

**§ 1065.940 Emission calculations.**

Perform emission calculations as described in § 1065.650 to calculate brake-specific emissions for each test interval using any applicable information and instructions in the standard-setting part.

**Subpart K—Definitions and Other Reference Information****§ 1065.1001 Definitions.**

The definitions in this section apply to this part. The definitions apply to all subparts unless we note otherwise. All undefined terms have the meaning the Act gives them. The definitions follow:

*300 series stainless steel* means any stainless steel alloy with a Unified Numbering System for Metals and Alloys number designated from S30100 to S39000. For all instances in this part where we specify 300 series stainless steel, such parts must also have a smooth inner-wall construction. We recommend an average roughness,  $R_a$ , no greater than 4  $\mu\text{m}$ .

*Accuracy* means the absolute difference between a reference quantity and the arithmetic mean of ten mean measurements of that quantity. Determine instrument accuracy, repeatability, and noise from the same data set. We specify a procedure for determining accuracy in § 1065.305.

*Act* means the Clean Air Act, as amended, 42 U.S.C. 7401-7671q.

*Adjustable parameter* means any device, system, or element of design that someone can adjust (including those which are difficult to access) and that, if adjusted, may affect emissions or engine performance during emission testing or normal in-use operation. This includes, but is not limited to, parameters related to injection timing and fueling rate. In some cases, this may exclude a parameter that is difficult to access if it cannot be adjusted to affect emissions without significantly degrading engine performance, or if it will not be adjusted in a way that affects emissions during in-use operation.

*Aerodynamic diameter* means the diameter of a spherical water droplet

that settles at the same constant velocity as the particle being sampled.

*Aftertreatment* means relating to a catalytic converter, particulate filter, or any other system, component, or technology mounted downstream of the exhaust valve (or exhaust port) whose design function is to decrease emissions in the engine exhaust before it is exhausted to the environment. Exhaust-gas recirculation (EGR) and turbochargers are not aftertreatment.

*Allowed procedures* means procedures that we either specify in this part 1065 or in the standard-setting part or approve under § 1065.10.

*Alternate procedures* means procedures allowed under § 1065.10(c)(7).

*Applicable standard* means an emission standard to which an engine is subject; or a family emission limit to which an engine is certified under an emission credit program in the standard-setting part.

*Aqueous condensation* means the precipitation of water-containing constituents from a gas phase to a liquid phase. Aqueous condensation is a function of humidity, pressure, temperature, and concentrations of other constituents such as sulfuric acid. These parameters vary as a function of engine intake-air humidity, dilution-air humidity, engine air-to-fuel ratio, and fuel composition—including the amount of hydrogen and sulfur in the fuel.

*Atmospheric pressure* means the wet, absolute, atmospheric static pressure. Note that if you measure atmospheric pressure in a duct, you must ensure that there are negligible pressure losses between the atmosphere and your measurement location, and you must account for changes in the duct's static pressure resulting from the flow.

*Auto-ranging* means a gas analyzer function that automatically changes the analyzer digital resolution to a larger range of concentrations as the concentration approaches 100% of the analyzer's current range. Auto-ranging does not mean changing an analog amplifier gain within an analyzer.

*Auxiliary emission-control device* means any element of design that senses temperature, motive speed, engine RPM, transmission gear, or any

other parameter for the purpose of activating, modulating, delaying, or deactivating the operation of any part of the emission-control system.

*Brake power* has the meaning given in the standard-setting part. If it is not defined in the standard-setting part, brake power means the usable power output of the engine, not including power required to fuel, lubricate, or heat the engine, circulate coolant to the engine, or to operate aftertreatment devices. If the engine does not power these accessories during a test, subtract the work required to perform these functions from the total work used in brake-specific emission calculations. Subtract engine fan work from total work only for air-cooled engines.

*C<sub>1</sub> equivalent (or basis)* means a convention of expressing HC concentrations based on the total number of carbon atoms present, such that the C<sub>1</sub> equivalent of a molar HC concentration equals the molar concentration multiplied by the mean number of carbon atoms in each HC molecule. For example, the C<sub>1</sub> equivalent of 10 µmol/mol of propane (C<sub>3</sub>H<sub>8</sub>) is 30 µmol/mol. C<sub>1</sub> equivalent molar values may be denoted as "ppmC" in the standard-setting part.

*Calibration* means the process of setting a measurement system's response so that its output agrees with a range of reference signals. Contrast with "verification".

*Certification* means relating to the process of obtaining a certificate of conformity for an engine family that complies with the emission standards and requirements in the standard-setting part.

*Compression-ignition* means relating to a type of reciprocating, internal-combustion engine that is not a spark-ignition engine.

*Confidence interval* means the range associated with a probability that a quantity will be considered statistically equivalent to a reference quantity.

*Constant-speed engine* means an engine whose certification is limited to constant-speed operation. Engines whose constant-speed governor function is removed or disabled are no longer constant-speed engines.

*Constant-speed operation* means engine operation with a governor that automatically controls the operator demand to maintain engine speed, even under changing load. Governors do not always maintain speed exactly constant. Typically speed can decrease (0.1 to 10)% below the speed at zero load, such that the minimum speed occurs near the engine's point of maximum power.

*Coriolis meter* means a flow-measurement instrument that determines the mass flow of a fluid by sensing the vibration and twist of specially designed flow tubes as the flow passes through them. The twisting characteristic is called the Coriolis effect. According to Newton's Second Law of Motion, the amount of sensor tube twist is directly proportional to the mass flow rate of the fluid flowing through the tube. See § 1065.220.

*Designated Compliance Officer* means the Manager, Engine Programs Group (6405-J), U.S. Environmental Protection Agency, 1200 Pennsylvania Ave., NW., Washington, DC 20460.

*Dewpoint* means a measure of humidity stated as the equilibrium temperature at which water condenses under a given pressure from moist air with a given absolute humidity. Dewpoint is specified as a temperature in °C or K, and is valid only for the pressure at which it is measured. See § 1065.645 to determine water vapor mole fractions from dewpoints using the pressure at which the dewpoint is measured.

*Discrete-mode* means relating to a discrete-mode type of steady-state test, as described in the standard-setting part.

*Dispersion* means either:

(1) The broadening and lowering of a signal due to any fluid capacitance, fluid mixing, or electronic filtering in a sampling system. (Note: To adjust a signal so its dispersion matches that of another signal, you may adjust the system's fluid capacitance, fluid mixing, or electronic filtering.)

(2) The mixing of a fluid, especially as a result of fluid mechanical forces or chemical diffusion.

*Drift* means the difference between a zero or calibration signal and the respective value reported by a measurement instrument immediately after it was used in an emission test, as long as

you zeroed and spanned the instrument just before the test.

*Duty cycle* means a series of speed and torque values (or power values) that an engine must follow during a laboratory test. Duty cycles are specified in the standard-setting part. A single duty cycle may consist of one or more test intervals. For example, a duty cycle may be a ramped-modal cycle, which has one test interval; a cold-start plus hot-start transient cycle, which has two test intervals; or a discrete-mode cycle, which has one test interval for each mode.

*Electronic control module* means an engine's electronic device that uses data from engine sensors to control engine parameters.

*Emission-control system* means any device, system, or element of design that controls or reduces the emissions of regulated pollutants from an engine.

*Emission-data engine* means an engine that is tested for certification. This includes engines tested to establish deterioration factors.

*Emission-related maintenance* means maintenance that substantially affects emissions or is likely to substantially affect emission deterioration.

*Engine* means an engine to which this part applies.

*Engine family* means a group of engines with similar emission characteristics throughout the useful life, as specified in the standard-setting part.

*Engine governed speed* means the engine operating speed when it is controlled by the installed governor.

*Exhaust-gas recirculation* means a technology that reduces emissions by routing exhaust gases that had been exhausted from the combustion chamber(s) back into the engine to be mixed with incoming air before or during combustion. The use of valve timing to increase the amount of residual exhaust gas in the combustion chamber(s) that is mixed with incoming air before or during combustion is not considered exhaust-gas recirculation for the purposes of this part.

*Fall time,  $t_{90-10}$* , means the time interval of a measurement instrument's response after any step decrease to the input between the following points:

(1) The point at which the response has fallen 10% of the total amount it will fall in response to the step change.

(2) The point at which the response has fallen 90% of the total amount it will fall in response to the step change.

*Flow-weighted mean* means the mean of a quantity after it is weighted proportional to a corresponding flow rate. For example, if a gas concentration is measured continuously from the raw exhaust of an engine, its flow-weighted mean concentration is the sum of the products of each recorded concentration times its respective exhaust flow rate, divided by the sum of the recorded flow rates. As another example, the bag concentration from a CVS system is the same as the flow-weighted mean concentration, because the CVS system itself flow-weights the bag concentration.

*Fuel type* means a general category of fuels such as gasoline or LPG. There can be multiple grades within a single type of fuel, such as all-season and winter-grade gasoline.

*Good engineering judgment* means judgments made consistent with generally accepted scientific and engineering principles and all available relevant information. See 40 CFR 1068.5 for the administrative process we use to evaluate good engineering judgment.

*HEPA filter* means high-efficiency particulate air filters that are rated to achieve a minimum initial particle-removal efficiency of 99.97% using ASTM F 1471-93 (incorporated by reference in § 1065.1010).

*Hydraulic diameter* means the diameter of a circle whose area is equal to the area of a noncircular cross section of tubing, including its wall thickness. The wall thickness is included only for the purpose of facilitating a simplified and nonintrusive measurement.

*Hydrocarbon (HC)* means THC, THCE, NMHC, or NMHCE, as applicable. Hydrocarbon generally means the hydrocarbon group on which the emission standards are based for each type of fuel and engine.

*Identification number* means a unique specification (for example, a model number/serial number combination) that allows someone to distinguish a

particular engine from other similar engines.

*Idle speed* means the lowest engine speed with minimum load (greater than or equal to zero load), where an engine governor function controls engine speed. For engines without a governor function that controls idle speed, idle speed means the manufacturer-declared value for lowest engine speed possible with minimum load. Note that warm idle speed is the idle speed of a warmed-up engine.

*Intermediate test speed* has the meaning given in § 1065.610.

*Linearity* means the degree to which measured values agree with respective reference values. Linearity is quantified using a linear regression of pairs of measured values and reference values over a range of values expected or observed during testing. Perfect linearity would result in an intercept,  $a_0$ , equal to zero, a slope,  $a_1$ , of one, a coefficient of determination,  $r^2$ , of one, and a standard error of the estimate, *SEE*, of zero. The term “linearity” is not used in this part to refer to the shape of a measurement instrument’s unprocessed response curve, such as a curve relating emission concentration to voltage output. A properly performing instrument with a nonlinear response curve will meet linearity specifications.

*Manufacturer* has the meaning given in section 216(1) of the Act. In general, this term includes any person who manufactures an engine or vehicle for sale in the United States or otherwise introduces a new nonroad engine into commerce in the United States. This includes importers who import engines or vehicles for resale.

*Maximum test speed* has the meaning given in § 1065.610.

*Maximum test torque* has the meaning given in § 1065.610.

*NIST-traceable* means relating to a standard value that can be related to NIST-stated references through an unbroken chain of comparisons, all having stated uncertainties, as specified in NIST Technical Note 1297 (incorporated by reference in § 1065.1010). Allowable uncertainty limits specified for NIST-traceability refer to the propagated uncertainty specified by NIST. You may ask to use other internationally recog-

nized standards that are equivalent to NIST standards.

*Noise* means the precision of 30 seconds of updated recorded values from a measurement instrument as it quantifies a zero or reference value. Determine instrument noise, repeatability, and accuracy from the same data set. We specify a procedure for determining noise in § 1065.305.

*Nonmethane hydrocarbons (NMHC)* means the sum of all hydrocarbon species except methane. Refer to § 1065.660 for NMHC determination.

*Nonmethane hydrocarbon equivalent (NMHCE)* means the sum of the carbon mass contributions of non-oxygenated nonmethane hydrocarbons, alcohols and aldehydes, or other organic compounds that are measured separately as contained in a gas sample, expressed as exhaust nonmethane hydrocarbon from petroleum-fueled engines. The hydrogen-to-carbon ratio of the equivalent hydrocarbon is 1.85:1.

*Nonroad* means relating to nonroad engines.

*Nonroad engine* has the meaning we give in 40 CFR 1068.30. In general this means all internal-combustion engines except motor vehicle engines, stationary engines, engines used solely for competition, or engines used in aircraft.

*Open crankcase emissions* means any flow from an engine’s crankcase that is emitted directly into the environment. Crankcase emissions are not “open crankcase emissions” if the engine is designed to always route all crankcase emissions back into the engine (for example, through the intake system or an aftertreatment system) such that all the crankcase emissions, or their products, are emitted into the environment only through the engine exhaust system.

*Operator demand* means an engine operator’s input to control engine output. The “operator” may be a person (i.e., manual), or a governor (i.e., automatic) that mechanically or electronically signals an input that demands engine output. Input may be from an accelerator pedal or signal, a throttle-control lever or signal, a fuel lever or signal, a speed lever or signal, or a governor setpoint or signal. Output means engine power,  $P$ , which is the product

of engine speed,  $f_n$ , and engine torque,  $T$ .

*Oxides of nitrogen* means compounds containing only nitrogen and oxygen as measured by the procedures specified in this part, except as specified in the standard-setting part. Oxides of nitrogen are expressed quantitatively as if the NO is in the form of NO<sub>2</sub>, such that you use an effective molar mass for all oxides of nitrogen equivalent to that of NO<sub>2</sub>.

*Oxygenated fuels* means fuels composed of oxygen-containing compounds, such as ethanol or methanol. Testing engines that use oxygenated fuels generally requires the use of the sampling methods in subpart I of this part. However, you should read the standard-setting part and subpart I of this part to determine appropriate sampling methods.

*Partial pressure* means the pressure,  $p$ , attributable to a single gas in a gas mixture. For an ideal gas, the partial pressure divided by the total pressure is equal to the constituent's molar concentration,  $x$ .

*Percent (%)* means a representation of exactly 0.01. Significant digits for the product of % and another value are defined as follows:

(1) Where we specify some percentage of a total value, the calculated value has the same number of significant digits as the total value. For example, 2% is exactly 0.02 and 2% of 101.3302 equals 2.026604.

(2) In other cases, determine the number of significant digits using the same method as you would use for determining the number of significant digits of a fractional value.

*Portable emission measurement system (PEMS)* means a measurement system consisting of portable equipment that can be used to generate brake-specific emission measurements during field testing or laboratory testing.

*Precision* means two times the standard deviation of a set of measured values of a single zero or reference quantity.

*Procedures* means all aspects of engine testing, including the equipment specifications, calibrations, calculations and other protocols and specifications needed to measure emissions, unless we specify otherwise.

*Proving ring* is a device used to measure static force based on the linear relationship between stress and strain in an elastic material. It is typically a steel alloy ring, and you measure the deflection (strain) of its diameter when a static force (stress) is applied across its diameter.

*PTFE* means polytetrafluoroethylene, commonly known as Teflon™.

*Ramped-modal* means relating to a ramped-modal type of steady-state test, as described in the standard-setting part.

*Regression statistics* means any of the set of statistics specified in §1065.602(i) through (l).

*Repeatability* means the precision of ten mean measurements of a reference quantity. Determine instrument repeatability, accuracy, and noise from the same data set. We specify a procedure for determining repeatability in §1065.305.

*Revoke* has the meaning given in 40 CFR 1068.30.

*Rise time,  $t_{10-90}$* , means the time interval of a measurement instrument's response after any step increase to the input between the following points:

(1) The point at which the response has risen 10% of the total amount it will rise in response to the step change.

(2) The point at which the response has risen 90% of the total amount it will rise in response to the step change.

*Roughness (or average roughness,  $R_a$ )* means the size of finely distributed vertical surface deviations from a smooth surface, as determined when traversing a surface. It is an integral of the absolute value of the roughness profile measured over an evaluation length.

*Round* means to round numbers according to NIST SP 811 (incorporated by reference in §1065.1010), unless otherwise specified.

*Scheduled maintenance* means adjusting, repairing, removing, disassembling, cleaning, or replacing components or systems periodically to keep a part or system from failing, malfunctioning, or wearing prematurely. It also may mean actions you expect are necessary to correct an overt indication of failure or malfunction for which

periodic maintenance is not appropriate.

*Shared atmospheric pressure meter* means an atmospheric pressure meter whose output is used as the atmospheric pressure for an entire test facility that has more than one dynamometer test cell.

*Shared humidity measurement* means a humidity measurement that is used as the humidity for an entire test facility that has more than one dynamometer test cell.

*Span* means to adjust an instrument so that it gives a proper response to a calibration standard that represents between 75% and 100% of the maximum value in the instrument range or expected range of use.

*Spark-ignition* means relating to a gasoline-fueled engine or any other type of engine with a spark plug (or other sparking device) and with operating characteristics significantly similar to the theoretical Otto combustion cycle. Spark-ignition engines usually use a throttle to regulate intake air flow to control power during normal operation.

*Special procedures* means procedures allowed under §1065.10(c)(2).

*Specified procedures* means procedures we specify in this part 1065 or the standard-setting part. Other procedures allowed or required by §1065.10(c) are not specified procedures.

*Standard deviation* has the meaning given in §1065.602. Note this is the standard deviation for a non-biased sample.

*Standard-setting part* means the part in the Code of Federal Regulations that defines emission standards for a particular engine. See §1065.1(a).

*Steady-state* means relating to emission tests in which engine speed and load are held at a finite set of nominally constant values. Steady-state tests are either discrete-mode tests or ramped-modal tests.

*Stoichiometric* means relating to the particular ratio of air and fuel such that if the fuel were fully oxidized, there would be no remaining fuel or oxygen. For example, stoichiometric combustion in a gasoline-fueled engine typically occurs at an air-to-fuel mass ratio of about 14.7:1.

*Storage medium* means a particulate filter, sample bag, or any other storage device used for batch sampling.

*Test engine* means an engine in a test sample.

*Test interval* means a duration of time over which you determine brake-specific emissions. For example, the standard-setting part may specify a complete laboratory duty cycle as a cold-start test interval, plus a hot-start test interval. As another example, a standard-setting part may specify a field-test interval, such as a "not-to-exceed" (NTE) event, as a duration of time over which an engine operates within a certain range of speed and torque. In cases where multiple test intervals occur over a duty cycle, the standard-setting part may specify additional calculations that weight and combine results to arrive at composite values for comparison against the applicable standards.

*Test sample* means the collection of engines selected from the population of an engine family for emission testing.

*Tolerance* means the interval in which 95% of a set of recorded values of a certain quantity must lie, with the remaining 5% of the recorded values deviating from the tolerance interval only due to measurement variability. Use the specified recording frequencies and time intervals to determine if a quantity is within the applicable tolerance. For parameters not subject to measurement variability, tolerance means an absolute allowable range.

*Total hydrocarbon (THC)* means the combined mass of organic compounds measured by the specified procedure for measuring total hydrocarbon, expressed as a hydrocarbon with a hydrogen-to-carbon mass ratio of 1.85:1.

*Total hydrocarbon equivalent (THCE)* means the sum of the carbon mass contributions of non-oxygenated hydrocarbons, alcohols and aldehydes, or other organic compounds that are measured separately as contained in a gas sample, expressed as exhaust hydrocarbon from petroleum-fueled engines. The hydrogen-to-carbon ratio of the equivalent hydrocarbon is 1.85:1.

**Environmental Protection Agency**

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*United States* means the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, and the U.S. Virgin Islands.

*Useful life* means the period during which a new engine is required to comply with all applicable emission standards. The standard-setting part defines the specific useful-life periods for individual engines.

*Variable-speed engine* means an engine that is not a constant-speed engine.

*Vehicle* means any vehicle, vessel, or type of equipment using engines to which this part applies. For purposes of this part, the term "vehicle" may include nonmotive machines or equipment such as a pump or generator.

*Verification* means to evaluate whether or not a measurement system's outputs agree with a range of applied reference signals to within one or more predetermined thresholds for acceptance. Contrast with "calibration".

*We (us, our)* means the Administrator of the Environmental Protection Agency and any authorized representatives.

*Zero* means to adjust an instrument so it gives a zero response to a zero calibration standard, such as purified nitrogen or purified air for measuring concentrations of emission constituents.

*Zero gas* means a gas that yields a zero response in an analyzer. This may either be purified nitrogen, purified air, a combination of purified air and purified nitrogen. For field testing, *zero gas* may include ambient air.

EFFECTIVE DATE NOTE: At 73 FR 37346, June 30, 2008, §1065.1001 was amended by revising the definitions for "Designated Compliance Officer", "Regression statistics" and "Tolerance" and adding definitions in alphabetical order for "Dilution ratio", "Measurement allowance", "Mode", "NIST-accepted", "Recommend", "Uncertainty", and "Work", effective July 7, 2008. For the convenience of the user, the added and revised text is set forth as follows:

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*Designated Compliance Officer* means the Director, Compliance and Innovative Strategies Division (6405-J), U.S. Environmental

Protection Agency, 1200 Pennsylvania Ave., NW., Washington, DC 20460.

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*Dilution ratio (DR)* means the amount of diluted exhaust per amount of undiluted exhaust.

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*Measurement allowance* means a specified adjustment in the applicable emission standard or a measured emission value to reflect the relative quality of the measurement. See the standard-setting part to determine whether any measurement allowances apply for your testing. Measurement allowances generally apply only for field testing and are intended to account for reduced accuracy or precision that result from using field-grade measurement systems.

*Mode* means one of the following:

- (1) A distinct combination of engine speed and load for steady-state testing.
- (2) A continuous combination of speeds and loads specifying a transition during a ramped-modal test.
- (3) A distinct operator demand setting, such as would occur when testing locomotives or constant-speed engines.

*NIST-accepted* means relating to a value that has been assigned or named by NIST.

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*Recommend* has the meaning given in §1065.201.

*Regression statistics* means any of the regression statistics specified in §1065.602.

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*Tolerance* means the interval in which at least 95% of a set of recorded values of a certain quantity must lie. Use the specified recording frequencies and time intervals to determine if a quantity is within the applicable tolerance. The concept of tolerance is intended to address random variability. You may not take advantage of the tolerance specification to incorporate a bias into a measurement.

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*Uncertainty* means uncertainty with respect to NIST-traceability. See the definition of NIST-traceable in this section.

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*Work* has the meaning given in §1065.110.

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