1 The EGR data reduction calculations are performed by the EGR reduction computer program, which is written in IBM BASIC computer language and is available through NTIS, Accession number PB90-500000, 5285 Port Royal Road, Springfield, Virginia 22161. Examples of program inputs and outputs are shown in Figure 14 of this method.

6.1.1 Calculations can also be done manually, as specified in Method 5, Sections 6.3

through 6.7, and 6.9 through 6.12, with the addition of the following:

6.1.2 Nomenclature.

B_c = Moisture fraction of mixed cyclone gas, by volume, dimensionless.

C_1 = Viscosity constant, 51.12 micropoise for °K (51.05 micropoise for °R).

C_2 = Viscosity constant, 0.372 micropoise/°K (0.207 micropoise/°R).

C_3 = Viscosity constant, 1.05×10^{-4} micropoise/°K² (3.24×10^{-5} micropoise/°R²).

C_4 = Viscosity constant, 53.147 micropoise/fraction O₂.

C_5 = Viscosity constant, 74.143 micropoise/fraction H₂O.

D_{50} = Diameter of particles having a 50 percent probability of penetration, μm .

f_{O_2} = Stack gas fraction O₂ by volume, dry basis.

$K_1 = 0.3858$ °K/mm Hg (17.64 °R/in. Hg).

M_c = Wet molecular weight of mixed gas through the PM₁₀ cyclone, g/g-mole (lb/lb-mole).

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M_d = Dry molecular weight of stack gas, g/g-mole (lb/lb-mole).
 P_{bar} = Barometer pressure at sampling site, mm Hg (in. Hg).
 P_{in1} = Gauge pressure at inlet to total LFE, mm H₂O (in. H₂O).
 P_3 = Absolute stack pressure, mm Hg (in. Hg).
 Q_2 = Total cyclone flow rate at wet cyclone conditions, m³/min (ft³/min).
 $Q_{s(std)}$ = Total cyclone flow rate at standard conditions, dscm/min (dscf/min).
 T_m = Average temperature of dry gas meter, °K (°R).
 T_s = Average stack gas temperature, °K (°R).
 $V_{w(std)}$ = Volume of water vapor in gas sample (standard conditions), scm (scf).
 X_T = Total LFE linear calibration constant, m³/[(min)(mm H₂O)] { ft³/[(min)(in. H₂O)]}.
 Y_T = Total LFE linear calibration constant, dscm/min (dscf/min).
 ΔP_T = Pressure differential across total LFE, mm H₂O, (in. H₂O).

θ = Total sampling time, min.
 μ_{cyc} = Viscosity of mixed cyclone gas, micropoise.
 μ_{LFE} = Viscosity of gas laminar flow elements, micropoise.
 μ_{std} = Viscosity of standard air, 180.1 micropoise.
6.2 PM₁₀ Particulate Weight. Determine the weight of PM₁₀ by summing the weights obtained from Container Numbers 1 and 3, less the acetone blank.
6.3 Total Particulate Weight. Determine the particulate catch for PM greater than PM₁₀ from the weight obtained from Container Number 2 less the acetone blank, and add it to the PM₁₀ particulate weight.
6.4 PM₁₀ Fraction. Determine the PM₁₀ fraction of the total particulate weight by dividing the PM₁₀ particulate weight by the total particulate weight.
6.5 Total Cyclone Flow Rate. The average flow rate at standard conditions is determined from the average pressure drop across the total LFE and is calculated as follows:

$$Q_{s(std)} = K_1 \left[X_T \Delta P \frac{\mu_{std}}{\mu_{LFE}} + Y_T \right] \frac{P_{bar} + P_{in1}/13.6}{T_m}$$

The flow rate, at actual cyclone conditions, is calculated as follows:

$$Q_s = \frac{T_s}{K_1 P_s} \left[Q_{s(std)} + \frac{V_{w(std)}}{\theta} \right]$$

The flow rate, at actual cyclone conditions, is calculated as follows:

$$Q_s = \frac{T_s}{K_1 P_s} \left[Q_{s(std)} + \frac{V_{w(std)}}{\theta} \right]$$

6.6 Aerodynamic Cut Size. Use the following procedure to determine the aerodynamic cut size (D_{50}).

6.6.1 Determine the water fraction of the mixed gas through the cyclone by using the equation below.

$$B_c = \frac{V_{w(std)}}{Q_{s(std)} \theta + V_{w(std)}}$$

6.6.2 Calculate the cyclone gas viscosity as follows:

$$\mu_{cyc} = C_1 + C_2 T_s + C_3 T_s^2 + C_4 f_{02} - C_5 B_c$$

6.6.3 Calculate the molecular weight on a wet basis of the cyclone gas as follows:

$$M_c = M_d(1 - B_c) + 18.0(B_c)$$

6.6.4 If the cyclone meets the design specification in Figure 12 of this method, calculate the actual D_{50} of the cyclone for the run as follows:

$$D_{50} = \beta_1 \left[\frac{T_s}{M_c P_s} \right] \frac{0.2.091}{\left[\frac{\mu_{cyc}}{Q_s} \right]} \frac{0.7091}{\left[\frac{\mu_{cyc}}{Q_s} \right]}$$

where $\beta_1 = 0.1562$.

6.6.5 If the cyclone does not meet the design specifications in Figure 12 of this meth-

od, then use the following equation to calculate D_{50} .

$$D_{50} = (3) (10)^b \left(7.376 \times 10^{-4}\right)^m \left[\frac{M_c P_s}{T_s} \right] \left[\frac{4 Q_s}{\pi \mu_{cyc}} \right] d^{(1.5-m)}$$

where:

m = Slope of the calibration curve obtained in Section 5.8.2.

b = y-intercept of the calibration curve obtained in Section 5.8.2.

6.7 Acceptable Results. Acceptability of anisokinetic variation is the same as Method 5, Section 6.12.

6.7.1 If $9.0 \mu\text{m} \leq D_{50} \leq 11 \mu\text{m}$ and $90 \leq I \leq 110$, the results are acceptable. If D_{50} is greater than $11 \mu\text{m}$, the Administrator may accept the results. If D_{50} is less than $9.0 \mu\text{m}$, reject the results and repeat the test.

7. Bibliography

1. Same as Bibliography in Method 5.

2. McCain, J.D., J.W. Ragland, and A.D. Williamson. Recommended Methodology for the Determination of Particles Size Distributions in Ducted Sources, Final Report. Prepared for the California Air Resources Board by Southern Research Institute. May 1986.

3. Farthing, W.E., S.S. Dawes, A.D. Williamson, J.D. McCain, R.S. Martin, and J.W. Ragland. Development of Sampling Methods for Source PM-10 Emissions. Southern Research Institute for the Environmental Protection Agency. April 1989.

4. *Application Guide for the Source PM₁₀ Exhaust Gas Recycle Sampling System*, EPA/600/3-88-058.

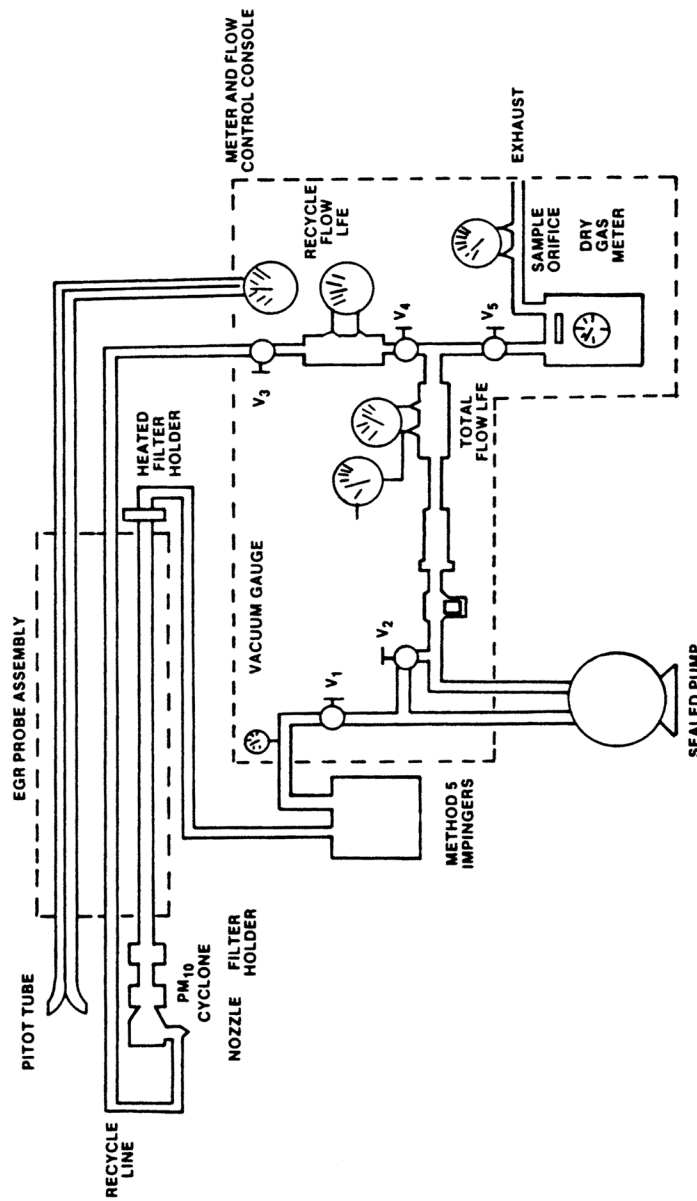


Figure 1. Schematic of the exhaust gas recycle train.

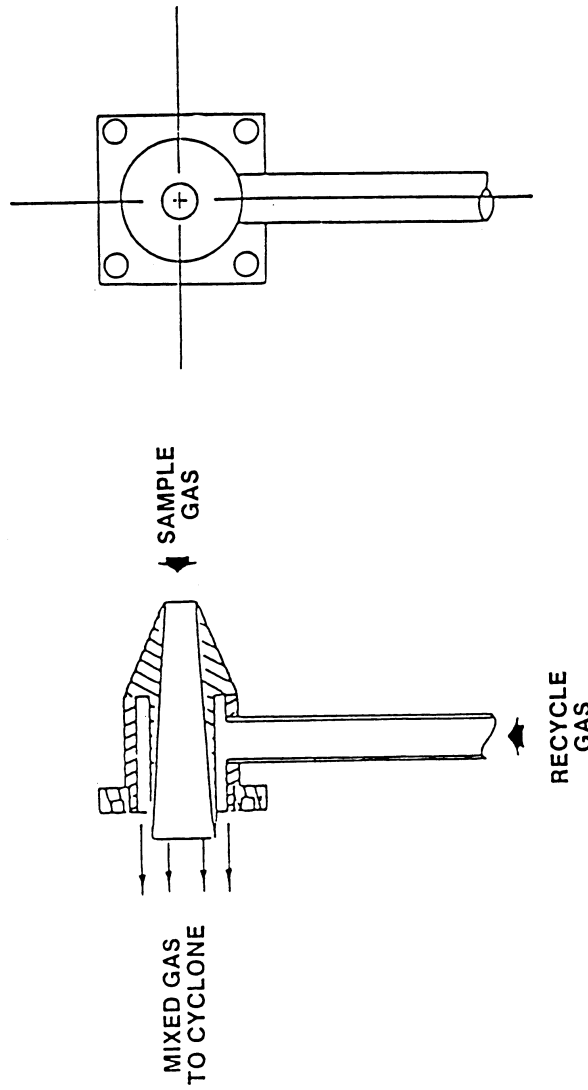


Figure 2. Schematic of EGR nozzle assembly.

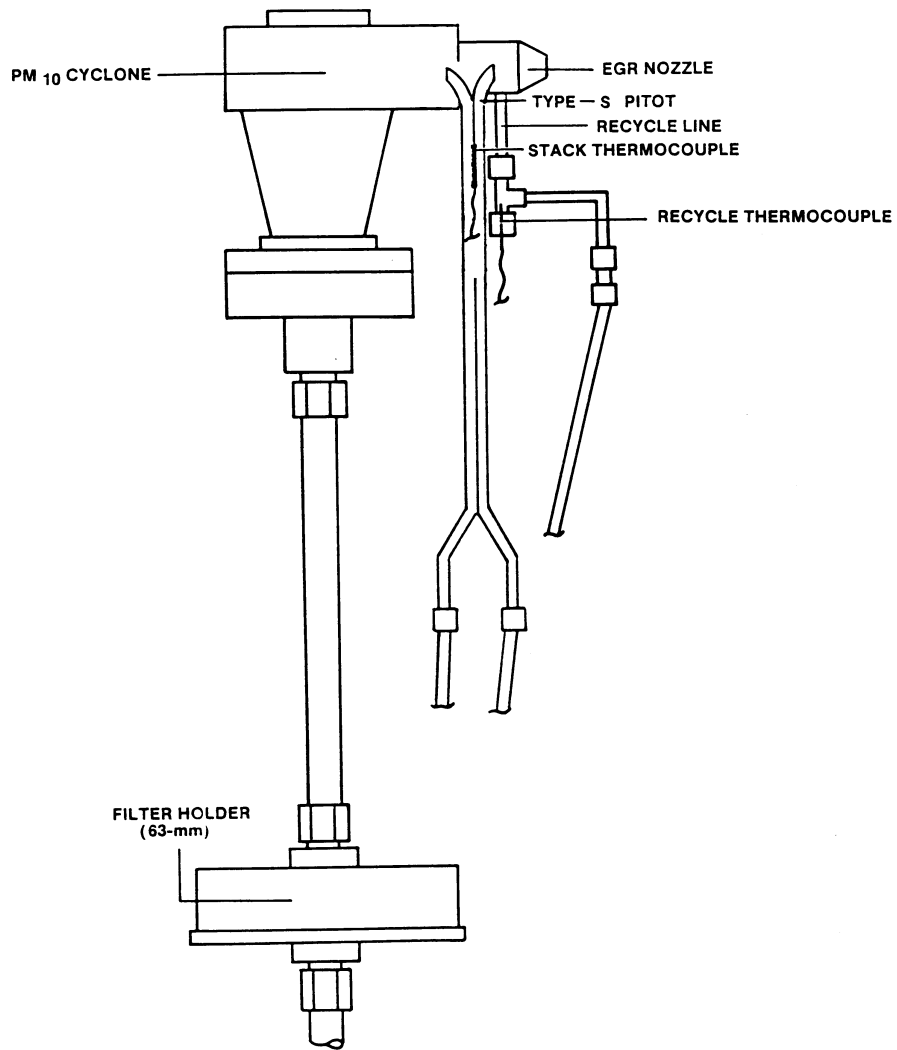


Figure 3. EGR PM₁₀ cyclone sampling device.

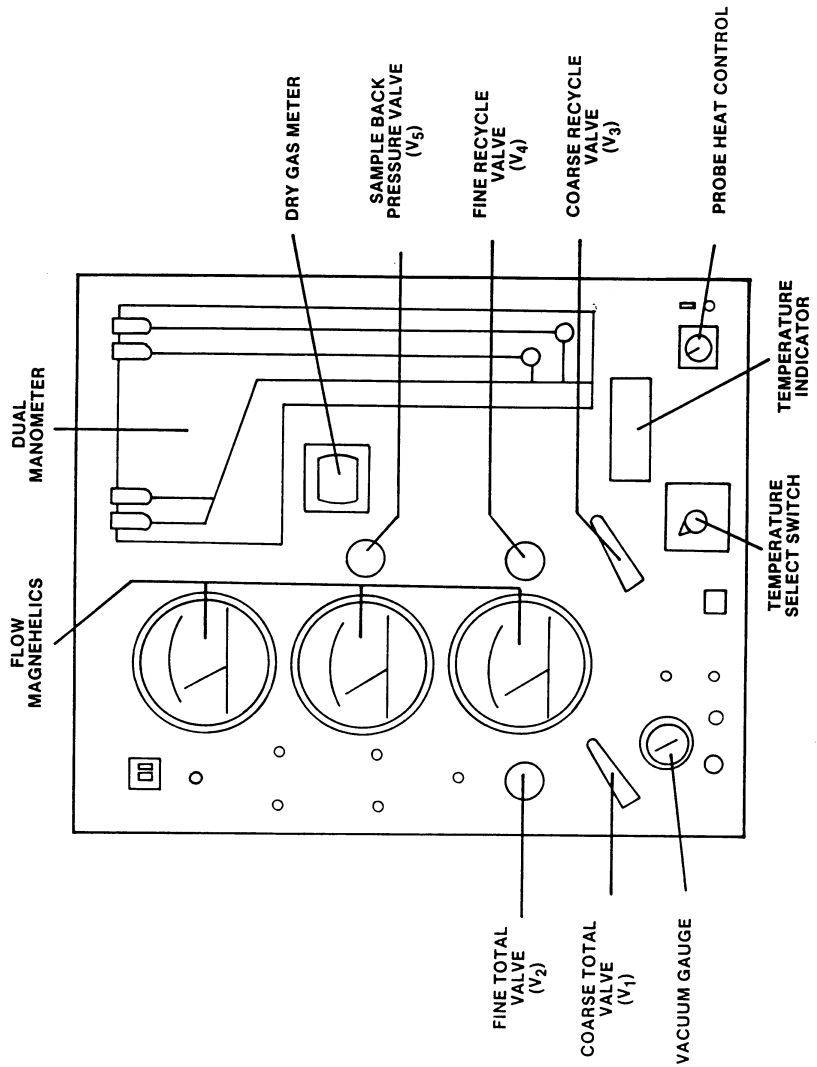


Figure 4. Example EGR control module (front view) showing principle components.

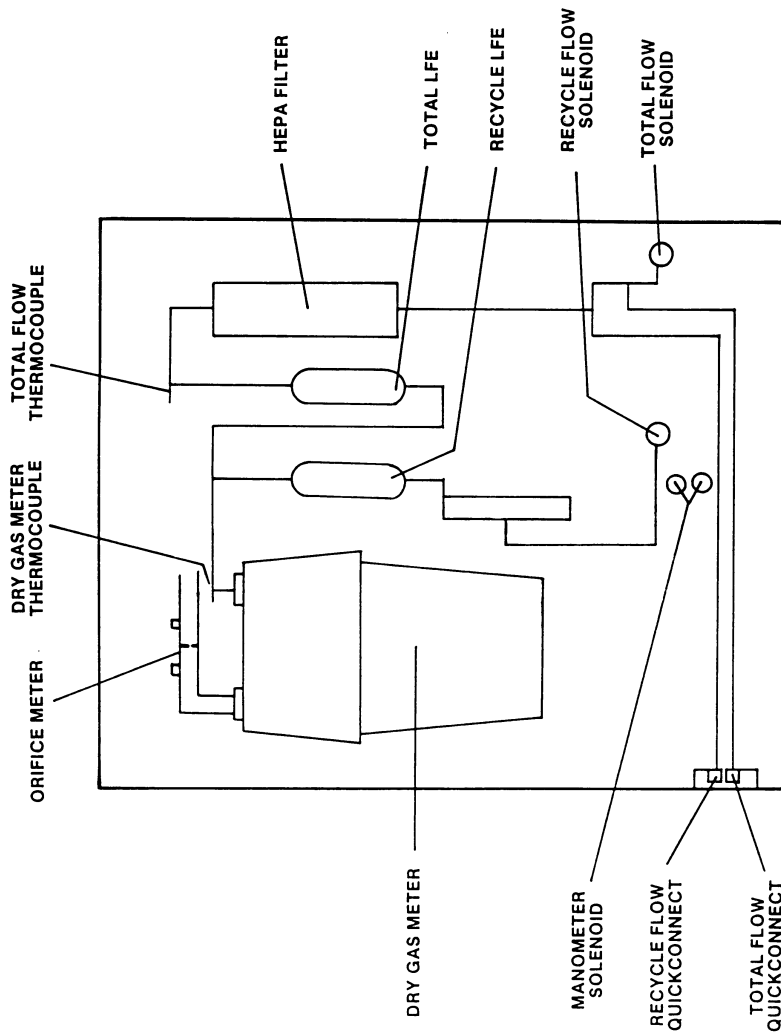


Figure 5. Example EGR control module (rear view) showing principle components.

EXAMPLE EMISSION GAS RECYCLE
SETUP SHEET

VERSION 3.1 MAY 1986

TEST I.D.: SAMPLE SETUP
 RUN DATE: 11/24/86
 LOCATION: SOURCE SIM
 OPERATOR(S): RH JB
 NOZZLE DIAMETER (IN): .25
 STACK CONDITIONS:
 AVERAGE TEMPERATURE (F): 200.0

AVERAGE VELOCITY (FT/SEC): 15.0
 AMBIENT PRESSURE (IN HG): 29.92
 STACK PRESSURE (IN H₂₀): .10
 GAS COMPOSITION:
 H₂₀ = 10.0%MD = 28.84
 O₂ = 20.9%MW = 27.75
 CO₂ = .0%(LB/LB MOLE)

TARGET PRESSURE DROPS

	TEMPERATURE (F)							
DP(PTO) ..	150	161	172	183	194	206	217	228
0.026	SAMPLE	.49	.49	.48	.47	.46	.45	.45

	TOTAL	1.90	1.90	1.91	1.92	1.92	1.92	1.93
	RECYCLE	2.89	2.92	2.94	2.97	3.00	3.02	3.05
	% RCL	61%	61%	62%	62%	63%	63%	63%
.03158	.56	.55	.55	.54	.53	.52
		1.88	1.89	1.89	1.90	1.91	1.91	1.92
		2.71	2.74	2.77	2.80	2.82	2.85	2.90
		57%	57%	58%	58%	59%	59%	60%
.03567	.65	.64	.63	.62	.61	.59
		1.88	1.88	1.89	1.89	1.90	1.90	1.91
		2.57	2.60	2.63	2.66	2.69	2.72	2.74
		54%	55%	55%	56%	56%	57%	57%
.03975	.74	.72	.71	.70	.69	.66
		1.87	1.88	1.88	1.89	1.89	1.90	1.91
		2.44	2.47	2.50	2.53	2.56	2.59	2.65
		51%	52%	52%	53%	53%	54%	55%

Figure 6. Example EGR setup sheet.

Barometric pressure, P _{bar} , in. Hg.	=	_____	ΔH ₂ , in. H ₂ O	=	_____
Stack static pressure, P _g , in. H ₂ O.	=	_____	Molecular weight of stack gas, dry basis:		
Average stack temperature, t _s , °F.	=	_____	M _d = 0.44		
Meter temperature, t _m , °F.	=	_____	(%CO ₂) + 0.32	=	lb/lb mole
Gas analysis:			(%O ₂) + 0.28		
%CO ₂	=	_____	(%N ₂ + %CO)		
%O ₂	=	_____	Molecular weight of stack gas, wet basis:		
%N ₂ + %CO	=	_____	M _w = M _d (1-B _{ws}) + 18B _{ws} .	=	_____ lb/lb mole
Fraction moisture content, B _{ws} .	=	_____	Absolute stack pressure:		
Calibration data:			P _s = P _{bar} + (P _g /13.6)	=	_____ in. Hg
Nozzle diameter, D _n in.	=	_____			
Pitot coefficient, C _p .	=	_____			

$$K = 846.72 D_n^4 \Delta H_{@} C_p^2 (1-B_{ws})^2 \frac{M_d (t_m + 460) P_s}{M_w (t_s + 460) P_{bar}} = \underline{\hspace{2cm}}$$

Desired meter orifice pressure (ΔH) for velocity head of stack gas (Δp):

$$\Delta H = K \Delta p = \underline{\hspace{2cm}} \text{ in. H}_2\text{O}$$

Figure 7. Example worksheet 1, meter orifice pressure head calculation.

Barometric pressure, P _{bar} , in. Hg.	=	_____	Gas analysis:		
Absolute stack pressure, P _s , in. Hg.	=	_____	%O ₂	=	_____
Average stack temperature, T _s , °R.	=	_____	Fraction moisture content, B _{ws} .	=	_____
Meter temperature, T _m , °R.	=	_____	Calibration data:		
Molecular weight of stack gas, wet basis, M _d lb/lb mole.	=	_____	Nozzle diameter, D _n , in.	=	_____
Pressure upstream of LFE, in. Hg.	=	0.6	Pitot coefficient, C _p ...	=	_____
			Total LFE calibration constant, X _i .	=	_____
			Total LFE calibration constant, T _i .	=	_____
			Absolute pressure upstream of LFE:		
			P _{LFE} = P _{bar} + 0.6	=	_____ in. Hg
			Viscosity of gas in total LFE:		
			μ _{LFE} = 152.418 + 0.2552 T _m + 3.2355 × 10 ⁻⁵ T _m ² + 0.53147 (%O ₂).	=	_____

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Viscosity of dry stack gas:

$$\mu_d = 152.418 + 0.2552 T_s = \text{_____}$$

$$+ 3.2355 \times 10^{-5} T_s^2 + 0.53147 (\%O_2).$$

Constants:

$$K_1 = 1.5752 \times 10^{-5} \frac{\mu_{LFE} T_m P_s^{0.7051} \mu_d}{P_{LFE} M_d^{0.2949} T_s^{0.07051}} = \text{_____}$$

$$K_2 = 0.1539 \frac{\mu_{LFE} T_m D_n^2 C_p \left[\frac{P_s}{T_s} \right]^{\frac{1}{2}}}{P_{LFE}}$$

$$K_3 = \frac{B_{ws} \mu_d [1 - 0.2949(1 - 18/M_d)] + 74.143 B_{ws} (1 - B_{ws})}{\mu_d - 74.143 B_{ws}} = \text{_____}$$

$$A_1 = \frac{K_1}{X_t} - \frac{\mu_{LFE} Y_t}{180.1 X_t} = \text{_____}$$

$$B_1 = \frac{K_2 K_3}{(M_w)^{\frac{1}{2}} X_t} = \text{_____}$$

Total LFE pressure head:

$$\Delta p_t = A_1 - B_1 (\Delta p)^{\frac{1}{2}} = \text{_____ in. H}_2\text{O}$$

Figure 8. Example worksheet 1, meter orifice pressure head calculation.

Barometric pressure, P_{bar} , in. Hg. = _____
 Absolute stack pressure, P_s , in. Hg. = _____

Average stack temperature, T_s , °R. = _____
 Meter temperature, T_m , °R. = _____
 Molecular weight of stack gas, dry basis, M_d lb/lb mole. = _____
 Viscosity of LFE gas μ_{LFE} , poise. = _____
 Absolute pressure upstream of LFE, P_{PLE} , in. Hg. = _____
 Calibration data:
 Nozzle diameter, D_n , in. = _____
 Pitot coefficient, C_p ... = _____
 Recycle LFE calibration constant, X_i = _____
 Recycle LFE calibration constant, Y_i = _____

$$K_1 = 1.5752 \times 10^{-5} \frac{\mu_{LFE} T_m P_s^{0.7051} \mu_d}{P_{LFE} M_d^{0.2949} T_s^{0.07051}} = \text{_____}$$

$$K_2 = 0.1539 \frac{M_{LFE} T_m D_n^2 C_p \left[\frac{P_s}{T_s} \right]^{\frac{1}{2}}}{P_{LFE}}$$

$$K_4 = \frac{\mu_d}{M_w^{0.2051} M_d^{0.2949} (\mu_d - 74.143 B_{ws})} = \text{_____}$$

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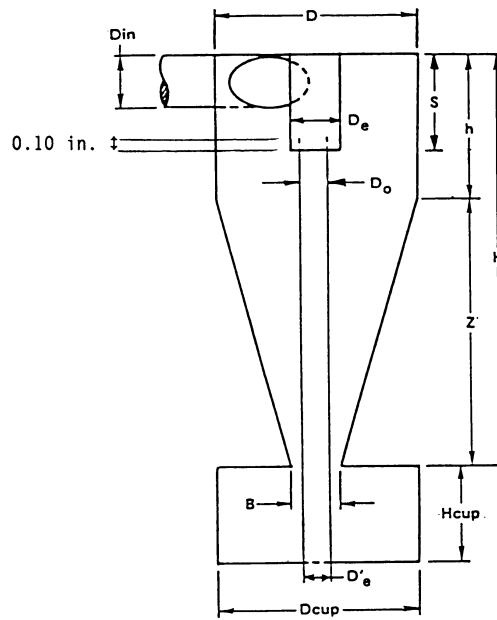
Acetone wash blank, mg (Equation 5-5, Method 5)

Container number	Weight of particulate matter, mg		
	Final weight	Tare weight	Weight gain
1
3
Total
Less acetone blank

Container number	Weight of particulate matter, mg		
	Final weight	Tare weight	Weight gain
Weight of PM ₁₀
2
Less acetone blank
Total particulate weight

Figure 11. EGR method analysis sheet.

Cyclone Interior Dimensions



		Dimensions (± 0.02 cm, ± 0.01 in.)											
		D _{in}	D	D _e	B	H	h	Z	S	H _{cup}	D _{cup}	D' _e	D _o
cm		1.27	4.47	1.50	1.88	6.95	2.24	4.71	1.57	2.25	4.45	1.02	1.24
inches		0.50	1.76	0.59	0.74	2.74	0.88	1.85	0.62	0.89	1.75	0.40	0.49

Figure 12. Cyclone design specifications.

TABLE 1—PERFORMANCE SPECIFICATIONS FOR SOURCE PM₁₀ CYCLONES AND NOZZLE COMBINATIONS

Parameter	Units	Specification
1. Collection efficiency.	Percent	Such that collection efficiency falls within envelope specified by Section 5.7.6 and Figure 13.

TABLE 1—PERFORMANCE SPECIFICATIONS FOR SOURCE PM₁₀ CYCLONES AND NOZZLE COMBINATIONS—Continued

Parameter	Units	Specification
2. Cyclone cut size (D ₅₀).	μm	$10 \pm 1 \mu\text{m}$ aerodynamic diameter.

TABLE 2—PARTICLE SIZES AND NOMINAL GAS VELOCITIES FOR EFFICIENCY

Particle size (μm) ^a	Target gas velocities (m/sec)		
	7 ±1.0	15 ±1.5	25 ±2.5
5 ±0.5
7 ±0.5
10 ±0.5

TABLE 2—PARTICLE SIZES AND NOMINAL GAS VELOCITIES FOR EFFICIENCY—Continued

Particle size (μm) ^a	Target gas velocities (m/sec)		
	7 ±1.0	15 ±1.5	25 ±2.5
14 ±1.0
20 ±1.0

(a) Mass median aerodynamic diameter.

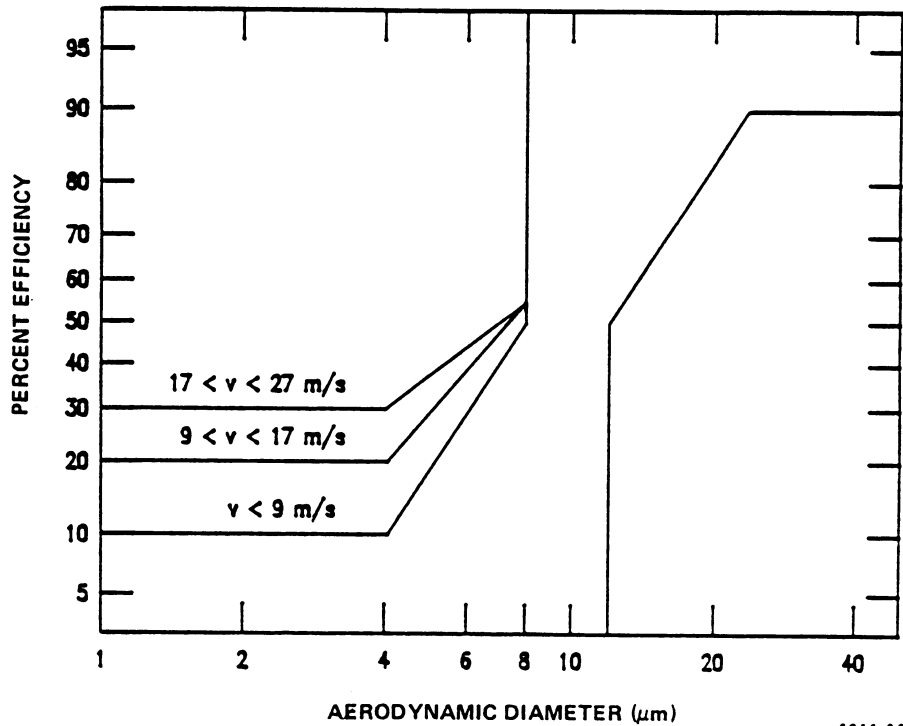


Figure 13. Efficiency envelope for the PM₁₀ cyclone.

EMISSION GAS RECYCLE, DATA REDUCTION,
VERSION 3.4 MAY 1986

Test ID. Code: Chapel Hill 2.
Test Location: Baghouse Outlet.
Test Site: Chapel Hill.
Test Date: 10/20/86.
Operators(s): JB RH MH.

Entered Run Data

Temperatures:
T(STK) 251.0 F
T(RCL) 259.0 F
T(LFE) 81.0 F
T(DGM) 76.0 F

System Pressures:

DH(ORI) 1.18 INWG
DP(TOT) 1.91 INWG
P(INL) 12.15 INWG
DP(RCL) 2.21 INWG
DP(PTO) 0.06 INWG

Miscellanea:

P(BAR) 29.99 INWG
DP(STK) 0.10 INWG
V(DGM) 13.744 FT³
TIME 60.00 MIN
% CO₂ 8.00
% O₂ 20.00
NOZ (IN) 0.2500

Water Content:		DH@(ORI)	10.980
Estimate	0.0%	M(TOT LFE)	0.2298
or		B(TOT LFE)	-.0058
Condenser	7.0 ML	M(RCL LFE)	0.0948
Column	0.0 GM	B(RCL LFE)	-.0007
Raw Masses:		DGM GAMMA	0.9940
Cyclone 1	21.7 MG		
Filter	11.7 MG		
Impinger Residue	0.0 MG		
Blank Values:			
CYC Rinse	0.0 MG		
Filter Holder Rinse	0.0 MG		
Filter Blank	0.0 MG		
Impinger Rinse	0.0 MG		
Calibration Values:			
CP(PITOT)	0.840		

Reduced Data

Stack Velocity (FT/SEC)	15.95
Stack Gas Moisture (%)	2.4
Sample Flow Rate (ACFM)	0.3104
Total Flow Rate (ACFM)	0.5819
Recycle Flow Rate (ACFM)	0.2760
Percent Recycle	46.7
Isokinetic Ratio (%)	95.1

	(Particulate)		(MG/DNCM)	(GR/ACF)	(GR/DCF)	(LB/DSCF) (X 1E6)
	(UM)	(% <)				
Cyclone 1	10.15	35.8	56.6	0.01794	0.02470	3.53701
Backup Filter			30.5	0.00968	0.01332	1.907
Particulate Total			87.2	0.02762	0.03802	5.444

Note: Figure 14. Example inputs and outputs of the EGR reduction program.

METHOD 201A—DETERMINATION OF PM₁₀ AND PM_{2.5} EMISSIONS FROM STATIONARY SOURCES (CONSTANT SAMPLING RATE PROCEDURE)

1.0 Scope and Applicability

1.1 Scope. The U.S. Environmental Protection Agency (U.S. EPA or “we”) developed this method to describe the procedures that the stack tester (“you”) must follow to measure filterable particulate matter (PM) emissions equal to or less than a nominal aerodynamic diameter of 10 micrometers (PM₁₀) and 2.5 micrometers (PM_{2.5}). This method can be used to measure coarse particles (*i.e.*, the difference between the measured PM₁₀ concentration and the measured PM_{2.5} concentration).

1.2 Applicability. This method addresses the equipment, preparation, and analysis necessary to measure filterable PM. You can use this method to measure filterable PM from stationary sources only. Filterable PM is collected in stack with this method (*i.e.*, the method measures materials that are solid or liquid at stack conditions). If the gas filtration temperature exceeds 29.4 °C (85 °F), then you may use the procedures in this method to measure only filterable PM (material that does not pass through a filter or a cyclone/filter combination). If the gas filtration temperature exceeds 29.4 °C (85 °F), and you must measure both the filterable and condensable (material that condenses after passing through a filter) components of total primary (direct) PM emissions to the atmosphere, then you must combine the procedures in this method with the procedures in Method 202 of appendix M to this part for measuring condensable PM. However, if the

gas filtration temperature never exceeds 29.4 °C (85 °F), then use of Method 202 of appendix M to this part is not required to measure total primary PM.

1.3 Responsibility. You are responsible for obtaining the equipment and supplies you will need to use this method. You must also develop your own procedures for following this method and any additional procedures to ensure accurate sampling and analytical measurements.

1.4 Additional Methods. To obtain results, you must have a thorough knowledge of the following test methods found in appendices A-1 through A-3 of 40 CFR part 60:

- (a) Method 1—Sample and velocity traverses for stationary sources.
- (b) Method 2—Determination of stack gas velocity and volumetric flow rate (Type S pitot tube).
- (c) Method 3—Gas analysis for the determination of dry molecular weight.
- (d) Method 4—Determination of moisture content in stack gases.
- (e) Method 5—Determination of particulate matter emissions from stationary sources.

1.5 Limitations. You cannot use this method to measure emissions in which water droplets are present because the size separation of the water droplets may not be representative of the dry particle size released into the air. To measure filterable PM₁₀ and PM_{2.5} in emissions where water droplets are known to exist, we recommend that you use Method 5 of appendix A-3 to part 60. Because of the temperature limit of the O-rings used in this sampling train, you must follow the procedures in Section 8.6.1 to test emissions from stack gas temperatures exceeding 205 °C (400 °F).

1.6 *Conditions.* You can use this method to obtain particle sizing at 10 micrometers and or 2.5 micrometers if you sample within 80 and 120 percent of isokinetic flow. You can also use this method to obtain total filterable particulate if you sample within 90 to 110 percent of isokinetic flow, the number of sampling points is the same as required by Method 5 of appendix A-3 to part 60 or Method 17 of appendix A-6 to part 60, and the filter temperature is within an acceptable range for these methods. For Method 5, the acceptable range for the filter temperature is generally 120 °C (248 °F) unless a higher or lower temperature is specified. The acceptable range varies depending on the source, control technology and applicable rule or permit condition. To satisfy Method 5 criteria, you may need to remove the in-stack filter and use an out-of-stack filter and recover the PM in the probe between the PM_{2.5} particle sizer and the filter. In addition, to satisfy Method 5 and Method 17 criteria, you may need to sample from more than 12 traverse points. Be aware that this method determines in-stack PM₁₀ and PM_{2.5} filterable emissions by sampling from a required maximum of 12 sample points, at a constant flow rate through the train (the constant flow is necessary to maintain the size cuts of the cyclones), and with a filter that is at the stack temperature. In contrast, Method 5 or Method 17 trains are operated isokinetically with varying flow rates through the train. Method 5 and Method 17 require sampling from as many as 24 sample points. Method 5 uses an out-of-stack filter that is maintained at a constant temperature of 120 °C (248 °F). Further, to use this method in place of Method 5 or Method 17, you must extend the sampling time so that you collect the minimum mass necessary for weighing each portion of this sampling train. Also, if you are using this method as an alternative to a test method specified in a regulatory requirement (*e.g.*, a requirement to conduct a compliance or performance test), then you must receive approval from the authority that established the regulatory requirement before you conduct the test.

2.0 Summary of Method

2.1 *Summary.* To measure PM₁₀ and PM_{2.5}, extract a sample of gas at a predetermined constant flow rate through an in-stack sizing device. The particle-sizing device separates particles with nominal aerodynamic diameters of 10 micrometers and 2.5 micrometers. To minimize variations in the isokinetic sampling conditions, you must establish well-defined limits. After a sample is obtained, remove uncombined water from the particulate, then use gravimetric analysis to determine the particulate mass for each size fraction. The original method, as promulgated in 1990, has been changed by adding a

PM_{2.5} cyclone downstream of the PM₁₀ cyclone. Both cyclones were developed and evaluated as part of a conventional five-stage cascade cyclone train. The addition of a PM_{2.5} cyclone between the PM₁₀ cyclone and the stack temperature filter in the sampling train supplements the measurement of PM₁₀ with the measurement of PM_{2.5}. Without the addition of the PM_{2.5} cyclone, the filterable particulate portion of the sampling train may be used to measure total and PM₁₀ emissions. Likewise, with the exclusion of the PM₁₀ cyclone, the filterable particulate portion of the sampling train may be used to measure total and PM_{2.5} emissions. Figure 1 of Section 17 presents the schematic of the sampling train configured with this change.

3.0 Definitions

3.1 *Condensable particulate matter (CPM)* means material that is vapor phase at stack conditions, but condenses and/or reacts upon cooling and dilution in the ambient air to form solid or liquid PM immediately after discharge from the stack. Note that all CPM is assumed to be in the PM_{2.5} size fraction.

3.2 *Constant weight* means a difference of no more than 0.5 mg or one percent of total weight less tare weight, whichever is greater, between two consecutive weighings, with no less than six hours of desiccation time between weighings.

3.3 *Filterable particulate matter (PM)* means particles that are emitted directly by a source as a solid or liquid at stack or release conditions and captured on the filter of a stack test train.

3.4 *Primary particulate matter (PM)* (also known as direct PM) means particles that enter the atmosphere as a direct emission from a stack or an open source. Primary PM has two components: Filterable PM and condensable PM. These two PM components have no upper particle size limit.

3.5 *Primary PM_{2.5}* (also known as direct PM_{2.5}, total PM_{2.5}, PM_{2.5}, or combined filterable PM_{2.5} and condensable PM) means PM with an aerodynamic diameter less than or equal to 2.5 micrometers. These solid particles are emitted directly from an air emissions source or activity, or are the gaseous or vaporous emissions from an air emissions source or activity that condense to form PM at ambient temperatures. Direct PM_{2.5} emissions include elemental carbon, directly emitted organic carbon, directly emitted sulfate, directly emitted nitrate, and other inorganic particles (including but not limited to crustal material, metals, and sea salt).

3.6 *Primary PM₁₀* (also known as direct PM₁₀, total PM₁₀, PM₁₀, or the combination of filterable PM₁₀ and condensable PM) means PM with an aerodynamic diameter equal to or less than 10 micrometers.

4.0 Interferences

You cannot use this method to measure emissions where water droplets are present because the size separation of the water droplets may not be representative of the dry particle size released into the air. Stacks with entrained moisture droplets may have water droplets larger than the cut sizes for the cyclones. These water droplets normally contain particles and dissolved solids that become PM₁₀ and PM_{2.5} following evaporation of the water.

5.0 Safety

5.1 Disclaimer. Because the performance of this method may require the use of hazardous materials, operations, and equipment, you should develop a health and safety plan to ensure the safety of your employees who are on site conducting the particulate emission test. Your plan should conform with all applicable Occupational Safety and Health Administration, Mine Safety and Health Administration, and Department of Transportation regulatory requirements. Because of the unique situations at some facilities and because some facilities may have more stringent requirements than is required by State or federal laws, you may have to develop procedures to conform to the plant health and safety requirements.

6.0 Equipment and Supplies

Figure 2 of Section 17 shows details of the combined cyclone heads used in this method. The sampling train is the same as Method 17 of appendix A-6 to part 60 with the exception of the PM₁₀ and PM_{2.5} sizing devices. The following sections describe the sampling train's primary design features in detail.

6.1 Filterable Particulate Sampling Train Components.

6.1.1 Nozzle. You must use stainless steel (316 or equivalent) or fluoropolymer-coated stainless steel nozzles with a sharp tapered leading edge. We recommend one of the 12 nozzles listed in Figure 3 of Section 17 because they meet design specifications when PM₁₀ cyclones are used as part of the sampling train. We also recommend that you have a large number of nozzles in small diameter increments available to increase the likelihood of using a single nozzle for the entire traverse. We recommend one of the nozzles listed in Figure 4A or 4B of Section 17 because they meet design specifications when PM_{2.5} cyclones are used without PM₁₀ cyclones as part of the sampling train.

6.1.2 PM₁₀ and PM_{2.5} Sizing Device.

6.1.2.1 Use stainless steel (316 or equivalent) or fluoropolymer-coated PM₁₀ and PM_{2.5} sizing devices. You may use sizing devices constructed of high-temperature specialty metals such as Inconel, Hastelloy, or Haynes 230. (See also Section 8.6.1.) The sizing de-

vices must be cyclones that meet the design specifications shown in Figures 3, 4A, 4B, 5, and 6 of Section 17. Use a caliper to verify that the dimensions of the PM₁₀ and PM_{2.5} sizing devices are within ±0.02 cm of the design specifications. Example suppliers of PM₁₀ and PM_{2.5} sizing devices include the following:

(a) Environmental Supply Company, Inc., 2142 E. Geer Street, Durham, North Carolina 27704. Telephone No.: (919) 956-9688; Fax: (919) 682-0333.

(b) Apex Instruments, 204 Technology Park Lane, Fuquay-Varina, North Carolina 27526. Telephone No.: (919) 557-7300 (phone); Fax: (919) 557-7110.

6.1.2.2 You may use alternative particle sizing devices if they meet the requirements in Development and Laboratory Evaluation of a Five-Stage Cyclone System, EPA-600/7-78-008 (<http://cfpub.epa.gov/ols>).

6.1.3 Filter Holder. Use a filter holder that is stainless steel (316 or equivalent). A heated glass filter holder may be substituted for the steel filter holder when filtration is performed out-of-stack. Commercial-size filter holders are available depending upon project requirements, including commercial stainless steel filter holders to support 25-, 47-, 63-, 76-, 90-, 101-, and 110-mm diameter filters. Commercial size filter holders contain a fluoropolymer O-ring, a stainless steel screen that supports the particulate filter, and a final fluoropolymer O-ring. Screw the assembly together and attach to the outlet of cyclone IV. The filter must not be compressed between the fluoropolymer O-ring and the filter housing.

6.1.4 Pitot Tube. You must use a pitot tube made of heat resistant tubing. Attach the pitot tube to the probe with stainless steel fittings. Follow the specifications for the pitot tube and its orientation to the inlet nozzle given in Section 6.1.1.3 of Method 5 of appendix A-3 to part 60.

6.1.5 Probe Extension and Liner. The probe extension must be glass- or fluoropolymer-lined. Follow the specifications in Section 6.1.1.2 of Method 5 of appendix A-3 to part 60. If the gas filtration temperature never exceeds 30 °C (85 °F), then the probe may be constructed of stainless steel without a probe liner and the extension is not recovered as part of the PM.

6.1.6 Differential Pressure Gauge, Condensers, Metering Systems, Barometer, and Gas Density Determination Equipment. Follow the requirements in Sections 6.1.1.4 through 6.1.3 of Method 5 of appendix A-3 to part 60, as applicable.

6.2 Sample Recovery Equipment.

6.2.1 Filterable Particulate Recovery. Use the following equipment to quantitatively determine the amount of filterable PM recovered from the sampling train.

(a) Cyclone and filter holder brushes.

(b) Wash bottles. Two wash bottles are recommended. Any container material is acceptable, but wash bottles used for sample and blank recovery must not contribute more than 0.1 mg of residual mass to the CPM measurements.

(c) Leak-proof sample containers. Containers used for sample and blank recovery must not contribute more than 0.05 mg of residual mass to the CPM measurements.

(d) Petri dishes. For filter samples; glass, polystyrene, or polyethylene, unless otherwise specified by the Administrator.

(e) Graduated cylinders. To measure condensed water to within 1 ml or 0.5 g. Graduated cylinders must have subdivisions not greater than 2 ml.

(f) Plastic storage containers. Air-tight containers to store silica gel.

6.2.2 Analysis Equipment.

(a) Funnel. Glass or polyethylene, to aid in sample recovery.

(b) Rubber policeman. To aid in transfer of silica gel to container; not necessary if silica gel is weighed in the field.

(c) Analytical balance. Analytical balance capable of weighing at least 0.0001 g (0.1 mg).

(d) Balance. To determine the weight of the moisture in the sampling train components, use an analytical balance accurate to ± 0.5 g.

(e) Fluoropolymer beaker liners.

7.0 Reagents, Standards, and Sampling Media

7.1 Sample Collection. To collect a sample, you will need a filter and silica gel. You must also have water and crushed ice. These items must meet the following specifications.

7.1.1 Filter. Use a nonreactive, nondisintegrating glass fiber, quartz, or polymer filter that does not have an organic binder. The filter must also have an efficiency of at least 99.95 percent (less than 0.05 percent penetration) on 0.3 micrometer dioctyl phthalate particles. You may use test data from the supplier's quality control program to document the PM filter efficiency.

7.1.2 Silica Gel. Use an indicating-type silica gel of 6 to 16 mesh. You must obtain approval from the regulatory authority that established the requirement to use this test method to use other types of desiccants (equivalent or better) before you use them. Allow the silica gel to dry for two hours at 175 °C (350 °F) if it is being reused. You do not have to dry new silica gel if the indicator shows the silica is active for moisture collection.

7.1.3 Crushed Ice. Obtain from the best readily available source.

7.1.4 Water. Use deionized, ultra-filtered water that contains 1.0 part per million by weight (1 milligram/liter) residual mass or less to recover and extract samples.

7.2 Sample Recovery and Analytical Reagents. You will need acetone and anhydrous

calcium sulfate for the sample recovery and analysis. Unless otherwise indicated, all reagents must conform to the specifications established by the Committee on Analytical Reagents of the American Chemical Society. If such specifications are not available, then use the best available grade. Additional information on each of these items is in the following paragraphs.

7.2.1 Acetone. Use acetone that is stored in a glass bottle. Do not use acetone from a metal container because it will likely produce a high residue in the laboratory and field reagent blanks. You must use acetone with blank values less than 1 part per million by weight residue. Analyze acetone blanks prior to field use to confirm low blank values. In no case shall a blank value of greater than 0.0001 percent (1 part per million by weight) of the weight of acetone used in sample recovery be subtracted from the sample weight (*i.e.*, the maximum blank correction is 0.1 mg per 100 g of acetone used to recover samples).

7.2.2 Particulate Sample Desiccant. Use indicating-type anhydrous calcium sulfate to desiccate samples prior to weighing.

8.0 Sample Collection, Preservation, Storage, and Transport

8.1 Qualifications. This is a complex test method. To obtain reliable results, you should be trained and experienced with in-stack filtration systems (such as cyclones, impactors, and thimbles) and impinger and moisture train systems.

8.2 Preparations. Follow the pretest preparation instructions in Section 8.1 of Method 5 of appendix A-3 to part 60.

8.3 Site Setup. You must complete the following to properly set up for this test:

(a) Determine the sampling site location and traverse points.

(b) Calculate probe/cyclone blockage.

(c) Verify the absence of cyclonic flow.

(d) Complete a preliminary velocity profile and select a nozzle(s) and sampling rate.

8.3.1 Sampling Site Location and Traverse Point Determination. Follow the standard procedures in Method 1 of appendix A-1 to part 60 to select the appropriate sampling site. Choose a location that maximizes the distance from upstream and downstream flow disturbances.

(a) Traverse points. The required maximum number of total traverse points at any location is 12, as shown in Figure 7 of Section 17. You must prevent the disturbance and capture of any solids accumulated on the inner wall surfaces by maintaining a 1-inch distance from the stack wall (0.5 inch for sampling locations less than 36.4 inches in diameter with the pitot tube and 32.4 inches without the pitot tube). During sampling, when the PM_{2.5} cyclone is used without the PM₁₀, traverse points closest to the stack walls may not be reached because the inlet

to a PM_{2.5} cyclone is located approximately 2.75 inches from the end of the cyclone. For these cases, you may collect samples using the procedures in Section 11.3.2.2 of Method 1 of appendix A-3 to part 60. You must use the traverse point closest to the unreachable sampling points as replacement for the unreachable points. You must extend the sampling time at the replacement sampling point to include the duration of the unreachable traverse points.

(b) Round or rectangular duct or stack. If a duct or stack is round with two ports located 90° apart, use six sampling points on each diameter. Use a 3x4 sampling point layout for rectangular ducts or stacks. Consult with the Administrator to receive approval for other layouts before you use them.

(c) Sampling ports. You must determine if the sampling ports can accommodate the in-stack cyclones used in this method. You may need larger diameter sampling ports than those used by Method 5 of appendix A-3 to part 60 or Method 17 of appendix A-6 to part 60 for total filterable particulate sampling. When you use nozzles smaller than 0.16 inch in diameter and either a PM₁₀ or a combined PM₁₀ and PM_{2.5} sampling apparatus, the sampling port diameter may need to be six inches in diameter to accommodate the entire apparatus because the conventional 4-inch diameter port may be too small due to the combined dimension of the PM₁₀ cyclone and the nozzle extending from the cyclone, which will likely exceed the internal diameter of the port. A 4-inch port should be adequate for the single PM_{2.5} sampling apparatus. However, do not use the conventional 4-inch diameter port in any circumstances in which the combined dimension of the cyclone and the nozzle extending from the cyclone exceeds the internal diameter of the port. (NOTE: If the port nipple is short, you may be able to “hook” the sampling head through a smaller port into the duct or stack.)

8.3.2 Probe/Cyclone Blockage Calculations. Follow the procedures in the next two sections, as appropriate.

8.3.2.1 *Ducts with diameters greater than 36.4 inches.* Based on commercially available cyclone assemblies for this procedure, ducts with diameters greater than 36.4 inches have blockage effects less than three percent, as illustrated in Figure 8 of Section 17. You must minimize the blockage effects of the combination of the in-stack nozzle/cyclones, pitot tube, and filter assembly that you use by keeping the cross-sectional area of the assembly at three percent or less of the cross-sectional area of the duct.

8.3.2.2 *Ducts with diameters between 25.7 and 36.4 inches.* Ducts with diameters between 25.7 and 36.4 inches have blockage effects ranging from three to six percent, as illustrated in Figure 8 of Section 17. Therefore, when you conduct tests on these small

ducts, you must adjust the observed velocity pressures for the estimated blockage factor whenever the combined sampling apparatus blocks more than three percent of the stack or duct (*see* Sections 8.7.2.2 and 8.7.2.3 on the probe blockage factor and the final adjusted velocity pressure, respectively). (NOTE: Valid sampling with the combined PM_{2.5}/PM₁₀ cyclones cannot be performed with this method if the average stack blockage from the sampling assembly is greater than six percent, i.e., the stack diameter is less than 26.5 inches.)

8.3.3 *Cyclonic Flow.* Do not use the combined cyclone sampling head at sampling locations subject to cyclonic flow. Also, you must follow procedures in Method 1 of appendix A-1 to part 60 to determine the presence or absence of cyclonic flow and then perform the following calculations:

(a) As per Section 11.4 of Method 1 of appendix A-1 to part 60, find and record the angle that has a null velocity pressure for each traverse point using an S-type pitot tube.

(b) Average the absolute values of the angles that have a null velocity pressure. Do not use the sampling location if the average absolute value exceeds 20°. (NOTE: You can minimize the effects of cyclonic flow conditions by moving the sampling location, placing gas flow straighteners upstream of the sampling location, or applying a modified sampling approach as described in EPA Guideline Document GD-008, Particulate Emissions Sampling in Cyclonic Flow. You may need to obtain an alternate method approval from the regulatory authority that established the requirement to use this test method prior to using a modified sampling approach.)

8.3.4 Preliminary Velocity Profile. Conduct a preliminary velocity traverse by following Method 2 of appendix A-1 to part 60 velocity traverse procedures. The purpose of the preliminary velocity profile is to determine all of the following:

(a) The gas sampling rate for the combined probe/cyclone sampling head in order to meet the required particle size cut.

(b) The appropriate nozzle to maintain the required gas sampling rate for the velocity pressure range and isokinetic range. If the isokinetic range cannot be met (e.g., batch processes, extreme process flow or temperature variation), void the sample or use methods subject to the approval of the Administrator to correct the data. The acceptable variation from isokinetic sampling is 80 to 120 percent and no more than 100 ± 21 percent (2 out of 12 or 5 out of 24) sampling points outside of this criteria.

(c) The necessary sampling duration to obtain sufficient particulate catch weights.

8.3.4.1 *Preliminary traverse.* You must use an S-type pitot tube with a conventional

thermocouple to conduct the traverse. Conduct the preliminary traverse as close as possible to the anticipated testing time on sources that are subject to hour-by-hour gas flow rate variations of approximately ± 20 percent and/or gas temperature variations of approximately ± 28 °C (± 50 °F). (Note: You should be aware that these variations can cause errors in the cyclone cut diameters and the isokinetic sampling velocities.)

8.3.4.2 *Velocity pressure range.* Insert the S-type pitot tube at each traverse point and record the range of velocity pressures measured on data form in Method 2 of appendix A-1 to part 60. You will use this later to select the appropriate nozzle.

8.3.4.3 *Initial gas stream viscosity and molecular weight.* Determine the average gas temperature, average gas oxygen content, average carbon dioxide content, and estimated moisture content. You will use this information to calculate the initial gas stream viscosity (Equation 3) and molecular weight (Equations 1 and 2). (NOTE: You must follow the instructions outlined in Method 4 of appendix A-3 to part 60 or Alternative Moisture Measurement Method Midget Impingers (ALT-008) to estimate the moisture content. You may use a wet bulb-dry bulb measurement or hand-held hygrometer measurement to estimate the moisture content of sources with gas temperatures less than 71 °C (160 °F).)

8.3.4.4 *Approximate PM concentration in the gas stream.* Determine the approximate PM concentration for the PM_{2.5} and the PM_{2.5} to PM₁₀ components of the gas stream through qualitative measurements or estimates from precious stack particulate emissions tests. Having an idea of the particulate concentration in the gas stream is not essential but will help you determine the appropriate sampling time to acquire sufficient PM weight for better accuracy at the source emission level. The collectible PM weight requirements depend primarily on the types of filter media and weighing capabilities that are available and needed to characterize the emissions. Estimate the collectible PM concentrations in the greater than 10 micrometer, less than or equal to 10 micrometers and greater than 2.5 micrometers, and less than or equal to 2.5 micrometer size ranges. Typical PM concentrations are listed in Table 1 of Section 17. Additionally, relevant sections of AP-42, Compilation of Air Pollutant Emission Factors, may contain particle size distributions for processes characterized in those sections, and appendix B2 of AP-42 contains generalized particle size distributions for nine industrial process categories (e.g., stationary internal combustion engines firing gasoline or diesel fuel, calcining of aggregate or unprocessed ores). The generalized particle size distributions can be used if source-specific particle size distributions are unavailable. Appendix B2 of AP-42 also con-

tains typical collection efficiencies of various particulate control devices and example calculations showing how to estimate uncontrolled total particulate emissions, uncontrolled size-specific emissions, and controlled size-specific particulate emissions. (<http://www.epa.gov/ttnchie1/ap42>.)

8.4 Pre-test Calculations. You must perform pre-test calculations to help select the appropriate gas sampling rate through cyclone I (PM₁₀) and cyclone IV (PM_{2.5}). Choosing the appropriate sampling rate will allow you to maintain the appropriate particle cut diameters based upon preliminary gas stream measurements, as specified in Table 2 of Section 17.

8.4.1 Gas Sampling Rate. The gas sampling rate is defined by the performance curves for both cyclones, as illustrated in Figure 10 of Section 17. You must use the calculations in Section 8.5 to achieve the appropriate cut size specification for each cyclone. The optimum gas sampling rate is the overlap zone defined as the range below the cyclone IV 2.25 micrometer curve down to the cyclone I 11.0 micrometer curve (area between the two dark, solid lines in Figure 10 of Section 17).

8.4.2 Choosing the Appropriate Sampling Rate. You must select a gas sampling rate in the middle of the overlap zone (discussed in Section 8.4.1), as illustrated in Figure 10 of Section 17, to maximize the acceptable tolerance for slight variations in flow characteristics at the sampling location. The overlap zone is also a weak function of the gas composition. (NOTE: The acceptable range is limited, especially for gas streams with temperatures less than approximately 100 °F. At lower temperatures, it may be necessary to perform the PM₁₀ and PM_{2.5} separately in order to meet the necessary particle size criteria shown in Table 2 of Section 17.)

8.5 Test Calculations. You must perform all of the calculations in Table 3 of Section 17 and the calculations described in Sections 8.5.1 through 8.5.5.

8.5.1 Assumed Reynolds Number. You must select an assumed Reynolds number (N_{re}) using Equation 10 and an estimated sampling rate or from prior experience under the stack conditions determined using Methods 1 through 4 to part 60. You will perform initial test calculations based on an assumed N_{re} for the test to be performed. You must verify the assumed N_{re} by substituting the sampling rate (Q_s) calculated in Equation 7 into Equation 10. Then use Table 5 of Section 17 to determine if the N_{re} used in Equation 5 was correct.

8.5.2 Final Sampling Rate. Recalculate the final Q_s if the assumed N_{re} used in your initial calculation is not correct. Use Equation 7 to recalculate the optimum Q_s .

8.5.3 Meter Box ΔH . Use Equation 11 to calculate the meter box orifice pressure drop

(ΔH) after you calculate the optimum sampling rate and confirm the N_{re} . (NOTE: The stack gas temperature may vary during the test, which could affect the sampling rate. If the stack gas temperature varies, you must make slight adjustments in the meter box ΔH to maintain the correct constant cut diameters. Therefore, use Equation 11 to recalculate the ΔH values for 50 °F above and below the stack temperature measured during the preliminary traverse (see Section 8.3.4.1), and document this information in Table 4 of Section 17.)

8.5.4 Choosing a Sampling Nozzle. Select one or more nozzle sizes to provide for near isokinetic sampling rate (see Section 1.6). This will also minimize an isokinetic sampling error for the particles at each point. First calculate the mean stack gas velocity (v_s) using Equation 13. See Section 8.7.2 for information on correcting for blockage and use of different pitot tube coefficients. Then use Equation 14 to calculate the diameter (D) of a nozzle that provides for isokinetic sampling at the mean v_s at flow Q_s . From the available nozzles one size smaller and one size larger than this diameter, D, select the most appropriate nozzle. Perform the following steps for the selected nozzle.

8.5.4.1 *Minimum/maximum nozzle/stack velocity ratio.* Use Equation 15 to determine the velocity of gas in the nozzle. Use Equation 16 to calculate the minimum nozzle/stack velocity ratio (R_{min}). Use Equation 17 to calculate the maximum nozzle/stack velocity ratio (R_{max}).

8.5.4.2 *Minimum gas velocity.* Use Equation 18 to calculate the minimum gas velocity (v_{min}) if R_{min} is an imaginary number (negative value under the square root function) or if R_{min} is less than 0.5. Use Equation 19 to calculate v_{min} if R_{min} is ≥ 0.5 .

8.5.4.3 *Maximum stack velocity.* Use Equation 20 to calculate the maximum stack velocity (v_{max}) if R_{max} is less than 1.5. Use Equation 21 to calculate the stack velocity if R_{max} is ≥ 1.5 .

8.5.4.4 *Conversion of gas velocities to velocity pressure.* Use Equation 22 to convert v_{min} to minimum velocity pressure, ΔP_{min} . Use Equation 23 to convert v_{max} to maximum velocity pressure, ΔP_{max} .

8.5.4.5 *Comparison to observed velocity pressures.* Compare minimum and maximum velocity pressures with the observed velocity pressures at all traverse points during the preliminary test (see Section 8.3.4.2).

8.5.5 Optimum Sampling Nozzle. The nozzle you selected is appropriate if all the observed velocity pressures during the preliminary test fall within the range of the ΔP_{min} and ΔP_{max} . Make sure the following requirements are met then follow the procedures in Sections 8.5.5.1 and 8.5.5.2.

(a) Choose an optimum nozzle that provides for isokinetic sampling conditions as close to 100 percent as possible. This is pr-

udent because even if there are slight variations in the gas flow rate, gas temperature, or gas composition during the actual test, you have the maximum assurance of satisfying the isokinetic criteria. Generally, one of the two candidate nozzles selected will be closer to optimum (see Section 8.5.4).

(b) When testing is for $PM_{2.5}$ only, you are allowed a 16 percent failure rate, rounded to the nearest whole number, of sampling points that are outside the range of the ΔP_{min} and ΔP_{max} . If the coarse fraction for PM_{10} determination is included, you are allowed only an eight percent failure rate of the sampling points, rounded to the nearest whole number, outside the ΔP_{min} and ΔP_{max} .

8.5.5.1 *Precheck.* Visually check the selected nozzle for dents before use.

8.5.5.2 *Attach the pre-selected nozzle.* Screw the pre-selected nozzle onto the main body of cyclone I using fluoropolymer tape. Use a union and cascade adaptor to connect the cyclone IV inlet to the outlet of cyclone I (see Figure 2 of Section 17).

8.6 Sampling Train Preparation. A schematic of the sampling train used in this method is shown in Figure 1 of Section 17. First, assemble the train and complete the leak check on the combined cyclone sampling head and pitot tube. Use the following procedures to prepare the sampling train. (NOTE: Do not contaminate the sampling train during preparation and assembly. Keep all openings, where contamination can occur, covered until just prior to assembly or until sampling is about to begin.)

8.6.1 Sampling Head and Pitot Tube. Assemble the combined cyclone train. The O-rings used in the train have a temperature limit of approximately 205 °C (400 °F). Use cyclones with stainless steel sealing rings for stack temperatures above 205 °C (400 °F) up to 260 °C (500 °F). You must also keep the nozzle covered to protect it from nicks and scratches. This method may not be suitable for sources with stack gas temperatures exceeding 260 °C (500 °F) because the threads of the cyclone components may gall or seize, thus preventing the recovery of the collected PM and rendering the cyclone unusable for subsequent use. You may use stainless steel cyclone assemblies constructed with bolt-together rather than screw-together assemblies at temperatures up to 538 °C (1,000 °F). You must use "break-away" or expendable stainless steel bolts that can be over-torqued and broken if necessary to release cyclone closures, thus allowing you to recover PM without damaging the cyclone flanges or contaminating the samples. You may need to use specialty metals to achieve reliable particulate mass measurements above 538 °C (1,000 °F). The method can be used at temperatures up to 1,371 °C (2,500 °F) using specially constructed high-temperature stainless steel alloys (Hastelloy or Haynes 230)

with bolt-together closures using break-away bolts.

8.6.2 Filterable Particulate Filter Holder and Pitot Tube. Attach the pre-selected filter holder to the end of the combined cyclone sampling head (see Figure 2 of Section 17). Attach the S-type pitot tube to the combined cyclones after the sampling head is fully attached to the end of the probe. (NOTE: The pitot tube tip must be mounted slightly beyond the combined head cyclone sampling assembly and at least one inch off the gas flow path into the cyclone nozzle. This is similar to the pitot tube placement in Method 17 of appendix A-6 to part 60.) Securely fasten the sensing lines to the outside of the probe to ensure proper alignment of the pitot tube. Provide unions on the sensing lines so that you can connect and disconnect the S-type pitot tube tips from the combined cyclone sampling head before and after each run. Calibrate the pitot tube on the sampling head according to the most current ASTM International D3796 because the cyclone body is a potential source flow disturbance and will change the pitot coefficient value from the baseline (isolated tube) value.

8.6.3 Filter. You must number and tare the filters before use. To tare the filters, desiccate each filter at 20 ± 5.6 °C (68 ± 10 °F) and ambient pressure for at least 24 hours and weigh at intervals of at least six hours to a constant weight. (See Section 3.0 for a definition of constant weight.) Record results to the nearest 0.1 mg. During each weighing, the filter must not be exposed to the laboratory atmosphere for longer than two minutes and a relative humidity above 50 percent. Alternatively, the filters may be oven-dried at 104 °C (220 °F) for two to three hours, desiccated for two hours, and weighed. Use tweezers or clean disposable surgical gloves to place a labeled (identified) and pre-weighed filter in the filter holder. You must center the filter and properly place the gasket so that the sample gas stream will not circumvent the filter. The filter must not be compressed between the gasket and the filter housing. Check the filter for tears after the assembly is completed. Then screw or clamp the filter housing together to prevent the seal from leaking.

8.6.4 Moisture Trap. If you are measuring only filterable particulate (or you are sure that the gas filtration temperature will be maintained below 30 °C (85 °F)), then an empty modified Greenburg Smith impinger followed by an impinger containing silica gel is required. Alternatives described in Method 5 of appendix A-3 to part 60 may also be used to collect moisture that passes through the ambient filter. If you are measuring condensable PM in combination with this method, then follow the procedures in Method 202 of appendix M of this part for moisture collection.

8.6.5 Leak Check. Use the procedures outlined in Section 8.4 of Method 5 of appendix A-3 to part 60 to leak check the entire sampling system. Specifically perform the following procedures:

8.6.5.1 *Sampling train.* You must pretest the entire sampling train for leaks. The pretest leak check must have a leak rate of not more than 0.02 actual cubic feet per minute or four percent of the average sample flow during the test run, whichever is less. Additionally, you must conduct the leak check at a vacuum equal to or greater than the vacuum anticipated during the test run. Enter the leak check results on the analytical data sheet (see Section 11.1) for the specific test. (NOTE: Do not conduct a leak check during port changes.)

8.6.5.2 *Pitot tube assembly.* After you leak check the sample train, perform a leak check of the pitot tube assembly. Follow the procedures outlined in Section 8.4.1 of Method 5 of appendix A-3 to part 60.

8.6.6 *Sampling Head.* You must preheat the combined sampling head to the stack temperature of the gas stream at the test location (± 28 °C, ± 50 °F). This will heat the sampling head and prevent moisture from condensing from the sample gas stream.

8.6.6.1 *Warmup.* You must complete a passive warmup (of 30-40 min) within the stack before the run begins to avoid internal condensation.

8.6.6.2 *Shortened warmup.* You can shorten the warmup time by thermostated heating outside the stack (such as by a heat gun). Then place the heated sampling head inside the stack and allow the temperature to equilibrate.

8.7 Sampling Train Operation. Operate the sampling train the same as described in Section 4.1.5 of Method 5 of appendix A-3 to part 60, but use the procedures in this section for isokinetic sampling and flow rate adjustment. Maintain the flow rate calculated in Section 8.4.1 throughout the run, provided the stack temperature is within 28 °C (50 °F) of the temperature used to calculate ΔH . If stack temperatures vary by more than 28 °C (50 °F), use the appropriate ΔH value calculated in Section 8.5.3. Determine the minimum number of traverse points as in Figure 7 of Section 17. Determine the minimum total projected sampling time based on achieving the data quality objectives or emission limit of the affected facility. We recommend that you round the number of minutes sampled at each point to the nearest 15 seconds. Perform the following procedures:

8.7.1 *Sample Point Dwell Time.* You must calculate the flow rate-weighted dwell time (that is, sampling time) for each sampling point to ensure that the overall run provides a velocity-weighted average that is representative of the entire gas stream. Vary

the dwell time at each traverse point proportionately with the point velocity. Calculate the dwell time at each of the traverse points using Equation 24. You must use the data from the preliminary traverse to determine the average velocity pressure (Δp_{avg}). You must use the velocity pressure measured during the sampling run to determine the velocity pressure at each point (Δp_n). Here, N_p equals the total number of traverse points. Each traverse point must have a dwell time of at least two minutes.

8.7.2 Adjusted Velocity Pressure. When selecting your sampling points using your preliminary velocity traverse data, your preliminary velocity pressures must be adjusted to take into account the increase in velocity due to blockage. Also, you must adjust your preliminary velocity data for differences in pitot tube coefficients. Use the following instructions to adjust the preliminary velocity pressure.

8.7.2.1 Different pitot tube coefficient. You must use Equation 25 to correct the recorded preliminary velocity pressures if the pitot tube mounted on the combined cyclone sampling head has a different pitot tube coefficient than the pitot tube used during the preliminary velocity traverse (see Section 8.3.4).

8.7.2.2 Probe blockage factor. You must use Equation 26 to calculate an average probe blockage correction factor (b_p) if the diameter of your stack or duct is between 25.7 and 36.4 inches for the combined $PM_{2.5}/PM_{10}$ sampling head and pitot and between 18.8 and 26.5 inches for the $PM_{2.5}$ cyclone and pitot. A probe blockage factor is calculated because of the flow blockage caused by the relatively large cross-sectional area of the cyclone sampling head, as discussed in Section 8.3.2.2 and illustrated in Figures 8 and 9 of Section 17. You must determine the cross-sectional area of the cyclone head you use and determine its stack blockage factor. (Note: Commercially-available sampling heads (including the PM_{10} cyclone, $PM_{2.5}$ cyclone, pitot and filter holder) have a projected area of approximately 31.2 square inches when oriented into the gas stream.) As the probe is moved from the outermost to the innermost point, the amount of blockage that actually occurs ranges from approximately 13 square inches to the full 31.2 square inches plus the blockage caused by the probe extension. The average cross-sectional area blocked is 22 square inches.

8.7.2.3 Final adjusted velocity pressure. Calculate the final adjusted velocity pressure (Δp_s) using Equation 27. (NOTE: Figures 8 and 9 of Section 17 illustrate that the blockage effect of the combined PM_{10} , $PM_{2.5}$ cyclone sampling head, and pitot tube increases rapidly below stack diameters of 26.5 inches. Therefore, the combined PM_{10} , $PM_{2.5}$ filter sampling head and pitot tube is not applicable for stacks with a diameter less than 26.5

inches because the blockage is greater than six percent. For stacks with a diameter less than 26.5 inches, $PM_{2.5}$ particulate measurements may be possible using only a $PM_{2.5}$ cyclone, pitot tube, and in-stack filter. If the blockage exceeds three percent but is less than six percent, you must follow the procedures outlined in Method 1A of appendix A–1 to part 60 to conduct tests. You must conduct the velocity traverse downstream of the sampling location or immediately before the test run.

8.7.3 Sample Collection. Collect samples the same as described in Section 4.1.5 of Method 5 of appendix A–3 to part 60, except use the procedures in this section for isokinetic sampling and flow rate adjustment. Maintain the flow rate calculated in Section 8.5 throughout the run, provided the stack temperature is within 28 °C (50 °F) of the temperature used to calculate ΔH . If stack temperatures vary by more than 28 °C (50 °F), use the appropriate ΔH value calculated in Section 8.5.3. Calculate the dwell time at each traverse point as in Equation 24. In addition to these procedures, you must also use running starts and stops if the static pressure at the sampling location is less than minus 5 inches water column. This prevents back pressure from rupturing the sample filter. If you use a running start, adjust the flow rate to the calculated value after you perform the leak check (see Section 8.4).

8.7.3.1 Level and zero manometers. Periodically check the level and zero point of the manometers during the traverse. Vibrations and temperature changes may cause them to drift.

8.7.3.2 Portholes. Clean the portholes prior to the test run. This will minimize the chance of collecting deposited material in the nozzle.

8.7.3.3 Sampling procedures. Verify that the combined cyclone sampling head temperature is at stack temperature. You must maintain the temperature of the cyclone sampling head within ± 10 °C (± 18 °F) of the stack temperature. (NOTE: For many stacks, portions of the cyclones and filter will be external to the stack during part of the sampling traverse. Therefore, you must heat and/or insulate portions of the cyclones and filter that are not within the stack in order to maintain the sampling head temperature at the stack temperature. Maintaining the temperature will ensure proper particle sizing and prevent condensation on the walls of the cyclones.) To begin sampling, remove the protective cover from the nozzle. Position the probe at the first sampling point with the nozzle pointing directly into the gas stream. Immediately start the pump and adjust the flow to calculated isokinetic conditions. Ensure the probe/pitot tube assembly is leveled. (NOTE: When the probe is in position, block off the openings around the probe

and porthole to prevent unrepresentative dilution of the gas stream. Take care to minimize contamination from material used to block the flow or insulate the sampling head during collection at the first sampling point.)

(a) Traverse the stack cross-section, as required by Method 1 of appendix A-1 to part 60, with the exception that you are only required to perform a 12-point traverse. Do not bump the cyclone nozzle into the stack walls when sampling near the walls or when removing or inserting the probe through the portholes. This will minimize the chance of extracting deposited materials.

(b) Record the data required on the field test data sheet for each run. Record the initial dry gas meter reading. Then take dry gas meter readings at the following times: the beginning and end of each sample time increment; when changes in flow rates are made; and when sampling is halted. Compare the velocity pressure measurements (Equations 22 and 23) with the velocity pressure measured during the preliminary traverse. Keep the meter box ΔH at the value calculated in Section 8.5.3 for the stack temperature that is observed during the test. Record all point-by-point data and other source test parameters on the field test data sheet. Do not leak check the sampling system during port changes.

(c) Maintain flow until the sampling head is completely removed from the sampling port. You must restart the sampling flow prior to inserting the sampling head into the sampling port during port changes.

(d) Maintain the flow through the sampling system at the last sampling point. At the conclusion of the test, remove the pitot tube and combined cyclone sampling head from the stack while the train is still operating (running stop). Make sure that you do not scrape the pitot tube or the combined cyclone sampling head against the port or stack walls. Then stop the pump and record the final dry gas meter reading and other test parameters on the field test data sheet. (NOTE: After you stop the pump, make sure you keep the combined cyclone head level to avoid tipping dust from the cyclone cups into the filter and/or down-comer lines.)

8.7.4 Process Data. You must document data and information on the process unit tested, the particulate control system used to control emissions, any non-particulate control system that may affect particulate emissions, the sampling train conditions, and weather conditions. Record the site barometric pressure and stack pressure on the field test data sheet. Discontinue the test if the operating conditions may cause non-representative particulate emissions.

8.7.4.1 *Particulate control system data.* Use the process and control system data to determine whether representative operating con-

ditions were maintained throughout the testing period.

8.7.4.2 *Sampling train data.* Use the sampling train data to confirm that the measured particulate emissions are accurate and complete.

8.7.5 Sample Recovery. First remove the sampling head (combined cyclone/filter assembly) from the train probe. After the sample head is removed, perform a post-test leak check of the probe and sample train. Then recover the components from the cyclone/filter. Refer to the following sections for more detailed information.

8.7.5.1 *Remove sampling head.* After cooling and when the probe can be safely handled, wipe off all external surfaces near the cyclone nozzle and cap the inlet to the cyclone to prevent PM from entering the assembly. Remove the combined cyclone/filter sampling head from the probe. Cap the outlet of the filter housing to prevent PM from entering the assembly.

8.7.5.2 *Leak check probe/sample train assembly (post-test).* Leak check the remainder of the probe and sample train assembly (including meter box) after removing the combined cyclone head/filter. You must conduct the leak rate at a vacuum equal to or greater than the maximum vacuum achieved during the test run. Enter the results of the leak check onto the field test data sheet. If the leak rate of the sampling train (without the combined cyclone sampling head) exceeds 0.02 actual cubic feet per minute or four percent of the average sampling rate during the test run (whichever is less), the run is invalid and must be repeated.

8.7.5.3 *Weigh or measure the volume of the liquid collected in the water collection impingers and silica trap.* Measure the liquid in the first impingers to within 1 ml using a clean graduated cylinder or by weighing it to within 0.5 g using a balance. Record the volume of the liquid or weight of the liquid present to be used to calculate the moisture content of the effluent gas.

8.7.5.4 *Weigh the silica impinger.* If a balance is available in the field, weigh the silica impinger to within 0.5 g. Note the color of the indicating silica gel in the last impinger to determine whether it has been completely spent and make a notation of its condition. If you are measuring CPM in combination with this method, the weight of the silica gel can be determined before or after the post-test nitrogen purge is complete (See Section 8.5.3 of Method 202 of appendix M to this part).

8.7.5.5 *Recovery of PM.* Recovery involves the quantitative transfer of particles in the following size range: greater than 10 micrometers; less than or equal to 10 micrometers but greater than 2.5 micrometers; and less than or equal to 2.5 micrometers. You must use a nylon or fluoropolymer brush and an acetone rinse to recover particles from the

combined cyclone/filter sampling head. Use the following procedures for each container:

(a) *Container #1, Less than or equal to $PM_{2.5}$ micrometer filterable particulate.* Use tweezers and/or clean disposable surgical gloves to remove the filter from the filter holder. Place the filter in the Petri dish that you labeled with the test identification and Container #1. Using a dry brush and/or a sharp-edged blade, carefully transfer any PM and/or filter fibers that adhere to the filter holder gasket or filter support screen to the Petri dish. Seal the container. This container holds particles less than or equal to 2.5 micrometers that are caught on the in-stack filter. (Note: If the test is conducted for PM_{10} only, then Container #1 would be for less than or equal to PM_{10} micrometer filterable particulate.)

(b) *Container #2, Greater than PM_{10} micrometer filterable particulate.* Quantitatively recover the PM from the cyclone I cup and brush cleaning and acetone rinses of the cyclone cup, internal surface of the nozzle, and cyclone I internal surfaces, including the outside surface of the downcomer line. Seal the container and mark the liquid level on the outside of the container you labeled with test identification and Container #2. You must keep any dust found on the outside of cyclone I and cyclone nozzle external surfaces out of the sample. This container holds PM greater than 10 micrometers.

(c) *Container #3, Filterable particulate less than or equal to 10 micrometer and greater than 2.5 micrometers.* Place the solids from cyclone cup IV and the acetone (and brush cleaning) rinses of the cyclone I turnaround cup (above inner downcomer line), inside of the downcomer line, and interior surfaces of cyclone IV into Container #3. Seal the container and mark the liquid level on the outside of the container you labeled with test identification and Container #3. This container holds PM less than or equal to 10 micrometers but greater than 2.5 micrometers.

(d) *Container #4, Less than or equal to $PM_{2.5}$ micrometers acetone rinses of the exit tube of cyclone IV and front half of the filter holder.* Place the acetone rinses (and brush cleaning) of the exit tube of cyclone IV and the front half of the filter holder in container #4. Seal the container and mark the liquid level on the outside of the container you labeled with test identification and Container #4. This container holds PM that is less than or equal to 2.5 micrometers.

(e) *Container #5, Cold impinger water.* If the water from the cold impinger used for moisture collection has been weighed in the field, it can be discarded. Otherwise, quantitatively transfer liquid from the cold impinger that follows the ambient filter into a clean sample bottle (glass or plastic). Mark the liquid level on the bottle you labeled with test identification and Container #5. This container holds the remainder of the

liquid water from the emission gases. If you collected condensable PM using Method 202 of appendix M to this part in conjunction with using this method, you must follow the procedures in Method 202 of appendix M to this part to recover impingers and silica used to collect moisture.

(f) *Container #6, Silica gel absorbent.* Transfer the silica gel to its original container labeled with test identification and Container #6 and seal. A funnel may make it easier to pour the silica gel without spilling. A rubber policeman may be used as an aid in removing the silica gel from the impinger. It is not necessary to remove the small amount of silica gel dust particles that may adhere to the impinger wall and are difficult to remove. Since the gain in weight is to be used for moisture calculations, do not use any water or other liquids to transfer the silica gel. If the silica gel has been weighed in the field to measure water content, it can be discarded. Otherwise, the contents of Container #6 are weighed during sample analysis.

(g) *Container #7, Acetone field reagent blank.* Take approximately 200 ml of the acetone directly from the wash bottle you used and place it in Container #7 labeled "Acetone Field Reagent Blank."

8.7.6 *Transport Procedures.* Containers must remain in an upright position at all times during shipping. You do not have to ship the containers under dry or blue ice.

9.0 Quality Control

9.1 *Daily Quality Checks.* You must perform daily quality checks of field log books and data entries and calculations using data quality indicators from this method and your site-specific test plan. You must review and evaluate recorded and transferred raw data, calculations, and documentation of testing procedures. You must initial or sign log book pages and data entry forms that were reviewed.

9.2 *Calculation Verification.* Verify the calculations by independent, manual checks. You must flag any suspect data and identify the nature of the problem and potential effect on data quality. After you complete the test, prepare a data summary and compile all the calculations and raw data sheets.

9.3 *Conditions.* You must document data and information on the process unit tested, the particulate control system used to control emissions, any non-particulate control system that may affect particulate emissions, the sampling train conditions, and weather conditions. Discontinue the test if the operating conditions may cause non-representative particulate emissions.

9.4 *Field Analytical Balance Calibration Check.* Perform calibration check procedures on field analytical balances each day that they are used. You must use National Institute of Standards and Technology (NIST)-traceable weights at a mass approximately

equal to the weight of the sample plus container you will weigh.

10.0 Calibration and Standardization

Maintain a log of all filterable particulate sampling and analysis calibrations. Include copies of the relevant portions of the calibration and field logs in the final test report.

10.1 Gas Flow Velocities. You must use an S-type pitot tube that meets the required EPA specifications (EPA Publication 600/4-77-0217b) during these velocity measurements. (Note: If, as specified in Section 8.7.2.3, testing is performed in stacks less than 26.5 inches in diameter, testers may use a standard pitot tube according to the requirements in Method 1 or 2 of appendix A-3 to part 60 of this chapter.) You must also complete the following:

(a) Visually inspect the S-type pitot tube before sampling.

(b) Leak check both legs of the pitot tube before and after sampling.

(c) Maintain proper orientation of the S-type pitot tube while making measurements.

10.1.1 S-type Pitot Tube Orientation. The S-type pitot tube is properly oriented when the yaw and the pitch axis are 90 degrees to the air flow.

10.1.2 Average Velocity Pressure Record. Instead of recording either high or low values, record the average velocity pressure at each point during flow measurements.

10.1.3 Pitot Tube Coefficient. Determine the pitot tube coefficient based on physical measurement techniques described in Method 2 of appendix A-1 to part 60. (NOTE: You must calibrate the pitot tube on the sampling head because of potential interferences from the cyclone body. Refer to Section 8.7.2 for additional information.)

10.2 Thermocouple Calibration. You must calibrate the thermocouples using the procedures described in Section 10.3.1 of Method 2 of appendix A-1 to part 60 or Alternative Method 2 Thermocouple Calibration (ALT-011). Calibrate each temperature sensor at a minimum of three points over the anticipated range of use against a NIST-traceable thermometer. Alternatively, a reference thermocouple and potentiometer calibrated against NIST standards can be used.

10.3 Nozzles. You may use stainless steel (316 or equivalent), high-temperature steel alloy, or fluoropolymer-coated nozzles for isokinetic sampling. Make sure that all nozzles are thoroughly cleaned, visually inspected, and calibrated according to the procedure outlined in Section 10.1 of Method 5 of appendix A-3 to part 60.

10.4 Dry Gas Meter Calibration. Calibrate your dry gas meter following the calibration procedures in Section 16.1 of Method 5 of appendix A-3 to part 60. Also, make sure you fully calibrate the dry gas meter to determine the volume correction factor prior to field use. Post-test calibration checks must be performed as soon as possible after the

equipment has been returned to the shop. Your pre-test and post-test calibrations must agree within ± 5 percent.

11.0 Analytical Procedures

11.1 Analytical Data Sheet. Record all data on the analytical data sheet. Obtain the data sheet from Figure 5-6 of Method 5 of appendix A-3 to part 60. Alternatively, data may be recorded electronically using software applications such as the Electronic Reporting Tool located at http://www.epa.gov/ttn/chief/ert/ert_tool.html.

11.2 Dry Weight of PM. Determine the dry weight of particulate following procedures outlined in this section.

11.2.1 Container #1, Less than or Equal to PM_{2.5} Micrometer Filterable Particulate. Transfer the filter and any loose particulate from the sample container to a tared weighing dish or pan that is inert to solvent or mineral acids. Desiccate for 24 hours in a dessicator containing anhydrous calcium sulfate. Weigh to a constant weight and report the results to the nearest 0.1 mg. (See Section 3.0 for a definition of Constant weight.) If constant weight requirements cannot be met, the filter must be treated as described in Section 11.2.1 of Method 202 of appendix M to this part. Note: The nozzle and front half wash and filter collected at or below 30 °C (85 °F) may not be heated and must be maintained at or below 30 °C (85 °F).

11.2.2 Container #2, Greater than PM₁₀ Micrometer Filterable Particulate Acetone Rinse. Separately treat this container like Container #4.

11.2.3 Container #3, Filterable Particulate Less than or Equal to 10 Micrometer and Greater than 2.5 Micrometers Acetone Rinse. Separately treat this container like Container #4.

11.2.4 Container #4, Less than or Equal to PM_{2.5} Micrometers Acetone Rinse of the Exit Tube of Cyclone IV and Front Half of the Filter Holder. Note the level of liquid in the container and confirm on the analysis sheet whether leakage occurred during transport. If a noticeable amount of leakage has occurred, either void the sample or use methods (subject to the approval of the Administrator) to correct the final results. Quantitatively transfer the contents to a tared 250 ml beaker or tared fluoropolymer beaker liner, and evaporate to dryness at room temperature and pressure in a laboratory hood. Desiccate for 24 hours and weigh to a constant weight. Report the results to the nearest 0.1 mg.

11.2.5 Container #5, Cold Impinger Water. If the amount of water has not been determined in the field, note the level of liquid in the container and confirm on the analysis sheet whether leakage occurred during transport. If a noticeable amount of leakage has occurred, either void the sample or use

methods (subject to the approval of the Administrator) to correct the final results. Measure the liquid in this container either volumetrically to ± 1 ml or gravimetrically to ± 0.5 g.

11.2.6 Container #6, Silica Gel Absorbent. Weigh the spent silica gel (or silica gel plus impinger) to the nearest 0.5 g using a balance. This step may be conducted in the field.

11.2.7 Container #7, Acetone Field Reagent Blank. Use 150 ml of acetone from the blank container used for this analysis. Transfer 150 ml of the acetone to a clean 250-ml beaker or tared fluoropolymer beaker liner. Evaporate the acetone to dryness at room temperature and pressure in a laboratory hood. Following evaporation, desiccate the residue for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh and report the results to the nearest 0.1 mg.

12.0 Calculations and Data Analysis

12.1 Nomenclature. Report results in International System of Units (SI units) unless the regulatory authority that established the requirement to use this test method specifies reporting in English units. The following nomenclature is used.

A = Area of stack or duct at sampling location, square inches.

A_n = Area of nozzle, square feet.

b_f = Average blockage factor calculated in Equation 26, dimensionless.

B_{ws} = Moisture content of gas stream, fraction (e.g., 10 percent H_2O is $B_{ws} = 0.10$).

C = Cunningham correction factor for particle diameter, D_p , and calculated using the actual stack gas temperature, dimensionless.

$\%CO_2$ = Carbon Dioxide content of gas stream, percent by volume.

C_a = Acetone blank concentration, mg/mg.

C_{PM10} = Conc. of filterable PM_{10} , gr/DSCF.

$C_{PM2.5}$ = Conc. of filterable $PM_{2.5}$, gr/DSCF.

C_p = Pitot coefficient for the combined cyclone pitot, dimensionless.

C_p' = Coefficient for the pitot used in the preliminary traverse, dimensionless.

C_r = Re-estimated Cunningham correction factor for particle diameter equivalent to the actual cut size diameter and calculated using the actual stack gas temperature, dimensionless.

C_{if} = Conc. of total filterable PM, gr/DSCF.

$C_1 = -150.3162$ (micropoise)

$C_2 = 18.0614$ (micropoise/ $K^{0.5}$) = 13.4622 (micropoise/ $R^{0.5}$)

$C_3 = 1.19183 \times 10^6$ (micropoise/ K^2) = 3.86153×10^6 (micropoise/ R^2)

$C_4 = 0.591123$ (micropoise)

$C_5 = 91.9723$ (micropoise)

$C_6 = 4.91705 \times 10^{-5}$ (micropoise/ K^2) = 1.51761×10^{-5} (micropoise/ R^2)

D = Inner diameter of sampling nozzle mounted on Cyclone I, inches.

D_p = Physical particle size, micrometers.

D_{50} = Particle cut diameter, micrometers.

D_{50-1} = Re-calculated particle cut diameters based on re-estimated C_r , micrometers.

D_{50LL} = Cut diameter for cyclone I corresponding to the 2.25 micrometer cut diameter for cyclone IV, micrometers.

D_{50N} = D_{50} value for cyclone IV calculated during the Nth iterative step, micrometers.

$D_{50(N+1)}$ = D_{50} value for cyclone IV calculated during the N + 1 iterative step, micrometers.

D_{50T} = Cyclone I cut diameter corresponding to the middle of the overlap zone shown in Figure 10 of Section 17, micrometers.

I = Percent isokinetic sampling, dimensionless.

$K_p = 85.49$, ((ft/sec)/(pounds/mole $^{-\circ}R$)).

m_a = Mass of residue of acetone after evaporation, mg.

M_d = Molecular weight of dry gas, pounds/pound mole.

mg = Milligram.

mg/L = Milligram per liter.

M_w = Molecular weight of wet gas, pounds/pound mole.

M_1 = Milligrams of PM collected on the filter, less than or equal to 2.5 micrometers.

M_2 = Milligrams of PM recovered from Container #2 (acetone blank corrected), greater than 10 micrometers.

M_3 = Milligrams of PM recovered from Container #3 (acetone blank corrected), less than or equal to 10 and greater than 2.5 micrometers.

M_4 = Milligrams of PM recovered from Container #4 (acetone blank corrected), less than or equal to 2.5 micrometers.

N_{ip} = Number of iterative steps or total traverse points.

N_{re} = Reynolds number, dimensionless.

$\%O_{2,wet}$ = Oxygen content of gas stream, % by volume of wet gas.

(NOTE: The oxygen percentage used in Equation 3 is on a wet gas basis. That means that since oxygen is typically measured on a dry gas basis, the measured percent O_2 must be multiplied by the quantity $(1 - B_{ws})$ to convert to the actual volume fraction. Therefore, $\%O_{2,wet} = (1 - B_{ws}) * \%O_{2,dry}$)

P_{bar} = Barometric pressure, inches Hg.

P_s = Absolute stack gas pressure, inches Hg.

Q_s = Sampling rate for cyclone I to achieve specified D_{50} .

Q_{sT} = Dry gas sampling rate through the sampling assembly, DSCFM.

Q_t = Sampling rate for cyclone I to achieve specified D_{50} .

R_{max} = Nozzle/stack velocity ratio parameter, dimensionless.

R_{min} = Nozzle/stack velocity ratio parameter, dimensionless.

T_m = Meter box and orifice gas temperature, $^{\circ}R$.

t_n = Sampling time at point n, min.
 t_r = Total projected run time, min.
 T_s = Absolute stack gas temperature, °R.
 t_1 = Sampling time at point 1, min.
 v_{max} = Maximum gas velocity calculated from Equations 18 or 19, ft/sec.
 v_{min} = Minimum gas velocity calculated from Equations 16 or 17, ft/sec.
 v_n = Sample gas velocity in the nozzle, ft/sec.
 v_s = Velocity of stack gas, ft/sec.
 V_a = Volume of acetone blank, ml.
 V_{aw} = Volume of acetone used in sample recovery wash, ml.
 V_c = Quantity of water captured in impingers and silica gel, ml.
 V_m = Dry gas meter volume sampled, ACF.
 V_{ms} = Dry gas meter volume sampled, corrected to standard conditions, DSCF.
 V_{ws} = Volume of water vapor, SCF.
 V_{ic} = Volume of impinger contents sample, ml.
 W_a = Weight of blank residue in acetone used to recover samples, mg.
 $W_{2,3,4}$ = Weight of PM recovered from Containers #2, #3, and #4, mg.
 Z = Ratio between estimated cyclone IV D_{50} values, dimensionless.
 ΔH = Meter box orifice pressure drop, inches W.C.
 $\Delta H_{0.75}$ = Pressure drop across orifice at flow rate of 0.75 SCFM at standard conditions, inches W.C.
 (NOTE: Specific to each orifice and meter box.)
 $[(\Delta p)^{0.5}]_{avg}$ = Average of square roots of the velocity pressures measured during the preliminary traverse, inches W.C.
 Δp_m = Observed velocity pressure using S-type pitot tube in preliminary traverse, inches W.C.
 Δp_{avg} = Average velocity pressure, inches W.C.
 Δp_{max} = Maximum velocity pressure, inches W.C.
 Δp_{min} = Minimum velocity pressure, inches W.C.
 Δp_n = Velocity pressure measured at point n during the test run, inches W.C.
 Δp_s = Velocity pressure calculated in Equation 25, inches W.C.
 Δp_{s1} = Velocity pressure adjusted for combined cyclone pitot tube, inches W.C.
 Δp_{s2} = Velocity pressure corrected for blockage, inches W.C.
 Δp_1 = Velocity pressure measured at point 1, inches W.C.
 γ = Dry gas meter gamma value, dimensionless.
 μ = Gas viscosity, micropoise.
 θ = Total run time, min.
 ρ_a = Density of acetone, mg/ml (see label on bottle).
 12.0 = Constant calculated as 60 percent of 20.5 square inch cross-sectional area of combined cyclone head, square inches.

12.2 Calculations. Perform all of the calculations found in Table 6 of Section 17. Table 6 of Section 17 also provides instructions and references for the calculations.

12.3 Analyses. Analyze D_{50} of cyclone IV and the concentrations of the PM in the various size ranges.

12.3.1 D_{50} of Cyclone IV. To determine the actual D_{50} for cyclone IV, recalculate the Cunningham correction factor and the Reynolds number for the best estimate of cyclone IV D_{50} . The following sections describe additional information on how to recalculate the Cunningham correction factor and determine which Reynolds number to use.

12.3.1.1 *Cunningham correction factor.* Recalculate the initial estimate of the Cunningham correction factor using the actual test data. Insert the actual test run data and D_{50} of 2.5 micrometers into Equation 4. This will give you a new Cunningham correction factor based on actual data.

12.3.1.2 *Initial D_{50} for cyclone IV.* Determine the initial estimate for cyclone IV D_{50} using the test condition Reynolds number calculated with Equation 10 as indicated in Table 3 of Section 17. Refer to the following instructions.

(a) If the Reynolds number is less than 3,162, calculate the D_{50} for cyclone IV with Equation 34, using actual test data.

(b) If the Reynolds number is greater than or equal to 3,162, calculate the D_{50} for cyclone IV with Equation 35 using actual test data.

(c) Insert the "new" D_{50} value calculated by either Equation 34 or 35 into Equation 36 to re-establish the Cunningham Correction Factor (C_c). (NOTE: Use the test condition calculated Reynolds number to determine the most appropriate equation (Equation 34 or 35).)

12.3.1.3 *Re-establish cyclone IV D_{50} .* Use the re-established Cunningham correction factor (calculated in the previous step) and the calculated Reynolds number to determine D_{50-1} .

(a) Use Equation 37 to calculate the re-established cyclone IV D_{50-1} if the Reynolds number is less than 3,162.

(b) Use Equation 38 to calculate the re-established cyclone IV D_{50-1} if the Reynolds number is greater than or equal to 3,162.

12.3.1.4 *Establish "Z" values.* The "Z" value is the result of an analysis that you must perform to determine if the C_c is acceptable. Compare the calculated cyclone IV D_{50} (either Equation 34 or 35) to the re-established cyclone IV D_{50-1} (either Equation 36 or 37) values based upon the test condition calculated Reynolds number (Equation 39). Follow these procedures.

(a) Use Equation 39 to calculate the "Z" values. If the "Z" value is between 0.99 and 1.01, the D_{50-1} value is the best estimate of the cyclone IV D_{50} cut diameter for your test run.

(b) If the “Z” value is greater than 1.01 or less than 0.99, re-establish a C_r based on the D_{50-1} value determined in either Equations 36 or 37, depending upon the test condition Reynolds number.

(c) Use the second revised C_r to re-calculate the cyclone IV D_{50} .

(d) Repeat this iterative process as many times as necessary using the prescribed equations until you achieve the criteria documented in Equation 40.

12.3.2 *Particulate Concentration.* Use the particulate catch weights in the combined cyclone sampling train to calculate the concentration of PM in the various size ranges. You must correct the concentrations for the acetone blank.

12.3.2.1 *Acetone blank concentration.* Use Equation 42 to calculate the acetone blank concentration (C_a).

12.3.2.2 *Acetone blank residue weight.* Use Equation 44 to calculate the acetone blank weight (W_a (2.3.4)). Subtract the weight of the acetone blank from the particulate weight catch in each size fraction.

12.3.2.3 *Particulate weight catch per size fraction.* Correct each of the PM weights per size fraction by subtracting the acetone blank weight (i.e., $M_{2,3,4} - W_a$). (NOTE: Do not subtract a blank value of greater than 0.1 mg per 100 ml of the acetone used from the sample recovery.) Use the following procedures.

(a) Use Equation 45 to calculate the PM recovered from Containers #1, #2, #3, and #4. This is the total collectible PM (C_{TF}).

(b) Use Equation 46 to determine the quantitative recovery of PM_{10} (C_{TPM10}) from Containers #1, #3, and #4.

(c) Use Equation 47 to determine the quantitative recovery of $PM_{2.5}$ ($C_{TPM2.5}$) recovered from Containers #1 and #4.

12.4 *Reporting.* You must prepare a test report following the guidance in EPA Guidance Document 043, Preparation and Review of Test Reports (December 1998).

12.5 *Equations.* Use the following equations to complete the calculations required in this test method.

Molecular Weight of Dry Gas. Calculate the molecular weight of the dry gas using Equation 1.

$$M_d = 0.44 (\% CO_2) + 0.32 (\% O_2) + 0.28 (100 - \% O_2 - \% CO_2) \quad (\text{Eq. 1})$$

Molecular Weight of Wet Gas. Calculate the molecular weight of the stack gas on a wet basis using Equation 2.

$$M_w = M_d (1 - B_{ws}) + 18 (B_{ws}) \quad (\text{Eq. 2})$$

Gas Stream Viscosity. Calculate the gas stream viscosity using Equation 3. This equation uses constants for gas temperatures in °R.

$$\mu = C_1 + C_2 \sqrt{T_s} + C_3 T_s^{-2} + C_4 (\% O_{2,wet}) - C_5 B_{ws} + C_6 B_{ws} T_s^2 \quad (\text{Eq. 3})$$

Cunningham Correction Factor. The Cunningham correction factor is calculated for a 2.25 micrometer diameter particle.

$$C = 1 + 0.0057193 \left[\frac{\mu}{P_s D_{50}} \right] \left[\frac{T_s}{M_w} \right]^{0.5} \quad (\text{Eq. 4})$$

Lower Limit Cut Diameter for Cyclone I for N_{re} Less than 3,162. The Cunningham correction factor is calculated for a 2.25 micrometer diameter particle.

$$D_{50LL} = 9.507 C^{0.3007} \left[\frac{M_w P_s}{T_s} \right]^{0.1993} \quad (\text{Eq. 5})$$

Cut Diameter for Cyclone I for the Middle of the Overlap Zone.

$$D_{50T} = \left(\frac{11 + D_{50LL}}{2} \right) \quad (\text{Eq. 6})$$

Sampling Rate Using Both PM₁₀ and PM_{2.5} Cyclones.

$$Q_s = Q_I = 0.07296 (\mu) \left[\frac{T_s}{M_w P_s} \right]^{0.2949} \left[\frac{1}{D_{50T}} \right]^{1.4102} \quad (\text{Eq. 7})$$

Sampling Rate Using Only PM_{2.5} Cyclone.

For N_{re} less than 3,162:

$$Q_{IV} = 0.0060639 \left[\frac{\mu}{C^{0.4242}} \right] \left[\frac{P_s M_w}{T_s} \right]^{-0.5759} \left[\frac{1}{D_{50}} \right]^{0.8481} \quad (\text{Eq. 8})$$

For N_{re} greater than 3,162:

$$Q_{IV} = 0.007657 \left[\frac{\mu}{C^{0.6205}} \right] \left[\frac{P_s M_w}{T_s} \right]^{-0.3795} \left[\frac{1}{D_{50}} \right]^{0.1241} \quad (\text{Eq. 9})$$

Reynolds Number.

$$N_{re} = 8.64 \times 10^5 \left[\frac{P_s M_w}{T_s} \right] \left[\frac{Q_s}{\mu} \right] \quad (\text{Eq. 10})$$

Meter Box Orifice Pressure Drop.

$$\Delta H = \left[\frac{Q_s (1 - B_{ws}) P_s}{T_s} \right]^2 \left[\frac{1.083 T_m M_d \Delta H_{@}}{P_{bar}} \right] \quad (\text{Eq. 11})$$

Lower Limit Cut Diameter for Cyclone I for N_{re} Greater than or Equal to 3,162. The Cunningham correction factor is calculated for a 2.25 micrometer diameter particle.

$$D_{50LL} = 10.0959 C^{0.4400} \left[\frac{M_w P_s}{T_s} \right]^{0.0600} \quad (\text{Eq. 12})$$

Velocity of Stack Gas. Correct the mean preliminary velocity pressure for C_p and blockage using Equations 25, 26, and 27.

$$v_s = K_p C_p \left(\sqrt{\Delta p} \right)_{avg} \left[\sqrt{\frac{T_s}{P_s M_w}} \right] \quad (\text{Eq. 13})$$

Calculated Nozzle Diameter for Acceptable Sampling Rate.

$$D = \left[\frac{3.056 Q_s}{v_s} \right]^{0.5} \quad (\text{Eq. 14})$$

Velocity of Gas in Nozzle.

$$V_n = \frac{\left(\frac{Q_s}{60 \frac{\text{min}}{\text{s}}} \right)}{A_n} \quad (\text{Eq. 15})$$

Minimum Nozzle/Stack Velocity Ratio Parameter.

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$$R_{\min} = \left[0.2457 + \left(0.3072 - \frac{0.2603 (\mu) (Q_s)^{0.5}}{v_n^{1.5}} \right)^{0.5} \right] \quad (\text{Eq. 16})$$

Maximum Nozzle/Stack Velocity Ratio Parameter.

$$R_{\max} = \left[0.4457 + \left(0.5690 + \frac{0.2603 (\mu) (Q_s)^{0.5}}{v_n^{1.5}} \right)^{0.5} \right] \quad (\text{Eq. 17})$$

Minimum Gas Velocity for R_{\min} Less than 0.5.

$$v_{\min} = v_n (0.5) \quad (\text{Eq. 18})$$

Minimum Gas Velocity for R_{\min} Greater than or Equal to 0.5.

$$v_{\min} = v_n R_{\min} \quad (\text{Eq. 19})$$

Maximum Gas Velocity for R_{\max} Less than to 1.5.

$$v_{\max} = v_n R_{\max} \quad (\text{Eq. 20})$$

Maximum Gas Velocity for R_{\max} Greater than or Equal to 1.5.

$$v_{\max} = v_n (1.5) \quad (\text{Eq. 21})$$

Minimum Velocity Pressure.

$$\Delta p_{\min} = 1.3686 \times 10^{-4} \left[\frac{P_s M_w}{T_s} \right] \left[\frac{v_{\min}}{C_p} \right]^2 \quad (\text{Eq. 22})$$

Maximum Velocity Pressure.

$$\Delta p_{\max} = 1.3686 \times 10^{-4} \left[\frac{P_s M_w}{T_s} \right] \left[\frac{V_{\max}}{C_p} \right]^2 \quad (\text{Eq. 23})$$

Sampling Dwell Time at Each Point. N_{tp} is the total number of traverse points. You must use the preliminary velocity traverse data.

$$t_n = \left[\frac{C_p \sqrt{\Delta p_n}}{C_p' [(\Delta p)^{0.5}]_{\text{avg}}} \right] \left[\frac{t_r}{N_{tp}} \right] \quad (\text{Eq. 24})$$

Adjusted Velocity Pressure.

$$\Delta p_s = \Delta p_m \left[\frac{C_p}{C_p'} \right]^2 \quad (\text{Eq. 25})$$

Average Probe Blockage Factor.

$$b_f = \frac{22.0}{A} \quad (\text{Eq. 26})$$

Velocity Pressure.

$$\Delta p_{s_2} = \Delta p_{s_1} \left[\frac{1}{(1 - b_f)} \right]^2 \quad (\text{Eq. 27})$$

Dry Gas Volume Sampled at Standard Conditions.

$$V_{ms} = \left[\frac{528}{29.92} \right] [\gamma V_m] \left[\frac{\left(P_{\text{bar}} + \frac{\Delta H}{13.6} \right)}{T_m} \right] \quad (\text{Eq. 28})$$

Sample Flow Rate at Standard Conditions.

$$Q_{\text{SST}} = \frac{V_{\text{ms}}}{\theta} \quad (\text{Eq. 29})$$

Volume of Water Vapor.

$$V_{\text{ws}} = 0.04707 V_c \quad (\text{Eq. 30})$$

Moisture Content of Gas Stream.

$$B_{\text{ws}} = \left[\frac{V_{\text{ws}}}{V_{\text{ms}} + V_{\text{ws}}} \right] \quad (\text{Eq. 31})$$

Sampling Rate.

$$Q_s = \frac{29.92}{528} Q_{\text{SST}} \left[\frac{1}{(1 - B_{\text{ws}})} \right] \left[\frac{T_s}{P_s} \right] \quad (\text{Eq. 32})$$

(NOTE: The viscosity and Reynolds Number must be recalculated using the actual stack temperature, moisture, and oxygen content.)

Actual Particle Cut Diameter for Cyclone I. This is based on actual temperatures and pressures measured during the test run.

$$D_{50} = 0.15625 \left[\frac{T_s}{M_w P_s} \right]^{0.2091} \left[\frac{\mu}{Q_s} \right]^{0.7091} \quad (\text{Eq. 33})$$

Particle Cut Diameter for N_{re} Less than 3,162 for Cyclone IV. C must be recalculated using

the actual test data and a D_{50} for 2.5 micrometer diameter particle size.

$$D_{50} = 0.0024302 \left[\frac{\mu}{Q_s} \right]^{1.1791} \left[\frac{1}{C} \right]^{0.5} \left[\frac{T_s}{P_s M_w} \right]^{0.6790} \quad (\text{Eq. 34})$$

Particle Cut Diameter for N_{re} Greater than or Equal to 3,162 for Cyclone IV. C must be recalculated using the actual test run data and a D_{50} for 2.5 micrometer diameter particle size.

$$D_{50} = 0.019723 \left[\frac{\mu}{Q_s} \right]^{0.8058} \left[\frac{1}{C} \right]^{0.5} \left[\frac{T_s}{P_s M_w} \right]^{0.3058} \quad (\text{Eq. 35})$$

Re-estimated Cunningham Correction Factor. You must use the actual test run Reynolds Number (N_{re}) value and select the appropriate D_{50} from Equation 33 or 34 (or Equation 37 or 38 if reiterating).

$$C_r = 1 + 0.0057193 \left[\frac{\mu}{P_s D_{50}} \right] \left[\frac{T_s}{M_w} \right]^{0.5} \quad (\text{Eq. 36})$$

Re-calculated Particle Cut Diameter for N_{re} Less than 3,162.

$$D_{50-1} = 0.0024302 \left[\frac{\mu}{Q_s} \right]^{1.1791} \left[\frac{1}{C_r} \right]^{0.5} \left[\frac{T_s}{P_s M_w} \right]^{0.6790} \quad (\text{Eq. 37})$$

Re-calculated Particle Cut Diameter for N Greater than or Equal to 3,162.

$$D_{50-1} = 0.019723 \left[\frac{\mu}{Q_s} \right]^{0.8058} \left[\frac{1}{C_r} \right]^{0.5} \left[\frac{T_s}{P_s M_w} \right]^{0.3058} \quad (\text{Eq. 38})$$

Ratio (Z) Between D_{50} and D_{50-1} Values.

$$Z = \frac{D_{50-1}}{D_{50}} \quad (\text{Eq. 39})$$

Acceptance Criteria for Z Values. The number of iterative steps is represented by N.

$$0.99 \leq \left[Z = \left(\frac{D_{50N}}{D_{50N} + 1} \right) \right] \leq 1.01 \quad (\text{Eq. 40})$$

Percent Isokinetic Sampling.

$$I = \left(\frac{100 T_s V_{ms} 29.92}{60 V_s \theta A_n P_s (1 - B_{ws}) 528} \right) \quad (\text{Eq. 41})$$

Acetone Blank Concentration.

$$C_a = \frac{m_a}{V_a \rho_a} \quad (\text{Eq. 42})$$

Acetone Blank Correction Weight.

$$M_{(2,3,4)} = W_{(2,3,4)} - W_{a(2,3,4)} \quad (\text{Eq. 43})$$

Acetone Blank Weight.

$$W_a = C_a V_{aw} \rho_a \quad (\text{Eq. 44})$$

Concentration of Total Filterable PM.

$$C_{t f} = \left(\frac{7000}{453,592} \right) \left[\frac{M_1 + M_2 + M_3 + M_4}{V_{ms}} \right] \quad (\text{Eq. 45})$$

Concentration of Filterable PM₁₀.

$$C_{fPM 10} = \left(\frac{7000}{453,592} \right) \left[\frac{M_1 + M_3 + M_4}{V_{ms}} \right] \quad (\text{Eq. 46})$$

Concentration of Filterable PM_{2.5}.

$$C_{fPM 2.5} = \left(\frac{7000}{453,592} \right) \left[\frac{M_1 + M_4}{V_{ms}} \right] \quad (\text{Eq. 47})$$

13.0 Method Performance

13.1 Field evaluation of PM₁₀ and total PM showed that the precision of constant sampling rate method was the same magnitude as Method 17 of appendix A-6 to part 60 (approximately five percent). Precision in PM₁₀ and total PM between multiple trains showed standard deviations of four to five percent and total mass compared to 4.7 percent observed for Method 17 in simultaneous test runs at a Portland cement clinker cooler exhaust. The accuracy of the constant sampling rate PM₁₀ method for total mass, referenced to Method 17, was -2 ±4.4 percent (Farthing, 1988a).

13.2 Laboratory evaluation and guidance for PM₁₀ cyclones were designed to limit error due to spatial variations to 10 percent. The maximum allowable error due to an isokinetic sampling was limited to ±20 percent for 10 micrometer particles in laboratory tests (Farthing, 1988b).

13.3 A field evaluation of the revised Method 201A by EPA showed that the detection limit was 2.54 mg for total filterable PM, 1.44 mg for filterable PM₁₀, and 1.35 mg for PM_{2.5}. The precision resulting from 10 quadruplicate tests (40 test runs) conducted for the field evaluation was 6.7 percent relative standard deviation. The field evaluation also showed that the blank expected from Method 201A was less than 0.9 mg (EPA, 2010).

14.0 Alternative Procedures

Alternative methods for estimating the moisture content (ALT-008) and thermocouple calibration (ALT-011) can be found at <http://www.epa.gov/ttn/emc/approalt.html>.

15.0 Waste Management

[Reserved]

16.0 References

- (1) Dawes, S.S., and W.E. Farthing. 1990. "Application Guide for Measurement of PM_{2.5} at Stationary Sources," U.S. Environmental Protection Agency, Atmospheric Research and Exposure Assessment Laboratory, Research Triangle Park, NC, 27511, EPA-600/3-90/057 (NTIS No.: PB 90-247198).
- (2) Farthing, *et al.* 1988a. "PM₁₀ Source Measurement Methodology: Field Studies," EPA 600/3-88/055, NTIS PB89-194278/AS, U.S. Environmental Protection Agency, Research Triangle Park, NC 27711.
- (3) Farthing, W.E., and S.S. Dawes. 1988b. "Application Guide for Source PM₁₀ Measurement with Constant Sampling Rate," EPA/600/3-88-057, U.S. Environmental Protection Agency, Research Triangle Park, NC 27711.
- (4) Richards, J.R. 1996. "Test protocol: PCA PM₁₀/PM_{2.5} Emission Factor Chemical Characterization Testing," PCA R&D Serial No. 2081, Portland Cement Association.
- (5) U.S. Environmental Protection Agency, Federal Reference Methods 1 through 5 and Method 17, 40 CFR part 60, Appendix A-1 through A-3 and A-6.
- (6) U.S. Environmental Protection Agency. 2010. "Field Evaluation of an Improved Method for Sampling and Analysis of Filterable and Condensable Particulate Matter." Office of Air Quality Planning and Standards, Sector Policy and Program Division Monitoring Policy Group. Research Triangle Park, NC 27711.

17.0 Tables, Diagrams, Flowcharts, and Validation Data

You must use the following tables, diagrams, flowcharts, and data to complete this test method successfully.

TABLE 1—TYPICAL PM CONCENTRATIONS

Particle size range	Concentration and % by weight
Total collectible particulate	0.015 gr/DSCF.
Less than or equal to 10 and greater than 2.5 micrometers	40% of total collectible PM.
≤2.5 micrometers	20% of total collectible PM.

TABLE 2—REQUIRED CYCLONE CUT DIAMETERS (D₅₀)

Cyclone	Min. cut diameter (micrometer)	Max. cut diameter (micrometer)
PM ₁₀ Cyclone (Cyclone I from five stage cyclone)	9	11
PM _{2.5} Cyclone (Cyclone IV from five stage cyclone)	2.25	2.75

TABLE 3—TEST CALCULATIONS

If you are using . . .	To calculate . . .	Then use . . .
Preliminary data	Dry gas molecular weight, M_d	Equation 1.
Dry gas molecular weight (M_d) and preliminary moisture content of the gas stream.	wet gas molecular weight, M_w	Equation 2. ^a
Stack gas temperature, and oxygen and moisture content of the gas stream.	gas viscosity, μ	Equation 3.
Gas viscosity, μ	Cunningham correction factor ^b , C	Equation 4.
Reynolds Number ^c (N_{re})	Preliminary lower limit cut diameter for cyclone I, D_{50LL} .	Equation 5.
N_{re} less than 3,162	Cut diameter for cyclone I for middle of the overlap zone, D_{50OT} .	Equation 6.
D_{50LL} from Equation 5	Final sampling rate for cyclone I, $Q_I(Q_s)$	Equation 7.
D_{50OT} from Equation 6	Final sampling rate for cyclone IV, Q_{IV}	Equation 8.
D_{50} for $PM_{2.5}$ cyclone and N_{re} less than 3,162	Final sampling rate for cyclone IV, Q_{IV}	Equation 9.
D_{50} for $PM_{2.5}$ cyclone and N_{re} greater than or equal to 3,162.	Verify the assumed Reynolds number, N_{re}	Equation 10.
$Q_I(Q_s)$ from Equation 7		

^a Use Method 4 to determine the moisture content of the stack gas. Use a wet bulb-dry bulb measurement device or hand-held hygrometer to estimate moisture content of sources with gas temperature less than 160 °F.

^b For the lower cut diameter of cyclone IV, 2.25 micrometer.

^c Verify the assumed Reynolds number, using the procedure in Section 8.5.1, before proceeding to Equation 11.

TABLE 4— ΔH VALUES BASED ON PRELIMINARY TRAVERSE DATA

Stack Temperature (°R)	$T_s - 50^\circ$	T_s	$T_s + 50^\circ$
ΔH_i (inches W.C.)	a	a	a

^a These values are to be filled in by the stack tester.

TABLE 5—VERIFICATION OF THE ASSUMED REYNOLDS NUMBER

If the N_{re} is . . .	Then . . .	And . . .
Less than 3,162	Calculate ΔH for the meter box	Assume original D_{50LL} is correct
Greater than or equal to 3,162	Recalculate D_{50LL} using Equation 12.	Substitute the "new" D_{50LL} into Equation 6 to recalculate D_{50OT} .

TABLE 6—CALCULATIONS FOR RECOVERY OF PM_{10} AND $PM_{2.5}$

Calculations	Instructions and References
Average dry gas meter temperature	See field test data sheet.
Average orifice pressure drop	See field test data sheet.
Dry gas volume (V_{ms})	Use Equation 28 to correct the sample volume measured by the dry gas meter to standard conditions (20 °C, 760 mm Hg or 68 °F, 29.92 inches Hg).
Dry gas sampling rate (Q_{sT})	Must be calculated using Equation 29.
Volume of water condensed (V_{ws})	Use Equation 30 to determine the water condensed in the impingers and silica gel combination. Determine the total moisture catch by measuring the change in volume or weight in the impingers and weighing the silica gel.
Moisture content of gas stream (B_{ws})	Calculate this using Equation 31.
Sampling rate (Q_s)	Calculate this using Equation 32.
Test condition Reynolds number ^a	Use Equation 10 to calculate the actual Reynolds number during test conditions.
Actual D_{50} of cyclone I	Calculate this using Equation 33. This calculation is based on the average temperatures and pressures measured during the test run.
Stack gas velocity (v_s)	Calculate this using Equation 13.
Percent isokinetic rate (%)	Calculate this using Equation 41.

^a Calculate the Reynolds number at the cyclone IV inlet during the test based on: (1) The sampling rate for the combined cyclone head, (2) the actual gas viscosity for the test, and (3) the dry and wet gas stream molecular weights.

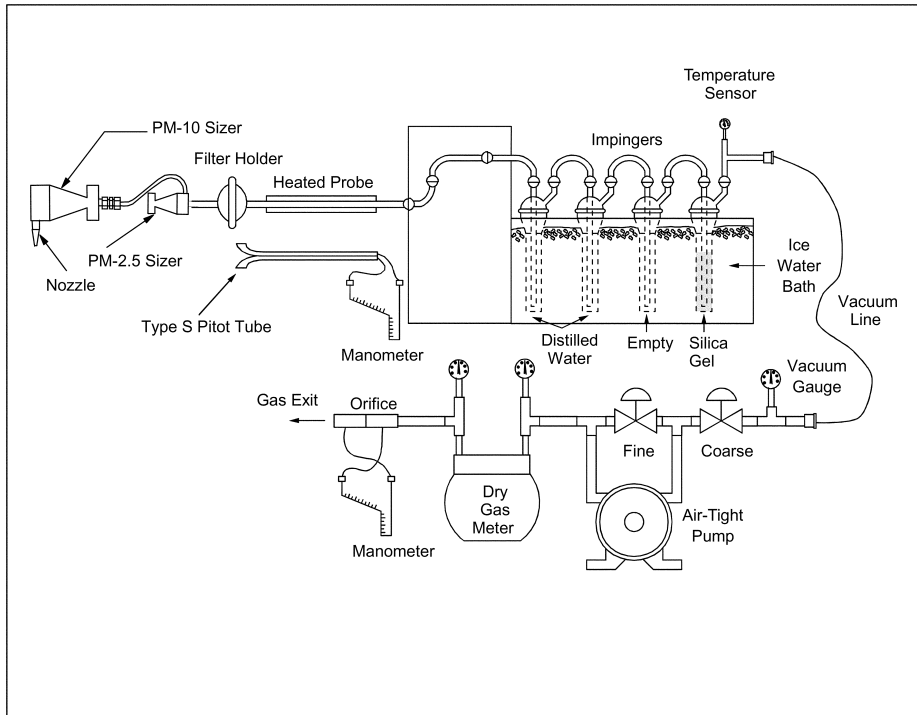


Figure 1. In-stack PM₁₀ and PM_{2.5} Sampling Train

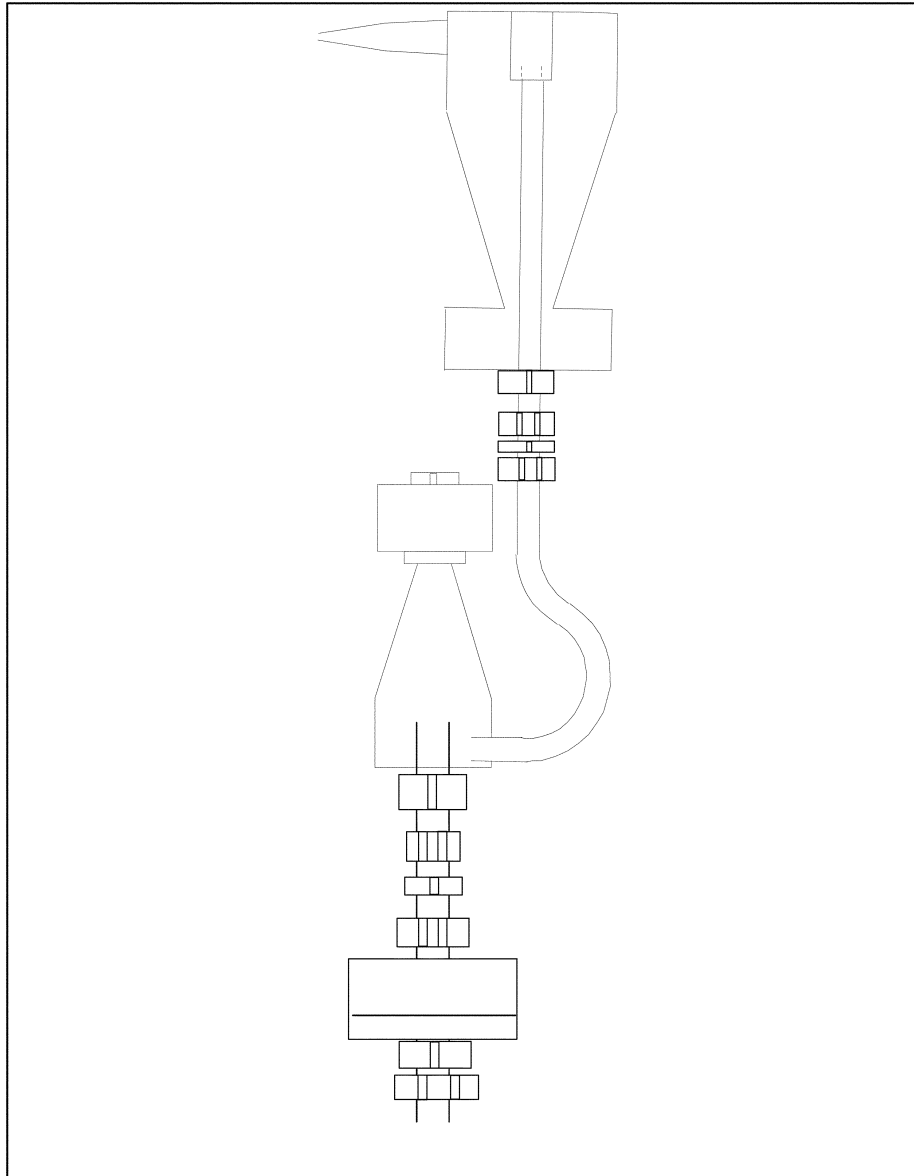
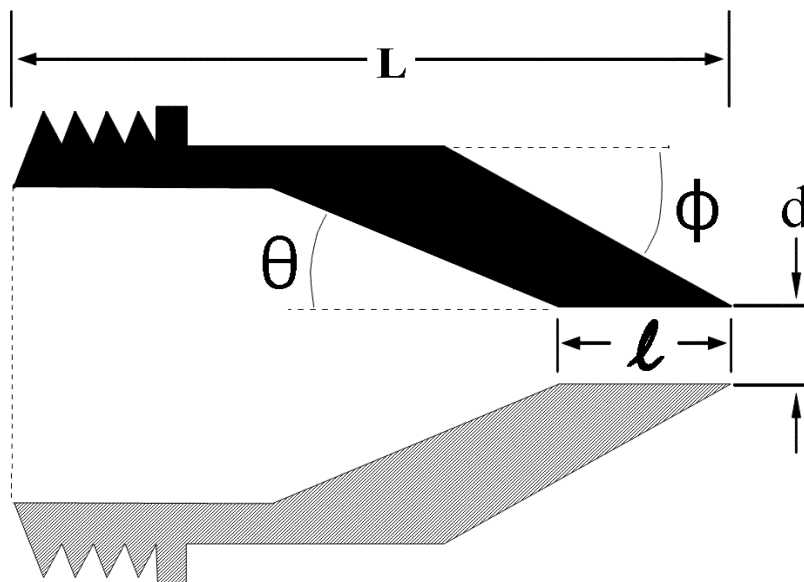
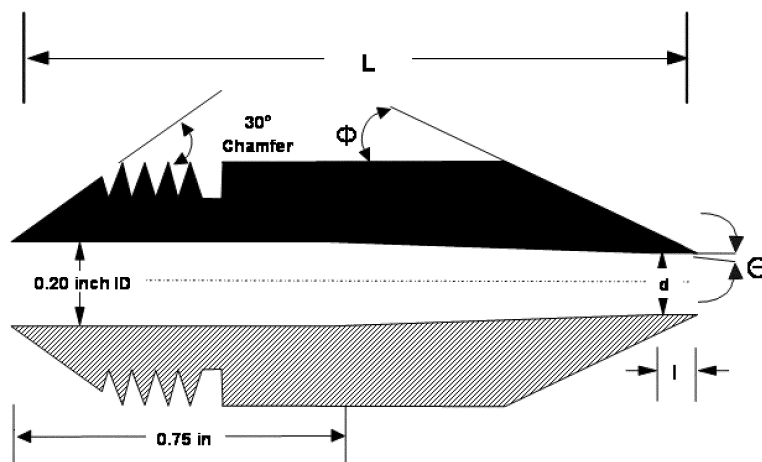


Figure 2. Combined Cyclone Sampling Head



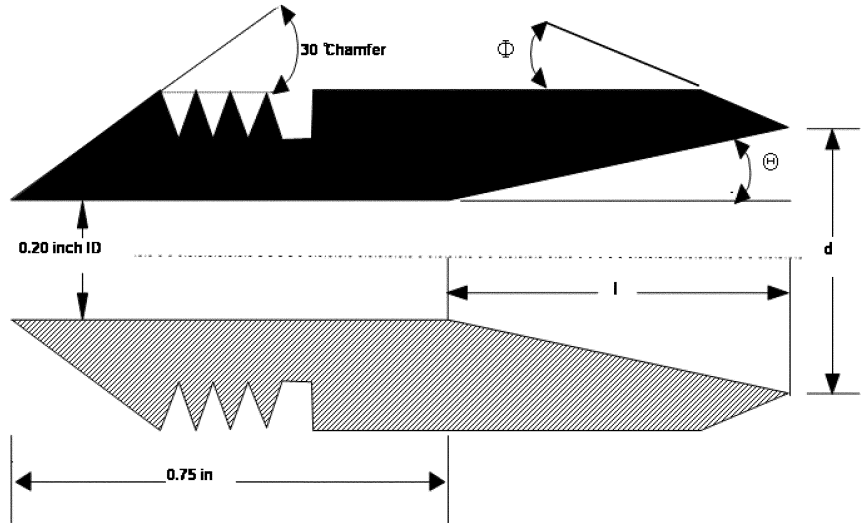
Nozzle Diameter, d (inches)	Cone Angle, θ (degrees)	Outside Taper, ϕ (degrees)	Straight Inlet Length, l (inches)	Total Length, L (inches)
0.125	4	15	<0.05	2.710 ± 0.05
0.136	4	15	<0.05	2.653 ± 0.05
0.150	4	15	<0.05	2.553 ± 0.05
0.164	5	15	<0.05	1.970 ± 0.05
0.180	6	15	<0.05	1.572 ± 0.05
0.197	6	15	<0.05	1.491 ± 0.05
0.215	6	15	<0.05	1.450 ± 0.05
0.233	6	15	<0.05	1.450 ± 0.05
0.264	5	15	<0.05	1.450 ± 0.05
0.300	4	15	<0.05	1.480 ± 0.05
0.342	4	15	<0.05	1.450 ± 0.05
0.390	3	15	<0.05	1.450 ± 0.05

Figure 3. Nozzle Design Specifications for PM_{10} Cyclone



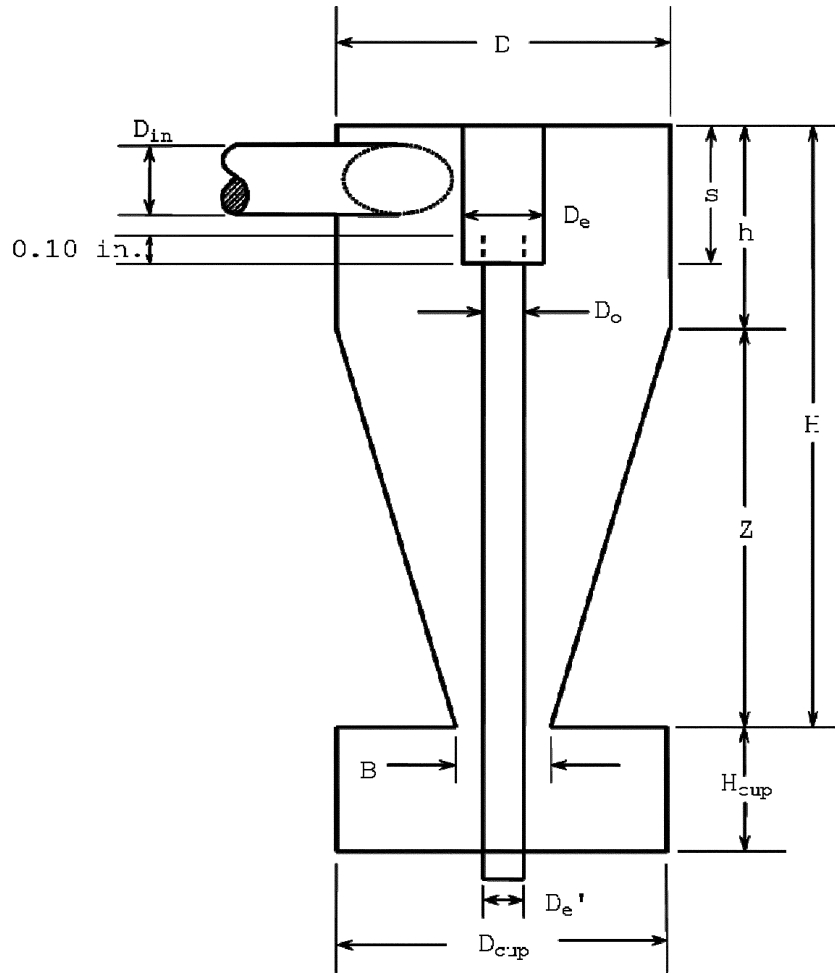
Nozzle Diameter, d (inches)	Internal Cone Angle, θ (degrees)	Outside Taper, ϕ (degrees)	Straight Inlet Length, l (inches)	Total Length, L (inches)
0.125	3	15	≤ 0.05	1.45 ± 0.05
0.138	2	15	≤ 0.05	1.45 ± 0.05
0.156	1	15	≤ 0.05	1.45 ± 0.05
0.172	1	15	≤ 0.05	1.45 ± 0.05
0.188	1	15	≤ 0.05	1.45 ± 0.05
0.200	0	15	≤ 0.05	1.45 ± 0.05

Figure 4A. Nozzle Design for PM_{2.5} Cyclone (Higher Stack Flow)



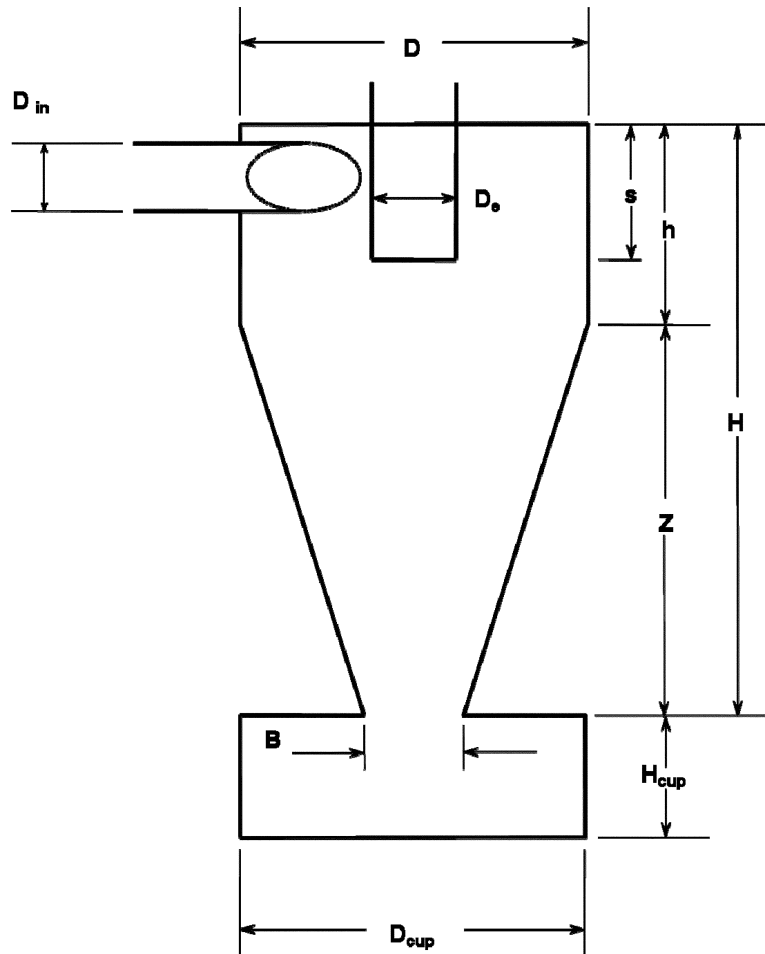
Nozzle diameter, d (inches)	Cone Angle, θ (degrees)	Outside taper, ϕ (degrees)	Internal Taper length, l (inches)
0.216	5	15	0.093
0.234	5	15	0.194
0.253	5	15	0.304
0.274	5	15	0.422
0.296	5	15	0.549
0.320	5	15	0.688

Figure 4B. Nozzle Design for PM_{2.5} Cyclone (Lower Stack Flow)



Cyclone I (10 Micrometer)	Cyclone Interior Dimensions (cm \pm 0.02 cm)											
	D_{in}	D	D_e	B	H	h	Z	S	H_{cup}	D_{cup}	$D_{e'}$	D_o
	1.27	4.47	1.50	1.88	6.95	2.24	4.71	1.57	2.25	4.45	1.02	1.24

Figure 5. Design Specifications for Cyclone I (10 Micrometer)



Cyclone IV (2.5 Micrometer)	Cyclone Interior Dimensions (cm \pm 0.02 cm)									
	D_{in}	D	D_e	B	H	h	Z	S	H_{cup}	D_{cup}
	0.51	2.54	0.59	1.09	2.68	1.03	1.65	0.58	2.22	2.62

Figure 6. Design Specifications for Cyclone IV (2.5 Micrometer) Sizing Device

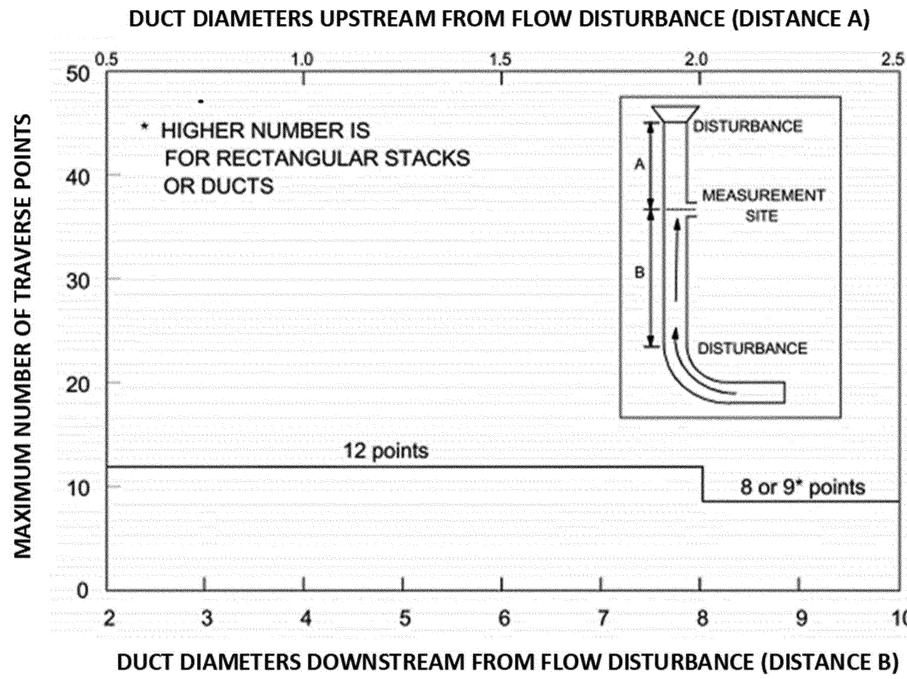


Figure 7. Maximum Number of Required Traverse Points

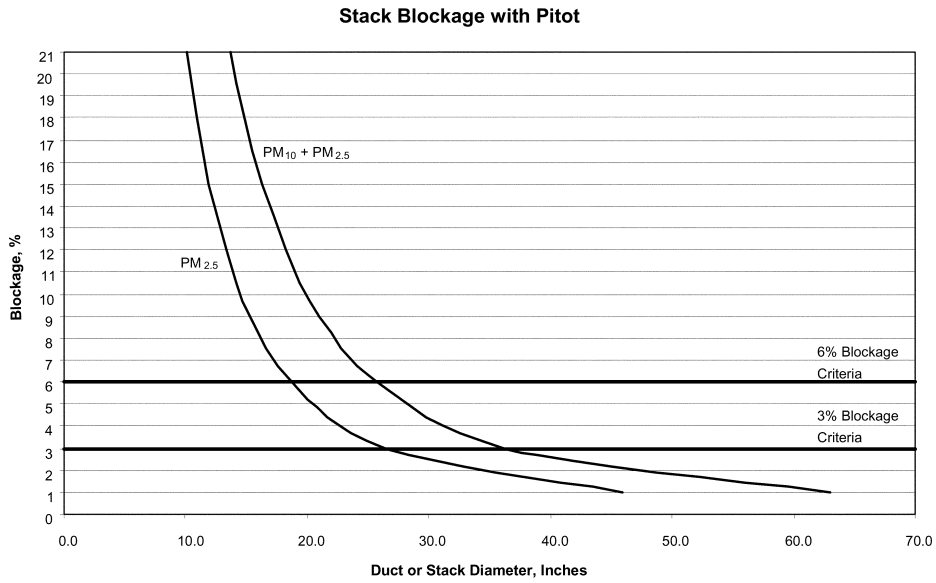


Figure 8. Gas Flow Blockage by the Sampling Heads with the Pitot Tube
Stack Blockage without Pitot

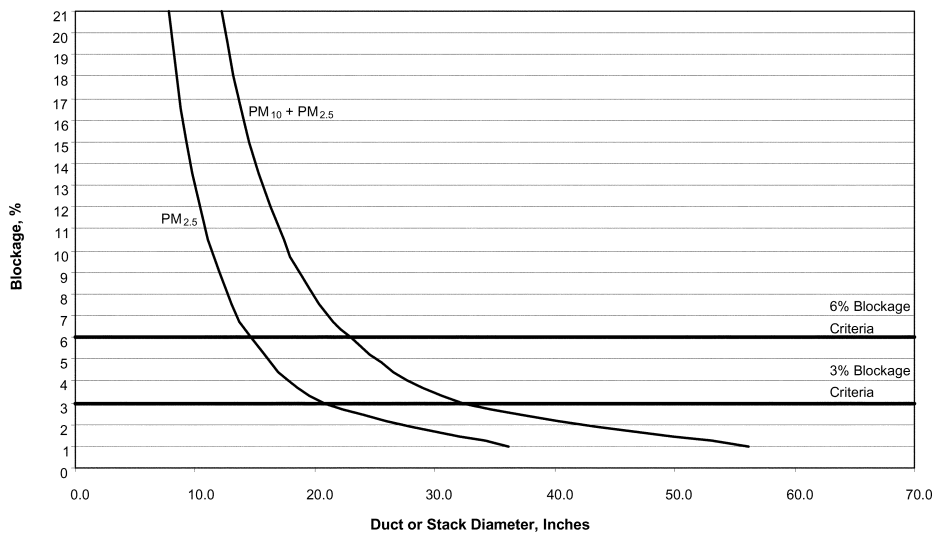


Figure 9. Gas Flow Blockage by the Sampling Heads without the Pitot Tube

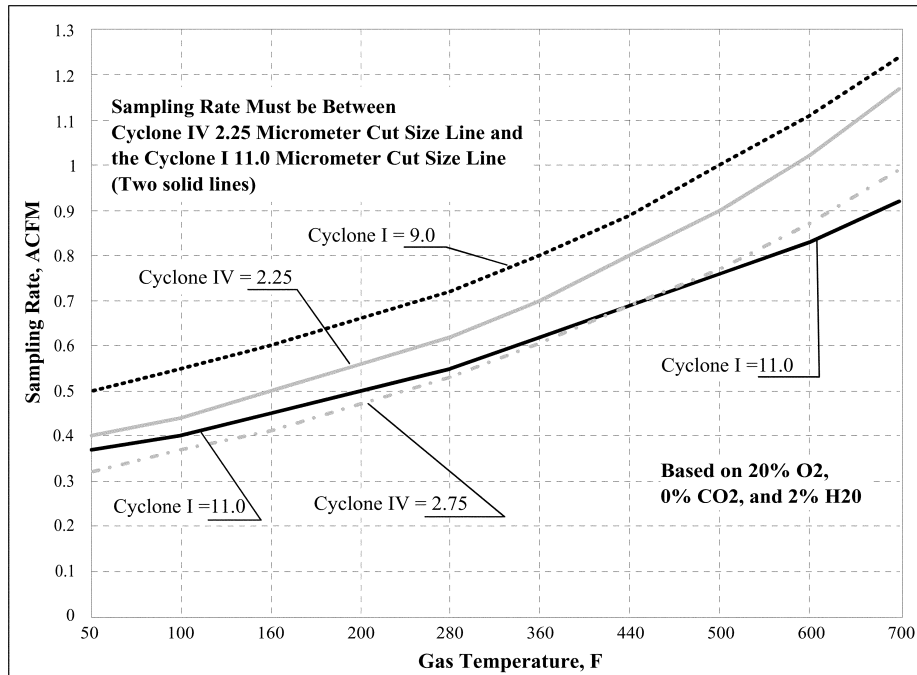


Figure 10. Acceptable Sampling Rate for Combined Cyclone Heads

METHOD 202—DRY IMPINGER METHOD FOR DETERMINING CONDENSABLE PARTICULATE EMISSIONS FROM STATIONARY SOURCES

1.0 Scope and Applicability

1.1 Scope. The U.S. Environmental Protection Agency (U.S. EPA or “we”) developed this method to describe the procedures that the stack tester (“you”) must follow to measure condensable particulate matter (CPM) emissions from stationary sources. This method includes procedures for measuring both organic and inorganic CPM.

1.2 Applicability. This method addresses the equipment, preparation, and analysis necessary to measure only CPM. You can use this method only for stationary source emission measurements. You can use this method to measure CPM from stationary source emissions after filterable particulate matter (PM) has been removed. CPM is measured in the emissions after removal from the stack and after passing through a filter.

(a) If the gas filtration temperature exceeds 30 °C (85 °F) and you must measure both the filterable and condensable (material that condenses after passing through a filter) components of total primary (direct) PM

emissions to the atmosphere, then you must combine the procedures in this method with the procedures in Method 201A of appendix M to this part for measuring filterable PM. However, if the gas filtration temperature never exceeds 30 °C (85 °F), then use of this method is not required to measure total primary PM.

(b) If Method 17 of appendix A-6 to part 60 is used in conjunction with this method and constant weight requirements for the in-stack filter cannot be met, the Method 17 filter and sampling nozzle rinse must be treated as described in Sections 8.5.4.4 and 11.2.1 of this method. (See Section 3.0 for a definition of constant weight.) Extracts resulting from the use of this procedure must be filtered to remove filter fragments before the filter is processed and weighed.

1.3 Responsibility. You are responsible for obtaining the equipment and supplies you will need to use this method. You should also develop your own procedures for following this method and any additional procedures to ensure accurate sampling and analytical measurements.

1.4 Additional Methods. To obtain reliable results, you should have a thorough knowledge of the following test methods that are found in appendices A-1 through A-3 and A-6 to part 60, and in appendix M to this part:

(a) Method 1—Sample and velocity traverses for stationary sources.

(b) Method 2—Determination of stack gas velocity and volumetric flow rate (Type S pitot tube).

(c) Method 3—Gas analysis for the determination of dry molecular weight.

(d) Method 4—Determination of moisture content in stack gases.

(e) Method 5—Determination of particulate matter emissions from stationary sources.

(f) Method 17—Determination of particulate matter emissions from stationary sources (in-stack filtration method).

(g) Method 201A—Determination of PM_{10} and $PM_{2.5}$ emissions from stationary sources (Constant sampling rate procedure).

(h) You will need additional test methods to measure filterable PM. You may use Method 5 (including Method 5A, 5D and 5I but not 5B, 5E, 5F, 5G, or 5H) of appendix A-3 to part 60, or Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part to collect filterable PM from stationary sources with temperatures above 30 °C (85 °F) in conjunction with this method. However, if the gas filtration temperature never exceeds 30 °C (85 °F), then use of this method is not required to measure total primary PM.

1.5 Limitations. You can use this method to measure emissions in stacks that have entrained droplets only when this method is combined with a filterable PM test method that operates at high enough temperatures to cause water droplets sampled through the probe to become vaporous.

1.6 Conditions. You must maintain isokinetic sampling conditions to meet the requirements of the filterable PM test method used in conjunction with this method. You must sample at the required number of sampling points specified in Method 5 of appendix A-3 to part 60, Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part. Also, if you are using this method as an alternative to a required performance test method, you must receive approval from the regulatory authority that established the requirement to use this test method prior to conducting the test.

2.0 Summary of Method

2.1 Summary. The CPM is collected in dry impingers after filterable PM has been collected on a filter maintained as specified in either Method 5 of appendix A-3 to part 60, Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part. The organic and aqueous fractions of the impingers and an out-of-stack CPM filter are then taken to dryness and weighed. The total of the impinger fractions and the CPM

filter represents the CPM. Compared to the version of Method 202 that was promulgated on December 17, 1991, this method eliminates the use of water as the collection media in impingers and includes the addition of a condenser followed by a water dropout impinger immediately after the final in-stack or heated filter. This method also includes the addition of one modified Greenburg Smith impinger (backup impinger) and a CPM filter following the water dropout impinger. Figure 1 of Section 18 presents the schematic of the sampling train configured with these changes.

2.1.1 Condensable PM. CPM is collected in the water dropout impinger, the modified Greenburg Smith impinger, and the CPM filter of the sampling train as described in this method. The impinger contents are purged with nitrogen immediately after sample collection to remove dissolved sulfur dioxide (SO_2) gases from the impinger. The CPM filter is extracted with water and hexane. The impinger solution is then extracted with hexane. The organic and aqueous fractions are dried and the residues are weighed. The total of the aqueous and organic fractions represents the CPM.

2.1.2 Dry Impinger and Additional Filter. The potential artifacts from SO_2 are reduced using a condenser and water dropout impinger to separate CPM from reactive gases. No water is added to the impingers prior to the start of sampling. To improve the collection efficiency of CPM, an additional filter (the “CPM filter”) is placed between the second and third impingers.

3.0 Definitions

3.1 *Condensable PM (CPM)* means material that is vapor phase at stack conditions, but condenses and/or reacts upon cooling and dilution in the ambient air to form solid or liquid PM immediately after discharge from the stack. Note that all condensable PM is assumed to be in the $PM_{2.5}$ size fraction.

3.2 *Constant weight* means a difference of no more than 0.5 mg or one percent of total weight less tare weight, whichever is greater, between two consecutive weighings, with no less than six hours of desiccation time between weighings.

3.3 *Field Train Proof Blank*. A field train proof blank is recovered on site from a clean, fully-assembled sampling train prior to conducting the first emissions test.

3.4 *Filterable PM* means particles that are emitted directly by a source as a solid or liquid at stack or release conditions and captured on the filter of a stack test train.

3.5 *Primary PM* (also known as direct PM) means particles that enter the atmosphere as a direct emission from a stack or an open source. Primary PM comprises two components: filterable PM and condensable PM. These two PM components have no upper particle size limit.

3.6 *Primary PM_{2.5}* (also known as direct PM_{2.5}, total PM_{2.5}, PM_{2.5}, or combined filterable PM_{2.5} and condensable PM) means PM with an aerodynamic diameter less than or equal to 2.5 micrometers. These solid particles are emitted directly from an air emissions source or activity, or are the gaseous emissions or liquid droplets from an air emissions source or activity that condense to form PM at ambient temperatures. Direct PM_{2.5} emissions include elemental carbon, directly emitted organic carbon, directly emitted sulfate, directly emitted nitrate, and other inorganic particles (including but not limited to crustal material, metals, and sea salt).

3.7 *Primary PM₁₀* (also known as direct PM₁₀, total PM₁₀, PM₁₀, or the combination of filterable PM₁₀ and condensable PM) means PM with an aerodynamic diameter equal to or less than 10 micrometers.

3.8 *ASTM E617-13*. ASTM E617-13 "Standard Specification for Laboratory Weights and Precisions Mass Standards," approved May 1, 2013, was developed and adopted by the American Society for Testing and Materials (ASTM). The standards cover weights and mass standards used in laboratories for specific classes. The ASTM E617-13 standard has been approved for incorporation by reference by the Director of the Office of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. The standard may be obtained from <http://www.astm.org> or from the ASTM at 100 Barr Harbor Drive, P.O. Box C700, West Conshohocken, PA 19428-2959. All approved material is available for inspection at EPA WJC West Building, Room 3334, 1301 Constitution Ave. NW., Washington, DC 20460, telephone number 202-566-1744. It is also available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030 or go to http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html.

4.0 Interferences

[Reserved]

5.0 Safety

Disclaimer. Because the performance of this method may require the use of hazardous materials, operations, and equipment, you should develop a health and safety plan to ensure the safety of your employees who are on site conducting the particulate emission test. Your plan should conform with all applicable Occupational Safety and Health Administration, Mine Safety and Health Administration, and Department of Transportation regulatory requirements. Because of the unique situations at some facilities and because some facilities may have more stringent requirements than is required by State

or federal laws, you may have to develop procedures to conform to the plant health and safety requirements.

6.0 Equipment and Supplies

The equipment used in the filterable particulate portion of the sampling train is described in Methods 5 and 17 of appendix A-1 through A-3 and A-6 to part 60 and Method 201A of appendix M to this part. The equipment used in the CPM portion of the train is described in this section.

6.1 Condensable Particulate Sampling Train Components. The sampling train for this method is used in addition to filterable particulate collection using Method 5 of appendix A-3 to part 60, Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part. This method includes the following exceptions or additions:

6.1.1 Probe Extension and Liner. The probe extension between the filterable particulate filter and the condenser must be glass- or fluoropolymer-lined. Follow the specifications for the probe liner specified in Section 6.1.1.2 of Method 5 of appendix A-3 to part 60.

6.1.2 Condenser and Impingers. You must add the following components to the filterable particulate sampling train: A Method 23 type condenser as described in Section 2.1.2 of Method 23 of appendix A-8 to part 60, followed by a water dropout impinger or flask, followed by a modified Greenburg-Smith impinger (backup impinger) with an open tube tip as described in Section 6.1.1.8 of Method 5 of appendix A-3 to part 60.

6.1.3 CPM Filter Holder. The modified Greenburg-Smith impinger is followed by a filter holder that is either glass, stainless steel (316 or equivalent), or fluoropolymer-coated stainless steel. Commercial size filter holders are available depending on project requirements. Use a commercial filter holder capable of supporting 47 mm or greater diameter filters. Commercial size filter holders contain a fluoropolymer O-ring, stainless steel, ceramic or fluoropolymer filter support and a final fluoropolymer O-ring. A filter that meets the requirements specified in Section 7.1.1 may be placed behind the CPM filter to reduce the pressure drop across the CPM filter. This support filter is not part of the PM sample and is not recovered with the CPM filter. At the exit of the CPM filter, install a fluoropolymer-coated or stainless steel encased thermocouple that is in contact with the gas stream.

6.1.4 Long Stem Impinger Insert. You will need a long stem modified Greenburg Smith impinger insert for the water dropout impinger to perform the nitrogen purge of the sampling train.

6.2 Sample Recovery Equipment.

6.2.1 Condensable PM Recovery. Use the following equipment to quantitatively determine the amount of CPM recovered from the sampling train.

(a) Nitrogen purge line. You must use inert tubing and fittings capable of delivering at least 14 liters/min of nitrogen gas to the impinger train from a standard gas cylinder (see Figures 2 and 3 of Section 18). You may use standard 0.6 centimeters (¼ inch) tubing and compression fittings in conjunction with an adjustable pressure regulator and needle valve.

(b) Rotameter. You must use a rotameter capable of measuring gas flow up to 20 L/min. The rotameter must be accurate to five percent of full scale.

(c) Nitrogen gas purging system. Compressed ultra-pure nitrogen, regulator, and filter must be capable of providing at least 14 L/min purge gas for one hour through the sampling train.

(d) Amber glass bottles (500 ml).

6.2.2 Analysis Equipment. The following equipment is necessary for CPM sample analysis:

(a) Separatory Funnel. Glass, 1 liter.

(b) Weighing Tins. 50 ml. Glass evaporation vials, fluoropolymer beaker liners, or aluminum weighing tins can be used.

(c) Glass Beakers. 300 to 500 ml.

(d) Drying Equipment. A desiccator containing anhydrous calcium sulfate that is maintained below 10 percent relative humidity, and a hot plate or oven equipped with temperature control.

(e) Glass Pipets. 5 ml.

(f) Burette. Glass, 0 to 100 ml in 0.1 ml graduations.

(g) Analytical Balance. Analytical balance capable of weighing at least 0.0001 g (0.1 mg).

(h) pH Meter or Colormetric pH Indicator. The pH meter or colormetric pH indicator (e.g., phenolphthalein) must be capable of determining the acidity of liquid within 0.1 pH units.

(i) Sonication Device. The device must have a minimum sonication frequency of 20 kHz and be approximately four to six inches deep to accommodate the sample extractor tube.

(j) Leak-Proof Sample Containers. Containers used for sample and blank recovery must not contribute more than 0.05 mg of residual mass to the CPM measurements.

(k) Wash bottles. Any container material is acceptable, but wash bottles used for sample and blank recovery must not contribute more than 0.1 mg of residual mass to the CPM measurements.

7.0 Reagents and Standards

7.1 Sample Collection. To collect a sample, you will need a CPM filter, crushed ice, and silica gel. You must also have water and nitrogen gas to purge the sampling train.

You will find additional information on each of these items in the following summaries.

7.1.1 CPM Filter. You must use a nonreactive, nondisintegrating polymer filter that does not have an organic binder and does not contribute more than 0.5 mg of residual mass to the CPM measurements. The CPM filter must also have an efficiency of at least 99.95 percent (less than 0.05 percent penetration) on 0.3 micrometer dioctyl phthalate particles. You may use test data from the supplier's quality control program to document the CPM filter efficiency.

7.1.2 Silica Gel. Use an indicating-type silica gel of six to 16 mesh. You must obtain approval of the Administrator for other types of desiccants (equivalent or better) before you use them. Allow the silica gel to dry for two hours at 175 °C (350 °F) if it is being reused. You do not have to dry new silica gel if the indicator shows the silica gel is active for moisture collection.

7.1.3 Water. Use deionized, ultra-filtered water that contains 1.0 parts per million by weight (ppmw) (1 mg/L) residual mass or less to recover and extract samples.

7.1.4 Crushed Ice. Obtain from the best readily available source.

7.1.5 Nitrogen Gas. Use Ultra-High Purity compressed nitrogen or equivalent to purge the sampling train. The compressed nitrogen you use to purge the sampling train must contain no more than 1 parts per million by volume (ppmv) oxygen, 1 ppmv total hydrocarbons as carbon, and 2 ppmv moisture. The compressed nitrogen must not contribute more than 0.1 mg of residual mass per purge.

7.2 Sample Recovery and Analytical Reagents. You will need acetone, hexane, anhydrous calcium sulfate, ammonia hydroxide, and deionized water for the sample recovery and analysis. Unless otherwise indicated, all reagents must conform to the specifications established by the Committee on Analytical Reagents of the American Chemical Society. If such specifications are not available, then use the best available grade. Additional information on each of these items is in the following paragraphs:

7.2.1 Acetone. Use acetone that is stored in a glass bottle. Do not use acetone from a metal container because it normally produces a high residual mass in the laboratory and field reagent blanks. You must use acetone that has a blank value less than 1.0 ppmw (0.1 mg/100 g) residue.

7.2.2 Hexane, American Chemical Society grade. You must use hexane that has a blank residual mass value less than 1.0 ppmw (0.1 mg/100 g) residue.

7.2.3 Water. Use deionized, ultra-filtered water that contains 1 ppmw (1 mg/L) residual mass or less to recover material caught in the impinger.

7.2.4 Condensable Particulate Sample Desiccant. Use indicating-type anhydrous

calcium sulfate to desiccate water and organic extract residue samples prior to weighing.

7.2.5 Ammonium Hydroxide. Use National Institute of Standards and Technology-traceable or equivalent (0.1 N) NH_4OH .

7.2.6 Standard Buffer Solutions. Use one buffer filtration with a neutral pH and a second buffer solution with an acid pH of no less than 4.

8.0 Sample Collection, Preservation, Storage, and Transport

8.1 Qualifications. This is a complex test method. To obtain reliable results, you should be trained and experienced with in-stack filtration systems (such as, cyclones, impactors, and thimbles) and impinger and moisture train systems.

8.2 Preparations. You must clean all glassware used to collect and analyze samples prior to field tests as described in Section 8.4 prior to use. Cleaned glassware must be used at the start of each new source category tested at a single facility. Analyze laboratory reagent blanks (water, acetone, and hexane) before field tests to verify low blank concentrations. Follow the pretest preparation instructions in Section 8.1 of Method 5.

8.3 Site Setup. You must follow the procedures required in Methods 5, 17, or 201A, whichever is applicable to your test requirements including:

- (a) Determining the sampling site location and traverse points.
- (b) Calculating probe/cyclone blockage (as appropriate).
- (c) Verifying the absence of cyclonic flow.
- (d) Completing a preliminary velocity profile, and selecting a nozzle(s) and sampling rate.

8.3.1 Sampling Site Location. Follow the standard procedures in Method 1 of appendix A-1 to part 60 to select the appropriate sampling site. Choose a location that maximizes the distance from upstream and downstream flow disturbances.

8.3.2 Traverse points. Use the required number of traverse points at any location, as found in Methods 5, 17, or 201A, whichever is applicable to your test requirements. You must prevent the disturbance and capture of any solids accumulated on the inner wall surfaces by maintaining a 1-inch distance from the stack wall (0.5 inch for sampling locations less than 24 inches in diameter).

8.4 Sampling Train Preparation. A schematic of the sampling train used in this method is shown in Figure 1 of Section 18. All glassware that is used to collect and analyze samples must be cleaned prior to the test with soap and water, and rinsed using tap water, deionized water, acetone, and finally, hexane. It is important to completely remove all silicone grease from areas that will be exposed to the hexane rinse during sample recovery. After cleaning, you must

bake glassware at 300 °C for six hours prior to beginning tests at each source category sampled at a facility. As an alternative to baking glassware, a field train proof blank, as specified in Section 8.5.4.10, can be performed on the sampling train glassware that is used to collect CPM samples. Prior to each sampling run, the train glassware used to collect condensable PM must be rinsed thoroughly with deionized, ultra-filtered water that contains 1 ppmw (1 mg/L) residual mass or less.

8.4.1 Condenser and Water Dropout Impinger. Add a Method 23 type condenser and a condensate dropout impinger without bubbler tube after the final probe extension that connects the in-stack or out-of-stack hot filter assembly with the CPM sampling train. The Method 23 type stack gas condenser is described in Section 2.1.2 of Method 23. The condenser must be capable of cooling the stack gas to less than or equal to 30 °C (85 °F).

8.4.2 Backup Impinger. The water dropout impinger is followed by a modified Greenburg Smith impinger (backup impinger) with no taper (see Figure 1 of Section 18). Place the water dropout and backup impingers in an insulated box with water at less than or equal to 30 °C (less than or equal to 85 °F). At the start of the tests, the water dropout and backup impingers must be clean, without any water or reagent added.

8.4.3 CPM Filter. Place a filter holder with a filter meeting the requirements in Section 7.1.1 after the backup impinger. The connection between the CPM filter and the moisture trap impinger must include a thermocouple fitting that provides a leak-free seal between the thermocouple and the stack gas. (NOTE: A thermocouple well is not sufficient for this purpose because the fluoropolymer- or steel-encased thermocouple must be in contact with the sample gas.)

8.4.4 Moisture Traps. You must use a modified Greenburg-Smith impinger containing 100 ml of water, or the alternative described in Method 5 of appendix A-3 to part 60, followed by an impinger containing silica gel to collect moisture that passes through the CPM filter. You must maintain the gas temperature below 20 °C (68 °F) at the exit of the moisture traps.

8.4.5 Silica Gel Trap. Place 200 to 300 g of silica gel in each of several air-tight containers. Weigh each container, including silica gel, to the nearest 0.5 g, and record this weight on the filterable particulate data sheet. As an alternative, the silica gel need not be preweighed, but may be weighed directly in its impinger or sampling holder just prior to train assembly.

8.4.6 Leak-Check (Pretest). Use the procedures outlined in Method 5 of appendix A-3 to part 60, Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part

as appropriate to leak check the entire sampling system. Specifically, perform the following procedures:

8.4.6.1 Sampling train. You must pretest the entire sampling train for leaks. The pretest leak-check must have a leak rate of not more than 0.02 actual cubic feet per minute or 4 percent of the average sample flow during the test run, whichever is less. Additionally, you must conduct the leak-check at a vacuum equal to or greater than the vacuum anticipated during the test run. Enter the leak-check results on the field test data sheet for the filterable particulate method. (NOTE: Conduct leak-checks during port changes only as allowed by the filterable particulate method used with this method.)

8.4.6.2 Pitot tube assembly. After you leak-check the sample train, perform a leak-check of the pitot tube assembly. Follow the procedures outlined in Section 8.4.1 of Method 5.

8.5 Sampling Train Operation. Operate the sampling train as described in the filterable particulate sampling method (*i.e.*, Method 5 of appendix A-3 to part 60, Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part) with the following additions or exceptions:

8.5.1 Impinger and CPM Filter Assembly.

8.5.1.1 Monitor the moisture condensation in the knockout and backup impingers. If the accumulated water from moisture condensation overwhelms the knockout impinger, *i.e.*, the water level is more than approximately one-half the capacity of the knockout impinger, or if water accumulates in the backup impinger sufficient to cover the impinger insert tip, then you may interrupt the sampling run, recover and weigh the moisture accumulated in the knockout and backup impinger, reassemble and leak check the sampling train, and resume the sampling run. You must purge the water collected during the test interruption as soon as practical following the procedures in Section 8.5.3.

8.5.1.2 You must include the weight or volume of the moisture in your moisture calculation and you must combine the recovered water with the appropriate sample fraction for subsequent CPM analysis.

8.5.1.3 Use the field data sheet for the filterable particulate method to record the CPM filter temperature readings at the beginning of each sample time increment and when sampling is halted. Maintain the CPM filter greater than 20 °C (greater than 65 °F) but less than or equal to 30 °C (less than or equal to 85 °F) during sample collection. (Note: Maintain the temperature of the CPM filter assembly as close to 30 °C (85 °F) as feasible.)

8.5.2 Leak-Check Probe/Sample Train Assembly (Post-Test). Conduct the leak rate check according to the filterable particulate sampling method used during sampling. If required, conduct the leak-check at a vacuum

equal to or greater than the maximum vacuum achieved during the test run. If the leak rate of the sampling train exceeds 0.02 actual cubic feet per minute or four percent of the average sampling rate during the test run (whichever is less), then the run is invalid and you must repeat it.

8.5.3 Post-Test Nitrogen Purge. As soon as possible after the post-test leak-check, detach the probe, any cyclones, and in-stack or hot filters from the condenser and impinger train. If no water was collected before the CPM filter, then you may skip the remaining purge steps and proceed with sample recovery (see Section 8.5.4). You may purge the CPM sampling train using the sampling system meter box and vacuum pump or by passing nitrogen through the train under pressure. For either type of purge, you must first attach the nitrogen supply line to a purged inline filter.

8.5.3.1 If you choose to conduct a pressurized nitrogen purge at the completion of CPM sample collection, you may purge the entire CPM sample collection train from the condenser inlet to the CPM filter holder outlet or you may quantitatively transfer the water collected in the condenser and the water dropout impinger to the backup impinger and purge only the backup impinger and the CPM filter. You must measure the water in the knockout and backup impingers and record the volume or weight as part of the moisture collected during sampling as specified in Section 8.5.3.4.

8.5.3.1.1 If you choose to conduct a purge of the entire CPM sampling train, you must replace the short stem impinger insert in the knock out impinger with a standard modified Greenburg Smith impinger insert.

8.5.3.1.2 If you choose to combine the knockout and backup impinger catch prior to purge, you must purge the backup impinger and CPM filter holder.

8.5.3.1.3 If the tip of the impinger insert does not extend below the water level (including the water transferred from the first impinger if this option was chosen), you must add a measured amount of degassed, deionized ultra-filtered water that contains 1 ppmw (1 mg/L) residual mass or less until the impinger tip is at least 1 centimeter below the surface of the water. You must record the amount of water added to the water dropout impinger (V_p) (see Figure 4 of Section 18) to correct the moisture content of the effluent gas. (Note: Prior to use, water must be degassed using a nitrogen purge bubbled through the water for at least 15 minutes to remove dissolved oxygen).

8.5.3.1.4 To perform the nitrogen purge using positive pressure nitrogen flow, you must start with no flow of gas through the clean purge line and fittings. Connect the filter outlet to the input of the impinger train and disconnect the vacuum line from the

exit of the silica moisture collection impinger (see Figure 3 of Section 18). You may purge only the CPM train by disconnecting the moisture train components if you measure moisture in the field prior to the nitrogen purge. You must increase the nitrogen flow gradually to avoid over-pressurizing the impinger array. You must purge the CPM train at a minimum of 14 liters per minute for at least one hour. At the conclusion of the purge, turn off the nitrogen delivery system.

8.5.3.2 If you choose to conduct a nitrogen purge on the complete CPM sampling train using the sampling system meter box and vacuum pump, replace the short stem impinger insert with a modified Greenberg Smith impinger insert. The impinger tip length must extend below the water level in the impinger catch.

(a) You must conduct the purge on the complete CPM sampling train starting at the inlet of the condenser. If insufficient water was collected, you must add a measured amount of degassed, deionized ultra-filtered water that contains 1 ppmw (1 mg/L) residual mass or less until the impinger tip is at least 1 centimeter below the surface of the water. You must record the amount of water added to the water dropout impinger (V_p) (see Figure 4 of Section 18) to correct the moisture content of the effluent gas. (NOTE: Prior to use, water must be degassed using a nitrogen purge bubbled through the water for at least 15 minutes to remove dissolved oxygen.)

(b) You must start the purge using the sampling train vacuum pump with no flow of gas through the clean purge line and fittings. Connect the filter outlet to the input of the impinger train (see Figure 2 of Section 18). To avoid over- or under-pressurizing the impinger array, slowly commence the nitrogen gas flow through the line while simultaneously opening the meter box pump valve(s). Adjust the pump bypass and/or nitrogen delivery rates to obtain the following conditions: 14 liters/min or $\Delta H@$ and a positive overflow rate through the rotameter of less than 2 liters/min. The presence of a positive overflow rate guarantees that the nitrogen delivery system is operating at greater than ambient pressure and prevents the possibility of passing ambient air (rather than nitrogen) through the impingers. Continue the purge under these conditions for at least one hour, checking the rotameter and $\Delta H@$ value(s) at least every 15 minutes. At the conclusion of the purge, simultaneously turn off the delivery and pumping systems.

8.5.3.3 During either purge procedure, continue operation of the condenser recirculation pump, and heat or cool the water surrounding the first two impingers to maintain the gas temperature measured at the exit of the CPM filter greater than 20 °C (greater than 65 °F), but less than or equal to 30 °C (less than or equal to 85 °F). If the volume of

liquid collected in the moisture traps has not been determined prior to conducting the nitrogen purge, maintain the temperature of the moisture traps following the CPM filter to prevent removal of moisture during the purge. If necessary, add more ice during the purge to maintain the gas temperature measured at the exit of the silica gel impinger below 20 °C (68 °F). Continue the purge under these conditions for at least one hour, checking the rotameter and $\Delta H@$ value(s) periodically. At the conclusion of the purge, simultaneously turn off the delivery and pumping systems.

8.5.3.4 Weigh the liquid, or measure the volume of the liquid collected in the dropout, impingers, and silica trap if this has not been done prior to purging the sampling train. Measure the liquid in the water dropout impinger to within 1 ml using a clean graduated cylinder or by weighing it to within 0.5 g using a balance. Record the volume or weight of liquid present to be used to calculate the moisture content of the effluent gas in the field log notebook.

8.5.3.5 If a balance is available in the field, weigh the silica impinger to within 0.5 g. Note the color of the indicating silica gel in the last impinger to determine whether it has been completely spent, and make a notation of its condition in the field log notebook.

8.5.4 Sample Recovery.

8.5.4.1 *Recovery of filterable PM.* Recovery of filterable PM involves the quantitative transfer of particles according to the filterable particulate sampling method (*i.e.*, Method 5 of appendix A-3 to part 60, Method 17 of appendix A-6 to part 60, or Method 201A of appendix M to this part).

8.5.4.2 *CPM Container #1, Aqueous liquid impinger contents.* Quantitatively transfer liquid from the dropout and the backup impingers prior to the CPM filter into a clean, leak-proof container labeled with test identification and "CPM Container #1, Aqueous Liquid Impinger Contents." Rinse all sampling train components including the back half of the filterable PM filter holder, the probe extension, condenser, each impinger and the connecting glassware, and the front half of the CPM filter housing twice with water. Recover the rinse water, and add it to CPM Container #1. Mark the liquid level on the container.

8.5.4.3 *CPM Container #2, Organic rinses.* Follow the water rinses of the back half of the filterable PM filter holder, probe extension, condenser, each impinger, and all of the connecting glassware and front half of the CPM filter with an acetone rinse. Recover the acetone rinse into a clean, leak-proof container labeled with test identification and "CPM Container #2, Organic Rinses." Then repeat the entire rinse procedure with two rinses of hexane, and save the hexane rinses in the same container as the acetone

rinse (CPM Container #2). Mark the liquid level on the jar.

8.5.4.4 *CPM Container #3, CPM filter sample.* Use tweezers and/or clean disposable surgical gloves to remove the filter from the CPM filter holder. Place the filter in the Petri dish labeled with test identification and “CPM Container #3, Filter Sample.”

8.5.4.5 *CPM Container #4, Cold impinger water.* You must weigh or measure the volume of the contents of CPM Container #4 either in the field or during sample analysis (see Section 11.2.4). If the water from the cold impinger has been weighed in the field, it can be discarded. Otherwise, quantitatively transfer liquid from the cold impinger that follows the CPM filter into a clean, leak-proof container labeled with test identification and “CPM Container #4, Cold Water Impinger.” Mark the liquid level on the container. CPM Container #4 holds the remainder of the liquid water from the emission gases.

8.5.4.6 *CPM Container #5, Silica gel absorbent.* You must weigh the contents of CPM Container #5 in the field or during sample analysis (see Section 11.2.5). If the silica gel has been weighed in the field to measure water content, then it can be discarded or recovered for reuse. Otherwise, transfer the silica gel to its original container labeled with test identification and “CPM Container #5, Silica Gel Absorbent” and seal. You may use a funnel to make it easier to pour the silica gel without spilling. You may also use a rubber policeman as an aid in removing the silica gel from the impinger. It is not necessary to remove the small amount of silica gel dust particles that may adhere to the impinger wall and are difficult to remove. Since the gain in weight is to be used for moisture calculations, do not use any water or other liquids to transfer the silica gel.

8.5.4.7 *CPM Container #6, Acetone field reagent blank.* Take approximately 200 ml of the acetone directly from the wash bottle you used for sample recovery and place it in a clean, leak-proof container labeled with test identification and “CPM Container #6, Acetone Field Reagent Blank” (see Section 11.2.6 for analysis). Mark the liquid level on the container. Collect one acetone field reagent blank from the lot(s) of solvent used for the test.

8.5.4.8 *CPM Container #7, Water field reagent blank.* Take approximately 200 ml of the water directly from the wash bottle you used for sample recovery and place it in a clean, leak-proof container labeled with test identification and “CPM Container #7, Water Field Reagent Blank” (see Section 11.2.7 for analysis). Mark the liquid level on the container. Collect one water field reagent blank from the lot(s) of water used for the test.

8.5.4.9 *CPM Container #8, Hexane field reagent blank.* Take approximately 200 ml of the hexane directly from the wash bottle you

used for sample recovery and place it in a clean, leak-proof container labeled with test identification and “CPM Container #8, Hexane Field Reagent Blank” (see Section 11.2.8 for analysis). Mark the liquid level on the container. Collect one hexane field reagent blank from the lot(s) of solvent used for the test.

8.5.4.10 *Field train proof blank.* If you did not bake the sampling train glassware as specified in Section 8.4, you must conduct a field train proof blank as specified in Sections 8.5.4.11 and 8.5.4.12 to demonstrate the cleanliness of sampling train glassware.

8.5.4.11 *CPM Container #9, Field train proof blank, inorganic rinses.* Prior to conducting the emission test, rinse the probe extension, condenser, each impinger and the connecting glassware, and the front half of the CPM filter housing twice with water. Recover the rinse water and place it in a clean, leak-proof container labeled with test identification and “CPM Container #9, Field Train Proof Blank, Inorganic Rinses.” Mark the liquid level on the container.

8.5.4.12 *CPM Container #10, Field train proof blank, organic rinses.* Follow the water rinse of the probe extension, condenser, each impinger and the connecting glassware, and the front half of the CPM filter housing with an acetone rinse. Recover the acetone rinse into a clean, leak-proof container labeled with test identification and “CPM Container #10, Field Train Proof Blank, Organic Rinses.” Then repeat the entire rinse procedure with two rinses of hexane and save the hexane rinses in the same container as the acetone rinse (CPM Container #10). Mark the liquid level on the container.

8.5.5 *Transport procedures.* Containers must remain in an upright position at all times during shipping. You do not have to ship the containers under dry or blue ice. However, samples must be maintained at or below 30 °C (85 °F) during shipping.

9.0 Quality Control

9.1 *Daily Quality Checks.* You must perform daily quality checks of field log notebooks and data entries and calculations using data quality indicators from this method and your site-specific test plan. You must review and evaluate recorded and transferred raw data, calculations, and documentation of testing procedures. You must initial or sign log notebook pages and data entry forms that were reviewed.

9.2 *Calculation Verification.* Verify the calculations by independent, manual checks. You must flag any suspect data and identify the nature of the problem and potential effect on data quality. After you complete the test, prepare a data summary and compile all the calculations and raw data sheets.

9.3 *Conditions.* You must document data and information on the process unit tested,

the particulate control system used to control emissions, any non-particulate control system that may affect particulate emissions, the sampling train conditions, and weather conditions. Discontinue the test if the operating conditions may cause non-representative particulate emissions.

9.4 Field Analytical Balance Calibration Check. Perform calibration check procedures on field analytical balances each day that they are used. You must use National Institute of Standards and Technology (NIST)-traceable weights at a mass approximately equal to the weight of the sample plus container you will weigh.

9.5 Glassware. Use class A volumetric glassware for titrations, or calibrate your equipment against NIST-traceable glassware.

9.6 Laboratory Analytical Balance Calibration Check. Check the calibration of your laboratory analytical balance each day that you weigh CPM samples. You must use NIST Class S weights at a mass approximately equal to the weight of the sample plus container you will weigh.

9.7 Laboratory Reagent Blanks. You should run blanks of water, acetone, and hexane used for field recovery and sample analysis. Analyze at least one sample (150 ml minimum) of each lot of reagents that you plan to use for sample recovery and analysis before you begin testing. These blanks are not required by the test method, but running blanks before field use is advisable to verify low blank concentrations, thereby reducing the potential for a high field blank on test samples.

9.8 Field Reagent Blanks. You should run at least one field reagent blank of water, acetone, and hexane you use for field recovery. These blanks are not required by the test method, but running independent field reagent blanks is advisable to verify that low blank concentrations were maintained during field solvent use and demonstrate that reagents have not been contaminated during field tests.

9.9 Field Train Proof Blank. If you are not baking glassware as specified in Section 8.4, you must recover a minimum of one field train proof blank for the sampling train used for testing each new source category at a single facility. You must assemble the sampling train as it will be used for testing. You must recover the field train proof blank samples as described in Section 8.5.4.11 and 8.5.4.12.

9.10 Field Train Recovery Blank. You must recover a minimum of one field train blank for each source category tested at the facility. You must recover the field train blank after the first or second run of the test. You must assemble the sampling train as it will be used for testing. Prior to the purge, you must add 100 ml of water to the first impinger and record this data on Figure

4. You must purge the assembled train as described in section 8.5.3. You must recover field train blank samples as described in section 8.5.4. From the field sample weight, you will subtract the condensable particulate mass you determine with this blank train or 0.002 g (2.0 mg), whichever is less.

10.0 Calibration and Standardization

Maintain a field log notebook of all condensable particulate sampling and analysis calibrations. Include copies of the relevant portions of the calibration and field logs in the final test report.

10.1 Thermocouple Calibration. You must calibrate the thermocouples using the procedures described in Section 10.3.1 of Method 2 of appendix A-1 to part 60 or Alternative Method 2, Thermocouple Calibration (ALT-011) (<http://www.epa.gov/ttn/emc>). Calibrate each temperature sensor at a minimum of three points over the anticipated range of use against a NIST-traceable thermometer. Alternatively, a reference thermocouple and potentiometer calibrated against NIST standards can be used.

10.2 Ammonium Hydroxide. The 0.1 N NH_4OH used for titrations in this method is made as follows: Add 7 ml of concentrated (14.8 M) NH_4OH to 1 liter of water. Standardize against standardized 0.1 N H_2SO_4 , and calculate the exact normality using a procedure parallel to that described in Section 10.5 of Method 6 of appendix A-4 to 40 CFR part 60. Alternatively, purchase 0.1 N NH_4OH that has been standardized against a NIST reference material. Record the normality on the CPM Work Table (see Figure 6 of Section 18).

10.3 Field Balance Calibration Check. Check the calibration of the balance used to weigh impingers with a weight that is at least 500g or within 50g of a loaded impinger. The weight must be ASTM E617-13 "Standard Specification for Laboratory Weights and Precision Mass Standards" Class 6 (or better). Daily before use, the field balance must measure the weight within $\pm 0.5\text{g}$ of the certified mass. If the daily balance calibration check fails, perform corrective measures and repeat the check before using balance.

10.4 Analytical Balance Calibration. Perform a multipoint calibration (at least five points spanning the operational range) of the analytical balance before the first use, and semiannually thereafter. The calibration of the analytical balance must be conducted using ASTM E617-13 "Standard Specification for Laboratory Weights and Precision Mass Standards" Class 2 (or better) tolerance weights. Audit the balance each day it is used for gravimetric measurements by weighing at least one ASTM E617-13 Class 2 tolerance (or better) calibration weight that corresponds to 50 to 150 percent of the weight of one filter or between 1g and 5g. If the scale

cannot reproduce the value of the calibration weight to within 0.5mg of the certified mass, perform corrective measures, and conduct the multipoint calibration before use.

11.0 Analytical Procedures

11.1 Analytical Data Sheets. (a) Record the filterable particulate field data on the appropriate (*i.e.*, Method 5, 17, or 201A) analytical data sheets. Alternatively, data may be recorded electronically using software applications such as the Electronic Reporting Tool available at http://www.epa.gov/ttn/chiefs/ert/ert_tool.html. Record the condensable particulate data on the CPM Work Table (see Figure 6 of Section 18).

(b) Measure the liquid in all containers either volumetrically to ± 1 ml or gravimetrically to ± 0.5 g. Confirm on the filterable particulate analytical data sheet whether leakage occurred during transport. If a noticeable amount of leakage has occurred, either void the sample or use methods (subject to the approval of the Administrator) to correct the final results.

11.2 Condensable PM Analysis. See the flow chart in Figure 7 of Section 18 for the steps to process and combine fractions from the CPM train.

11.2.1 Container #3, CPM Filter Sample. If the sample was collected by Method 17 or Method 201A with a stack temperature below 30 °C (85 °F), transfer the filter and any loose PM from the sample container to a tared glass weighing dish. (See Section 3.0 for a definition of constant weight.) Desiccate the sample for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh to a constant weight and report the results to the nearest 0.1 mg. [Note: In-stack filter samples collected at 30 °C (85 °F) may include both filterable insoluble particulate and condensable particulate. The nozzle and front half wash and filter collected at or below 30 °C (85 °F) may not be heated and must be maintained at or below 30 °C (85 °F).] If the sample was collected by Method 202, extract the CPM filter as follows:

11.2.1.1 Extract the water soluble (aqueous or inorganic) CPM from the CPM filter by folding the filter in quarters and placing it into a 50-ml extraction tube. Add sufficient deionized, ultra-filtered water to cover the filter (*e.g.*, 10 ml of water). Place the extractor tube into a sonication bath and extract the water-soluble material for a minimum of two minutes. Combine the aqueous extract with the contents of Container #1. Repeat this extraction step twice for a total of three extractions.

11.2.1.2 Extract the organic soluble CPM from the CPM filter by adding sufficient hexane to cover the filter (*e.g.*, 10 ml of hexane). Place the extractor tube into a sonication bath and extract the organic soluble material for a minimum of two minutes. Combine the organic extract with the con-

tents of Container #2. Repeat this extraction step twice for a total of three extractions.

11.2.2 CPM Container #1, Aqueous Liquid Impinger Contents. Analyze the water soluble CPM in Container #1 as described in this section. Place the contents of Container #1 into a separatory funnel. Add approximately 30 ml of hexane to the funnel, mix well, and pour off the upper organic phase. Repeat this procedure twice with 30 ml of hexane each time combining the organic phase from each extraction. Each time, leave a small amount of the organic/hexane phase in the separatory funnel, ensuring that no water is collected in the organic phase. This extraction should yield about 90 ml of organic extract. Combine the organic extract from Container #1 with the organic train rinse in Container #2.

11.2.2.1 Determine the inorganic fraction weight. Transfer the aqueous fraction from the extraction to a clean 500-ml or smaller beaker. Evaporate to no less than 10 ml liquid on a hot plate or in the oven at 105 °C and allow to dry at room temperature (not to exceed 30 °C (85 °F)). You must ensure that water and volatile acids have completely evaporated before neutralizing nonvolatile acids in the sample. Following evaporation, desiccate the residue for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh at intervals of at least 6 hours to a constant weight. (See section 3.0 for a definition of constant weight.) Report results to the nearest 0.1 mg on the CPM Work Table (see Figure 6 of section 18) and proceed directly to section 11.2.3. If the residue cannot be weighed to constant weight, re-dissolve the residue in 100 ml of deionized distilled ultra-filtered water that contains 1 ppmw (1 mg/L) residual mass or less and continue to section 11.2.2.2.

11.2.2.2 Use titration to neutralize acid in the sample and remove water of hydration. If used, calibrate the pH meter with the neutral and acid buffer solutions. Then titrate the sample with 0.1N NH₄OH to a pH of 7.0, as indicated by the pH meter or colorimetric indicator. Record the volume of titrant used on the CPM Work Table (see Figure 6 of section 18).

11.2.2.3 Using a hot plate or an oven at 105 °C, evaporate the aqueous phase to approximately 10 ml. Quantitatively transfer the beaker contents to a clean, 50-ml pre-tared weighing tin and evaporate to dryness at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood. Following evaporation, desiccate the residue for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh at intervals of at least 6 hours to a constant weight. (See section 3.0 for a definition of constant weight.) Report results to the nearest 0.1 mg on the CPM Work Table (see Figure 6 of section 18).

11.2.2.4 Calculate the correction factor to subtract the NH_4^+ retained in the sample using Equation 1 in section 12.

11.2.3 CPM Container #2, Organic Fraction Weight Determination. Analyze the organic soluble CPM in Container #2 as described in this section. Place the organic phase in a clean glass beaker. Evaporate the organic extract at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood to not less than 10 ml. Quantitatively transfer the beaker contents to a clean 50-ml pre-tared weighing tin and evaporate to dryness at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood. Following evaporation, desiccate the organic fraction for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh at intervals of at least six hours to a constant weight (*i.e.*, less than or equal to 0.5 mg change from previous weighing), and report results to the nearest 0.1 mg on the CPM Work Table (*see* Figure 6 of Section 18).

11.2.4 CPM Container #4, Cold Impinger Water. If the amount of water has not been determined in the field, note the level of liquid in the container, and confirm on the filterable particulate analytical data sheet whether leakage occurred during transport. If a noticeable amount of leakage has occurred, either void the sample or use methods (subject to the approval of the Administrator) to correct the final results. Measure the liquid in Container #4 either volumetrically to ± 1 ml or gravimetrically to ± 0.5 g, and record the volume or weight on the filterable particulate analytical data sheet of the filterable PM test method.

11.2.5 CPM Container #5, Silica Gel Absorbent. Weigh the spent silica gel (or silica gel plus impinger) to the nearest 0.5 g using a balance. This step may be conducted in the field. Record the weight on the filterable particulate analytical data sheet of the filterable PM test method.

11.2.6 Container #6, Acetone Field Reagent Blank. Use 150 ml of acetone from the blank container used for this analysis. Transfer 150 ml of the acetone to a clean 250-ml beaker. Evaporate the acetone at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood to approximately 10 ml. Quantitatively transfer the beaker contents to a clean 50-ml pre-tared weighing tin, and evaporate to dryness at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood. Following evaporation, desiccate the residue for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh at intervals of at least six hours to a constant weight (*i.e.*, less than or equal to 0.5 mg change from previous weighing), and report results to the nearest 0.1 mg on Figure 4 of Section 19.

11.2.7 Water Field Reagent Blank, Container #7. Use 150 ml of the water from the blank container for this analysis. Transfer

the water to a clean 250-ml beaker, and evaporate to approximately 10 ml liquid in the oven at 105 °C. Quantitatively transfer the beaker contents to a clean 50 ml pre-tared weighing tin and evaporate to dryness at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood. Following evaporation, desiccate the residue for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh at intervals of at least six hours to a constant weight (*i.e.*, less than or equal to 0.5 mg change from previous weighing) and report results to the nearest 0.1 mg on Figure 4 of Section 18.

11.2.8 Hexane Field Reagent Blank, Container #8. Use 150 ml of hexane from the blank container for this analysis. Transfer 150 ml of the hexane to a clean 250-ml beaker. Evaporate the hexane at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood to approximately 10 ml. Quantitatively transfer the beaker contents to a clean 50-ml pre-tared weighing tin and evaporate to dryness at room temperature (not to exceed 30 °C (85 °F)) and pressure in a laboratory hood. Following evaporation, desiccate the residue for 24 hours in a desiccator containing anhydrous calcium sulfate. Weigh at intervals of at least six hours to a constant weight (*i.e.*, less than or equal to 0.5 mg change from previous weighing), and report results to the nearest 0.1 mg on Figure 4 of Section 18.

12.0 Calculations and Data Analysis

12.1 Nomenclature. Report results in International System of Units (SI units) unless the regulatory authority for testing specifies English units. The following nomenclature is used.

ΔH_{or} = Pressure drop across orifice at flow rate of 0.75 SCFM at standard conditions, inches of water column (NOTE: Specific to each orifice and meter box).

17.03 = mg/milliequivalents for ammonium ion.

ACFM = Actual cubic feet per minute.

C_{cpm} = Concentration of the condensable PM in the stack gas, dry basis, corrected to standard conditions, milligrams/dry standard cubic foot.

m_c = Mass of the NH_4^+ added to sample to form ammonium sulfate, mg.

m_{cpm} = Mass of the total condensable PM, mg.

m_{rb} = Mass of total CPM in field train recovery blank, mg.

mg = Milligrams.

mg/L = Milligrams per liter.

m_i = Mass of inorganic CPM, mg.

m_{ib} = Mass of inorganic CPM in field train recovery blank, mg.

m_o = Mass of organic CPM, mg.

m_{ob} = Mass of organic CPM in field train blank, mg.

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m_r = Mass of dried sample from inorganic fraction, mg.

N = Normality of ammonium hydroxide titrant.

ppmv = Parts per million by volume.

ppmw = Parts per million by weight.

$V_{m(std)}$ = Volume of gas sample measured by the dry gas meter, corrected to standard conditions, dry standard cubic meter (dscm) or dry standard cubic foot (dscf) as defined in Equation 5-1 of Method 5.

V_t = Volume of NH_4OH titrant, ml.

V_p = Volume of water added during train purge.

12.2 Calculations. Use the following equations to complete the calculations required in this test method. Enter the appropriate results from these calculations on the CPM Work Table (see Figure 6 of Section 18).

12.2.1 Mass of ammonia correction. Correction for ammonia added during titration of 100 ml aqueous CPM sample. This calculation assumes no waters of hydration.

$$m_c = 17.03 \times V_t \times N \quad (\text{Eq. 1})$$

12.2.2 Mass of the Field Train Recovery Blank (mg). Per Section 9.10, the mass of the

field train recovery blank, m_{fb} , shall not exceed 2.0 mg.

$$m_{fb} = m_{ib} + m_{ob} \quad (\text{Eq. 2})$$

12.2.3 Mass of Inorganic CPM (mg).

$$m_i = m_r - m_c \quad (\text{Eq. 3})$$

12.2.4 Total Mass of CPM (mg).

$$m_{cpm} = m_i + m_o - m_{fb} \quad (\text{Eq. 4})$$

12.2.5 Concentration of CPM (mg/dscf).

$$C_{cpm} = \frac{m_{cpm}}{V_{m(std)}} \quad (\text{Eq. 5})$$

12.3 Emissions Test Report. You must prepare a test report following the guidance in EPA Guidance Document 043 (Preparation and Review of Test Reports, December 1998).

13.0 Method Performance

An EPA field evaluation of the revised Method 202 showed the following precision in the results: approximately 4 mg for total CPM, approximately 0.5 mg for organic CPM, and approximately 3.5 mg for inorganic CPM.

14.0 Pollution Prevention

[Reserved]

15.0 Waste Management

Solvent and water are evaporated in a laboratory hood during analysis. No liquid waste is generated in the performance of this method. Organic solvents used to clean sampling equipment should be managed as RCRA organic waste.

16.0 *Alternative Procedures*

Alternative Method 2, Thermocouple Calibration (ALT-011) for the thermocouple calibration can be found at <http://www.epa.gov/ttn/emc/approalt.html>.

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- (12) U.S. Environmental Protection Agency. 2010. Field valuation of an Improved Method for Sampling and Analysis of Filterable and Condensable Particulate Matter. Office of Air Quality Planning and Standards, Sector Policy and Program Division Monitoring Policy Group. Research Triangle Park, NC 27711.
- (13) Wisconsin Department of Natural Resources. 1988. Air Management Operations Handbook, Revision 3. January 11, 1988.

18.0 *Tables, Diagrams, Flowcharts, and Validation Data*

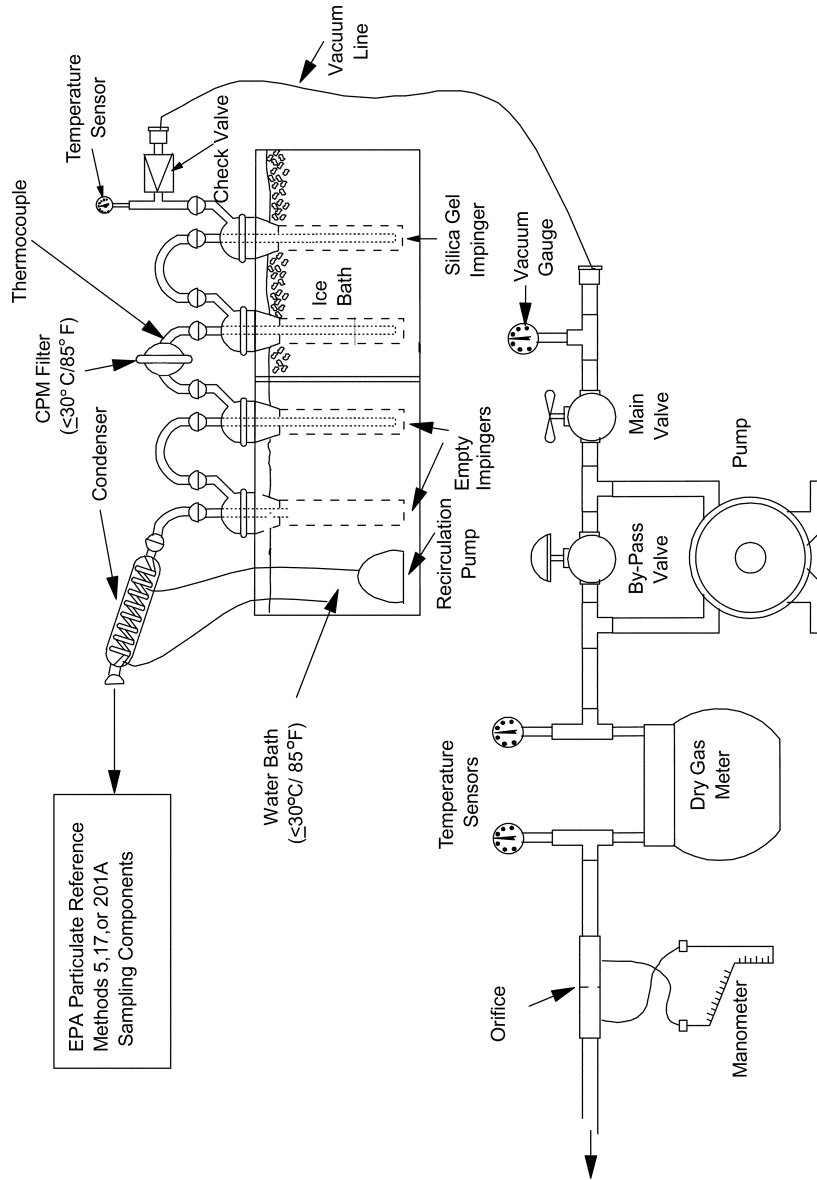


Figure 1. Schematic of Condensable Particulate Sampling Train

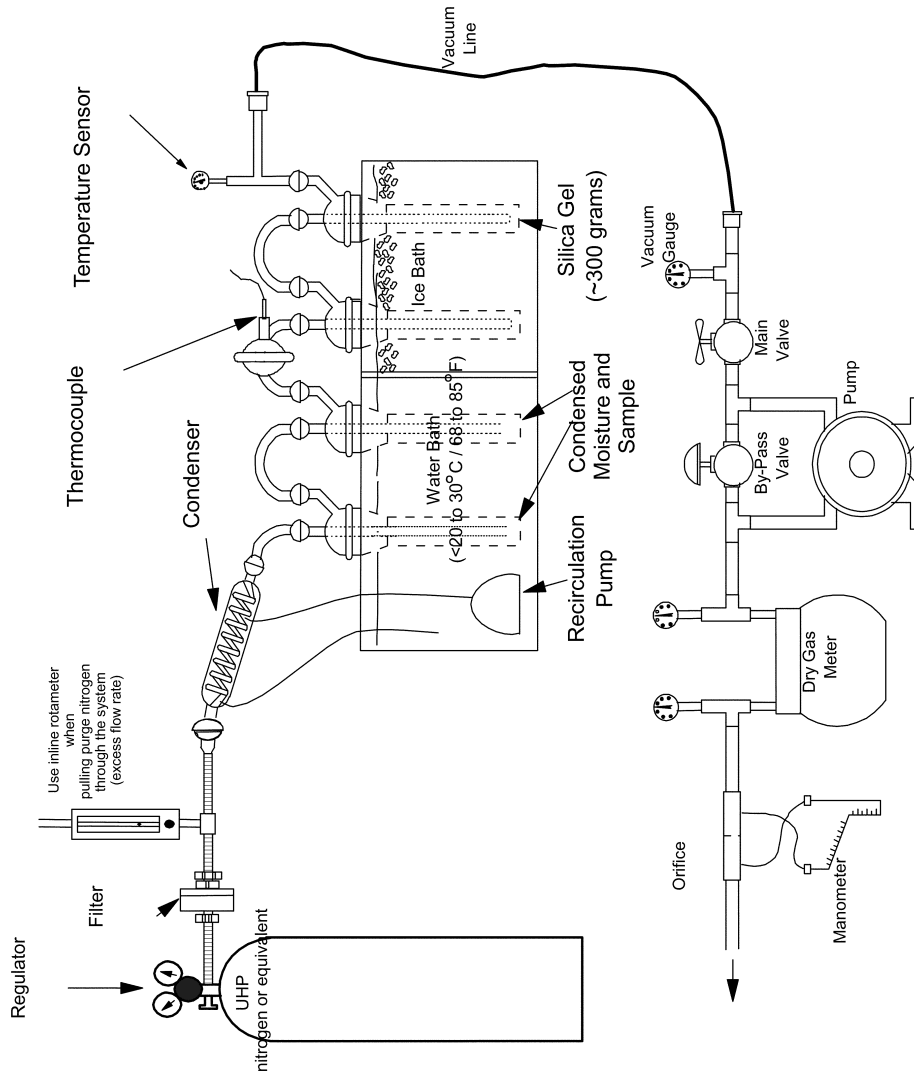


Figure 2. Nitrogen Purge Train Configuration (Vacuum Purge)

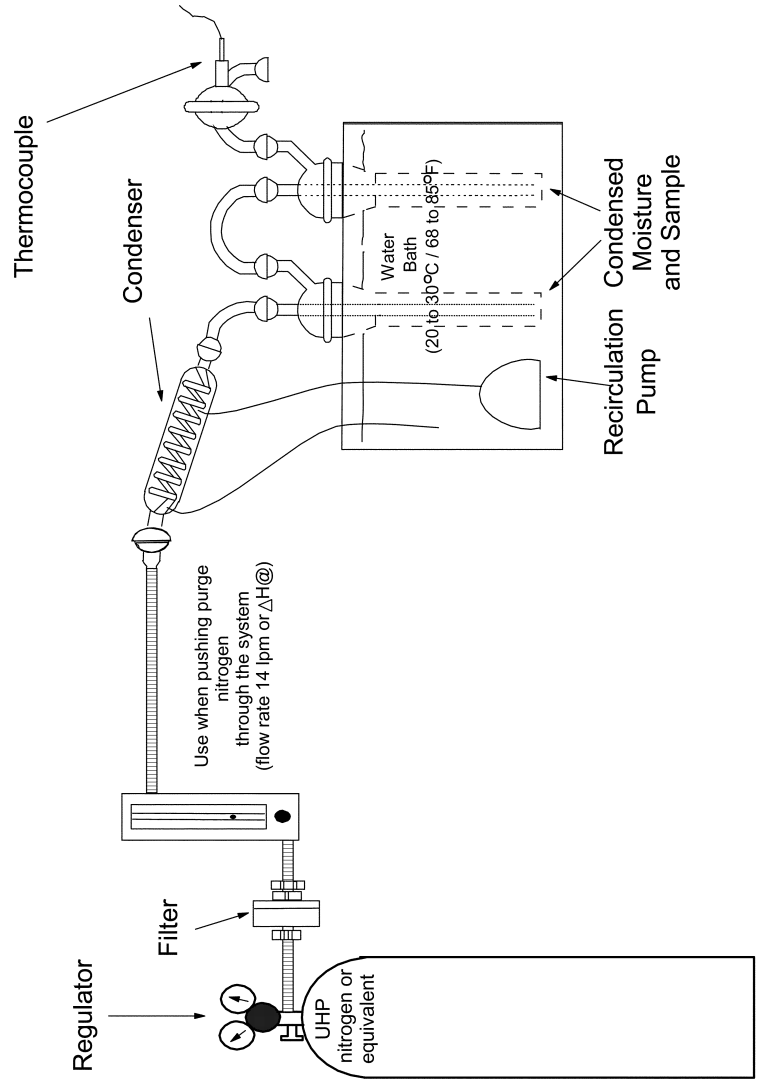


Figure 3. Nitrogen Purge Train Configuration (Pressure Purge)

Field Train Recovery Blank Condensable Particulate Calculations	
Plant	
Date	
Blank No.	
CPM Filter No.	
Water volume added to purge train (V_p)	ml
Field Reagent Blank Mass^a	
Water (Section 11.2.7)	mg
Acetone (Section 11.2.6)	mg
Hexane (Section 11.2.8)	mg
Field Train Recovery Blank Mass	
Mass of Organic CPM (m_{ob}) (Section 11.2.3)	mg
Mass of Inorganic CPM (m_{ib}) (Equation 3)	mg
Mass of the Field Train Recovery Blank (not to exceed 2.0 mg) (Equation 2)	mg

^aField reagent blanks are optional and intended to provide the testing contractor with information they can use to implement corrective actions, if necessary, to reduce the residual mass contribution from reagents used in the field. Field reagent blanks are not used to correct the CPM measurement results.

Figure 4. Field Train Recovery Blank Condensable Particulate Calculations

Other Field Train Sample Condensable Particulate Data	
Plant	
Date	
Run No.	
CPM Filter No.	
Water volume added to purge train (max 50 ml) (V_p)	ml
Date	
Run No.	
CPM Filter No.	
Water volume added to purge train (max 50 ml) (V_p)	ml
Date	
Run No.	
CPM Filter No.	
Water volume added to purge train (max 50 ml) (V_p)	ml

Figure 5. Other Field Train Sample Condensable Particulate Data

Calculations for Recovery of Condensable PM (CPM)		
Plant	_____	
Date	_____	
Run No.	_____	
Sample Preparation - CPM Containers No. 1 and 2 (Section 11.1)		
Was significant volume of water lost during transport? Yes or No	_____	
If Yes, measure the volume received.	_____	
Estimate the volume lost during transport.	_____	ml
Was significant volume of organic rinse lost during transport? Yes or No	_____	
If Yes, measure the volume received.	_____	
Estimate the volume lost during transport.	_____	ml
For Titration		
Normality of NH_4OH (N) (Section 10.2)	_____	N
Volume of titrant (V_t) (Section 11.2.2.2)	_____	ml
Mass of NH_4 added (m_c) (Equation 1)	_____	mg
For CPM Blank Weights		
Inorganic Field Train Recovery Blank Mass (m_{ib}) (Section 9.9)	_____	mg
Organic Field Train Recovery Blank Mass (m_{ob}) (Section 9.9)	_____	mg
Mass of Field Train Recovery Blank (M_{fb}) (max. 2 mg) (Equation 2)	_____	mg
For CPM Train Weights		
Mass of Organic CPM (m_o) (Section 11.2.3)	_____	mg
Mass of Inorganic CPM (m_i) (Equation 3)	_____	mg
Total CPM Mass (m_{cpm}) (Equation 4)	_____	mg

Figure 6. CPM Work Table

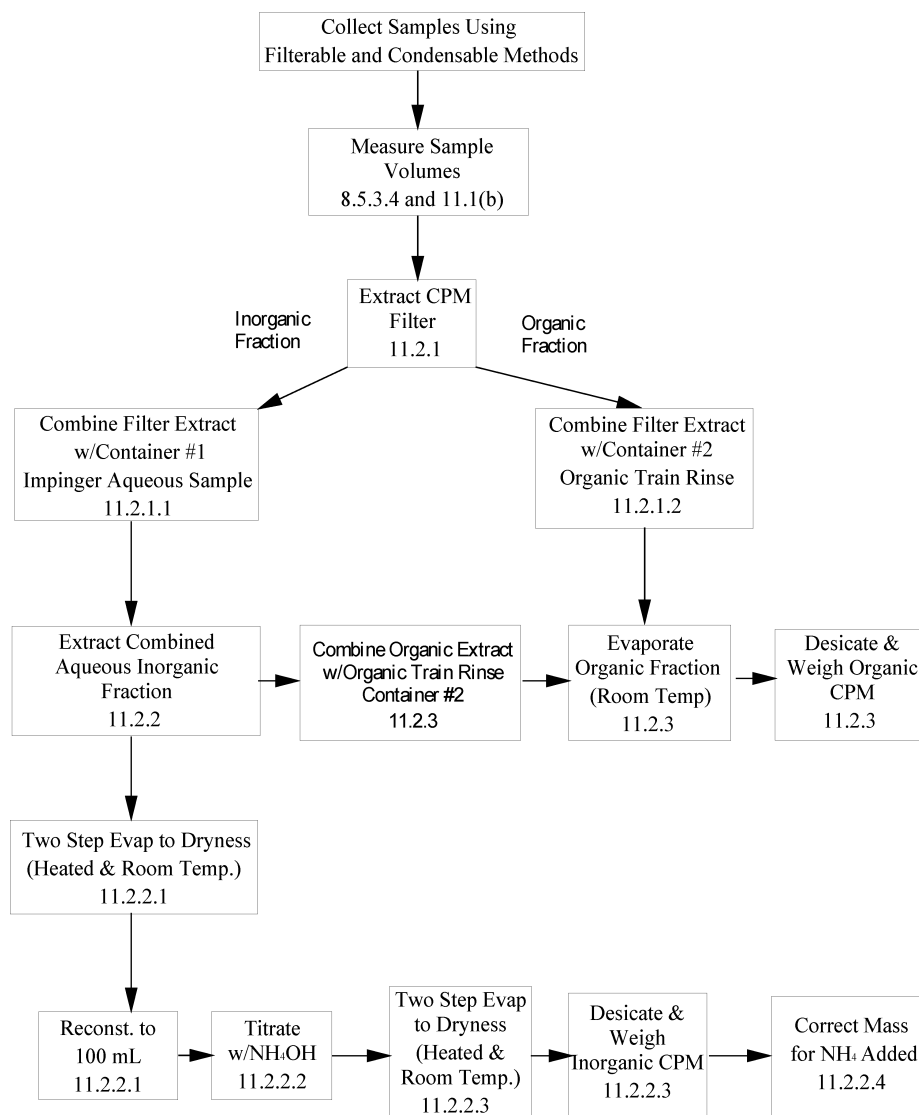


Figure 7. CPM Sample Processing Flow Chart

METHOD 203A—VISUAL DETERMINATION OF OPACITY OF EMISSIONS FROM STATIONARY SOURCES FOR TIME-AVERAGED REGULATIONS

1.0 *Scope and Application*

What is Method 203A?

Method 203A is an example test method suitable for State Implementation Plans (SIP) and is applicable to the determination of the opacity of emissions from sources of visible emissions for time-averaged regulations. A time-averaged regulation is any regulation that requires averaging visible emission data to determine the opacity of visible emissions over a specific time period.

Method 203A is virtually identical to EPA's Method 9 of 40 CFR Part 60, Appendix A, except for the data-reduction procedures, which provide for averaging times other than 6 minutes. Therefore, using Method 203A with a 6-minute averaging time would be the same as following EPA Method 9. The certification procedures for this method are identical to those provided in Method 9 and are provided here, in full, for clarity and convenience. An example visible emission observation form and instructions for its use can be found in reference 7 of Section 17 of Method 9.

2.0 *Summary of Method*

The opacity of emissions from sources of visible emissions is determined visually by an observer certified according to the procedures in Section 10 of this method. Readings taken every 15 seconds are averaged over a time period specified in the applicable regulation ranging from 2 minutes to 6 minutes.

3.0 *Definitions [Reserved]*

4.0 *Interferences [Reserved]*

5.0 *Safety [Reserved]*

6.0 *Equipment and Supplies*

What equipment and supplies are needed?

6.1 *Stop Watch.* Two watches are required that provide a continuous display of time to the nearest second.

6.2 *Compass (optional).* A compass is useful for determining the direction of the emission point from the spot where the visible emissions (VE) observer stands and for determining the wind direction at the source. For accurate readings, the compass should be magnetic with resolution better than 10 degrees. It is suggested that the compass be jewel-mounted and liquid-filled to dampen the needle swing; map reading compasses are excellent.

6.3 *Range Finder (optional).* Range finders determine distances from the observer to the emission point. The instrument should measure

a distance of 1000 meters with a minimum accuracy of ± 10 percent.

6.4 *Abney Level (optional).* This device for determining the vertical viewing angle should measure within 5 degrees.

6.5 *Slip Psychrometer (optional).* In case of the formation of a steam plume, a wet- and dry-bulb thermometer, accurate to 0.5 °C, are mounted on a sturdy assembly and swung rapidly in the air in order to determine the relative humidity.

6.6 *Binoculars (optional).* Binoculars are recommended to help identify stacks and to characterize the plume. An 8 × 50 or 10 × 50 magnification, color-corrected coated lenses and rectilinear field of view is recommended.

6.7 *Camera (optional).* A camera is often used to document the emissions before and after the actual opacity determination.

6.8 *Safety Equipment.* The following safety equipment, which should be approved by the Occupational Safety and Health Association (OSHA), is recommended: orange or yellow hard hat, eye and ear protection, and steel-toed safety boots.

6.9 *Clipboard and Accessories (optional).* A clipboard, several ball-point pens (black ink recommended), a rubber band, and several visible emission observation forms facilitate documentation.

7.0 *Reagents and Standards [Reserved]*

8.0 *Sample Collection, Preservation, Storage, and Transport*

What is the Test Procedure?

An observer qualified in accordance with Section 10 of this method must use the following procedures to visually determine the opacity of emissions from stationary sources.

8.1 *Procedure for Emissions from Stacks.* These procedures are applicable for visually determining the opacity of stack emissions by a qualified observer.

8.1.1 *Position.* You must stand at a distance sufficient to provide a clear view of the emissions with the sun oriented in the 140-degree sector to your back. Consistent with maintaining the above requirement as much as possible, you must make opacity observations from a position such that the line of vision is approximately perpendicular to the plume direction, and when observing opacity of emissions from rectangular outlets (e.g., roof monitors, open baghouses, non-circular stacks), approximately perpendicular to the longer axis of the outlet. You should not include more than one plume in the line of sight at a time when multiple plumes are involved and, in any case, make opacity observations with the line of sight perpendicular to the longer axis of such a set of multiple stacks (e.g., stub stacks on baghouses).

8.1.2 *Field Records.* You must record the name of the plant, emission location, type of

facility, observer's name and affiliation, a sketch of the observer's position relative to the source, and the date on a field data sheet. An example visible emission observation form can be found in reference 7 of Section 17 of this method. You must record the time, estimated distance to the emission location, approximate wind direction, estimated wind speed, description of the sky condition (presence and color of clouds), and plume background on the field data sheet at the time opacity readings are initiated and completed.

8.1.3 Observations. You must make opacity observations at the point of greatest opacity in that portion of the plume where condensed water vapor is not present. Do not look continuously at the plume but, instead, observe the plume momentarily at 15-second intervals.

8.1.3.1 Attached Steam Plumes. When condensed water vapor is present within the plume as it emerges from the emission outlet, you must make opacity observations beyond the point in the plume at which condensed water vapor is no longer visible. You must record the approximate distance from the emission outlet to the point in the plume at which the observations are made.

8.1.3.2 Detached Steam Plumes. When water vapor in the plume condenses and becomes visible at a distinct distance from the emission outlet, you must make the opacity observation at the emission outlet prior to the condensation of water vapor and the formation of the steam plume.

8.2 Recording Observations. You must record the opacity observations to the nearest 5 percent every 15 seconds on an observational record sheet such as the example visible emission observation form in reference 7 of Section 17 of this method. Each observation recorded represents the average opacity of emissions for a 15-second period. The overall length of time for which observations are recorded must be appropriate to the averaging time specified in the applicable regulation.

9.0 Quality Control [Reserved]

10.0 Calibration and Standardization

10.1 What are the Certification Requirements? To receive certification as a qualified observer, you must be trained and knowledgeable on the procedures in Section 8.0 of this method, be tested and demonstrate the ability to assign opacity readings in 5 percent increments to 25 different black plumes and 25 different white plumes, with an error not to exceed 15 percent opacity on any one reading and an average error not to exceed 7.5 percent opacity in each category. You must be tested according to the procedures described in Section 10.2 of this method. Any smoke generator used pursuant to Section 10.2 of this method must be equipped with a

smoke meter which meets the requirements of Section 10.3 of this method. Certification tests that do not meet the requirements of Sections 10.2 and 10.3 of this method are not valid.

The certification must be valid for a period of 6 months, and after each 6-month period, the qualification procedures must be repeated by an observer in order to retain certification.

10.2 What is the Certification Procedure? The certification test consists of showing the candidate a complete run of 50 plumes, 25 black plumes and 25 white plumes, generated by a smoke generator. Plumes must be presented in random order within each set of 25 black and 25 white plumes. The candidate assigns an opacity value to each plume and records the observation on a suitable form. At the completion of each run of 50 readings, the score of the candidate is determined. If a candidate fails to qualify, the complete run of 50 readings must be repeated in any retest. The smoke test may be administered as part of a smoke school or training program, and may be preceded by training or familiarization runs of the smoke generator during which candidates are shown black and white plumes of known opacity.

10.3 Smoke Generator.

10.3.1 What are the Smoke Generator Specifications? Any smoke generator used for the purpose of Section 10.2 of this method must be equipped with a smoke meter installed to measure opacity across the diameter of the smoke generator stack. The smoke meter output must display in-stack opacity, based upon a path length equal to the stack exit diameter on a full 0 to 100 percent chart recorder scale. The smoke meter optical design and performance must meet the specifications shown in Table 203A-1 of this method. The smoke meter must be calibrated as prescribed in Section 10.3.2 of this method prior to conducting each smoke reading test. At the completion of each test, the zero and span drift must be checked and, if the drift exceeds ± 1 percent opacity, the condition must be corrected prior to conducting any subsequent test runs. The smoke meter must be demonstrated at the time of installation to meet the specifications listed in Table 203A-1 of this method. This demonstration must be repeated following any subsequent repair or replacement of the photocell or associated electronic circuitry including the chart recorder or output meter, or every 6 months, whichever occurs first.

10.3.2 How is the Smoke Meter Calibrated? The smoke meter is calibrated after allowing a minimum of 30 minutes warm-up by alternately producing simulated opacity of 0 percent and 100 percent. When a stable response at 0 percent or 100 percent is noted, the smoke meter is adjusted to produce an output of 0 percent or 100 percent, as appropriate. This calibration must be repeated

until stable 0 percent and 100 percent readings are produced without adjustment. Simulated 0 percent and 100 percent opacity values may be produced by alternately switching the power to the light source on and off while the smoke generator is not producing smoke.

10.3.3 How is the Smoke Meter Evaluated? The smoke meter design and performance are to be evaluated as follows:

10.3.3.1 Light Source. You must verify from manufacturer's data and from voltage measurements made at the lamp, as installed, that the lamp is operated within 5 percent of the nominal rated voltage.

10.3.3.2 Spectral Response of the Photocell. You must verify from manufacturer's data that the photocell has a photopic response; *i.e.*, the spectral sensitivity of the cell must closely approximate the standard spectral-luminosity curve for photopic vision which is referenced in (b) of Table 203A-1 of this method.

10.3.3.3 Angle of View. You must check construction geometry to ensure that the total angle of view of the smoke plume, as seen by the photocell, does not exceed 15 degrees. Calculate the total angle of view as follows:

$$\phi_v = 2 \tan^{-1} (d/2L)$$

Where:

ϕ_v = Total angle of view

d = The photocell diameter + the diameter of the limiting aperture

L = Distance from the photocell to the limiting aperture.

The limiting aperture is the point in the path between the photocell and the smoke plume where the angle of view is most restricted. In smoke generator smoke meters, this is normally an orifice plate.

10.3.3.4 Angle of Projection. You must check construction geometry to ensure that the total angle of projection of the lamp on the smoke plume does not exceed 15 degrees. Calculate the total angle of projection as follows:

$$\phi_p = 2 \tan^{-1} (d/2L)$$

Where:

ϕ_p = Total angle of projection

d = The sum of the length of the lamp filament + the diameter of the limiting aperture

L = The distance from the lamp to the limiting aperture.

10.3.3.5 Calibration Error. Using neutral-density filters of known opacity, you must check the error between the actual response and the theoretical linear response of the smoke meter. This check is accomplished by first calibrating the smoke meter according to Section 10.3.2 of this method and then inserting a series of three neutral-density filters of nominal opacity of 20, 50, and 75 percent in the smoke meter path length. Use fil-

ters calibrated within 2 percent. Care should be taken when inserting the filters to prevent stray light from affecting the meter. Make a total of five non-consecutive readings for each filter. The maximum opacity error on any one reading shall be ± 3 percent.

10.3.3.6 Zero and Span Drift. Determine the zero and span drift by calibrating and operating the smoke generator in a normal manner over a 1-hour period. The drift is measured by checking the zero and span at the end of this period.

10.3.3.7 Response Time. Determine the response time by producing the series of five simulated 0 percent and 100 percent opacity values and observing the time required to reach stable response. Opacity values of 0 percent and 100 percent may be simulated by alternately switching the power to the light source off and on while the smoke generator is not operating.

11.0 Analytical Procedures [Reserved]

12.0 Data Analysis and Calculations

12.1 Time-Averaged Regulations. A set of observations is composed of an appropriate number of consecutive observations determined by the averaging time specified (*i.e.*, 8 observations for a two minute average). Divide the recorded observations into sets of appropriate time lengths for the specified averaging time. Sets must consist of consecutive observations; however, observations immediately preceding and following interrupted observations shall be deemed consecutive. Sets need not be consecutive in time and in no case shall two sets overlap. For each set of observations, calculate the average opacity by summing the opacity readings taken over the appropriate time period and dividing by the number of readings. For example, for a 2-minute average, eight consecutive readings would be averaged by adding the eight readings and dividing by eight.

13.0 Method Performance

13.1 Time-averaging Performances. The accuracy of test procedures for time-averaged regulations was evaluated through field studies that compare the opacity readings to a transmissometer. Analysis of these data shows that, as the time interval for averaging increases, the positive error decreases. For example, over a 2-minute time period, 90 percent of the results underestimated opacity or overestimated opacity by less than 9.5 percent opacity, while over a 6-minute time period, 90 percent of the data have less than a 7.5 percent positive error. Overall, the field studies demonstrated a negative bias. Over a 2-minute time period, 57 percent of the data have zero or negative error, and over a 6-minute time period, 58 percent of the data have zero or negative error. This means that observers are more likely to assign opacity

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values that are below, rather than above, the actual opacity value. Consequently, a larger percentage of noncompliance periods will be reported as compliant periods rather than compliant periods reported as violations. Table 203A-2 highlights the precision data results from the June 1985 report: "Opacity Errors for Averaging and Non Averaging Data Reduction and Reporting Techniques."

14.0 *Pollution Prevention [Reserved]*

15.0 *Waste Management [Reserved]*

16.0 *Alternative Procedures [Reserved]*

17.0 *References*

1. *U.S. Environmental Protection Agency. Standards of Performance for New Stationary Sources; Appendix A; Method 9 for Visual Determination of the Opacity of Emissions from Stationary Sources. Final Rule. 39 FR 219. Washington, DC. U.S. Government Printing Office. November 12, 1974.*
2. *Office of Air and Radiation. "Quality Assurance Guideline for Visible Emission Training Programs." EPA-600/S4-83-011. Quality Assurance Division. Research Triangle Park, NC. May 1982.*
3. *Office of Research and Development. "Method 9—Visible Determination of the Opacity of Emissions from Stationary Sources." February 1984. Quality Assurance Handbook for Air Pollution Measurement*

Systems. Volume III, Section 3.1.2. Stationary Source Specific Methods. EPA-600-4-77-027b. August 1977. Office of Research and Development Publications, 26 West Clair Street, Cincinnati, OH.

4. *Office of Air Quality Planning and Standards. "Opacity Error for Averaging and Non-averaging Data Reduction and Reporting Techniques." Final Report-SR-1-6-85. Emission Measurement Branch, Research Triangle Park, NC. June 1985.*

5. *U.S. Environmental Protection Agency. Preparation, Adoption, and Submittal of State Implementation Plans. Methods for Measurement of PM₁₀ Emissions from Stationary Sources. Final Rule. FEDERAL REGISTER. Washington, DC. U.S. Government Printing Office. Volume 55, No. 74. Pages 14246-14279. April 17, 1990.*

6. *Office of Air Quality Planning and Standards. "Collaborative Study of Opacity Observations of Fugitive Emissions from Unpaved Roads by Certified Observers." Emission Measurement Branch, Research Triangle Park, NC. October 1986.*

7. *Office of Air Quality Planning and Standards. "Field Data Forms and Instructions for EPA Methods 203A, 203B, and 203C." EPA 455/R-93-005. Stationary Source Compliance Division, Washington, DC, June 1993.*

18.0 *Tables, Diagrams, Flowcharts, and Validation Data*

TABLE 203A-1—SMOKE METER DESIGN AND PERFORMANCE SPECIFICATIONS

Parameter	Specification
a. Light Source	Incandescent lamp operated at nominal rated voltage.
b. Spectral response of photocell	Photopic (daylight spectral response of the human eye—Citation 3).
c. Angle of view	15° maximum total angle.
d. Angle of projection	15° maximum total angle.
e. Calibration error	±3% opacity, maximum.
f. Zero and span drift	±1% opacity, 30 minutes
g. Response time	5 seconds.

TABLE 203A-2—PRECISION BETWEEN OBSERVERS: OPACITY AVERAGING

Averaging period	Number of observations	Standard deviation (% opacity)	Amount with <7.5% opacity difference
15-second	140,250	3.4	87
2 minutes	17,694	2.6	92
3 minutes	11,836	2.4	92
6 minutes	5,954	2.1	93

METHOD 203B—VISUAL DETERMINATION OF OPACITY OF EMISSIONS FROM STATIONARY SOURCES FOR TIME-EXCEPTION REGULATIONS

1.0 *Scope and Application*

What is Method 203B?

Method 203B is an example test method suitable for State Implementation Plans (SIPs) and is applicable to the determination of the opacity of emissions from sources of visible emissions for time-exception regulations. A time-exception regulation means any regulation that allows predefined periods of opacity above the otherwise applicable opacity limit (e.g., allowing exceedances of 20 percent opacity for 3 minutes in 1 hour.)

Method 203B is virtually identical to EPA's Method 9 of 40 CFR part 60, Appendix A, except for the data-reduction procedures, which have been modified to apply to time-exception regulations. The certification procedures for this method are identical to those provided in Method 9. An example of a visible emission observation form and instructions for its use can be found in reference 7 of Section 17 of Method 203A.

2.0 *Summary of Method*

The opacity of emissions from sources of visible emissions is determined visually by a qualified observer.

3.0 *Definitions [Reserved]*

4.0 *Interferences [Reserved]*

5.0 *Safety [Reserved]*

6.0 *Equipment and Supplies*

What equipment and supplies are needed?

The same as specified in Section 6.0 of Method 203A.

7.0 *Reagents and Standards [Reserved]*

8.0 *Sample Collection, Preservation, Storage, and Transport*

What is the Test Procedure?

The observer qualified in accordance with Section 10 of Method 203A must use the following procedures for visually determining the opacity of emissions.

8.1 *Procedures for Emissions From Stationary Sources.* The procedures for emissions from stationary sources are the same as specified in 8.1 of Method 203A.

8.2 *Recording Observations.* You must record opacity observations to the nearest 5 percent at 15-second intervals on an observational record sheet. Each observation recorded represents the average opacity of emissions for a 15-second period. The overall length of time for which observations are re-

corded must be appropriate to the applicable regulation.

9.0 *Quality Control [Reserved]*

10.0 *Calibration and Standardization*

The Calibration and Standardization requirements are the same as specified in Section 10 of Method 203A.

11.0 *Analytical Procedures [Reserved]*

12.0 *Data Analysis and Calculations*

Data Reduction for Time-Exception Regulations. For a time-exception regulation, reduce opacity observations as follows: Count the number of observations above the applicable standard and multiply that number by 0.25 to determine the minutes of emissions above the target opacity.

13.0 *Method Performance*

13.1 *Time-Exception Regulations.* "Opacity Errors for Averaging and Non-Averaging Data Reduction and Reporting Techniques" analyzed the time errors associated with false compliance or false non-compliance determinations resulting from a sample of 1110 opacity readings with 6-minute observation periods. The study applied a 20 percent opacity standard. Fifty-one percent of the data showed zero error in time determinations. The standard deviation was 97.5 seconds for the 6-minute time period.

13.1.1 *Overall, the study showed a negative bias.* Each reading is associated with a 15-second block of time. The readings were multiplied by 15 seconds and the resulting time spent above the standard was compared to the transmissometer results. The average amount of time that observations deviated from the transmissometer's determinations was -8.3 seconds. Seventy percent of the time determinations were either correct or underestimated the time of excess emissions. Consequently, a larger percentage of non-compliance periods would be reported as compliant periods rather than compliant periods reported as violations.

13.1.2 *Some time-exception regulations reduce the data by averaging over 1-minute periods and then counting those minutes above the standard.* This data reduction procedure results in a less stringent standard than determinations resulting from data reduction procedures of Method 203B.

14.0 *Pollution Prevention [Reserved]*

15.0 *Waste Management [Reserved]*

16.0 *Alternative Procedures [Reserved]*

17.0 *References*

The references are the same as specified in Section 17 of Method 203A.

18.0 Tables, Diagrams, Flowcharts, and Validation Data [Reserved]

METHOD 203C—VISUAL DETERMINATION OF OPACITY OF EMISSIONS FROM STATIONARY SOURCES FOR INSTANTANEOUS LIMITATION REGULATIONS

1.0 Scope and Application

What is Method 203C?

Method 203C is an example test method suitable for State Implementation Plans (SIPs) and is applicable to the determination of the opacity of emissions from sources of visible emissions for regulations with an instantaneous opacity limitation. An instantaneous opacity limitation is an opacity limit which is never to be exceeded.

Method 203C is virtually identical to EPA's Method 9 of 40 CFR Part 60, Appendix A, except for 5-second reading intervals and the data-reduction procedures, which have been modified for instantaneous limitation regulations. The certification procedures for this method are virtually identical to Method 9. An example visible emission observation form and instructions for its use can be found in reference 7 of Section 17 of Method 203A.

2.0 Summary of Method

The opacity of emissions from sources of visible emissions is determined visually by an observer certified according to the procedures in Section 10 of Method 203A.

3.0 Definitions [Reserved]

4.0 Interferences [Reserved]

5.0 Safety [Reserved]

6.0 Equipment and Supplies

The equipment and supplies used are the same as Section 6.0 of Method 203A.

7.0 Reagents and Standards [Reserved]

8.0 Sample Collection, Preservation, Storage, and Transport

What is the Test Procedure?

The qualified observer must use the following procedures for visually determining the opacity of emissions.

8.1 Procedures for Emissions From Stationary Sources. These are the same as Section 8.1 of Method 203A.

8.1.1 Position. Same as Section 8.1.1 of Method 203A.

8.1.2 Field Records. Same as Section 8.1.2 of Method 203A.

8.1.3 Observations. Make opacity observations at the point of greatest opacity in that portion of the plume where condensed water vapor is not present. Do not look continu-

ously at the plume, instead, observe the plume momentarily at 5-second intervals.

8.1.3.1 Attached Steam Plumes. Same as Section 8.1.3.1 of Method 203A.

8.1.3.2 Detached Steam Plumes. Same as Section 8.1.3.2 of Method 203A.

8.2 Recording Observations. You must record opacity observations to the nearest 5 percent at 5-second intervals on an observational record sheet. Each observation recorded represents the average of emissions for the 5-second period. The overall time for which recordings are made must be of a length appropriate to the applicable regulation for which opacity is being measured.

9.0 Quality Control [Reserved]

10.0 Calibration and Standardization

The calibration and standardization procedures are the same as Section 10 of Method 203A.

11.0 Analytical Procedures [Reserved]

12.0 Data Analysis and Calculations

12.1 Data Reduction for Instantaneous Limitation Regulations. For an instantaneous limitation regulation, a 1-minute averaging time will be used. You must divide the observations recorded on the record sheet into sets of consecutive observations. A set is composed of the consecutive observations made in 1 minute. Sets need not be consecutive in time, and in no case must two sets overlap. You must reduce opacity observations by dividing the sum of all observations recorded in a set by the number of observations recorded in each set.

12.2 Reduce opacity observations by averaging 12 consecutive observations recorded at 5-second intervals. Divide the observations recorded on the record sheet into sets of 12 consecutive observations. For each set of 12 observations, calculate the average by summing the opacity of the 12 observations and dividing this sum by 12.

13.0 Method Performance

The results of the "Collaborative Study of Opacity Observations at Five-second Intervals by Certified Observers" are almost identical to those of previous studies of Method 9 observations taken at 15-second intervals and indicate that observers can make valid observations at 5-second intervals. The average difference of all observations from the transmissometer values was 8.8 percent opacity, which shows a fairly high negative bias. Underestimating the opacity of the visible emissions is more likely than overestimating the opacity of the emissions.

14.0 Pollution Prevention [Reserved]

15.0 Waste Management [Reserved]

16.0 Alternative Procedures [Reserved]

17.0 References

The references are the same as references 1-7 in Method 203A in addition to the following:

1. Office of Air Quality Planning and Standards. "Collaborative Study of Opacity Observations at Five-second Intervals by Certified Observers." Docket A-84-22, IV-A-2. Emission Measurement Branch, Research Triangle Park, N.C. September 1990.

18.0 Tables, Diagrams, Flowcharts, and Validation Data

METHOD 204—CRITERIA FOR AND VERIFICATION OF A PERMANENT OR TEMPORARY TOTAL ENCLOSURE

1. Scope and Application

This procedure is used to determine whether a permanent or temporary enclosure meets the criteria for a total enclosure. An existing building may be used as a temporary or permanent enclosure as long as it meets the appropriate criteria described in this method.

2. Summary of Method

An enclosure is evaluated against a set of criteria. If the criteria are met and if all the exhaust gases from the enclosure are ducted to a control device, then the volatile organic compounds (VOC) capture efficiency (CE) is assumed to be 100 percent, and CE need not be measured. However, if part of the exhaust gas stream is not ducted to a control device, CE must be determined.

3. Definitions

3.1 Natural Draft Opening (NDO). Any permanent opening in the enclosure that remains open during operation of the facility and is not connected to a duct in which a fan is installed.

3.2 Permanent Total Enclosure (PE). A permanently installed enclosure that completely surrounds a source of emissions such that all VOC emissions are captured and contained for discharge to a control device.

3.3 Temporary Total Enclosure (TTE). A temporarily installed enclosure that completely surrounds a source of emissions such that all VOC emissions that are not directed through the control device (*i.e.*, uncaptured) are captured by the enclosure and contained for discharge through ducts that allow for the accurate measurement of the uncaptured VOC emissions.

3.4 Building Enclosure (BE). An existing building that is used as a TTE.

4. Safety

An evaluation of the proposed building materials and the design for the enclosure is recommended to minimize any potential hazards.

5. Criteria for Temporary Total Enclosure

5.1 Any NDO shall be at least four equivalent opening diameters from each VOC emitting point unless otherwise specified by the Administrator.

5.2 Any exhaust point from the enclosure shall be at least four equivalent duct or hood diameters from each NDO.

5.3 The total area of all NDO's shall not exceed 5 percent of the surface area of the enclosure's four walls, floor, and ceiling.

5.4 The average facial velocity (FV) of air through all NDO's shall be at least 3,600 m/hr (200 fpm). The direction of air flow through all NDO's shall be into the enclosure.

5.5 All access doors and windows whose areas are not included in section 5.3 and are not included in the calculation in section 5.4 shall be closed during routine operation of the process.

6. Criteria for a Permanent Total Enclosure

6.1 Same as sections 5.1 and 5.3 through 5.5.

6.2 All VOC emissions must be captured and contained for discharge through a control device.

7. Quality Control

7.1 The success of this method lies in designing the TTE to simulate the conditions that exist without the TTE (*i.e.*, the effect of the TTE on the normal flow patterns around the affected facility or the amount of uncaptured VOC emissions should be minimal). The TTE must enclose the application stations, coating reservoirs, and all areas from the application station to the oven. The oven does not have to be enclosed if it is under negative pressure. The NDO's of the temporary enclosure and an exhaust fan must be properly sized and placed.

7.2 Estimate the ventilation rate of the TTE that best simulates the conditions that exist without the TTE (*i.e.*, the effect of the TTE on the normal flow patterns around the affected facility or the amount of uncaptured VOC emissions should be minimal). Figure 204-1 or the following equation may be used as an aid.

$$CE = \frac{Q_G C_G}{Q_G C_G + Q_F C_F} \quad \text{Eq. 204-1}$$

Measure the concentration (C_G) and flow rate (Q_G) of the captured gas stream, specify a safe concentration (C_F) for the uncaptured gas stream, estimate the CE, and then use the plot in Figure 204-1 or Equation 204-1 to

determine the volumetric flow rate of the uncaptured gas stream (QF). An exhaust fan that has a variable flow control is desirable.

7.3 Monitor the VOC concentration of the captured gas steam in the duct before the capture device without the TTE. To minimize the effect of temporal variation on the captured emissions, the baseline measurement should be made over as long a time period as practical. However, the process conditions must be the same for the measurement in section 7.5 as they are for this baseline measurement. This may require short measuring times for this quality control check before and after the construction of the TTE.

7.4 After the TTE is constructed, monitor the VOC concentration inside the TTE. This concentration should not continue to increase, and must not exceed the safe level according to Occupational Safety and Health Administration requirements for permissible exposure limits. An increase in VOC concentration indicates poor TTE design.

7.5 Monitor the VOC concentration of the captured gas stream in the duct before the capture device with the TTE. To limit the effect of the TTE on the process, the VOC concentration with and without the TTE must be within 10 percent. If the measurements do not agree, adjust the ventilation rate from the TTE until they agree within 10 percent.

8. Procedure

8.1 Determine the equivalent diameters of the NDO's and determine the distances from each VOC emitting point to all NDO's. Determine the equivalent diameter of each exhaust duct or hood and its distance to all NDO's. Calculate the distances in terms of equivalent diameters. The number of equivalent diameters shall be at least four.

8.2 Measure the total surface area (A_T) of the enclosure and the total area (A_N) of all NDO's in the enclosure. Calculate the NDO to enclosure area ratio (NEAR) as follows:

$$\text{NEAR} = \frac{A_N}{A_T} \quad \text{Eq. 204-2}$$

The NEAR must be ≤ 0.05 .

8.3 Measure the volumetric flow rate, corrected to standard conditions, of each gas stream exiting the enclosure through an exhaust duct or hood using EPA Method 2. In some cases (e.g., when the building is the enclosure), it may be necessary to measure the volumetric flow rate, corrected to standard conditions, of each gas stream entering the enclosure through a forced makeup air duct using Method 2. Calculate FV using the following equation:

$$\text{FV} = \frac{Q_O - Q_I}{A_N} \quad \text{Eq. 204-3}$$

where:

Q_O = the sum of the volumetric flow from all gas streams exiting the enclosure through an exhaust duct or hood.

Q_I = the sum of the volumetric flow from all gas streams into the enclosure through a forced makeup air duct; zero, if there is no forced makeup air into the enclosure.

A_N = total area of all NDO's in enclosure.

The FV shall be at least 3,600 m/hr (200 fpm). Alternatively, measure the pressure differential across the enclosure. A pressure drop of 0.013 mm Hg (0.007 in. H_2O) corresponds to an FV of 3,600 m/hr (200 fpm).

8.4 Verify that the direction of air flow through all NDO's is inward. If FV is less than 9,000 m/hr (500 fpm), the continuous inward flow of air shall be verified using streamers, smoke tubes, or tracer gases. Monitor the direction of air flow for at least 1 hour, with checks made no more than 10 minutes apart. If FV is greater than 9,000 m/hr (500 fpm), the direction of air flow through the NDO's shall be presumed to be inward at all times without verification.

9. Diagrams

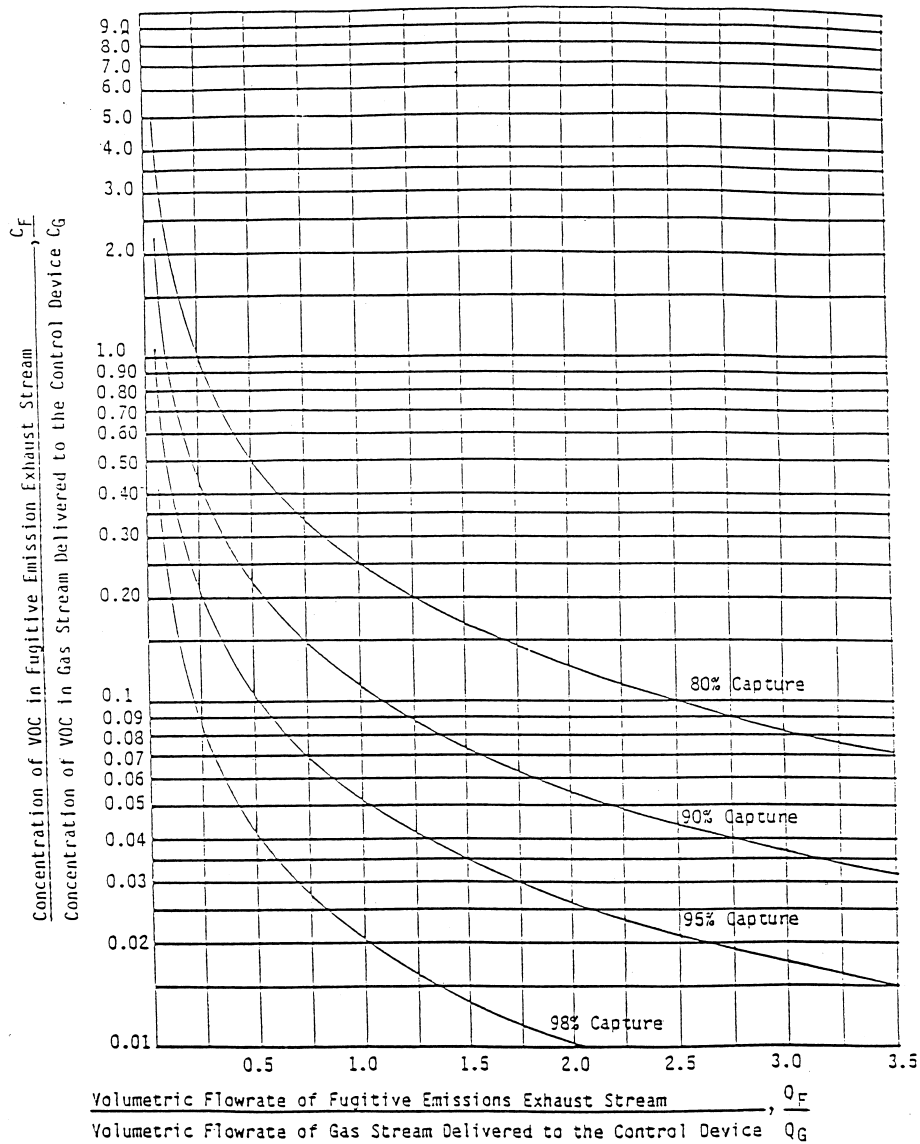


Figure 204-1. The crumpler chart.

METHOD 204A—VOLATILE ORGANIC COMPOUNDS
CONTENT IN LIQUID INPUT STREAM

1. Scope and Application

1.1 Applicability. This procedure is applicable for determining the input of volatile organic compounds (VOC). It is intended to be used in the development of liquid/gas pro-

cedures for determining VOC capture efficiency (CE) for surface coating and printing operations.

1.2 Principle. The amount of VOC introduced to the process (L) is the sum of the products of the weight (W) of each VOC containing liquid (ink, paint, solvent, etc.) used and its VOC content (V).

1.3 Sampling Requirements. A CE test shall consist of at least three sampling runs. Each run shall cover at least one complete production cycle, but shall be at least 3 hours long. The sampling time for each run need not exceed 8 hours, even if the production cycle has not been completed. Alternative sampling times may be used with the approval of the Administrator.

2. Summary of Method

The amount of VOC containing liquid introduced to the process is determined as the weight difference of the feed material before and after each sampling run. The VOC content of the liquid input material is determined by volatilizing a small aliquot of the material and analyzing the volatile material using a flame ionization analyzer (FIA). A sample of each VOC containing liquid is analyzed with an FIA to determine V.

3. Safety

Because this procedure is often applied in highly explosive areas, caution and care should be exercised in choosing, installing, and using the appropriate equipment.

4. Equipment and Supplies

Mention of trade names or company products does not constitute endorsement. All gas concentrations (percent, ppm) are by volume, unless otherwise noted.

4.1 Liquid Weight.

4.1.1 Balances/Digital Scales. To weigh drums of VOC containing liquids to within 0.2 lb or 1.0 percent of the total weight of VOC liquid used.

4.1.2 Volume Measurement Apparatus (Alternative). Volume meters, flow meters, density measurement equipment, etc., as needed to achieve the same accuracy as direct weight measurements.

4.2 VOC Content (FIA Technique). The liquid sample analysis system is shown in Figures 204A-1 and 204A-2. The following equipment is required:

4.2.1 Sample Collection Can. An appropriately-sized metal can to be used to collect VOC containing materials. The can must be constructed in such a way that it can be grounded to the coating container.

4.2.2 Needle Valves. To control gas flow.

4.2.3 Regulators. For carrier gas and calibration gas cylinders.

4.2.4 Tubing. Teflon or stainless steel tubing with diameters and lengths determined by connection requirements of equipment. The tubing between the sample oven outlet and the FIA shall be heated to maintain a temperature of 120 ± 5 °C.

4.2.5 Atmospheric Vent. A tee and 0- to 0.5-liter/min rotameter placed in the sampling line between the carrier gas cylinder and the VOC sample vessel to release the excess carrier gas. A toggle valve placed be-

tween the tee and the rotameter facilitates leak tests of the analysis system.

4.2.6 Thermometer. Capable of measuring the temperature of the hot water bath to within 1 °C.

4.2.7 Sample Oven. Heated enclosure, containing calibration gas coil heaters, critical orifice, aspirator, and other liquid sample analysis components, capable of maintaining a temperature of 120 ± 5 °C.

4.2.8 Gas Coil Heaters. Sufficient lengths of stainless steel or Teflon tubing to allow zero and calibration gases to be heated to the sample oven temperature before entering the critical orifice or aspirator.

4.2.9 Water Bath. Capable of heating and maintaining a sample vessel temperature of 100 ± 5 °C.

4.2.10 Analytical Balance. To measure ± 0.001 g.

4.2.11 Disposable Syringes. 2-cc or 5-cc.

4.2.12 Sample Vessel. Glass, 40-ml septum vial. A separate vessel is needed for each sample.

4.2.13 Rubber Stopper. Two-hole stopper to accommodate 3.2-mm ($\frac{1}{8}$ -in.) Teflon tubing, appropriately sized to fit the opening of the sample vessel. The rubber stopper should be wrapped in Teflon tape to provide a tighter seal and to prevent any reaction of the sample with the rubber stopper. Alternatively, any leak-free closure fabricated of nonreactive materials and accommodating the necessary tubing fittings may be used.

4.2.14 Critical Orifices. Calibrated critical orifices capable of providing constant flow rates from 50 to 250 ml/min at known pressure drops. Sapphire orifice assemblies (available from O'Keefe Controls Company) and glass capillary tubing have been found to be adequate for this application.

4.2.15 Vacuum Gauge. Zero to 760-mm (0- to 30-in.) Hg U-Tube manometer or vacuum gauge.

4.2.16 Pressure Gauge. Bourdon gauge capable of measuring the maximum air pressure at the aspirator inlet (e.g., 100 psig).

4.2.17 Aspirator. A device capable of generating sufficient vacuum at the sample vessel to create critical flow through the calibrated orifice when sufficient air pressure is present at the aspirator inlet. The aspirator must also provide sufficient sample pressure to operate the FIA. The sample is also mixed with the dilution gas within the aspirator.

4.2.18 Soap Bubble Meter. Of an appropriate size to calibrate the critical orifices in the system.

4.2.19 Organic Concentration Analyzer. An FIA with a span value of 1.5 times the expected concentration as propane; however, other span values may be used if it can be demonstrated that they would provide more accurate measurements. The FIA instrument should be the same instrument used in the gaseous analyses adjusted with the same

fuel, combustion air, and sample back-pressure (flow rate) settings. The system shall be capable of meeting or exceeding the following specifications:

4.2.19.1 Zero Drift. Less than ± 3.0 percent of the span value.

4.2.19.2 Calibration Drift. Less than ± 3.0 percent of the span value.

4.2.19.3 Calibration Error. Less than ± 5.0 percent of the calibration gas value.

4.2.20 Integrator/Data Acquisition System. An analog or digital device or computerized data acquisition system used to integrate the FIA response or compute the average response and record measurement data. The minimum data sampling frequency for computing average or integrated values is one measurement value every 5 seconds. The device shall be capable of recording average values at least once per minute.

4.2.21 Chart Recorder (Optional). A chart recorder or similar device is recommended to provide a continuous analog display of the measurement results during the liquid sample analysis.

5. Reagents and Standards

5.1 Calibration and Other Gases. Gases used for calibration, fuel, and combustion air (if required) are contained in compressed gas cylinders. All calibration gases shall be traceable to National Institute of Standards and Technology standards and shall be certified by the manufacturer to ± 1 percent of the tag value. Additionally, the manufacturer of the cylinder should provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ± 2 percent from the certified value. For calibration gas values not generally available, dilution systems calibrated using Method 205 may be used. Alternative methods for preparing calibration gas mixtures may be used with the approval of the Administrator.

5.1.1 Fuel. The FIA manufacturer's recommended fuel should be used. A 40 percent H₂/60 percent He or 40 percent H₂/60 percent N₂ gas mixture is recommended to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value. Other mixtures may be used provided the tester can demonstrate to the Administrator that there is no oxygen synergism effect.

5.1.2 Carrier Gas. High purity air with less than 1 ppm of organic material (as propane) or less than 0.1 percent of the span value, whichever is greater.

5.1.3 FIA Linearity Calibration Gases. Low-, mid-, and high-range gas mixture standards with nominal propane concentrations of 20-30, 45-55, and 70-80 percent of the span value in air, respectively. Other calibration values and other span values may be used if it can be shown to the Administra-

tor's satisfaction that equally accurate measurements would be achieved.

5.1.4 System Calibration Gas. Gas mixture standard containing propane in air, approximating the undiluted VOC concentration expected for the liquid samples.

6. Sample Collection, Preservation and Storage

6.1 Samples must be collected in a manner that prevents or minimizes loss of volatile components and that does not contaminate the coating reservoir.

6.2 Collect a 100-ml or larger sample of the VOC containing liquid mixture at each application location at the beginning and end of each test run. A separate sample should be taken of each VOC containing liquid added to the application mixture during the test run. If a fresh drum is needed during the sampling run, then obtain a sample from the fresh drum.

6.3 When collecting the sample, ground the sample container to the coating drum. Fill the sample container as close to the rim as possible to minimize the amount of headspace.

6.4 After the sample is collected, seal the container so the sample cannot leak out or evaporate.

6.5 Label the container to clearly identify the contents.

7. Quality Control

7.1 Required instrument quality control parameters are found in the following sections:

7.1.1 The FIA system must be calibrated as specified in section 8.1.

7.1.2 The system drift check must be performed as specified in section 8.2.

8. Calibration and Standardization

8.1 FIA Calibration and Linearity Check. Make necessary adjustments to the air and fuel supplies for the FIA and ignite the burner. Allow the FIA to warm up for the period recommended by the manufacturer. Inject a calibration gas into the measurement system and adjust the back-pressure regulator to the value required to achieve the flow rates specified by the manufacturer. Inject the zero- and the high-range calibration gases and adjust the analyzer calibration to provide the proper responses. Inject the low- and mid-range gases and record the responses of the measurement system. The calibration and linearity of the system are acceptable if the responses for all four gases are within 5 percent of the respective gas values. If the performance of the system is not acceptable, repair or adjust the system and repeat the linearity check. Conduct a calibration and linearity check after assembling the analysis system and after a major change is made to the system.

8.2 Systems Drift Checks. After each sample, repeat the system calibration checks in section 9.2.7 before any adjustments to the FIA or measurement system are made. If the zero or calibration drift exceeds ± 3 percent of the span value, discard the result and repeat the analysis.

Alternatively, recalibrate the FIA as in section 8.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run.

8.3 Critical Orifice Calibration.

8.3.1 Each critical orifice must be calibrated at the specific operating conditions under which it will be used. Therefore, assemble all components of the liquid sample analysis system as shown in Figure 204A-3. A stopwatch is also required.

8.3.2 Turn on the sample oven, sample line, and water bath heaters, and allow the system to reach the proper operating temperature. Adjust the aspirator to a vacuum of 380 mm (15 in.) Hg vacuum. Measure the time required for one soap bubble to move a known distance and record barometric pressure.

8.3.3 Repeat the calibration procedure at a vacuum of 406 mm (16 in.) Hg and at 25-mm (1-in.) Hg intervals until three consecutive determinations provide the same flow rate. Calculate the critical flow rate for the orifice in ml/min at standard conditions. Record the vacuum necessary to achieve critical flow.

9. Procedure

9.1 Determination of Liquid Input Weight.

9.1.1 Weight Difference. Determine the amount of material introduced to the process as the weight difference of the feed material before and after each sampling run. In determining the total VOC containing liquid usage, account for:

(a) The initial (beginning) VOC containing liquid mixture.

(b) Any solvent added during the test run.

(c) Any coating added during the test run.

(d) Any residual VOC containing liquid mixture remaining at the end of the sample run.

9.1.1.1 Identify all points where VOC containing liquids are introduced to the process. To obtain an accurate measurement of VOC containing liquids, start with an empty fountain (if applicable). After completing the run, drain the liquid in the fountain back into the liquid drum (if possible) and weigh the drum again. Weigh the VOC containing liquids to ± 0.5 percent of the total weight (full) or ± 1.0 percent of the total weight of VOC containing liquid used during the sample run, whichever is less. If the residual liquid cannot be returned to the drum, drain

the fountain into a preweighed empty drum to determine the final weight of the liquid.

9.1.1.2 If it is not possible to measure a single representative mixture, then weigh the various components separately (*e.g.*, if solvent is added during the sampling run, weigh the solvent before it is added to the mixture). If a fresh drum of VOC containing liquid is needed during the run, then weigh both the empty drum and fresh drum.

9.1.2 Volume Measurement (Alternative). If direct weight measurements are not feasible, the tester may use volume meters or flow rate meters and density measurements to determine the weight of liquids used if it can be demonstrated that the technique produces results equivalent to the direct weight measurements. If a single representative mixture cannot be measured, measure the components separately.

9.2 Determination of VOC Content in Input Liquids

9.2.1 Assemble the liquid VOC content analysis system as shown in Figure 204A-1.

9.2.2 Permanently identify all of the critical orifices that may be used. Calibrate each critical orifice under the expected operating conditions (*i.e.*, sample vacuum and temperature) against a volume meter as described in section 8.3.

9.2.3 Label and tare the sample vessels (including the stoppers and caps) and the syringes.

9.2.4 Install an empty sample vessel and perform a leak test of the system. Close the carrier gas valve and atmospheric vent and evacuate the sample vessel to 250 mm (10 in.) Hg absolute or less using the aspirator. Close the toggle valve at the inlet to the aspirator and observe the vacuum for at least 1 minute. If there is any change in the sample pressure, release the vacuum, adjust or repair the apparatus as necessary, and repeat the leak test.

9.2.5 Perform the analyzer calibration and linearity checks according to the procedure in section 5.1. Record the responses to each of the calibration gases and the back-pressure setting of the FIA.

9.2.6 Establish the appropriate dilution ratio by adjusting the aspirator air supply or substituting critical orifices. Operate the aspirator at a vacuum of at least 25 mm (1 in.) Hg greater than the vacuum necessary to achieve critical flow. Select the dilution ratio so that the maximum response of the FIA to the sample does not exceed the high-range calibration gas.

9.2.7 Perform system calibration checks at two levels by introducing compressed gases at the inlet to the sample vessel while the aspirator and dilution devices are operating. Perform these checks using the carrier gas (zero concentration) and the system calibration gas. If the response to the carrier

gas exceeds ± 0.5 percent of span, clean or repair the apparatus and repeat the check. Adjust the dilution ratio as necessary to achieve the correct response to the upscale check, but do not adjust the analyzer calibration. Record the identification of the orifice, aspirator air supply pressure, FIA back-pressure, and the responses of the FIA to the carrier and system calibration gases.

9.2.8 After completing the above checks, inject the system calibration gas for approximately 10 minutes. Time the exact duration of the gas injection using a stopwatch. Determine the area under the FIA response curve and calculate the system response factor based on the sample gas flow rate, gas concentration, and the duration of the injection as compared to the integrated response using Equations 204A-2 and 204A-3.

9.2.9 Verify that the sample oven and sample line temperatures are 120 ± 5 °C and that the water bath temperature is 100 ± 5 °C.

9.2.10 Fill a tared syringe with approximately 1 g of the VOC containing liquid and weigh it. Transfer the liquid to a tared sample vessel. Plug the sample vessel to minimize sample loss. Weigh the sample vessel containing the liquid to determine the amount of sample actually received. Also, as a quality control check, weigh the empty syringe to determine the amount of material delivered. The two coating sample weights should agree within 0.02 g. If not, repeat the procedure until an acceptable sample is obtained.

9.2.11 Connect the vessel to the analysis system. Adjust the aspirator supply pressure to the correct value. Open the valve on the carrier gas supply to the sample vessel and adjust it to provide a slight excess flow to the atmospheric vent. As soon as the initial response of the FIA begins to decrease, immerse the sample vessel in the water bath. (Applying heat to the sample vessel too soon may cause the FIA response to exceed the calibrated range of the instrument and, thus, invalidate the analysis.)

9.2.12 Continuously measure and record the response of the FIA until all of the volatile material has been evaporated from the sample and the instrument response has returned to the baseline (*i.e.*, response less than 0.5 percent of the span value). Observe the aspirator supply pressure, FIA back-pressure, atmospheric vent, and other system operating parameters during the run; repeat

the analysis procedure if any of these parameters deviate from the values established during the system calibration checks in section 9.2.7. After each sample, perform the drift check described in section 8.2. If the drift check results are acceptable, calculate the VOC content of the sample using the equations in section 11.2. Alternatively, recalibrate the FIA as in section 8.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. Integrate the area under the FIA response curve, or determine the average concentration response and the duration of sample analysis.

10. Data Analysis and Calculations

10.1 Nomenclature.

- A_L = area under the response curve of the liquid sample, area count.
- A_S = area under the response curve of the calibration gas, area count.
- C_S = actual concentration of system calibration gas, ppm propane.
- K = 1.830×10^{-9} g/(ml-ppm).
- L = total VOC content of liquid input, kg.
- M_L = mass of liquid sample delivered to the sample vessel, g.
- q = flow rate through critical orifice, ml/min.
- RF = liquid analysis system response factor, g/area count.
- θ_S = total gas injection time for system calibration gas during integrator calibration, min.
- V_{Fj} = final VOC fraction of VOC containing liquid j.
- V_{Ij} = initial VOC fraction of VOC containing liquid j.
- V_{Aj} = VOC fraction of VOC containing liquid j added during the run.
- V = VOC fraction of liquid sample.
- W_{Fj} = weight of VOC containing liquid j remaining at end of the run, kg.
- W_{Ij} = weight of VOC containing liquid j at beginning of the run, kg.
- W_{Aj} = weight of VOC containing liquid j added during the run, kg.

10.2 Calculations

10.2.1 Total VOC Content of the Input VOC Containing Liquid.

$$L = \sum_{j=1}^n V_{Ij} W_{Ij} - \sum_{j=1}^n V_{Fj} W_{Fj} + \sum_{j=1}^n V_{Aj} W_{Aj} \quad \text{Eq. 204A-1}$$

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10.2.2 Liquid Sample Analysis System Response Factor for Systems Using Integrators, Grams/Area Count.

$$RF = \frac{C_S q \theta_S K}{A_S} \quad \text{Eq. 204A-2}$$

10.2.3 VOC Content of the Liquid Sample.

$$V = \frac{A_L RF}{M_L} \quad \text{Eq. 204A-3}$$

11. Method Performance

The measurement uncertainties are estimated for each VOC containing liquid as follows: W = ±2.0 percent and V = ±4.0 percent. Based on these numbers, the probable uncertainty for L is estimated at about ±4.5 percent for each VOC containing liquid.

12. Diagrams

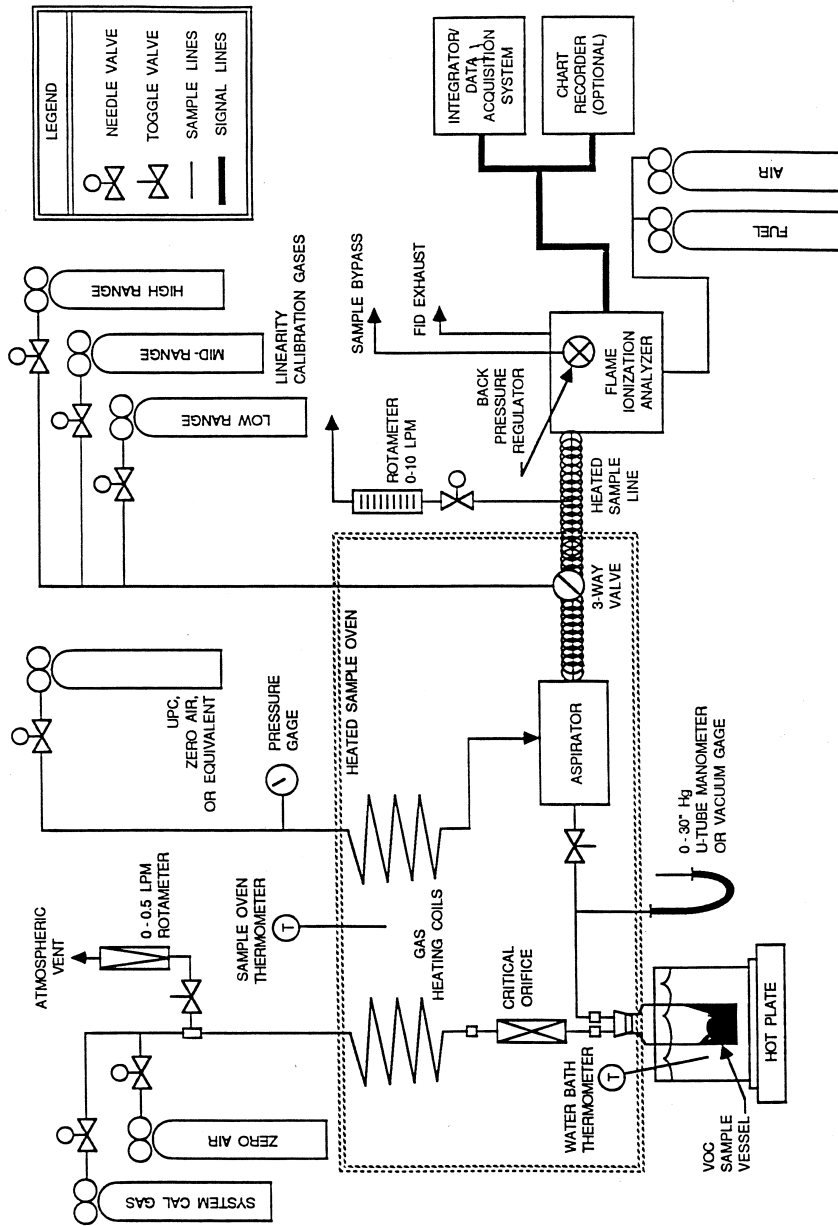


Figure 204A-1. Liquid analysis sample system.

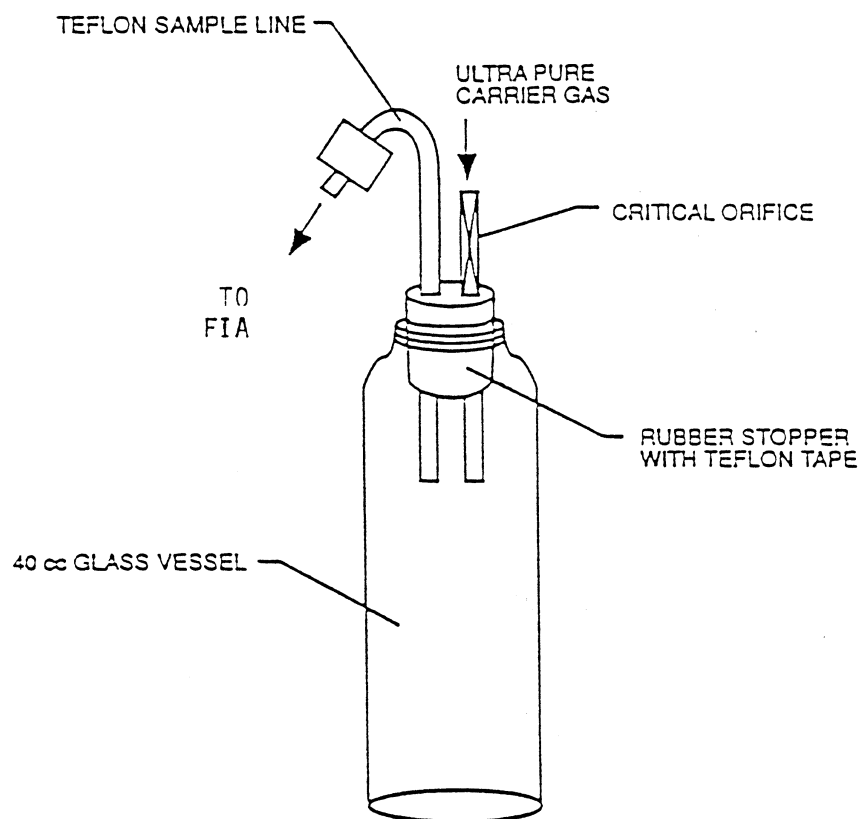


Figure 204A-2. VOC sampling vessel.

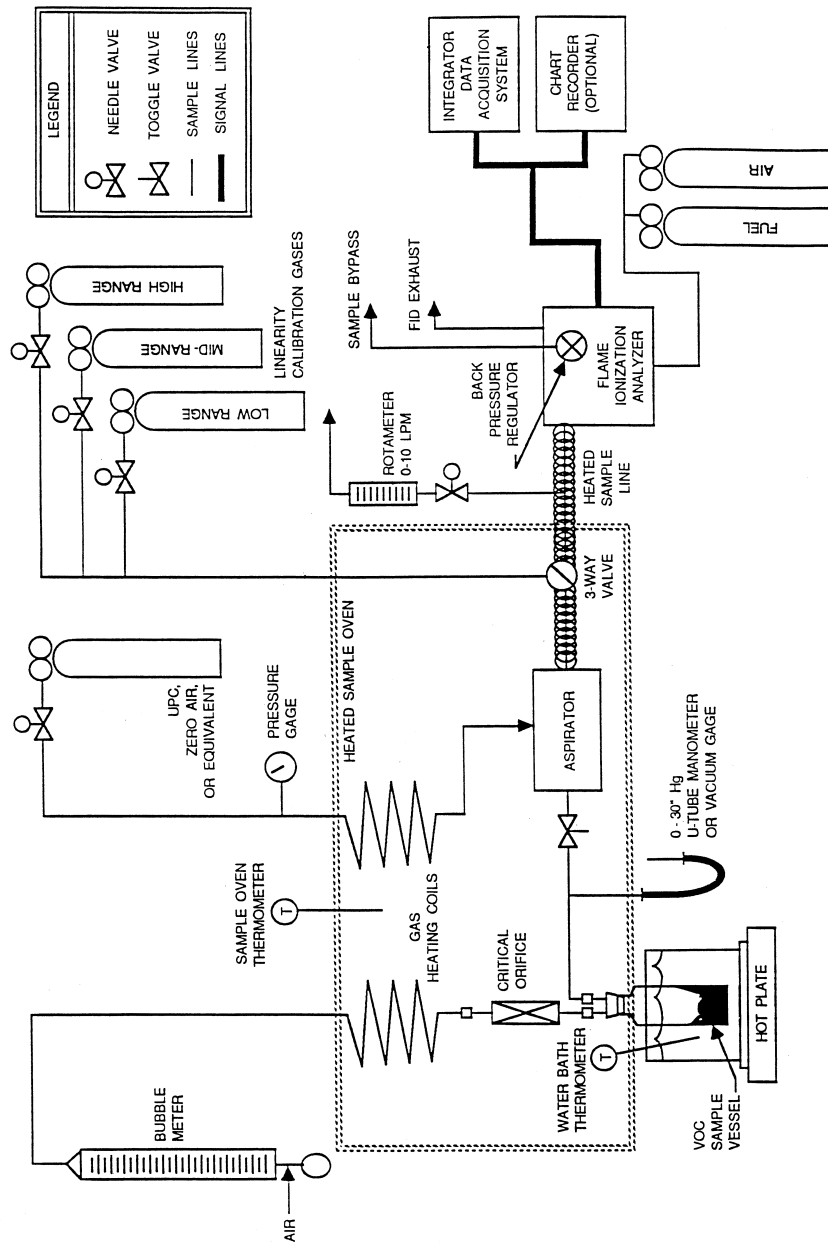


Figure 204A-3. Critical orifice calibration apparatus.

METHOD 204B—VOLATILE ORGANIC COMPOUNDS
EMISSIONS IN CAPTURED STREAM*1. Scope and Application*

1.1 **Applicability.** This procedure is applicable for determining the volatile organic compounds (VOC) content of captured gas streams. It is intended to be used in the development of a gas/gas protocol for determining VOC capture efficiency (CE) for surface coating and printing operations. The procedure may not be acceptable in certain site-specific situations [e.g., when: (1) direct-fired heaters or other circumstances affect the quantity of VOC at the control device inlet; and (2) particulate organic aerosols are formed in the process and are present in the captured emissions].

1.2 **Principle.** The amount of VOC captured (G) is calculated as the sum of the products of the VOC content (C_{Gj}), the flow rate (Q_{Gj}), and the sample time (Θ_C) from each captured emissions point.

1.3 **Sampling Requirements.** A CE test shall consist of at least three sampling runs. Each run shall cover at least one complete production cycle, but shall be at least 3 hours long. The sampling time for each run need not exceed 8 hours, even if the production cycle has not been completed. Alternative sampling times may be used with the approval of the Administrator.

2. Summary of Method

A gas sample is extracted from the source through a heated sample line and, if necessary, a glass fiber filter to a flame ionization analyzer (FIA).

3. Safety

Because this procedure is often applied in highly explosive areas, caution and care should be exercised in choosing, installing, and using the appropriate equipment.

4. Equipment and Supplies

Mention of trade names or company products does not constitute endorsement. All gas concentrations (percent, ppm) are by volume, unless otherwise noted.

4.1 **Gas VOC Concentration.** A schematic of the measurement system is shown in Figure 204B-1. The main components are as follows:

4.1.1 **Sample Probe.** Stainless steel or equivalent. The probe shall be heated to prevent VOC condensation.

4.1.2 **Calibration Valve Assembly.** Three-way valve assembly at the outlet of the sample probe to direct the zero and calibration gases to the analyzer. Other methods, such as quick-connect lines, to route calibration gases to the outlet of the sample probe are acceptable.

4.1.3 **Sample Line.** Stainless steel or Teflon tubing to transport the sample gas to the

analyzer. The sample line must be heated to prevent condensation.

4.1.4 **Sample Pump.** A leak-free pump, to pull the sample gas through the system at a flow rate sufficient to minimize the response time of the measurement system. The components of the pump that contact the gas stream shall be constructed of stainless steel or Teflon. The sample pump must be heated to prevent condensation.

4.1.5 **Sample Flow Rate Control.** A sample flow rate control valve and rotameter, or equivalent, to maintain a constant sampling rate within 10 percent. The flow rate control valve and rotameter must be heated to prevent condensation. A control valve may also be located on the sample pump bypass loop to assist in controlling the sample pressure and flow rate.

4.1.6 **Organic Concentration Analyzer.** An FIA with a span value of 1.5 times the expected concentration as propane; however, other span values may be used if it can be demonstrated to the Administrator's satisfaction that they would provide equally accurate measurements. The system shall be capable of meeting or exceeding the following specifications:

4.1.6.1 **Zero Drift.** Less than ± 3.0 percent of the span value.

4.1.6.2 **Calibration Drift.** Less than ± 3.0 percent of the span value.

4.1.6.3 **Calibration Error.** Less than ± 5.0 percent of the calibration gas value.

4.1.6.4 **Response Time.** Less than 30 seconds.

4.1.7 **Integrator/Data Acquisition System.** An analog or digital device, or computerized data acquisition system used to integrate the FIA response or compute the average response and record measurement data. The minimum data sampling frequency for computing average or integrated values is one measurement value every 5 seconds. The device shall be capable of recording average values at least once per minute.

4.2 **Captured Emissions Volumetric Flow Rate.**

4.2.1 **Method 2 or 2A Apparatus.** For determining volumetric flow rate.

4.2.2 **Method 3 Apparatus and Reagents.** For determining molecular weight of the gas stream. An estimate of the molecular weight of the gas stream may be used if approved by the Administrator.

4.2.3 **Method 4 Apparatus and Reagents.** For determining moisture content, if necessary.

5. Reagents and Standards

5.1 **Calibration and Other Gases.** Gases used for calibration, fuel, and combustion air (if required) are contained in compressed gas cylinders. All calibration gases shall be traceable to National Institute of Standards and Technology standards and shall be certified by the manufacturer to ± 1 percent of

the tag value. Additionally, the manufacturer of the cylinder should provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ± 2 percent from the certified value. For calibration gas values not generally available, dilution systems calibrated using Method 205 may be used. Alternative methods for preparing calibration gas mixtures may be used with the approval of the Administrator.

5.1.1 Fuel. The FIA manufacturer's recommended fuel should be used. A 40 percent H₂/60 percent He or 40 percent H₂/60 percent N₂ gas mixture is recommended to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value. Other mixtures may be used provided the tester can demonstrate to the Administrator that there is no oxygen synergism effect.

5.1.2 Carrier Gas. High purity air with less than 1 ppm of organic material (as propane or carbon equivalent) or less than 0.1 percent of the span value, whichever is greater.

5.1.3 FIA Linearity Calibration Gases. Low-, mid-, and high-range gas mixture standards with nominal propane concentrations of 20-30, 45-55, and 70-80 percent of the span value in air, respectively. Other calibration values and other span values may be used if it can be shown to the Administrator's satisfaction that equally accurate measurements would be achieved.

5.2 Particulate Filter. An in-stack or an out-of-stack glass fiber filter is recommended if exhaust gas particulate loading is significant. An out-of-stack filter must be heated to prevent any condensation unless it can be demonstrated that no condensation occurs.

6. Quality Control

6.1 Required instrument quality control parameters are found in the following sections:

6.1.1 The FIA system must be calibrated as specified in section 7.1.

6.1.2 The system drift check must be performed as specified in section 7.2.

6.1.3 The system check must be conducted as specified in section 7.3.

7. Calibration and Standardization

7.1 FIA Calibration and Linearity Check. Make necessary adjustments to the air and fuel supplies for the FIA and ignite the burner. Allow the FIA to warm up for the period recommended by the manufacturer. Inject a calibration gas into the measurement system and adjust the back-pressure regulator to the value required to achieve the flow rates specified by the manufacturer. Inject the zero- and the high-range calibration gases and adjust the analyzer calibration to provide the proper responses. Inject the low- and

mid-range gases and record the responses of the measurement system. The calibration and linearity of the system are acceptable if the responses for all four gases are within 5 percent of the respective gas values. If the performance of the system is not acceptable, repair or adjust the system and repeat the linearity check. Conduct a calibration and linearity check after assembling the analysis system and after a major change is made to the system.

7.2 Systems Drift Checks. Select the calibration gas that most closely approximates the concentration of the captured emissions for conducting the drift checks. Introduce the zero and calibration gases at the calibration valve assembly and verify that the appropriate gas flow rate and pressure are present at the FIA. Record the measurement system responses to the zero and calibration gases. The performance of the system is acceptable if the difference between the drift check measurement and the value obtained in section 7.1 is less than 3 percent of the span value. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. Conduct the system drift checks at the end of each run.

7.3 System Check. Inject the high-range calibration gas at the inlet of the sampling probe and record the response. The performance of the system is acceptable if the measurement system response is within 5 percent of the value obtained in section 7.1 for the high-range calibration gas. Conduct a system check before and after each test run.

8. Procedure

8.1. Determination of Volumetric Flow Rate of Captured Emissions.

8.1.1 Locate all points where emissions are captured from the affected facility. Using Method 1, determine the sampling points. Be sure to check each site for cyclonic or swirling flow.

8.1.2 Measure the velocity at each sampling site at least once every hour during each sampling run using Method 2 or 2A.

8.2 Determination of VOC Content of Captured Emissions.

8.2.1 Analysis Duration. Measure the VOC responses at each captured emissions point during the entire test run or, if applicable, while the process is operating. If there are multiple captured emission locations, design a sampling system to allow a single FIA to be used to determine the VOC responses at all sampling locations.

8.2.2 Gas VOC Concentration.

8.2.2.1 Assemble the sample train as shown in Figure 204B-1. Calibrate the FIA according to the procedure in section 7.1.

8.2.2.2 Conduct a system check according to the procedure in section 7.3.

8.2.2.3 Install the sample probe so that the probe is centrally located in the stack, pipe, or duct, and is sealed tightly at the stack port connection.

8.2.2.4 Inject zero gas at the calibration valve assembly. Allow the measurement system response to reach zero. Measure the system response time as the time required for the system to reach the effluent concentration after the calibration valve has been returned to the effluent sampling position.

8.2.2.5 Conduct a system check before, and a system drift check after, each sampling run according to the procedures in sections 7.2 and 7.3. If the drift check following a run indicates unacceptable performance (see section 7.3), the run is not valid. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. The tester may elect to perform system drift checks during the run not to exceed one drift check per hour.

8.2.2.6 Verify that the sample lines, filter, and pump temperatures are 120 ± 5 °C.

8.2.2.7 Begin sampling at the start of the test period and continue to sample during the entire run. Record the starting and ending times and any required process information as appropriate. If multiple captured emission locations are sampled using a single FIA, sample at each location for the same amount of time (e.g., 2 minutes) and continue to switch from one location to another for the entire test run. Be sure that total sampling time at each location is the same at the end of the test run. Collect at least four separate measurements from each sample point during each hour of testing. Disregard the measurements at each sampling location until two times the response time of the measurement system has elapsed. Continue sampling for at least 1 minute and record the concentration measurements.

8.2.3 Background Concentration.

NOTE: Not applicable when the building is used as the temporary total enclosure (TTE).

8.2.3.1 Locate all natural draft openings (NDO's) of the TTE. A sampling point shall be at the center of each NDO, unless otherwise specified by the Administrator. If there are more than six NDO's, choose six sampling points evenly spaced among the NDO's.

8.2.3.2 Assemble the sample train as shown in Figure 204B-2. Calibrate the FIA and conduct a system check according to the procedures in sections 7.1 and 7.3.

NOTE: This sample train shall be separate from the sample train used to measure the captured emissions.

8.2.3.3 Position the probe at the sampling location.

8.2.3.4 Determine the response time, conduct the system check, and sample according to the procedures described in sections 8.2.2.4 through 8.2.2.7.

8.2.4 Alternative Procedure. The direct interface sampling and analysis procedure described in section 7.2 of Method 18 may be used to determine the gas VOC concentration. The system must be designed to collect and analyze at least one sample every 10 minutes. If the alternative procedure is used to determine the VOC concentration of the captured emissions, it must also be used to determine the VOC concentration of the uncaptured emissions.

9. Data Analysis and Calculations

9.1 Nomenclature.

- A_i = area of NDO i, ft².
- A_N = total area of all NDO's in the enclosure, ft².
- C_{Bi} = corrected average VOC concentration of background emissions at point i, ppm propane.
- C_B = average background concentration, ppm propane.
- C_{Gj} = corrected average VOC concentration of captured emissions at point j, ppm propane.
- C_{DH} = average measured concentration for the drift check calibration gas, ppm propane.
- C_{DO} = average system drift check concentration for zero concentration gas, ppm propane.
- C_H = actual concentration of the drift check calibration gas, ppm propane.
- C_i = uncorrected average background VOC concentration measured at point i, ppm propane.
- C_j = uncorrected average VOC concentration measured at point j, ppm propane.
- G = total VOC content of captured emissions, kg.
- K_i = 1.830×10^{-6} kg/(m³-ppm).
- n = number of measurement points.
- Q_{Gj} = average effluent volumetric flow rate corrected to standard conditions at captured emissions point j, m³/min.
- Θ_C = total duration of captured emissions.

9.2 Calculations.

9.2.1 Total VOC Captured Emissions.

$$G = \sum_{j=1}^n (C_{Gj} - C_B) Q_{Gj} \theta_C K_i \quad \text{Eq. 204B-1}$$

9.2.2 VOC Concentration of the Captured Emissions at Point j.

$$C_{Gj} = (C_j - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204B-2}$$

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9.2.3 Background VOC Concentration at Point i.

$$C_{Bi} = (C_i - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204B-3}$$

9.2.4 Average Background Concentration.

$$C_B = \frac{\sum_{i=1}^n C_{Bi} A_i}{A_N} \quad \text{Eq. 204B-4}$$

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NOTE: If the concentration at each point is within 20 percent of the average concentration of all points, then use the arithmetic average.

10. Method Performance

The measurement uncertainties are estimated for each captured or uncaptured emissions point as follows: $Q_{Gj} = \pm 5.5$ percent and $C_{Gj} = \pm 5.0$ percent. Based on these numbers, the probable uncertainty for G is estimated at about ± 7.4 percent.

11. Diagrams

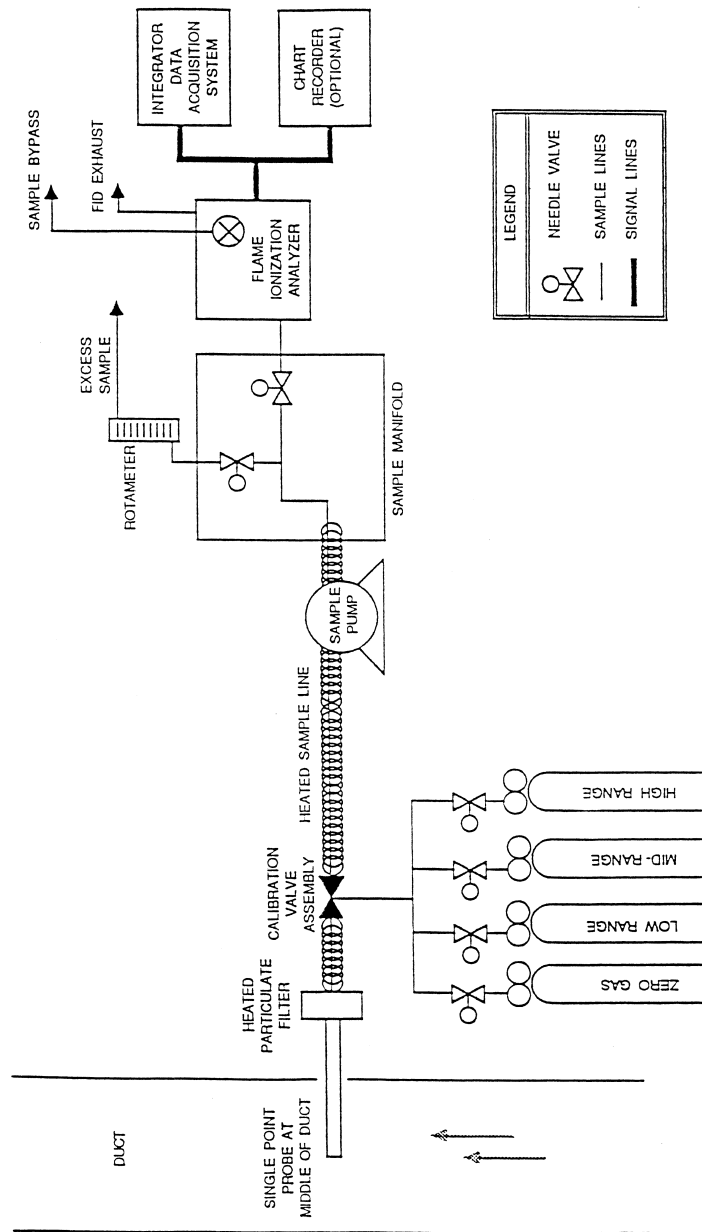


Figure 204b-1. Gas VOC concentration measurement system.

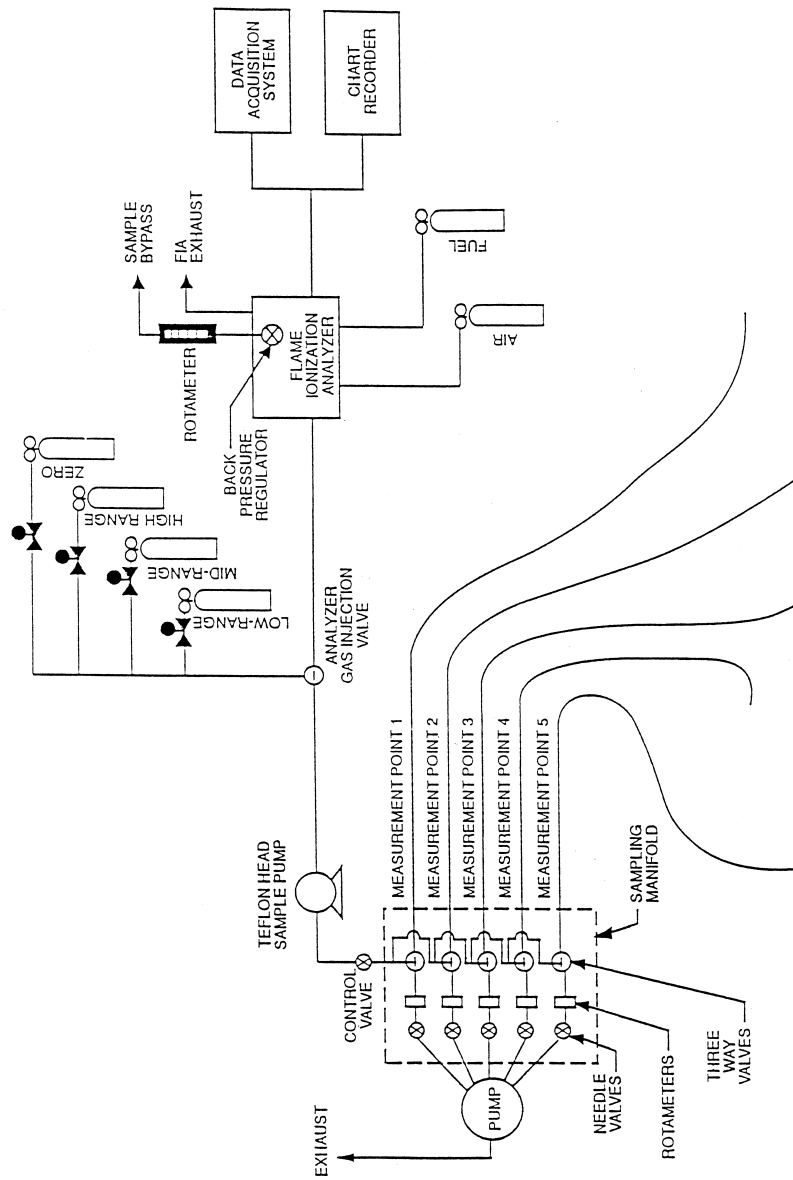


Figure 204B-2. Background measurement system.

METHOD 204C—VOLATILE ORGANIC COMPOUNDS
EMISSIONS IN CAPTURED STREAM (DILUTION
TECHNIQUE)*1. Scope and Application*

1.1 **Applicability.** This procedure is applicable for determining the volatile organic compounds (VOC) content of captured gas streams. It is intended to be used in the development of a gas/gas protocol in which uncaptured emissions are also measured for determining VOC capture efficiency (CE) for surface coating and printing operations. A dilution system is used to reduce the VOC concentration of the captured emissions to about the same concentration as the uncaptured emissions. The procedure may not be acceptable in certain site-specific situations [e.g., when: (1) direct-fired heaters or other circumstances affect the quantity of VOC at the control device inlet; and (2) particulate organic aerosols are formed in the process and are present in the captured emissions].

1.2 **Principle.** The amount of VOC captured (G) is calculated as the sum of the products of the VOC content (C_{Gj}), the flow rate (Q_{Gj}), and the sampling time (Θ_c) from each captured emissions point.

1.3 **Sampling Requirements.** A CE test shall consist of at least three sampling runs. Each run shall cover at least one complete production cycle, but shall be at least 3 hours long. The sampling time for each run need not exceed 8 hours, even if the production cycle has not been completed. Alternative sampling times may be used with the approval of the Administrator.

2. Summary of Method

A gas sample is extracted from the source using an in-stack dilution probe through a heated sample line and, if necessary, a glass fiber filter to a flame ionization analyzer (FIA). The sample train contains a sample gas manifold which allows multiple points to be sampled using a single FIA.

3. Safety

Because this procedure is often applied in highly explosive areas, caution and care should be exercised in choosing, installing, and using the appropriate equipment.

4. Equipment and Supplies

Mention of trade names or company products does not constitute endorsement. All gas concentrations (percent, ppm) are by volume, unless otherwise noted.

4.1 **Gas VOC Concentration.** A schematic of the measurement system is shown in Figure 204C-1. The main components are as follows:

4.1.1 **Dilution System.** A Kipp in-stack dilution probe and controller or similar device may be used. The dilution rate may be

changed by substituting different critical orifices or adjustments of the aspirator supply pressure. The dilution system shall be heated to prevent VOC condensation. Note: An out-of-stack dilution device may be used.

4.1.2 **Calibration Valve Assembly.** Three-way valve assembly at the outlet of the sample probe to direct the zero and calibration gases to the analyzer. Other methods, such as quick-connect lines, to route calibration gases to the outlet of the sample probe are acceptable.

4.1.3 **Sample Line.** Stainless steel or Teflon tubing to transport the sample gas to the analyzer. The sample line must be heated to prevent condensation.

4.1.4 **Sample Pump.** A leak-free pump, to pull the sample gas through the system at a flow rate sufficient to minimize the response time of the measurement system. The components of the pump that contact the gas stream shall be constructed of stainless steel or Teflon. The sample pump must be heated to prevent condensation.

4.1.5 **Sample Flow Rate Control.** A sample flow rate control valve and rotameter, or equivalent, to maintain a constant sampling rate within 10 percent. The flow control valve and rotameter must be heated to prevent condensation. A control valve may also be located on the sample pump bypass loop to assist in controlling the sample pressure and flow rate.

4.1.6 **Sample Gas Manifold.** Capable of diverting a portion of the sample gas stream to the FIA, and the remainder to the bypass discharge vent. The manifold components shall be constructed of stainless steel or Teflon. If captured or uncaptured emissions are to be measured at multiple locations, the measurement system shall be designed to use separate sampling probes, lines, and pumps for each measurement location and a common sample gas manifold and FIA. The sample gas manifold and connecting lines to the FIA must be heated to prevent condensation.

NOTE: Depending on the number of sampling points and their location, it may not be possible to use only one FIA. However to reduce the effect of calibration error, the number of FIA's used during a test should be kept as small as possible.

4.1.7 **Organic Concentration Analyzer.** An FIA with a span value of 1.5 times the expected concentration as propane; however, other span values may be used if it can be demonstrated to the Administrator's satisfaction that they would provide equally accurate measurements. The system shall be capable of meeting or exceeding the following specifications:

4.1.7.1 **Zero Drift.** Less than ± 3.0 percent of the span value.

4.1.7.2 **Calibration Drift.** Less than ± 3.0 percent of the span value.

4.1.7.3 Calibration Error. Less than ± 5.0 percent of the calibration gas value.

4.1.7.4 Response Time. Less than 30 seconds.

4.1.8 Integrator/Data Acquisition System. An analog or digital device or computerized data acquisition system used to integrate the FIA response or compute the average response and record measurement data. The minimum data sampling frequency for computing average or integrated values is one measurement value every 5 seconds. The device shall be capable of recording average values at least once per minute.

4.2 Captured Emissions Volumetric Flow Rate.

4.2.1 Method 2 or 2A Apparatus. For determining volumetric flow rate.

4.2.2 Method 3 Apparatus and Reagents. For determining molecular weight of the gas stream. An estimate of the molecular weight of the gas stream may be used if approved by the Administrator.

4.2.3 Method 4 Apparatus and Reagents. For determining moisture content, if necessary.

5. Reagents and Standards

5.1 Calibration and Other Gases. Gases used for calibration, fuel, and combustion air (if required) are contained in compressed gas cylinders. All calibration gases shall be traceable to National Institute of Standards and Technology standards and shall be certified by the manufacturer to ± 1 percent of the tag value. Additionally, the manufacturer of the cylinder should provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ± 2 percent from the certified value. For calibration gas values not generally available, dilution systems calibrated using Method 205 may be used. Alternative methods for preparing calibration gas mixtures may be used with the approval of the Administrator.

5.1.1 Fuel. The FIA manufacturer's recommended fuel should be used. A 40 percent H_2 /60 percent He or 40 percent H_2 /60 percent N_2 gas mixture is recommended to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value. Other mixtures may be used provided the tester can demonstrate to the Administrator that there is no oxygen synergism effect.

5.1.2 Carrier Gas and Dilution Air Supply. High purity air with less than 1 ppm of organic material (as propane or carbon equivalent), or less than 0.1 percent of the span value, whichever is greater.

5.1.3 FIA Linearity Calibration Gases. Low-, mid-, and high-range gas mixture standards with nominal propane concentrations of 20-30, 45-55, and 70-80 percent of the span value in air, respectively. Other calibration values and other span values may be

used if it can be shown to the Administrator's satisfaction that equally accurate measurements would be achieved.

5.1.4 Dilution Check Gas. Gas mixture standard containing propane in air, approximately half the span value after dilution.

5.2 Particulate Filter. An in-stack or an out-of-stack glass fiber filter is recommended if exhaust gas particulate loading is significant. An out-of-stack filter must be heated to prevent any condensation unless it can be demonstrated that no condensation occurs.

6. Quality Control

6.1 Required instrument quality control parameters are found in the following sections:

6.1.1 The FIA system must be calibrated as specified in section 7.1.

6.1.2 The system drift check must be performed as specified in section 7.2.

6.1.3 The dilution factor must be determined as specified in section 7.3.

6.1.4 The system check must be conducted as specified in section 7.4.

7. Calibration and Standardization

7.1 FIA Calibration and Linearity Check. Make necessary adjustments to the air and fuel supplies for the FIA and ignite the burner. Allow the FIA to warm up for the period recommended by the manufacturer. Inject a calibration gas into the measurement system after the dilution system and adjust the back-pressure regulator to the value required to achieve the flow rates specified by the manufacturer. Inject the zero and the high-range calibration gases and adjust the analyzer calibration to provide the proper responses. Inject the low and mid-range gases and record the responses of the measurement system. The calibration and linearity of the system are acceptable if the responses for all four gases are within 5 percent of the respective gas values. If the performance of the system is not acceptable, repair or adjust the system and repeat the linearity check. Conduct a calibration and linearity check after assembling the analysis system and after a major change is made to the system.

7.2 Systems Drift Checks. Select the calibration gas that most closely approximates the concentration of the diluted captured emissions for conducting the drift checks. Introduce the zero and calibration gases at the calibration valve assembly, and verify that the appropriate gas flow rate and pressure are present at the FIA. Record the measurement system responses to the zero and calibration gases. The performance of the system is acceptable if the difference between the drift check measurement and the value obtained in section 7.1 is less than 3 percent of the span value. Alternatively, recalibrate the FIA as in section 7.1 and report

the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. Conduct the system drift check at the end of each run.

7.3 Determination of Dilution Factor. Inject the dilution check gas into the measurement system before the dilution system and record the response. Calculate the dilution factor using Equation 204C-3.

7.4 System Check. Inject the high-range calibration gas at the inlet to the sampling probe while the dilution air is turned off. Record the response. The performance of the system is acceptable if the measurement system response is within 5 percent of the value obtained in section 7.1 for the high-range calibration gas. Conduct a system check before and after each test run.

8. Procedure

8.1 Determination of Volumetric Flow Rate of Captured Emissions

8.1.1 Locate all points where emissions are captured from the affected facility. Using Method 1, determine the sampling points. Be sure to check each site for cyclonic or swirling flow.

8.1.2 Measure the velocity at each sampling site at least once every hour during each sampling run using Method 2 or 2A.

8.2 Determination of VOC Content of Captured Emissions

8.2.1 Analysis Duration. Measure the VOC responses at each captured emissions point during the entire test run or, if applicable, while the process is operating. If there are multiple captured emissions locations, design a sampling system to allow a single FIA to be used to determine the VOC responses at all sampling locations.

8.2.2 Gas VOC Concentration.

8.2.2.1 Assemble the sample train as shown in Figure 204C-1. Calibrate the FIA according to the procedure in section 7.1.

8.2.2.2 Set the dilution ratio and determine the dilution factor according to the procedure in section 7.3.

8.2.2.3 Conduct a system check according to the procedure in section 7.4.

8.2.2.4 Install the sample probe so that the probe is centrally located in the stack, pipe, or duct, and is sealed tightly at the stack port connection.

8.2.2.5 Inject zero gas at the calibration valve assembly. Measure the system response time as the time required for the system to reach the effluent concentration after the calibration valve has been returned to the effluent sampling position.

8.2.2.6 Conduct a system check before, and a system drift check after, each sampling run according to the procedures in sections 7.2 and 7.4. If the drift check following a run indicates unacceptable performance (see sec-

tion 7.4), the run is not valid. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. The tester may elect to perform system drift checks during the run not to exceed one drift check per hour.

8.2.2.7 Verify that the sample lines, filter, and pump temperatures are 120 ± 5 °C.

8.2.2.8 Begin sampling at the start of the test period and continue to sample during the entire run. Record the starting and ending times and any required process information as appropriate. If multiple captured emission locations are sampled using a single FIA, sample at each location for the same amount of time (*e.g.*, 2 min.) and continue to switch from one location to another for the entire test run. Be sure that total sampling time at each location is the same at the end of the test run. Collect at least four separate measurements from each sample point during each hour of testing. Disregard the measurements at each sampling location until two times the response time of the measurement system has elapsed. Continue sampling for at least 1 minute and record the concentration measurements.

8.2.3 Background Concentration.

NOTE: Not applicable when the building is used as the temporary total enclosure (TTE).

8.2.3.1 Locate all natural draft openings (NDO's) of the TTE. A sampling point shall be at the center of each NDO, unless otherwise approved by the Administrator. If there are more than six NDO's, choose six sampling points evenly spaced among the NDO's.

8.2.3.2 Assemble the sample train as shown in Figure 204C-2. Calibrate the FIA and conduct a system check according to the procedures in sections 7.1 and 7.4.

8.2.3.3 Position the probe at the sampling location.

8.2.3.4 Determine the response time, conduct the system check, and sample according to the procedures described in sections 8.2.2.4 through 8.2.2.8.

8.2.4 Alternative Procedure. The direct interface sampling and analysis procedure described in section 7.2 of Method 18 may be used to determine the gas VOC concentration. The system must be designed to collect and analyze at least one sample every 10 minutes. If the alternative procedure is used to determine the VOC concentration of the captured emissions, it must also be used to determine the VOC concentration of the uncaptured emissions.

9. Data Analysis and Calculations

9.1 Nomenclature.

A_i = area of NDO i , ft².

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- A_N = total area of all NDO's in the enclosure, ft².
- C_A = actual concentration of the dilution check gas, ppm propane.
- C_{Bi} = corrected average VOC concentration of background emissions at point i, ppm propane.
- C_B = average background concentration, ppm propane.
- C_{DH} = average measured concentration for the drift check calibration gas, ppm propane.
- C_{DO} = average system drift check concentration for zero concentration gas, ppm propane.
- C_H = actual concentration of the drift check calibration gas, ppm propane.
- C_i = uncorrected average background VOC concentration measured at point i, ppm propane.
- C_j = uncorrected average VOC concentration measured at point j, ppm propane.
- C_M = measured concentration of the dilution check gas, ppm propane.
- DF = dilution factor.
- G = total VOC content of captured emissions, kg.
- $K_1 = 1.830 \times 10^{-6}$ kg/(m³-ppm).
- n = number of measurement points.
- Q_{Gj} = average effluent volumetric flow rate corrected to standard conditions at captured emissions point j, m³/min.
- θ_C = total duration of CE sampling run, min.

9.2 Calculations.

9.2.1 Total VOC Captured Emissions.

$$G = \sum_{j=1}^n (C_{Gj} - C_B) Q_{Gj} \theta_C K_1 \quad \text{Eq. 204C-1}$$

9.2.2 VOC Concentration of the Captured Emissions at Point j.

$$C_{Gj} = DF(C_j - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204C-2}$$

9.2.3 Dilution Factor.

$$DF = \frac{C_A}{C_M} \quad \text{Eq. 204C-3}$$

9.2.4 Background VOC Concentration at Point i.

$$C_{Bi} = (C_i - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204C-4}$$

9.2.5 Average Background Concentration.

$$C_B = \frac{\sum_{i=1}^n C_{Bi} A_i}{A_N} \quad \text{Eq. 204C-5}$$

NOTE: If the concentration at each point is within 20 percent of the average concentration of all points, then use the arithmetic average.

10. Method Performance

The measurement uncertainties are estimated for each captured or uncaptured emissions point as follows: $Q_{Gj} = \pm 5.5$ percent and $C_{Gj} = \pm 5$ percent. Based on these numbers, the probable uncertainty for G is estimated at about ± 7.4 percent.

11. Diagrams

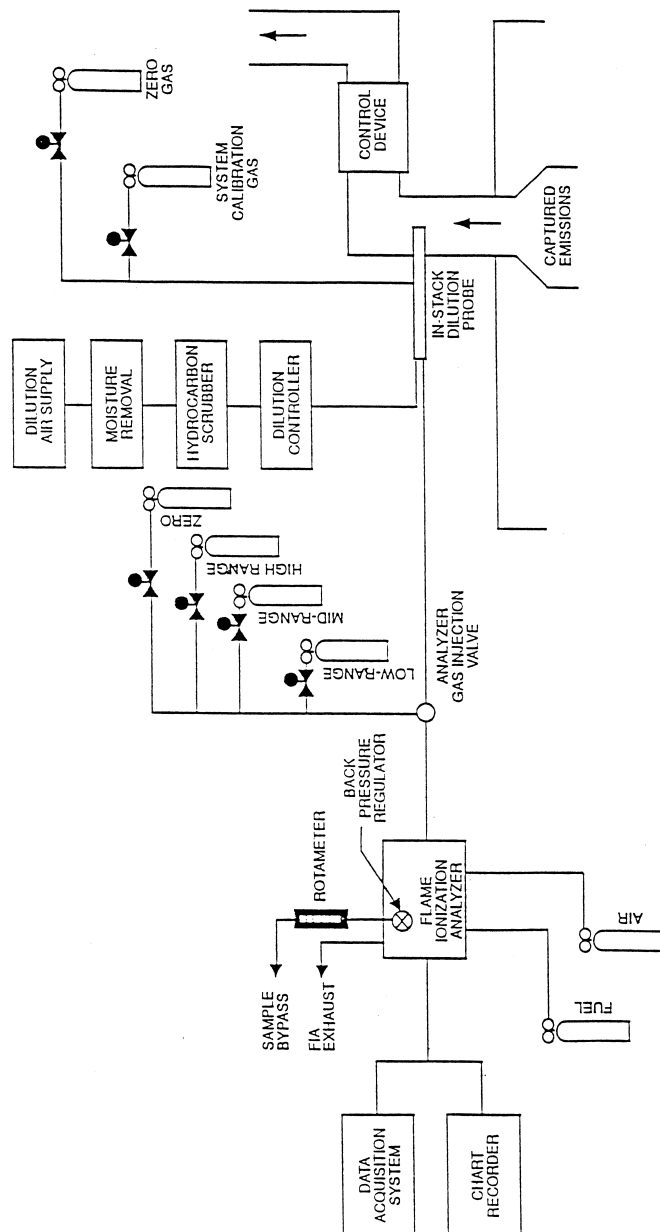


Figure 204C-1. Captured emissions measurement system.

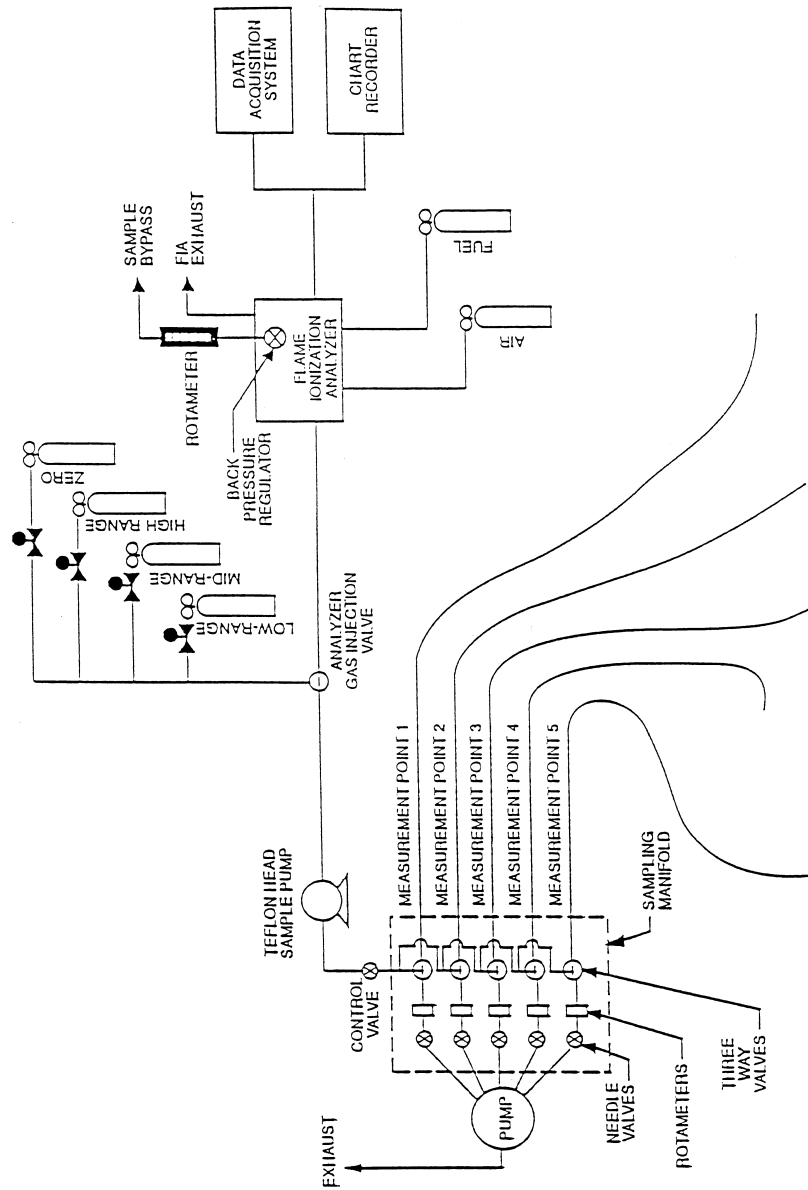


Figure 204C-2. Background measurement system.

METHOD 204D—VOLATILE ORGANIC COMPOUNDS EMISSIONS IN UNCAPTURED STREAM FROM TEMPORARY TOTAL ENCLOSURE

1. Scope and Application

1.1 Applicability. This procedure is applicable for determining the uncaptured vola-

tile organic compounds (VOC) emissions from a temporary total enclosure (TTE). It is intended to be used as a segment in the development of liquid/gas or gas/gas protocols for determining VOC capture efficiency (CE) for surface coating and printing operations.

1.2 Principle. The amount of uncaptured VOC emissions (F) from the TTE is calculated as the sum of the products of the VOC content (C_{Fij}), the flow rate (Q_{Fij}) from each uncaptured emissions point, and the sampling time (Θ_F).

1.3 Sampling Requirements. A CE test shall consist of at least three sampling runs. Each run shall cover at least one complete production cycle, but shall be at least 3 hours long. The sampling time for each run need not exceed 8 hours, even if the production cycle has not been completed. Alternative sampling times may be used with the approval of the Administrator.

2. Summary of Method

A gas sample is extracted from the uncaptured exhaust duct of a TTE through a heated sample line and, if necessary, a glass fiber filter to a flame ionization analyzer (FIA).

3. Safety

Because this procedure is often applied in highly explosive areas, caution and care should be exercised in choosing, installing, and using the appropriate equipment.

4. Equipment and Supplies

Mention of trade names or company products does not constitute endorsement. All gas concentrations (percent, ppm) are by volume, unless otherwise noted.

4.1 Gas VOC Concentration. A schematic of the measurement system is shown in Figure 204D-1. The main components are as follows:

4.1.1 Sample Probe. Stainless steel or equivalent. The probe shall be heated to prevent VOC condensation.

4.1.2 Calibration Valve Assembly. Three-way valve assembly at the outlet of the sample probe to direct the zero and calibration gases to the analyzer. Other methods, such as quick-connect lines, to route calibration gases to the outlet of the sample probe are acceptable.

4.1.3 Sample Line. Stainless steel or Teflon tubing to transport the sample gas to the analyzer. The sample line must be heated to prevent condensation.

4.1.4 Sample Pump. A leak-free pump, to pull the sample gas through the system at a flow rate sufficient to minimize the response time of the measurement system. The components of the pump that contact the gas stream shall be constructed of stainless steel or Teflon. The sample pump must be heated to prevent condensation.

4.1.5 Sample Flow Rate Control. A sample flow rate control valve and rotameter, or equivalent, to maintain a constant sampling rate within 10 percent. The flow control valve and rotameter must be heated to prevent condensation. A control valve may also

be located on the sample pump bypass loop to assist in controlling the sample pressure and flow rate.

4.1.6 Sample Gas Manifold. Capable of diverting a portion of the sample gas stream to the FIA, and the remainder to the bypass discharge vent. The manifold components shall be constructed of stainless steel or Teflon. If emissions are to be measured at multiple locations, the measurement system shall be designed to use separate sampling probes, lines, and pumps for each measurement location and a common sample gas manifold and FIA. The sample gas manifold and connecting lines to the FIA must be heated to prevent condensation.

4.1.7 Organic Concentration Analyzer. An FIA with a span value of 1.5 times the expected concentration as propane; however, other span values may be used if it can be demonstrated to the Administrator's satisfaction that they would provide more accurate measurements. The system shall be capable of meeting or exceeding the following specifications:

4.1.7.1 Zero Drift. Less than ± 3.0 percent of the span value.

4.1.7.2 Calibration Drift. Less than ± 3.0 percent of the span value.

4.1.7.3 Calibration Error. Less than ± 5.0 percent of the calibration gas value.

4.1.7.4 Response Time. Less than 30 seconds.

4.1.8 Integrator/Data Acquisition System. An analog or digital device or computerized data acquisition system used to integrate the FIA response or compute the average response and record measurement data. The minimum data sampling frequency for computing average or integrated values is one measurement value every 5 seconds. The device shall be capable of recording average values at least once per minute.

4.2 Uncaptured Emissions Volumetric Flow Rate.

4.2.1 Method 2 or 2A Apparatus. For determining volumetric flow rate.

4.2.2 Method 3 Apparatus and Reagents. For determining molecular weight of the gas stream. An estimate of the molecular weight of the gas stream may be used if approved by the Administrator.

4.2.3 Method 4 Apparatus and Reagents. For determining moisture content, if necessary.

4.3 Temporary Total Enclosure. The criteria for designing an acceptable TTE are specified in Method 204.

5. Reagents and Standards

5.1 Calibration and Other Gases. Gases used for calibration, fuel, and combustion air (if required) are contained in compressed gas cylinders. All calibration gases shall be traceable to National Institute of Standards and Technology standards and shall be certified by the manufacturer to ± 1 percent of

the tag value. Additionally, the manufacturer of the cylinder should provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ± 2 percent from the certified value. For calibration gas values not generally available, dilution systems calibrated using Method 205 may be used. Alternative methods for preparing calibration gas mixtures may be used with the approval of the Administrator.

5.1.1 Fuel. The FIA manufacturer's recommended fuel should be used. A 40 percent H₂/60 percent He or 40 percent H₂/60 percent N₂ gas mixture is recommended to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value. Other mixtures may be used provided the tester can demonstrate to the Administrator that there is no oxygen synergism effect.

5.1.2 Carrier Gas. High purity air with less than 1 ppm of organic material (as propane or carbon equivalent) or less than 0.1 percent of the span value, whichever is greater.

5.1.3 FIA Linearity Calibration Gases. Low-, mid-, and high-range gas mixture standards with nominal propane concentrations of 20-30, 45-55, and 70-80 percent of the span value in air, respectively. Other calibration values and other span values may be used if it can be shown to the Administrator's satisfaction that equally accurate measurements would be achieved.

5.2 Particulate Filter. An in-stack or an out-of-stack glass fiber filter is recommended if exhaust gas particulate loading is significant. An out-of-stack filter must be heated to prevent any condensation unless it can be demonstrated that no condensation occurs.

6. Quality Control

6.1 Required instrument quality control parameters are found in the following sections:

6.1.1 The FIA system must be calibrated as specified in section 7.1.

6.1.2 The system drift check must be performed as specified in section 7.2.

6.1.3 The system check must be conducted as specified in section 7.3.

7. Calibration and Standardization

7.1 FIA Calibration and Linearity Check. Make necessary adjustments to the air and fuel supplies for the FIA and ignite the burner. Allow the FIA to warm up for the period recommended by the manufacturer. Inject a calibration gas into the measurement system and adjust the back-pressure regulator to the value required to achieve the flow rates specified by the manufacturer. Inject the zero- and the high-range calibration gases and adjust the analyzer calibration to provide the proper responses. Inject the low- and

mid-range gases and record the responses of the measurement system. The calibration and linearity of the system are acceptable if the responses for all four gases are within 5 percent of the respective gas values. If the performance of the system is not acceptable, repair or adjust the system and repeat the linearity check. Conduct a calibration and linearity check after assembling the analysis system and after a major change is made to the system.

7.2 Systems Drift Checks. Select the calibration gas concentration that most closely approximates that of the uncaptured gas emissions concentration to conduct the drift checks. Introduce the zero and calibration gases at the calibration valve assembly and verify that the appropriate gas flow rate and pressure are present at the FIA. Record the measurement system responses to the zero and calibration gases. The performance of the system is acceptable if the difference between the drift check measurement and the value obtained in section 7.1 is less than 3 percent of the span value. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. Conduct a system drift check at the end of each run.

7.3 System Check. Inject the high-range calibration gas at the inlet of the sampling probe and record the response. The performance of the system is acceptable if the measurement system response is within 5 percent of the value obtained in section 7.1 for the high-range calibration gas. Conduct a system check before each test run.

8. Procedure

8.1 Determination of Volumetric Flow Rate of Uncaptured Emissions

8.1.1 Locate all points where uncaptured emissions are exhausted from the TTE. Using Method 1, determine the sampling points. Be sure to check each site for cyclonic or swirling flow.

8.1.2 Measure the velocity at each sampling site at least once every hour during each sampling run using Method 2 or 2A.

8.2 Determination of VOC Content of Uncaptured Emissions.

8.2.1 Analysis Duration. Measure the VOC responses at each uncaptured emission point during the entire test run or, if applicable, while the process is operating. If there are multiple emission locations, design a sampling system to allow a single FIA to be used to determine the VOC responses at all sampling locations.

8.2.2 Gas VOC Concentration.

8.2.2.1 Assemble the sample train as shown in Figure 204D-1. Calibrate the FIA and conduct a system check according to the

procedures in sections 7.1 and 7.3, respectively.

8.2.2.2 Install the sample probe so that the probe is centrally located in the stack, pipe, or duct, and is sealed tightly at the stack port connection.

8.2.2.3 Inject zero gas at the calibration valve assembly. Allow the measurement system response to reach zero. Measure the system response time as the time required for the system to reach the effluent concentration after the calibration valve has been returned to the effluent sampling position.

8.2.2.4 Conduct a system check before, and a system drift check after, each sampling run according to the procedures in sections 7.2 and 7.3. If the drift check following a run indicates unacceptable performance (see section 7.3), the run is not valid. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. The tester may elect to perform system drift checks during the run not to exceed one drift check per hour.

8.2.2.5 Verify that the sample lines, filter, and pump temperatures are 120 ± 5 °C.

8.2.2.6 Begin sampling at the start of the test period and continue to sample during the entire run. Record the starting and ending times and any required process information, as appropriate. If multiple emission locations are sampled using a single FIA, sample at each location for the same amount of time (e.g., 2 min.) and continue to switch from one location to another for the entire test run. Be sure that total sampling time at each location is the same at the end of the test run. Collect at least four separate measurements from each sample point during each hour of testing. Disregard the response measurements at each sampling location until 2 times the response time of the measurement system has elapsed. Continue sampling for at least 1 minute and record the concentration measurements.

8.2.3 Background Concentration.

8.2.3.1 Locate all natural draft openings (NDO's) of the TTE. A sampling point shall be at the center of each NDO, unless otherwise approved by the Administrator. If there are more than six NDO's, choose six sampling points evenly spaced among the NDO's.

8.2.3.2 Assemble the sample train as shown in Figure 204D-2. Calibrate the FIA and conduct a system check according to the procedures in sections 7.1 and 7.3.

8.2.3.3 Position the probe at the sampling location.

8.2.3.4 Determine the response time, conduct the system check, and sample according to the procedures described in sections 8.2.2.3 through 8.2.2.6.

8.2.4 Alternative Procedure. The direct interface sampling and analysis procedure described in section 7.2 of Method 18 may be used to determine the gas VOC concentration. The system must be designed to collect and analyze at least one sample every 10 minutes. If the alternative procedure is used to determine the VOC concentration of the uncaptured emissions in a gas/gas protocol, it must also be used to determine the VOC concentration of the captured emissions. If a tester wishes to conduct a liquid/gas protocol using a gas chromatograph, the tester must use Method 204F for the liquid steam. A gas chromatograph is not an acceptable alternative to the FIA in Method 204A.

9. Data Analysis and Calculations

9.1 Nomenclature.

A_i = area of NDO i , ft².

A_N = total area of all NDO's in the enclosure, ft².

C_{Bi} = corrected average VOC concentration of background emissions at point i , ppm propane.

C_B = average background concentration, ppm propane.

C_{DH} = average measured concentration for the drift check calibration gas, ppm propane.

C_{DO} = average system drift check concentration for zero concentration gas, ppm propane.

C_{Fj} = corrected average VOC concentration of uncaptured emissions at point j , ppm propane.

C_H = actual concentration of the drift check calibration gas, ppm propane.

C_i = uncorrected average background VOC concentration at point i , ppm propane.

C_j = uncorrected average VOC concentration measured at point j , ppm propane.

F = total VOC content of uncaptured emissions, kg.

$K_1 = 1.830 \times 10^{-6}$ kg/(m³-ppm).

n = number of measurement points.

Q_{Fj} = average effluent volumetric flow rate corrected to standard conditions at uncaptured emissions point j , m³/min.

Θ_F = total duration of uncaptured emissions sampling run, min.

9.2 Calculations.

9.2.1 Total Uncaptured VOC Emissions.

$$F = \sum_{j=1}^n (C_{Fj} - C_B) Q_{Fj} \Theta_F K_1 \quad \text{Eq. 204D-1}$$

9.2.2 VOC Concentration of the Uncaptured Emissions at Point j .

$$C_{Fj} = (C_j - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204D-2}$$

9.2.3 Background VOC Concentration at Point i .

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$$C_{Bi} = (C_i - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204D-3}$$

9.2.4 Average Background Concentration.

$$C_B = \frac{\sum_{i=1}^n C_{Bi} A_i}{A_N} \quad \text{Eq. 204D-4}$$

NOTE: If the concentration at each point is within 20 percent of the average concentra-

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tion of all points, use the arithmetic average.

10. Method Performance

The measurement uncertainties are estimated for each uncaptured emission point as follows: $Q_{Fij} = \pm 5.5$ percent and $C_{Fij} = \pm 5.0$ percent. Based on these numbers, the probable uncertainty for F is estimated at about ± 7.4 percent.

11. Diagrams

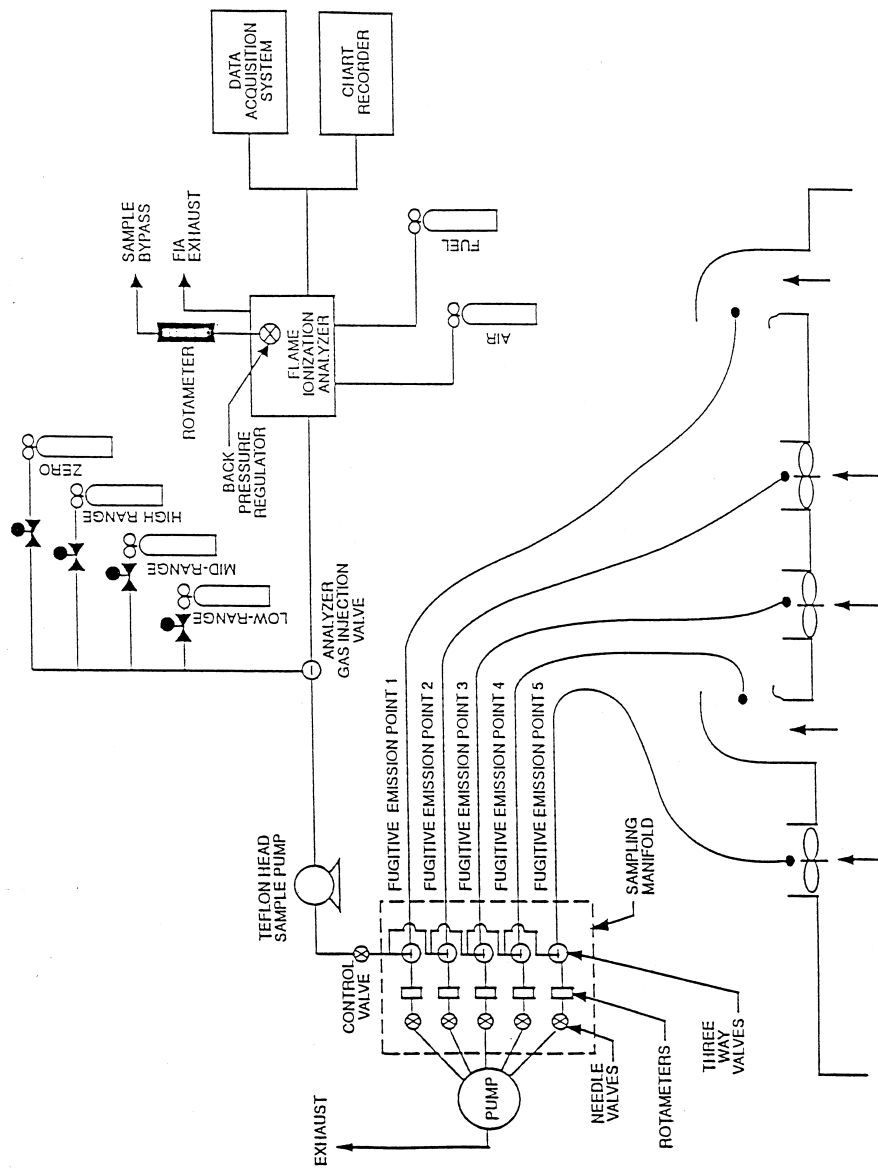


Figure 2040-1. Fugitive emissions measurement system.

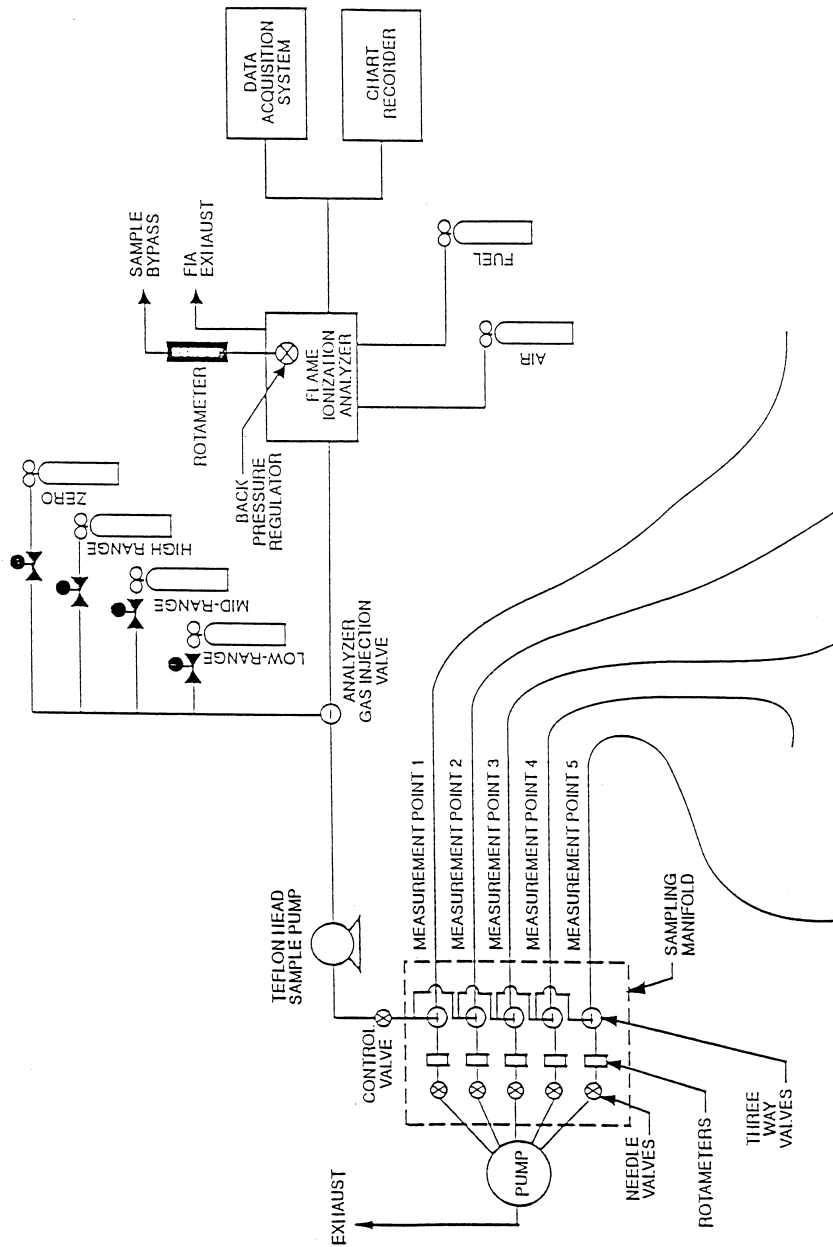


Figure 204D-2. Background measurement system.

METHOD 204E—VOLATILE ORGANIC COMPOUNDS
EMISSIONS IN UNCAPTURED STREAM FROM
BUILDING ENCLOSURE*1. Scope and Application*

1.1 Applicability. This procedure is applicable for determining the uncaptured volatile organic compounds (VOC) emissions from a building enclosure (BE). It is intended to be used in the development of liquid/gas or gas/gas protocols for determining VOC capture efficiency (CE) for surface coating and printing operations.

1.2 Principle. The total amount of uncaptured VOC emissions (F_B) from the BE is calculated as the sum of the products of the VOC content (C_{Fj}) of each uncaptured emissions point, the flow rate (Q_{Fj}) at each uncaptured emissions point, and time (Θ_F).

1.3 Sampling Requirements. A CE test shall consist of at least three sampling runs. Each run shall cover at least one complete production cycle, but shall be at least 3 hours long. The sampling time for each run need not exceed 8 hours, even if the production cycle has not been completed. Alternative sampling times may be used with the approval of the Administrator.

2. Summary of Method

A gas sample is extracted from the uncaptured exhaust duct of a BE through a heated sample line and, if necessary, a glass fiber filter to a flame ionization analyzer (FIA).

3. Safety

Because this procedure is often applied in highly explosive areas, caution and care should be exercised in choosing, installing, and using the appropriate equipment.

4. Equipment and Supplies

Mention of trade names or company products does not constitute endorsement. All gas concentrations (percent, ppm) are by volume, unless otherwise noted.

4.1 Gas VOC Concentration. A schematic of the measurement system is shown in Figure 204E-1. The main components are as follows:

4.1.1 Sample Probe. Stainless steel or equivalent. The probe shall be heated to prevent VOC condensation.

4.1.2 Calibration Valve Assembly. Three-way valve assembly at the outlet of the sample probe to direct the zero and calibration gases to the analyzer. Other methods, such as quick-connect lines, to route calibration gases to the outlet of the sample probe are acceptable.

4.1.3 Sample Line. Stainless steel or Teflon tubing to transport the sample gas to the analyzer. The sample line must be heated to prevent condensation.

4.1.4 Sample Pump. A leak-free pump, to pull the sample gas through the system at a flow rate sufficient to minimize the response time of the measurement system. The components of the pump that contact the gas stream shall be constructed of stainless steel or Teflon. The sample pump must be heated to prevent condensation.

4.1.5 Sample Flow Rate Control. A sample flow rate control valve and rotameter, or equivalent, to maintain a constant sampling rate within 10 percent. The flow rate control valve and rotameter must be heated to prevent condensation. A control valve may also be located on the sample pump bypass loop to assist in controlling the sample pressure and flow rate.

4.1.6 Sample Gas Manifold. Capable of diverting a portion of the sample gas stream to the FIA, and the remainder to the bypass discharge vent. The manifold components shall be constructed of stainless steel or Teflon. If emissions are to be measured at multiple locations, the measurement system shall be designed to use separate sampling probes, lines, and pumps for each measurement location, and a common sample gas manifold and FIA. The sample gas manifold must be heated to prevent condensation.

4.1.7 Organic Concentration Analyzer. An FIA with a span value of 1.5 times the expected concentration as propane; however, other span values may be used if it can be demonstrated to the Administrator's satisfaction that they would provide equally accurate measurements. The system shall be capable of meeting or exceeding the following specifications:

4.1.7.1 Zero Drift. Less than ± 3.0 percent of the span value.

4.1.7.2 Calibration Drift. Less than ± 3.0 percent of the span value.

4.1.7.3 Calibration Error. Less than ± 5.0 percent of the calibration gas value.

4.1.7.4 Response Time. Less than 30 seconds.

4.1.8 Integrator/Data Acquisition System. An analog or digital device or computerized data acquisition system used to integrate the FIA response or compute the average response and record measurement data. The minimum data sampling frequency for computing average or integrated values is one measurement value every 5 seconds. The device shall be capable of recording average values at least once per minute.

4.2 Uncaptured Emissions Volumetric Flow Rate.

4.2.1 Flow Direction Indicators. Any means of indicating inward or outward flow, such as light plastic film or paper streamers, smoke tubes, filaments, and sensory perception.

4.2.2 Method 2 or 2A Apparatus. For determining volumetric flow rate. Anemometers or similar devices calibrated according to the manufacturer's instructions may be used

when low velocities are present. Vane anemometers (Young-maximum response propeller), specialized pitots with electronic manometers (e.g., Shortridge Instruments Inc., Airdata Multimeter 860) are commercially available with measurement thresholds of 15 and 8 mpm (50 and 25 fpm), respectively.

4.2.3 Method 3 Apparatus and Reagents. For determining molecular weight of the gas stream. An estimate of the molecular weight of the gas stream may be used if approved by the Administrator.

4.2.4 Method 4 Apparatus and Reagents. For determining moisture content, if necessary.

4.3 Building Enclosure. The criteria for an acceptable BE are specified in Method 204.

5. Reagents and Standards

5.1 Calibration and Other Gases. Gases used for calibration, fuel, and combustion air (if required) are contained in compressed gas cylinders. All calibration gases shall be traceable to National Institute of Standards and Technology standards and shall be certified by the manufacturer to ± 1 percent of the tag value. Additionally, the manufacturer of the cylinder should provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ± 2 percent from the certified value. For calibration gas values not generally available, dilution systems calibrated using Method 205 may be used. Alternative methods for preparing calibration gas mixtures may be used with the approval of the Administrator.

5.1.1 Fuel. The FIA manufacturer's recommended fuel should be used. A 40 percent $H_2/60$ percent He or 40 percent $H_2/60$ percent N_2 gas mixture is recommended to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value. Other mixtures may be used provided the tester can demonstrate to the Administrator that there is no oxygen synergism effect.

5.1.2 Carrier Gas. High purity air with less than 1 ppm of organic material (propane or carbon equivalent) or less than 0.1 percent of the span value, whichever is greater.

5.1.3 FIA Linearity Calibration Gases. Low-, mid-, and high-range gas mixture standards with nominal propane concentrations of 20-30, 45-55, and 70-80 percent of the span value in air, respectively. Other calibration values and other span values may be used if it can be shown to the Administrator's satisfaction that equally accurate measurements would be achieved.

5.2 Particulate Filter. An in-stack or an out-of-stack glass fiber filter is recommended if exhaust gas particulate loading is significant. An out-of-stack filter must be heated to prevent any condensation unless it

can be demonstrated that no condensation occurs.

6. Quality Control

6.1 Required instrument quality control parameters are found in the following sections:

6.1.1 The FIA system must be calibrated as specified in section 7.1.

6.1.2 The system drift check must be performed as specified in section 7.2.

6.1.3 The system check must be conducted as specified in section 7.3.

7. Calibration and Standardization

7.1 FIA Calibration and Linearity Check. Make necessary adjustments to the air and fuel supplies for the FIA and ignite the burner. Allow the FIA to warm up for the period recommended by the manufacturer. Inject a calibration gas into the measurement system and adjust the back-pressure regulator to the value required to achieve the flow rates specified by the manufacturer. Inject the zero and the high-range calibration gases, and adjust the analyzer calibration to provide the proper responses. Inject the low- and mid-range gases and record the responses of the measurement system. The calibration and linearity of the system are acceptable if the responses for all four gases are within 5 percent of the respective gas values. If the performance of the system is not acceptable, repair or adjust the system and repeat the linearity check. Conduct a calibration and linearity check after assembling the analysis system and after a major change is made to the system.

7.2 Systems Drift Checks. Select the calibration gas that most closely approximates the concentration of the captured emissions for conducting the drift checks. Introduce the zero and calibration gases at the calibration valve assembly and verify that the appropriate gas flow rate and pressure are present at the FIA. Record the measurement system responses to the zero and calibration gases. The performance of the system is acceptable if the difference between the drift check measurement and the value obtained in section 7.1 is less than 3 percent of the span value. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run. Conduct a system drift check at the end of each run.

7.3 System Check. Inject the high-range calibration gas at the inlet of the sampling probe and record the response. The performance of the system is acceptable if the measurement system response is within 5 percent of the value obtained in section 7.1 for the

high-range calibration gas. Conduct a system check before each test run.

8. Procedure

8.1 Preliminary Determinations. The following points are considered exhaust points and should be measured for volumetric flow rates and VOC concentrations:

8.1.1 Forced Draft Openings. Any opening in the facility with an exhaust fan. Determine the volumetric flow rate according to Method 2.

8.1.2 Roof Openings. Any openings in the roof of a facility which does not contain fans are considered to be exhaust points. Determine volumetric flow rate from these openings. Use the appropriate velocity measurement devices (e.g., propeller anemometers).

8.2 Determination of Flow Rates.

8.2.1 Measure the volumetric flow rate at all locations identified as exhaust points in section 8.1. Divide each exhaust opening into nine equal areas for rectangular openings and into eight equal areas for circular openings.

8.2.2 Measure the velocity at each site at least once every hour during each sampling run using Method 2 or 2A, if applicable, or using the low velocity instruments in section 4.2.2.

8.3 Determination of VOC Content of Uncaptured Emissions.

8.3.1 Analysis Duration. Measure the VOC responses at each uncaptured emissions point during the entire test run or, if applicable, while the process is operating. If there are multiple emissions locations, design a sampling system to allow a single FIA to be used to determine the VOC responses at all sampling locations.

8.3.2 Gas VOC Concentration.

8.3.2.1 Assemble the sample train as shown in Figure 204E-1. Calibrate the FIA and conduct a system check according to the procedures in sections 7.1 and 7.3, respectively.

8.3.2.2 Install the sample probe so that the probe is centrally located in the stack, pipe, or duct, and is sealed tightly at the stack port connection.

8.3.2.3 Inject zero gas at the calibration valve assembly. Allow the measurement system response to reach zero. Measure the system response time as the time required for the system to reach the effluent concentration after the calibration valve has been returned to the effluent sampling position.

8.3.2.4 Conduct a system check before, and a system drift check after, each sampling run according to the procedures in sections 7.2 and 7.3. If the drift check following a run indicates unacceptable performance (see section 7.3), the run is not valid. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following

the test period). The data that results in the lowest CE value shall be reported as the results for the test run. The tester may elect to perform drift checks during the run, not to exceed one drift check per hour.

8.3.2.5 Verify that the sample lines, filter, and pump temperatures are 120 ± 5 °C.

8.3.2.6 Begin sampling at the start of the test period and continue to sample during the entire run. Record the starting and ending times, and any required process information, as appropriate. If multiple emission locations are sampled using a single FIA, sample at each location for the same amount of time (e.g., 2 minutes) and continue to switch from one location to another for the entire test run. Be sure that total sampling time at each location is the same at the end of the test run. Collect at least four separate measurements from each sample point during each hour of testing. Disregard the response measurements at each sampling location until 2 times the response time of the measurement system has elapsed. Continue sampling for at least 1 minute, and record the concentration measurements.

8.4 Alternative Procedure. The direct interface sampling and analysis procedure described in section 7.2 of Method 18 may be used to determine the gas VOC concentration. The system must be designed to collect and analyze at least one sample every 10 minutes. If the alternative procedure is used to determine the VOC concentration of the uncaptured emissions in a gas/gas protocol, it must also be used to determine the VOC concentration of the captured emissions. If a tester wishes to conduct a liquid/gas protocol using a gas chromatograph, the tester must use Method 204F for the liquid stream. A gas chromatograph is not an acceptable alternative to the FIA in Method 204A.

9. Data Analysis and Calculations

9.1 Nomenclature.

C_{DH} = average measured concentration for the drift check calibration gas, ppm propane.

C_{DO} = average system drift check concentration for zero concentration gas, ppm propane.

C_{Fj} = corrected average VOC concentration of uncaptured emissions at point j, ppm propane.

C_H = actual concentration of the drift check calibration gas, ppm propane.

C_j = uncorrected average VOC concentration measured at point j, ppm propane.

F_B = total VOC content of uncaptured emissions from the building, kg.

$K_1 = 1.830 \times 10^{-6}$ kg/(m³-ppm).

n = number of measurement points.

Q_{Fj} = average effluent volumetric flow rate corrected to standard conditions at uncaptured emissions point j, m³/min.

Θ_F = total duration of CE sampling run, min.

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9.2 Calculations

9.2.1 Total VOC Uncaptured Emissions from the Building.

$$F_B = \sum_{j=1}^n C_{Fj} Q_{Fj} \theta_F K_1 \quad \text{Eq. 204E-1}$$

9.2.2 VOC Concentration of the Uncaptured Emissions at Point j.

$$C_{Fj} = (C_j - C_{DO}) \frac{C_H}{C_{DH} - C_{DO}} \quad \text{Eq. 204E-2}$$

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10. Method Performance

The measurement uncertainties are estimated for each uncaptured emissions point as follows: $Q_{Fj} = \pm 10.0$ percent and $C_{Fj} = \pm 5.0$ percent. Based on these numbers, the probable uncertainty for F_B is estimated at about ± 11.2 percent.

11. Diagrams

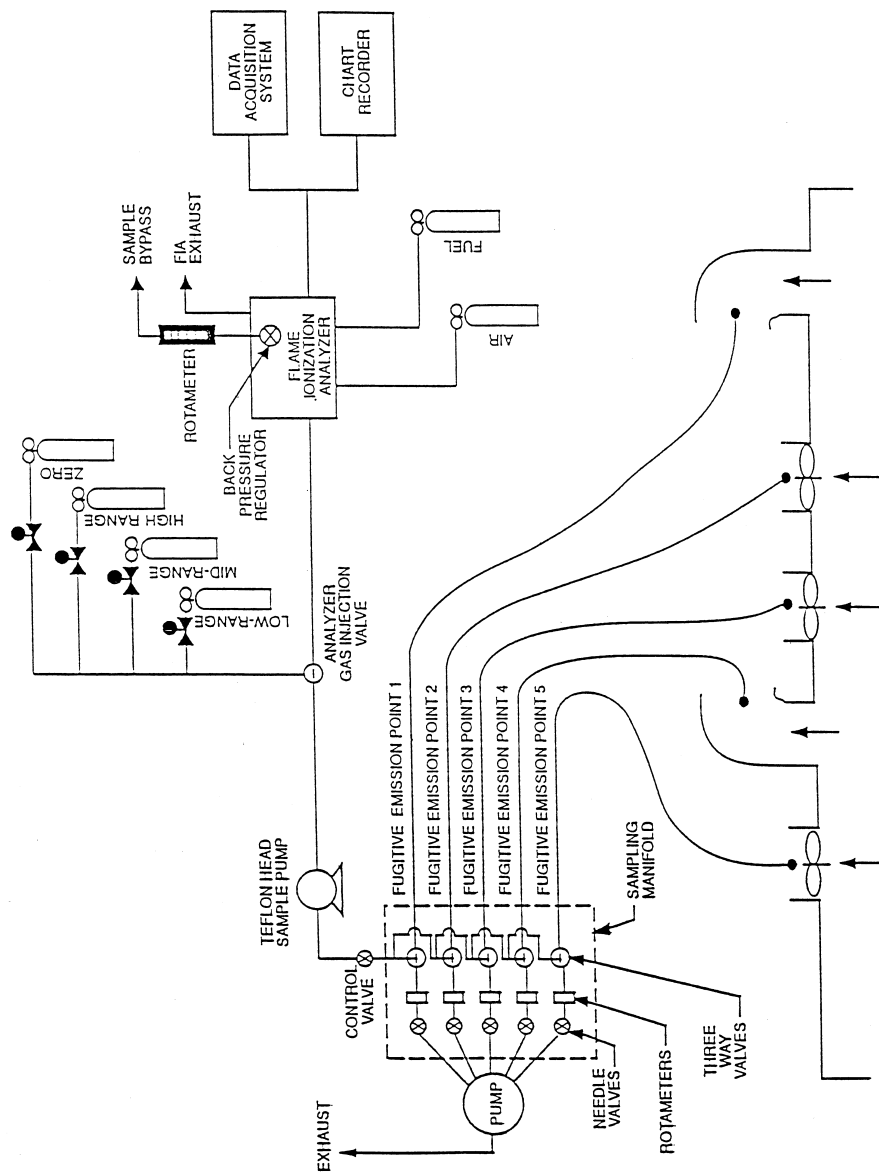


Figure 204E-1. Fugitive emissions measurement system.

METHOD 204F—VOLATILE ORGANIC COMPOUNDS CONTENT IN LIQUID INPUT STREAM (DISTILLATION APPROACH)

1. Introduction

1.1 Applicability. This procedure is applicable for determining the input of volatile organic compounds (VOC). It is intended to

be used as a segment in the development of liquid/gas protocols for determining VOC capture efficiency (CE) for surface coating and printing operations.

1.2 Principle. The amount of VOC introduced to the process (L) is the sum of the products of the weight (W) of each VOC containing liquid (ink, paint, solvent, etc.) used,

and its VOC content (V), corrected for a response factor (RF).

1.3 Sampling Requirements. A CE test shall consist of at least three sampling runs. Each run shall cover at least one complete production cycle, but shall be at least 3 hours long. The sampling time for each run need not exceed 8 hours, even if the production cycle has not been completed. Alternative sampling times may be used with the approval of the Administrator.

2. Summary of Method

A sample of each coating used is distilled to separate the VOC fraction. The distillate is used to prepare a known standard for analysis by a flame ionization analyzer (FIA), calibrated against propane, to determine its RF.

3. Safety

Because this procedure is often applied in highly explosive areas, caution and care should be exercised in choosing, installing, and using the appropriate equipment.

4. Equipment and Supplies

Mention of trade names or company products does not constitute endorsement. All gas concentrations (percent, ppm) are by volume, unless otherwise noted.

4.1 Liquid Weight.

4.1.1 Balances/Digital Scales. To weigh drums of VOC containing liquids to within 0.2 lb or 1.0 percent of the total weight of VOC liquid used.

4.1.2 Volume Measurement Apparatus (Alternative). Volume meters, flow meters, density measurement equipment, etc., as needed to achieve the same accuracy as direct weight measurements.

4.2 Response Factor Determination (FIA Technique). The VOC distillation system and Tedlar gas bag generation system apparatuses are shown in Figures 204F-1 and 204F-2, respectively. The following equipment is required:

4.2.1 Sample Collection Can. An appropriately-sized metal can to be used to collect VOC containing materials. The can must be constructed in such a way that it can be grounded to the coating container.

4.2.2 Needle Valves. To control gas flow.

4.2.3 Regulators. For calibration, dilution, and sweep gas cylinders.

4.2.4 Tubing and Fittings. Teflon and stainless steel tubing and fittings with diameters, lengths, and sizes determined by the connection requirements of the equipment.

4.2.5 Thermometer. Capable of measuring the temperature of the hot water and oil baths to within 1 °C.

4.2.6 Analytical Balance. To measure ± 0.01 mg.

4.2.7 Microliter Syringe. 10- μ l size.

4.2.8 Vacuum Gauge or Manometer. 0- to 760-mm (0- to 30-in.) Hg U-Tube manometer or vacuum gauge.

4.2.9 Hot Oil Bath, With Stirring Hot Plate. Capable of heating and maintaining a distillation vessel at 110 ± 3 °C.

4.2.10 Ice Water Bath. To cool the distillation flask.

4.2.11 Vacuum/Water Aspirator. A device capable of drawing a vacuum to within 20 mm Hg from absolute.

4.2.12 Rotary Evaporator System. Complete with folded inner coil, vertical style condenser, rotary speed control, and Teflon sweep gas delivery tube with valved inlet. Buchi Rotavapor or equivalent.

4.2.13 Ethylene Glycol Cooling/Circulating Bath. Capable of maintaining the condenser coil fluid at -10 °C.

4.2.14 Dry Gas Meter (DGM). Capable of measuring the dilution gas volume within 2 percent, calibrated with a spirometer or bubble meter, and equipped with a temperature gauge capable of measuring temperature within 3 °C.

4.2.15 Activated Charcoal/Mole Sieve Trap. To remove any trace level of organics picked up from the DGM.

4.2.16 Gas Coil Heater. Sufficient length of 0.125-inch stainless steel tubing to allow heating of the dilution gas to near the water bath temperature before entering the volatilization vessel.

4.2.17 Water Bath, With Stirring Hot Plate. Capable of heating and maintaining a volatilization vessel and coil heater at a temperature of 100 ± 5 °C.

4.2.18 Volatilization Vessel. 50-ml midjet impinger fitted with a septum top and loosely filled with glass wool to increase the volatilization surface.

4.2.19 Tedlar Gas Bag. Capable of holding 30 liters of gas, flushed clean with zero air, leak tested, and evacuated.

4.2.20 Organic Concentration Analyzer. An FIA with a span value of 1.5 times the expected concentration as propane; however, other span values may be used if it can be demonstrated that they would provide equally accurate measurements. The FIA instrument should be the same instrument used in the gaseous analyses adjusted with the same fuel, combustion air, and sample back-pressure (flow rate) settings. The system shall be capable of meeting or exceeding the following specifications:

4.2.20.1 Zero Drift. Less than ± 3.0 percent of the span value.

4.2.20.2 Calibration Drift. Less than ± 3.0 percent of the span value.

4.2.20.3 Calibration Error. Less than ± 3.0 percent of the calibration gas value.

4.2.21 Integrator/Data Acquisition System. An analog or digital device or computerized data acquisition system used to integrate the FIA response or compute the average response and record measurement data.

The minimum data sampling frequency for computing average or integrated value is one measurement value every 5 seconds. The device shall be capable of recording average values at least once per minute.

4.2.22 Chart Recorder (Optional). A chart recorder or similar device is recommended to provide a continuous analog display of the measurement results during the liquid sample analysis.

5. Reagents and Standards

5.1 Zero Air. High purity air with less than 1 ppm of organic material (as propane) or less than 0.1 percent of the span value, whichever is greater. Used to supply dilution air for making the Tedlar bag gas samples.

5.2 THC Free N₂. High purity N₂ with less than 1 ppm THC. Used as sweep gas in the rotary evaporator system.

5.3 Calibration and Other Gases. Gases used for calibration, fuel, and combustion air (if required) are contained in compressed gas cylinders. All calibration gases shall be traceable to National Institute of Standards and Technology standards and shall be certified by the manufacturer to ± 1 percent of the tag value. Additionally, the manufacturer of the cylinder should provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ± 2 percent from the certified value. For calibration gas values not generally available, dilution systems calibrated using Method 205 may be used. Alternative methods for preparing calibration gas mixtures may be used with the approval of the Administrator.

5.3.1 Fuel. The FIA manufacturer's recommended fuel should be used. A 40 percent H₂/60 percent He, or 40 percent H₂/60 percent N₂ mixture is recommended to avoid fuels with oxygen to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value. Other mixtures may be used provided the tester can demonstrate to the Administrator that there is no oxygen synergism effect.

5.3.2 Combustion Air. High purity air with less than 1 ppm of organic material (as propane) or less than 0.1 percent of the span value, whichever is greater.

5.3.3 FIA Linearity Calibration Gases. Low-, mid-, and high-range gas mixture standards with nominal propane concentration of 20-30, 45-55, and 70-80 percent of the span value in air, respectively. Other calibration values and other span values may be used if it can be shown that equally accurate measurements would be achieved.

5.3.4 System Calibration Gas. Gas mixture standard containing propane in air, approximating the VOC concentration expected for the Tedlar bag samples.

6. Quality Control

6.1 Required instrument quality control parameters are found in the following sections:

6.1.1 The FIA system must be calibrated as specified in section 7.1.

6.1.2 The system drift check must be performed as specified in section 7.2.

6.2 Precision Control. A minimum of one sample in each batch must be distilled and analyzed in duplicate as a precision control. If the results of the two analyses differ by more than ± 10 percent of the mean, then the system must be reevaluated and the entire batch must be redistilled and analyzed.

7. Calibration and Standardization

7.1 FIA Calibration and Linearity Check. Make necessary adjustments to the air and fuel supplies for the FIA and ignite the burner. Allow the FIA to warm up for the period recommended by the manufacturer. Inject a calibration gas into the measurement system and adjust the back-pressure regulator to the value required to achieve the flow rates specified by the manufacturer. Inject the zero-and the high-range calibration gases and adjust the analyzer calibration to provide the proper responses. Inject the low-and mid-range gases and record the responses of the measurement system. The calibration and linearity of the system are acceptable if the responses for all four gases are within 5 percent of the respective gas values. If the performance of the system is not acceptable, repair or adjust the system and repeat the linearity check. Conduct a calibration and linearity check after assembling the analysis system and after a major change is made to the system. A calibration curve consisting of zero gas and two calibration levels must be performed at the beginning and end of each batch of samples.

7.2 Systems Drift Checks. After each sample, repeat the system calibration checks in section 7.1 before any adjustments to the FIA or measurement system are made. If the zero or calibration drift exceeds ± 3 percent of the span value, discard the result and repeat the analysis. Alternatively, recalibrate the FIA as in section 7.1 and report the results using both sets of calibration data (*i.e.*, data determined prior to the test period and data determined following the test period). The data that results in the lowest CE value shall be reported as the results for the test run.

8. Procedures

8.1 Determination of Liquid Input Weight

8.1.1 Weight Difference. Determine the amount of material introduced to the process as the weight difference of the feed material before and after each sampling run. In determining the total VOC containing liquid

usage, account for: (a) The initial (beginning) VOC containing liquid mixture; (b) any solvent added during the test run; (c) any coating added during the test run; and (d) any residual VOC containing liquid mixture remaining at the end of the sample run.

8.1.1.1 Identify all points where VOC containing liquids are introduced to the process. To obtain an accurate measurement of VOC containing liquids, start with an empty fountain (if applicable). After completing the run, drain the liquid in the fountain back into the liquid drum (if possible), and weigh the drum again. Weigh the VOC containing liquids to ± 0.5 percent of the total weight (full) or ± 1.0 percent of the total weight of VOC containing liquid used during the sample run, whichever is less. If the residual liquid cannot be returned to the drum, drain the fountain into a preweighed empty drum to determine the final weight of the liquid.

8.1.1.2 If it is not possible to measure a single representative mixture, then weigh the various components separately (e.g., if solvent is added during the sampling run, weigh the solvent before it is added to the mixture). If a fresh drum of VOC containing liquid is needed during the run, then weigh both the empty drum and fresh drum.

8.1.2 Volume Measurement (Alternative). If direct weight measurements are not feasible, the tester may use volume meters and flow rate meters (and density measurements) to determine the weight of liquids used if it can be demonstrated that the technique produces results equivalent to the direct weight measurements. If a single representative mixture cannot be measured, measure the components separately.

8.2 Determination of VOC Content in Input Liquids

8.2.1 Collection of Liquid Samples.

8.2.1.1 Collect a 1-pint or larger sample of the VOC containing liquid mixture at each application location at the beginning and end of each test run. A separate sample should be taken of each VOC containing liquid added to the application mixture during the test run. If a fresh drum is needed during the sampling run, then obtain a sample from the fresh drum.

8.2.1.2 When collecting the sample, ground the sample container to the coating drum. Fill the sample container as close to the rim as possible to minimize the amount of headspace.

8.2.1.3 After the sample is collected, seal the container so the sample cannot leak out or evaporate.

8.2.1.4 Label the container to identify clearly the contents.

8.2.2 Distillation of VOC.

8.2.2.1 Assemble the rotary evaporator as shown in Figure 204F-1.

8.2.2.2 Leak check the rotary evaporation system by aspirating a vacuum of approximately 20 mm Hg from absolute. Close up the

system and monitor the vacuum for approximately 1 minute. If the vacuum falls more than 25 mm Hg in 1 minute, repair leaks and repeat. Turn off the aspirator and vent vacuum.

8.2.2.3 Deposit approximately 20 ml of sample (inks, paints, etc.) into the rotary evaporation distillation flask.

8.2.2.4 Install the distillation flask on the rotary evaporator.

8.2.2.5 Immerse the distillate collection flask into the ice water bath.

8.2.2.6 Start rotating the distillation flask at a speed of approximately 30 rpm.

8.2.2.7 Begin heating the vessel at a rate of 2 to 3 °C per minute.

8.2.2.8 After the hot oil bath has reached a temperature of 50 °C or pressure is evident on the mercury manometer, turn on the aspirator and gradually apply a vacuum to the evaporator to within 20 mm Hg of absolute. Care should be taken to prevent material burping from the distillation flask.

8.2.2.9 Continue heating until a temperature of 110 °C is achieved and maintain this temperature for at least 2 minutes, or until the sample has dried in the distillation flask.

8.2.2.10 Slowly introduce the N₂ sweep gas through the purge tube and into the distillation flask, taking care to maintain a vacuum of approximately 400-mm Hg from absolute.

8.2.2.11 Continue sweeping the remaining solvent VOC from the distillation flask and condenser assembly for 2 minutes, or until all traces of condensed solvent are gone from the vessel. Some distillate may remain in the still head. This will not affect solvent recovery ratios.

8.2.2.12 Release the vacuum, disassemble the apparatus and transfer the distillate to a labeled, sealed vial.

8.2.3 Preparation of VOC standard bag sample.

8.2.3.1 Assemble the bag sample generation system as shown in Figure 204F-2 and bring the water bath up to near boiling temperature.

8.2.3.2 Inflate the Tedlar bag and perform a leak check on the bag.

8.2.3.3 Evacuate the bag and close the bag inlet valve.

8.2.3.4 Record the current barometric pressure.

8.2.3.5 Record the starting reading on the dry gas meter, open the bag inlet valve, and start the dilution zero air flowing into the Tedlar bag at approximately 2 liters per minute.

8.2.3.6 The bag sample VOC concentration should be similar to the gaseous VOC concentration measured in the gas streams. The amount of liquid VOC required can be approximated using equations in section 9.2. Using Equation 204F-4, calculate C_{VOC} by assuming RF is 1.0 and selecting the desired gas concentration in terms of propane, C_{C3}.

Assuming B_V is 20 liters, M_L , the approximate amount of liquid to be used to prepare the bag gas sample, can be calculated using Equation 204F-2.

8.2.3.7 Quickly withdraw an aliquot of the approximate amount calculated in section 8.2.3.6 from the distillate vial with the microliter syringe and record its weight from the analytical balance to the nearest 0.01 mg.

8.2.3.8 Inject the contents of the syringe through the septum of the volatilization vessel into the glass wool inside the vessel.

8.2.3.9 Reweigh and record the tare weight of the now empty syringe.

8.2.3.10 Record the pressure and temperature of the dilution gas as it is passed through the dry gas meter.

8.2.3.11 After approximately 20 liters of dilution gas have passed into the Tedlar bag, close the valve to the dilution air source and record the exact final reading on the dry gas meter.

8.2.3.12 The gas bag is then analyzed by FIA within 1 hour of bag preparation in accordance with the procedure in section 8.2.4.

8.2.4 Determination of VOC response factor.

8.2.4.1 Start up the FIA instrument using the same settings as used for the gaseous VOC measurements.

8.2.4.2 Perform the FIA analyzer calibration and linearity checks according to the procedure in section 7.1. Record the responses to each of the calibration gases and the back-pressure setting of the FIA.

8.2.4.3 Connect the Tedlar bag sample to the FIA sample inlet and record the bag concentration in terms of propane. Continue the analyses until a steady reading is obtained for at least 30 seconds. Record the final reading and calculate the RF.

8.2.5 Determination of coating VOC content as VOC (V_{IJ}).

8.2.5.1 Determine the VOC content of the coatings used in the process using EPA Method 24 or 24A as applicable.

9. Data Analysis and Calculations

9.1. Nomenclature.

B_V = Volume of bag sample volume, liters.
 C_{C_3} = Concentration of bag sample as propane, mg/liter.
 C_{VOC} = Concentration of bag sample as VOC, mg/liter.

K = 0.00183 mg propane/(liter-ppm propane)
 L = Total VOC content of liquid input, kg propane.
 M_L = Mass of VOC liquid injected into the bag, mg.
 M_V = Volume of gas measured by DGM, liters.
 P_M = Absolute DGM gas pressure, mm Hg.
 P_{STD} = Standard absolute pressure, 760 mm Hg.
 R_{C_3} = FIA reading for bag gas sample, ppm propane.
 RF = Response factor for VOC in liquid, weight VOC/weight propane.
 RF_j = Response factor for VOC in liquid J, weight VOC/weight propane.
 T_M = DGM temperature, °K.
 T_{STD} = Standard absolute temperature, 293 °K.
 V_{IJ} = Initial VOC weight fraction of VOC liquid J.
 V_{FJ} = Final VOC weight fraction of VOC liquid J.
 V_{AJ} = VOC weight fraction of VOC liquid J added during the run.
 W_{IJ} = Weight of VOC containing liquid J at beginning of run, kg.
 W_{FJ} = Weight of VOC containing liquid J at end of run, kg.
 W_{AJ} = Weight of VOC containing liquid J added during the run, kg.

9.2 Calculations.

9.2.1 Bag sample volume.

$$B_V = \frac{M_V T_{STD} P_M}{T_M P_{STD}} \quad \text{Eq. 204F-1}$$

9.2.2 Bag sample VOC concentration.

$$C_{VOC} = \frac{M_L}{B_V} \quad \text{Eq. 204F-2}$$

9.2.3 Bag sample VOC concentration as propane.

$$C_{C_3} = R_{C_3} K \quad \text{Eq. 204F-3}$$

9.2.4 Response Factor.

$$RF = \frac{C_{VOC}}{C_{C_3}} \quad \text{Eq. 204F-4}$$

9.2.5 Total VOC Content of the Input VOC Containing Liquid.

$$L = \sum_{j=1}^n \frac{V_{Ij} W_{Ij}}{RF_j} - \sum_{j=1}^n \frac{V_{Fj} W_{Fj}}{RF_j} + \sum_{j=1}^n \frac{V_{Aj} W_{Aj}}{RF_j} \quad \text{Eq. 204F-5}$$

10. Diagrams

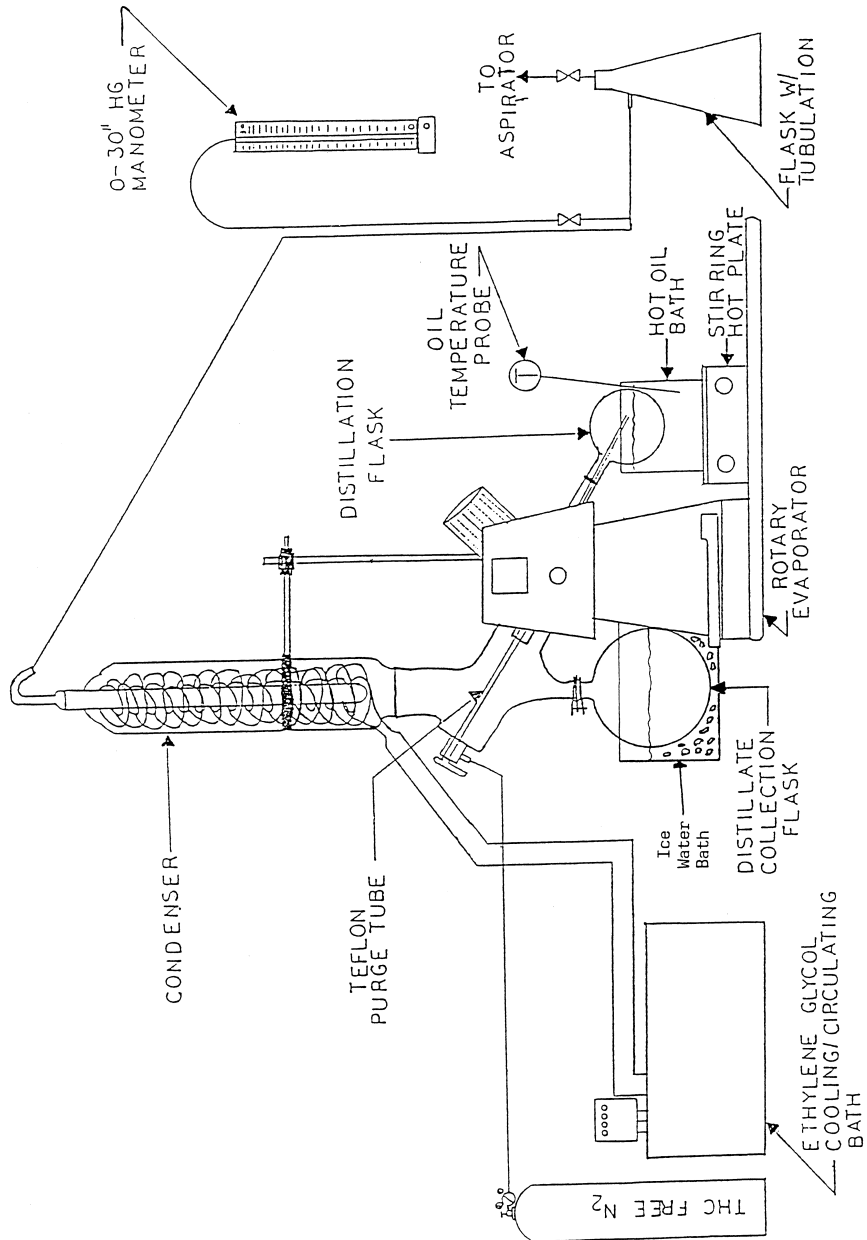


Figure 204F-1. VOC distillation system apparatus.

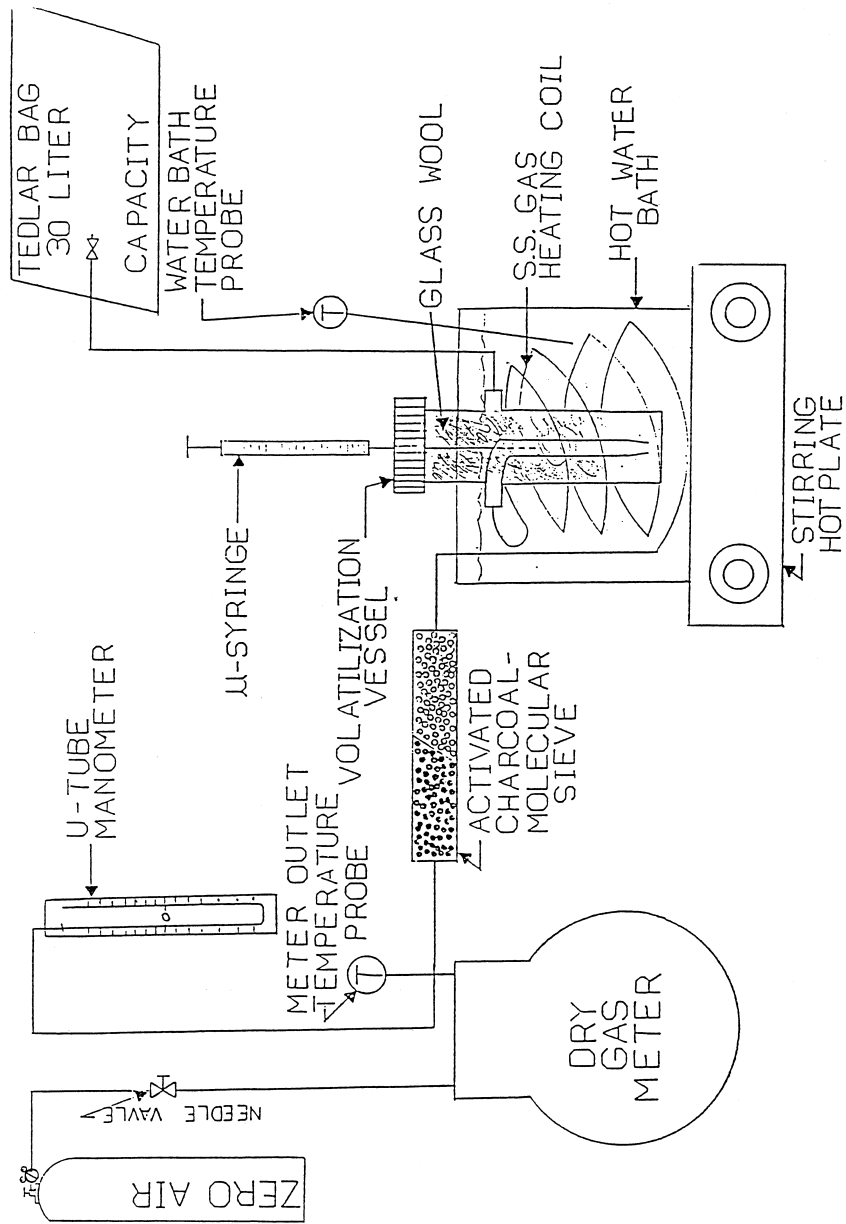


Figure 204F-2. Tedlar gas bag generation system apparatus.

METHOD 205—VERIFICATION OF GAS DILUTION SYSTEMS FOR FIELD INSTRUMENT CALIBRATIONS

1. Introduction

1.1 Applicability. A gas dilution system can provide known values of calibration gases through controlled dilution of high-level calibration gases with an appropriate dilution gas. The instrumental test methods in 40 CFR part 60—e.g., Methods 3A, 6C, 7E, 10, 15, 16, 20, 25A and 25B—require on-site, multi-point calibration using gases of known concentrations. A gas dilution system that produces known low-level calibration gases from high-level calibration gases, with a degree of confidence similar to that for Protocol¹ gases, may be used for compliance tests in lieu of multiple calibration gases when the gas dilution system is demonstrated to meet the requirements of this method. The Administrator may also use a gas dilution system in order to produce a wide range of Cylinder Gas Audit concentrations when conducting performance specifications according to appendix F, 40 CFR part 60. As long as the acceptance criteria of this method are met, this method is applicable to gas dilution systems using any type of dilution technology, not solely the ones mentioned in this method.

1.2 Principle. The gas dilution system shall be evaluated on one analyzer once during each field test. A precalibrated analyzer is chosen, at the discretion of the source owner or operator, to demonstrate that the gas dilution system produces predictable gas concentrations spanning a range of concentrations. After meeting the requirements of this method, the remaining analyzers may be calibrated with the dilution system in accordance to the requirements of the applicable method for the duration of the field test. In Methods 15 and 16, 40 CFR part 60, appendix A, reactive compounds may be lost in the gas dilution system. Also, in Methods 25A and 25B, 40 CFR part 60, appendix A, calibration with target compounds other than propane is allowed. In these cases, a laboratory evaluation is required once per year in order to assure the Administrator that the system will dilute these reactive gases without significant loss.

NOTE: The laboratory evaluation is required only if the source owner or operator plans to utilize the dilution system to prepare gases mentioned above as being reactive.

2. Specifications

2.1 Gas Dilution System. The gas dilution system shall produce calibration gases whose measured values are within ± 2 percent of the predicted values. The predicted values are calculated based on the certified concentration of the supply gas (Protocol gases, when

available, are recommended for their accuracy) and the gas flow rates (or dilution ratios) through the gas dilution system.

2.1.1 The gas dilution system shall be recalibrated once per calendar year using NIST-traceable flow standards with an uncertainty ≤ 0.25 percent. You shall report the results of the calibration by the person or manufacturer who carried out the calibration whenever the dilution system is used, listing the date of the most recent calibration, the due date for the next calibration, calibration point, reference flow device (ID, S/N), and acceptance criteria. Follow the manufacturer's instructions for the operation and use of the gas dilution system. A copy of the manufacturer's instructions for the operation of the instrument, as well as the most recent calibration documentation, shall be made available for inspection at the test site.

2.1.2 Some manufacturers of mass flow controllers recommend that flow rates below 10 percent of flow controller capacity be avoided; check for this recommendation and follow the manufacturer's instructions. One study has indicated that silicone oil from a positive displacement pump produces an interference in SO₂ analyzers utilizing ultraviolet fluorescence; follow laboratory procedures similar to those outlined in Section 3.1 in order to demonstrate the significance of any resulting effect on instrument performance.

2.2 High-Level Supply Gas. An EPA Protocol calibration gas is recommended, due to its accuracy, as the high-level supply gas.

2.3 Mid-Level Supply Gas. An EPA Protocol gas shall be used as an independent check of the dilution system. The concentration of the mid-level supply gas shall be within 10 percent of one of the dilution levels tested in Section 3.2.

3. Performance Tests

3.1 Laboratory Evaluation (Optional). If the gas dilution system is to be used to formulate calibration gases with reactive compounds (Test Methods 15, 16, and 25A/25B (only if using a calibration gas other than propane during the field test) in 40 CFR part 60, appendix A), a laboratory certification must be conducted once per calendar year for each reactive compound to be diluted. In the laboratory, carry out the procedures in Section 3.2 on the analyzer required in each respective test method to be laboratory certified (15, 16, or 25A and 25B for compounds other than propane). For each compound in which the gas dilution system meets the requirements in Section 3.2, the source must provide the laboratory certification data for the field test and in the test report.

3.2 Field Evaluation (Required). The gas dilution system shall be evaluated at the test site with an analyzer or monitor chosen by

the source owner or operator. It is recommended that the source owner or operator choose a precalibrated instrument with a high level of precision and accuracy for the purposes of this test. This method is not meant to replace the calibration requirements of test methods. In addition to the requirements in this method, all the calibration requirements of the applicable test method must also be met.

3.2.1 Prepare the gas dilution system according to the manufacturer's instructions. Using the high-level supply gas, prepare, at a minimum, two dilutions within the range of each dilution device utilized in the dilution system (unless, as in critical orifice systems, each dilution device is used to make only one dilution; in that case, prepare one dilution for each dilution device). Dilution device in this method refers to each mass flow controller, critical orifice, capillary tube, positive displacement pump, or any other device which is used to achieve gas dilution.

3.2.2 Calculate the predicted concentration for each of the dilutions based on the flow rates through the gas dilution system (or the dilution ratios) and the certified concentration of the high-level supply gas.

3.2.3 Introduce each of the dilutions from Section 3.2.1 into the analyzer or monitor one at a time and determine the instrument response for each of the dilutions.

3.2.4 Repeat the procedure in Section 3.2.3 two times, i.e., until three injections are made at each dilution level. Calculate the average instrument response for each triplicate injection at each dilution level. No single injection shall differ by more than ± 2 percent from the average instrument response for that dilution.

3.2.5 For each level of dilution, calculate the difference between the average concentration output recorded by the analyzer and the predicted concentration calculated in Section 3.2.2. The average concentration output from the analyzer shall be within ± 2 percent of the predicted value.

3.2.6 Introduce the mid-level supply gas directly into the analyzer, bypassing the gas dilution system. Repeat the procedure twice more, for a total of three mid-level supply gas injections. Calculate the average analyzer output concentration for the mid-level supply gas. The difference between the certified concentration of the mid-level supply gas and the average instrument response shall be within ± 2 percent.

3.3 If the gas dilution system meets the criteria listed in Section 3.2, the gas dilution system may be used throughout that field test. If the gas dilution system fails any of the criteria listed in Section 3.2, and the tester corrects the problem with the gas dilution system, the procedure in Section 3.2 must be repeated in its entirety and all the criteria in Section 3.2 must be met in order

for the gas dilution system to be utilized in the test.

4. References

1. "EPA Traceability Protocol for Assay and Certification of Gaseous Calibration Standards," EPA-600/R93/224, Revised September 1993.

METHOD 207—PRE-SURVEY PROCEDURE FOR CORN WET-MILLING FACILITY EMISSION SOURCES

1.0 Scope and Application

1.1 *Analyte.* Total gaseous organic compounds.

1.2 *Applicability.* This pre-survey method is intended for use at corn wet-milling (CWM) facilities to satisfy the requirements of Method 18, Section 16 (Pre-survey). This procedure establishes the analytes for subsequent Method 18 testing to determine the total mass emissions of VOCs from sources at CWM facilities. The specific objectives of the pre-survey procedure are:

1.2.1 Identify the physical characteristics of the VOC contained in the effluent.

1.2.2 Determine the appropriate Method 18 sampling approach to ensure efficient collection of all VOC present in the effluent.

1.2.3 Develop a specific list of target compounds to be quantified during the subsequent total VOC test program.

1.2.4 Qualify the list of target compounds as being a true representation of the total VOC.

1.3 *Range.* The lower and upper ranges of this procedure are determined by the sensitivity of the flame ionization detector (FID) instruments used. Typically, gas detection limits for the VOCs will be on the order of 1–5 ppmv, with the upper limit on the order of 100,000 ppmv.

2.0 Summary of Method

NOTE: Method 6, Method 18, and Method 25A as cited in this method refer to the methods in 40 CFR Part 60, Appendix A.

This procedure calls for using an FIA in conjunction with various configurations of impingers, and other absorbents, or adsorbents to determine the best EPA Method 18 sampling train configuration for the assessment and capture of VOCs. VOC compounds present in the exhaust gas from processes located at CWM facilities fall into five general categories: Alcohols, aldehydes, acetate esters, ketones, and carboxylic acids, and typically contain fewer than six carbon atoms. This pre-survey protocol characterizes and identifies the VOC species present. Since it is qualitative in nature, quantitative performance criteria do not apply.

3.0 Definitions

3.1 Calibration drift means the difference in the measurement system response to a mid-level calibration gas before and after a stated period of operation during which no unscheduled maintenance, repair, or adjustment took place.

3.2 Calibration error means the difference between the gas concentration indicated by the measurement system and the known concentration of the calibration gas.

3.3 Calibration gas means a known concentration of a gas in an appropriate diluent gas.

3.4 Measurement system means the equipment required for the determination of the gas concentration. The system consists of the following major subsystems:

3.4.1 Sample interface means that portion of a system used for one or more of the following: Sample acquisition, sample transportation, sample conditioning, or protection of the analyzer(s) from the effects of the stack effluent.

3.4.2 Organic analyzer means that portion of the measurement system that senses the gas to be measured and generates an output proportional to its concentration.

3.5 Response time means the time interval from a step change in pollutant concentration at the inlet to the emission measurement system to the time at which 95 percent of the corresponding final value is reached as displayed on the recorder.

3.6 Span Value means the upper limit of a gas concentration measurement range that is specified for affected source categories in the applicable part of the regulations. The span value is established in the applicable regulation and is usually 1.5 to 2.5 times the applicable emission limit. If no span value is provided, use a span value equivalent to 1.5 to 2.5 times the expected concentration. For convenience, the span value should correspond to 100 percent of the recorder scale.

3.7 Zero drift means the difference in the measurement system response to a zero level calibration gas before or after a stated period of operation during which no unscheduled maintenance, repair, or adjustment took place.

4.0 Interferences [Reserved]

5.0 Safety [Reserved]

6.0 Equipment and Supplies

6.1 *Organic Concentration Analyzer.* A flame ionization analyzer (FIA) with heated detector block and sample handling system, meeting the requirements of USEPA Method 25A.

6.2 *Heated Sampling System.* A sampling system consisting of a stainless steel probe with particulate filter, Teflon® sample line, and sampling pump capable of moving 1.0 l/min through the sample probe and line. The

entire system from probe tip to FIA analyzer must have the capability to maintain all sample-wetted parts at a temperature >120 °C. A schematic of the heated sampling system and impinger train is shown in Figure 1 of this method.

6.3 *Impinger Train.* EPA Method 6 type, comprised of three midget impingers with appropriate connections to the sampling system and FIA system. The impinger train may be chilled in an ice bath or maintained at a set temperature in a water bath as indicated by the operator's knowledge of the source and the compounds likely to be present. Additional impingers or larger impingers may be used for high moisture sources.

6.4 Adsorbent tubes.

6.4.1 Silica gel, SKC Type 226–22 or equivalent, with appropriate end connectors and holders.

6.4.2 Activated carbon, SKC Type 226–84 or equivalent, with appropriate end connectors and holders.

6.5 *Tedlar bag.* 24 liter, w/ Roberts valve, for GC/MS analysis of "breakthrough" VOC fraction as needed.

7.0 Reagents and Standards

7.1 Organic-free water, HPLC, or pharmaceutical grade.

7.2 *Calibration Gases.* The calibration gases for the gas analyzer shall be propane in air or propane in nitrogen. If organic compounds other than propane are used, the appropriate corrections for response factor must be available and applied to the results. Calibration gases shall be prepared in accordance with the procedure listed in Citation 2 of section 16. Additionally, the manufacturer of the cylinder must provide a recommended shelf life for each calibration gas cylinder over which the concentration does not change more than ±2 percent from the certified value. For calibration gas values not generally available (*i.e.*, organics between 1 and 10 percent by volume), alternative methods for preparing calibration gas mixtures, such as dilution systems (Test Method 205, 40 CFR Part 51, Appendix M), may be used with prior approval of the Administrator.

7.3 *Fuel.* A 40 percent H₂/60 percent N₂ or He gas mixture is recommended to avoid an oxygen synergism effect that reportedly occurs when oxygen concentration varies significantly from a mean value.

7.4 *Zero Gas.* High purity air with less than 0.1 parts per million by volume (ppmv) of organic material (propane or carbon equivalent) or less than 0.1 percent of the span value, whichever is greater.

7.5 *Low-level Calibration Gas.* An organic calibration gas with a concentration equivalent to 25 to 35 percent of the applicable span value.

7.6 *Mid-level Calibration Gas.* An organic calibration gas with a concentration equivalent to 45 to 55 percent of the applicable span value.

7.7 *High-level Calibration Gas.* An organic calibration gas with a concentration equivalent to 80 to 90 percent of the applicable span value.

8.0 *Sample Collection, Preservation and Storage*

8.1 *Configuration.* The configuration of the pre-survey sampling system is provided in Figure 1. This figure shows the primary components of the sampling system needed to conduct a VOC survey. A dual-channel analyzer is beneficial, but not necessary. Only a single channel is indicated in the figure.

8.2 *Sampling.* The pre-survey system should be set up and calibrated with the targeted sampling flow rate that will be used during Method 18 VOC sampling. The targeted flow rate for capture of most expected VOC species is 400 cc/min. Since most FIA analyzers do not specifically allow for adjusting the total sample flow rate (only the back pressure), it may be necessary to insert a flow control valve at the sample inlet to the FIA. The total sample flow can be measured at the FIA bypass, since only a small fraction of the sample flow is diverted to analysis portion of the instrument.

The sampling system configuration shown in Figure 1 is operated using the process flow diagram provided in Figure 2. As noted in the process flowchart, the initial sampling media consists of the three midjet impingers. The attenuation of the VOC sample stream is evaluated to determine if 95 percent or greater attenuation (capture) of the VOCs present has been achieved. The flow diagram specifies successive adjustments to the sampling media that are utilized to increase VOC capture.

A one-hour test of the final sampling configuration is performed using fresh media to ensure that significant breakthrough does not occur. Additional sampling media (more water, silica or carbon tubes) may be added to ensure that breakthrough is not occurring for the full duration of a test run.

If 95 percent or greater attenuation has not been achieved after inserting all indicated media, the most likely scenario is that methane is present. This is easily checked by collecting a sample of this final bypass sample stream and analyzing for methane. There are other VOC compounds which could also penetrate the media. Their identification by gas chromatography followed by mass spectrometry would be required if the breakthrough cannot be accounted for by the presence of methane.

9.0 *Quality Control*

9.1 *Blanks.* A minimum of one method blank shall be prepared and analyzed for each sample medium employed during a pre-survey testing field deployment to assess the effect of media contamination. Method blanks are prepared by assembling and charging the sample train with reagents, then recovering and preserving the blanks in the same manner as the test samples. Method blanks and test samples are stored, transported and analyzed in identical fashion as the test samples.

9.2 *Synthetic Sample (optional).* A synthetic sample may be used to assess the performance of the VOC characterization apparatus with respect to specific compounds. The synthetic sample is prepared by injecting appropriate volume(s) of the compounds of interest into a Tedlar bag containing a known volume of zero air or nitrogen. The contents of the bag are allowed to equilibrate, and the bag is connected to the sampling system. The sampling system, VOC characterization apparatus and FIA are operated normally to determine the performance of the system with respect to the VOC compounds present in the synthetic sample.

10.0 *Calibration and Standardization*

10.1 *Calibration.* The FIA equipment is able to be calibrated for almost any range of total organic concentrations. For high concentrations of organics (>1.0 percent by volume as propane), modifications to most commonly available analyzers are necessary. One accepted method of equipment modification is to decrease the size of the sample to the analyzer through the use of a smaller diameter sample capillary. Direct and continuous measurement of organic concentration is a necessary consideration when determining any modification design.

11.0 *Procedure*

11.1 *Analytical Procedure.* Upon completion of the pre-survey sampling, the sample fractions are to be analyzed by an appropriate chromatographic technique. (Ref: Method 18) The resulting chromatograms must be reviewed to ensure that the ratio of known peak area to total peak area is 95% or greater. It should be noted that if formaldehyde is a suspected analyte, it must be quantitated separately using a different analytical technique.

12.0 *Data Analysis and Calculations*

Chromatogram peaks will be ranked from greatest area to least area using peak integrator output. The area of all peaks will then be totaled, and the proportion of each peak area to the total area will be calculated. Beginning with the highest ranked area, each peak will be identified and the

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area added to previous areas until the cumulative area comprises at least 95% of the total area. The VOC compounds generating those identified peaks will comprise the compound list to be used in Method 18 testing of the subject source.

13.0 Method Performance [Reserved]

14.0 Pollution Prevention [Reserved]

15.0 Waste Management [Reserved]

16.0 References

16.1 CFR 40 Part 60, Appendix A, Method 18, Measurement of Gaseous Organic Compound Emissions by Gas Chromatography.

40 CFR Ch. I (7–1–21 Edition)

16.2 CFR 40 Part 60, Appendix A, Method 25A, Determination of Total Gaseous Organic Concentration Using a Flame Ionization Analyzer.

16.2 CFR 40 Part 60, Appendix A, Method 6, Determination of Sulfur Dioxide Emissions from Stationary Sources.

16.3 National Council for Air and Stream Improvement (NCASI), Method CI/WP-98.01 “Chilled Impinger Method for Use at Wood Products Mills to Measure Formaldehyde, Methanol, and Phenol.

17. Tables, Diagrams, Flowcharts, and Validation Data

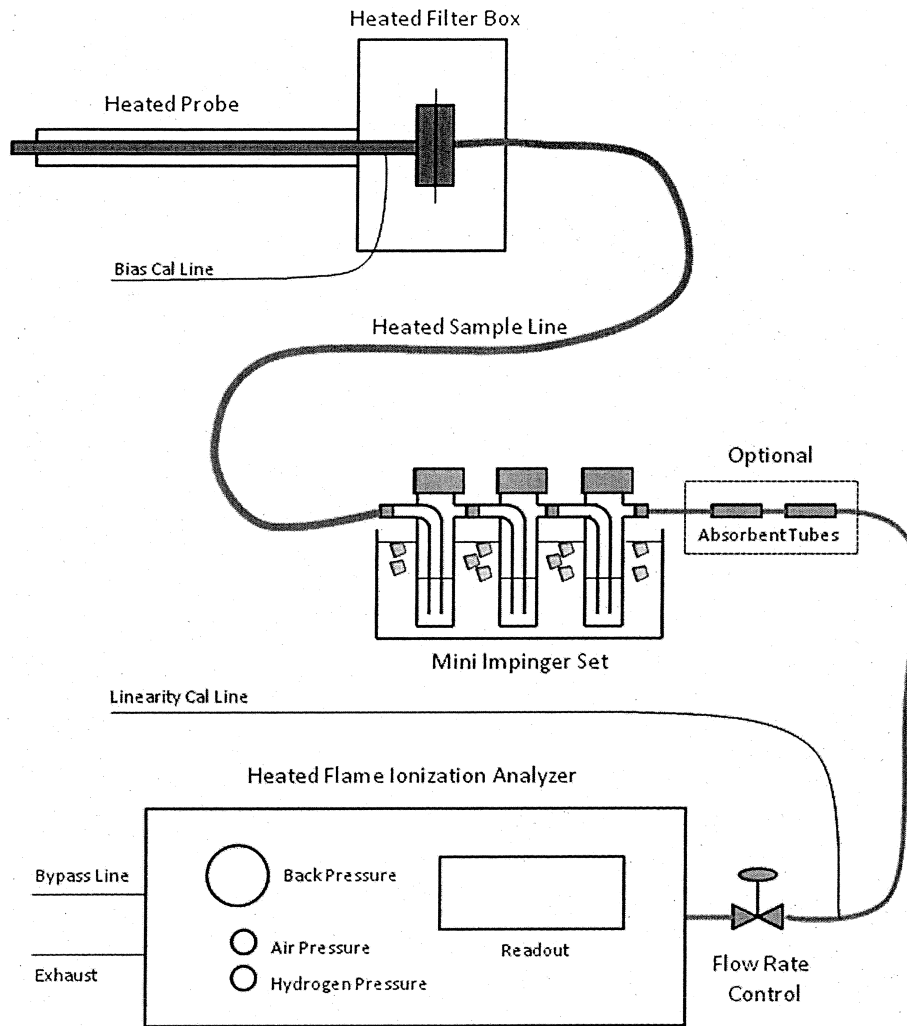


Figure 1. Pre-Survey Sampling System

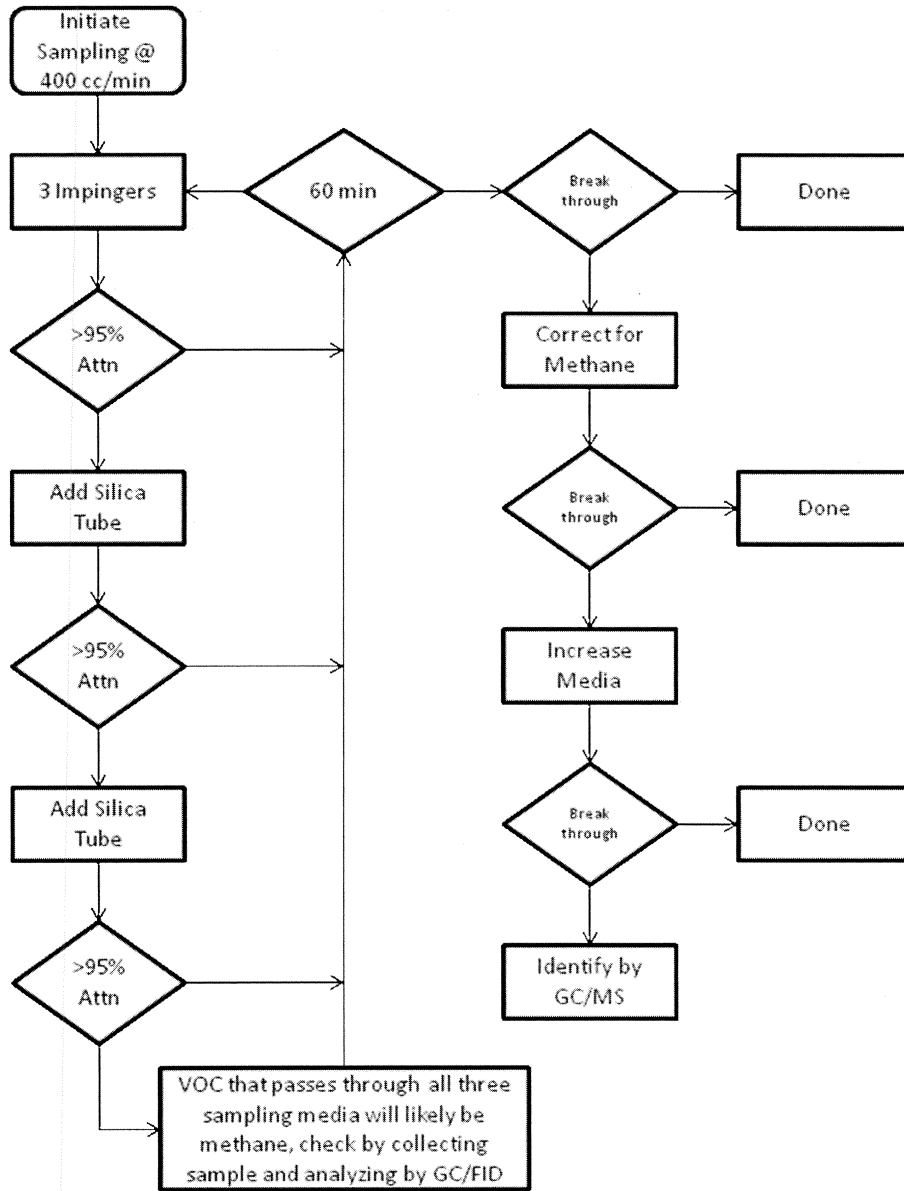


Figure 2. Method 207 Flowchart

[55 FR 14249, Apr. 17, 1990; 55 FR 24687, June 18, 1990, as amended at 55 FR 37606, Sept. 12, 1990; 56 FR 6278, Feb. 15, 1991; 56 FR 65435, Dec. 17, 1991; 60 FR 28054, May 30, 1995; 62 FR 32502, June 16, 1997; 71 FR 55123, Sept. 21, 2006; 73 FR 30779, May 29, 2008; 75 FR 55644, Sept. 13, 2010; 75 FR 80134, Dec. 21, 2010; 79 FR 11235, Feb. 27, 2014; 79 FR 18453, Apr. 2, 2014; 81 FR 59806, Aug. 30, 2016; 83 FR 56720, Nov. 14, 2018; 85 FR 63401, Oct. 7, 2020]

APPENDIXES N–O TO PART 51
[RESERVED]

APPENDIX P TO PART 51—MINIMUM
EMISSION MONITORING REQUIREMENTS

1.0 *Purpose.* This appendix P sets forth the minimum requirements for continuous emission monitoring and recording that each State Implementation Plan must include in order to be approved under the provisions of 40 CFR 51.214. These requirements include the source categories to be affected; emission monitoring, recording, and reporting requirements for those sources; performance specifications for accuracy, reliability, and durability of acceptable monitoring systems; and techniques to convert emission data to units of the applicable State emission standard. Such data must be reported to the State as an indication of whether proper maintenance and operating procedures are being utilized by source operators to maintain emission levels at or below emission standards. Such data may be used directly or indirectly for compliance determination or any other purpose deemed appropriate by the State. Though the monitoring requirements are specified in detail, States are given some flexibility to resolve difficulties that may arise during the implementation of these regulations.

1.1 *Applicability.* The State plan shall require the owner or operator of an emission source in a category listed in this appendix to: (1) Install, calibrate, operate, and maintain all monitoring equipment necessary for continuously monitoring the pollutants specified in this appendix for the applicable source category; and (2) complete the installation and performance tests of such equipment and begin monitoring and recording within 18 months of plan approval or promulgation. The source categories and the respective monitoring requirements are listed below.

1.1.1 Fossil fuel-fired steam generators, as specified in paragraph 2.1 of this appendix, shall be monitored for opacity, nitrogen oxides emissions, sulfur dioxide emissions, and oxygen or carbon dioxide.

1.1.2 Fluid bed catalytic cracking unit catalyst regenerators, as specified in paragraph 2.4 of this appendix, shall be monitored for opacity.

1.1.3 Sulfuric acid plants, as specified in paragraph 2.3 of this appendix, shall be monitored for sulfur dioxide emissions.

1.1.4 Nitric acid plants, as specified in paragraph 2.2 of this appendix, shall be monitored for nitrogen oxides emissions.

1.2 *Exemptions.* The States may include provisions within their regulations to grant exemptions from the monitoring requirements of paragraph 1.1 of this appendix for any source which is:

1.2.1 Subject to a new source performance standard promulgated in 40 CFR part 60 pursuant to section 111 of the Clean Air Act; or

1.2.2 not subject to an applicable emission standard of an approved plan; or

1.2.3 scheduled for retirement within 5 years after inclusion of monitoring requirements for the source in appendix P, provided that adequate evidence and guarantees are provided that clearly show that the source will cease operations prior to such date.

1.3 *Extensions.* States may allow reasonable extensions of the time provided for installation of monitors for facilities unable to meet the prescribed timeframe (*i.e.*, 18 months from plan approval or promulgation) provided the owner or operator of such facility demonstrates that good faith efforts have been made to obtain and install such devices within such prescribed timeframe.

1.4 *Monitoring System Malfunction.* The State plan may provide a temporary exemption from the monitoring and reporting requirements of this appendix during any period of monitoring system malfunction, provided that the source owner or operator shows, to the satisfaction of the State, that the malfunction was unavoidable and is being repaired as expeditiously as practicable.

2.0 *Minimum Monitoring Requirement.* States must, as a minimum, require the sources listed in paragraph 1.1 of this appendix to meet the following basic requirements.

2.1 *Fossil fuel-fired steam generators.* Each fossil fuel-fired steam generator, except as provided in the following subparagraphs, with an annual average capacity factor of greater than 30 percent, as reported to the Federal Power Commission for calendar year 1974, or as otherwise demonstrated to the State by the owner or operator, shall conform with the following monitoring requirements when such facility is subject to an emission standard of an applicable plan for the pollutant in question.

2.1.1 A continuous monitoring system for the measurement of opacity which meets the performance specifications of paragraph 3.1.1 of this appendix shall be installed, calibrated, maintained, and operated in accordance with the procedures of this appendix by the owner or operator of any such steam generator of greater than 250 million BTU per hour heat input except where:

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[55 FR 14249, Apr. 17, 1990; 55 FR 24687, June 18, 1990, as amended at 55 FR 37606, Sept. 12, 1990; 56 FR 6278, Feb. 15, 1991; 56 FR 65435, Dec. 17, 1991; 60 FR 28054, May 30, 1995; 62 FR 32502, June 16, 1997; 71 FR 55123, Sept. 21, 2006; 73 FR 30779, May 29, 2008; 75 FR 55644, Sept. 13, 2010; 75 FR 80134, Dec. 21, 2010; 79 FR 11235, Feb. 27, 2014; 79 FR 18453, Apr. 2, 2014; 81 FR 59806, Aug. 30, 2016; 83 FR 56720, Nov. 14, 2018; 85 FR 63401, Oct. 7, 2020]

APPENDIXES N–O TO PART 51 [RESERVED]

APPENDIX P TO PART 51—MINIMUM EMISSION MONITORING REQUIREMENTS

1.0 Purpose. This appendix P sets forth the minimum requirements for continuous emission monitoring and recording that each State Implementation Plan must include in order to be approved under the provisions of 40 CFR 51.214. These requirements include the source categories to be affected; emission monitoring, recording, and reporting requirements for those sources; performance specifications for accuracy, reliability, and durability of acceptable monitoring systems; and techniques to convert emission data to units of the applicable State emission standard. Such data must be reported to the State as an indication of whether proper maintenance and operating procedures are being utilized by source operators to maintain emission levels at or below emission standards. Such data may be used directly or indirectly for compliance determination or any other purpose deemed appropriate by the State. Though the monitoring requirements are specified in detail, States are given some flexibility to resolve difficulties that may arise during the implementation of these regulations.

1.1 Applicability. The State plan shall require the owner or operator of an emission source in a category listed in this appendix to: (1) Install, calibrate, operate, and maintain all monitoring equipment necessary for continuously monitoring the pollutants specified in this appendix for the applicable source category; and (2) complete the installation and performance tests of such equipment and begin monitoring and recording within 18 months of plan approval or promulgation. The source categories and the respective monitoring requirements are listed below.

1.1.1 Fossil fuel-fired steam generators, as specified in paragraph 2.1 of this appendix, shall be monitored for opacity, nitrogen oxides emissions, sulfur dioxide emissions, and oxygen or carbon dioxide.

1.1.2 Fluid bed catalytic cracking unit catalyst regenerators, as specified in paragraph 2.4 of this appendix, shall be monitored for opacity.

1.1.3 Sulfuric acid plants, as specified in paragraph 2.3 of this appendix, shall be monitored for sulfur dioxide emissions.

1.1.4 Nitric acid plants, as specified in paragraph 2.2 of this appendix, shall be monitored for nitrogen oxides emissions.

1.2 Exemptions. The States may include provisions within their regulations to grant exemptions from the monitoring requirements of paragraph 1.1 of this appendix for any source which is:

1.2.1 Subject to a new source performance standard promulgated in 40 CFR part 60 pursuant to section 111 of the Clean Air Act; or

1.2.2 not subject to an applicable emission standard of an approved plan; or

1.2.3 scheduled for retirement within 5 years after inclusion of monitoring requirements for the source in appendix P, provided that adequate evidence and guarantees are provided that clearly show that the source will cease operations prior to such date.

1.3 Extensions. States may allow reasonable extensions of the time provided for installation of monitors for facilities unable to meet the prescribed timeframe (*i.e.*, 18 months from plan approval or promulgation) provided the owner or operator of such facility demonstrates that good faith efforts have been made to obtain and install such devices within such prescribed timeframe.

1.4 Monitoring System Malfunction. The State plan may provide a temporary exemption from the monitoring and reporting requirements of this appendix during any period of monitoring system malfunction, provided that the source owner or operator shows, to the satisfaction of the State, that the malfunction was unavoidable and is being repaired as expeditiously as practicable.

2.0 Minimum Monitoring Requirement. States must, as a minimum, require the sources listed in paragraph 1.1 of this appendix to meet the following basic requirements.

2.1 Fossil fuel-fired steam generators. Each fossil fuel-fired steam generator, except as provided in the following subparagraphs, with an annual average capacity factor of greater than 30 percent, as reported to the Federal Power Commission for calendar year 1974, or as otherwise demonstrated to the State by the owner or operator, shall conform with the following monitoring requirements when such facility is subject to an emission standard of an applicable plan for the pollutant in question.

2.1.1 A continuous monitoring system for the measurement of opacity which meets the performance specifications of paragraph 3.1.1 of this appendix shall be installed, calibrated, maintained, and operated in accordance with the procedures of this appendix by the owner or operator of any such steam generator of greater than 250 million BTU per hour heat input except where:

2.1.1.1 gaseous fuel is the only fuel burned, or

2.1.1.2 oil or a mixture of gas and oil are the only fuels burned and the source is able to comply with the applicable particulate matter and opacity regulations without utilization of particulate matter collection equipment, and where the source has never been found, through any administrative or judicial proceedings, to be in violation of any visible emission standard of the applicable plan.

2.1.2 A continuous monitoring system for the measurement of sulfur dioxide which meets the performance specifications of paragraph 3.1.3 of this appendix shall be installed, calibrated, maintained, and operated on any fossil fuel-fired steam generator of greater than 250 million BTU per hour heat input which has installed sulfur dioxide pollutant control equipment.

2.1.3 A continuous monitoring system for the measurement of nitrogen oxides which meets the performance specification of paragraph 3.1.2 of this appendix shall be installed, calibrated, maintained, and operated on fossil fuel-fired steam generators of greater than 1000 million BTU per hour heat input when such facility is located in an Air Quality Control Region where the Administrator has specifically determined that a control strategy for nitrogen dioxide is necessary to attain the national standards, unless the source owner or operator demonstrates during source compliance tests as required by the State that such a source emits nitrogen oxides at levels 30 percent or more below the emission standard within the applicable plan.

2.1.4 A continuous monitoring system for the measurement of the percent oxygen or carbon dioxide which meets the performance specifications of paragraphs 3.1.4 or 3.1.5 of this appendix shall be installed, calibrated, operated, and maintained on fossil fuel-fired steam generators where measurements of oxygen or carbon dioxide in the flue gas are required to convert either sulfur dioxide or nitrogen oxides continuous emission monitoring data, or both, to units of the emission standard within the applicable plan.

2.2 *Nitric acid plants.* Each nitric acid plant of greater than 300 tons per day production capacity, the production capacity being expressed as 100 percent acid, located in an Air Quality Control Region where the Administrator has specifically determined that a control strategy for nitrogen dioxide is necessary to attain the national standard shall install, calibrate, maintain, and operate a continuous monitoring system for the measurement of nitrogen oxides which meets the performance specifications of paragraph 3.1.2 for each nitric acid producing facility within such plant.

2.3 *Sulfuric acid plants.* Each Sulfuric acid plant of greater than 300 tons per day pro-

duction capacity, the production being expressed as 100 percent acid, shall install, calibrate, maintain and operate a continuous monitoring system for the measurement of sulfur dioxide which meets the performance specifications of paragraph 3.1.3 for each sulfuric acid producing facility within such plant.

2.4 *Fluid bed catalytic cracking unit catalyst regenerators at petroleum refineries.* Each catalyst regenerator for fluid bed catalytic cracking units of greater than 20,000 barrels per day fresh feed capacity shall install, calibrate, maintain, and operate a continuous monitoring system for the measurement of opacity which meets the performance specifications of paragraph 3.1.1.

3.0 *Minimum specifications.* All State plans shall require owners or operators of monitoring equipment installed to comply with this appendix, except as provided in paragraph 3.2, to demonstrate compliance with the following performance specifications.

3.1 *Performance specifications.* The performance specifications set forth in appendix B of part 60 are incorporated herein by reference, and shall be used by States to determine acceptability of monitoring equipment installed pursuant to this appendix except that (1) where reference is made to the "Administrator" in appendix B, part 60, the term *State* should be inserted for the purpose of this appendix (e.g., in Performance Specification 1, 1.2, " * * * monitoring systems subject to approval by the *Administrator*," should be interpreted as, " * * * monitoring systems subject to approval by the *State*"), and (2) where reference is made to the "Reference Method" in appendix B, part 60, the State may allow the use of either the State approved reference method or the Federally approved reference method as published in part 60 of this chapter. The Performance Specifications to be used with each type of monitoring system are listed below.

3.1.1 Continuous monitoring systems for measuring opacity shall comply with Performance Specification 1.

3.1.2 Continuous monitoring systems for measuring nitrogen oxides shall comply with Performance Specification 2.

3.1.3 Continuous monitoring systems for measuring sulfur dioxide shall comply with Performance Specification 2.

3.1.4 Continuous monitoring systems for measuring oxygen shall comply with Performance Specification 3.

3.1.5 Continuous monitoring systems for measuring carbon dioxide shall comply with Performance Specification 3.

3.2 *Exemptions.* Any source which has purchased an emission monitoring system(s) prior to September 11, 1974, may be exempt from meeting such test procedures prescribed in appendix B of part 60 for a period not to exceed five years from plan approval or promulgation.

3.3 *Calibration Gases.* For nitrogen oxides monitoring systems installed on fossil fuel-fired steam generators, the pollutant gas used to prepare calibration gas mixtures (section 6.1, Performance Specification 2, appendix B, part 60 of this chapter) shall be nitric oxide (NO). For nitrogen oxides monitoring systems installed on nitric acid plants, the pollutant gas used to prepare calibration gas mixtures (section 6.1, Performance Specification 2, appendix B, part 60 of this chapter) shall be nitrogen dioxide (NO₂). These gases shall also be used for daily checks under paragraph 3.7 of this appendix as applicable. For sulfur dioxide monitoring systems installed on fossil fuel-fired steam generators or sulfuric acid plants, the pollutant gas used to prepare calibration gas mixtures (section 6.1, Performance Specification 2, appendix B, part 60 of this chapter) shall be sulfur dioxide (SO₂). Span and zero gases should be traceable to National Bureau of Standards reference gases whenever these reference gases are available. Every 6 months from date of manufacture, span and zero gases shall be reanalyzed by conducting triplicate analyses using the reference methods in appendix A, part 60 of this chapter as follows: for SO₂, use Reference Method 6; for nitrogen oxides, use Reference Method 7; and for carbon dioxide or oxygen, use Reference Method 3. The gases may be analyzed at less frequent intervals if longer shelf lives are guaranteed by the manufacturer.

3.4 *Cycling times.* Cycling times include the total time a monitoring system requires to sample, analyze and record an emission measurement.

3.4.1 Continuous monitoring systems for measuring opacity shall complete a minimum of one cycle of operation (sampling, analyzing, and data recording) for each successive 10-second period.

3.4.2 Continuous monitoring systems for measuring oxides of nitrogen, carbon dioxide, oxygen, or sulfur dioxide shall complete a minimum of one cycle of operation (sampling, analyzing, and data recording) for each successive 15-minute period.

3.5 *Monitor location.* State plans shall require all continuous monitoring systems or monitoring devices to be installed such that representative measurements of emissions or process parameters (*i.e.*, oxygen, or carbon dioxide) from the affected facility are obtained. Additional guidance for location of continuous monitoring systems to obtain representative samples are contained in the applicable Performance Specifications of appendix B of part 60 of this chapter.

3.6 *Combined effluents.* When the effluents from two or more affected facilities of similar design and operating characteristics are combined before being released to the atmosphere, the State plan may allow monitoring systems to be installed on the combined effluent. When the affected facilities are not of

similar design and operating characteristics, or when the effluent from one affected facility is released to the atmosphere through more than one point, the State should establish alternate procedures to implement the intent of these requirements.

3.7 *Zero and drift.* State plans shall require owners or operators of all continuous monitoring systems installed in accordance with the requirements of this appendix to record the zero and span drift in accordance with the method prescribed by the manufacturer of such instruments; to subject the instruments to the manufacturer's recommended zero and span check at least once daily unless the manufacturer has recommended adjustments at shorter intervals, in which case such recommendations shall be followed; to adjust the zero and span whenever the 24-hour zero drift or 24-hour calibration drift limits of the applicable performance specifications in appendix B of part 60 are exceeded; and to adjust continuous monitoring systems referenced by paragraph 3.2 of this appendix whenever the 24-hour zero drift or 24-hour calibration drift exceed 10 percent of the emission standard.

3.8 *Span.* Instrument span should be approximately 200 per cent of the expected instrument data display output corresponding to the emission standard for the source.

3.9 *Alternative procedures and requirements.* In cases where States wish to utilize different, but equivalent, procedures and requirements for continuous monitoring systems, the State plan must provide a description of such alternative procedures for approval by the Administrator. Some examples of situations that may require alternatives follow:

3.9.1 Alternative monitoring requirements to accommodate continuous monitoring systems that require corrections for stack moisture conditions (e.g., an instrument measuring steam generator SO₂ emissions on a wet basis could be used with an instrument measuring oxygen concentration on a dry basis if acceptable methods of measuring stack moisture conditions are used to allow accurate adjustments of the measured SO₂ concentration to dry basis.)

3.9.2 Alternative locations for installing continuous monitoring systems or monitoring devices when the owner or operator can demonstrate that installation at alternative locations will enable accurate and representative measurements.

3.9.3 Alternative procedures for performing calibration checks (e.g., some instruments may demonstrate superior drift characteristics that require checking at less frequent intervals).

3.9.4 Alternative monitoring requirements when the effluent from one affected facility or the combined effluent from two or more identical affected facilities is released to the atmosphere through more than one point

(e.g., an extractive, gaseous monitoring system used at several points may be approved if the procedures recommended are suitable for generating accurate emission averages).

3.9.5 Alternative continuous monitoring systems that do not meet the spectral response requirements in Performance Specification 1, appendix B of part 60, but adequately demonstrate a definite and consistent relationship between their measurements and the opacity measurements of a system complying with the requirements in Performance Specification 1. The State may require that such demonstration be performed for each affected facility.

4.0 *Minimum data requirements.* The following paragraphs set forth the minimum data reporting requirements necessary to comply with §51.214(d) and (e).

4.1 The State plan shall require owners or operators of facilities required to install continuous monitoring systems to submit a written report of excess emissions twice per year at 6-month intervals and the nature and cause of the excess emissions, if known. The averaging period used for data reporting should be established by the State to correspond to the averaging period specified in the emission test method used to determine compliance with an emission standard for the pollutant/source category in question. The required report shall include, as a minimum, the data stipulated in this appendix.

4.2 For opacity measurements, the summary shall consist of the magnitude in actual percent opacity of all one-minute (or such other time period deemed appropriate by the State) averages of opacity greater than the opacity standard in the applicable plan for each hour of operation of the facility. Average values may be obtained by integration over the averaging period or by arithmetically averaging a minimum of four equally spaced, instantaneous opacity measurements per minute. Any time period exempted shall be considered before determining the excess averages of opacity (e.g., whenever a regulation allows two minutes of opacity measurements in excess of the standard, the State shall require the source to report all opacity averages, in any one hour, in excess of the standard, minus the two-minute exemption). If more than one opacity standard applies, excess emissions data must be submitted in relation to all such standards.

4.3 For gaseous measurements the summary shall consist of emission averages, in the units of the applicable standard, for each averaging period during which the applicable standard was exceeded.

4.4 The date and time identifying each period during which the continuous monitoring system was inoperative, except for zero and span checks, and the nature of system repairs or adjustments shall be reported. The State may require proof of continuous moni-

toring system performance whenever system repairs or adjustments have been made.

4.5 When no excess emissions have occurred and the continuous monitoring system(s) have not been inoperative, repaired, or adjusted, such information shall be included in the report.

4.6 The State plan shall require owners or operators of affected facilities to maintain a file of all information reported as specified in paragraph 4.1 of this appendix, all other data collected either by the continuous monitoring system or as necessary to convert monitoring data to the units of the applicable standard for a minimum of two years from the date of collection of such data or submission of such summaries.

5.0 *Data Reduction.* The State plan shall require owners or operators of affected facilities to use the following procedures for converting monitoring data to units of the standard where necessary.

5.1 For fossil fuel-fired steam generators the following procedures shall be used to convert gaseous emission monitoring data in parts per million to g/million cal (lb/million BTU) where necessary:

5.1.1 When the owner or operator of a fossil fuel-fired steam generator elects under paragraph 2.1.4 of this appendix to measure oxygen in the flue gases, the measurements of the pollutant concentration and oxygen concentration shall each be on a dry basis and the following conversion procedure used:

$$E = CF [20.9/20.9 - \%O_2]$$

5.1.2 When the owner or operator elects under paragraph 2.1.4 of this appendix to measure carbon dioxide in the flue gases, the measurement of the pollutant concentration and the carbon dioxide concentration shall each be on a consistent basis (wet or dry) and the following conversion procedure used:

$$E = CF_c (100 / \%CO_2)$$

5.1.3 The values used in the equations under paragraph 5.1 are derived as follows:

E = pollutant emission, g/million cal (lb/million BTU),

C = pollutant concentration, g/dscm (lb/dscf), determined by multiplying the average concentration (ppm) for each hourly period by 4.16×10^{-5} M g/dscm per ppm (2.64×10^{-9} M lb/dscf per ppm) where M = pollutant molecular weight, g/g-mole (lb/lb-mole). M = 64 for sulfur dioxide and 46 for oxides of nitrogen.

$\%O_2$, $\%CO_2$ = Oxygen or carbon dioxide volume (expressed as percent) determined with equipment specified under paragraphs 3.1.4 and 3.1.5 of this appendix.

5.2 For sulfuric acid plants the owner or operator shall:

5.2.1 establish a conversion factor three times daily according to the procedures to §60.84(b) of this chapter;

5.2.2 multiply the conversion factor by the average sulfur dioxide concentration in the

flue gases to obtain average sulfur dioxide emissions in Kg/metric ton (lb/short ton); and

5.2.3 report the average sulfur dioxide emission for each averaging period in excess of the applicable emission standard in the reports submitted as specified in paragraph 4.1 of this appendix.

5.3 For nitric acid plants the owner or operator shall:

5.3.1 establish a conversion factor according to the procedures of §60.73(b) of this chapter;

5.3.2 multiply the conversion factor by the average nitrogen oxides concentration in the flue gases to obtain the nitrogen oxides emissions in the units of the applicable standard;

5.3.3 report the average nitrogen oxides emission for each averaging period in excess of the applicable emission standard, in the reports submitted as specified in paragraph 4.1 of this appendix.

5.4 Any State may allow data reporting or reduction procedures varying from those set forth in this appendix if the owner or operator of a source shows to the satisfaction of the State that his procedures are at least as accurate as those in this appendix. Such procedures may include but are not limited to, the following:

5.4.1 Alternative procedures for computing emission averages that do not require integration of data (e.g., some facilities may demonstrate that the variability of their emissions is sufficiently small to allow accurate reduction of data based upon computing averages from equally spaced data points over the averaging period).

5.4.2 Alternative methods of converting pollutant concentration measurements to the units of the emission standards.

6.0 *Special Consideration.* The State plan may provide for approval, on a case-by-case basis, of alternative monitoring requirements different from the provisions of parts 1 through 5 of this appendix if the provisions of this appendix (*i.e.*, the installation of a continuous emission monitoring system) cannot be implemented by a source due to physical plant limitations or extreme economic reasons. To make use of this provision, States must include in their plan specific criteria for determining those physical limitations or extreme economic situations to be considered by the State. In such cases, when the State exempts any source subject to this appendix by use of this provision from installing continuous emission monitoring systems, the State shall set forth alternative emission monitoring and reporting requirements (e.g., periodic manual stack tests) to satisfy the intent of these regulations. Examples of such special cases include, but are not limited to, the following:

6.1 Alternative monitoring requirements may be prescribed when installation of a

continuous monitoring system or monitoring device specified by this appendix would not provide accurate determinations of emissions (e.g., condensed, uncombined water vapor may prevent an accurate determination of opacity using commercially available continuous monitoring systems).

6.2 Alternative monitoring requirements may be prescribed when the affected facility is infrequently operated (e.g., some affected facilities may operate less than one month per year).

6.3 Alternative monitoring requirements may be prescribed when the State determines that the requirements of this appendix would impose an extreme economic burden on the source owner or operator.

6.4 Alternative monitoring requirements may be prescribed when the State determines that monitoring systems prescribed by this appendix cannot be installed due to physical limitations at the facility.

[40 FR 46247, Oct. 6, 1975, as amended at 51 FR 40675, Nov. 7, 1986; 81 FR 59808, Aug. 30, 2016; 85 FR 49600, Aug. 14, 2020]

APPENDIXES Q–R TO PART 51 [RESERVED]

APPENDIX S TO PART 51—EMISSION OFFSET INTERPRETATIVE RULING

I. INTRODUCTION

This appendix sets forth EPA's Interpretative Ruling on the preconstruction review requirements for stationary sources of air pollution (not including indirect sources) under 40 CFR subpart I and section 129 of the Clean Air Act Amendments of 1977, Public Law 95–95, (note under 42 U.S.C. 7502). A major new source or major modification which would locate in any area designated under section 107(d) of the Act as attainment or unclassifiable for ozone that is located in an ozone transport region or which would locate in an area designated in 40 CFR part 81, subpart C, as nonattainment for a pollutant for which the source or modification would be major may be allowed to construct only if the stringent conditions set forth below are met. These conditions are designed to insure that the new source's emissions will be controlled to the greatest degree possible; that more than equivalent offsetting emission reductions (*emission offsets*) will be obtained from existing sources; and that there will be progress toward achievement of the NAAQS.

For each area designated as exceeding a NAAQS (nonattainment area) under 40 CFR part 81, subpart C, or for any area designated under section 107(d) of the Act as attainment or unclassifiable for ozone that is located in an ozone transport region, this Interpretative Ruling will be superseded after June 30, 1979 (a) by preconstruction review provisions

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withheld as CBI and must be made publicly available.

3.2 Paper Plan Submissions

(a) The EPA requires that the submission option of submitting one paper plan must be accompanied by an electronic duplicate of the entire paper submission, preferably as a word searchable portable document format (PDF), at the same time the paper copy is submitted. The electronic duplicate should be made available through email, from a File Transfer Protocol (FTP) site, from the State Web site, on a Universal Serial Bus (USB) flash drive, on a compact disk, or using another format agreed upon by the State and Regional Office.

(b) If a state prefers the submission option of submitting three paper copies and has no means of making an electronic copy available to EPA, EPA requests that the state confer with its EPA Regional Office regarding additional guidelines for submitting the plan to EPA.

[55 FR 5830, Feb. 16, 1990, as amended at 56 FR 42219, Aug. 26, 1991; 56 FR 57288, Nov. 8, 1991; 72 FR 38793, July 16, 2007; 80 FR 7340, Feb. 10, 2015]

APPENDIX W TO PART 51—GUIDELINE ON AIR QUALITY MODELS

PREFACE

a. Industry and control agencies have long expressed a need for consistency in the application of air quality models for regulatory purposes. In the 1977 Clean Air Act (CAA), Congress mandated such consistency and encouraged the standardization of model applications. The *Guideline on Air Quality Models* (hereafter, *Guideline*) was first published in April 1978 to satisfy these requirements by specifying models and providing guidance for their use. The *Guideline* provides a common basis for estimating the air quality concentrations of criteria pollutants used in assessing control strategies and developing emissions limits.

b. The continuing development of new air quality models in response to regulatory requirements and the expanded requirements for models to cover even more complex problems have emphasized the need for periodic review and update of guidance on these techniques. Historically, three primary activities have provided direct input to revisions of the *Guideline*. The first is a series of periodic EPA workshops and modeling conferences conducted for the purpose of ensuring consistency and providing clarification in the application of models. The second activity was the solicitation and review of new models from the technical and user community. In the March 27, 1980, FEDERAL REGISTER, a procedure was outlined for the submittal to the EPA of privately developed models. After

extensive evaluation and scientific review, these models, as well as those made available by the EPA, have been considered for recognition in the *Guideline*. The third activity is the extensive on-going research efforts by the EPA and others in air quality and meteorological modeling.

c. Based primarily on these three activities, new sections and topics have been included as needed. The EPA does not make changes to the guidance on a predetermined schedule, but rather on an as-needed basis. The EPA believes that revisions of the *Guideline* should be timely and responsive to user needs and should involve public participation to the greatest possible extent. All future changes to the guidance will be proposed and finalized in the FEDERAL REGISTER. Information on the current status of modeling guidance can always be obtained from the EPA's Regional Offices.

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Appendix A to Appendix W of Part 51—
Summaries of Preferred Air Quality Models

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8-1	Point Source Model Emission Inputs for SIP Revisions of Inert Pollutants.
8-2	Point Source Model Emission Inputs for NAAQS Compliance in PSD Demonstrations.

1.0 INTRODUCTION

a. The *Guideline* provides air quality modeling techniques that should be applied to State Implementation Plan (SIP) submittals and revisions, to New Source Review (NSR), including new or modifying sources under Prevention of Significant Deterioration (PSD),^{1,2,3} conformity analyses,⁴ and other air quality assessments required under EPA regulation. Applicable only to criteria air pollutants, the *Guideline* is intended for use by the EPA Regional Offices in judging the adequacy of modeling analyses performed by the EPA, by state, local, and tribal permitting authorities, and by industry. It is appropriate for use by other federal government agencies and by state, local, and tribal agencies with air quality and land management responsibilities. The *Guideline* serves to identify, for all interested parties, those modeling techniques and databases that the EPA considers acceptable. The *Guideline* is not intended to be a compendium of modeling techniques. Rather, it should serve as a common measure of acceptable technical analysis when supported by sound scientific judgment.

b. Air quality measurements⁵ are routinely used to characterize ambient concentrations of criteria pollutants throughout the nation but are rarely sufficient for characterizing the ambient impacts of individual sources or demonstrating adequacy of emissions limits for an existing source due to limitations in spatial and temporal coverage of ambient monitoring networks. The impacts of new sources that do not yet exist, and modifications to existing sources that

have yet to be implemented, can only be determined through modeling. Thus, models have become a primary analytical tool in most air quality assessments. Air quality measurements can be used in a complementary manner to air quality models, with due regard for the strengths and weaknesses of both analysis techniques, and are particularly useful in assessing the accuracy of model estimates.

c. It would be advantageous to categorize the various regulatory programs and to apply a designated model to each proposed source needing analysis under a given program. However, the diversity of the nation's topography and climate, and variations in source configurations and operating characteristics dictate against a strict modeling "cookbook." There is no one model capable of properly addressing all conceivable situations even within a broad category such as point sources. Meteorological phenomena associated with threats to air quality standards are rarely amenable to a single mathematical treatment; thus, case-by-case analysis and judgment are frequently required. As modeling efforts become more complex, it is increasingly important that they be directed by highly competent individuals with a broad range of experience and knowledge in air quality meteorology. Further, they should be coordinated closely with specialists in emissions characteristics, air monitoring and data processing. The judgment of experienced meteorologists, atmospheric scientists, and analysts is essential.

d. The model that most accurately estimates concentrations in the area of interest is always sought. However, it is clear from the needs expressed by the EPA Regional Offices, by state, local, and tribal agencies, by many industries and trade associations, and also by the deliberations of Congress, that consistency in the selection and application of models and databases should also be sought, even in case-by-case analyses. Consistency ensures that air quality control agencies and the general public have a common basis for estimating pollutant concentrations, assessing control strategies, and specifying emissions limits. Such consistency is not, however, promoted at the expense of model and database accuracy. The *Guideline* provides a consistent basis for selection of the most accurate models and databases for use in air quality assessments.

e. Recommendations are made in the *Guideline* concerning air quality models and techniques, model evaluation procedures, and model input databases and related requirements. The guidance provided here should be followed in air quality analyses relative to SIPs, NSR, and in supporting analyses required by the EPA and by state, local, and tribal permitting authorities. Specific models are identified for particular applications. The EPA may approve the use of

an alternative model or technique that can be demonstrated to be more appropriate than those recommended in the *Guideline*. In all cases, the model or technique applied to a given situation should be the one that provides the most accurate representation of atmospheric transport, dispersion, and chemical transformations in the area of interest. However, to ensure consistency, deviations from the *Guideline* should be carefully documented as part of the public record and fully supported by the appropriate reviewing authority, as discussed later.

f. From time to time, situations arise requiring clarification of the intent of the guidance on a specific topic. Periodic workshops are held with EPA headquarters, EPA Regional Offices, and state, local, and tribal agency modeling representatives to ensure consistency in modeling guidance and to promote the use of more accurate air quality models, techniques, and databases. The workshops serve to provide further explanations of *Guideline* requirements to the EPA Regional Offices and workshop materials are issued with this clarifying information. In addition, findings from ongoing research programs, new model development, or results from model evaluations and applications are continuously evaluated. Based on this information, changes in the applicable guidance may be indicated and appropriate revisions to the *Guideline* may be considered.

g. All changes to the *Guideline* must follow rulemaking requirements since the *Guideline* is codified in appendix W to 40 Code of Federal Regulations (CFR) part 51. The EPA will promulgate proposed and final rules in the FEDERAL REGISTER to amend this appendix. The EPA utilizes the existing procedures under CAA section 320 that requires the EPA to conduct a Conference on Air Quality Modeling at least every 3 years (CAA 320, 42 U.S.C. 7620). These modeling conferences are intended to develop standardized air quality modeling procedures and form the basis for associated revisions to this *Guideline* in support of the EPA's continuing effort to prescribe with "reasonable particularity" air quality models and meteorological and emission databases suitable for modeling National Ambient Air Quality Standards (NAAQS)⁶ and PSD increments. Ample opportunity for public comment will be provided for each proposed change and public hearings scheduled.

h. A wide range of topics on modeling and databases are discussed in the *Guideline*. Section 2 gives an overview of models and their suitability for use in regulatory applications. Section 3 provides specific guidance on the determination of preferred air quality models and on the selection of alternative models or techniques. Sections 4 through 6 provide recommendations on modeling techniques for assessing criteria pollutant impacts from single and multiple sources with

specific modeling requirements for selected regulatory applications. Section 7 discusses general considerations common to many modeling analyses for stationary and mobile sources. Section 8 makes recommendations for data inputs to models including source, background air quality, and meteorological data. Section 9 summarizes how estimates and measurements of air quality are used in assessing source impact and in evaluating control strategies.

i. Appendix W to 40 CFR part 51 contains an appendix: Appendix A. Thus, when reference is made to "appendix A" in this document, it refers to appendix A to appendix W to 40 CFR part 51. Appendix A contains summaries of refined air quality models that are "preferred" for particular applications; both EPA models and models developed by others are included.

2.0 OVERVIEW OF MODEL USE

a. Increasing reliance has been placed on concentration estimates from air quality models as the primary basis for regulatory decisions concerning source permits and emission control requirements. In many situations, such as review of a proposed new source, no practical alternative exists. Before attempting to implement the guidance contained in this document, the reader should be aware of certain general information concerning air quality models and their evaluation and use. Such information is provided in this section.

2.1 Suitability of Models

a. The extent to which a specific air quality model is suitable for the assessment of source impacts depends upon several factors. These include: (1) The topographic and meteorological complexities of the area; (2) the detail and accuracy of the input databases, *i.e.*, emissions inventory, meteorological data, and air quality data; (3) the manner in which complexities of atmospheric processes are handled in the model; (4) the technical competence of those undertaking such simulation modeling; and (5) the resources available to apply the model. Any of these factors can have a significant influence on the overall model performance, which must be thoroughly evaluated to determine the suitability of an air quality model to a particular application or range of applications.

b. Air quality models are most accurate and reliable in areas that have gradual transitions of land use and topography. Meteorological conditions in these areas are spatially uniform such that observations are broadly representative and air quality model projections are not further complicated by a heterogeneous environment. Areas subject to major topographic influences experience meteorological complexities that are often difficult to measure and simulate. Models with

adequate performance are available for increasingly complex environments. However, they are resource intensive and frequently require site-specific observations and formulations. Such complexities and the related challenges for the air quality simulation should be considered when selecting the most appropriate air quality model for an application.

c. Appropriate model input data should be available before an attempt is made to evaluate or apply an air quality model. Assuming the data are adequate, the greater the detail with which a model considers the spatial and temporal variations in meteorological conditions and permit-enforceable emissions, the greater the ability to evaluate the source impact and to distinguish the effects of various control strategies.

d. There are three types of models that have historically been used in the regulatory demonstrations applicable in the *Guideline*, each having strengths and weaknesses that lend themselves to particular regulatory applications.

i. Gaussian plume models use a "steady-state" approximation, which assumes that over the model time step, the emissions, meteorology and other model inputs, are constant throughout the model domain, resulting in a resolved plume with the emissions distributed throughout the plume according to a Gaussian distribution. This formulation allows Gaussian models to estimate near-field impacts of a limited number of sources at a relatively high resolution, with temporal scales of an hour and spatial scales of meters. However, this formulation allows for only relatively inert pollutants, with very limited considerations of transformation and removal (*e.g.*, deposition), and further limits the domain for which the model may be used. Thus, Gaussian models may not be appropriate if model inputs are changing sharply over the model time step or within the desired model domain, or if more advanced considerations of chemistry are needed.

ii. Lagrangian puff models, on the other hand, are non-steady-state, and assume that model input conditions are changing over the model domain and model time step. Lagrangian models can also be used to determine near- and far-field impacts from a limited number of sources. Traditionally, Lagrangian models have been used for relatively inert pollutants, with slightly more complex considerations of removal than Gaussian models. Some Lagrangian models treat in-plume gas and particulate chemistry. However, these models require time and space varying concentration fields of oxidants and, in the case of fine particulate matter (PM_{2.5}), neutralizing agents, such as ammonia. Reliable background fields are critical for applications involving secondary

pollutant formation because secondary impacts generally occur when in-plume precursors mix and react with species in the background atmosphere.^{27 8} These oxidant and neutralizing agents are not routinely measured, but can be generated with a three-dimensional photochemical grid model.

iii. Photochemical grid models are three-dimensional Eulerian grid-based models that treat chemical and physical processes in each grid cell and use diffusion and transport processes to move chemical species between grid cells.⁹ Eulerian models assume that emissions are spread evenly throughout each model grid cell. At coarse grid resolutions, Eulerian models have difficulty with fine scale resolution of individual plumes. However, these types of models can be appropriately applied for assessment of near-field and regional scale reactive pollutant impacts from specific sources^{7 10 11 12} or all sources.^{13 14 15} Photochemical grid models simulate a more realistic environment for chemical transformation,^{7 12} but simulations can be more resource intensive than Lagrangian or Gaussian plume models.

e. Competent and experienced meteorologists, atmospheric scientists, and analysts are an essential prerequisite to the successful application of air quality models. The need for such specialists is critical when sophisticated models are used or the area has complicated meteorological or topographic features. It is important to note that a model applied improperly or with inappropriate data can lead to serious misjudgments regarding the source impact or the effectiveness of a control strategy.

f. The resource demands generated by use of air quality models vary widely depending on the specific application. The resources required may be important factors in the selection and use of a model or technique for a specific analysis. These resources depend on the nature of the model and its complexity, the detail of the databases, the difficulty of the application, the amount and level of expertise required, and the costs of manpower and computational facilities.

2.1.1 Model Accuracy and Uncertainty

a. The formulation and application of air quality models are accompanied by several sources of uncertainty. "Irreducible" uncertainty stems from the "unknown" conditions, which may not be explicitly accounted for in the model (*e.g.*, the turbulent velocity field). Thus, there are likely to be deviations from the observed concentrations in individual events due to variations in the unknown conditions. "Reducible" uncertainties¹⁶ are caused by: (1) Uncertainties in the "known" input conditions (*e.g.*, emission characteristics and meteorological data); (2) errors in the measured concentrations; and (3) inadequate model physics and formulation.

b. Evaluations of model accuracy should focus on the reducible uncertainty associated with physics and the formulation of the model. The accuracy of the model is normally determined by an evaluation procedure which involves the comparison of model concentration estimates with measured air quality data.¹⁷ The statement of model accuracy is based on statistical tests or performance measures such as bias, error, correlation, etc.^{18 19}

c. Since the 1980's, the EPA has worked with the modeling community to encourage development of standardized model evaluation methods and the development of continually improved methods for the characterization of model performance.^{16 18 20 21 22} There is general consensus on what should be considered in the evaluation of air quality models; namely, quality assurance planning, documentation and scrutiny should be consistent with the intended use and should include:

- Scientific peer review;
- Supportive analyses (diagnostic evaluations, code verification, sensitivity analyses);
- Diagnostic and performance evaluations with data obtained in trial locations; and
- Statistical performance evaluations in the circumstances of the intended applications.

Performance evaluations and diagnostic evaluations assess different qualities of how well a model is performing, and both are needed to establish credibility within the client and scientific community.

d. Performance evaluations allow the EPA and model users to determine the relative performance of a model in comparison with alternative modeling systems. Diagnostic evaluations allow determination of a model capability to simulate individual processes that affect the results, and usually employ smaller spatial/temporal scale data sets (*e.g.*, field studies). Diagnostic evaluations enable the EPA and model users to build confidence that model predictions are accurate for the right reasons. However, the objective comparison of modeled concentrations with observed field data provides only a partial means for assessing model performance. Due to the limited supply of evaluation datasets, there are practical limits in assessing model performance. For this reason, the conclusions reached in the science peer reviews and the supportive analyses have particular relevance in deciding whether a model will be useful for its intended purposes.

2.2 Levels of Sophistication of Air Quality Analyses and Models

a. It is desirable to begin an air quality analysis by using simplified and conservative methods followed, as appropriate, by

more complex and refined methods. The purpose of this approach is to streamline the process and sufficiently address regulatory requirements by eliminating the need of more detailed modeling when it is not necessary in a specific regulatory application. For example, in the context of a PSD permit application, a simplified and conservative analysis may be sufficient where it shows the proposed construction clearly will not cause or contribute to ambient concentrations in excess of either the NAAQS or the PSD increments.^{2,3}

b. There are two general levels of sophistication of air quality models. The first level consists of screening models that provide conservative modeled estimates of the air quality impact of a specific source or source category based on simplified assumptions of the model inputs (*e.g.*, preset, worst-case meteorological conditions). In the case of a PSD assessment, if a screening model indicates that the increase in concentration attributable to the source could cause or contribute to a violation of any NAAQS or PSD increment, then the second level of more sophisticated models should be applied unless appropriate controls or operational restrictions are implemented based on the screening modeling.

c. The second level consists of refined models that provide more detailed treatment of physical and chemical atmospheric processes, require more detailed and precise input data, and provide spatially and temporally resolved concentration estimates. As a result, they provide a more sophisticated and, at least theoretically, a more accurate estimate of source impact and the effectiveness of control strategies.

d. There are situations where a screening model or a refined model is not available such that screening and refined modeling are not viable options to determine source-specific air quality impacts. In such situations, a screening technique or reduced-form model may be viable options for estimating source impacts.

i. Screening techniques are differentiated from a screening model in that screening techniques are approaches that make simplified and conservative assumptions about the physical and chemical atmospheric processes important to determining source impacts, while screening models make assumptions about conservative inputs to a specific model. The complexity of screening techniques ranges from simplified assumptions of chemistry applied to refined or screening model output to sophisticated approximations of the chemistry applied within a refined model.

ii. Reduced-form models are computationally efficient simulation tools for characterizing the pollutant response to specific types of emission reductions for a particular geographic area or background en-

vironmental conditions that reflect underlying atmospheric science of a refined model but reduce the computational resources of running a complex, numerical air quality model such as a photochemical grid model.

In such situations, an attempt should be made to acquire or improve the necessary databases and to develop appropriate analytical techniques, but the screening technique or reduced-form model may be sufficient in conducting regulatory modeling applications when applied in consultation with the EPA Regional Office.

e. Consistent with the general principle described in paragraph 2.2(a), the EPA may establish a demonstration tool or method as a sufficient means for a user or applicant to make a demonstration required by regulation, either by itself or as part of a modeling demonstration. To be used for such regulatory purposes, such a tool or method must be reflected in a codified regulation or have a well-documented technical basis and reasoning that is contained or incorporated in the record of the regulatory decision in which it is applied.

2.3 Availability of Models

a. For most of the screening and refined models discussed in the *Guideline*, codes, associated documentation and other useful information are publicly available for download from the EPA's Support Center for Regulatory Atmospheric Modeling (SCRAM) Web site at <https://www.epa.gov/scramp>. This is a Web site with which air quality modelers should become familiar and regularly visit for important model updates and additional clarifications and revisions to modeling guidance documents that are applicable to EPA programs and regulations. Codes and documentation may also be available from the National Technical Information Service (NTIS), <http://www.ntis.gov>, and, when available, is referenced with the appropriate NTIS accession number.

3.0 PREFERRED AND ALTERNATIVE AIR QUALITY MODELS

a. This section specifies the approach to be taken in determining preferred models for use in regulatory air quality programs. The status of models developed by the EPA, as well as those submitted to the EPA for review and possible inclusion in this *Guideline*, is discussed in this section. The section also provides the criteria and process for obtaining EPA approval for use of alternative models for individual cases in situations where the preferred models are not applicable or available. Additional sources of relevant modeling information are: the EPA's Model Clearinghouse²³ (section 3.3); EPA modeling conferences; periodic Regional, State, and Local Modelers' Workshops; and the EPA's SCRAM Web site (section 2.3).

b. When approval is required for a specific modeling technique or analytical procedure in this *Guideline*, we refer to the “*appropriate reviewing authority*.” Many states and some local agencies administer NSR permitting under programs approved into SIPs. In some EPA regions, federal authority to administer NSR permitting and related activities has been delegated to state or local agencies. In these cases, such agencies “*stand in the shoes*” of the respective EPA Region. Therefore, depending on the circumstances, the appropriate reviewing authority may be an EPA Regional Office, a state, local, or tribal agency, or perhaps the Federal Land Manager (FLM). In some cases, the *Guideline* requires review and approval of the use of an alternative model by the EPA Regional Office (sometimes stated as “*Regional Administrator*”). For all approvals of alternative models or techniques, the EPA Regional Office will coordinate and shall seek concurrence with the EPA’s Model Clearinghouse. If there is any question as to the appropriate reviewing authority, you should contact the EPA Regional Office modeling contact (https://www3.epa.gov/ttn/scram/guidance_cont_regions.htm), whose jurisdiction generally includes the physical location of the source in question and its expected impacts.

c. In all regulatory analyses, early discussions among the EPA Regional Office staff, state, local, and tribal agency staff, industry representatives, and where appropriate, the FLM, are invaluable and are strongly encouraged. Prior to the actual analyses, agreement on the databases to be used, modeling techniques to be applied, and the overall technical approach helps avoid misunderstandings concerning the final results and may reduce the later need for additional analyses. The preparation of a written modeling protocol that is vetted with the appropriate reviewing authority helps to keep misunderstandings and resource expenditures at a minimum.

d. The identification of preferred models in this *Guideline* should not be construed as a determination that the preferred models identified here are to be permanently used to the exclusion of all others or that they are the only models available for relating emissions to air quality. The model that most accurately estimates concentrations in the area of interest is always sought. However, designation of specific preferred models is needed to promote consistency in model selection and application.

3.1 Preferred Models

3.1.1 Discussion

a. The EPA has developed some models suitable for regulatory application, while other models have been submitted by private developers for possible inclusion in the *Guideline*. Refined models that are preferred

and required by the EPA for particular applications have undergone the necessary peer scientific reviews^{24 25} and model performance evaluation exercises^{26 27} that include statistical measures of model performance in comparison with measured air quality data as described in section 2.1.1.

b. An American Society for Testing and Materials (ASTM) reference²⁸ provides a general philosophy for developing and implementing advanced statistical evaluations of atmospheric dispersion models, and provides an example statistical technique to illustrate the application of this philosophy. Consistent with this approach, the EPA has determined and applied a specific evaluation protocol that provides a statistical technique for evaluating model performance for predicting peak concentration values, as might be observed at individual monitoring locations.²⁹

c. When a single model is found to perform better than others, it is recommended for application as a preferred model and listed in appendix A. If no one model is found to clearly perform better through the evaluation exercise, then the preferred model listed in appendix A may be selected on the basis of other factors such as past use, public familiarity, resource requirements, and availability. Accordingly, the models listed in appendix A meet these conditions:

i. The model must be written in a common programming language, and the executable(s) must run on a common computer platform.

ii. The model must be documented in a user’s guide or model formulation report which identifies the mathematics of the model, data requirements and program operating characteristics at a level of detail comparable to that available for other recommended models in appendix A.

iii. The model must be accompanied by a complete test dataset including input parameters and output results. The test data must be packaged with the model in computer-readable form.

iv. The model must be useful to typical users, *e.g.*, state air agencies, for specific air quality control problems. Such users should be able to operate the computer program(s) from available documentation.

v. The model documentation must include a robust comparison with air quality data (and/or tracer measurements) or with other well-established analytical techniques.

vi. The developer must be willing to make the model and source code available to users at reasonable cost or make them available for public access through the Internet or National Technical Information Service. The model and its code cannot be proprietary.

d. The EPA’s process of establishing a preferred model includes a determination of technical merit, in accordance with the above six items, including the practicality of

the model for use in ongoing regulatory programs. Each model will also be subjected to a performance evaluation for an appropriate database and to a peer scientific review. Models that are found to perform better will be proposed for inclusion as preferred models in future *Guideline* revisions.

e. No further evaluation of a preferred model is required for a particular application if the EPA requirements for regulatory use specified for the model in the *Guideline* are followed. Alternative models to those listed in appendix A should generally be compared with measured air quality data when they are used for regulatory applications consistent with recommendations in section 3.2.

3.1.2 REQUIREMENTS

a. Appendix A identifies refined models that are preferred for use in regulatory applications. If a model is required for a particular application, the user must select a model from appendix A or follow procedures in section 3.2.2 for use of an alternative model or technique. Preferred models may be used without a formal demonstration of applicability as long as they are used as indicated in each model summary in appendix A. Further recommendations for the application of preferred models to specific source applications are found in subsequent sections of the *Guideline*.

b. If changes are made to a preferred model without affecting the modeled concentrations, the preferred status of the model is unchanged. Examples of modifications that do not affect concentrations are those made to enable use of a different computer platform or those that only affect the format or averaging time of the model results. The integration of a graphical user interface (GUI) to facilitate setting up the model inputs and/or analyzing the model results without otherwise altering the preferred model code is another example of a modification that does not affect concentrations. However, when any changes are made, the Regional Administrator must require a test case example to demonstrate that the modeled concentrations are not affected.

c. A preferred model must be operated with the options listed in appendix A for its intended regulatory application. If the regulatory options are not applied, the model is no longer "preferred." Any other modification to a preferred model that would result in a change in the concentration estimates likewise alters its status so that it is no longer a preferred model. Use of the modified model must then be justified as an alternative model on a case-by-case basis to the appropriate reviewing authority and approved by the Regional Administrator.

d. Where the EPA has not identified a preferred model for a particular pollutant or situation, the EPA may establish a multi-

tiered approach for making a demonstration required under PSD or another CAA program. The initial tier or tiers may involve use of demonstration tools, screening models, screening techniques, or reduced-form models; while the last tier may involve the use of demonstration tools, refined models or techniques, or alternative models approved under section 3.2.

3.2 Alternative Models

3.2.1 Discussion

a. Selection of the best model or techniques for each individual air quality analysis is always encouraged, but the selection should be done in a consistent manner. A simple listing of models in this *Guideline* cannot alone achieve that consistency nor can it necessarily provide the best model for all possible situations. As discussed in section 3.1.1, the EPA has determined and applied a specific evaluation protocol that provides a statistical technique for evaluating model performance for predicting peak concentration values, as might be observed at individual monitoring locations.²⁹ This protocol is available to assist in developing a consistent approach when justifying the use of other-than-preferred models recommended in the *Guideline* (*i.e.*, alternative models). The procedures in this protocol provide a general framework for objective decision-making on the acceptability of an alternative model for a given regulatory application. These objective procedures may be used for conducting both the technical evaluation of the model and the field test or performance evaluation.

b. This subsection discusses the use of alternate models and defines three situations when alternative models may be used. This subsection also provides a procedure for implementing 40 CFR 51.166(1)(2) in PSD permitting. This provision requires written approval of the Administrator for any modification or substitution of an applicable model. An applicable model for purposes of 40 CFR 51.166(1) is a preferred model in appendix A to the *Guideline*. Approval to use an alternative model under section 3.2 of the *Guideline* qualifies as approval for the modification or substitution of a model under 40 CFR 51.166(1)(2). The Regional Administrators have delegated authority to issue such approvals under section 3.2 of the *Guideline*, provided that such approval is issued after consultation with the EPA's Model Clearinghouse and formally documented in a concurrence memorandum from the EPA's Model Clearinghouse which demonstrates that the requirements within section 3.2 for use of an alternative model have been met.

3.2.2 Requirements

a. Determination of acceptability of an alternative model is an EPA Regional Office responsibility in consultation with the EPA's Model Clearinghouse as discussed in paragraphs 3.0(b) and 3.2.1(b). Where the Regional Administrator finds that an alternative model is more appropriate than a preferred model, that model may be used subject to the approval of the EPA Regional Office based on the requirements of this subsection. This finding will normally result from a determination that: (1) A preferred air quality model is not appropriate for the particular application; or (2) a more appropriate model or technique is available and applicable.

b. An alternative model shall be evaluated from both a theoretical and a performance perspective before it is selected for use. There are three separate conditions under which such a model may be approved for use:

1. If a demonstration can be made that the model produces concentration estimates equivalent to the estimates obtained using a preferred model;
2. If a statistical performance evaluation has been conducted using measured air quality data and the results of that evaluation indicate the alternative model performs better for the given application than a comparable model in appendix A; or
3. If there is no preferred model.

Any one of these three separate conditions may justify use of an alternative model. Some known alternative models that are applicable for selected situations are listed on the EPA's SCRAM Web site (section 2.3). However, inclusion there does not confer any unique status relative to other alternative models that are being or will be developed in the future.

c. Equivalency, condition (1) in paragraph (b) of this subsection, is established by demonstrating that the appropriate regulatory metric(s) are within ± 2 percent of the estimates obtained from the preferred model. The option to show equivalency is intended as a simple demonstration of acceptability for an alternative model that is nearly identical (or contains options that can make it identical) to a preferred model that it can be treated for practical purposes as the preferred model. However, notwithstanding this demonstration, models that are not equivalent may be used when one of the two other conditions described in paragraphs (d) and (e) of this subsection are satisfied.

d. For condition (2) in paragraph (b) of this subsection, established statistical performance evaluation procedures and techniques^{28 29} for determining the acceptability of a model for an individual case based on superior performance should be followed, as appropriate. Preparation and implementation of an evaluation protocol that is acceptable

to both control agencies and regulated industry is an important element in such an evaluation.

e. Finally, for condition (3) in paragraph (b) of this subsection, an alternative model or technique may be approved for use provided that:

- i. The model or technique has received a scientific peer review;
- ii. The model or technique can be demonstrated to be applicable to the problem on a theoretical basis;
- iii. The databases which are necessary to perform the analysis are available and adequate;
- iv. Appropriate performance evaluations of the model or technique have shown that the model or technique is not inappropriately biased for regulatory application^a; and
- v. A protocol on methods and procedures to be followed has been established.

f. To formally document that the requirements of section 3.2 for use of an alternative model are satisfied for a particular application or range of applications, a memorandum will be prepared by the EPA's Model Clearinghouse through a consultative process with the EPA Regional Office.

3.3 EPA's Model Clearinghouse

a. The Regional Administrator has the authority to select models that are appropriate for use in a given situation. However, there is a need for assistance and guidance in the selection process so that fairness, consistency, and transparency in modeling decisions are fostered among the EPA Regional Offices and the state, local, and tribal agencies. To satisfy that need, the EPA established the Model Clearinghouse²³ to serve a central role of coordination and collaboration between EPA headquarters and the EPA Regional Offices. Additionally, the EPA holds periodic workshops with EPA Headquarters, EPA Regional Offices, and state, local, and tribal agency modeling representatives.

b. The appropriate EPA Regional Office should always be consulted for information and guidance concerning modeling methods and interpretations of modeling guidance, and to ensure that the air quality model user has available the latest most up-to-date policy and procedures. As appropriate, the EPA Regional Office may also request assistance from the EPA's Model Clearinghouse on other applications of models, analytical

^aFor PSD and other applications that use the model results in an absolute sense, the model should not be biased toward underestimates. Alternatively, for ozone and PM_{2.5} SIP attainment demonstrations and other applications that use the model results in a relative sense, the model should not be biased toward overestimates.

techniques, or databases or to clarify interpretation of the *Guideline* or related modeling guidance.

c. The EPA Regional Office will coordinate with the EPA's Model Clearinghouse after an initial evaluation and decision has been developed concerning the application of an alternative model. The acceptability and formal approval process for an alternative model is described in section 3.2.

4.0 MODELS FOR CARBON MONOXIDE, LEAD, SULFUR DIOXIDE, NITROGEN DIOXIDE AND PRIMARY PARTICULATE MATTER

4.1 Discussion

a. This section identifies modeling approaches generally used in the air quality impact analysis of sources that emit the criteria pollutants carbon monoxide (CO), lead, sulfur dioxide (SO₂), nitrogen dioxide (NO₂), and primary particulates (PM_{2.5} and PM₁₀).

b. The guidance in this section is specific to the application of the Gaussian plume models identified in appendix A. Gaussian plume models assume that emissions and meteorology are in a steady-state, which is typically based on an hourly time step. This approach results in a plume that has an hourly-averaged distribution of emission mass according to a Gaussian curve through the plume. Though Gaussian steady-state models conserve the mass of the primary pollutant throughout the plume, they can still take into account a limited consideration of first-order removal processes (*e.g.*, wet and dry deposition) and limited chemical conversion (*e.g.*, OH oxidation).

c. Due to the steady-state assumption, Gaussian plume models are generally considered applicable to distances less than 50 km, beyond which, modeled predictions of plume impact are likely conservative. The locations of these impacts are expected to be unreliable due to changes in meteorology that are likely to occur during the travel time.

d. The applicability of Gaussian plume models may vary depending on the topography of the modeling domain, *i.e.*, simple or complex. Simple terrain is considered to be an area where terrain features are all lower in elevation than the top of the stack(s) of the source(s) in question. Complex terrain is defined as terrain exceeding the height of the stack(s) being modeled.

e. Gaussian models determine source impacts at discrete locations (receptors) for each meteorological and emission scenario, and generally attempt to estimate concentrations at specific sites that represent an ensemble average of numerous repetitions of the same "event." Uncertainties in model estimates are driven by this formulation, and as noted in section 2.1.1, evaluations of model accuracy should focus on the reducible uncertainty associated with physics and the formulation of the model. The "irre-

ducible" uncertainty associated with Gaussian plume models may be responsible for variation in concentrations of as much as ± 50 percent.³⁰ "Reducible" uncertainties¹⁶ can be on a similar scale. For example, Pasquill³¹ estimates that, apart from data input errors, maximum ground-level concentrations at a given hour for a point source in flat terrain could be in error by 50 percent due to these uncertainties. Errors of 5 to 10 degrees in the measured wind direction can result in concentration errors of 20 to 70 percent for a particular time and location, depending on stability and station location. Such uncertainties do not indicate that an estimated concentration does not occur, only that the precise time and locations are in doubt. Composite errors in highest estimated concentrations of 10 to 40 percent are found to be typical.³²⁻³³ However, estimates of concentrations paired in time and space with observed concentrations are less certain.

f. Model evaluations and inter-comparisons should take these aspects of uncertainty into account. For a regulatory application of a model, the emphasis of model evaluations is generally placed on the highest modeled impacts. Thus, the Cox-Tikvart model evaluation approach, which compares the highest modeled impacts on several timescales, is recommended for comparisons of models and measurements and model inter-comparisons. The approach includes bootstrap techniques to determine the significance of various modeled predictions and increases the robustness of such comparisons when the number of available measurements are limited.³⁴⁻³⁵ Because of the uncertainty in paired modeled and observed concentrations, any attempts at calibration of models based on these comparisons is of questionable benefit and shall not be done.

4.2 Requirements

a. For NAAQS compliance demonstrations under PSD, use of the screening and preferred models for the pollutants listed in this subsection shall be limited to the near-field at a nominal distance of 50 km or less. Near-field application is consistent with capabilities of Gaussian plume models and, based on the EPA's assessment, is sufficient to address whether a source will cause or contribute to ambient concentrations in excess of a NAAQS. In most cases, maximum source impacts of inert pollutants will occur within the first 10 to 20 km from the source. Therefore, the EPA does not consider a long-range transport assessment beyond 50 km necessary for these pollutants if a near-field NAAQS compliance demonstration is required.³⁶

b. For assessment of PSD increments within the near-field distance of 50 km or less, use of the screening and preferred models for

the pollutants listed in this subsection shall be limited to the same screening and preferred models approved for NAAQS compliance demonstrations.

c. To determine if a compliance demonstration for NAAQS and/or PSD increments may be necessary beyond 50 km (*i.e.*, long-range transport assessment), the following screening approach shall be used to determine if a significant ambient impact will occur with particular focus on Class I areas and/or the applicable receptors that may be threatened at such distances.

i. Based on application in the near-field of the appropriate screening and/or preferred model, determine the significance of the ambient impacts at or about 50 km from the new or modifying source. If a near-field assessment is not available or this initial analysis indicates there may be significant ambient impacts at that distance, then further assessment is necessary.

ii. For assessment of the significance of ambient impacts for NAAQS and/or PSD increments, there is not a preferred model or screening approach for distances beyond 50 km. Thus, the appropriate reviewing authority (paragraph 3.0(b)) and the EPA Regional Office shall be consulted in determining the appropriate and agreed upon screening technique to conduct the second level assessment. Typically, a Lagrangian model is most appropriate to use for these second level assessments, but applicants shall reach agreement on the specific model and modeling parameters on a case-by-case basis in consultation with the appropriate reviewing authority (paragraph 3.0(b)) and EPA Regional Office. When Lagrangian models are used in this manner, they shall not include plume-depleting processes, such that model estimates are considered conservative, as is generally appropriate for screening assessments.

d. In those situations where a cumulative impact analysis for NAAQS and/or PSD increments analysis beyond 50 km is necessary, the selection and use of an alternative model shall occur in agreement with the appropriate reviewing authority (paragraph 3.0(b)) and approval by the EPA Regional Office based on the requirements of paragraph 3.2.2(e).

4.2.1 Screening Models and Techniques

a. Where a preliminary or conservative estimate is desired, point source screening techniques are an acceptable approach to air quality analyses.

b. As discussed in paragraph 2.2(a), screening models or techniques are designed to provide a conservative estimate of concentrations. The screening models used in most applications are the screening versions of the preferred models for refined applications. The two screening models, AERSCREEN^{37,38} and CTSCREEN, are screening versions of AERMOD (American Meteorological Society

(AMS)/EPA Regulatory Model) and CTDMPPLUS (Complex Terrain Dispersion Model Plus Algorithms for Unstable Situations), respectively. AERSCREEN is the recommended screening model for most applications in all types of terrain and for applications involving building downwash. For those applications in complex terrain where the application involves a well-defined hill or ridge, CTSCREEN³⁹ can be used.

c. Although AERSCREEN and CTSCREEN are designed to address a single-source scenario, there are approaches that can be used on a case-by-case basis to address multi-source situations using screening meteorology or other conservative model assumptions. However, the appropriate reviewing authority (paragraph 3.0(b)) shall be consulted, and concurrence obtained, on the protocol for modeling multiple sources with AERSCREEN or CTSCREEN to ensure that the worst case is identified and assessed.

d. As discussed in section 4.2.3.4, there are also screening techniques built into AERMOD that use simplified or limited chemistry assumptions for determining the partitioning of NO and NO₂ for NO₂ modeling. These screening techniques are part of the EPA's preferred modeling approach for NO₂ and do not need to be approved as an alternative model. However, as with other screening models and techniques, their usage shall occur in agreement with the appropriate reviewing authority (paragraph 3.0(b)).

e. As discussed in section 4.2(c)(ii), there are screening techniques needed for long-range transport assessments that will typically involve the use of a Lagrangian model. Based on the long-standing practice and documented capabilities of these models for long-range transport assessments, the use of a Lagrangian model as a screening technique for this purpose does not need to be approved as an alternative model. However, their usage shall occur in consultation with the appropriate reviewing authority (paragraph 3.0(b)) and EPA Regional Office.

f. All screening models and techniques shall be configured to appropriately address the site and problem at hand. Close attention must be paid to whether the area should be classified urban or rural in accordance with section 7.2.1.1. The climatology of the area must be studied to help define the worst-case meteorological conditions. Agreement shall be reached between the model user and the appropriate reviewing authority (paragraph 3.0(b)) on the choice of the screening model or technique for each analysis, on the input data and model settings, and the appropriate metric for satisfying regulatory requirements.

4.2.1.1 AERSCREEN

a. Released in 2011, AERSCREEN is the EPA's recommended screening model for simple and complex terrain for single

sources including point sources, area sources, horizontal stacks, capped stacks, and flares. AERSCREEN runs AERMOD in a screening mode and consists of two main components: 1) the MAKEMET program which generates a site-specific matrix of meteorological conditions for input to the AERMOD model; and 2) the AERSCREEN command-prompt interface.

b. The MAKEMET program generates a matrix of meteorological conditions, in the form of AERMOD-ready surface and profile files, based on user-specified surface characteristics, ambient temperatures, minimum wind speed, and anemometer height. The meteorological matrix is generated based on looping through a range of wind speeds, cloud covers, ambient temperatures, solar elevation angles, and convective velocity scales (w^* , for convective conditions only) based on user-specified surface characteristics for surface roughness (Z_o), Bowen ratio (B_o), and albedo (r). For unstable cases, the convective mixing height (Z_{ic}) is calculated based on w^* , and the mechanical mixing height (Z_{im}) is calculated for unstable and stable conditions based on the friction velocity, u^* .

c. For applications involving simple or complex terrain, AERSCREEN interfaces with AERMAP. AERSCREEN also interfaces with BPIPFRM to provide the necessary building parameters for applications involving building downwash using the Plume Rise Model Enhancements (PRIME) downwash algorithm. AERSCREEN generates inputs to AERMOD via MAKEMET, AERMAP, and BPIPFRM and invokes AERMOD in a screening mode. The screening mode of AERMOD forces the AERMOD model calculations to represent values for the plume centerline, regardless of the source-receptor-wind direction orientation. The maximum concentration output from AERSCREEN represents a worst-case 1-hour concentration. Averaging-time scaling factors of 1.0 for 3-hour, 0.9 for 8-hour, 0.60 for 24-hour, and 0.10 for annual concentration averages are applied internally by AERSCREEN to the highest 1-hour concentration calculated by the model for non-area type sources. For area type source concentrations for averaging times greater than one hour, the concentrations are equal to the 1-hour estimates.^{37 40}

4.2.1.2 CTSCREEN

a. CTSCREEN^{39 41} can be used to obtain conservative, yet realistic, worst-case estimates for receptors located on terrain above stack height. CTSCREEN accounts for the three-dimensional nature of plume and terrain interaction and requires detailed terrain data representative of the modeling domain. The terrain data must be digitized in the same manner as for CTDMPLUS and a terrain processor is available.⁴² CTSCREEN is

designed to execute a fixed matrix of meteorological values for wind speed (u), standard deviation of horizontal and vertical wind speeds (σ_v , σ_w), vertical potential temperature gradient ($d\theta/dz$), friction velocity (u^*), Monin-Obukhov length (L), mixing height (Z_m) as a function of terrain height, and wind directions for both neutral/stable conditions and unstable convective conditions. The maximum concentration output from CTSCREEN represents a worst-case 1-hour concentration. Time-scaling factors of 0.7 for 3-hour, 0.15 for 24-hour and 0.03 for annual concentration averages are applied internally by CTSCREEN to the highest 1-hour concentration calculated by the model.

4.2.1.3 Screening in Complex Terrain

a. For applications utilizing AERSCREEN, AERSCREEN automatically generates a polar-grid receptor network with spacing determined by the maximum distance to model. If the application warrants a different receptor network than that generated by AERSCREEN, it may be necessary to run AERMOD in screening mode with a user-defined network. For CTSCREEN applications or AERMOD in screening mode outside of AERSCREEN, placement of receptors requires very careful attention when modeling in complex terrain. Often the highest concentrations are predicted to occur under very stable conditions, when the plume is near or impinges on the terrain. Under such conditions, the plume may be quite narrow in the vertical, so that even relatively small changes in a receptor's location may substantially affect the predicted concentration. Receptors within about a kilometer of the source may be even more sensitive to location. Thus, a dense array of receptors may be required in some cases.

b. For applications involving AERSCREEN, AERSCREEN interfaces with AERMAP to generate the receptor elevations. For applications involving CTSCREEN, digitized contour data must be preprocessed⁴² to provide hill shape parameters in suitable input format. The user then supplies receptor locations either through an interactive program that is part of the model or directly, by using a text editor; using both methods to select receptor locations will generally be necessary to assure that the maximum concentrations are estimated by either model. In cases where a terrain feature may "appear to the plume" as smaller, multiple hills, it may be necessary to model the terrain both as a single feature and as multiple hills to determine design concentrations.

c. Other screening techniques may be acceptable for complex terrain cases where established procedures⁴³ are used. The user is encouraged to confer with the appropriate reviewing authority (paragraph 3.0(b)) if any

unforeseen problems are encountered, *e.g.*, applicability, meteorological data, receptor siting, or terrain contour processing issues.

4.2.2 Refined Models

a. A brief description of each preferred model for refined applications is found in appendix A. Also listed in that appendix are availability, the model input requirements, the standard options that shall be selected when running the program, and output options.

4.2.2.1 AERMOD

a. For a wide range of regulatory applications in all types of terrain, and for aerodynamic building downwash, the required model is AERMOD.^{44 45} The AERMOD regulatory modeling system consists of the AERMOD dispersion model, the AERMET meteorological processor, and the AERMAP terrain processor. AERMOD is a steady-state Gaussian plume model applicable to directly emitted air pollutants that employs best state-of-practice parameterizations for characterizing the meteorological influences and dispersion. Differentiation of simple versus complex terrain is unnecessary with AERMOD. In complex terrain, AERMOD employs the well-known dividing-streamline concept in a simplified simulation of the effects of plume-terrain interactions.

b. The AERMOD modeling system has been extensively evaluated across a wide range of scenarios based on numerous field studies, including tall stacks in flat and complex terrain settings, sources subject to building downwash influences, and low-level non-buoyant sources.²⁷ These evaluations included several long-term field studies associated with operating plants as well as several intensive tracer studies. Based on these evaluations, AERMOD has shown consistently good performance, with “errors” in predicted versus observed peak concentrations, based on the Robust Highest Concentration (RHC) metric, consistently within the range of 10 to 40 percent (cited in paragraph 4.1(e)).

c. AERMOD incorporates the PRIME algorithm to account for enhanced plume growth and restricted plume rise for plumes affected by building wake effects.⁴⁶ The PRIME algorithm accounts for entrainment of plume mass into the cavity recirculation region, including re-entrainment of plume mass into the wake region beyond the cavity.

d. AERMOD incorporates the Buoyant Line and Point Source (BLP) Dispersion model to account for buoyant plume rise from line sources. The BLP option utilizes the standard meteorological inputs provided by the AERMET meteorological processor.

e. The state-of-the-science for modeling atmospheric deposition is evolving, new modeling techniques are continually being assessed, and their results are being compared

with observations. Consequently, while deposition treatment is available in AERMOD, the approach taken for any purpose shall be coordinated with the appropriate reviewing authority (paragraph 3.0(b)).

4.2.2.2 CTDMPPLUS

a. If the modeling application involves an elevated point source with a well-defined hill or ridge and a detailed dispersion analysis of the spatial pattern of plume impacts is of interest, CTDMPPLUS is available. CTDMPPLUS provides greater resolution of concentrations about the contour of the hill feature than does AERMOD through a different plume-terrain interaction algorithm.

4.2.2.3 OCD

a. If the modeling application involves determining the impact of offshore emissions from point, area, or line sources on the air quality of coastal regions, the recommended model is the OCD (Offshore and Coastal Dispersion) Model. OCD is a straight-line Gaussian model that incorporates overwater plume transport and dispersion as well as changes that occur as the plume crosses the shoreline. OCD is also applicable for situations that involve platform building downwash.

4.2.3 Pollutant Specific Modeling Requirements

4.2.3.1 Models for Carbon Monoxide

a. Models for assessing the impact of CO emissions are needed to meet NSR requirements to address compliance with the CO NAAQS and to determine localized impacts from transportation projects. Examples include evaluating effects of point sources, congested roadway intersections and highways, as well as the cumulative effect of numerous sources of CO in an urban area.

b. The general modeling recommendations and requirements for screening models in section 4.2.1 and refined models in section 4.2.2 shall be applied for CO modeling. Given the relatively low CO background concentrations, screening techniques are likely to be adequate in most cases. In applying these recommendations and requirements, the existing 1992 EPA guidance for screening CO impacts from highways may be consulted.⁴⁷

4.2.3.2 Models for Lead

a. In January 1999 (40 CFR part 58, appendix D), the EPA gave notice that concern about ambient lead impacts was being shifted away from roadways and toward a focus on stationary point sources. Thus, models for assessing the impact of lead emissions are needed to meet NSR requirements to address compliance with the lead NAAQS and for SIP attainment demonstrations. The

EPA has also issued guidance on siting ambient monitors in the vicinity of stationary point sources.⁴⁸ For lead, the SIP should contain an air quality analysis to determine the maximum rolling 3-month average lead concentration resulting from major lead point sources, such as smelters, gasoline additive plants, etc. The EPA has developed a post-processor to calculate rolling 3-month average concentrations from model output.⁴⁹ General guidance for lead SIP development is also available.⁵⁰

b. For major lead point sources, such as smelters, which contribute fugitive emissions and for which deposition is important, professional judgment should be used, and there shall be coordination with the appropriate reviewing authority (paragraph 3.0(b)). For most applications, the general requirements for screening and refined models of section 4.2.1 and 4.2.2 are applicable to lead modeling.

4.2.3.3 Models for Sulfur Dioxide

a. Models for SO₂ are needed to meet NSR requirements to address compliance with the SO₂ NAAQS and PSD increments, for SIP attainment demonstrations,⁵¹ and for characterizing current air quality via modeling.⁵² SO₂ is one of a group of highly reactive gases known as “oxides of sulfur” with largest emissions sources being fossil fuel combustion at power plants and other industrial facilities.

b. Given the relatively inert nature of SO₂ on the short-term time scales of interest (*i.e.*, 1-hour) and the sources of SO₂ (*i.e.*, stationary point sources), the general modeling requirements for screening models in section 4.2.1 and refined models in section 4.2.2 are applicable for SO₂ modeling applications. For urban areas, AERMOD automatically invokes a half-life of 4 hours⁵³ to SO₂. Therefore, care must be taken when determining whether a source is urban or rural (*see* section 7.2.1.1 for urban/rural determination methodology).

4.2.3.4 Models for Nitrogen Dioxide

a. Models for assessing the impact of sources on ambient NO₂ concentrations are needed to meet NSR requirements to address compliance with the NO₂ NAAQS and PSD increments. Impact of an individual source on ambient NO₂ depends, in part, on the chemical environment into which the source's plume is to be emitted. This is due to the fact that NO₂ sources co-emit NO along with NO₂ and any emitted NO may react with ambient ozone to convert to additional NO₂ downwind. Thus, comprehensive modeling of NO₂ would need to consider the ratio of emitted NO and NO₂, the ambient levels of ozone and subsequent reactions between ozone and NO, and the photolysis of NO₂ to NO.

b. Due to the complexity of NO₂ modeling, a multi-tiered screening approach is required to obtain hourly and annual average estimates of NO₂.⁵⁴ Since these methods are considered screening techniques, their usage shall occur in agreement with the appropriate reviewing authority (paragraph 3.0(b)). Additionally, since screening techniques are conservative by their nature, there are limitations to how these options can be used. Specifically, modeling of negative emissions rates should only be done after consultation with the EPA Regional Office to ensure that decreases in concentrations would not be overestimated. Each tiered approach (*see* Figure 4-1) accounts for increasingly complex considerations of NO₂ chemistry and is described in paragraphs c through e of this subsection. The tiers of NO₂ modeling include:

i. A first-tier (most conservative) “full” conversion approach;

ii. A second-tier approach that assumes ambient equilibrium between NO and NO₂; and

iii. A third-tier consisting of several detailed screening techniques that account for ambient ozone and the relative amount of NO and NO₂ emitted from a source.

c. For Tier 1, use an appropriate refined model (section 4.2.2) to estimate nitrogen oxides (NO_x) concentrations and assume a total conversion of NO to NO₂.

d. For Tier 2, multiply the Tier 1 result(s) by the Ambient Ratio Method 2 (ARM2), which provides estimates of representative equilibrium ratios of NO₂/NO_x value based ambient levels of NO₂ and NO_x derived from national data from the EPA's Air Quality System (AQS).⁵⁵ The national default for ARM2 includes a minimum ambient NO₂/NO_x ratio of 0.5 and a maximum ambient ratio of 0.9. The reviewing agency may establish alternative minimum ambient NO₂/NO_x values based on the source's in-stack emissions ratios, with alternative minimum ambient ratios reflecting the source's in-stack NO₂/NO_x ratios. Preferably, alternative minimum ambient NO₂/NO_x ratios should be based on source-specific data which satisfies all quality assurance procedures that ensure data accuracy for both NO₂ and NO_x within the typical range of measured values. However, alternate information may be used to justify a source's anticipated NO₂/NO_x in-stack ratios, such as manufacturer test data, state or local agency guidance, peer-reviewed literature, and/or the EPA's NO₂/NO_x ratio database.

e. For Tier 3, a detailed screening technique shall be applied on a case-by-case basis. Because of the additional input data requirements and complexities associated with the Tier 3 options, their usage shall occur in consultation with the EPA Regional Office in addition to the appropriate reviewing authority. The Ozone Limiting Method

(OLM)⁵⁶ and the Plume Volume Molar Ratio Method (PVMRM)⁵⁷ are two detailed screening techniques that may be used for most sources. These two techniques use an appropriate section 4.2.2 model to estimate NO_x concentrations and then estimate the conversion of primary NO emissions to NO₂ based on the ambient levels of ozone and the plume characteristics. OLM only accounts for NO₂ formation based on the ambient levels of ozone while PVMRM also accommodates distance-dependent conversion ratios based on ambient ozone. Both PVMRM and OLM require that ambient ozone concentrations be provided on an hourly basis and explicit specification of the NO₂/NO_x in-stack ratios. PVMRM works best for relatively iso-

lated and elevated point source modeling while OLM works best for large groups of sources, area sources, and near-surface releases, including roadway sources.

f. Alternative models or techniques may be considered on a case-by-case basis and their usage shall be approved by the EPA Regional Office (section 3.2). Such models or techniques should consider individual quantities of NO and NO₂ emissions, atmospheric transport and dispersion, and atmospheric transformation of NO to NO₂. Dispersion models that account for more explicit photochemistry may also be considered as an alternative model to estimate ambient impacts of NO_x sources.

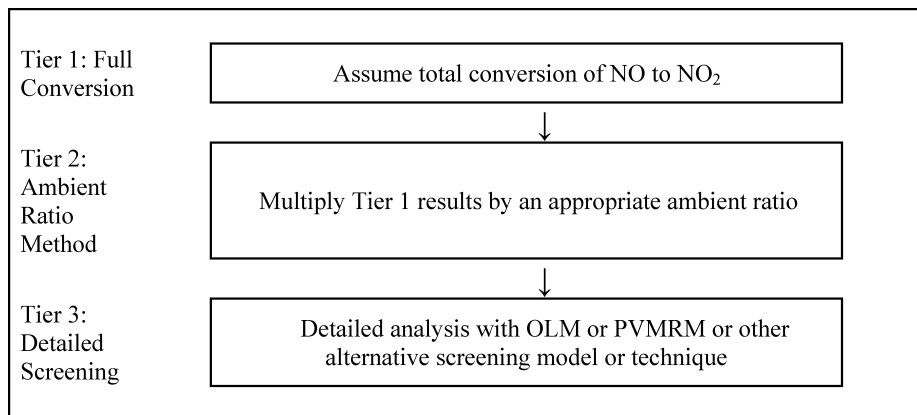


Figure 4-1: Multi-tiered Approach for Estimating NO₂ Concentrations

4.2.3.5 Models for PM_{2.5}

a. PM_{2.5} is a mixture consisting of several diverse components.⁵⁸ Ambient PM_{2.5} generally consists of two components: (1) The primary component, emitted directly from a source; and (2) the secondary component, formed in the atmosphere from other pollutants emitted from the source. Models for PM_{2.5} are needed to meet NSR requirements to address compliance with the PM_{2.5} NAAQS and PSD increments and for SIP attainment demonstrations.

b. For NSR modeling assessments, the general modeling requirements for screening models in section 4.2.1 and refined models in section 4.2.2 are applicable for the primary component of PM_{2.5}, while the methods in section 5.4 are applicable for addressing the secondary component of PM_{2.5}. Guidance for PSD assessments is available for determining the best approach to handling sources of primary and secondary PM_{2.5}.⁵⁹

c. For SIP attainment demonstrations and regional haze reasonable progress goal analyses, effects of a control strategy on PM_{2.5} are estimated from the sum of the effects on the primary and secondary components composing PM_{2.5}. Model users should refer to section 5.4.1 and associated SIP modeling guidance⁶⁰ for further details concerning appropriate modeling approaches.

d. The general modeling requirements for the refined models discussed in section 4.2.2 shall be applied for PM_{2.5} hot-spot modeling for mobile sources. Specific guidance is available for analyzing direct PM_{2.5} impacts from highways, terminals, and other transportation projects.⁶¹

4.2.3.6 Models for PM₁₀

a. Models for PM₁₀ are needed to meet NSR requirements to address compliance with the PM₁₀ NAAQS and PSD increments and for SIP attainment demonstrations.

b. For most sources, the general modeling requirements for screening models in section 4.2.1 and refined models in section 4.2.2 shall be applied for PM₁₀ modeling. In cases where the particle size and its effect on ambient concentrations need to be considered, particle deposition may be used on a case-by-case basis and their usage shall be coordinated with the appropriate reviewing authority. A SIP development guide⁶² is also available to assist in PM₁₀ analyses and control strategy development.

c. Fugitive dust usually refers to dust put into the atmosphere by the wind blowing over plowed fields, dirt roads, or desert or sandy areas with little or no vegetation. Fugitive emissions include the emissions resulting from the industrial process that are not captured and vented through a stack, but may be released from various locations within the complex. In some unique cases, a model developed specifically for the situation may be needed. Due to the difficult nature of characterizing and modeling fugitive dust and fugitive emissions, the proposed procedure shall be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)) for each specific situation before the modeling exercise is begun. Re-entrained dust is created by vehicles driving over dirt roads (*e.g.*, haul roads) and dust-covered roads typically found in arid areas. Such sources can be characterized as line, area or volume sources.⁶¹ ⁶³ Emission rates may be based on site-specific data or values from the general literature.

d. Under certain conditions, recommended dispersion models may not be suitable to appropriately address the nature of ambient PM₁₀. In these circumstances, the alternative modeling approach shall be approved by the EPA Regional Office (section 3.2).

e. The general modeling requirements for the refined models discussed in section 4.2.2 shall be applied for PM₁₀ hot-spot modeling for mobile sources. Specific guidance is available for analyzing direct PM₁₀ impacts from highways, terminals, and other transportation projects.⁶¹

5.0 MODELS FOR OZONE AND SECONDARILY FORMED PARTICULATE MATTER

5.1 Discussion

a. Air pollutants formed through chemical reactions in the atmosphere are referred to as secondary pollutants. For example, ground-level ozone and a portion of PM_{2.5} are secondary pollutants formed through photochemical reactions. Ozone and secondarily formed particulate matter are closely related to each other in that they share common sources of emissions and are formed in the atmosphere from chemical reactions with similar precursors.

b. Ozone formation is driven by emissions of NO_x and volatile organic compounds

(VOCs). Ozone formation is a complicated nonlinear process that requires favorable meteorological conditions in addition to VOC and NO_x emissions. Sometimes complex terrain features also contribute to the build-up of precursors and subsequent ozone formation or destruction.

c. PM_{2.5} can be either primary (*i.e.*, emitted directly from sources) or secondary in nature. The fraction of PM_{2.5} which is primary versus secondary varies by location and season. In the United States, PM_{2.5} is dominated by a variety of chemical species or components of atmospheric particles, such as ammonium sulfate, ammonium nitrate, organic carbon mass, elemental carbon, and other soil compounds and oxidized metals. PM_{2.5} sulfate, nitrate, and ammonium ions are predominantly the result of chemical reactions of the oxidized products of SO₂ and NO_x emissions with direct ammonia emissions.⁶⁴

d. Control measures reducing ozone and PM_{2.5} precursor emissions may not lead to proportional reductions in ozone and PM_{2.5}. Modeled strategies designed to reduce ozone or PM_{2.5} levels typically need to consider the chemical coupling between these pollutants. This coupling is important in understanding processes that control the levels of both pollutants. Thus, when feasible, it is important to use models that take into account the chemical coupling between ozone and PM_{2.5}. In addition, using such a multi-pollutant modeling system can reduce the resource burden associated with applying and evaluating separate models for each pollutant and promotes consistency among the strategies themselves.

e. PM_{2.5} is a mixture consisting of several diverse chemical species or components of atmospheric particles. Because chemical and physical properties and origins of each component differ, it may be appropriate to use either a single model capable of addressing several of the important components or to model primary and secondary components using different models. Effects of a control strategy on PM_{2.5} is estimated from the sum of the effects on the specific components comprising PM_{2.5}.

5.2 Recommendations

a. Chemical transformations can play an important role in defining the concentrations and properties of certain air pollutants. Models that take into account chemical reactions and physical processes of various pollutants (including precursors) are needed for determining the current state of air quality, as well as predicting and projecting the future evolution of these pollutants. It is important that a modeling system provide a realistic representation of chemical and physical processes leading to secondary pollutant formation and removal from the atmosphere.

b. Chemical transport models treat atmospheric chemical and physical processes such as deposition and motion. There are two types of chemical transport models, Eulerian (grid based) and Lagrangian. These types of models are differentiated from each other by their frame of reference. Eulerian models are based on a fixed frame of reference and Lagrangian models use a frame of reference that moves with parcels of air between the source and receptor point.⁹ Photochemical grid models are three-dimensional Eulerian grid-based models that treat chemical and physical processes in each grid cell and use diffusion and transport processes to move chemical species between grid cells.⁹ These types of models are appropriate for assessment of near-field and regional scale reactive pollutant impacts from specific sources^{7 10 11 12} or all sources.^{13 14 15} In some limited cases, the secondary processes can be treated with a box model, ideally in combination with a number of other modeling techniques and/or analyses to treat individual source sectors.

c. Regardless of the modeling system used to estimate secondary impacts of ozone and/or PM_{2.5}, model results should be compared to observation data to generate confidence that the modeling system is representative of the local and regional air quality. For ozone related projects, model estimates of ozone should be compared with observations in both time and space. For PM_{2.5}, model estimates of speciated PM_{2.5} components (such as sulfate ion, nitrate ion, etc.) should be compared with observations in both time and space.⁶⁵

d. Model performance metrics comparing observations and predictions are often used to summarize model performance. These metrics include mean bias, mean error, fractional bias, fractional error, and correlation coefficient.⁶⁵ There are no specific levels of any model performance metric that indicate “acceptable” model performance. The EPA’s preferred approach for providing context about model performance is to compare model performance metrics with similar contemporary applications.^{60 65} Because model application purpose and scope vary, model users should consult with the appropriate reviewing authority (paragraph 3.0(b)) to determine what model performance elements should be emphasized and presented to provide confidence in the regulatory model application.

e. There is no preferred modeling system or technique for estimating ozone or secondary PM_{2.5} for specific source impacts or to assess impacts from multiple sources. For assessing secondary pollutant impacts from single sources, the degree of complexity required to assess potential impacts varies depending on the nature of the source, its emissions, and the background environment. The EPA recommends a two-tiered approach where the

first tier consists of using existing technically credible and appropriate relationships between emissions and impacts developed from previous modeling that is deemed sufficient for evaluating a source’s impacts. The second tier consists of more sophisticated case-specific modeling analyses. The appropriate tier for a given application should be selected in consultation with the appropriate reviewing authority (paragraph 3.0(b)) and be consistent with EPA guidance.⁶⁶

5.3 Recommended Models and Approaches for Ozone

a. Models that estimate ozone concentrations are needed to guide the choice of strategies for the purposes of a nonattainment area demonstrating future year attainment of the ozone NAAQS. Additionally, models that estimate ozone concentrations are needed to assess impacts from specific sources or source complexes to satisfy requirements for NSR and other regulatory programs. Other purposes for ozone modeling include estimating the impacts of specific events on air quality, ozone deposition impacts, and planning for areas that may be attaining the ozone NAAQS.

5.3.1 Models for NAAQS Attainment Demonstrations and Multi-Source Air Quality Assessments

a. Simulation of ozone formation and transport is a complex exercise. Control agencies with jurisdiction over areas with ozone problems should use photochemical grid models to evaluate the relationship between precursor species and ozone. Use of photochemical grid models is the recommended means for identifying control strategies needed to address high ozone concentrations in such areas. Judgment on the suitability of a model for a given application should consider factors that include use of the model in an attainment test, development of emissions and meteorological inputs to the model, and choice of episodes to model. Guidance on the use of models and other analyses for demonstrating attainment of the air quality goals for ozone is available.^{59 60} Users should consult with the appropriate reviewing authority (paragraph 3.0(b)) to ensure the most current modeling guidance is applied.

5.3.2 Models for Single-Source Air Quality Assessments

a. Depending on the magnitude of emissions, estimating the impact of an individual source’s emissions of NO_x and VOC on ambient ozone is necessary for obtaining a permit. The simulation of ozone formation and transport requires realistic treatment of atmospheric chemistry and deposition. Models (e.g., Lagrangian and photochemical grid

models) that integrate chemical and physical processes important in the formation, decay, and transport of ozone and important precursor species should be applied. Photochemical grid models are primarily designed to characterize precursor emissions and impacts from a wide variety of sources over a large geographic area but can also be used to assess the impacts from specific sources.^{7 11 12}

b. The first tier of assessment for ozone impacts involves those situations where existing technical information is available (*e.g.*, results from existing photochemical grid modeling, published empirical estimates of source specific impacts, or reduced-form models) in combination with other supportive information and analysis for the purposes of estimating secondary impacts from a particular source. The existing technical information should provide a credible and representative estimate of the secondary impacts from the project source. The appropriate reviewing authority (paragraph 3.0(b)) and appropriate EPA guidance⁶⁶ should be consulted to determine what types of assessments may be appropriate on a case-by-case basis.

c. The second tier of assessment for ozone impacts involves those situations where existing technical information is not available or a first tier demonstration indicates a more refined assessment is needed. For these situations, chemical transport models should be used to address single-source impacts. Special considerations are needed when using these models to evaluate the ozone impact from an individual source. Guidance on the use of models and other analyses for demonstrating the impacts of single sources for ozone is available.⁶⁶ This guidance document provides a more detailed discussion of the appropriate approaches to obtaining estimates of ozone impacts from a single source. Model users should use the latest version of the guidance in consultation with the appropriate reviewing authority (paragraph 3.0(b)) to determine the most suitable refined approach for single-source ozone modeling on a case-by-case basis.

5.4 Recommended Models and Approaches for Secondarily Formed PM_{2.5}

a. Models that estimate PM_{2.5} concentrations are needed to guide the choice of strategies for the purposes of a nonattainment area demonstrating future year attainment of the PM_{2.5} NAAQS. Additionally, models that estimate PM_{2.5} concentrations are needed to assess impacts from specific sources or source complexes to satisfy requirements for NSR and other regulatory programs. Other purposes for PM_{2.5} modeling include estimating the impacts of specific events on air quality, visibility, deposition impacts, and

planning for areas that may be attaining the PM_{2.5} NAAQS.

5.4.1 Models for NAAQS Attainment Demonstrations and Multi-Source Air Quality Assessments

a. Models for PM_{2.5} are needed to assess the adequacy of a proposed strategy for meeting the annual and 24-hour PM_{2.5} NAAQS. Modeling primary and secondary PM_{2.5} can be a multi-faceted and complex problem, especially for secondary components of PM_{2.5} such as sulfates and nitrates. Control agencies with jurisdiction over areas with secondary PM_{2.5} problems should use models that integrate chemical and physical processes important in the formation, decay, and transport of these species (*e.g.*, photochemical grid models). Suitability of a modeling approach or mix of modeling approaches for a given application requires technical judgment as well as professional experience in choice of models, use of the model(s) in an attainment test, development of emissions and meteorological inputs to the model, and selection of days to model. Guidance on the use of models and other analyses for demonstrating attainment of the air quality goals for PM_{2.5} is available.^{59 60} Users should consult with the appropriate reviewing authority (paragraph 3.0(b)) to ensure the most current modeling guidance is applied.

5.4.2 Models for Single-Source Air Quality Assessments

a. Depending on the magnitude of emissions, estimating the impact of an individual source's emissions on secondary particulate matter concentrations may be necessary for obtaining a permit. Primary PM_{2.5} components shall be simulated using the general modeling requirements in section 4.2.3.5. The simulation of secondary particulate matter formation and transport is a complex exercise requiring realistic treatment of atmospheric chemistry and deposition. Models should be applied that integrate chemical and physical processes important in the formation, decay, and transport of these species (*e.g.*, Lagrangian and photochemical grid models). Photochemical grid models are primarily designed to characterize precursor emissions and impacts from a wide variety of sources over a large geographic area and can also be used to assess the impacts from specific sources.^{7 10} For situations where a project source emits both primary PM_{2.5} and PM_{2.5} precursors, the contribution from both should be combined for use in determining the source's ambient impact. Approaches for combining primary and secondary impacts are provided in appropriate guidance for single source permit related demonstrations.⁶⁶

b. The first tier of assessment for secondary PM_{2.5} impacts involves those situations where existing technical information is available (*e.g.*, results from existing photochemical grid modeling, published empirical estimates of source specific impacts, or reduced-form models) in combination with other supportive information and analysis for the purposes of estimating secondary impacts from a particular source. The existing technical information should provide a credible and representative estimate of the secondary impacts from the project source. The appropriate reviewing authority (paragraph 3.0(b)) and appropriate EPA guidance⁶⁶ should be consulted to determine what types of assessments may be appropriate on a case-by-case basis.

c. The second tier of assessment for secondary PM_{2.5} impacts involves those situations where existing technical information is not available or a first tier demonstration indicates a more refined assessment is needed. For these situations, chemical transport models should be used for assessments of single-source impacts. Special considerations are needed when using these models to evaluate the secondary particulate matter impact from an individual source. Guidance on the use of models and other analyses for demonstrating the impacts of single sources for secondary PM_{2.5} is available.⁶⁶ This guidance document provides a more detailed discussion of the appropriate approaches to obtaining estimates of secondary particulate matter concentrations from a single source. Model users should use the latest version of this guidance in consultation with the appropriate reviewing authority (paragraph 3.0(b)) to determine the most suitable single-source modeling approach for secondary PM_{2.5} on a case-by-case basis.

6.0 MODELING FOR AIR QUALITY RELATED VALUES AND OTHER GOVERNMENTAL PROGRAMS

6.1 Discussion

a. Other federal government agencies and state, local, and tribal agencies with air quality and land management responsibilities have also developed specific modeling approaches for their own regulatory or other requirements. Although such regulatory requirements and guidance have come about because of EPA rules or standards, the implementation of such regulations and the use of the modeling techniques is under the jurisdiction of the agency issuing the guidance or directive. This section covers such situations with reference to those guidance documents, when they are available.

b. When using the model recommended or discussed in the *Guideline* in support of programmatic requirements not specifically covered by EPA regulations, the model user should consult the appropriate federal, state,

local, or tribal agency to ensure the proper application and use of the models and/or techniques. These agencies have developed specific modeling approaches for their own regulatory or other requirements. Most of the programs have, or will have when fully developed, separate guidance documents that cover the program and a discussion of the tools that are needed. The following paragraphs reference those guidance documents, when they are available.

6.2 Air Quality Related Values

a. The 1990 CAA Amendments give FLMs an “affirmative responsibility” to protect the natural and cultural resources of Class I areas from the adverse impacts of air pollution and to provide the appropriate procedures and analysis techniques. The CAA identifies the FLM as the Secretary of the department, or their designee, with authority over these lands. Mandatory Federal Class I areas are defined in the CAA as international parks, national parks over 6,000 acres, and wilderness areas and memorial parks over 5,000 acres, established as of 1977. The FLMs are also concerned with the protection of resources in federally managed Class II areas because of other statutory mandates to protect these areas. Where state or tribal agencies have successfully petitioned the EPA and lands have been redesignated to Class I status, these agencies may have equivalent responsibilities to that of the FLMs for these non-federal Class I areas as described throughout the remainder of section 6.2.

b. The FLM agency responsibilities include the review of air quality permit applications from proposed new or modified major pollution sources that may affect these Class I areas to determine if emissions from a proposed or modified source will cause or contribute to adverse impacts on air quality related values (AQRVs) of a Class I area and making recommendations to the FLM. AQRVs are resources, identified by the FLM agencies, that have the potential to be affected by air pollution. These resources may include visibility, scenic, cultural, physical, or ecological resources for a particular area. The FLM agencies take into account the particular resources and AQRVs that would be affected; the frequency and magnitude of any potential impacts; and the direct, indirect, and cumulative effects of any potential impacts in making their recommendations.

c. While the AQRV notification and impact analysis requirements are outlined in the PSD regulations at 40 CFR 51.166(p) and 40 CFR 52.21(p), determination of appropriate analytical methods and metrics for AQRV's are determined by the FLM agencies and are published in guidance external to the general recommendations of this paragraph.

d. To develop greater consistency in the application of air quality models to assess

potential AQRV impacts in both Class I areas and protected Class II areas, the FLM agencies have developed the Federal Land Managers' Air Quality Related Values Work Group Phase I Report (FLAG).⁶⁷ FLAG focuses upon specific technical and policy issues associated with visibility impairment, effects of pollutant deposition on soils and surface waters, and ozone effects on vegetation. Model users should consult the latest version of the FLAG report for current modeling guidance and with affected FLM agency representatives for any application specific guidance which is beyond the scope of the *Guideline*.

6.2.1 Visibility

a. Visibility in important natural areas (*e.g.*, Federal Class I areas) is protected under a number of provisions of the CAA, including sections 169A and 169B (addressing impacts primarily from existing sources) and section 165 (new source review). Visibility impairment is caused by light scattering and light absorption associated with particles and gases in the atmosphere. In most areas of the country, light scattering by PM_{2.5} is the most significant component of visibility impairment. The key components of PM_{2.5} contributing to visibility impairment include sulfates, nitrates, organic carbon, elemental carbon, and crustal material.⁶⁷

b. Visibility regulations (40 CFR 51.300 through 51.309) require state, local, and tribal agencies to mitigate current and prevent future visibility impairment in any of the 156 mandatory Federal Class I areas where visibility is considered an important attribute. In 1999, the EPA issued revisions to the regulations to address visibility impairment in the form of regional haze, which is caused by numerous, diverse sources (*e.g.*, stationary, mobile, and area sources) located across a broad region (40 CFR 51.308 through 51.309). The state of relevant scientific knowledge has expanded significantly since that time. A number of studies and reports^{68 69} have concluded that long-range transport (*e.g.*, up to hundreds of kilometers) of fine particulate matter plays a significant role in visibility impairment across the country. Section 169A of the CAA requires states to develop SIPs containing long-term strategies for remedying existing and preventing future visibility impairment in the 156 mandatory Class I Federal areas, where visibility is considered an important attribute. In order to develop long-term strategies to address regional haze, many state, local, and tribal agencies will need to conduct regional-scale modeling of fine particulate concentrations and associated visibility impairment.

c. The FLAG visibility modeling recommendations are divided into two distinct sections to address different requirements for: (1) Near field modeling where plumes or

layers are compared against a viewing background, and (2) distant/multi-source modeling for plumes and aggregations of plumes that affect the general appearance of a scene.⁶⁷ The recommendations separately address visibility assessments for sources proposing to locate relatively near and at farther distances from these areas.⁶⁷

6.2.1.1 Models for Estimating Near-Field Visibility Impairment

a. To calculate the potential impact of a plume of specified emissions for specific transport and dispersion conditions ("plume blight") for source-receptor distances less than 50 km, a screening model and guidance are available.^{67 70} If a more comprehensive analysis is necessary, a refined model should be selected. The model selection, procedures, and analyses should be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)) and the affected FLM(s).

6.2.1.2 Models for Estimating Visibility Impairment for Long-Range Transport

a. Chemical transformations can play an important role in defining the concentrations and properties of certain air pollutants. Models that take into account chemical reactions and physical processes of various pollutants (including precursors) are needed for determining the current state of air quality, as well as predicting and projecting the future evolution of these pollutants. It is important that a modeling system provide a realistic representation of chemical and physical processes leading to secondary pollutant formation and removal from the atmosphere.

b. Chemical transport models treat atmospheric chemical and physical processes such as deposition and motion. There are two types of chemical transport models, Eulerian (grid based) and Lagrangian. These types of models are differentiated from each other by their frame of reference. Eulerian models are based on a fixed frame of reference and Lagrangian models use a frame of reference that moves with parcels of air between the source and receptor point.⁹ Photochemical grid models are three-dimensional Eulerian grid-based models that treat chemical and physical processes in each grid cell and use diffusion and transport processes to move chemical species between grid cells.⁹ These types of models are appropriate for assessment of near-field and regional scale reactive pollutant impacts from specific sources^{7 10 11 12} or all sources.^{13 14 15}

c. Development of the requisite meteorological and emissions databases necessary for use of photochemical grid models to estimate AQRVs should conform to recommendations in section 8 and those outlined in the EPA's *Modeling Guidance for*

*Demonstrating Attainment of Air Quality Goals for Ozone, PM_{2.5}, and Regional Haze.*⁶⁰ Demonstration of the adequacy of prognostic meteorological fields can be established through appropriate diagnostic and statistical performance evaluations consistent with recommendations provided in the appropriate guidance.⁶⁰ Model users should consult the latest version of this guidance and with the appropriate reviewing authority (paragraph 3.0(b)) for any application-specific guidance that is beyond the scope of this subsection.

6.2.2 Models for Estimating Deposition Impacts

a. For many Class I areas, AQRVs have been identified that are sensitive to atmospheric deposition of air pollutants. Emissions of NO_x, sulfur oxides, NH₃, mercury, and secondary pollutants such as ozone and particulate matter affect components of ecosystems. In sensitive ecosystems, these compounds can acidify soils and surface waters, add nutrients that change biodiversity, and affect the ecosystem services provided by forests and natural areas.⁶⁷ To address the relationship between deposition and ecosystem effects, the FLM agencies have developed estimates of critical loads. A critical load is defined as, “A quantitative estimate of an exposure to one or more pollutants below which significant harmful effects on specified sensitive elements of the environment do not occur according to present knowledge.”⁷¹

b. The FLM deposition modeling recommendations are divided into two distinct sections to address different requirements for: (1) Near field modeling, and (2) distant/multi-source modeling for cumulative effects. The recommendations separately address deposition assessments for sources proposing to locate relatively near and at farther distances from these areas.⁶⁷ Where the source and receptors are not in close proximity, chemical transport (*e.g.*, photochemical grid) models generally should be applied for an assessment of deposition impacts due to one or a small group of sources. Over these distances, chemical and physical transformations can change atmospheric residence time due to different propensity for deposition to the surface of different forms of nitrate and sulfate. Users should consult the latest version of the FLAG report⁶⁷ and relevant FLM representatives for guidance on the use of models for deposition. Where source and receptors are in close proximity, users should contact the appropriate FLM for application-specific guidance.

6.3 Modeling Guidance for Other Governmental Programs

a. Dispersion and photochemical grid modeling may need to be conducted to ensure

that individual and cumulative offshore oil and gas exploration, development, and production plans and activities do not significantly affect the air quality of any state as required under the Outer Continental Shelf Lands Act (OCSLA). Air quality modeling requires various input datasets, including emissions sources, meteorology, and pre-existing pollutant concentrations. For sources under the reviewing authority of the Department of Interior, Bureau of Ocean Energy Management (BOEM), guidance for the development of all necessary Outer Continental Shelf (OCS) air quality modeling inputs and appropriate model selection and application is available from the BOEM’s Web site: <https://www.boem.gov/GOMR-Environmental-Compliance>.

b. The Federal Aviation Administration (FAA) is the appropriate reviewing authority for air quality assessments of primary pollutant impacts at airports and air bases. The Aviation Environmental Design Tool (AEDT) is developed and supported by the FAA, and is appropriate for air quality assessment of primary pollutant impacts at airports or air bases. AEDT has adopted AERMOD for treating dispersion. Application of AEDT is intended for estimating the change in emissions for aircraft operations, point source, and mobile source emissions on airport property and quantify the associated pollutant level- concentrations. AEDT is not intended for PSD, SIP, or other regulatory air quality analyses of point or mobile sources at or peripheral to airport property that are unrelated to airport operations. The latest version of AEDT may be obtained from the FAA at: <https://aedt.faa.gov>.

7.0 GENERAL MODELING CONSIDERATIONS

7.1 Discussion

a. This section contains recommendations concerning a number of different issues not explicitly covered in other sections of the *Guideline*. The topics covered here are not specific to any one program or modeling area, but are common to dispersion modeling analyses for criteria pollutants.

7.2 Recommendations

7.2.1 All Sources

7.2.1.1 Dispersion Coefficients

a. For any dispersion modeling exercise, the urban or rural determination of a source is critical in determining the boundary layer characteristics that affect the model’s prediction of downwind concentrations. Historically, steady-state Gaussian plume models used in most applications have employed dispersion coefficients based on Pasquill-Gifford⁷² in rural areas and McElroy-Pooler⁷³ in urban areas. These coefficients are still incorporated in the BLP and OCD models.

However, the AERMOD model incorporates a more up-to-date characterization of the atmospheric boundary layer using continuous functions of parameterized horizontal and vertical turbulence based on Monin-Obukhov similarity (scaling) relationships.⁴⁴ Another key feature of AERMOD's formulation is the option to use directly observed variables of the boundary layer to parameterize dispersion.^{44 45}

b. The selection of rural or urban dispersion coefficients in a specific application should follow one of the procedures suggested by Irwin⁷⁴ to determine whether the character of an area is primarily urban or rural (of the two methods, the land use procedure is considered more definitive.):

i. Land Use Procedure: (1) Classify the land use within the total area, A_u , circumscribed by a 3 km radius circle about the source using the meteorological land use typing scheme proposed by Auer;⁷⁵ (2) if land use types I1, I2, C1, R2, and R3 account for 50 percent or more of A_u , use urban dispersion coefficients; otherwise, use appropriate rural dispersion coefficients.

ii. Population Density Procedure: (1) Compute the average population density, \bar{p} per square kilometer with A_u as defined above; (2) If \bar{p} is greater than 750 people per square kilometer, use urban dispersion coefficients; otherwise use appropriate rural dispersion coefficients.

c. Population density should be used with caution and generally not be applied to highly industrialized areas where the population density may be low and, thus, a rural classification would be indicated. However, the area is likely to be sufficiently built-up so that the urban land use criteria would be satisfied. Therefore, in this case, the classification should be "urban" and urban dispersion parameters should be used.

d. For applications of AERMOD in urban areas, under either the Land Use Procedure or the Population Density Procedure, the user needs to estimate the population of the urban area affecting the modeling domain because the urban influence in AERMOD is scaled based on a user-specified population. For non-population oriented urban areas, or areas influenced by both population and industrial activity, the user will need to estimate an equivalent population to adequately account for the combined effects of industrialized areas and populated areas within the modeling domain. Selection of the appropriate population for these applications should be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)) and the latest version of the AERMOD Implementation Guide.⁷⁶

e. It should be noted that AERMOD allows for modeling rural and urban sources in a single model run. For analyses of whole urban complexes, the entire area should be modeled as an urban region if most of the

sources are located in areas classified as urban. For tall stacks located within or adjacent to small or moderate sized urban areas, the stack height or effective plume height may extend above the urban boundary layer and, therefore, may be more appropriately modeled using rural coefficients. Model users should consult with the appropriate reviewing authority (paragraph 3.0(b)) and the latest version of the AERMOD Implementation Guide⁷⁶ when evaluating this situation.

f. Buoyancy-induced dispersion (BID), as identified by Pasquill,⁷⁷ is included in the preferred models and should be used where buoyant sources (*e.g.*, those involving fuel combustion) are involved.

7.2.1.2 Complex Winds

a. *Inhomogeneous local winds.* In many parts of the United States, the ground is neither flat nor is the ground cover (or land use) uniform. These geographical variations can generate local winds and circulations, and modify the prevailing ambient winds and circulations. Typically, geographic effects are more apparent when the ambient winds are light or calm, as stronger synoptic or mesoscale winds can modify, or even eliminate the weak geographic circulations.⁷⁸ In general, these geographically induced wind circulation effects are named after the source location of the winds, *e.g.*, lake and sea breezes, and mountain and valley winds. In very rugged hilly or mountainous terrain, along coastlines, or near large land use variations, the characteristics of the winds are a balance of various forces, such that the assumptions of steady-state straight-line transport both in time and space are inappropriate. In such cases, a model should be chosen to fully treat the time and space variations of meteorology effects on transport and dispersion. The setup and application of such a model should be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)) consistent with limitations of paragraph 3.2.2(e). The meteorological input data requirements for developing the time and space varying three-dimensional winds and dispersion meteorology for these situations are discussed in paragraph 8.4.1.2(c). Examples of inhomogeneous winds include, but are not limited to, situations described in the following paragraphs:

i. *Inversion breakup fumigation.* Inversion breakup fumigation occurs when a plume (or multiple plumes) is emitted into a stable layer of air and that layer is subsequently mixed to the ground through convective transfer of heat from the surface or because of advection to less stable surroundings. Fumigation may cause excessively high concentrations, but is usually rather short-lived at a given receptor. There are no recommended refined techniques to model this phenomenon. There are, however, screening

procedures⁴⁰ that may be used to approximate the concentrations. Considerable care should be exercised in using the results obtained from the screening techniques.

ii. *Shoreline fumigation.* Fumigation can be an important phenomenon on and near the shoreline of bodies of water. This can affect both individual plumes and area-wide emissions. When fumigation conditions are expected to occur from a source or sources with tall stacks located on or just inland of a shoreline, this should be addressed in the air quality modeling analysis. The EPA has evaluated several coastal fumigation models, and the evaluation results of these models are available for their possible application on a case-by-case basis when air quality estimates under shoreline fumigation conditions are needed.⁷⁹ Selection of the appropriate model for applications where shoreline fumigation is of concern should be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

iii. *Stagnation.* Stagnation conditions are characterized by calm or very low wind speeds, and variable wind directions. These stagnant meteorological conditions may persist for several hours to several days. During stagnation conditions, the dispersion of air pollutants, especially those from low-level emissions sources, tends to be minimized, potentially leading to relatively high ground-level concentrations. If point sources are of interest, users should note the guidance provided in paragraph (a) of this subsection. Selection of the appropriate model for applications where stagnation is of concern should be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

7.2.1.3 Gravitational Settling and Deposition

a. Gravitational settling and deposition may be directly included in a model if either is a significant factor. When particulate matter sources can be quantified and settling and dry deposition are problems, use professional judgment along with coordination with the appropriate reviewing authority (paragraph 3.0(b)). AERMOD contains algorithms for dry and wet deposition of gases and particles.⁸⁰ For other Gaussian plume models, an “infinite half-life” may be used for estimates of particle concentrations when only exponential decay terms are used for treating settling and deposition. Lagrangian models have varying degrees of complexity for dealing with settling and deposition and the selection of a parameterization for such should be included in the approval process for selecting a Lagrangian model. Eulerian grid models tend to have explicit parameterizations for gravitational settling and deposition as well

as wet deposition parameters already included as part of the chemistry scheme.

7.2.2 Stationary Sources

7.2.2.1 Good Engineering Practice Stack Height

a. The use of stack height credit in excess of Good Engineering Practice (GEP) stack height or credit resulting from any other dispersion technique is prohibited in the development of emissions limits by 40 CFR 51.118 and 40 CFR 51.164. The definition of GEP stack height and dispersion technique are contained in 40 CFR 51.100. Methods and procedures for making the appropriate stack height calculations, determining stack height credits and an example of applying those techniques are found in several references,^{81 82 83 84} that provide a great deal of additional information for evaluating and describing building cavity and wake effects.

b. If stacks for new or existing major sources are found to be less than the height defined by the EPA’s refined formula for determining GEP height, then air quality impacts associated with cavity or wake effects due to the nearby building structures should be determined. The EPA refined formula height is defined as $H + 1.5L$.⁸³ Since the definition of GEP stack height defines excessive concentrations as a maximum ground-level concentration due in whole or in part to downwash of at least 40 percent in excess of the maximum concentration without downwash, the potential air quality impacts associated with cavity and wake effects should also be considered for stacks that equal or exceed the EPA formula height for GEP. The AERSCREEN model can be used to obtain screening estimates of potential downwash influences, based on the PRIME downwash algorithm incorporated in the AERMOD model. If more refined concentration estimates are required, AERMOD should be used (section 4.2.2).

7.2.2.2 Plume Rise

a. The plume rise methods of Briggs^{85 86} are incorporated in many of the preferred models and are recommended for use in many modeling applications. In AERMOD,^{44 45} for the stable boundary layer, plume rise is estimated using an iterative approach, similar to that in the CTDMPLUS model. In the convective boundary layer, plume rise is superposed on the displacements by random convective velocities.⁸⁷ In AERMOD, plume rise is computed using the methods of Briggs, except in cases involving building downwash, in which a numerical solution of the mass, energy, and momentum conservation laws is performed.⁸⁸ No explicit provisions in these models are made for multistack plume rise enhancement or the handling of such special plumes as flares.

b. Gradual plume rise is generally recommended where its use is appropriate: (1) In AERMOD; (2) in complex terrain screening procedures to determine close-in impacts; and (3) when calculating the effects of building wakes. The building wake algorithm in AERMOD incorporates and exercises the thermodynamically based gradual plume rise calculations as described in paragraph (a) of this subsection. If the building wake is calculated to affect the plume for any hour, gradual plume rise is also used in downwind dispersion calculations to the distance of final plume rise, after which final plume rise is used. Plumes captured by the near wake are re-emitted to the far wake as a ground-level volume source.

c. Stack tip downwash generally occurs with poorly constructed stacks and when the ratio of the stack exit velocity to wind speed is small. An algorithm developed by Briggs⁸⁶ is the recommended technique for this situation and is used in preferred models for point sources.

d. On a case-by-case basis, refinements to the preferred model may be considered for plume rise and downwash effects and shall occur in agreement with the appropriate reviewing authority (paragraph 3.0(b)) and approval by the EPA Regional Office based on the requirements of section 3.2.2.

7.2.3 Mobile Sources

a. Emissions of primary pollutants from mobile sources can be modeled with an appropriate model identified in section 4.2. Screening of mobile sources can be accomplished by using screening meteorology, *e.g.*, worst-case meteorological conditions. Maximum hourly concentrations computed from screening modeling can be converted to longer averaging periods using the scaling ratios specified in the AERSCREEN User's Guide.³⁷

b. Mobile sources can be modeled in AERMOD as either line (*i.e.*, elongated area) sources or as a series of volume sources. However, since mobile source modeling usually includes an analysis of very near-source impacts (*e.g.*, hot-spot modeling, which can include receptors within 5–10 meters (m) of the roadway), the results can be highly sensitive to the characterization of the mobile emissions. Important characteristics for both line/area and volume sources include the plume release height, source width, and initial dispersion characteristics, and should also take into account the impact of traffic-induced turbulence that can cause roadway sources to have larger initial dimensions than might normally be used for representing line sources.

c. The EPA's quantitative PM hot-spot guidance⁶¹ and Haul Road Workgroup Final Report⁶³ provide guidance on the appropriate characterization of mobile sources as a function of the roadway and vehicle characteris-

tics. The EPA's quantitative PM hot-spot guidance includes important considerations and should be consulted when modeling roadway links. Area, line or volume sources may be used for modeling mobile sources. However, experience in the field has shown that area sources may be easier to characterize correctly compared to volume sources. If volume sources are used, it is particularly important to ensure that roadway emissions are appropriately spaced when using volume source so that the emissions field is uniform across the roadway. Additionally, receptor placement is particularly important for volume sources that have "exclusion zones" where concentrations are not calculated for receptors located "within" the volume sources, *i.e.*, less than 2.15 times the initial lateral dispersion coefficient from the center of the volume.⁶¹ Placing receptors in these "exclusion zones" will result in underestimates of roadway impacts.

8.0 MODEL INPUT DATA

a. Databases and related procedures for estimating input parameters are an integral part of the modeling process. The most appropriate input data available should always be selected for use in modeling analyses. Modeled concentrations can vary widely depending on the source data or meteorological data used. This section attempts to minimize the uncertainty associated with database selection and use by identifying requirements for input data used in modeling. More specific data requirements and the format required for the individual models are described in detail in the user's guide and/or associated documentation for each model.

8.1 Modeling Domain

8.1.1 Discussion

a. The modeling domain is the geographic area for which the required air quality analyses for the NAAQS and PSD increments are conducted.

8.1.2 Requirements

a. For a NAAQS or PSD increments assessment, the modeling domain or project's impact area shall include all locations where the emissions of a pollutant from the new or modifying source(s) may cause a significant ambient impact. This impact area is defined as an area with a radius extending from the new or modifying source to: (1) The most distant location where air quality modeling predicts a significant ambient impact will occur, or (2) the nominal 50 km distance considered applicable for Gaussian dispersion models, whichever is less. The required air quality analysis shall be carried out within this geographical area with characterization of source impacts, nearby source impacts,

and background concentrations, as recommended later in this section.

b. For SIP attainment demonstrations for ozone and PM_{2.5}, or regional haze reasonable progress goal analyses, the modeling domain is determined by the nature of the problem being modeled and the spatial scale of the emissions that impact the nonattainment or Class I area(s). The modeling domain shall be designed so that all major upwind source areas that influence the downwind nonattainment area are included in addition to all monitor locations that are currently or recently violating the NAAQS or close to violating the NAAQS in the nonattainment area. Similarly, all Class I areas to be evaluated in a regional haze modeling application shall be included and sufficiently distant from the edge of the modeling domain. Guidance on the determination of the appropriate modeling domain for photochemical grid models in demonstrating attainment of these air quality goals is available.⁶⁰ Users should consult the latest version of this guidance for the most current modeling guidance and the appropriate reviewing authority (paragraph 3.0(b)) for any application specific guidance that is beyond the scope of this section.

8.2 Source Data

8.2.1 Discussion

a. Sources of pollutants can be classified as point, line, area, and volume sources. Point sources are defined in terms of size and may vary between regulatory programs. The line sources most frequently considered are roadways and streets along which there are well-defined movements of motor vehicles. They may also be lines of roof vents or stacks, such as in aluminum refineries. Area and volume sources are often collections of a multitude of minor sources with individually small emissions that are impractical to consider as separate point or line sources. Large area sources are typically treated as a grid network of square areas, with pollutant emissions distributed uniformly within each grid square. Generally, input data requirements for air quality models necessitate the use of metric units. As necessary, any English units common to engineering applications should be appropriately converted to metric.

b. For point sources, there are many source characteristics and operating conditions that may be needed to appropriately model the facility. For example, the plant layout (*e.g.*, location of stacks and buildings), stack parameters (*e.g.*, height and diameter), boiler size and type, potential operating conditions, and pollution control equipment parameters. Such details are required inputs to air quality models and are needed to determine maximum potential impacts.

c. Modeling mobile emissions from streets and highways requires data on the road layout, including the width of each traveled lane, the number of lanes, and the width of the median strip. Additionally, traffic patterns should be taken into account (*e.g.*, daily cycles of rush hour, differences in weekday and weekend traffic volumes, and changes in the distribution of heavy-duty trucks and light-duty passenger vehicles), as these patterns will affect the types and amounts of pollutant emissions allocated to each lane and the height of emissions.

d. Emission factors can be determined through source-specific testing and measurements (*e.g.*, stack test data) from existing sources or provided from a manufacturing association or vendor. Additionally, emissions factors for a variety of source types are compiled in an EPA publication commonly known as AP-42.⁶⁹ AP-42 also provides an indication of the quality and amount of data on which many of the factors are based. Other information concerning emissions is available in EPA publications relating to specific source categories. The appropriate reviewing authority (paragraph 3.0(b)) should be consulted to determine appropriate source definitions and for guidance concerning the determination of emissions from and techniques for modeling the various source types.

8.2.2 Requirements

a. For SIP attainment demonstrations for the purpose of projecting future year NAAQS attainment for ozone, PM_{2.5}, and regional haze reasonable progress goal analyses, emissions which reflect actual emissions during the base modeling year time period should be input to models for base year modeling. Emissions projections to future years should account for key variables such as growth due to increased or decreased activity, expected emissions controls due to regulations, settlement agreements or consent decrees, fuel switches, and any other relevant information. Guidance on emissions estimation techniques (including future year projections) for SIP attainment demonstrations is available.^{60 90}

b. For the purpose of SIP revisions for stationary point sources, the regulatory modeling of inert pollutants shall use the emissions input data shown in Table 8-1 for short-term and long-term NAAQS. To demonstrate compliance and/or establish the appropriate SIP emissions limits, Table 8-1 generally provides for the use of "allowable" emissions in the regulatory dispersion modeling of the stationary point source(s) of interest. In such modeling, these source(s) should be modeled sequentially with these loads for every hour of the year. As part of a cumulative impact analysis, Table 8-1 allows for the model user to account for actual operations in developing the emissions inputs for

dispersion modeling of nearby sources, while other sources are best represented by air quality monitoring data. Consultation with the appropriate reviewing authority (paragraph 3.0(b)) is advisable on the establishment of the appropriate emissions inputs for regulatory modeling applications with respect to SIP revisions for stationary point sources.

c. For the purposes of demonstrating NAAQS compliance in a PSD assessment, the regulatory modeling of inert pollutants shall use the emissions input data shown in Table 8-2 for short and long-term NAAQS. The new or modifying stationary point source shall be modeled with "allowable" emissions in the regulatory dispersion modeling. As part of a cumulative impact analysis, Table 8-2 allows for the model user to account for actual operations in developing the emissions inputs for dispersion modeling of nearby sources, while other sources are best represented by air quality monitoring data. For purposes of situations involving emissions trading, refer to current EPA policy and guidance to establish input data. Consultation with the appropriate reviewing authority (paragraph 3.0(b)) is advisable on the establishment of the appropriate emissions inputs for regulatory modeling applications with respect to PSD assessments for a proposed new or modifying source.

d. For stationary source applications, changes in operating conditions that affect the physical emission parameters (*e.g.*, release height, initial plume volume, and exit velocity) shall be considered to ensure that maximum potential impacts are appropriately determined in the assessment. For example, the load or operating condition for point sources that causes maximum ground-level concentrations shall be established. As a minimum, the source should be modeled using the design capacity (100 percent load). If a source operates at greater than design

capacity for periods that could result in violations of the NAAQS or PSD increments, this load should be modeled. Where the source operates at substantially less than design capacity, and the changes in the stack parameters associated with the operating conditions could lead to higher ground level concentrations, loads such as 50 percent and 75 percent of capacity should also be modeled. Malfunctions which may result in excess emissions are not considered to be a normal operating condition. They generally should not be considered in determining allowable emissions. However, if the excess emissions are the result of poor maintenance, careless operation, or other preventable conditions, it may be necessary to consider them in determining source impact. A range of operating conditions should be considered in screening analyses. The load causing the highest concentration, in addition to the design load, should be included in refined modeling.

e. Emissions from mobile sources also have physical and temporal characteristics that should be appropriately accounted. For example, an appropriate emissions model shall be used to determine emissions profiles. Such emissions should include speciation specific for the vehicle types used on the roadway (*e.g.*, light duty and heavy duty trucks), and subsequent parameterizations of the physical emissions characteristics (*e.g.*, release height) should reflect those emissions sources. For long-term standards, annual average emissions may be appropriate, but for short-term standards, discrete temporal representation of emissions should be used (*e.g.*, variations in weekday and weekend traffic or the diurnal rush-hour profile typical of many cities). Detailed information and data requirements for modeling mobile sources of pollution are provided in the user's manuals for each of the models applicable to mobile sources.^{61 63}

Table 8-1. - Point Source Model Emission Inputs for SIP Revisions of Inert Pollutants¹

Averaging time	Emissions limit (lb/MMBtu) ²	X	Operating level (MMBtu/hr) ²	X	Operating factor (e.g., hr/yr, hr/day)
Stationary Point Source(s) Subject to SIP Emissions Limit(s) Evaluation for Compliance with Ambient Standards (Including Areawide Demonstrations)					
Annual & quarterly	Maximum allowable emission limit or federally enforceable permit limit.		Actual or design capacity (whichever is greater), or federally enforceable permit condition.		Actual operating factor averaged over the most recent 2 years. ³
Short term (≤ 24 hours)	Maximum allowable emission limit or federally enforceable permit limit.		Actual or design capacity (whichever is greater), or federally enforceable permit condition. ⁴		Continuous operation, i.e., all hours of each time period under consideration (for all hours of the meteorological database). ⁵
Nearby Source(s)⁶					
Annual & quarterly	Maximum allowable emission limit or federally enforceable permit limit. ⁶		Annual level when actually operating, averaged over the most recent 2 years. ³		Actual operating factor averaged over the most recent 2 years. ^{3,8}
Short term (≤ 24 hours)	Maximum allowable emission limit or federally enforceable permit limit. ⁶		Temporally representative level when actually operating, reflective of the most recent 2 years. ^{3,7}		Continuous operation, i.e., all hours of each time period under consideration (for all hours of the meteorological database). ⁵
Other Source(s)^{6,9}					
The ambient impacts from Non-nearby or Other Sources (e.g., natural sources, minor sources and distant major sources, and unidentified sources) can be represented by air quality monitoring data unless adequate data do not exist.					

1. For purposes of emissions trading, NSR, or PSD, other model input criteria may apply. See Section 8.2 for more information regarding attainment demonstrations of primary PM_{2.5}.
 2. Terminology applicable to fuel burning sources; analogous terminology (e.g., lb/throughput) may be used for other types of sources.
 3. Unless it is determined that this period is not representative.
 4. Operating levels such as 50 percent and 75 percent of capacity should also be modeled to determine the load causing the highest concentration.
 5. If operation does not occur for all hours of the time period of consideration (e.g., 3 or 24-hours) and the source operation is constrained by a federally enforceable permit condition, an appropriate adjustment to the modeled emission rate may be made (e.g., if operation is only 8 a.m. to 4 p.m. each day, only these hours will be modeled with emissions from the source. Modeled emissions should not be averaged across non-operating time periods.)
 6. See Section 8.3.3.
 7. Temporally representative operating level could be based on Continuous Emissions Monitoring (CEM) data or other information and should be determined through consultation with the appropriate reviewing authority (Paragraph 3.0(b)).
 8. For those permitted sources not in operation or that have not established an appropriate factor, continuous operation (i.e., 8760) should be used.
 9. See Section 8.3.2.

Table 8-2. - Point Source Model Emission Inputs for NAAQS Compliance in PSD Demonstrations

Averaging time	Emissions limit (lb/MMBtu) ¹	X	Operating level (MMBtu/hr) ²	X	Operating factor (e.g., hr/yr, hr/day)
Proposed Major New or Modified Source					
Annual & quarterly	Maximum allowable emission limit or federally enforceable permit limit.		Design capacity or federally enforceable permit condition.		Continuous operation (i.e., 8760 hours). ²
Short term (≤ 24 hours)	Maximum allowable emission limit or federally enforceable permit limit.		Design capacity or federally enforceable permit condition. ³		Continuous operation, i.e., all hours of each time period under consideration (for all hours of the meteorological database). ²
Nearby Source(s)^{4,5}					
Annual & quarterly	Maximum allowable emission limit or federally enforceable permit limit. ⁵		Annual level when actually operating, averaged over the most recent 2 years. ⁶		Actual operating factor averaged over the most recent 2 years. ^{6,8}
Short term (≤ 24 hours)	Maximum allowable emission limit or federally enforceable permit limit. ⁵		Temporally representative level when actually operating, reflective of the most recent 2 years. ^{6,7}		Continuous operation, i.e., all hours of each time period under consideration (for all hours of the meteorological database). ²
Other Source(s)^{5,9}					

The ambient impacts from Non-nearby or Other Sources (e.g., natural sources, minor sources and distant major sources, and unidentified sources) can be represented by air quality monitoring data unless adequate data do not exist.

1. Terminology applicable to fuel burning sources; analogous terminology (e.g., lb/throughput) may be used for other types of sources.
2. If operation does not occur for all hours of the time period of consideration (e.g., 3 or 24-hours) and the source operation is constrained by a federally enforceable permit condition, an appropriate adjustment to the modeled emission rate may be made (e.g., if operation is only 8 a.m. to 4 p.m. each day, only these hours will be modeled with emissions from the source. Modeled emissions should not be averaged across non-operating time periods.
3. Operating levels such as 50 percent and 75 percent of capacity should also be modeled to determine the load causing the highest concentration.
4. Includes existing facility to which modification is proposed if the emissions from the existing facility will not be affected by the modification. Otherwise use the same parameters as for major modification.
5. See Section 8.3.3.
6. Unless it is determined that this period is not representative.
7. Temporally representative operating level could be based on Continuous Emissions Monitoring (CEM) data or other information and should be determined through consultation with the appropriate reviewing authority (Paragraph 3.0(b)).
8. For those permitted sources not in operation or that have not established an appropriate factor, continuous operation (i.e., 8760) should be used.
9. See Section 8.3.2.

8.3 Background Concentrations

8.3.1 Discussion

a. Background concentrations are essential in constructing the design concentration, or total air quality concentration, as part of a cumulative impact analysis for NAAQS and PSD increments (section 9.2.3). Background air quality should not include the ambient impacts of the project source under consideration. Instead, it should include:

i. Nearby sources: These are individual sources located in the vicinity of the source(s) under consideration for emissions limits that are not adequately represented by ambient monitoring data. Typically, sources that cause a significant concentration gradient in the vicinity of the source(s) under consideration for emissions limits are not adequately represented by background ambient monitoring. The ambient contributions from these nearby sources are thereby

accounted for by explicitly modeling their emissions (section 8.2).

ii. Other sources: That portion of the background attributable to natural sources, other unidentified sources in the vicinity of the project, and regional transport contributions from more distant sources (domestic and international). The ambient contributions from these sources are typically accounted for through use of ambient monitoring data or, in some cases, regional-scale photochemical grid modeling results.

b. The monitoring network used for developing background concentrations is expected to conform to the same quality assurance and other requirements as those networks established for PSD purposes.⁹¹ Accordingly, the air quality monitoring data should be of sufficient completeness and follow appropriate data validation procedures. These data should be adequately representative of the area to inform calculation of the design concentration for comparison to the applicable NAAQS (section 9.2.2).

c. For photochemical grid modeling conducted in SIP attainment demonstrations for ozone, PM_{2.5} and regional haze, the emissions from nearby and other sources are included as model inputs and fully accounted for in the modeling application and predicted concentrations. The concept of adding individual components to develop a design concentration, therefore, do not apply in these SIP applications. However, such modeling results may then be appropriate for consideration in characterizing background concentrations for other regulatory applications. Also, as noted in section 5, this modeling approach does provide for an appropriate atmospheric environment to assess single-source impacts for ozone and secondary PM_{2.5}.

d. For NAAQS assessments and SIP attainment demonstrations for inert pollutants, the development of the appropriate background concentration for a cumulative impact analysis involves proper accounting of each contribution to the design concentration and will depend upon whether the project area's situation consists of either an isolated single source(s) or a multitude of sources. For PSD increment assessments, all impacts after the appropriate baseline dates (*i.e.*, trigger date, major source baseline date, and minor source baseline date) from all increment-consuming and increment-expanding sources should be considered in the design concentration (section 9.2.2).

8.3.2 Recommendations for Isolated Single Sources

a. In areas with an isolated source(s), determining the appropriate background concentration should focus on characterization of contributions from all other sources through adequately representative ambient monitoring data.

b. The EPA recommends use of the most recent quality assured air quality monitoring data collected in the vicinity of the source to determine the background concentration for the averaging times of concern. In most cases, the EPA recommends using data from the monitor closest to and upwind of the project area. If several monitors are available, preference should be given to the monitor with characteristics that are most similar to the project area. If there are no monitors located in the vicinity of the new or modifying source, a "regional site" may be used to determine background concentrations. A regional site is one that is located away from the area of interest but is impacted by similar or adequately representative sources.

c. Many of the challenges related to cumulative impact analyses arise in the context of defining the appropriate metric to characterize background concentrations from ambient monitoring data and determining the appropriate method for combining this mon-

itor-based background contribution to the modeled impact of the project and other nearby sources. For many cases, the best starting point would be use of the current design value for the applicable NAAQS as a uniform monitored background contribution across the project area. However, there are cases in which the current design value may not be appropriate. Such cases include but are not limited to:

i. For situations involving a modifying source where the existing facility is determined to impact the ambient monitor, the background concentration at each monitor can be determined by excluding values when the source in question is impacting the monitor. In such cases, monitoring sites inside a 90° sector downwind of the source may be used to determine the area of impact.

ii. There may be other circumstances which would necessitate modifications to the ambient data record. Such cases could include removal of data from specific days or hours when a monitor is being impacted by activities that are not typical or not expected to occur again in the future (*e.g.*, construction, roadway repairs, forest fires, or unusual agricultural activities). There may also be cases where it may be appropriate to scale (multiplying the monitored concentrations with a scaling factor) or adjust (adding or subtracting a constant value the monitored concentrations) data from specific days or hours. Such adjustments would make the monitored background concentrations more temporally and/or spatially representative of the area around the new or modifying source for the purposes of the regulatory assessment.

iii. For short-term standards, the diurnal or seasonal patterns of the air quality monitoring data may differ significantly from the patterns associated with the modeled concentrations. When this occurs, it may be appropriate to pair the air quality monitoring data in a temporal manner that reflects these patterns (*e.g.*, pairing by season and/or hour of day).⁹²

iv. For situations where monitored air quality concentrations vary across the modeling domain, it may be appropriate to consider air quality monitoring data from multiple monitors within the project area.

d. Determination of the appropriate background concentrations should be consistent with appropriate EPA modeling guidance^{59 60} and justified in the modeling protocol that is vetted with the appropriate reviewing authority (paragraph 3.0(b)).

e. Considering the spatial and temporal variability throughout a typical modeling domain on an hourly basis and the complexities and limitations of hourly observations from the ambient monitoring network, the EPA does not recommend hourly or daily pairing of monitored background and modeled concentrations except in rare cases of

relatively isolated sources where the available monitor can be shown to be representative of the ambient concentration levels in the areas of maximum impact from the proposed new source. The implicit assumption underlying hourly pairing is that the background monitored levels for each hour are spatially uniform and that the monitored values are fully representative of background levels at each receptor for each hour. Such an assumption clearly ignores the many factors that contribute to the temporal and spatial variability of ambient concentrations across a typical modeling domain on an hourly basis. In most cases, the seasonal (or quarterly) pairing of monitored and modeled concentrations should sufficiently address situations to which the impacts from modeled emissions are not temporally correlated with background monitored levels.

f. In those cases where adequately representative monitoring data to characterize background concentrations are not available, it may be appropriate to use results from a regional-scale photochemical grid model, or other representative model application, as background concentrations consistent with the considerations discussed above and in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

8.3.3 Recommendations for Multi-Source Areas

a. In multi-source areas, determining the appropriate background concentration involves: (1) Identification and characterization of contributions from nearby sources through explicit modeling, and (2) characterization of contributions from other sources through adequately representative ambient monitoring data. A key point here is the interconnectedness of each component in that the question of which nearby sources to include in the cumulative modeling is inextricably linked to the question of what the ambient monitoring data represents within the project area.

b. *Nearby sources:* All sources in the vicinity of the source(s) under consideration for emissions limits that are not adequately represented by ambient monitoring data should be explicitly modeled. Since an ambient monitor is limited to characterizing air quality at a fixed location, sources that cause a significant concentration gradient in the vicinity of the source(s) under consideration for emissions limits are not likely to be adequately characterized by the monitored data due to the high degree of variability of the source's impact.

i. The pattern of concentration gradients can vary significantly based on the averaging period being assessed. In general, concentration gradients will be smaller and more spatially uniform for annual averages than for short-term averages, especially for

hourly averages. The spatial distribution of annual impacts around a source will often have a single peak downwind of the source based on the prevailing wind direction, except in cases where terrain or other geographic effects are important. By contrast, the spatial distribution of peak short-term impacts will typically show several localized concentration peaks with more significant gradient.

ii. Concentration gradients associated with a particular source will generally be largest between that source's location and the distance to the maximum ground-level concentrations from that source. Beyond the maximum impact distance, concentration gradients will generally be much smaller and more spatially uniform. Thus, the magnitude of a concentration gradient will be greatest in the proximity of the source and will generally not be significant at distances greater than 10 times the height of the stack(s) at that source without consideration of terrain influences.

iii. The number of nearby sources to be explicitly modeled in the air quality analysis is expected to be few except in unusual situations. In most cases, the few nearby sources will be located within the first 10 to 20 km from the source(s) under consideration. Owing to both the uniqueness of each modeling situation and the large number of variables involved in identifying nearby sources, no attempt is made here to comprehensively define a "significant concentration gradient." Rather, identification of nearby sources calls for the exercise of professional judgment by the appropriate reviewing authority (paragraph 3.0(b)). This guidance is not intended to alter the exercise of that judgment or to comprehensively prescribe which sources should be included as nearby sources.

c. For cumulative impact analyses of short-term and annual ambient standards, the nearby sources as well as the project source(s) must be evaluated using an appropriate appendix A model or approved alternative model with the emission input data shown in Table 8-1 or 8-2.

1. When modeling a nearby source that does not have a permit and the emissions limits contained in the SIP for a particular source category is greater than the emissions possible given the source's maximum physical capacity to emit, the "maximum allowable emissions limit" for such a nearby source may be calculated as the emissions rate representative of the nearby source's maximum physical capacity to emit, considering its design specifications and allowable fuels and process materials. However, the burden is on the permit applicant to sufficiently document what the maximum physical capacity to emit is for such a nearby source.

ii. It is appropriate to model nearby sources only during those times when they, by their nature, operate at the same time as the primary source(s) or could have impact on the averaging period of concern. Accordingly, it is not necessary to model impacts of a nearby source that does not, by its nature, operate at the same time as the primary source or could have impact on the averaging period of concern, regardless of an identified significant concentration gradient from the nearby source. The burden is on the permit applicant to adequately justify the exclusion of nearby sources to the satisfaction of the appropriate reviewing authority (paragraph 3.0(b)). The following examples illustrate two cases in which a nearby source may be shown not to operate at the same time as the primary source(s) being modeled: (1) Seasonal sources (only used during certain seasons of the year). Such sources would not be modeled as nearby sources during times in which they do not operate; and (2) Emergency backup generators, to the extent that they do not operate simultaneously with the sources that they back up. Such emergency equipment would not be modeled as nearby sources.

d. *Other sources.* That portion of the background attributable to all other sources (*e.g.*, natural sources, minor and distant major sources) should be accounted for through use of ambient monitoring data and determined by the procedures found in section 8.3.2 in keeping with eliminating or reducing the source-oriented impacts from nearby sources to avoid potential double-counting of modeled and monitored contributions.

8.4 Meteorological Input Data

8.4.1 Discussion

a. This subsection covers meteorological input data for use in dispersion modeling for regulatory applications and is separate from recommendations made for photochemical grid modeling. Recommendations for meteorological data for photochemical grid modeling applications are outlined in the latest version of EPA's *Modeling Guidance for Demonstrating Attainment of Air Quality Goals for Ozone, PM_{2.5}, and Regional Haze*.⁶⁰ In cases where Lagrangian models are applied for regulatory purposes, appropriate meteorological inputs should be determined in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

b. The meteorological data used as input to a dispersion model should be selected on the basis of spatial and climatological (temporal) representativeness as well as the ability of the individual parameters selected to characterize the transport and dispersion conditions in the area of concern. The representativeness of the measured data is dependent on numerous factors including, but not limited to: (1) The proximity of the me-

teorological monitoring site to the area under consideration; (2) the complexity of the terrain; (3) the exposure of the meteorological monitoring site; and (4) the period of time during which data are collected. The spatial representativeness of the data can be adversely affected by large distances between the source and receptors of interest and the complex topographic characteristics of the area. Temporal representativeness is a function of the year-to-year variations in weather conditions. Where appropriate, data representativeness should be viewed in terms of the appropriateness of the data for constructing realistic boundary layer profiles and, where applicable, three-dimensional meteorological fields, as described in paragraphs (c) and (d) of this subsection.

c. The meteorological data should be adequately representative and may be site-specific data, data from a nearby National Weather Service (NWS) or comparable station, or prognostic meteorological data. The implementation of NWS Automated Surface Observing Stations (ASOS) in the early 1990's should not preclude the use of NWS ASOS data if such a station is determined to be representative of the modeled area.⁹³

d. Model input data are normally obtained either from the NWS or as part of a site-specific measurement program. State climatology offices, local universities, FAA, military stations, industry, and pollution control agencies may also be sources of such data. In specific cases, prognostic meteorological data may be appropriate for use and obtained from similar sources. Some recommendations and requirements for the use of each type of data are included in this subsection.

8.4.2 Recommendations and Requirements

a. AERMET⁹⁴ shall be used to preprocess all meteorological data, be it observed or prognostic, for use with AERMOD in regulatory applications. The AERMINUTE⁹⁵ processor, in most cases, should be used to process 1-minute ASOS wind data for input to AERMET when processing NWS ASOS sites in AERMET. When processing prognostic meteorological data for AERMOD, the Mesoscale Model Interface Program (MMIF)¹⁰³ should be used to process data for input to AERMET. Other methods of processing prognostic meteorological data for input to AERMET should be approved by the appropriate reviewing authority. Additionally, the following meteorological preprocessors are recommended by the EPA: PCRAMMET,⁹⁶ MPRM,⁹⁷ and METPRO.⁹⁸ PCRAMMET is the recommended meteorological data preprocessor for use in applications of OCD employing hourly NWS data. MPRM is the recommended meteorological data preprocessor for applications of OCD employing site-specific meteorological data.

METPRO is the recommended meteorological data preprocessor for use with CTDMPPLUS.⁹⁹

b. Regulatory application of AERMOD necessitates careful consideration of the meteorological data for input to AERMET. Data representativeness, in the case of AERMOD, means utilizing data of an appropriate type for constructing realistic boundary layer profiles. Of particular importance is the requirement that all meteorological data used as input to AERMOD should be adequately representative of the transport and dispersion within the analysis domain. Where surface conditions vary significantly over the analysis domain, the emphasis in assessing representativeness should be given to adequate characterization of transport and dispersion between the source(s) of concern and areas where maximum design concentrations are anticipated to occur. The EPA recommends that the surface characteristics input to AERMET should be representative of the land cover in the vicinity of the meteorological data, *i.e.*, the location of the meteorological tower for measured data or the representative grid cell for prognostic data. Therefore, the model user should apply the latest version AERSURFACE,^{100 101} where applicable, for determining surface characteristics when processing measured meteorological data through AERMET. In areas where it is not possible to use AERSURFACE output, surface characteristics can be determined using techniques that apply the same analysis as AERSURFACE. In the case of prognostic meteorological data, the surface characteristics associated with the prognostic meteorological model output for the representative grid cell should be used.^{102 103} Furthermore, since the spatial scope of each variable could be different, representativeness should be judged for each variable separately. For example, for a variable such as wind direction, the data should ideally be collected near plume height to be adequately representative, especially for sources located in complex terrain. Whereas, for a variable such as temperature, data from a station several kilometers away from the source may be considered to be adequately representative. More information about meteorological data, representativeness, and surface characteristics can be found in the AERMOD Implementation Guide.⁷⁶

c. Regulatory application of CTDMPPLUS requires the input of multi-level measurements of wind speed, direction, temperature, and turbulence from an appropriately sited meteorological tower. The measurements should be obtained up to the representative plume height(s) of interest. Plume heights of interest can be determined by use of screening procedures such as CTSCREEN.

d. Regulatory application of OCD requires meteorological data over land and over water. The over land or surface data, proc-

essed through PCRAMMET⁹⁶ or MPRM,⁹⁷ that provides hourly stability class, wind direction and speed, ambient temperature, and mixing height, are required. Data over water requires hourly mixing height, relative humidity, air temperature, and water surface temperature. Missing winds are substituted with the surface winds. Vertical wind direction shear, vertical temperature gradient, and turbulence intensities are optional.

e. The model user should acquire enough meteorological data to ensure that worst-case meteorological conditions are adequately represented in the model results. The use of 5 years of adequately representative NWS or comparable meteorological data, at least 1 year of site-specific, or at least 3 years of prognostic meteorological data, are required. If 1 year or more, up to 5 years, of site-specific data are available, these data are preferred for use in air quality analyses. Depending on completeness of the data record, consecutive years of NWS, site-specific, or prognostic data are preferred. Such data must be subjected to quality assurance procedures as described in section 8.4.4.2.

f. Objective analysis in meteorological modeling is to improve meteorological analyses (the "first guess field") used as initial conditions for prognostic meteorological models by incorporating information from meteorological observations. Direct and indirect (using remote sensing techniques) observations of temperature, humidity, and wind from surface and radiosonde reports are commonly employed to improve these analysis fields. For long-range transport applications, it is recommended that objective analysis procedures, using direct and indirect meteorological observations, be employed in preparing input fields to produce prognostic meteorological datasets. The length of record of observations should conform to recommendations outlined in paragraph 8.4.2(e) for prognostic meteorological model datasets.

8.4.3 National Weather Service Data

8.4.3.1 Discussion

a. The NWS meteorological data are routinely available and familiar to most model users. Although the NWS does not provide direct measurements of all the needed dispersion model input variables, methods have been developed and successfully used to translate the basic NWS data to the needed model input. Site-specific measurements of model input parameters have been made for many modeling studies, and those methods and techniques are becoming more widely applied, especially in situations such as complex terrain applications, where available NWS data are not adequately representative.

However, there are many modeling applications where NWS data are adequately representative and the applications still rely heavily on the NWS data.

b. Many models use the standard hourly weather observations available from the National Centers for Environmental Information (NCEI).^b These observations are then preprocessed before they can be used in the models. Prior to the advent of ASOS in the early 1990's, the standard "hourly" weather observation was a human-based observation reflecting a single 2-minute average generally taken about 10 minutes before the hour. However, beginning in January 2000 for first-order stations and in March 2005 for all stations, the NCEI has archived the 1-minute ASOS wind data (*i.e.*, the rolling 2-minute average winds) for the NWS ASOS sites. The AERMINUTE processor⁹⁵ was developed to reduce the number of calm and missing hours in AERMET processing by substituting standard hourly observations with full hourly average winds calculated from 1-minute ASOS wind data.

8.4.3.2 Recommendations

a. The preferred models listed in appendix A all accept, as input, the NWS meteorological data preprocessed into model compatible form. If NWS data are judged to be adequately representative for a specific modeling application, they may be used. The NCEI makes available surface¹⁰⁴¹⁰⁵ and upper air¹⁰⁶ meteorological data online and in CD-ROM format. Upper air data are also available at the Earth System Research Laboratory Global Systems Divisions Web site (<http://esrl.noaa.gov/gsd>).

b. Although most NWS wind measurements are made at a standard height of 10 m, the actual anemometer height should be used as input to the preferred meteorological processor and model.

c. Standard hourly NWS wind directions are reported to the nearest 10 degrees. Due to the coarse resolution of these data, a specific set of randomly generated numbers has been developed by the EPA and should be used when processing standard hourly NWS data for use in the preferred EPA models to ensure a lack of bias in wind direction assignments within the models.

d. Beginning with year 2000, NCEI began archiving 2-minute winds, reported every minute to the nearest degree for NWS ASOS sites. The AERMINUTE processor was developed to read those winds and calculate hourly average winds for input to AERMET. When such data are available for the NWS ASOS site being processed, the AERMINUTE processor should be used, in most cases, to calculate hourly average wind speed and di-

rection when processing NWS ASOS data for input to AERMOD.⁹³

e. Data from universities, FAA, military stations, industry and pollution control agencies may be used if such data are equivalent in accuracy and detail (*e.g.*, siting criteria, frequency of observations, data completeness, etc.) to the NWS data, they are judged to be adequately representative for the particular application, and have undergone quality assurance checks.

f. After valid data retrieval requirements have been met,¹⁰⁷ large number of hours in the record having missing data should be treated according to an established data substitution protocol provided that adequately representative alternative data are available. Data substitution guidance is provided in section 5.3 of reference.¹⁰⁷ If no representative alternative data are available for substitution, the absent data should be coded as missing using missing data codes appropriate to the applicable meteorological pre-processor. Appropriate model options for treating missing data, if available in the model, should be employed.

8.4.4 Site-Specific Data

8.4.4.1 Discussion

a. Spatial or geographical representativeness is best achieved by collection of all of the needed model input data in close proximity to the actual site of the source(s). Site-specific measured data are, therefore, preferred as model input, provided that appropriate instrumentation and quality assurance procedures are followed, and that the data collected are adequately representative (free from inappropriate local or microscale influences) and compatible with the input requirements of the model to be used. It should be noted that, while site-specific measurements are frequently made "on-property" (*i.e.*, on the source's premises), acquisition of adequately representative site-specific data does not preclude collection of data from a location off property. Conversely, collection of meteorological data on a source's property does not of itself guarantee adequate representativeness. For help in determining representativeness of site-specific measurements, technical guidance¹⁰⁷ is available. Site-specific data should always be reviewed for representativeness and adequacy by an experienced meteorologist, atmospheric scientist, or other qualified scientist in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

8.4.4.2 Recommendations

a. The EPA guidance¹⁰⁷ provides recommendations on the collection and use of site-specific meteorological data. Recommendations on characteristics, siting, and exposure of meteorological instruments and on data recording, processing, completeness

^bFormerly the National Climatic Data Center (NCDC).

requirements, reporting, and archiving are also included. This publication should be used as a supplement to other limited guidance on these subjects.^{5 91 108 109} Detailed information on quality assurance is also available.¹¹⁰ As a minimum, site-specific measurements of ambient air temperature, transport wind speed and direction, and the variables necessary to estimate atmospheric dispersion should be available in meteorological datasets to be used in modeling. Care should be taken to ensure that meteorological instruments are located to provide an adequately representative characterization of pollutant transport between sources and receptors of interest. The appropriate reviewing authority (paragraph 3.0(b)) is available to help determine the appropriateness of the measurement locations.

i. *Solar radiation measurements.* Total solar radiation or net radiation should be measured with a reliable pyranometer or net radiometer sited and operated in accordance with established site-specific meteorological guidance.^{107 110}

ii. *Temperature measurements.* Temperature measurements should be made at standard shelter height (2m) in accordance with established site-specific meteorological guidance.¹⁰⁷

iii. *Temperature difference measurements.* Temperature difference (DT) measurements should be obtained using matched thermometers or a reliable thermocouple system to achieve adequate accuracy. Siting, probe placement, and operation of DT systems should be based on guidance found in Chapter 3 of reference 107 and such guidance should be followed when obtaining vertical temperature gradient data. AERMET may employ the Bulk Richardson scheme, which requires measurements of temperature difference, in lieu of cloud cover or insolation data. To ensure correct application and acceptance, AERMOD users should consult with the appropriate reviewing authority (paragraph 3.0(b)) before using the Bulk Richardson scheme for their analysis.

iv. *Wind measurements.* For simulation of plume rise and dispersion of a plume emitted from a stack, characterization of the wind profile up through the layer in which the plume disperses is desirable. This is especially important in complex terrain and/or complex wind situations where wind measurements at heights up to hundreds of meters above stack base may be required in some circumstances. For tall stacks when site-specific data are needed, these winds have been obtained traditionally using meteorological sensors mounted on tall towers. A feasible alternative to tall towers is the use of meteorological remote sensing instruments (e.g., acoustic sounders or radar wind profilers) to provide winds aloft, coupled with 10-meter towers to provide the near-surface winds. Note that when site-specific wind

measurements are used, AERMOD, at a minimum, requires wind observations at a height above ground between seven times the local surface roughness height and 100 m. (For additional requirements for AERMOD and CTDMPPLUS, see appendix A.) Specifications for wind measuring instruments and systems are contained in reference 107.

b. All processed site-specific data should be in the form of hourly averages for input to the dispersion model.

i. *Turbulence data.* There are several dispersion models that are capable of using direct measurements of turbulence (wind fluctuations) in the characterization of the vertical and lateral dispersion (e.g., CTDMPPLUS or AERMOD). When turbulence data are used to directly characterize the vertical and lateral dispersion, the averaging time for the turbulence measurements should be 1 hour. For technical guidance on processing of turbulence parameters for use in dispersion modeling, refer to the user's guide to the meteorological processor for each model (see section 8.4.2(a)).

ii. *Stability categories.* For dispersion models that employ P-G stability categories for the characterization of the vertical and lateral dispersion, the P-G stability categories, as originally defined, couple near-surface measurements of wind speed with subjectively determined insolation assessments based on hourly cloud cover and ceiling height observations. The wind speed measurements are made at or near 10 m. The insolation rate is typically assessed using observations of cloud cover and ceiling height based on criteria outlined by Turner.⁷² It is recommended that the P-G stability category be estimated using the Turner method with site-specific wind speed measured at or near 10 m and representative cloud cover and ceiling height. Implementation of the Turner method, as well as considerations in determining representativeness of cloud cover and ceiling height in cases for which site-specific cloud observations are unavailable, may be found in section 6 of reference 107. In the absence of requisite data to implement the Turner method, the solar radiation/delta-T (SRDT) method or wind fluctuation statistics (i.e., the σ_E and σ_A methods) may be used.

iii. The SRDT method, described in section 6.4.4.2 of reference 107, is modified slightly from that published from earlier work¹¹¹ and has been evaluated with three site-specific databases.¹¹² The two methods of stability classification that use wind fluctuation statistics, the σ_E and σ_A methods, are also described in detail in section 6.4.4 of reference 107 (note applicable tables in section 6). For additional information on the wind fluctuation methods, several references are available.^{113 114 115 116}

c. *Missing data substitution.* After valid data retrieval requirements have been met,¹⁰⁷

hours in the record having missing data should be treated according to an established data substitution protocol provided that adequately representative alternative data are available. Such protocols are usually part of the approved monitoring program plan. Data substitution guidance is provided in section 5.3 of reference 107. If no representative alternative data are available for substitution, the absent data should be coded as missing, using missing data codes appropriate to the applicable meteorological pre-processor. Appropriate model options for treating missing data, if available in the model, should be employed.

8.4.5 Prognostic Meteorological Data

8.4.5.1 Discussion

a. For some modeling applications, there may not be a representative NWS or comparable meteorological station available (*e.g.*, complex terrain), and it may be cost prohibitive or infeasible to collect adequately representative site-specific data. For these cases, it may be appropriate to use prognostic meteorological data, if deemed adequately representative, in a regulatory modeling application. However, if prognostic meteorological data are not representative of transport and dispersion conditions in the area of concern, the collection of site-specific data is necessary.

b. The EPA has developed a processor, the MMIF,¹⁰² to process MM5 (Mesoscale Model 5) or WRF (Weather Research and Forecasting) model data for input to various models including AERMOD. MMIF can process data for input to AERMET or AERMOD for a single grid cell or multiple grid cells. MMIF output has been found to compare favorably against observed data (site-specific or NWS).¹¹⁷ Specific guidance on processing MMIF for AERMOD can be found in reference 103. When using MMIF to process prognostic data for regulatory applications, the data should be processed to generate AERMET inputs and the data subsequently processed through AERMET for input to AERMOD. If an alternative method of processing data for input to AERMET is used, it must be approved by the appropriate reviewing authority (paragraph 3.0(b)).

8.4.5.2 Recommendations

a. *Prognostic model evaluation.* Appropriate effort by the applicant should be devoted to the process of evaluating the prognostic meteorological data. The modeling data should be compared to NWS observational data or other comparable data in an effort to show that the data are adequately replicating the observed meteorological conditions of the time periods modeled. An operational evaluation of the modeling data for all model years (*i.e.*, statistical, graphical) should be

completed.⁶⁰ The use of output from prognostic mesoscale meteorological models is contingent upon the concurrence with the appropriate reviewing authority (paragraph 3.0(b)) that the data are of acceptable quality, which can be demonstrated through statistical comparisons with meteorological observations aloft and at the surface at several appropriate locations.⁶⁰

b. *Representativeness.* When processing MMIF data for use with AERMOD, the grid cell used for the dispersion modeling should be adequately spatially representative of the analysis domain. In most cases, this may be the grid cell containing the emission source of interest. Since the dispersion modeling may involve multiple sources and the domain may cover several grid cells, depending on grid resolution of the prognostic model, professional judgment may be needed to select the appropriate grid cell to use. In such cases, the selected grid cells should be adequately representative of the entire domain.

c. *Grid resolution.* The grid resolution of the prognostic meteorological data should be considered and evaluated appropriately, particularly for projects involving complex terrain. The operational evaluation of the modeling data should consider whether a finer grid resolution is needed to ensure that the data are representative. The use of output from prognostic mesoscale meteorological models is contingent upon the concurrence with the appropriate reviewing authority (paragraph 3.0(b)) that the data are of acceptable quality.

8.4.6 Treatment of Near-Calms and Calms

8.4.6.1 Discussion

a. Treatment of calm or light and variable wind poses a special problem in modeling applications since steady-state Gaussian plume models assume that concentration is inversely proportional to wind speed, depending on model formulations. Procedures have been developed to prevent the occurrence of overly conservative concentration estimates during periods of calms. These procedures acknowledge that a steady-state Gaussian plume model does not apply during calm conditions, and that our knowledge of wind patterns and plume behavior during these conditions does not, at present, permit the development of a better technique. Therefore, the procedures disregard hours that are identified as calm. The hour is treated as missing and a convention for handling missing hours is recommended. With the advent of the AERMINUTE processor, when processing NWS ASOS data, the inclusion of hourly averaged winds from AERMINUTE will, in some instances, dramatically reduce the number of calm and missing hours, especially when the ASOS wind are derived from a sonic anemometer. To alleviate concerns

about these issues, especially those introduced with AERMINUTE, the EPA implemented a wind speed threshold in AERMET for use with ASOS derived winds.^{93 94} Winds below the threshold will be treated as calms.

b. AERMOD, while fundamentally a steady-state Gaussian plume model, contains algorithms for dealing with low wind speed (near calm) conditions. As a result, AERMOD can produce model estimates for conditions when the wind speed may be less than 1 m/s, but still greater than the instrument threshold. Required input to AERMET for site-specific data, the meteorological processor for AERMOD, includes a threshold wind speed and a reference wind speed. The threshold wind speed is the greater of the threshold of the instrument used to collect the wind speed data or wind direction sensor.¹⁰⁷ The reference wind speed is selected by the model as the lowest level of non-missing wind speed and direction data where the speed is greater than the wind speed threshold, and the height of the measurement is between seven times the local surface roughness length and 100 m. If the only valid observation of the reference wind speed between these heights is less than the threshold, the hour is considered calm, and no concentration is calculated. None of the observed wind speeds in a measured wind profile that are less than the threshold speed are used in construction of the modeled wind speed profile in AERMOD.

8.4.6.2 Recommendations

a. Hourly concentrations calculated with steady-state Gaussian plume models using calms should not be considered valid; the wind and concentration estimates for these hours should be disregarded and considered to be missing. Model predicted concentrations for 3-, 8-, and 24-hour averages should be calculated by dividing the sum of the hourly concentrations for the period by the number of valid or non-missing hours. If the total number of valid hours is less than 18 for 24-hour averages, less than 6 for 8-hour averages, or less than 3 for 3-hour averages, the total concentration should be divided by 18 for the 24-hour average, 6 for the 8-hour average, and 3 for the 3-hour average. For annual averages, the sum of all valid hourly concentrations is divided by the number of non-calm hours during the year. AERMOD has been coded to implement these instructions. For hours that are calm or missing, the AERMOD hourly concentrations will be zero. For other models listed in appendix A, a post-processor computer program, CALMPRO¹¹⁸ has been prepared, is available on the EPA's SCRAM Web site (section 2.3), and should be used.

b. Stagnant conditions that include extended periods of calms often produce high concentrations over wide areas for relatively

long averaging periods. The standard steady-state Gaussian plume models are often not applicable to such situations. When stagnation conditions are of concern, other modeling techniques should be considered on a case-by-case basis (*see* also section 7.2.1.2).

c. When used in steady-state Gaussian plume models other than AERMOD, measured site-specific wind speeds of less than 1 m/s but higher than the response threshold of the instrument should be input as 1 m/s; the corresponding wind direction should also be input. Wind observations below the response threshold of the instrument should be set to zero, with the input file in ASCII format. For input to AERMOD, no such adjustment should be made to the site-specific wind data, as AERMOD has algorithms to account for light or variable winds as discussed in section 8.4.6.1(a). For NWS ASOS data, especially data using the 1-minute ASOS winds, a wind speed threshold option is allowed with a recommended speed of 0.5 m/s.⁹³ When using prognostic data processed by MMIF, a 0.5 m/s threshold is also invoked by MMIF for input to AERMET. Observations with wind speeds less than the threshold are considered calm, and no concentration is calculated. In all cases involving steady-state Gaussian plume models, calm hours should be treated as missing, and concentrations should be calculated as in paragraph (a) of this subsection.

9.0 REGULATORY APPLICATION OF MODELS

9.1 Discussion

a. Standardized procedures are valuable in the review of air quality modeling and data analyses conducted to support SIP submittals and revisions, NSR, or other EPA requirements to ensure consistency in their regulatory application. This section recommends procedures specific to NSR that facilitate some degree of standardization while at the same time allowing the flexibility needed to assure the technically best analysis for each regulatory application. For SIP attainment demonstrations, refer to the appropriate EPA guidance^{51 60} for the recommended procedures.

b. Air quality model estimates, especially with the support of measured air quality data, are the preferred basis for air quality demonstrations. A number of actions have been taken to ensure that the best air quality model is used correctly for each regulatory application and that it is not arbitrarily imposed.

- First, the *Guideline* clearly recommends that the most appropriate model be used in each case. Preferred models are identified, based on a number of factors, for many uses.

- Second, the preferred models have been subjected to a systematic performance evaluation and a scientific peer review. Statistical performance measures, including measures of difference (or residuals) such as bias, variance of difference and gross variability of the difference, and measures of correlation such as time, space, and time and space combined, as described in section 2.1.1, were generally followed.

- Third, more specific information has been provided for considering the incorporation of new models into the *Guideline* (section 3.1), and the *Guideline* contains procedures for justifying the case-by-case use of alternative models and obtaining EPA approval (section 3.2).

c. Air quality modeling is the preferred basis for air quality demonstrations. Nevertheless, there are rare circumstances where the performance of the preferred air quality model may be shown to be less than reasonably acceptable or where no preferred air quality model, screening model or technique, or alternative model are suitable for the situation. In these unique instances, there is the possibility of assuring compliance and establishing emissions limits for an existing source solely on the basis of observed air quality data in lieu of an air quality modeling analysis. Comprehensive air quality monitoring in the vicinity of the existing source with proposed modifications will be necessary in these cases. The same attention should be given to the detailed analyses of the air quality data as would be applied to a model performance evaluation.

d. The current levels and forms of the NAAQS for the six criteria pollutants can be found on the EPA's NAAQS Web site at <https://www.epa.gov/criteria-air-pollutants>. As required by the CAA, the NAAQS are subjected to extensive review every 5 years and the standards, including the level and the form, may be revised as part of that review. The criteria pollutants have either long-term (annual or quarterly) and/or short-term (24-hour or less) forms that are not to be exceeded more than a certain frequency over a period of time (*e.g.*, no exceedance on a rolling 3-month average, no more than once per year, or no more than once per year averaged over 3 years), are averaged over a period of time (*e.g.*, an annual mean or an annual mean averaged over 3 years), or are some percentile that is averaged over a period of time (*e.g.*, annual 99th or 98th percentile averaged over 3 years). The 3-year period for ambient monitoring design values does not dictate the length of the data periods recommended for modeling (*i.e.*, 5 years of NWS meteorological data, at least 1 year of site-specific, or at least 3 years of prognostic meteorological data).

e. This section discusses general recommendations on the regulatory application of models for the purposes of NSR, including

PSD permitting, and particularly for estimating design concentration(s), appropriately comparing these estimates to NAAQS and PSD increments, and developing emissions limits. This section also provides the criteria necessary for considering use of an analysis based on measured ambient data in lieu of modeling as the sole basis for demonstrating compliance with NAAQS and PSD increments.

9.2 Recommendations

9.2.1 Modeling Protocol

a. Every effort should be made by the appropriate reviewing authority (paragraph 3.0(b)) to meet with all parties involved in either a SIP submission or revision or a PSD permit application prior to the start of any work on such a project. During this meeting, a protocol should be established between the preparing and reviewing parties to define the procedures to be followed, the data to be collected, the model to be used, and the analysis of the source and concentration data to be performed. An example of the content for such an effort is contained in the Air Quality Analysis Checklist posted on the EPA's SCRAM Web site (section 2.3). This checklist suggests the appropriate level of detail to assess the air quality resulting from the proposed action. Special cases may require additional data collection or analysis and this should be determined and agreed upon at the pre-application meeting. The protocol should be written and agreed upon by the parties concerned, although it is not intended that this protocol be a binding, formal legal document. Changes in such a protocol or deviations from the protocol are often necessary as the data collection and analysis progresses. However, the protocol establishes a common understanding of how the demonstration required to meet regulatory requirements will be made.

9.2.2 Design Concentration and Receptor Sites

a. Under the PSD permitting program, an air quality analysis for criteria pollutants is required to demonstrate that emissions from the construction or operation of a proposed new source or modification will not cause or contribute to a violation of the NAAQS or PSD increments.

i. For a NAAQS assessment, the design concentration is the combination of the appropriate background concentration (section 8.3) with the estimated modeled impact of the proposed source. The NAAQS design concentration is then compared to the applicable NAAQS.

ii. For a PSD increment assessment, the design concentration includes impacts occurring after the appropriate baseline date from all increment-consuming and increment-expanding sources. The PSD increment design

concentration is then compared to the applicable PSD increment.

b. The specific form of the NAAQS for the pollutant(s) of concern will also influence how the background and modeled data should be combined for appropriate comparison with the respective NAAQS in such a modeling demonstration. Given the potential for revision of the form of the NAAQS and the complexities of combining background and modeled data, specific details on this process can be found in the applicable modeling guidance available on the EPA's SCRAM Web site (section 2.3). Modeled concentrations should not be rounded before comparing the resulting design concentration to the NAAQS or PSD increments. Ambient monitoring and dispersion modeling address different issues and needs relative to each aspect of the overall air quality assessment.

c. The PSD increments for criteria pollutants are listed in 40 CFR 52.21(c) and 40 CFR 51.166(c). For short-term increments, these maximum allowable increases in pollutant concentrations may be exceeded once per year at each site, while the annual increment may not be exceeded. The highest, second-highest increase in estimated concentrations for the short-term averages, as determined by a model, must be less than or equal to the permitted increment. The modeled annual averages must not exceed the increment.

d. Receptor sites for refined dispersion modeling should be located within the modeling domain (section 8.1). In designing a receptor network, the emphasis should be placed on receptor density and location, not total number of receptors. Typically, the density of receptor sites should be progressively more resolved near the new or modifying source, areas of interest, and areas with the highest concentrations with sufficient detail to determine where possible violations of a NAAQS or PSD increments are most likely to occur. The placement of receptor sites should be determined on a case-by-case basis, taking into consideration the source characteristics, topography, climatology, and monitor sites. Locations of particular importance include: (1) The area of maximum impact of the point source; (2) the area of maximum impact of nearby sources; and (3) the area where all sources combine to cause maximum impact. Depending on the complexities of the source and the environment to which the source is located, a dense array of receptors may be required in some cases. In order to avoid unreasonably large computer runs due to an excessively large array of receptors, it is often desirable to model the area twice. The first model run would use a moderate number of receptors more resolved near the new or modifying source and over areas of interest. The second model run would modify the receptor net-

work from the first model run with a denser array of receptors in areas showing potential for high concentrations and possible violations, as indicated by the results of the first model run. Accordingly, the EPA neither anticipates nor encourages that numerous iterations of modeling runs be made to continually refine the receptor network.

9.2.3 NAAQS and PSD Increments Compliance Demonstrations for New or Modifying Sources

a. As described in this subsection, the recommended procedure for conducting either a NAAQS or PSD increments assessment under PSD permitting is a multi-stage approach that includes the following two stages:

i. The EPA describes the first stage as a single-source impact analysis, since this stage involves considering only the impact of the new or modifying source. There are two possible levels of detail in conducting a single-source impact analysis with the model user beginning with use of a screening model and proceeding to use of a refined model as necessary.

ii. The EPA describes the second stage as a cumulative impact analysis, since it takes into account all sources affecting the air quality in an area. In addition to the project source impact, this stage includes consideration of background, which includes contributions from nearby sources and other sources (*e.g.*, natural, minor, and distant major sources).

b. Each stage should involve increasing complexity and details, as required, to fully demonstrate that a new or modifying source will not cause or contribute to a violation of any NAAQS or PSD increment. As such, starting with a single-source impact analysis is recommended because, where the analysis at this stage is sufficient to demonstrate that a source will not cause or contribute to any potential violation, this may alleviate the need for a more time-consuming and comprehensive cumulative modeling analysis.

c. The single-source impact analysis, or first stage of an air quality analysis, should begin by determining the potential of a proposed new or modifying source to cause or contribute to a NAAQS or PSD increment violation. In certain circumstances, a screening model or technique may be used instead of the preferred model because it will provide estimated worst-case ambient impacts from the proposed new or modifying source. If these worst case ambient concentration estimates indicate that the source will not cause or contribute to any potential violation of a NAAQS or PSD increment, then the screening analysis should generally be sufficient for the required demonstration under PSD. If the ambient concentration estimates indicate that the source's emissions have the potential to

cause or contribute to a violation, then the use of a refined model to estimate the source's impact should be pursued. The refined modeling analysis should use a model or technique consistent with the *Guideline* (either a preferred model or technique or an alternative model or technique) and follow the requirements and recommendations for model inputs outlined in section 8. If the ambient concentration increase predicted with refined modeling indicates that the source will not cause or contribute to any potential violation of a NAAQS or PSD increment, then the refined analysis should generally be sufficient for the required demonstration under PSD. However, if the ambient concentration estimates from the refined modeling analysis indicate that the source's emissions have the potential to cause or contribute to a violation, then a cumulative impact analysis should be undertaken. The receptors that indicate the location of significant ambient impacts should be used to define the modeling domain for use in the cumulative impact analysis (section 8.2.2).

d. The cumulative impact analysis, or the second stage of an air quality analysis, should be conducted with the same refined model or technique to characterize the project source and then include the appropriate background concentrations (section 8.3). The resulting design concentrations should be used to determine whether the source will cause or contribute to a NAAQS or PSD increment violation. This determination should be based on: (1) The appropriate design concentration for each applicable NAAQS (and averaging period); and (2) whether the source's emissions cause or contribute to a violation at the time and location of any modeled violation (*i.e.*, when and where the predicted design concentration is greater than the NAAQS). For PSD increments, the cumulative impact analysis should also consider the amount of the air quality increment that has already been consumed by other sources, or, conversely, whether increment has expanded relative to the baseline concentration. Therefore, the applicant should model the existing or permitted nearby increment-consuming and increment-expanding sources, rather than using past modeling analyses of those sources as part of background concentration. This would permit the use of newly acquired data or improved modeling techniques if such data and/or techniques have become available since the last source was permitted.

9.2.3.1 Considerations in Developing Emissions Limits

a. Emissions limits and resulting control requirements should be established to provide for compliance with each applicable NAAQS (and averaging period) and PSD in-

crement. It is possible that multiple emissions limits will be required for a source to demonstrate compliance with several criteria pollutants (and averaging periods) and PSD increments. Case-by-case determinations must be made as to the appropriate form of the limits, *i.e.*, whether the emissions limits restrict the emission factor (*e.g.*, limiting lb/MMBTU), the emission rate (*e.g.*, lb/hr), or both. The appropriate reviewing authority (paragraph 3.0(b)) and appropriate EPA guidance should be consulted to determine the appropriate emissions limits on a case-by-case basis.

9.2.4 Use of Measured Data in Lieu of Model Estimates

a. As described throughout the *Guideline*, modeling is the preferred method for demonstrating compliance with the NAAQS and PSD increments and for determining the most appropriate emissions limits for new and existing sources. When a preferred model or adequately justified and approved alternative model is available, model results, including the appropriate background, are sufficient for air quality demonstrations and establishing emissions limits, if necessary. In instances when the modeling technique available is only a screening technique, the addition of air quality monitoring data to the analysis may lend credence to the model results. However, air quality monitoring data alone will normally not be acceptable as the sole basis for demonstrating compliance with the NAAQS and PSD increments or for determining emissions limits.

b. There may be rare circumstances where the performance of the preferred air quality model will be shown to be less than reasonably acceptable when compared with air quality monitoring data measured in the vicinity of an existing source. Additionally, there may not be an applicable preferred air quality model, screening technique, or justifiable alternative model suitable for the situation. In these unique instances, there may be the possibility of establishing emissions limits and demonstrating compliance with the NAAQS and PSD increments solely on the basis of analysis of observed air quality data in lieu of an air quality modeling analysis. However, only in the case of a modification to an existing source should air quality monitoring data alone be a basis for determining adequate emissions limits or for demonstration that the modification will not cause or contribute to a violation of any NAAQS or PSD increment.

c. The following items should be considered prior to the acceptance of an analysis of measured air quality data as the sole basis for an air quality demonstration or determining an emissions limit:

i. Does a monitoring network exist for the pollutants and averaging times of concern in the vicinity of the existing source?

ii. Has the monitoring network been designed to locate points of maximum concentration?

iii. Do the monitoring network and the data reduction and storage procedures meet EPA monitoring and quality assurance requirements?

iv. Do the dataset and the analysis allow impact of the most important individual sources to be identified if more than one source or emission point is involved?

v. Is at least one full year of valid ambient data available?

vi. Can it be demonstrated through the comparison of monitored data with model results that available air quality models and techniques are not applicable?

d. Comprehensive air quality monitoring in the area affected by the existing source with proposed modifications will be necessary in these cases. Additional meteorological monitoring may also be necessary. The appropriate number of air quality and meteorological monitors from a scientific and technical standpoint is a function of the situation being considered. The source configuration, terrain configuration, and meteorological variations all have an impact on number and optimal placement of monitors. Decisions on the monitoring network appropriate for this type of analysis can only be made on a case-by-case basis.

e. Sources should obtain approval from the appropriate reviewing authority (paragraph 3.0(b)) and the EPA Regional Office for the monitoring network prior to the start of monitoring. A monitoring protocol agreed to by all parties involved is necessary to assure that ambient data are collected in a consistent and appropriate manner. The design of the network, the number, type, and location of the monitors, the sampling period, averaging time, as well as the need for meteorological monitoring or the use of mobile sampling or plume tracking techniques, should all be specified in the protocol and agreed upon prior to start-up of the network.

f. Given the uniqueness and complexities of these rare circumstances, the procedures can only be established on a case-by-case basis for analyzing the source's emissions data and the measured air quality monitoring data, and for projecting with a reasoned basis the air quality impact of a proposed modification to an existing source in order to demonstrate that emissions from the construction or operation of the modification will not cause or contribute to a violation of the applicable NAAQS and PSD increment, and to determine adequate emissions limits. The same attention should be given to the detailed analyses of the air quality data as would be applied to a comprehensive model performance evaluation. In some cases, the monitoring data collected for use in the performance evaluation of preferred air quality models, screening technique, or existing al-

ternative models may help inform the development of a suitable new alternative model. Early coordination with the appropriate reviewing authority (paragraph 3.0(b)) and the EPA Regional Office is fundamental with respect to any potential use of measured data in lieu of model estimates.

10.0 REFERENCES

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- APPENDIX A TO APPENDIX W OF PART 51—SUMMARIES OF PREFERRED AIR QUALITY MODELS
- TABLE OF CONTENTS
- A.0 Introduction and Availability

- A.1 AERMOD (AMS/EPA Regulatory Model)
 A.2 CTDMPPLUS (Complex Terrain Dispersion Model Plus Algorithms for Unstable Situations)
 A.3 OCD (Offshore and Coastal Dispersion Model)

A.0 INTRODUCTION AND AVAILABILITY

(1) This appendix summarizes key features of refined air quality models preferred for specific regulatory applications. For each model, information is provided on availability, approximate cost (where applicable), regulatory use, data input, output format and options, simulation of atmospheric physics, and accuracy. These models may be used without a formal demonstration of applicability provided they satisfy the recommendations for regulatory use; not all options in the models are necessarily recommended for regulatory use.

(2) Many of these models have been subjected to a performance evaluation using comparisons with observed air quality data. Where possible, several of the models contained herein have been subjected to evaluation exercises, including: (1) Statistical performance tests recommended by the American Meteorological Society, and (2) peer scientific reviews. The models in this appendix have been selected on the basis of the results of the model evaluations, experience with previous use, familiarity of the model to various air quality programs, and the costs and resource requirements for use.

(3) Codes and documentation for all models listed in this appendix are available from the EPA's Support Center for Regulatory Air Models (SCRAM) Web site at <https://www.epa.gov/scramp>. Codes and documentation may also be available from the National Technical Information Service (NTIS), <http://www.ntis.gov>, and, when available, are referenced with the appropriate NTIS accession number.

A.1 AERMOD (AMS/EPA REGULATORY MODEL)

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U.S. Environmental Protection Agency, 2016. User's Guide for the AMS/EPA Regulatory Model (AERMOD). Publication No. EPA-454/B-16-011. Office of Air Quality Planning and Standards, Research Triangle Park, NC.

U.S. Environmental Protection Agency, 2016. User's Guide for the AERMOD Meteorological Preprocessor (AERMET). Publication No. EPA-454/B-16-010. Office of Air Quality Planning and Standards, Research Triangle Park, NC.

U.S. Environmental Protection Agency, 2016. User's Guide for the AERMOD Terrain Preprocessor (AERMAP). Publication No. EPA-454/B-16-012. U.S. Environmental Protection Agency, Office of Air Quality Planning and Standards, Research Triangle Park, NC.

Schulman, L. L., D.G. Strimaitis and J.S. Scire, 2000. Development and evaluation of the PRIME plume rise and building downwash model. *Journal of the Air and Waste Management Association*, 50: 378-390.

Schulman, L. L., and Joseph S. Scire, 1980. Buoyant Line and Point Source (BLP) Dispersion Model User's Guide. Document P-7304B. Environmental Research and Technology, Inc., Concord, MA. (NTIS No. PB 81-164642).

Availability

The model codes and associated documentation are available on EPA's SCRAM Web site (paragraph A.0(3)).

Abstract

AERMOD is a steady-state plume dispersion model for assessment of pollutant concentrations from a variety of sources. AERMOD simulates transport and dispersion from multiple point, area, or volume sources based on an up-to-date characterization of the atmospheric boundary layer. Sources may be located in rural or urban areas, and receptors may be located in simple or complex terrain. AERMOD accounts for building wake effects (*i.e.*, plume downwash) based on the PRIME building downwash algorithms. The model employs hourly sequential preprocessed meteorological data to estimate concentrations for averaging times from 1-hour to 1-year (also multiple years). AERMOD can be used to estimate the concentrations of nonreactive pollutants from highway traffic. AERMOD also handles unique modeling problems associated with aluminum reduction plants, and other industrial sources where plume rise and downwash effects from stationary buoyant line sources are important. AERMOD is designed to operate in concert with two pre-processor codes: AERMET processes meteorological data for input to AERMOD, and AERMAP processes

terrain elevation data and generates receptor and hill height information for input to AERMOD.

a. Regulatory Use

(1) AERMOD is appropriate for the following applications:

- Point, volume, and area sources;
- Buoyant, elevated line sources (*e.g.*, aluminum reduction plants);
- Mobile sources;
- Surface, near-surface, and elevated releases;
- Rural or urban areas;
- Simple and complex terrain;
- Transport distances over which steady-state assumptions are appropriate, up to 50km;
- 1-hour to annual averaging times; and
- Continuous toxic air emissions.

(2) For regulatory applications of AERMOD, the regulatory default option should be set, *i.e.*, the parameter DFAULT should be employed in the MODELOPT record in the CONTROL Pathway. The DFAULT option requires the use of meteorological data processed with the regulatory options in AERMET, the use of terrain elevation data processed through the AERMAP terrain processor, stack-tip downwash, sequential date checking, and does not permit the use of the model in the SCREEN mode. In the regulatory default mode, pollutant half-life or decay options are not employed, except in the case of an urban source of sulfur dioxide where a 4-hour half-life is applied. Terrain elevation data from the U.S. Geological Survey (USGS) 7.5-Minute Digital Elevation Model (DEM), or equivalent (approx. 30-meter resolution), (processed through AERMAP) should be used in all applications. Starting in 2011, data from the National Elevation Dataset (NED, <https://nationalmap.gov/elevation.html>) can also be used in AERMOD, which includes a range of resolutions, from 1-m to 2 arc seconds and such high resolution would always be preferred. In some cases, exceptions from the terrain data requirement may be made in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

b. Input Requirements

(1) Source data: Required inputs include source type, location, emission rate, stack height, stack inside diameter, stack gas exit velocity, stack gas exit temperature, area and volume source dimensions, and source base elevation. For point sources subject to the influence of building downwash, direction-specific building dimensions (processed through the BPIPRM building processor) should be input. Variable emission rates are optional. Buoyant line sources require coordinates of the end points of the line, release height, emission rate, average line

source width, average building width, average spacing between buildings, and average line source buoyancy parameter. For mobile sources, traffic volume; emission factor, source height, and mixing zone width are needed to determine appropriate model inputs.

(2) Meteorological data: The AERMET meteorological preprocessor requires input of surface characteristics, including surface roughness (zo), Bowen ratio, and albedo, as well as, hourly observations of wind speed between 7zo and 100 m (reference wind speed measurement from which a vertical profile can be developed), wind direction, cloud cover, and temperature between zo and 100 m (reference temperature measurement from which a vertical profile can be developed). Meteorological data can be in the form of observed data or prognostic modeled data as discussed in paragraph 8.4.1(d). Surface characteristics may be varied by wind sector and by season or month. When using observed meteorological data, a morning sounding (in National Weather Service format) from a representative upper air station is required. Latitude, longitude, and time zone of the surface, site-specific (if applicable) and upper air meteorological stations are required. The wind speed starting threshold is also required in AERMET for applications involving site-specific data. When using prognostic data, modeled profiles of temperature and winds are input to AERMET. These can be hourly or a time that represents a morning sounding. Additionally, measured profiles of wind, temperature, vertical and lateral turbulence may be required in certain applications (*e.g.*, in complex terrain) to adequately represent the meteorology affecting plume transport and dispersion. Optionally, measurements of solar and/or net radiation may be input to AERMET. Two files are produced by the AERMET meteorological preprocessor for input to the AERMOD dispersion model. When using observed data, the surface file contains observed and calculated surface variables, one record per hour. For applications with multi-level site-specific meteorological data, the profile contains the observations made at each level of the meteorological tower (or remote sensor). When using prognostic data, the surface file contains surface variables calculated by the prognostic model and AERMET. The profile file contains the observations made at each level of a meteorological tower (or remote sensor), the one-level observations taken from other representative data (*e.g.*, National Weather Service surface observations), one record per level per hour, or in the case of prognostic data, the prognostic modeled values of temperature and winds at user-specified levels.

(i) Data used as input to AERMET should possess an adequate degree of representativeness to ensure that the wind, temperature and turbulence profiles derived by AERMOD

are both laterally and vertically representative of the source impact area. The adequacy of input data should be judged independently for each variable. The values for surface roughness, Bowen ratio, and albedo should reflect the surface characteristics in the vicinity of the meteorological tower or representative grid cell when using prognostic data, and should be adequately representative of the modeling domain. Finally, the primary atmospheric input variables, including wind speed and direction, ambient temperature, cloud cover, and a morning upper air sounding, should also be adequately representative of the source area when using observed data.

(ii) For applications involving the use of site-specific meteorological data that includes turbulences parameters (*i.e.*, sigma-theta and/or sigma-w), the application of the ADJ_U* option in AERMET would require approval as an alternative model application under section 3.2.

(iii) For recommendations regarding the length of meteorological record needed to perform a regulatory analysis with AERMOD, *see* section 8.4.2.

(3) Receptor data: Receptor coordinates, elevations, height above ground, and hill height scales are produced by the AERMAP terrain preprocessor for input to AERMOD. Discrete receptors and/or multiple receptor grids, Cartesian and/or polar, may be employed in AERMOD. AERMAP requires input of DEM or NED terrain data produced by the USGS, or other equivalent data. AERMAP can be used optionally to estimate source elevations.

c. Output

Printed output options include input information, high concentration summary tables by receptor for user-specified averaging periods, maximum concentration summary tables, and concurrent values summarized by receptor for each day processed. Optional output files can be generated for: A listing of occurrences of exceedances of user-specified threshold value; a listing of concurrent (raw) results at each receptor for each hour modeled, suitable for post-processing; a listing of design values that can be imported into graphics software for plotting contours; a listing of results suitable for NAAQS analyses including NAAQS exceedances and culpability analyses; an unformatted listing of raw results above a threshold value with a special structure for use with the TOXX model component of TOXST; a listing of concentrations by rank (*e.g.*, for use in quantile-quantile plots); and a listing of concentrations, including arc-maximum normalized concentrations, suitable for model evaluation studies.

d. Type of Model

AERMOD is a steady-state plume model, using Gaussian distributions in the vertical and horizontal for stable conditions, and in the horizontal for convective conditions. The vertical concentration distribution for convective conditions results from an assumed bi-Gaussian probability density function of the vertical velocity.

e. Pollutant Types

AERMOD is applicable to primary pollutants and continuous releases of toxic and hazardous waste pollutants. Chemical transformation is treated by simple exponential decay.

f. Source-Receptor Relationships

AERMOD applies user-specified locations for sources and receptors. Actual separation between each source-receptor pair is used. Source and receptor elevations are user input or are determined by AERMAP using USGS DEM or NED terrain data. Receptors may be located at user-specified heights above ground level.

g. Plume Behavior

(1) In the convective boundary layer (CBL), the transport and dispersion of a plume is characterized as the superposition of three modeled plumes: (1) The direct plume (from the stack); (2) the indirect plume; and (3) the penetrated plume, where the indirect plume accounts for the lofting of a buoyant plume near the top of the boundary layer, and the penetrated plume accounts for the portion of a plume that, due to its buoyancy, penetrates above the mixed layer, but can disperse downward and re-enter the mixed layer. In the CBL, plume rise is superposed on the displacements by random convective velocities (Weil *et al.*, 1997).

(2) In the stable boundary layer, plume rise is estimated using an iterative approach to account for height-dependent lapse rates, similar to that in the CTDMPPLUS model (*see* A.2 in this appendix).

(3) Stack-tip downwash and buoyancy induced dispersion effects are modeled. Building wake effects are simulated for stacks subject to building downwash using the methods contained in the PRIME downwash algorithms (Schulman, *et al.*, 2000). For plume rise affected by the presence of a building, the PRIME downwash algorithm uses a numerical solution of the mass, energy and momentum conservation laws (Zhang and Ghoniem, 1993). Streamline deflection and the position of the stack relative to the building affect plume trajectory and dispersion. Enhanced dispersion is based on the approach of Weil (1996). Plume mass captured by the cavity is well-mixed within the cavity. The captured plume mass is re-emitted to the far wake as a volume source.

(4) For elevated terrain, AERMOD incorporates the concept of the critical dividing streamline height, in which flow below this height remains horizontal, and flow above this height tends to rise up and over terrain (Snyder *et al.*, 1985). Plume concentration estimates are the weighted sum of these two limiting plume states. However, consistent with the steady-state assumption of uniform horizontal wind direction over the modeling domain, straight-line plume trajectories are assumed, with adjustment in the plume/receptor geometry used to account for the terrain effects.

h. Horizontal Winds

Vertical profiles of wind are calculated for each hour based on measurements and surface-layer similarity (scaling) relationships. At a given height above ground, for a given hour, winds are assumed constant over the modeling domain. The effect of the vertical variation in horizontal wind speed on dispersion is accounted for through simple averaging over the plume depth.

i. Vertical Wind Speed

In convective conditions, the effects of random vertical updraft and downdraft velocities are simulated with a bi-Gaussian probability density function. In both convective and stable conditions, the mean vertical wind speed is assumed equal to zero.

j. Horizontal Dispersion

Gaussian horizontal dispersion coefficients are estimated as continuous functions of the parameterized (or measured) ambient lateral turbulence and also account for buoyancy-induced and building wake-induced turbulence. Vertical profiles of lateral turbulence are developed from measurements and similarity (scaling) relationships. Effective turbulence values are determined from the portion of the vertical profile of lateral turbulence between the plume height and the receptor height. The effective lateral turbulence is then used to estimate horizontal dispersion.

k. Vertical Dispersion

In the stable boundary layer, Gaussian vertical dispersion coefficients are estimated as continuous functions of parameterized vertical turbulence. In the convective boundary layer, vertical dispersion is characterized by a bi-Gaussian probability density function and is also estimated as a continuous function of parameterized vertical turbulence. Vertical turbulence profiles are developed from measurements and similarity (scaling) relationships. These turbulence profiles account for both convective and mechanical turbulence. Effective turbulence values are determined from the portion of the vertical profile of vertical turbulence between the plume height and the receptor

height. The effective vertical turbulence is then used to estimate vertical dispersion.

l. Chemical Transformation

Chemical transformations are generally not treated by AERMOD. However, AERMOD does contain an option to treat chemical transformation using simple exponential decay, although this option is typically not used in regulatory applications except for sources of sulfur dioxide in urban areas. Either a decay coefficient or a half-life is input by the user. Note also that the Plume Volume Molar Ratio Method and the Ozone Limiting Method (section 4.2.3.4) for NO₂ analyses are available.

m. Physical Removal

AERMOD can be used to treat dry and wet deposition for both gases and particles.

n. Evaluation Studies

American Petroleum Institute, 1998. Evaluation of State of the Science of Air Quality Dispersion Model. Scientific Evaluation, prepared by Woodward-Clyde Consultants, Lexington, Massachusetts, for American Petroleum Institute, Washington, DC 20005-4070.

Brode, R.W., 2002. Implementation and Evaluation of PRIME in AERMOD. Preprints of the 12th Joint Conference on Applications of Air Pollution Meteorology, May 20–24, 2002; American Meteorological Society, Boston, MA.

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U.S. Environmental Protection Agency, 2003. AERMOD: Latest Features and Evaluation Results. Publication No. EPA-454/R-03-003. Office of Air Quality Planning and Standards, Research Triangle Park, NC.

Heist, D., et al, 2013. Estimating near-road pollutant dispersion: A model inter-comparison. *Transportation Research Part D: Transport and Environment*, 25: pp 93–105.

A.2 CTDMPPLUS (COMPLEX TERRAIN DISPERSION MODEL PLUS ALGORITHMS FOR UNSTABLE SITUATIONS)

References

Perry, S.G., D.J. Burns, L.H. Adams, R.J. Paine, M.G. Dennis, M.T. Mills, D.G. Strimaitis, R.J. Yamartino and E.M. Insley, 1989. User's Guide to the Complex Terrain Dispersion Model Plus Algorithms for Unstable Situations

(CTDMPLUS). Volume 1: Model Descriptions and User Instructions. EPA Publication No. EPA-600/8-89-041. U.S. Environmental Protection Agency, Research Triangle Park, NC. (NTIS No. PB 89-181424).

Perry, S.G., 1992. CTDMPLUS: A Dispersion Model for Sources near Complex Topography. Part I: Technical Formulations. *Journal of Applied Meteorology*, 31(7): 633-645.

Availability

The model codes and associated documentation are available on the EPA's SCRAM Web site (paragraph A.0(3)).

Abstract

CTDMPLUS is a refined point source Gaussian air quality model for use in all stability conditions for complex terrain applications. The model contains, in its entirety, the technology of CTDM for stable and neutral conditions. However, CTDMPLUS can also simulate daytime, unstable conditions, and has a number of additional capabilities for improved user friendliness. Its use of meteorological data and terrain information is different from other EPA models; considerable detail for both types of input data is required and is supplied by preprocessors specifically designed for CTDMPLUS. CTDMPLUS requires the parameterization of individual hill shapes using the terrain preprocessor and the association of each model receptor with a particular hill.

a. Regulatory Use

CTDMPLUS is appropriate for the following applications:

- Elevated point sources;
- Terrain elevations above stack top;
- Rural or urban areas;
- Transport distances less than 50 kilometers; and
- 1-hour to annual averaging times when used with a post-processor program such as CHAVG.

b. Input Requirements

(1) Source data: For each source, user supplies source location, height, stack diameter, stack exit velocity, stack exit temperature, and emission rate; if variable emissions are appropriate, the user supplies hourly values for emission rate, stack exit velocity, and stack exit temperature.

(2) Meteorological data: For applications of CTDMPLUS, multiple level (typically three or more) measurements of wind speed and direction, temperature and turbulence (wind fluctuation statistics) are required to create the basic meteorological data file ("PROFILE"). Such measurements should be obtained up to the representative plume height(s) of interest (*i.e.*, the plume height(s)

under those conditions important to the determination of the design concentration). The representative plume height(s) of interest should be determined using an appropriate complex terrain screening procedure (*e.g.*, CTSCREEN) and should be documented in the monitoring/modeling protocol. The necessary meteorological measurements should be obtained from an appropriately sited meteorological tower augmented by SODAR and/or RASS if the representative plume height(s) of interest is above the levels represented by the tower measurements. Meteorological preprocessors then create a SURFACE data file (hourly values of mixed layer heights, surface friction velocity, Monin-Obukhov length and surface roughness length) and a RAWINSONDE data file (upper air measurements of pressure, temperature, wind direction, and wind speed).

(3) Receptor data: Receptor names (up to 400) and coordinates, and hill number (each receptor must have a hill number assigned).

(4) Terrain data: User inputs digitized contour information to the terrain preprocessor which creates the TERRAIN data file (for up to 25 hills).

c. Output

(1) When CTDMPLUS is run, it produces a concentration file, in either binary or text format (user's choice), and a list file containing a verification of model inputs, *i.e.*,

- Input meteorological data from "SURFACE" and "PROFILE,"
- Stack data for each source,
- Terrain information,
- Receptor information, and
- Source-receptor location (line printer map).

(2) In addition, if the case-study option is selected, the listing includes:

- Meteorological variables at plume height,
- Geometrical relationships between the source and the hill, and
- Plume characteristics at each receptor, *i.e.*,

—Distance in along-flow and cross flow direction

—Effective plume-receptor height difference

—Effective σ_y & σ_z values, both flat terrain and hill induced (the difference shows the effect of the hill)

—Concentration components due to WRAP, LIFT and FLAT.

(3) If the user selects the TOPN option, a summary table of the top four concentrations at each receptor is given. If the ISOR option is selected, a source contribution table for every hour will be printed.

(4) A separate output file of predicted (1-hour only) concentrations ("CONC") is written if the user chooses this option. Three forms of output are possible:

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(i) A binary file of concentrations, one value for each receptor in the hourly sequence as run;

(ii) A text file of concentrations, one value for each receptor in the hourly sequence as run; or

(iii) A text file as described above, but with a listing of receptor information (names, positions, hill number) at the beginning of the file.

(5) Hourly information provided to these files besides the concentrations themselves includes the year, month, day, and hour information as well as the receptor number with the highest concentration.

d. Type of Model

CTDMPLUS is a refined steady-state, point source plume model for use in all stability conditions for complex terrain applications.

e. Pollutant Types

CTDMPLUS may be used to model non-reactive, primary pollutants.

f. Source-Receptor Relationship

Up to 40 point sources, 400 receptors and 25 hills may be used. Receptors and sources are allowed at any location. Hill slopes are assumed not to exceed 15°, so that the linearized equation of motion for Boussinesq flow are applicable. Receptors upwind of the impingement point, or those associated with any of the hills in the modeling domain, require separate treatment.

g. Plume Behavior

(1) As in CTDM, the basic plume rise algorithms are based on Briggs' (1975) recommendations.

(2) A central feature of CTDMPLUS for neutral/stable conditions is its use of a critical dividing-streamline height (H_c) to separate the flow in the vicinity of a hill into two separate layers. The plume component in the upper layer has sufficient kinetic energy to pass over the top of the hill while streamlines in the lower portion are constrained to flow in a horizontal plane around the hill. Two separate components of CTDMPLUS compute ground-level concentrations resulting from plume material in each of these flows.

(3) The model calculates on an hourly (or appropriate steady averaging period) basis how the plume trajectory (and, in stable/neutral conditions, the shape) is deformed by each hill. Hourly profiles of wind and temperature measurements are used by CTDMPLUS to compute plume rise, plume penetration (a formulation is included to handle penetration into elevated stable layers, based on Briggs (1984)), convective scaling parameters, the value of H_c , and the Froude number above H_c .

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h. Horizontal Winds

CTDMPLUS does not simulate calm meteorological conditions. Both scalar and vector wind speed observations can be read by the model. If vector wind speed is unavailable, it is calculated from the scalar wind speed. The assignment of wind speed (either vector or scalar) at plume height is done by either:

- Interpolating between observations above and below the plume height, or
- Extrapolating (within the surface layer) from the nearest measurement height to the plume height.

i. Vertical Wind Speed

Vertical flow is treated for the plume component above the critical dividing streamline height (H_c); see "Plume Behavior."

j. Horizontal Dispersion

Horizontal dispersion for stable/neutral conditions is related to the turbulence velocity scale for lateral fluctuations, σ_v , for which a minimum value of 0.2 m/s is used. Convective scaling formulations are used to estimate horizontal dispersion for unstable conditions.

k. Vertical Dispersion

Direct estimates of vertical dispersion for stable/neutral conditions are based on observed vertical turbulence intensity, *e.g.*, σ_w (standard deviation of the vertical velocity fluctuation). In simulating unstable (convective) conditions, CTDMPLUS relies on a skewed, bi-Gaussian probability density function (pdf) description of the vertical velocities to estimate the vertical distribution of pollutant concentration.

l. Chemical Transformation

Chemical transformation is not treated by CTDMPLUS.

m. Physical Removal

Physical removal is not treated by CTDMPLUS (complete reflection at the ground/hill surface is assumed).

n. Evaluation Studies

Burns, D.J., L.H. Adams and S.G. Perry, 1990. Testing and Evaluation of the CTDMPLUS Dispersion Model: Daytime Convective Conditions. U.S. Environmental Protection Agency, Research Triangle Park, NC.

Paumier, J.O., S.G. Perry and D.J. Burns, 1990. An Analysis of CTDMPLUS Model Predictions with the Lovett Power Plant Data Base. U.S. Environmental Protection Agency, Research Triangle Park, NC.

Paumier, J.O., S.G. Perry and D.J. Burns, 1992. CTDMPLUS: A Dispersion Model for Sources near Complex Topography. Part

Environmental Protection Agency

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II: Performance Characteristics. *Journal of Applied Meteorology*, 31(7): 646-660.

A.3 OCD (OFFSHORE AND COASTAL DISPERSION MODEL)

Reference

DiCristofaro, D.C. and S.R. Hanna, 1989. OCD: The Offshore and Coastal Dispersion Model, Version 4. Volume I: User's Guide, and Volume II: Appendices. Sigma Research Corporation, Westford, MA. (NTIS Nos. PB 93-144384 and PB 93-144392).

Availability

The model codes and associated documentation are available on EPA's SCRAM Web site (paragraph A.0(3)).

Abstract

(1) OCD is a straight-line Gaussian model developed to determine the impact of offshore emissions from point, area or line sources on the air quality of coastal regions. OCD incorporates overwater plume transport and dispersion as well as changes that occur as the plume crosses the shoreline. Hourly meteorological data are needed from both offshore and onshore locations. These include water surface temperature, overwater air temperature, mixing height, and relative humidity.

(2) Some of the key features include platform building downwash, partial plume penetration into elevated inversions, direct use of turbulence intensities for plume dispersion, interaction with the overland internal boundary layer, and continuous shoreline fumigation.

a. Regulatory Use

OCD has been recommended for use by the Bureau of Ocean Energy Management for emissions located on the Outer Continental Shelf (50 FR 12248; 28 March 1985). OCD is applicable for overwater sources where onshore receptors are below the lowest source height. Where onshore receptors are above the lowest source height, offshore plume transport and dispersion may be modeled on a case-by-case basis in consultation with the appropriate reviewing authority (paragraph 3.0(b)).

b. Input Requirements

(1) Source data: Point, area or line source location, pollutant emission rate, building height, stack height, stack gas temperature, stack inside diameter, stack gas exit velocity, stack angle from vertical, elevation of stack base above water surface and gridded specification of the land/water surfaces. As an option, emission rate, stack gas exit velocity and temperature can be varied hourly.

(2) Meteorological data: PCRAMMET is the recommended meteorological data preprocessor for use in applications of OCD

employing hourly NWS data. MPRM is the recommended meteorological data preprocessor for applications of OCD employing site-specific meteorological data.

(i) Over land: Surface weather data including hourly stability class, wind direction, wind speed, ambient temperature, and mixing height are required.

(ii) Over water: Hourly values for mixing height, relative humidity, air temperature, and water surface temperature are required; if wind speed/direction are missing, values over land will be used (if available); vertical wind direction shear, vertical temperature gradient, and turbulence intensities are optional.

(3) Receptor data: Location, height above local ground-level, ground-level elevation above the water surface.

c. Output

(1) All input options, specification of sources, receptors and land/water map including locations of sources and receptors.

(2) Summary tables of five highest concentrations at each receptor for each averaging period, and average concentration for entire run period at each receptor.

(3) Optional case study printout with hourly plume and receptor characteristics. Optional table of annual impact assessment from non-permanent activities.

(4) Concentration output files can be used by ANALYSIS postprocessor to produce the highest concentrations for each receptor, the cumulative frequency distributions for each receptor, the tabulation of all concentrations exceeding a given threshold, and the manipulation of hourly concentration files.

d. Type of Model

OCD is a Gaussian plume model constructed on the framework of the MPTR model.

e. Pollutant Types

OCD may be used to model primary pollutants. Settling and deposition are not treated.

f. Source-Receptor Relationship

(1) Up to 250 point sources, 5 area sources, or 1 line source and 180 receptors may be used.

(2) Receptors and sources are allowed at any location.

(3) The coastal configuration is determined by a grid of up to 3600 rectangles. Each element of the grid is designated as either land or water to identify the coastline.

g. Plume Behavior

(1) The basic plume rise algorithms are based on Briggs' recommendations.

(2) Momentum rise includes consideration of the stack angle from the vertical.

(3) The effect of drilling platforms, ships, or any overwater obstructions near the source are used to decrease plume rise using a revised platform downwash algorithm based on laboratory experiments.

(4) Partial plume penetration of elevated inversions is included using the suggestions of Briggs (1975) and Weil and Brower (1984).

(5) Continuous shoreline fumigation is parameterized using the Turner method where complete vertical mixing through the thermal internal boundary layer (TIBL) occurs as soon as the plume intercepts the TIBL.

h. Horizontal Winds

(1) Constant, uniform wind is assumed for each hour.

(2) Overwater wind speed can be estimated from overland wind speed using relationship of Hsu (1981).

(3) Wind speed profiles are estimated using similarity theory (Businger, 1973). Surface layer fluxes for these formulas are calculated from bulk aerodynamic methods.

i. Vertical Wind Speed

Vertical wind speed is assumed equal to zero.

j. Horizontal Dispersion

(1) Lateral turbulence intensity is recommended as a direct estimate of horizontal dispersion. If lateral turbulence intensity is not available, it is estimated from boundary layer theory. For wind speeds less than 8 m/s, lateral turbulence intensity is assumed inversely proportional to wind speed.

(2) Horizontal dispersion may be enhanced because of obstructions near the source. A virtual source technique is used to simulate the initial plume dilution due to downwash.

(3) Formulas recommended by Pasquill (1976) are used to calculate buoyant plume enhancement and wind direction shear enhancement.

(4) At the water/land interface, the change to overland dispersion rates is modeled using a virtual source. The overland dispersion rates can be calculated from either lateral turbulence intensity or Pasquill-Gifford curves. The change is implemented where the plume intercepts the rising internal boundary layer.

k. Vertical Dispersion

(1) Observed vertical turbulence intensity is not recommended as a direct estimate of vertical dispersion. Turbulence intensity should be estimated from boundary layer theory as default in the model. For very stable conditions, vertical dispersion is also a function of lapse rate.

(2) Vertical dispersion may be enhanced because of obstructions near the source. A vir-

tual source technique is used to simulate the initial plume dilution due to downwash.

(3) Formulas recommended by Pasquill (1976) are used to calculate buoyant plume enhancement.

(4) At the water/land interface, the change to overland dispersion rates is modeled using a virtual source. The overland dispersion rates can be calculated from either vertical turbulence intensity or the Pasquill-Gifford coefficients. The change is implemented where the plume intercepts the rising internal boundary layer.

l. Chemical Transformation

Chemical transformations are treated using exponential decay. Different rates can be specified by month and by day or night.

m. Physical Removal

Physical removal is also treated using exponential decay.

n. Evaluation Studies

DiCristofaro, D.C. and S.R. Hanna, 1989. OCD: The Offshore and Coastal Dispersion Model. Volume I: User's Guide. Sigma Research Corporation, Westford, MA.

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Hanna, S.R., L.L. Schulman, R.J. Paine, J.E. Pleim and M. Baer, 1985. Development and Evaluation of the Offshore and Coastal Dispersion (OCD) Model. *Journal of the Air Pollution Control Association*, 35: 1039-1047.

Hanna, S.R. and D.C. DiCristofaro, 1988. Development and Evaluation of the OCD/API Model. Final Report, API Pub. 4461, American Petroleum Institute, Washington, DC.

[82 FR 5203, Jan. 17, 2017]

APPENDIX X TO PART 51—EXAMPLES OF ECONOMIC INCENTIVE PROGRAMS

I. INTRODUCTION AND PURPOSE

This appendix contains examples of EIP's which are covered by the EIP rules. Program descriptions identify key provisions which distinguish the different model program types. The examples provide additional information and guidance on various types of regulatory programs collectively referred to as EIP's. The examples include programs involving stationary, area, and mobile sources. The definition section at 40 CFR 51.491 defines an EIP as a program which may include State established emission fees or a system of marketable permits, or a system of State fees on sale or manufacture of products the

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(xv) Programs for new construction and major reconstruction of paths, tracks or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest. For purposes of this clause, the Administrator shall also consult with the Secretary of the Interior; and

(xvi) Programs to encourage the voluntary removal from use and the marketplace of pre-1980 model year light-duty vehicles and pre-1980 model light-duty trucks.

[59 FR 16715, Apr. 7, 1994]

APPENDIX Y TO PART 51—GUIDELINES FOR BART DETERMINATIONS UNDER THE REGIONAL HAZE RULE

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I. INTRODUCTION AND OVERVIEW

A. What is the purpose of the guidelines?

The Clean Air Act (CAA), in sections 169A and 169B, contains requirements for the protection of visibility in 156 scenic areas across the United States. To meet the CAA's requirements, we published regulations to protect against a particular type of visibility impairment known as "regional haze." The regional haze rule is found in this part at 40 CFR 51.300 through 51.309. These regulations require, in 40 CFR 51.308(e), that certain types of existing stationary sources of air pollutants install best available retrofit technology (BART). The guidelines are designed to help States and others (1) identify those sources that must comply with the BART requirement, and (2) determine the level of control technology that represents BART for each source.

B. What does the CAA require generally for improving visibility?

Section 169A of the CAA, added to the CAA by the 1977 amendments, requires States to protect and improve visibility in certain scenic areas of national importance. The scenic

areas protected by section 169A are “the mandatory Class I Federal Areas * * * where visibility is an important value.” In these guidelines, we refer to these as “Class I areas.” There are 156 Class I areas, including 47 national parks (under the jurisdiction of the Department of Interior—National Park Service), 108 wilderness areas (under the jurisdiction of the Department of the Interior—Fish and Wildlife Service or the Department of Agriculture—U.S. Forest Service), and one International Park (under the jurisdiction of the Roosevelt-Campobello International Commission). The Federal Agency with jurisdiction over a particular Class I area is referred to in the CAA as the Federal Land Manager. A complete list of the Class I areas is contained in 40 CFR 81.401 through 81.437, and you can find a map of the Class I areas at the following Internet site: http://www.epa.gov/ttn/oarpg/t1/fr_notices/classimp.gif.

The CAA establishes a national goal of eliminating man-made visibility impairment from all Class I areas. As part of the plan for achieving this goal, the visibility protection provisions in the CAA mandate that EPA issue regulations requiring that States adopt measures in their State implementation plans (SIPs), including long-term strategies, to provide for reasonable progress towards this national goal. The CAA also requires States to coordinate with the Federal Land Managers as they develop their strategies for addressing visibility.

C. What is the BART requirement in the CAA?

1. Under section 169A(b)(2)(A) of the CAA, States must require certain existing stationary sources to install BART. The BART provision applies to “major stationary sources” from 26 identified source categories which have the potential to emit 250 tons per year or more of any air pollutant. The CAA requires only sources which were put in place during a specific 15-year time interval to be subject to BART. The BART provision applies to sources that existed as of the date of the 1977 CAA amendments (that is, August 7, 1977) but which had not been in operation for more than 15 years (that is, not in operation as of August 7, 1962).

2. The CAA requires BART review when any source meeting the above description “emits any air pollutant which may reasonably be anticipated to cause or contribute to any impairment of visibility” in any Class I area. In identifying a level of control as BART, States are required by section 169A(g) of the CAA to consider:

- (a) The costs of compliance,
- (b) The energy and non-air quality environmental impacts of compliance,
- (c) Any existing pollution control technology in use at the source,
- (d) The remaining useful life of the source, and

(e) The degree of visibility improvement which may reasonably be anticipated from the use of BART.

3. The CAA further requires States to make BART emission limitations part of their SIPs. As with any SIP revision, States must provide an opportunity for public comment on the BART determinations, and EPA’s action on any SIP revision will be subject to judicial review.

D. What types of visibility problems does EPA address in its regulations?

1. We addressed the problem of visibility in two phases. In 1980, we published regulations addressing what we termed “reasonably attributable” visibility impairment. Reasonably attributable visibility impairment is the result of emissions from one or a few sources that are generally located in close proximity to a specific Class I area. The regulations addressing reasonably attributable visibility impairment are published in 40 CFR 51.300 through 51.307.

2. On July 1, 1999, we amended these regulations to address the second, more common, type of visibility impairment known as “regional haze.” Regional haze is the result of the collective contribution of many sources over a broad region. The regional haze rule slightly modified 40 CFR 51.300 through 51.307, including the addition of a few definitions in §51.301, and added new §§51.308 and 51.309.

E. What are the BART requirements in EPA’s regional haze regulations?

1. In the July 1, 1999 rulemaking, we added a BART requirement for regional haze. We amended the BART requirements in 2005. You will find the BART requirements in 40 CFR 51.308(e). Definitions of terms used in 40 CFR 51.308(e)(1) are found in 40 CFR 51.301.

2. As we discuss in detail in these guidelines, the regional haze rule codifies and clarifies the BART provisions in the CAA. The rule requires that States identify and list “BART-eligible sources,” that is, that States identify and list those sources that fall within the 26 source categories, were put in place during the 15-year window of time from 1962 to 1977, and have potential emissions greater than 250 tons per year. Once the State has identified the BART-eligible sources, the next step is to identify those BART-eligible sources that may “emit any air pollutant which may reasonably be anticipated to cause or contribute to any impairment of visibility.” Under the rule, a source which fits this description is “subject to BART.” For each source subject to BART, 40 CFR 51.308(e)(1)(ii)(A) requires that States identify the level of control representing BART after considering the factors set out in CAA section 169A(g), as follows:

—States must identify the best system of continuous emission control technology for each source subject to BART taking into account the technology available, the costs of compliance, the energy and non-air quality environmental impacts of compliance, any pollution control equipment in use at the source, the remaining useful life of the source, and the degree of visibility improvement that may be expected from available control technology.

3. After a State has identified the level of control representing BART (if any), it must establish an emission limit representing BART and must ensure compliance with that requirement no later than 5 years after EPA approves the SIP. States may establish design, equipment, work practice or other operational standards when limitations on measurement technologies make emission standards infeasible.

F. What is included in the guidelines?

1. The guidelines provide a process for making BART determinations that States can use in implementing the regional haze BART requirements on a source-by-source basis, as provided in 40 CFR 51.308(e)(1). States must follow the guidelines in making BART determinations on a source-by-source basis for 750 megawatt (MW) power plants but are not required to use the process in the guidelines when making BART determinations for other types of sources.

2. The BART analysis process, and the contents of these guidelines, are as follows:

(a) *Identification of all BART-eligible sources.* Section II of these guidelines outlines a step-by-step process for identifying BART-eligible sources.

(b) *Identification of sources subject to BART.* As noted above, sources “subject to BART” are those BART-eligible sources which “emit a pollutant which may reasonably be anticipated to cause or contribute to any impairment of visibility in any Class I area.” We discuss considerations for identifying sources subject to BART in section III of the guidance.

(c) *The BART determination process.* For each source subject to BART, the next step is to conduct an analysis of emissions control alternatives. This step includes the identification of available, technically feasible retrofit technologies, and for each technology identified, an analysis of the cost of compliance, the energy and non-air quality environmental impacts, and the degree of visibility improvement in affected Class I areas resulting from the use of the control technology. As part of the BART analysis, the State should also take into account the remaining useful life of the source and any existing control technology present at the source. For each source, the State will determine a “best system of continuous emission

reduction” based upon its evaluation of these factors. Procedures for the BART determination step are described in section IV of these guidelines.

(d) *Emissions limits.* States must establish emission limits, including a deadline for compliance, consistent with the BART determination process for each source subject to BART. Considerations related to these limits are discussed in section V of these guidelines.

G. Who is the target audience for the guidelines?

1. The guidelines are written primarily for the benefit of State, local and Tribal agencies, and describe a process for making the BART determinations and establishing the emission limitations that must be included in their SIPs or Tribal implementation plans (TIPs). Throughout the guidelines, which are written in a question and answer format, we ask questions “How do I * * *?” and answer with phrases “you should * * *, you must * * *” The “you” means a State, local or Tribal agency conducting the analysis. We have used this format to make the guidelines simpler to understand, but we recognize that States have the authority to require source owners to assume part of the analytical burden, and that there will be differences in how the supporting information is collected and documented. We also recognize that data collection, analysis, and rule development may be performed by Regional Planning Organizations, for adoption within each SIP or TIP.

2. The preamble to the 1999 regional haze rule discussed at length the issue of Tribal implementation of the requirements to submit a plan to address visibility. As explained there, requirements related to visibility are among the programs for which Tribes may be determined eligible and receive authorization to implement under the “Tribal Authority Rule” (“TAR”) (40 CFR 49.1 through 49.11). Tribes are not subject to the deadlines for submitting visibility implementation plans and may use a modular approach to CAA implementation. We believe there are very few BART-eligible sources located on Tribal lands. Where such sources exist, the affected Tribe may apply for delegation of implementation authority for this rule, following the process set forth in the TAR.

H. Do EPA regulations require the use of these guidelines?

Section 169A(b) requires us to issue guidelines for States to follow in establishing BART emission limitations for fossil-fuel fired power plants having a capacity in excess of 750 megawatts. This document fulfills that requirement, which is codified in 40

CFR 51.308(e)(1)(ii)(B). The guidelines establish an approach to implementing the requirements of the BART provisions of the regional haze rule; we believe that these procedures and the discussion of the requirements of the regional haze rule and the CAA should be useful to the States. For sources other than 750 MW power plants, however, States retain the discretion to adopt approaches that differ from the guidelines.

II. HOW TO IDENTIFY BART-ELIGIBLE SOURCES

This section provides guidelines on how to identify BART-eligible sources. A BART-eligible source is an existing stationary source in any of 26 listed categories which meets criteria for startup dates and potential emissions.

A. What are the steps in identifying BART-eligible sources?

Figure 1 shows the steps for identifying whether the source is a "BART-eligible source:"

Step 1: Identify the emission units in the BART categories,

Step 2: Identify the start-up dates of those emission units, and

Step 3: Compare the potential emissions to the 250 ton/yr cutoff.

Figure 1. How to determine whether a source is BART-eligible:

Step 1: Identify emission units in the BART categories

Does the plant contain emissions units in one or more of the 26 source categories?

- No → Stop
- Yes → Proceed to Step 2

Step 2: Identify the start-up dates of these emission units

Do any of these emissions units meet the following two tests?

In existence on August 7, 1977

AND

Began operation after August 7, 1962

- No → Stop
- Yes → Proceed to Step 3

Step 3: Compare the potential emissions from these emission units to the 250 ton/yr cutoff

Identify the "stationary source" that includes the emission units you identified in Step 2.

Add the current potential emissions from all the emission units identified in Steps 1 and 2 that are included within the "stationary source" boundary.

Are the potential emissions from these units 250 tons per year or more for any visibility-impairing pollutant?

- No → Stop
- Yes → These emissions units comprise the "BART-eligible source."

1. Step 1: Identify Emission Units in the BART Categories

1. The BART requirement only applies to sources in specific categories listed in the CAA. The BART requirement does not apply to sources in other source categories, regardless of their emissions. The listed categories are:

- (1) Fossil-fuel fired steam electric plants of more than 250 million British thermal units (BTU) per hour heat input,
- (2) Coal cleaning plants (thermal dryers),
- (3) Kraft pulp mills,
- (4) Portland cement plants,
- (5) Primary zinc smelters,
- (6) Iron and steel mill plants,
- (7) Primary aluminum ore reduction plants,
- (8) Primary copper smelters,
- (9) Municipal incinerators capable of charging more than 250 tons of refuse per day,
- (10) Hydrofluoric, sulfuric, and nitric acid plants,
- (11) Petroleum refineries,
- (12) Lime plants,
- (13) Phosphate rock processing plants,
- (14) Coke oven batteries,
- (15) Sulfur recovery plants,
- (16) Carbon black plants (furnace process),
- (17) Primary lead smelters,
- (18) Fuel conversion plants,
- (19) Sintering plants,
- (20) Secondary metal production facilities,
- (21) Chemical process plants,
- (22) Fossil-fuel boilers of more than 250 million BTUs per hour heat input,
- (23) Petroleum storage and transfer facilities with a capacity exceeding 300,000 barrels,
- (24) Taconite ore processing facilities,
- (25) Glass fiber processing plants, and
- (26) Charcoal production facilities.

2. Some plants may have emission units from more than one category, and some emitting equipment may fit into more than one category. Examples of this situation are sulfur recovery plants at petroleum refineries, coke oven batteries and sintering plants at steel mills, and chemical process plants at refineries. For Step 1, you identify all of the emissions units at the plant that fit into one or more of the listed categories. You do not identify emission units in other categories.

Example: A mine is collocated with an electric steam generating plant and a coal cleaning plant. You would identify emission units associated with the electric steam generating plant and the coal cleaning plant, because they are listed categories, but not the mine, because coal mining is not a listed category.

3. The category titles are generally clear in describing the types of equipment to be listed. Most of the category titles are very broad descriptions that encompass all emission

units associated with a plant site (for example, "petroleum refining" and "kraft pulp mills"). This same list of categories appears in the PSD regulations. States and source owners need not revisit any interpretations of the list made previously for purposes of the PSD program. We provide the following clarifications for a few of the category titles:

(1) "*Steam electric plants of more than 250 million BTU/hr heat input.*" Because the category refers to "plants," we interpret this category title to mean that boiler capacities should be aggregated to determine whether the 250 million BTU/hr threshold is reached. This definition includes only those plants that generate electricity for sale. Plants that cogenerate steam and electricity also fall within the definition of "steam electric plants". Similarly, combined cycle turbines are also considered "steam electric plants" because such facilities incorporate heat recovery steam generators. Simple cycle turbines, in contrast, are not "steam electric plants" because these turbines typically do not generate steam.

Example: A stationary source includes a steam electric plant with three 100 million BTU/hr boilers. Because the aggregate capacity exceeds 250 million BTU/hr for the "plant," these boilers would be identified in Step 2.

(2) "*Fossil-fuel boilers of more than 250 million BTU/hr heat input.*" We interpret this category title to cover only those boilers that are individually greater than 250 million BTU/hr. However, an individual boiler smaller than 250 million BTU/hr should be subject to BART if it is an integral part of a process description at a plant that is in a different BART category—for example, a boiler at a Kraft pulp mill that, in addition to providing steam or mechanical power, uses the waste liquor from the process as a fuel. In general, if the process uses any by-product of the boiler and the boiler's function is to serve the process, then the boiler is integral to the process and should be considered to be part of the process description.

Also, you should consider a multi-fuel boiler to be a "fossil-fuel boiler" if it burns any amount of fossil fuel. You may take federally and State enforceable operational limits into account in determining whether a multi-fuel boiler's fossil fuel capacity exceeds 250 million Btu/hr.

(3) "*Petroleum storage and transfer facilities with a capacity exceeding 300,000 barrels.*" The 300,000 barrel cutoff refers to total facility-wide tank capacity for tanks that were put in place within the 1962-1977 time period, and includes gasoline and other petroleum-derived liquids.

(4) "*Phosphate rock processing plants.*" This category descriptor is broad, and includes all types of phosphate rock processing facilities,

including elemental phosphorous plants as well as fertilizer production plants.

(5) "*Charcoal production facilities.*" We interpret this category to include charcoal briquet manufacturing and activated carbon production.

(6) "*Chemical process plants.*" and pharmaceutical manufacturing. Consistent with past policy, we interpret the category "chemical process plants" to include those facilities within the 2-digit Standard Industrial Classification (SIC) code 28. Accordingly, we interpret the term "chemical process plants" to include pharmaceutical manufacturing facilities.

(7) "*Secondary metal production.*" We interpret this category to include nonferrous metal facilities included within SIC code 3341, and secondary ferrous metal facilities that we also consider to be included within the category "iron and steel mill plants."

(8) "*Primary aluminum ore reduction.*" We interpret this category to include those facilities covered by 40 CFR 60.190, the new source performance standard (NSPS) for primary aluminum ore reduction plants. This definition is also consistent with the definition at 40 CFR 63.840.

2. Step 2: Identify the Start-Up Dates of the Emission Units

1. Emissions units listed under Step 1 are BART-eligible only if they were "in existence" on August 7, 1977 but were not "in operation" before August 7, 1962.

What does "in existence on August 7, 1977" mean?

2. The regional haze rule defines "in existence" to mean that:

"the owner or operator has obtained all necessary preconstruction approvals or permits required by Federal, State, or local air pollution emissions and air quality laws or regulations and either has (1) begun, or caused to begin, a continuous program of physical on-site construction of the facility or (2) entered into binding agreements or contractual obligations, which cannot be canceled or modified without substantial loss to the owner or operator, to undertake a program of construction of the facility to be completed in a reasonable time." 40 CFR 51.301.

As this definition is essentially identical to the definition of "commence construction" as that term is used in the PSD regulations, the two terms mean the same thing. See 40 CFR 51.165(a)(1)(xvi) and 40 CFR 52.21(b)(9). Under this definition, an emissions unit could be "in existence" even if it did not begin operating until several years after 1977.

Example: The owner of a source obtained all necessary permits in early 1977 and entered into binding construction agreements

in June 1977. Actual on-site construction began in late 1978, and construction was completed in mid-1979. The source began operating in September 1979. The emissions unit was "in existence" as of August 7, 1977.

Major stationary sources which commenced construction AFTER August 7, 1977 (*i.e.*, major stationary sources which were not "in existence" on August 7, 1977) were subject to new source review (NSR) under the PSD program. Thus, the August 7, 1977 "in existence" test is essentially the same thing as the identification of emissions units that were grandfathered from the NSR review requirements of the 1977 CAA amendments.

3. Sources are not BART-eligible if the only change at the plant during the relevant time period was the addition of pollution controls. For example, if the only change at a copper smelter during the 1962 through 1977 time period was the addition of acid plants for the reduction of SO₂ emissions, these emission controls would not by themselves trigger a BART review.

What does "in operation before August 7, 1962" mean?

An emissions unit that meets the August 7, 1977 "in existence" test is not BART-eligible if it was in operation before August 7, 1962. "In operation" is defined as "engaged in activity related to the primary design function of the source." This means that a source must have begun actual operations by August 7, 1962 to satisfy this test.

Example: The owner or operator entered into binding agreements in 1960. Actual on-site construction began in 1961, and construction was complete in mid-1962. The source began operating in September 1962. The emissions unit *was not* "in operation" before August 7, 1962 and is therefore subject to BART.

What is a "reconstructed source?"

1. Under a number of CAA programs, an existing source which is completely or substantially rebuilt is treated as a new source. Such "reconstructed" sources are treated as new sources as of the time of the reconstruction. Consistent with this overall approach to reconstructions, the definition of BART-eligible facility (reflected in detail in the definition of "existing stationary facility") includes consideration of sources that were in operation before August 7, 1962, but were reconstructed during the August 7, 1962 to August 7, 1977 time period.

2. Under the regional haze regulations at 40 CFR 51.301, a reconstruction has taken place if "the fixed capital cost of the new component exceeds 50 percent of the fixed capital cost of a comparable entirely new source." The rule also states that "[a]ny final decision as to whether reconstruction has oc-

curred must be made in accordance with the provisions of §§60.15 (f)(1) through (3) of this title." "[T]he provisions of §§60.15(f)(1) through (3)" refers to the general provisions for New Source Performance Standards (NSPS). Thus, the same policies and procedures for identifying reconstructed "affected facilities" under the NSPS program must also be used to identify reconstructed "stationary sources" for purposes of the BART requirement.

3. You should identify reconstructions on an emissions unit basis, rather than on a plantwide basis. That is, you need to identify only the reconstructed emission units meeting the 50 percent cost criterion. You should include reconstructed emission units in the list of emission units you identified in Step 1. You need consider as possible reconstructions only those emissions units with the potential to emit more than 250 tons per year of any visibility-impairing pollutant.

4. The "in operation" and "in existence" tests apply to reconstructed sources. If an emissions unit was reconstructed and began actual operation before August 7, 1962, it is not BART-eligible. Similarly, any emissions unit for which a reconstruction "commenced" after August 7, 1977, is not BART-eligible.

How are modifications treated under the BART provision?

1. The NSPS program and the major source NSR program both contain the concept of modifications. In general, the term "modification" refers to any physical change or change in the method of operation of an emissions unit that results in an increase in emissions.

2. The BART provision in the regional haze rule contains no explicit treatment of modifications or how modified emissions units, previously subject to the requirement to install best available control technology (BACT), lowest achievable emission rate (LAER) controls, and/or NSPS are treated under the rule. As the BART requirements in the CAA do not appear to provide any exemption for sources which have been modified since 1977, the best interpretation of the CAA visibility provisions is that a subsequent modification does not change a unit's construction date for the purpose of BART applicability. Accordingly, if an emissions unit began operation before 1962, it is not BART-eligible if it was modified between 1962 and 1977, so long as the modification is not also a "reconstruction." On the other hand, an emissions unit which began operation within the 1962-1977 time window, but was modified after August 7, 1977, is BART-eligible. We note, however, that if such a modification was a major modification that resulted in the installation of controls, the State will take this into account during the review process and may find that the level of

controls already in place are consistent with BART.

3. Step 3: Compare the Potential Emissions to the 250 Ton/Yr Cutoff

The result of Steps 1 and 2 will be a list of emissions units at a given plant site, including reconstructed emissions units, that are within one or more of the BART categories and that were placed into operation within the 1962-1977 time window. The third step is to determine whether the total emissions represent a current potential to emit that is greater than 250 tons per year of any single visibility impairing pollutant. Fugitive emissions, to the extent quantifiable, must be counted. In most cases, you will add the potential emissions from all emission units on the list resulting from Steps 1 and 2. In a few cases, you may need to determine whether the plant contains more than one "stationary source" as the regional haze rule defines that term, and as we explain further below.

What pollutants should I address?

Visibility-impairing pollutants include the following:

- (1) Sulfur dioxide (SO₂),
- (2) Nitrogen oxides (NO_x), and
- (3) Particulate matter.

You may use PM₁₀ as an indicator for particulate matter in this initial step. [Note that we do not recommend use of total suspended particulates (TSP) as an indicator for particulate matter.] As emissions of PM₁₀ include the components of PM_{2.5} as a subset, there is no need to have separate 250 ton thresholds for PM₁₀ and PM_{2.5}; 250 tons of PM₁₀ represents at most 250 tons of PM_{2.5}, and at most 250 tons of any individual particulate species such as elemental carbon, crustal material, etc.

However, if you determine that a source of particulate matter is BART-eligible, it will be important to distinguish between the fine and coarse particle components of direct particulate emissions in the remainder of the BART analysis, including for the purpose of modeling the source's impact on visibility. This is because although both fine and coarse particulate matter contribute to visibility impairment, the long-range transport of fine particles is of particular concern in the formation of regional haze. Thus, for example, air quality modeling results used in the BART determination will provide a more accurate prediction of a source's impact on visibility if the inputs into the model account for the relative particle size of any directly emitted particulate matter (*i.e.* PM₁₀ vs. PM_{2.5}).

You should exercise judgment in deciding whether the following pollutants impair visibility in an area:

- (4) Volatile organic compounds (VOC), and

- (5) Ammonia and ammonia compounds.

You should use your best judgment in deciding whether VOC or ammonia emissions from a source are likely to have an impact on visibility in an area. Certain types of VOC emissions, for example, are more likely to form secondary organic aerosols than others.¹ Similarly, controlling ammonia emissions in some areas may not have a significant impact on visibility. You need not provide a formal showing of an individual decision that a source of VOC or ammonia emissions is not subject to BART review. Because air quality modeling may not be feasible for individual sources of VOC or ammonia, you should also exercise your judgment in assessing the degree of visibility impacts due to emissions of VOC and emissions of ammonia or ammonia compounds. You should fully document the basis for judging that a VOC or ammonia source merits BART review, including your assessment of the source's contribution to visibility impairment.

What does the term "potential" emissions mean?

The regional haze rule defines potential to emit as follows:

"Potential to emit" means the maximum capacity of a stationary source to emit a pollutant under its physical and operational design. Any physical or operational limitation on the capacity of the source to emit a pollutant including air pollution control equipment and restrictions on hours of operation or on the type or amount of material combusted, stored, or processed, shall be treated as part of its design if the limitation or the effect it would have on emissions is federally enforceable. Secondary emissions do not count in determining the potential to emit of a stationary source.

The definition of "potential to emit" means that a source which actually emits less than 250 tons per year of a visibility-impairing pollutant is BART-eligible if its emissions would exceed 250 tons per year when operating at its maximum capacity given its physical and operational design (and considering all federally enforceable and State enforceable permit limits.)

Example: A source, while operating at one-fourth of its capacity, emits 75 tons per year of SO₂. If it were operating at 100 percent of its maximum capacity, the source would emit 300 tons per year. Because under the above definition such a source would have "potential" emissions that exceed 250 tons per year, the source (if in a listed category

¹*Fine particles: Overview of Atmospheric Chemistry, Sources of Emissions, and Ambient Monitoring Data*, Memorandum to Docket OAR 2002-006, April 1, 2005.

and built during the 1962-1977 time window) would be BART-eligible.

How do I identify whether a plant has more than one "stationary source?"

1. The regional haze rule, in 40 CFR 51.301, defines a stationary source as a "building, structure, facility or installation which emits or may emit any air pollutant."² The rule further defines "building, structure or facility" as:

all of the pollutant-emitting activities which belong to the same industrial grouping, are located on one or more contiguous or adjacent properties, and are under the control of the same person (or persons under common control). Pollutant-emitting activities must be considered as part of the same industrial grouping if they belong to the same Major Group (*i.e.*, which have the same two-digit code) as described in the Standard Industrial Classification Manual, 1972 as amended by the 1977 Supplement (U.S. Government Printing Office stock numbers 4101-0066 and 003-005-00176-0, respectively).

2. In applying this definition, it is necessary to determine which facilities are located on "contiguous or adjacent properties." Within this contiguous and adjacent area, it is also necessary to group those emission units that are under "common control." We note that these plant boundary issues and "common control" issues are very similar to those already addressed in implementation of the title V operating permits program and in NSR.

3. For emission units within the "contiguous or adjacent" boundary and under common control, you must group emission units that are within the same industrial grouping (that is, associated with the same 2-digit SIC code) in order to define the stationary source.³ For most plants on the BART source category list, there will only be one 2-digit SIC that applies to the entire plant. For example, all emission units associated with kraft pulp mills are within SIC code 26, and chemical process plants will generally include emission units that are all within SIC code 28. The "2-digit SIC test" applies in

²NOTE: Most of these terms and definitions are the same for regional haze and the 1980 visibility regulations. For the regional haze rule we use the term "BART-eligible source" rather than "existing stationary facility" to clarify that only a limited subset of existing stationary sources are subject to BART.

³We recognize that we are in a transition period from the use of the SIC system to a new system called the North American Industry Classification System (NAICS). For purposes of identifying BART-eligible sources, you may use either 2-digit SICs or the equivalent in the NAICS system.

the same way as the test is applied in the major source NSR programs.⁴

4. For purposes of the regional haze rule, you must group emissions from all emission units put in place within the 1962-1977 time period that are within the 2-digit SIC code, even if those emission units are in different categories on the BART category list.

Examples: A chemical plant which started operations within the 1962 to 1977 time period manufactures hydrochloric acid (within the category title "Hydrochloric, sulfuric, and nitric acid plants") and various organic chemicals (within the category title "chemical process plants"). All of the emission units are within SIC code 28 and, therefore, all the emission units are considered in determining BART eligibility of the plant. You sum the emissions over all of these emission units to see whether there are more than 250 tons per year of potential emissions.

A steel mill which started operations within the 1962 to 1977 time period includes a sintering plant, a coke oven battery, and various other emission units. All of the emission units are within SIC code 33. You sum the emissions over all of these emission units to see whether there are more than 250 tons per year of potential emissions.

4. Final Step: Identify the Emissions Units and Pollutants That Constitute the BART-Eligible Source

If the emissions from the list of emissions units at a stationary source exceed a potential to emit of 250 tons per year for any visibility-impairing pollutant, then that collection of emissions units is a BART-eligible source.

Example: A stationary source comprises the following two emissions units, with the following potential emissions:

Emissions unit A
 200 tons/yr SO₂
 150 tons/yr NO_x
 25 tons/yr PM
 Emissions unit B
 100 tons/yr SO₂
 75 tons/yr NO_x
 10 tons/yr PM

For this example, potential emissions of SO₂ are 300 tons/yr, which exceeds the 250 tons/yr

⁴NOTE: The concept of support facility used for the NSR program applies here as well. Support facilities, that is facilities that convey, store or otherwise assist in the production of the principal product, must be grouped with primary facilities even when the facilities fall within separate SIC codes. For purposes of BART reviews, however, such support facilities (a) must be within one of the 26 listed source categories and (b) must have been in existence as of August 7, 1977, and (c) must not have been in operation as of August 7, 1962.

threshold. Accordingly, the entire “stationary source”, that is, emissions units A and B, may be subject to a BART review for SO₂, NO_x, and PM, even though the potential emissions of PM and NO_x at each emissions unit are less than 250 tons/yr each.

Examples: The total potential emissions, obtained by adding the potential emissions of all emission units in a listed category at a plant site, are as follows:

200 tons/yr SO₂
150 tons/yr NO_x
25 tons/yr PM

Even though total emissions exceed 250 tons/yr, no individual regulated pollutant exceeds 250 tons/yr and this source is not BART-eligible.

Can States establish de minimis levels of emissions for pollutants at BART-eligible sources?

In order to simplify BART determinations, States may choose to identify de minimis levels of pollutants at BART-eligible sources (but are not required to do so). De minimis values should be identified with the purpose of excluding only those emissions so minimal that they are unlikely to contribute to regional haze. Any de minimis values that you adopt must not be higher than the PSD applicability levels: 40 tons/yr for SO₂ and NO_x and 15 tons/yr for PM₁₀. These de minimis levels may only be applied on a plant-wide basis.

III. HOW TO IDENTIFY SOURCES “SUBJECT TO BART”

Once you have compiled your list of BART-eligible sources, you need to determine whether (1) to make BART determinations for all of them or (2) to consider exempting some of them from BART because they may not reasonably be anticipated to cause or contribute to any visibility impairment in a Class I area. If you decide to make BART determinations for all the BART-eligible sources on your list, you should work with your regional planning organization (RPO) to show that, collectively, they cause or contribute to visibility impairment in at least one Class I area. You should then make individual BART determinations by applying the five statutory factors discussed in Section IV below.

On the other hand, you also may choose to perform an initial examination to determine whether a particular BART-eligible source or group of sources causes or contributes to visibility impairment in nearby Class I areas. If your analysis, or information submitted by the source, shows that an individual source or group of sources (or certain pollutants from those sources) is not reasonably anticipated to cause or contribute to any visibility impairment in a Class I area, then you do not need to make BART determinations for

that source or group of sources (or for certain pollutants from those sources). In such a case, the source is not “subject to BART” and you do not need to apply the five statutory factors to make a BART determination. This section of the Guideline discusses several approaches that you can use to exempt sources from the BART determination process.

A. What Steps Do I Follow To Determine Whether a Source or Group of Sources Cause or Contribute to Visibility Impairment for Purposes of BART?

1. How Do I Establish a Threshold?

One of the first steps in determining whether sources cause or contribute to visibility impairment for purposes of BART is to establish a threshold (measured in deciviews) against which to measure the visibility impact of one or more sources. A single source that is responsible for a 1.0 deciview change or more should be considered to “cause” visibility impairment; a source that causes less than a 1.0 deciview change may still contribute to visibility impairment and thus be subject to BART.

Because of varying circumstances affecting different Class I areas, the appropriate threshold for determining whether a source “contributes to any visibility impairment” for the purposes of BART may reasonably differ across States. As a general matter, any threshold that you use for determining whether a source “contributes” to visibility impairment should not be higher than 0.5 deciviews.

In setting a threshold for “contribution,” you should consider the number of emissions sources affecting the Class I areas at issue and the magnitude of the individual sources’ impacts.⁵ In general, a larger number of sources causing impacts in a Class I area may warrant a lower contribution threshold. States remain free to use a threshold lower than 0.5 deciviews if they conclude that the location of a large number of BART-eligible sources within the State and in proximity to a Class I area justify this approach.⁶

⁵We expect that regional planning organizations will have modeling information that identifies sources affecting visibility in individual class I areas.

⁶Note that the contribution threshold should be used to determine whether an individual source is reasonably anticipated to contribute to visibility impairment. You should not aggregate the visibility effects of multiple sources and compare their collective effects against your contribution threshold because this would inappropriately create a “contribute to contribution” test.

2. What Pollutants Do I Need To Consider?

You must look at SO₂, NO_x, and direct particulate matter (PM) emissions in determining whether sources cause or contribute to visibility impairment, including both PM₁₀ and PM_{2.5}. Consistent with the approach for identifying your BART-eligible sources, you do not need to consider less than de minimis emissions of these pollutants from a source.

As explained in section II, you must use your best judgement to determine whether VOC or ammonia emissions are likely to have an impact on visibility in an area. In addition, although as explained in Section II, you may use PM₁₀ an indicator for particulate matter in determining whether a source is BART-eligible, in determining whether a source contributes to visibility impairment, you should distinguish between the fine and coarse particle components of direct particulate emissions. Although both fine and coarse particulate matter contribute to visibility impairment, the long-range transport of fine particles is of particular concern in the formation of regional haze. Air quality modeling results used in the BART determination will provide a more accurate prediction of a source's impact on visibility if the inputs into the model account for the relative particle size of any directly emitted particulate matter (*i.e.*, PM₁₀ vs. PM_{2.5}).

3. What Kind of Modeling Should I Use To Determine Which Sources and Pollutants Need Not Be Subject to BART?

This section presents several options for determining that certain sources need not be subject to BART. These options rely on different modeling and/or emissions analysis approaches. They are provided for your guidance. You may also use other reasonable approaches for analyzing the visibility impacts of an individual source or group of sources.

Option 1: Individual Source Attribution Approach (Dispersion Modeling)

You can use dispersion modeling to determine that an individual source cannot reasonably be anticipated to cause or contribute to visibility impairment in a Class I area and thus is not subject to BART. Under this option, you can analyze an individual source's impact on visibility as a result of its emissions of SO₂, NO_x and direct PM emissions. Dispersion modeling cannot currently be used to estimate the predicted impacts on visibility from an individual source's emissions of VOC or ammonia. You may use a more qualitative assessment to determine on a case-by-case basis which sources of VOC or ammonia emissions may be likely to impair visibility and should therefore be subject to BART review, as explained in section II.A.3. above.

You can use CALPUFF⁷ or other appropriate model to predict the visibility impacts from a single source at a Class I area. CALPUFF is the best regulatory modeling application currently available for predicting a single source's contribution to visibility impairment and is currently the only EPA-approved model for use in estimating single source pollutant concentrations resulting from the long range transport of primary pollutants.⁸ It can also be used for some other purposes, such as the visibility assessments addressed in today's rule, to account for the chemical transformation of SO₂ and NO_x.

There are several steps for making an individual source attribution using a dispersion model:

1. *Develop a modeling protocol.* Some critical items to include in the protocol are the meteorological and terrain data that will be used, as well as the source-specific information (stack height, temperature, exit velocity, elevation, and emission rates of applicable pollutants) and receptor data from appropriate Class I areas. We recommend following EPA's *Interagency Workgroup on Air Quality Modeling (IWAQM) Phase 2 Summary Report and Recommendations for Modeling Long Range Transport Impacts*⁹ for parameter settings and meteorological data inputs. You may use other settings from those in IWAQM, but you should identify these settings and explain your selection of these settings.

One important element of the protocol is in establishing the receptors that will be used in the model. The receptors that you use should be located in the nearest Class I area with sufficient density to identify the likely visibility effects of the source. For other Class I areas in relatively close proximity to a BART-eligible source, you may model a few strategic receptors to determine whether effects at those areas may be greater than at the nearest Class I area. For example, you might chose to locate receptors at these areas at the closest point to the

⁷The model code and its documentation are available at no cost for download from <http://www.epa.gov/scram001/tt22.htm#calpuff>.

⁸The Guideline on Air Quality Models, 40 CFR part 51, appendix W, addresses the regulatory application of air quality models for assessing criteria pollutants under the CAA, and describes further the procedures for using the CALPUFF model, as well as for obtaining approval for the use of other, non-guideline models.

⁹*Interagency Workgroup on Air Quality Modeling (IWAQM) Phase 2 Summary Report and Recommendations for Modeling Long Range Transport Impacts*, U.S. Environmental Protection Agency, EPA-454/R-98-019, December 1998.

source, at the highest and lowest elevation in the Class I area, at the IMPROVE monitor, and at the approximate expected plume release height. If the highest modeled effects are observed at the nearest Class I area, you may choose not to analyze the other Class I areas any further as additional analyses might be unwarranted.

You should bear in mind that some receptors within the relevant Class I area may be less than 50 km from the source while other receptors within that same Class I area may be greater than 50 km from the same source. As indicated by the Guideline on Air Quality Models, 40 CFR part 51, appendix W, this situation may call for the use of two different modeling approaches for the same Class I area and source, depending upon the State's chosen method for modeling sources less than 50 km. In situations where you are assessing visibility impacts for source-receptor distances less than 50 km, you should use expert modeling judgment in determining visibility impacts, giving consideration to both CALPUFF and other appropriate methods.

In developing your modeling protocol, you may want to consult with EPA and your regional planning organization (RPO). Up-front consultation will ensure that key technical issues are addressed before you conduct your modeling.

2. *With the accepted protocol and compare the predicted visibility impacts with your threshold for "contribution."* You should calculate daily visibility values for each receptor as the change in deciviews compared against natural visibility conditions. You can use EPA's "Guidance for Estimating Natural Visibility Conditions Under the Regional Haze Rule," EPA-454/B-03-005 (September 2003) in making this calculation. To determine whether a source may reasonably be anticipated to cause or contribute to visibility impairment at Class I area, you then compare the impacts predicted by the model against the threshold that you have selected.

The emissions estimates used in the models are intended to reflect steady-state operating conditions during periods of high capacity utilization. We do not generally recommend that emissions reflecting periods of start-up, shutdown, and malfunction be used, as such emission rates could produce higher than normal effects than would be typical of most facilities. We recommend that States use the 24 hour average actual emission rate from the highest emitting day of the meteorological period modeled, unless this rate reflects periods start-up, shutdown, or malfunction. In addition, the monthly average relative humidity is used, rather than the daily average humidity—an approach that effectively lowers the peak values in daily model averages.

For these reasons, if you use the modeling approach we recommend, you should compare your "contribution" threshold against

the 98th percentile of values. If the 98th percentile value from your modeling is less than your contribution threshold, then you may conclude that the source does not contribute to visibility impairment and is not subject to BART.

Option 2: Use of Model Plants To Exempt Individual Sources With Common Characteristics

Under this option, analyses of model plants could be used to exempt certain BART-eligible sources that share specific characteristics. It may be most useful to use this type of analysis to identify the types of small sources that do not cause or contribute to visibility impairment for purposes of BART, and thus should not be subject to a BART review. Different Class I areas may have different characteristics, however, so you should use care to ensure that the criteria you develop are appropriate for the applicable cases.

In carrying out this approach, you could use modeling analyses of representative plants to reflect groupings of specific sources with important common characteristics. Based on these analyses, you may find that certain types of sources are clearly anticipated to cause or contribute to visibility impairment. You could then choose to categorically require those types of sources to undergo a BART determination. Conversely, you may find based on representative plant analyses that certain types of sources are not reasonably anticipated to cause or contribute to visibility impairment. To do this, you may conduct your own modeling to establish emission levels and distances from Class I areas on which you can rely to exempt sources with those characteristics. For example, based on your modeling you might choose to exempt all NO_x-only sources that emit less than a certain amount per year and are located a certain distance from a Class I area. You could then choose to categorically exempt such sources from the BART determination process.

Our analyses of visibility impacts from model plants provide a useful example of the type of analyses that can be used to exempt categories of sources from BART.¹⁰ In our analyses, we developed model plants (EGUs and non-EGUs), with representative plume and stack characteristics, for use in considering the visibility impact from emission sources of different sizes and compositions at distances of 50, 100 and 200 kilometers from two hypothetical Class I areas (one in the East and one in the West). As the plume and stack characteristics of these model plants were developed considering the broad range

¹⁰CALPUFF Analysis in Support of the June 2005 Changes to the Regional Haze Rule, U.S. Environmental Protection Agency, June 15, 2005, Docket No. OAR-2002-0076.

of sources within the EGU and non-EGU categories, they do not necessarily represent any specific plant. However, the results of these analyses are instructive in the development of an exemption process for any Class I area.

In preparing our analyses, we have made a number of assumptions and exercised certain modeling choices; some of these have a tendency to lend conservatism to the results, overstating the likely effects, while others may understate the likely effects. On balance, when all of these factors are considered, we believe that our examples reflect realistic treatments of the situations being modeled. Based on our analyses, we believe that a State that has established 0.5 deciviews as a contribution threshold could reasonably exempt from the BART review process sources that emit less than 500 tons per year of NO_x or SO₂ (or combined NO_x and SO₂), as long as these sources are located more than 50 kilometers from any Class I area; and sources that emit less than 1000 tons per year of NO_x or SO₂ (or combined NO_x and SO₂) that are located more than 100 kilometers from any Class I area. You do, however, have the option of showing other thresholds might also be appropriate given your specific circumstances.

Option 3: Cumulative Modeling To Show That No Sources in a State Are Subject to BART

You may also submit to EPA a demonstration based on an analysis of overall visibility impacts that emissions from BART-eligible sources in your State, considered together, are not reasonably anticipated to cause or contribute to any visibility impairment in a Class I area, and thus no source should be subject to BART. You may do this on a pollutant by pollutant basis or for all visibility-impairing pollutants to determine if emissions from these sources contribute to visibility impairment.

For example, emissions of SO₂ from your BART-eligible sources may clearly cause or contribute to visibility impairment while direct emissions of PM_{2.5} from these sources may not contribute to impairment. If you can make such a demonstration, then you may reasonably conclude that none of your BART-eligible sources are subject to BART for a particular pollutant or pollutants. As noted above, your demonstration should take into account the interactions among pollutants and their resulting impacts on visibility before making any pollutant-specific determinations.

Analyses may be conducted using several alternative modeling approaches. First, you may use the CALPUFF or other appropriate model as described in Option 1 to evaluate the impacts of individual sources on downwind Class I areas, aggregating those impacts to determine the collective contribution of all BART-eligible sources to visi-

bility impairment. You may also use a photochemical grid model. As a general matter, the larger the number of sources being modeled, the more appropriate it may be to use a photochemical grid model. However, because such models are significantly less sensitive than dispersion models to the contributions of one or a few sources, as well as to the interactions among sources that are widely distributed geographically, if you wish to use a grid model, you should consult with the appropriate EPA Regional Office to develop an appropriate modeling protocol.

IV. THE BART DETERMINATION: ANALYSIS OF BART OPTIONS

This section describes the process for the analysis of control options for sources subject to BART.

A. What factors must I address in the BART review?

The visibility regulations define BART as follows:

Best Available Retrofit Technology (BART) means an emission limitation based on the degree of reduction achievable through the application of the best system of continuous emission reduction for each pollutant which is emitted by . . . [a BART-eligible source]. The emission limitation must be established, on a case-by-case basis, taking into consideration the technology available, the costs of compliance, the energy and non-air quality environmental impacts of compliance, any pollution control equipment in use or in existence at the source, the remaining useful life of the source, and the degree of improvement in visibility which may reasonably be anticipated to result from the use of such technology.

The BART analysis identifies the best system of continuous emission reduction taking into account:

- (1) The available retrofit control options,
- (2) Any pollution control equipment in use at the source (which affects the availability of options and their impacts),
- (3) The costs of compliance with control options,
- (4) The remaining useful life of the facility,
- (5) The energy and non-air quality environmental impacts of control options
- (6) The visibility impacts analysis.

B. What is the scope of the BART review?

Once you determine that a source is subject to BART for a particular pollutant, then for each affected emission unit, you must establish BART for that pollutant. The BART determination must address air pollution control measures for each emissions unit or pollutant emitting activity subject to review.

Example: Plantwide emissions from emission units within the listed categories that

began operation within the “time window” for BART¹¹ are 300 tons/yr of NO_x, 200 tons/yr of SO₂, and 150 tons/yr of primary particulate. Emissions unit A emits 200 tons/yr of NO_x, 100 tons/yr of SO₂, and 100 tons/yr of primary particulate. Other emission units, units B through H, which began operating in 1966, contribute lesser amounts of each pollutant. For this example, a BART review is required for NO_x, SO₂, and primary particulate, and control options must be analyzed for units B through H as well as unit A.

C. How does a BART review relate to Maximum Achievable Control Technology (MACT) Standards under CAA section 112, or to other emission limitations required under the CAA?

For VOC and PM sources subject to MACT standards, States may streamline the analysis by including a discussion of the MACT controls and whether any major new technologies have been developed subsequent to the MACT standards. We believe that there are many VOC and PM sources that are well controlled because they are regulated by the MACT standards, which EPA developed under CAA section 112. For a few MACT standards, this may also be true for SO₂. Any source subject to MACT standards must meet a level that is as stringent as the best-controlled 12 percent of sources in the industry. Examples of these hazardous air pollutant sources which effectively control VOC and PM emissions include (among others) secondary lead facilities, organic chemical plants subject to the hazardous organic NESHAP (HON), pharmaceutical production facilities, and equipment leaks and wastewater operations at petroleum refineries. We believe that, in many cases, it will be unlikely that States will identify emission controls more stringent than the MACT standards without identifying control options that would cost many thousands of dollars per ton. Unless there are new technologies subsequent to the MACT standards which would lead to cost-effective increases in the level of control, you may rely on the MACT standards for purposes of BART.

We believe that the same rationale also holds true for emissions standards developed for municipal waste incinerators under CAA section 111(d), and for many NSR/PSD determinations and NSR/PSD settlement agreements. However, we do not believe that technology determinations from the 1970s or early 1980s, including new source performance standards (NSPS), should be considered to represent best control for existing sources, as best control levels for recent

plant retrofits are more stringent than these older levels.

Where you are relying on these standards to represent a BART level of control, you should provide the public with a discussion of whether any new technologies have subsequently become available.

D. What Are the Five Basic Steps of a Case-by-Case BART Analysis?

The five steps are:

- STEP 1—Identify All¹² Available Retrofit Control Technologies,
- STEP 2—Eliminate Technically Infeasible Options,
- STEP 3—Evaluate Control Effectiveness of Remaining Control Technologies,
- STEP 4—Evaluate Impacts and Document the Results, and
- STEP 5—Evaluate Visibility Impacts.

1. STEP 1: How do I identify all available retrofit emission control techniques?

1. Available retrofit control options are those air pollution control technologies with a practical potential for application to the emissions unit and the regulated pollutant under evaluation. Air pollution control technologies can include a wide variety of available methods, systems, and techniques for control of the affected pollutant. Technologies required as BACT or LAER are available for BART purposes and must be included as control alternatives. The control alternatives can include not only existing controls for the source category in question but also take into account technology transfer of controls that have been applied to similar source categories and gas streams. Technologies which have not yet been applied to (or permitted for) full scale operations need not be considered as available; we do not expect the source owner to purchase or construct a process or control device that has not already been demonstrated in practice.

2. Where a NSPS exists for a source category (which is the case for most of the categories affected by BART), you should include a level of control equivalent to the NSPS as one of the control options.¹³ The

¹²In identifying “all” options, you must identify the most stringent option and a reasonable set of options for analysis that reflects a comprehensive list of available technologies. It is not necessary to list all permutations of available control levels that exist for a given technology—the list is complete if it includes the maximum level of control each technology is capable of achieving.

¹³In EPA’s 1980 BART guidelines for reasonably attributable visibility impairment, we concluded that NSPS standards generally, at that time, represented the best

¹¹That is, emission units that were in existence on August 7, 1977 and which began actual operation on or after August 7, 1962.

NSPS standards are codified in 40 CFR part 60. We note that there are situations where NSPS standards do not require the most stringent level of available control for all sources within a category. For example, post-combustion NO_x controls (the most stringent controls for stationary gas turbines) are not required under subpart GG of the NSPS for Stationary Gas Turbines. However, such controls must still be considered available technologies for the BART selection process.

3. Potentially applicable retrofit control alternatives can be categorized in three ways.

- Pollution prevention: use of inherently lower-emitting processes/practices, including the use of control techniques (e.g., low-NO_x burners) and work practices that prevent emissions and result in lower “production-specific” emissions (note that it is not our intent to direct States to switch fuel forms, e.g., from coal to gas),

- Use of (and where already in place, improvement in the performance of) add-on controls, such as scrubbers, fabric filters, thermal oxidizers and other devices that control and reduce emissions after they are produced, and

- Combinations of inherently lower-emitting processes and add-on controls.

4. In the course of the BART review, one or more of the available control options may be eliminated from consideration because they are demonstrated to be technically infeasible or to have unacceptable energy, cost, or non-air quality environmental impacts on a case-by-case (or site-specific) basis. However, at the outset, you should initially identify all control options with potential application to the emissions unit under review.

5. We do not consider BART as a requirement to redesign the source when considering available control alternatives. For example, where the source subject to BART is a coal-fired electric generator, we do not require the BART analysis to consider building a natural gas-fired electric turbine although the turbine may be inherently less polluting on a per unit basis.

level sources could install as BART. In the 20 year period since this guidance was developed, there have been advances in SO₂ control technologies as well as technologies for the control of other pollutants, confirmed by a number of recent retrofits at Western power plants. Accordingly, EPA no longer concludes that the NSPS level of controls automatically represents “the best these sources can install.” Analysis of the BART factors could result in the selection of a NSPS level of control, but you should reach this conclusion only after considering the full range of control options.

6. For emission units subject to a BART review, there will often be control measures or devices already in place. For such emission units, it is important to include control options that involve improvements to existing controls and not to limit the control options only to those measures that involve a complete replacement of control devices.

Example: For a power plant with an existing wet scrubber, the current control efficiency is 66 percent. Part of the reason for the relatively low control efficiency is that 22 percent of the gas stream bypasses the scrubber. A BART review identifies options for improving the performance of the wet scrubber by redesigning the internal components of the scrubber and by eliminating or reducing the percentage of the gas stream that bypasses the scrubber. Four control options are identified: (1) 78 percent control based upon improved scrubber performance while maintaining the 22 percent bypass, (2) 83 percent control based upon improved scrubber performance while reducing the bypass to 15 percent, (3) 93 percent control based upon improving the scrubber performance while eliminating the bypass entirely, (this option results in a “wet stack” operation in which the gas leaving the stack is saturated with water) and (4) 93 percent as in option 3, with the addition of an indirect reheat system to reheat the stack gas above the saturation temperature. You must consider each of these four options in a BART analysis for this source.

7. You are expected to identify potentially applicable retrofit control technologies that represent the full range of demonstrated alternatives. Examples of general information sources to consider include:

- The EPA’s Clean Air Technology Center, which includes the RACT/BACT/LAER Clearinghouse (RBLIC);

- State and Local Best Available Control Technology Guidelines—many agencies have online information—for example South Coast Air Quality Management District, Bay Area Air Quality Management District, and Texas Natural Resources Conservation Commission;

- Control technology vendors;

- Federal/State/Local NSR permits and associated inspection/performance test reports;

- Environmental consultants;

- Technical journals, reports and newsletters, air pollution control seminars; and

- The EPA’s NSR bulletin board—<http://www.epa.gov/ttn/nsr>;

- Department of Energy’s Clean Coal Program—technical reports;

- The NO_x Control Technology “Cost Tool”—Clean Air Markets Division Web page—<http://www.epa.gov/airmarkets/arp/nox/controltech.html>;

- Performance of selective catalytic reduction on coal-fired steam generating units—

final report. OAR/ARD, June 1997 (also available at <http://www.epa.gov/airmarkets/arp/nox/controltech.html>);

- Cost estimates for selected applications of NO_x control technologies on stationary combustion boilers. OAR/ARD June 1997. (Docket for NO_x SIP Call, A-96-56, item II-A-03);

- Investigation of performance and cost of NO_x controls as applied to group 2 boilers. OAR/ARD, August 1996. (Docket for Phase II NO_x rule, A-95-28, item IV-A-4);

- Controlling SO₂ Emissions: A Review of Technologies. EPA-600/R-00-093, USEPA/ORD/NRMRL, October 2000; and

- The OAQPS Control Cost Manual.

You are expected to compile appropriate information from these information sources.

8. There may be situations where a specific set of units within a fence line constitutes the logical set to which controls would apply and that set of units may or may not all be BART-eligible. (For example, some units in that set may not have been constructed between 1962 and 1977.)

9. If you find that a BART source has controls already in place which are the most stringent controls available (note that this means that all possible improvements to any control devices have been made), then it is not necessary to comprehensively complete each following step of the BART analysis in this section. As long as these most stringent controls available are made federally enforceable for the purpose of implementing BART for that source, you may skip the remaining analyses in this section, including the visibility analysis in step 5. Likewise, if a source commits to a BART determination that consists of the most stringent controls available, then there is no need to complete the remaining analyses in this section.

2. STEP 2: How do I determine whether the options identified in Step 1 are technically feasible?

In Step 2, you evaluate the technical feasibility of the control options you identified in Step 1. You should document a demonstration of technical infeasibility and should explain, based on physical, chemical, or engineering principles, why technical difficulties would preclude the successful use of the control option on the emissions unit under review. You may then eliminate such technically infeasible control options from further consideration in the BART analysis.

In general, what do we mean by technical feasibility?

Control technologies are technically feasible if either (1) they have been installed and operated successfully for the type of source under review under similar conditions, or (2) the technology could be applied to the source under review. Two key con-

cepts are important in determining whether a technology could be applied: “availability” and “applicability.” As explained in more detail below, a technology is considered “available” if the source owner may obtain it through commercial channels, or it is otherwise available within the common sense meaning of the term. An available technology is “applicable” if it can reasonably be installed and operated on the source type under consideration. A technology that is available and applicable is technically feasible.

What do we mean by “available” technology?

1. The typical stages for bringing a control technology concept to reality as a commercial product are:

- Concept stage;
- Research and patenting;
- Bench scale or laboratory testing;
- Pilot scale testing;
- Licensing and commercial demonstration; and
- Commercial sales.

2. A control technique is considered available, within the context presented above, if it has reached the stage of licensing and commercial availability. Similarly, we do not expect a source owner to conduct extended trials to learn how to apply a technology on a totally new and dissimilar source type. Consequently, you would not consider technologies in the pilot scale testing stages of development as “available” for purposes of BART review.

3. Commercial availability by itself, however, is not necessarily a sufficient basis for concluding a technology to be applicable and therefore technically feasible. Technical feasibility, as determined in Step 2, also means a control option may reasonably be deployed on or “applicable” to the source type under consideration.

Because a new technology may become available at various points in time during the BART analysis process, we believe that guidelines are needed on when a technology must be considered. For example, a technology may become available during the public comment period on the State’s rule development process. Likewise, it is possible that new technologies may become available after the close of the State’s public comment period and before submittal of the SIP to EPA, or during EPA’s review process on the SIP submittal. In order to provide certainty in the process, all technologies should be considered if available before the close of the State’s public comment period. You need not consider technologies that become available after this date. As part of your analysis, you should consider any technologies brought to your attention in public comments. If you disagree with public comments asserting that the technology is available, you should

provide an explanation for the public record as to the basis for your conclusion.

What do we mean by “applicable” technology?

You need to exercise technical judgment in determining whether a control alternative is applicable to the source type under consideration. In general, a commercially available control option will be presumed applicable if it has been used on the same or a similar source type. Absent a showing of this type, you evaluate technical feasibility by examining the physical and chemical characteristics of the pollutant-bearing gas stream, and comparing them to the gas stream characteristics of the source types to which the technology had been applied previously. Deployment of the control technology on a new or existing source with similar gas stream characteristics is generally a sufficient basis for concluding the technology is technically feasible barring a demonstration to the contrary as described below.

What type of demonstration is required if I conclude that an option is not technically feasible?

1. Where you conclude that a control option identified in Step 1 is technically infeasible, you should demonstrate that the option is either commercially unavailable, or that specific circumstances preclude its application to a particular emission unit. Generally, such a demonstration involves an evaluation of the characteristics of the pollutant-bearing gas stream and the capabilities of the technology. Alternatively, a demonstration of technical infeasibility may involve a showing that there are unresolvable technical difficulties with applying the control to the source (e.g., size of the unit, location of the proposed site, operating problems related to specific circumstances of the source, space constraints, reliability, and adverse side effects on the rest of the facility). Where the resolution of technical difficulties is merely a matter of increased cost, you should consider the technology to be technically feasible. The cost of a control alternative is considered later in the process.

2. The determination of technical feasibility is sometimes influenced by recent air quality permits. In some cases, an air quality permit may require a certain level of control, but the level of control in a permit is not expected to be achieved in practice (e.g., a source has received a permit but the project was canceled, or every operating source at that permitted level has been physically unable to achieve compliance with the limit). Where this is the case, you should provide supporting documentation showing why such limits are not technically feasible, and, therefore, why the level of control (but not necessarily the technology) may be

eliminated from further consideration. However, if there is a permit requiring the application of a certain technology or emission limit to be achieved for such technology, this usually is sufficient justification for you to assume the technical feasibility of that technology or emission limit.

3. Physical modifications needed to resolve technical obstacles do not, in and of themselves, provide a justification for eliminating the control technique on the basis of technical infeasibility. However, you may consider the cost of such modifications in estimating costs. This, in turn, may form the basis for eliminating a control technology (see later discussion).

4. Vendor guarantees may provide an indication of commercial availability and the technical feasibility of a control technique and could contribute to a determination of technical feasibility or technical infeasibility, depending on circumstances. However, we do not consider a vendor guarantee alone to be sufficient justification that a control option will work. Conversely, lack of a vendor guarantee by itself does not present sufficient justification that a control option or an emissions limit is technically infeasible. Generally, you should make decisions about technical feasibility based on chemical, and engineering analyses (as discussed above), in conjunction with information about vendor guarantees.

5. A possible outcome of the BART procedures discussed in these guidelines is the evaluation of multiple control technology alternatives which result in essentially equivalent emissions. It is not our intent to encourage evaluation of unnecessarily large numbers of control alternatives for every emissions unit. Consequently, you should use judgment in deciding on those alternatives for which you will conduct the detailed impacts analysis (Step 4 below). For example, if two or more control techniques result in control levels that are essentially identical, considering the uncertainties of emissions factors and other parameters pertinent to estimating performance, you may evaluate only the less costly of these options. You should narrow the scope of the BART analysis in this way only if there is a negligible difference in emissions and energy and non-air quality environmental impacts between control alternatives.

3. STEP 3: How do I evaluate technically feasible alternatives?

Step 3 involves evaluating the control effectiveness of all the technically feasible control alternatives identified in Step 2 for the pollutant and emissions unit under review.

Two key issues in this process include:

(1) Making sure that you express the degree of control using a metric that ensures

an “apples to apples” comparison of emissions performance levels among options, and

(2) Giving appropriate treatment and consideration of control techniques that can operate over a wide range of emission performance levels.

What are the appropriate metrics for comparison?

This issue is especially important when you compare inherently lower-polluting processes to one another or to add-on controls. In such cases, it is generally most effective to express emissions performance as an average steady state emissions level per unit of product produced or processed.

Examples of common metrics:

- Pounds of SO₂ emissions per million Btu heat input, and
- Pounds of NO_x emissions per ton of cement produced.

How do I evaluate control techniques with a wide range of emission performance levels?

1. Many control techniques, including both add-on controls and inherently lower polluting processes, can perform at a wide range of levels. Scrubbers and high and low efficiency electrostatic precipitators (ESPs) are two of the many examples of such control techniques that can perform at a wide range of levels. It is not our intent to require analysis of each possible level of efficiency for a control technique as such an analysis would result in a large number of options. It is important, however, that in analyzing the technology you take into account the most stringent emission control level that the technology is capable of achieving. You should consider recent regulatory decisions and performance data (e.g., manufacturer’s data, engineering estimates and the experience of other sources) when identifying an emissions performance level or levels to evaluate.

2. In assessing the capability of the control alternative, latitude exists to consider special circumstances pertinent to the specific source under review, or regarding the prior application of the control alternative. However, you should explain the basis for choosing the alternate level (or range) of control in the BART analysis. Without a showing of differences between the source and other sources that have achieved more stringent emissions limits, you should conclude that the level being achieved by those other sources is representative of the achievable level for the source being analyzed.

3. You may encounter cases where you may wish to evaluate other levels of control in addition to the most stringent level for a given device. While you must consider the most stringent level as one of the control options, you may consider less stringent levels of control as additional options. This would be useful, particularly in cases where the se-

lection of additional options would have widely varying costs and other impacts.

4. Finally, we note that for retrofitting existing sources in addressing BART, you should consider ways to improve the performance of existing control devices, particularly when a control device is not achieving the level of control that other similar sources are achieving in practice with the same device. For example, you should consider requiring those sources with electrostatic precipitators (ESPs) performing below currently achievable levels to improve their performance.

4. STEP 4: For a BART review, what impacts am I expected to calculate and report? What methods does EPA recommend for the impacts analysis?

After you identify the available and technically feasible control technology options, you are expected to conduct the following analyses when you make a BART determination:

Impact analysis part 1: Costs of compliance,

Impact analysis part 2: Energy impacts, and

Impact analysis part 3: Non-air quality environmental impacts.

Impact analysis part 4: Remaining useful life.

In this section, we describe how to conduct each of these three analyses. You are responsible for presenting an evaluation of each impact along with appropriate supporting information. You should discuss and, where possible, quantify both beneficial and adverse impacts. In general, the analysis should focus on the direct impact of the control alternative.

a. Impact analysis part 1: how do I estimate the costs of control?

1. To conduct a cost analysis, you:

- (1) Identify the emissions units being controlled,
- (2) Identify design parameters for emission controls, and
- (3) Develop cost estimates based upon those design parameters.

2. It is important to identify clearly the emission units being controlled, that is, to specify a well-defined area or process segment within the plant. In some cases, multiple emission units can be controlled jointly. However, in other cases, it may be appropriate in the cost analysis to consider whether multiple units will be required to install separate and/or different control devices. The analysis should provide a clear summary list of equipment and the associated control costs. Inadequate documentation of the equipment whose emissions are being controlled is a potential cause for confusion in

comparison of costs of the same controls applied to similar sources.

3. You then specify the control system design parameters. Potential sources of these design parameters include equipment vendors, background information documents used to support NSPS development, control technique guidelines documents, cost manuals developed by EPA, control data in trade publications, and engineering and performance test data. The following are a few examples of design parameters for two example control measures:

Control device	Examples of design parameters
Wet Scrubbers	Type of sorbent used (lime, limestone, etc.). Gas pressure drop. Liquid/gas ratio.
Selective Catalytic Reduction.	Ammonia to NO _x molar ratio. Pressure drop. Catalyst life.

4. The value selected for the design parameter should ensure that the control option will achieve the level of emission control being evaluated. You should include in your analysis documentation of your assumptions regarding design parameters. Examples of supporting references would include the EPA OAQPS *Control Cost Manual* (see below) and background information documents used for NSPS and hazardous pollutant emission standards. If the design parameters you specified differ from typical designs, you should document the difference by supplying performance test data for the control technology in question applied to the same source or a similar source.

5. Once the control technology alternatives and achievable emissions performance levels have been identified, you then develop estimates of capital and annual costs. The basis for equipment cost estimates also should be documented, either with data supplied by an equipment vendor (i.e., budget estimates or bids) or by a referenced source (such as the *OAQPS Control Cost Manual*, Fifth Edition, February 1996, EPA 453/B-96-001).¹⁴ In order to maintain and improve consistency, cost estimates should be based on the *OAQPS Control Cost Manual*, where possible.¹⁵ The

¹⁴The *OAQPS Control Cost Manual* is updated periodically. While this citation refers to the latest version at the time this guidance was written, you should use the version that is current as of when you conduct your impact analysis. This document is available at the following Web site: <http://www.epa.gov/ttn/catc/dir1/cs1ch2.pdf>.

¹⁵You should include documentation for any additional information you used for the cost calculations, including any information supplied by vendors that affects your assumptions regarding purchased equipment

Control Cost Manual addresses most control technologies in sufficient detail for a BART analysis. The cost analysis should also take into account any site-specific design or other conditions identified above that affect the cost of a particular BART technology option.

b. What do we mean by cost effectiveness?

Cost effectiveness, in general, is a criterion used to assess the potential for achieving an objective in the most economical way. For purposes of air pollutant analysis, “effectiveness” is measured in terms of tons of pollutant emissions removed, and “cost” is measured in terms of annualized control costs. We recommend two types of cost-effectiveness calculations—average cost effectiveness, and incremental cost effectiveness.

c. How do I calculate average cost effectiveness?

Average cost effectiveness means the total annualized costs of control divided by annual emissions reductions (the difference between baseline annual emissions and the estimate of emissions after controls), using the following formula:

$$\text{Average cost effectiveness (dollars per ton removed)} = \frac{\text{Control option annualized cost}^{16}}{\text{Emissions reduction}}$$

Baseline annual emissions—Annual emissions with Control option

Because you calculate costs in (annualized) dollars per year (\$/yr) and because you calculate emissions rates in tons per year (tons/yr), the result is an average cost-effectiveness number in (annualized) dollars per ton (\$/ton) of pollutant removed.

d. How do I calculate baseline emissions?

1. The baseline emissions rate should represent a realistic depiction of anticipated annual emissions for the source. In general, for the existing sources subject to BART, you will estimate the anticipated annual emissions based upon actual emissions from a baseline period.

2. When you project that future operating parameters (e.g., limited hours of operation or capacity utilization, type of fuel, raw materials or product mix or type) will differ from past practice, and if this projection has a deciding effect in the BART determination,

costs, equipment life, replacement of major components, and any other element of the calculation that differs from the *Control Cost Manual*.

¹⁶Whenever you calculate or report annual costs, you should indicate the year for which the costs are estimated. For example, if you use the year 2000 as the basis for cost comparisons, you would report that an annualized cost of \$20 million would be: \$20 million (year 2000 dollars).

then you must make these parameters or assumptions into enforceable limitations. In the absence of enforceable limitations, you calculate baseline emissions based upon continuation of past practice.

3. For example, the baseline emissions calculation for an emergency standby generator may consider the fact that the source owner would not operate more than past practice of 2 weeks a year. On the other hand, baseline emissions associated with a base-loaded turbine should be based on its past practice which would indicate a large number of hours of operation. This produces a significantly higher level of baseline emissions than in the case of the emergency/standby unit and results in more cost-effective controls. As a consequence of the dissimilar baseline emissions, BART for the two cases could be very different.

e. How do I calculate incremental cost effectiveness?

1. In addition to the average cost effectiveness of a control option, you should also calculate incremental cost effectiveness. You should consider the incremental cost effectiveness in combination with the average cost effectiveness when considering whether to eliminate a control option. The incremental cost effectiveness calculation compares the costs and performance level of a control option to those of the next most stringent option, as shown in the following formula (with respect to cost per emissions reduction):

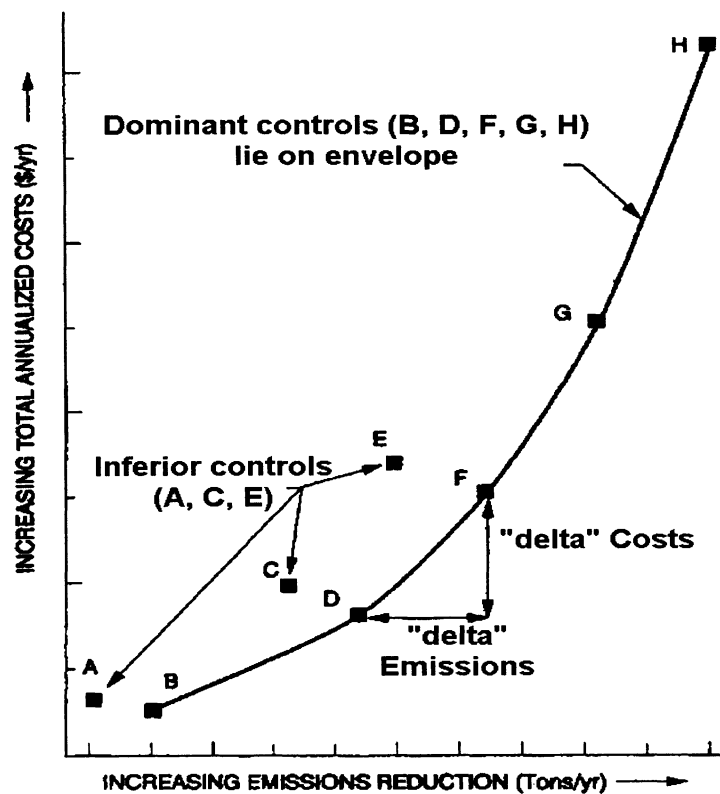
$$\text{Incremental Cost Effectiveness (dollars per incremental ton removed)} = \frac{(\text{Total annualized costs of control option}) - (\text{Total annualized costs of next control option})}{(\text{Control option annual emissions}) - (\text{Next control option annual emissions})}$$

Example 1: Assume that Option F on Figure 2 has total annualized costs of \$1 million to reduce 2000 tons of a pollutant, and that Option D on Figure 2 has total annualized costs

of \$500,000 to reduce 1000 tons of the same pollutant. The incremental cost effectiveness of Option F relative to Option D is (\$1 million - \$500,000) divided by (2000 tons - 1000 tons), or \$500,000 divided by 1000 tons, which is \$500/ton.

Example 2: Assume that two control options exist: Option 1 and Option 2. Option 1 achieves a 1,000 ton/yr reduction at an annualized cost of \$1,900,000. This represents an average cost of (\$1,900,000/1,000 tons) = \$1,900/ton. Option 2 achieves a 980 tons/yr reduction at an annualized cost of \$1,500,000. This represents an average cost of (\$1,500,000/980 tons) = \$1,531/ton. The incremental cost effectiveness of Option 1 relative to Option 2 is (\$1,900,000 - \$1,500,000) divided by (1,000 tons - 980 tons). The adoption of Option 1 instead of Option 2 results in an incremental emission reduction of 20 tons per year at an additional cost of \$400,000 per year. The incremental cost of Option 1, then, is \$20,000 per ton - 11 times the average cost of \$1,900 per ton. While \$1,900 per ton may still be deemed reasonable, it is useful to consider both the average and incremental cost in making an overall cost-effectiveness finding. Of course, there may be other differences between these options, such as, energy or water use, or non-air environmental effects, which also should be considered in selecting a BART technology.

2. You should exercise care in deriving incremental costs of candidate control options. Incremental cost-effectiveness comparisons should focus on annualized cost and emission reduction differences between "dominant" alternatives. To identify dominant alternatives, you generate a graphical plot of total annualized costs for total emissions reductions for all control alternatives identified in the BART analysis, and by identifying a "least-cost envelope" as shown in Figure 2. (A "least-cost envelope" represents the set of options that should be dominant in the choice of a specific option.)



Example: Eight technically feasible control options for analysis are listed. These are represented as A through H in Figure 2. The dominant set of control options, B, D, F, G, and H, represent the least-cost envelope, as you depict by the cost curve connecting them. Points A, C and E are inferior options, and you should not use them in calculating incremental cost effectiveness. Points A, C and E represent inferior controls because B will buy more emissions reductions for less money than A; and similarly, D and F will buy more reductions for less money than C and E, respectively.

3. In calculating incremental costs, you:

(1) Array the control options in ascending order of annualized total costs,

(2) Develop a graph of the most reasonable smooth curve of the control options, as shown in Figure 2. This is to show the "least-cost envelope" discussed above; and

(3) Calculate the incremental cost effectiveness for each dominant option, which is the difference in total annual costs between that option and the next most stringent option, divided by the difference in emissions,

after controls have been applied, between those two control options. For example, using Figure 2, you would calculate incremental cost effectiveness for the difference between options B and D, options D and F, options F and G, and options G and H.

4. A comparison of incremental costs can also be useful in evaluating the viability of a specific control option over a range of efficiencies. For example, depending on the capital and operational cost of a control device, total and incremental cost may vary significantly (either increasing or decreasing) over the operational range of a control device. Also, the greater the number of possible control options that exist, the more weight should be given to the incremental costs vs. average costs. It should be noted that average and incremental cost effectiveness are identical when only one candidate control option is known to exist.

5. You should exercise caution not to misuse these techniques. For example, you may be faced with a choice between two available control devices at a source, control A and control B, where control B achieves slightly

greater emission reductions. The average cost (total annual cost/total annual emission reductions) for each may be deemed to be reasonable. However, the incremental cost (total annual cost_{A - B}/total annual emission reductions_{A - B}) of the additional emission reductions to be achieved by control B may be very great. In such an instance, it may be inappropriate to choose control B, based on its high incremental costs, even though its average cost may be considered reasonable.

6. In addition, when you evaluate the average or incremental cost effectiveness of a control alternative, you should make reasonable and supportable assumptions regarding control efficiencies. An unrealistically low assessment of the emission reduction potential of a certain technology could result in inflated cost-effectiveness figures.

f. What other information should I provide in the cost impacts analysis?

You should provide documentation of any unusual circumstances that exist for the source that would lead to cost-effectiveness estimates that would exceed that for recent retrofits. This is especially important in cases where recent retrofits have cost-effectiveness values that are within what has been considered a reasonable range, but your analysis concludes that costs for the source being analyzed are not considered reasonable. (A reasonable range would be a range that is consistent with the range of cost effectiveness values used in other similar permit decisions over a period of time.)

Example: In an arid region, large amounts of water are needed for a scrubbing system. Acquiring water from a distant location could greatly increase the cost per ton of emissions reduced of wet scrubbing as a control option.

g. What other things are important to consider in the cost impacts analysis?

In the cost analysis, you should take care not to focus on incomplete results or partial calculations. For example, large capital costs for a control option alone would not preclude selection of a control measure if large emissions reductions are projected. In such a case, low or reasonable cost effectiveness numbers may validate the option as an appropriate BART alternative irrespective of the large capital costs. Similarly, projects with relatively low capital costs may not be cost effective if there are few emissions reduced.

h. Impact analysis part 2: How should I analyze and report energy impacts?

1. You should examine the energy requirements of the control technology and determine whether the use of that technology results in energy penalties or benefits. A source owner may, for example, benefit from

the combustion of a concentrated gas stream rich in volatile organic compounds; on the other hand, more often extra fuel or electricity is required to power a control device or incinerate a dilute gas stream. If such benefits or penalties exist, they should be quantified to the extent practicable. Because energy penalties or benefits can usually be quantified in terms of additional cost or income to the source, the energy impacts analysis can, in most cases, simply be factored into the cost impacts analysis. The fact of energy use in and of itself does not disqualify a technology.

2. Your energy impact analysis should consider only direct energy consumption and not indirect energy impacts. For example, you could estimate the direct energy impacts of the control alternative in units of energy consumption at the source (e.g., BTU, kWh, barrels of oil, tons of coal). The energy requirements of the control options should be shown in terms of total (and in certain cases, also incremental) energy costs per ton of pollutant removed. You can then convert these units into dollar costs and, where appropriate, factor these costs into the control cost analysis.

3. You generally do not consider indirect energy impacts (such as energy to produce raw materials for construction of control equipment). However, if you determine, either independently or based on a showing by the source owner, that the indirect energy impact is unusual or significant and that the impact can be well quantified, you may consider the indirect impact.

4. The energy impact analysis may also address concerns over the use of locally scarce fuels. The designation of a scarce fuel may vary from region to region. However, in general, a scarce fuel is one which is in short supply locally and can be better used for alternative purposes, or one which may not be reasonably available to the source either at the present time or in the near future.

5. Finally, the energy impacts analysis may consider whether there are relative differences between alternatives regarding the use of locally or regionally available coal, and whether a given alternative would result in significant economic disruption or unemployment. For example, where two options are equally cost effective and achieve equivalent or similar emissions reductions, one option may be preferred if the other alternative results in significant disruption or unemployment.

i. Impact analysis part 3: How do I analyze "non-air quality environmental impacts?"

1. In the non-air quality related environmental impacts portion of the BART analysis, you address environmental impacts other than air quality due to emissions of the pollutant in question. Such environmental impacts include solid or hazardous

waste generation and discharges of polluted water from a control device.

2. You should identify any significant or unusual environmental impacts associated with a control alternative that have the potential to affect the selection or elimination of a control alternative. Some control technologies may have potentially significant secondary environmental impacts. Scrubber effluent, for example, may affect water quality and land use. Alternatively, water availability may affect the feasibility and costs of wet scrubbers. Other examples of secondary environmental impacts could include hazardous waste discharges, such as spent catalysts or contaminated carbon. Generally, these types of environmental concerns become important when sensitive site-specific receptors exist or when the incremental emissions reductions potential of the more stringent control is only marginally greater than the next most-effective option. However, the fact that a control device creates liquid and solid waste that must be disposed of does not necessarily argue against selection of that technology as BART, particularly if the control device has been applied to similar facilities elsewhere and the solid or liquid waste is similar to those other applications. On the other hand, where you or the source owner can show that unusual circumstances at the proposed facility create greater problems than experienced elsewhere, this may provide a basis for the elimination of that control alternative as BART.

3. The procedure for conducting an analysis of non-air quality environmental impacts should be made based on a consideration of site-specific circumstances. If you propose to adopt the most stringent alternative, then it is not necessary to perform this analysis of environmental impacts for the entire list of technologies you ranked in Step 3. In general, the analysis need only address those control alternatives with any significant or unusual environmental impacts that have the potential to affect the selection of a control alternative, or elimination of a more stringent control alternative. Thus, any important relative environmental impacts (both positive and negative) of alternatives can be compared with each other.

4. In general, the analysis of impacts starts with the identification and quantification of the solid, liquid, and gaseous discharges from the control device or devices under review. Initially, you should perform a qualitative or semi-quantitative screening to narrow the analysis to discharges with potential for causing adverse environmental effects. Next, you should assess the mass and composition of any such discharges and quantify them to the extent possible, based on readily available information. You should also assemble pertinent information about the public or

environmental consequences of releasing these materials.

j. Impact analysis part 4: What are examples of non-air quality environmental impacts?

The following are examples of how to conduct non-air quality environmental impacts:

(1) *Water Impact*

You should identify the relative quantities of water used and water pollutants produced and discharged as a result of the use of each alternative emission control system. Where possible, you should assess the effect on ground water and such local surface water quality parameters as pH, turbidity, dissolved oxygen, salinity, toxic chemical levels, temperature, and any other important considerations. The analysis could consider whether applicable water quality standards will be met and the availability and effectiveness of various techniques to reduce potential adverse effects.

(2) *Solid Waste Disposal Impact*

You could also compare the quality and quantity of solid waste (e.g., sludges, solids) that must be stored and disposed of or recycled as a result of the application of each alternative emission control system. You should consider the composition and various other characteristics of the solid waste (such as permeability, water retention, rewatering of dried material, compression strength, leachability of dissolved ions, bulk density, ability to support vegetation growth and hazardous characteristics) which are significant with regard to potential surface water pollution or transport into and contamination of subsurface waters or aquifers.

(3) *Irreversible or Irrecoverable Commitment of Resources*

You may consider the extent to which the alternative emission control systems may involve a trade-off between short-term environmental gains at the expense of long-term environmental losses and the extent to which the alternative systems may result in irreversible or irretrievable commitment of resources (for example, use of scarce water resources).

(4) *Other Adverse Environmental Impacts*

You may consider significant differences in noise levels, radiant heat, or dissipated static electrical energy of pollution control alternatives. Other examples of non-air quality environmental impacts would include hazardous waste discharges such as spent catalysts or contaminated carbon.

k. How do I take into account a project's "remaining useful life" in calculating control costs?

1. You may decide to treat the requirement to consider the source's "remaining useful life" of the source for BART determinations as one element of the overall cost analysis. The "remaining useful life" of a source, if it

represents a relatively short time period, may affect the annualized costs of retrofit controls. For example, the methods for calculating annualized costs in EPA's *OAQPS Control Cost Manual* require the use of a specified time period for amortization that varies based upon the type of control. If the remaining useful life will clearly exceed this time period, the remaining useful life has essentially no effect on control costs and on the BART determination process. Where the remaining useful life is less than the time period for amortizing costs, you should use this shorter time period in your cost calculations.

2. For purposes of these guidelines, the remaining useful life is the difference between:

(1) The date that controls will be put in place (capital and other construction costs incurred before controls are put in place can be rolled into the first year, as suggested in EPA's *OAQPS Control Cost Manual*); you are conducting the BART analysis; and

(2) The date the facility permanently stops operations. Where this affects the BART determination, this date should be assured by a federally- or State-enforceable restriction preventing further operation.

3. We recognize that there may be situations where a source operator intends to shut down a source by a given date, but wishes to retain the flexibility to continue operating beyond that date in the event, for example, that market conditions change. Where this is the case, your BART analysis may account for this, but it must maintain consistency with the statutory requirement to install BART within 5 years. Where the source chooses not to accept a federally enforceable condition requiring the source to shut down by a given date, it is necessary to determine whether a reduced time period for the remaining useful life changes the level of controls that would have been required as BART.

If the reduced time period does change the level of BART controls, you may identify, and include as part of the BART emission limitation, the more stringent level of control that would be required as BART if there were no assumption that reduced the remaining useful life. You may incorporate into the BART emission limit this more stringent level, which would serve as a contingency should the source continue operating more than 5 years after the date EPA approves the relevant SIP. The source would not be allowed to operate after the 5-year mark without such controls. If a source does operate after the 5-year mark without BART in place, the source is considered to be in violation of the BART emissions limit for each day of operation.

5. Step 5: How should I determine visibility impacts in the BART determination?

The following is an approach you may use to determine visibility impacts (the degree of visibility improvement for each source subject to BART) for the BART determination. Once you have determined that your source or sources are subject to BART, you must conduct a visibility improvement determination for the source(s) as part of the BART determination. When making this determination, we believe you have flexibility in setting absolute thresholds, target levels of improvement, or *de minimis* levels since the deciview improvement must be weighed among the five factors, and you are free to determine the weight and significance to be assigned to each factor. For example, a 0.3 deciview improvement may merit a stronger weighting in one case versus another, so one "bright line" may not be appropriate. [Note that if sources have elected to apply the most stringent controls available, consistent with the discussion in section E. step 1. below, you need not conduct, or require the source to conduct, an air quality modeling analysis for the purpose of determining its visibility impacts.]

Use CALPUFF,¹⁷ or other appropriate dispersion model to determine the visibility improvement expected at a Class I area from the potential BART control technology applied to the source. Modeling should be conducted for SO₂, NO_x, and direct PM emissions (PM_{2.5} and/or PM₁₀). If the source is making the visibility determination, you should review and approve or disapprove of the source's analysis before making the expected improvement determination. There are several steps for determining the visibility impacts from an individual source using a dispersion model:

- Develop a modeling protocol.

Some critical items to include in a modeling protocol are meteorological and terrain data, as well as source-specific information (stack height, temperature, exit velocity, elevation, and allowable and actual emission rates of applicable pollutants), and receptor data from appropriate Class I areas. We recommend following EPA's *Interagency Workgroup on Air Quality Modeling (IWAQM) Phase 2 Summary Report and Recommendations for Modeling Long Range Transport Impacts*¹⁸ for parameter settings and meteorological data inputs; the use of other settings from

¹⁷The model code and its documentation are available at no cost for download from <http://www.epa.gov/scram001/tt22.htm#calpuff>.

¹⁸*Interagency Workgroup on Air Quality Modeling (IWAQM) Phase 2 Summary Report and Recommendations for Modeling Long Range Transport Impacts*, U.S. Environmental Protection Agency, EPA-454/R-98-019, December 1998.

those in IWAQM should be identified and explained in the protocol.

One important element of the protocol is in establishing the receptors that will be used in the model. The receptors that you use should be located in the nearest Class I area with sufficient density to identify the likely visibility effects of the source. For other Class I areas in relatively close proximity to a BART-eligible source, you may model a few strategic receptors to determine whether effects at those areas may be greater than at the nearest Class I area. For example, you might choose to locate receptors at these areas at the closest point to the source, at the highest and lowest elevation in the Class I area, at the IMPROVE monitor, and at the approximate expected plume release height. If the highest modeled effects are observed at the nearest Class I area, you may choose not to analyze the other Class I areas any further as additional analyses might be unwarranted.

You should bear in mind that some receptors within the relevant Class I area may be less than 50 km from the source while other receptors within that same Class I area may be greater than 50 km from the same source. As indicated by the *Guideline on Air Quality Models*, this situation may call for the use of two different modeling approaches for the same Class I area and source, depending upon the State's chosen method for modeling sources less than 50 km. In situations where you are assessing visibility impacts for source-receptor distances less than 50 km, you should use expert modeling judgment in determining visibility impacts, giving consideration to both CALPUFF and other EPA-approved methods.

In developing your modeling protocol, you may want to consult with EPA and your regional planning organization (RPO). Up-front consultation will ensure that key technical issues are addressed before you conduct your modeling.

- For each source, run the model, at pre-control and post-control emission rates according to the accepted methodology in the protocol.

Use the 24-hour average actual emission rate from the highest emitting day of the meteorological period modeled (for the pre-control scenario). Calculate the model results for each receptor as the change in deciviews compared against natural visibility conditions. Post-control emission rates are calculated as a percentage of pre-control emission rates. For example, if the 24-hr pre-control emission rate is 100 lb/hr of SO₂, then the post control rate is 5 lb/hr if the control efficiency being evaluated is 95 percent.

- Make the net visibility improvement determination.

Assess the visibility improvement based on the modeled change in visibility impacts for

the pre-control and post-control emission scenarios. You have flexibility to assess visibility improvements due to BART controls by one or more methods. You may consider the frequency, magnitude, and duration components of impairment. Suggestions for making the determination are:

- Use of a comparison threshold, as is done for determining if BART-eligible sources should be subject to a BART determination. Comparison thresholds can be used in a number of ways in evaluating visibility improvement (e.g., the number of days or hours that the threshold was exceeded, a single threshold for determining whether a change in impacts is significant, or a threshold representing an x percent change in improvement).

- Compare the 98th percent days for the pre- and post-control runs.

Note that each of the modeling options may be supplemented with source apportionment data or source apportionment modeling.

E. How do I select the "best" alternative, using the results of Steps 1 through 5?

1. Summary of the Impacts Analysis

From the alternatives you evaluated in Step 3, we recommend you develop a chart (or charts) displaying for each of the alternatives:

- (1) Expected emission rate (tons per year, pounds per hour);
 - (2) Emissions performance level (e.g., percent pollutant removed, emissions per unit product, lb/MMBtu, ppm);
 - (3) Expected emissions reductions (tons per year);
 - (4) Costs of compliance—total annualized costs (\$), cost effectiveness (\$/ton), and incremental cost effectiveness (\$/ton), and/or any other cost-effectiveness measures (such as \$/deciview);
 - (5) Energy impacts;
 - (6) Non-air quality environmental impacts;
- and
- (7) Modeled visibility impacts.

2. Selecting a "best" alternative

1. You have discretion to determine the order in which you should evaluate control options for BART. Whatever the order in which you choose to evaluate options, you should always (1) display the options evaluated; (2) identify the average and incremental costs of each option; (3) consider the energy and non-air quality environmental impacts of each option; (4) consider the remaining useful life; and (5) consider the modeled visibility impacts. You should provide a justification for adopting the technology that you select as the "best" level of control, including an explanation of the CAA factors that led you to choose that option over other control levels.

2. In the case where you are conducting a BART determination for two regulated pollutants on the same source, if the result is two different BART technologies that do not work well together, you could then substitute a different technology or combination of technologies.

3. In selecting a “best” alternative, should I consider the affordability of controls?

1. Even if the control technology is cost effective, there may be cases where the installation of controls would affect the viability of continued plant operations.

2. There may be unusual circumstances that justify taking into consideration the conditions of the plant and the economic effects of requiring the use of a given control technology. These effects would include effects on product prices, the market share, and profitability of the source. Where there are such unusual circumstances that are judged to affect plant operations, you may take into consideration the conditions of the plant and the economic effects of requiring the use of a control technology. Where these effects are judged to have a severe impact on plant operations you may consider them in the selection process, but you may wish to provide an economic analysis that demonstrates, in sufficient detail for public review, the specific economic effects, parameters, and reasoning. (We recognize that this review process must preserve the confidentiality of sensitive business information). Any analysis may also consider whether other competing plants in the same industry have been required to install BART controls if this information is available.

4. Sulfur dioxide limits for utility boilers

You must require 750 MW power plants to meet specific control levels for SO₂ of either 95 percent control or 0.15 lbs/MMBtu, for each EGU greater than 200 MW that is currently uncontrolled unless you determine that an alternative control level is justified based on a careful consideration of the statutory factors. Thus, for example, if the source demonstrates circumstances affecting its ability to cost-effectively reduce its emissions, you should take that into account in determining whether the presumptive levels of control are appropriate for that facility. For a currently uncontrolled EGU greater than 200 MW in size, but located at a power plant smaller than 750 MW in size, such controls are generally cost-effective and could be used in your BART determination considering the five factors specified in CAA section 169A(g)(2). While these levels may represent current control capabilities, we expect that scrubber technology will continue to improve and control costs continue to decline. You should be sure to consider the level of control that is currently best achiev-

able at the time that you are conducting your BART analysis.

For coal-fired EGUs with existing post-combustion SO₂ controls achieving less than 50 percent removal efficiencies, we recommend that you evaluate constructing a new FGD system to meet the same emission limits as above (95 percent removal or 0.15 lb/mmBtu), in addition to the evaluation of scrubber upgrades discussed below. For oil-fired units, regardless of size, you should evaluate limiting the sulfur content of the fuel oil burned to 1 percent or less by weight.

For those BART-eligible EGUs with pre-existing post-combustion SO₂ controls achieving removal efficiencies of at least 50 percent, your BART determination should consider cost effective scrubber upgrades designed to improve the system’s overall SO₂ removal efficiency. There are numerous scrubber enhancements available to upgrade the average removal efficiencies of all types of existing scrubber systems. We recommend that as you evaluate the definition of “upgrade,” you evaluate options that not only improve the design removal efficiency of the scrubber vessel itself, but also consider upgrades that can improve the overall SO₂ removal efficiency of the scrubber system. Increasing a scrubber system’s reliability, and conversely decreasing its downtime, by way of optimizing operation procedures, improving maintenance practices, adjusting scrubber chemistry, and increasing auxiliary equipment redundancy, are all ways to improve average SO₂ removal efficiencies.

We recommend that as you evaluate the performance of existing wet scrubber systems, you consider some of the following upgrades, in no particular order, as potential scrubber upgrades that have been proven in the industry as cost effective means to increase overall SO₂ removal of wet systems:

- (a) Elimination of Bypass Reheat;
- (b) Installation of Liquid Distribution Rings;
- (c) Installation of Perforated Trays;
- (d) Use of Organic Acid Additives;
- (e) Improve or Upgrade Scrubber Auxiliary System Equipment;
- (f) Redesign Spray Header or Nozzle Configuration.

We recommend that as you evaluate upgrade options for dry scrubber systems, you should consider the following cost effective upgrades, in no particular order:

- (a) Use of Performance Additives;
- (b) Use of more Reactive Sorbent;
- (c) Increase the Pulverization Level of Sorbent;
- (d) Engineering redesign of atomizer or slurry injection system.

You should evaluate scrubber upgrade options based on the 5 step BART analysis process.

5. Nitrogen oxide limits for utility boilers

You should establish specific numerical limits for NO_x control for each BART determination. For power plants with a generating capacity in excess of 750 MW currently using selective catalytic reduction (SCR) or selective non-catalytic reduction (SNCR) for part of the year, you should presume that use of those same controls year-round is BART. For other sources currently using SCR or SNCR to reduce NO_x emissions during part of the year, you should carefully consider requiring the use of these controls year-round as the additional costs of operating the equipment throughout the year would be relatively modest.

For coal-fired EGUs greater than 200 MW located at greater than 750 MW power plants and operating without post-combustion controls (*i.e.* SCR or SNCR), we have provided presumptive NO_x limits, differentiated by

boiler design and type of coal burned. You may determine that an alternative control level is appropriate based on a careful consideration of the statutory factors. For coal-fired EGUs greater than 200 MW located at power plants 750 MW or less in size and operating without post-combustion controls, you should likewise presume that these same levels are cost-effective. You should require such utility boilers to meet the following NO_x emission limits, unless you determine that an alternative control level is justified based on consideration of the statutory factors. The following NO_x emission rates were determined based on a number of assumptions, including that the EGU boiler has enough volume to allow for installation and effective operation of separated overfire air ports. For boilers where these assumptions are incorrect, these emission limits may not be cost-effective.

TABLE 1—PRESUMPTIVE NO_x EMISSION LIMITS FOR BART-ELIGIBLE COAL-FIRED UNITS.¹⁹

Unit type	Coal type	NO _x presumptive limit (lb/mmbtu) ²⁰
Dry-bottom wall-fired	Bituminous	0.39
	Sub-bituminous	0.23
	Lignite	0.29
Tangential-fired	Bituminous	0.28
	Sub-bituminous	0.15
	Lignite	0.17
Cell Burners	Bituminous	0.40
	Sub-bituminous	0.45
Dry-turbo-fired	Bituminous	0.32
	Sub-bituminous	0.23
Wet-bottom tangential-fired	Bituminous	0.62

¹⁹No Cell burners, dry-turbo-fired units, nor wet-bottom tangential-fired units burning lignite were identified as BART-eligible, thus no presumptive limit was determined. Similarly, no wet-bottom tangential-fired units burning sub-bituminous were identified as BART-eligible.

²⁰These limits reflect the design and technological assumptions discussed in the technical support document for NO_x limits for these guidelines. See *Technical Support Document for BART NO_x Limits for Electric Generating Units and Technical Support Document for BART NO_x Limits for Electric Generating Units Excel Spreadsheet*, Memorandum to Docket OAR 2002-0076, April 15, 2005.

Most EGUs can meet these presumptive NO_x limits through the use of current combustion control technology, *i.e.* the careful control of combustion air and low-NO_x burners. For units that cannot meet these limits using such technologies, you should consider whether advanced combustion control technologies such as rotating opposed fire air should be used to meet these limits.

Because of the relatively high NO_x emission rates of cyclone units, SCR is more cost-effective than the use of current combustion control technology for these units. The use of SCRs at cyclone units burning bituminous coal, sub-bituminous coal, and lignite should enable the units to cost-effectively meet NO_x rates of 0.10 lbs/mmbtu. As a result, we are establishing a presumptive NO_x limit of 0.10 lbs/mmbtu based on the use of SCR for coal-fired cyclone units greater than 200 MW located at 750 MW power plants.

As with the other presumptive limits established in this guideline, you may determine that an alternative level of control is appropriate based on your consideration of the relevant statutory factors. For other cyclone units, you should review the use of SCR and consider whether these post-combustion controls should be required as BART.

For oil-fired and gas-fired EGUs larger than 200MW, we believe that installation of current combustion control technology to control NO_x is generally highly cost-effective and should be considered in your determination of BART for these sources. Many such units can make significant reductions

in NO_x emissions which are highly cost-effective through the application of current combustion control technology.²¹

V. ENFORCEABLE LIMITS/COMPLIANCE DATE

To complete the BART process, you must establish enforceable emission limits that reflect the BART requirements and require compliance within a given period of time. In particular, you must establish an enforceable emission limit for each subject emission unit at the source and for each pollutant subject to review that is emitted from the source. In addition, you must require compliance with the BART emission limitations no later than 5 years after EPA approves your regional haze SIP. If technological or economic limitations in the application of a measurement methodology to a particular emission unit make a conventional emissions limit infeasible, you may instead prescribe a design, equipment, work practice, operation standard, or combination of these types of standards. You should consider allowing sources to “average” emissions across any set of BART-eligible emission units within a fence line, so long as the emission reductions from each pollutant being controlled for BART would be equal to those reductions that would be obtained by simply controlling each of the BART-eligible units that constitute BART-eligible source.

You should ensure that any BART requirements are written in a way that clearly specifies the individual emission unit(s) subject to BART regulation. Because the BART requirements themselves are “applicable” requirements of the CAA, they must be included as title V permit conditions according to the procedures established in 40 CFR part 70 or 40 CFR part 71.

Section 302(k) of the CAA requires emissions limits such as BART to be met on a

continuous basis. Although this provision does not necessarily require the use of continuous emissions monitoring (CEMs), it is important that sources employ techniques that ensure compliance on a continuous basis. Monitoring requirements generally applicable to sources, including those that are subject to BART, are governed by other regulations. See, e.g., 40 CFR part 64 (compliance assurance monitoring); 40 CFR 70.6(a)(3) (periodic monitoring); 40 CFR 70.6(c)(1) (sufficiency monitoring). Note also that while we do not believe that CEMs would necessarily be required for all BART sources, the vast majority of electric generating units potentially subject to BART already employ CEM technology for other programs, such as the acid rain program. In addition, emissions limits must be enforceable as a practical matter (contain appropriate averaging times, compliance verification procedures and recordkeeping requirements). In light of the above, the permit must:

- Be sufficient to show compliance or non-compliance (*i.e.*, through monitoring times of operation, fuel input, or other indices of operating conditions and practices); and
- Specify a reasonable averaging time consistent with established reference methods, contain reference methods for determining compliance, and provide for adequate reporting and recordkeeping so that air quality agency personnel can determine the compliance status of the source; and
- For EGUS, specify an averaging time of a 30-day rolling average, and contain a definition of “boiler operating day” that is consistent with the definition in the proposed revisions to the NSPS for utility boilers in 40 CFR Part 60, subpart Da.²² You should consider a boiler operating day to be any 24-hour period between 12:00 midnight and the following midnight during which any fuel is combusted at any time at the steam generating unit. This would allow 30-day rolling average emission rates to be calculated consistently across sources.

[70 FR 39156, July 6, 2005]

²² 70 FR 9705, February 28, 2005.

²¹ See *Technical Support Document for BART NO_x Limits for Electric Generating Units* and *Technical Support Document for BART NO_x Limits for Electric Generating Units Excel Spreadsheet*, Memorandum to Docket OAR 2002–0076, April 15, 2005.