

Health and economic benefits of building ventilation interventions for reducing indoor PM2.5 exposure from both indoor and outdoor origins in urban Beijing, China

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2	Health and economic benefits of building ventilation interventions for reducing indoor						
3	PM2.5 exposure from both indoor and outdoor origins in urban Beijing, China.						
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24 Nomenclature:

	Variables	Ν	Population		Subscripts
A	Floor area	Р	Penetration factor	BE	Building energy
а	Per capita floor area	р	Price	с	Cooling
ACR	Air change rate	Q	Building energy load	Ε	Exhausted air
С	PM _{2.5} Concentration	q	Specific enthalpy of air	е	Electricity
С	Specific heat	S	Indoor emission rate	h	Heating
D	Electric power	t	Temperature	Ι	Infiltration
d	Humidity	V	Indoor volume	IA	Indoor air
EB	Economic benefit	VSL	Value of statistical life	OA	Outdoor air
F	Flow volume	β	Concentration-response	р	Ground source heat pump
Η	Annual health risk cases		(C-R) coefficient	r	Room air conditioning
K	Deposition rate	η	Efficiency	V	Mechanical ventilation
М	Annual monetary cost	ρ	Air density	VF	Mechanical ventilation filter
т	Annual mortality rate	τ	Time	VP	Mechanical ventilation power

25

26 Abstract:

China is confronted with serious PM_{2.5} pollution, especially in the capital city of Beijing. Exposure to 27 28 PM_{2.5} could lead to various negative health impacts including premature mortality. As people spend 29 most of their time indoors, the indoor exposure to PM_{2.5} from both indoor and outdoor origins 30 constitutes the majority of personal exposure to PM_{2.5} pollution. Different building interventions have 31 been introduced to mitigate indoor PM_{2.5} exposure, but always at the cost of energy expenditure. In 32 this study, the health and economic benefits of different ventilation intervention strategies for 33 reducing indoor $PM_{2.5}$ exposure are modelled using a representative urban residence in Beijing, with 34 consideration of different indoor PM_{2.5} emission strengths and outdoor pollution. Our modelling 35 results show that the increase of envelope air-tightness can achieve significant economic benefits 36 when indoor PM_{2.5} emissions are absent; however, if an indoor PM_{2.5} source is present, the benefits

37	only increase slightly in mechanically ventilated buildings, but may show negative benefit without
38	mechanical ventilation. Installing mechanical ventilation in Beijing can achieve annual economic
39	benefits ranging from 200yuan/capita to 800yuan/capita if indoor $PM_{2.5}$ sources exist. If there is no
40	indoor emission, the annual benefits above 200yuan/capita can be achieved only when the $PM_{2.5}$
41	filtration efficiency is no less than 90% and the envelope air-tightness is above Chinese National
42	Standard Level 7. Introducing mechanical ventilation with low $PM_{2.5}$ filtration efficiency to current
43	residences in urban Beijing will increase the indoor $PM_{2.5}$ exposure and result in excess costs to the
44	residents.
45	Keywords: PM _{2.5} ; building ventilation; health; energy; economic benefit; indoor exposure
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62 **1 Introduction**

63 With the rapid urbanization and economic growth of the past few decades, China is confronted 64 with degrading urban air quality, especially in mega-cities. PM_{2.5} pollution has become one of the 65 most serious environmental hazards in China and attracts global attention (Fang et al., 2016). Beijing 66 is the capital of China and is located in the most PM2.5 polluted regions of China. According to the 67 China Environmental Status Bulletin (2016), the annual mean PM_{2.5} concentration in Beijing was 68 $81\mu g/m^3$ in 2015, which is over twice the interim target-1 ($35\mu g/m^3$) and eight times the guideline 69 $(10\mu g/m^3)$ recommended by the World Health Organization (WHO, 2006). The citizens of Beijing 70 were exposed to the highest PM2.5 concentration among all Chinese cities, with 91% (2014), 86% 71 (2015) and 73% (2016) of the city's population exceeding 70µg/m³ exposure (Song et al., 2017). 72 Epidemiological studies have demonstrated that exposure to PM_{2.5} is associated with many types 73 of negative health consequences. According to the global study conducted by the Global Burden of 74 Diseases (GBD) in 2015, ambient PM2.5 air pollution contributed to an estimated increased mortality 75 by 17.1% from ischaemic heart disease, 14.2% from cerebrovascular disease, 16.5% from lung cancer, 24.7% from lower respiratory infections, and 27.1% from chronic obstructive pulmonary disease 76 77 (Cohen et al, 2017). Ambient PM_{2.5} has become the fifth-ranking mortality risk factor and cause 4.2 78 million (with 1.1 million contributed by China) annual mortality cases. However, the majority of the 79 exposure actually occurs indoors as people spend about 90% of their time indoors (Klepeis et al., 2001; 80 Ji and Zhao, 2015(a)), and the outdoor pollutants can penetrate into a building's interior space and 81 cause indoor exposure to $PM_{2.5}$ of ambient origins. Ji and Zhao (2015(b)) estimated that the mortality 82 directly derived from indoor exposure to particles of outdoor origins accounted for 81%-89% of the 83 total increase in mortality associated with exposure to outdoor PM pollution. Hänninen and Asikainen 84 (2013) also reported that in the Europe Union in 2010, 1.28 million burdens of disease were estimated 85 to be caused by indoor exposures to outdoor air pollution.

Source control is regarded to be the most effective way to reduce PM pollution. However, it will require a long-term effort by several generations, as happened in the western world decades ago, to diminish the outdoor pollution emissions and clean up the atmosphere. Therefore, for the benefit of

89 Chinese public welfare, the emergent short-term challenge is to impose effective, yet inexpensive, 90 interventions to reduce such exposure risk that are affordable for typical Chinese households. Increase 91 of building air-tightness and the installation of mechanical ventilation with effective filtration are 92 regarded as two major interventions at the building scale to reduce indoor exposure to outdoor PM 93 pollution. Increasing the air-tightness of the building could effectively prevent the ingress of outdoor 94 pollution and reduce the energy cost for heating in winter, but at the same time, it could lead to a 95 reduced capacity for diluting the indoor-generated emissions (Shrubsole et al., 2012). On the other 96 hand, the introduction of mechanical ventilation could effectively ventilate the indoor space, but will 97 potentially introduce pollutants from outdoors depending on the effectiveness of filtration. 98 Mechanical ventilation always comes with a higher cost of energy compared with non-mechanical 99 methods. Furthermore, the indoor human activities such as cooking, smoking and household cleaning 100 can elevate short-term indoor $PM_{2.5}$ concentrations by as much as several orders of magnitude and 101 make a significant contribution to indoor particle exposures (Long et al., 2000; Dimitroulopoulou et 102 al., 2006; McGrath et al., 2017). The health benefits and economic costs of those interventions differ 103 significantly, and remain largely unquantified. A holistic understanding of energy cost and health 104 consequences for different ventilation interventions in response to both indoor and outdoor emissions 105 is necessary.

106 Several existing studies have investigated the building ventilation interventions to reduce indoor 107 exposure to outdoor PM pollution. Chen et al. (2016) modelled the indoor PM_{2.5} concentrations of six 108 offices in China, showing that increasing the air-tightness of the buildings' external windows could 109 effectively prevent the infiltration of outdoor particles and improve the indoor air quality. Zhao et al. 110 (2015) estimated that residential ventilation systems with higher filtration efficiencies could reduce 111 premature mortality and yield monetary benefits, especially in old residences with low air-tightness, 112 but could also adversely influence outdoor particle infiltration if improperly installed (Stephens, 2015). 113 Some researchers further combined the estimates from health impacts and operation costs. Montgomery et al. (2015) modified the ventilation system and filter efficiencies in an office building 114 115 and compared the indoor particle concentrations, operation costs and monetized health benefits to 116 occupants for a number of cities around the world. Results showed that, although the operation cost of

117 filtration systems varied by a factor of 3 between cities, the monetized health benefits of filter 118 installations outweighed the operation costs by up to a factor of 10, and the net benefits were greatest 119 for the highest efficiency filters. Zuraimi (2007) compared the economic benefits of health risk 120 reduction to the monetary cost of building interventions in Singapore, demonstrating that ventilation 121 strategies and filtration efficiencies can greatly influence PM_{10} exposure and its estimated impacts on population health with the health benefits being much larger than the operating costs. However, a 122 123 similar study conducted in Toronto, Canada showed that the health benefits may not always outweigh 124 the operating and retrofit costs, depending on the reference building model and the retrofit strategies 125 (Zuraimi and Tan, 2015). Moreover, the above-mentioned studies only considered indoor particles of 126 outdoor origin.

127 Some other researchers only considered the indoor particle emission and therefore the effect of the 128 building ventilation interventions. Spilak et al. (2014) studied 27 dwellings in Denmark and found 129 that indoor PM_{2.5} concentrations were strongly associated with building characteristics and indoor PM_{2.5} sources, and particle filtration units could effectively reduce the PM_{2.5} levels in dwellings by 130 131 more than half. The simulation studies on indoor $PM_{2.5}$ concentrations in British dwellings showed 132 that reductions in envelope permeability could decrease indoor $PM_{2.5}$ exposure if combined with 133 mechanical ventilation and heat recovery systems, but would lead to substantial increases in indoor 134 PM_{2.5} concentrations if without mechanical ventilation (Shrubsole et al., 2012; Milner et al., 2015). 135 According to the brief review above, the studies on the economic benefits of building ventilation 136 interventions which combined health risk and operation cost only focused on PM2.5 from outdoor 137 origins, while the studies that considered PM2.5 from both outdoor and indoor origins only focused on 138 the reduction of indoor exposure instead of the consequent combined health and economic impacts. In 139 China, due to the large population nationwide, most urban residences are multi-storey apartments 140 without purpose-built mechanical ventilation systems. The Chinese cooking style is quite different 141 from those of the west, leading to substantial particle emissions indoors (Lee et al., 2001; He et al., 142 2004(b)). Considering the above two national features and the high level of ambient PM_{2.5} pollution in Beijing, the health and economic impacts of building ventilation interventions on urban residences in 143 144 Beijing may show distinct characteristics compared to the existing studies, and is therefore worthy of

145 detailed investigation. The overarching aim of this paper is to evaluate and prioritize the potential

146 health benefit and economic cost of different ventilation intervention strategies in order to reduce the

- 147 indoor exposure to PM_{2.5} pollution of both outdoor and indoor origins for representative urban
- 148 residential buildings in Beijing, China.

149 2 Methods

- 150 The modelling framework of the present study is illustrated by Fig.1. We first consider a basic
- scenario representing the current residential ventilation situation in urban Beijing, and different
- 152 interventions are proposed to improve the current situation in response to the outdoor air pollution.
- 153 The public health benefit from indoor $PM_{2.5}$ pollution after intervention (EB_{health}), and the energy cost
- due to building ventilation (EB_{energy}) are therefore estimated. The uniqueness of the framework is to
- 155 convert the public health impact and energy consumption into monetary values to make them

156 comparable within a unified platform. The total economic benefit (*EB*_{total}) can be estimated as:

$$EB_{total} = EB_{health} + EB_{energy} \tag{1}$$

157







162 Being the first step of this study, an idealized representative urban apartment in Beijing is 163 assumed as the model subject. This apartment is located on the 6th floor, which is estimated to be 164 half-way up the average residential building. Accommodating a typical Beijing family (working parents and a school child), the number of occupants in the model apartment is assumed to be 3, and 165 166 the number of bedrooms is 2. According to the Beijing statistical yearbook (2016), the per capita 167 residential area of urban households in Beijing is 31.69m² in 2015. Therefore, the floor area of the 168 apartment measures $8m \times 12.5m$, and the ceiling height is 2.8m (the indoor volume= $280m^3$). Windows 169 are placed on southern and northern external walls. The opening joint length on each side is 24m. The height of the central line of the windows is 1.6m, and the total height of the central line of the window 170 171 from the ground is estimated to be 18m. The external windows are assumed closed during the 172 modelling, meaning there is no natural ventilation in the apartment.

173 Cooking and smoking are two common indoor residential $PM_{2.5}$ sources. Because the contribution 174 to indoor $PM_{2.5}$ concentrations from cooking activities are tens of times greater than smoking (He et 175 al., 2004(a); Fabian et al., 2012), and Chinese smokers and their families are more aware of their 176 health nowadays, cooking is considered as the only indoor $PM_{2.5}$ source in the present modelling. In 177 Chinese urban households, local exhausts such as range hoods are widely used while cooking. 178 Therefore, in this analysis, a range hood with an exhaust flow as 10m³/min (the minimum volume 179 provided by the National Standard of China GB/T17713-2011 (AQSIQ and SAC, 2011)) is installed 180 in the model apartment, which only runs when the cooking activities are present.

181 **2.1 Scenarios design**

Fig.2 presents a simplified schematic diagram of the fate and transport of $PM_{2.5}$ in the indoor space model. The building ventilation interventions to reduce indoor exposure to both indoor and outdoor $PM_{2.5}$ pollution involve changes in air-tightness levels (ATL) of the building envelope and the installation of mechanical ventilation with different $PM_{2.5}$ filtration efficiencies (PFE) (natural ventilation is not considered here as it is mainly determined by human behaviour, which is not the scope of current study). The economic benefits of different interventions are evaluated relative to the current building ventilation situation. Therefore, in the following analysis, scenarios are designed as

- 189 follows: a basic scenario representing the current situation, and several intervention scenarios with
- 190 different ATLs and mechanical ventilation.



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192

Fig.2: Simplified schematic of the fate and transport of indoor PM_{2.5}

193 2.1.1 Basic scenario

194 The basic scenario is considered as infiltration only without mechanical ventilation, which 195 represents the general urban buildings in Beijing. The infiltration airflow is induced by the wind and 196 stack effects, and strongly influenced by the air-tightness level of the external windows. According to 197 National Standard of China GB/T7106-2008, there are eight air tightness levels (ATLs). We 198 calculated the annual infiltration airflow rate with respect to each ATL for our model building, as 199 shown in Fig.3. The detail calculation procedure of combined wind-and-buoyancy driven infiltration 200 airflow is introduced in the Supplement Information (SI1). The annual average air change rate of 201 urban apartments in Beijing with windows closed was found to be around 0.21/h as determined by Shi 202 et al. (2015) by both numerical simulations and field measurement. Our prediction with ATL3 203 matches well with the work from Shi et al. (2015). Therefore, the model building with ATL3 without 204 mechanical ventilation can best represent the current situation as the basic scenario.





Fig.3: Annual average air change rates of the model building with different air-tightness levels

207

208 2.1.2 Intervention scenarios

209 All the intervention scenarios are listed in Table 1, considering different ATLs and PM_{2.5} filtration 210 efficiencies (PFE) for mechanical ventilation. ATL5 and ATL7 are requirements from the Industry 211 Standard of China JGJ26-2010 (MOHURD, 2010) and the Local Standard of Beijing DB11/891-2012 212 (BMCUP and BMAQTS, 2012), respectively. Currently in China, the PM_{2.5} filtration efficiency (PFE) has not been standardized in national standards for air filters (AQSIQ and SAC, 2008(a), (c)). PFE is 213 214 graded into 4 levels from 50% to 99%. For each intervention scenario, the letter "A" and "F" stand for 215 air-tightness level and the PM_{2.5} filtration efficiency of the mechanical ventilation system; "NV" 216 stands for no mechanical ventilation; the numbers stand for the corresponding level and efficiency 217 (%). For example, A5NV represents the intervention scenario with air tightness level increases from 218 basic scenario of ATL3 to ATL5, without mechanical ventilation. A3F50 represents the intervention 219 scenario with air tightness level 3 and mechanical ventilation with filtration efficiency of 50%.

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l able 1	Design	of the 11	ntervention	scenarios

-	Intervention	Mechanical	Air-tightness levels	PM _{2.5} filtration efficiencies of		
	scenarios	ventilation	(ATL)	mechanical ventilation (PFE)		
_	A5NV	×	5	_		
	A7NV	×	7	—		
	A3F50	\checkmark	3	50%		
	A3F70	\checkmark	3	70%		
	A3F90	\checkmark	3	90%		
	A3F99	\checkmark	3	99%		
	A5F50	\checkmark	5	50%		
	A5F70	\checkmark	5	70%		
	A5F90	\checkmark	5	90%		
	A5F99	\checkmark	5	99%		
	A7F50	\checkmark	7	50%		
	A7F70	\checkmark	7	70%		
	A7F90	\checkmark	7	90%		
	A7F99	\checkmark	7	99%		

221

222 **2.2 Modelling methodologies**

223 2.2.1 The mass balance model of indoor PM_{2.5}

Because particles emitted during cooking can disperse quickly from the kitchen to the living room and impact all occupants in the residence (Wan *et al.*, 2011), the model apartment is simplified as a well-mixed single compartment. Based on this assumption and the fate and transport of indoor $PM_{2.5}$ shown in Fig.2, the dynamic mass balance model is:

228
$$V \cdot \frac{\mathrm{d}C_{IA}}{\mathrm{d}\tau} = C_{OA} \cdot \left[P \cdot F_I + P \cdot F_{RH,I} + (1 - \eta_{VF}) \cdot F_V\right] + S - C_{IA} \cdot \left(F_E + F_{RH,E} + K \cdot V\right)$$
(2)

where *V* is the indoor volume (280m³); C_{IA} is the indoor PM_{2.5} concentration; C_{OA} is the outdoor PM_{2.5} concentration; *P* is the penetration factor for PM_{2.5} entering via air infiltration; F_I is the infiltration 231 airflow caused by wind and stack effects, $F_{RH,I}$ is the infiltration airflow caused by the exhaust of the 232 range hood while cooking; η_{VF} is the PM_{2.5} removal efficiency of the filter in the ventilation system; 233 F_V is the ventilation airflow; *S* is the indoor PM_{2.5} emission rate; F_E is the exfiltration airflow; $F_{RH,E}$ is 234 the exhaust airflow by the range hood while cooking, (16m³/min); *K* is the deposition rate for PM_{2.5}. 235 The dynamic mass balance model can be described in a discrete form. The indoor PM_{2.5} 236 concentration at time step $\tau+\Delta\tau$ is:

237
$$C_{IA}\Big|_{\tau+\Delta\tau} = C_{IA}\Big|_{\tau} \cdot e^{-x\Delta\tau/V} + \frac{y \cdot C_{OA}\Big|_{\tau+\Delta\tau} + S\Big|_{\tau+\Delta\tau}}{x} \Big(1 - e^{-x\Delta\tau/V}\Big)$$
(3)

238 where

239
$$\begin{cases} x = F_E \big|_{\tau + \Delta \tau} + F_{RH,E} \big|_{\tau + \Delta \tau} + K \cdot V \\ y = P \cdot F_I \big|_{\tau + \Delta \tau} + P \cdot F_{RH,I} \big|_{\tau + \Delta \tau} + (1 - \eta_{VF}) \cdot F_V \big|_{\tau + \Delta \tau} \end{cases}$$
(4)

In the following modelling, because cooking activities usually last for a few minutes, the time step $\Delta \tau$ is set at 1min. The indoor PM_{2.5} concentrations of 1min intervals for a whole year (totally 525,600 steps) are considered. The initial indoor concentration ($C_{IA}|_{t=0}$) is calculated by the steady-state form. Hourly ambient data, such as concentrations, temperatures and wind velocities, are discreted to 60 minutes and assumed constant within the whole hour.

The determination of all the parameters in the mass balance model is described in the Supplement Information (SI2). We also consider different cooking durations to take into account the contribution of indoor emission. The cooking minutes for each daily meal are classified into four groups, as listed in Table 2.

249

Table 2: Setting of daily cooking times

	Breakfast		Lunch		Supper	
Group	Daily period	Duration	Daily period	Duration	Daily period	Duration
1	None	0 min	None	0 min	None	0 min
2	7:00~7:10	10 min	12:00~12:20	20 min	19:00~19:20	20 min
3	7:00~7:20	20 min	12:00~12:40	40 min	19:00~19:40	40 min
4	7:00~7:30	30 min	12:00~13:00	60 min	19:00~20:00	60 min

251 **2.2.2 Economic impact model of public health**

Most of the epidemiologic studies linking air pollution and health endpoints are based on a relative risk model in the form of a Poisson regression (Kan and Chen, 2004). The health risk can be calculated using the concentration-response (C-R) coefficient (Huang and Zhang, 2013):

255
$$H = H_0 \cdot \exp(\beta \cdot (C - C_0))$$
(5)

where *C* and *H* are the annual pollutant concentration and annual health endpoint; β is the

concentration-response (C-R) coefficient, representing the excess health risk per each $1\mu g/m^3$ increase in PM_{2.5}; C_0 is the threshold concentration, below which there is no observed health effect; H_0 is the baseline incidence under C_0 . So far, in China, studies on concentration-response relationships derived from long-term exposure to PM_{2.5} have been largely absent (Shang *et al.*, 2013). A C-R coefficient of 0.4% provided by Pope *et al.* (2002), which is widely used for evaluating the health risk of long-term

 $262 \quad PM_{2.5}$ exposure, is adopted in the present study.

263 Considering both the indoor and outdoor exposures, the pollutant concentration *C* is determined as 264 the time-weighted annual average concentration, which is calculated as:

$$C = \frac{\tau_{IA} \cdot C_{IA} + \tau_{OA} \cdot C_{OA}}{24} \tag{6}$$

where τ_{IA} and τ_{OA} are the daily indoor and outdoor exposure hours, $\overline{C_{IA}}$ and $\overline{C_{OA}}$ are annual average indoor and outdoor concentrations. According to the review by Zhou and Zhao (2012), the indoor and outdoor time that Chinese adults spent per day are estimated to be 21.1 and 2.9 hours, respectively. There is no lower threshold yet identified for the health effects of PM_{2.5}. In this analysis, because the basic scenario is representing the current situation, the corresponding health risk can be calculated

271 relative to the basic scenario, as follows:

272
$$H' = N \cdot m = H_0 \cdot \exp\left(\beta \cdot \left(C' - C_0\right)\right)$$
(7)

where H', N, and m are the annual mortality cases, population (18,777,000), and annual mortality rate (0.495%) of urban Beijing, 2015, respectively; C' is the time-weighted annual average concentration in the basic scenario. Therefore, combining Equations (5) and (7), the health effect of the intervention scenarios compared to the basic scenario can be calculated as follows:

278
$$\Delta H = N \cdot m \cdot \left[\exp\left(\beta \cdot \left(C - C'\right)\right) - 1 \right]$$
(8)

279 where ΔH is the difference of mortality cases between the intervention scenario and the basic scenario. 280 A negative ΔH means a reduction of mortality cases.

The economic impact of public health is assessed by using the value of a statistical life (VSL, Viscusi and Aldy, 2003). Unlike the value of an actual life, the VSL is the value that an individual places on a marginal change in the likelihood of death. According to the research by Xie (2011), VSL is 16.8 million yuan *per capita* in Beijing. Therefore, the corresponding annual *per capita* economic benefit can be estimated by:

$$EB_{health} = -\frac{\Delta H \cdot VSL}{N}$$
(9)

287 **2.2.3 Energy cost of building ventilation**

The economic cost of energy consumption of the building ventilation (M_{BE}) consists of three components: the heating and cooling energy cost of infiltration airflows (M_I) , the heating and cooling energy cost of mechanical ventilation airflows (M_V) , and the fan power cost of the mechanical ventilation system (M_{VP}) .

(10)

 $M_{BE} = M_I + M_V + M_{VP}$

293 The heating and cooling energy cost of infiltration airflows (M_l) are derived from the

294 corresponding heating and cooling loads ($Q_{I,h}$ and $Q_{I,c}$) of the model apartment:

295
$$M_{I} = \frac{a \cdot p_{e}}{10^{3} A \cdot \eta_{c,r}} \int Q_{I,c} \, \mathrm{d}\,\tau + \frac{a \cdot p_{h}}{10^{3} A} \int Q_{I,h} \, \mathrm{d}\,\tau \tag{11}$$

where *a* is the urban *per capita* residential floor area in Beijing (31.69m²); p_e is the mean value of the current civil electricity price in Beijing, 0.5yuan/(kW·h); p_h is the current residential heating price in Beijing, 0.16yuan/(kW·h); $\eta_{c,r}$ is the cooling efficiency of the room air conditioners, estimated at 2.65 by the National Standard of China GB12021.3-2010 (AQSIQ and SAC, 2010). 300 The heating and cooling energy cost of mechanical ventilation airflows (M_V) is derived from the 301 corresponding heating and cooling loads ($Q_{V,h}$ and $Q_{V,c}$) as follows:

302
$$M_{V} = \frac{a \cdot p_{e}}{10^{3} A \cdot \eta_{c,p}} \int Q_{V,c} \, \mathrm{d}\,\tau + \frac{a \cdot p_{h}}{10^{3} A} \int Q_{V,h} \, \mathrm{d}\,\tau \tag{12}$$

where $\eta_{c,p}$ is the average cooling efficiency of ground source heat pumps, which is mostly used for the ventilation cooling sources, estimated at 3.08 by the National Standard of China GB/T19409-2013 (AQSIQ and SAC, 2013).

306 The fan power of the mechanical ventilation system (M_{VP}) is calculated as follows:

$$M_{VP} = 0.365 \frac{p_e \cdot \tau_{IA} \cdot a \cdot D_{VP}}{A}$$
(13)

308 where D_{VP} is the input power of the mechanical ventilation system. According to Stephens *et al.*

309 (2010), the energy consumption caused by the variation of filter efficiencies is negligible when set

310 against the whole energy consumption of the mechanical ventilation system. Therefore, we assume a

311 constant D_{VP} =45W for all the mechanically ventilated scenarios, which is taken from the Construction

312 Industry Standard of China JG/T391-2012 (MOHURD, 2012).

The calculation of the heating and cooling loads of infiltration and mechanical ventilation airflows $(Q_{I,h}, Q_{I,c}, Q_{V,h}, \text{ and } Q_{V,c})$ are introduced in the Supplemental Information (SI3). Finally, the economic benefit of building ventilation energy can be expressed as:

$$EB_{energy} = M_{BE} - M_{BE}$$
(14)

317 where M'_{BE} means the economic cost of the building ventilation energy for the basic scenario.

318 **3 Results**

319 **3.1 Indoor PM_{2.5} concentrations**

Fig.4 shows the averages and standard deviations of indoor $PM_{2.5}$ concentrations with different cooking activities, which are expressed as "breakfast/lunch/supper minutes." The resultant indoor concentrations of the basic scenario are also shown for comparison. The horizontal solid and dashed lines in Fig.4(a) are the guideline (10µg/m³) and interim target-1 (35µg/m³) of the WHO, respectively.



341 As shown in Fig.4(b) to (d), if an indoor source is present, the installation of mechanical 342 ventilation systems would always decrease the indoor concentration, while increasing air-tightness 343 without mechanical ventilation slightly leads to the opposite effect. That is because the air supplied from the mechanical ventilation system can dilute the indoor-generated pollutants, while the high 344 345 level of air-tightness prevents the exfiltration of the indoor particles. The standard deviations in Fig.4(a) show similar variation characteristics with the averages, 346 indicating that without indoor sources, the appropriate interventions can not only reduce the indoor 347 348 concentration levels, but also control the fluctuation of the indoor concentration in the long-term. 349 However, in Fig.4(b) to (d), with the same indoor emission strength and ventilation conditions (with

350 or without a mechanical ventilation system), the standard deviations of different scenarios do not vary

351 significantly. That is because the indoor emissions become the main influencing factor of the long-

352 term average concentration.

353 **3.2 Total economic benefits**

For all the intervention scenarios with different cooking activities, the total annual economic benefits are shown in Fig.5. The separate analysis of public health and energy cost is presented in the Supplement Information (SI4 and SI5).







360 (1) For the scenarios without indoor PM_{2.5} emission, the economic benefits of most of the
361 scenarios are below or near zero, while only the scenarios A7NV, A7F90, and A7F99 can achieve
362 positive economic benefits greater than 200yuan/capita. However, scenario A7NV is not
363 recommended as only improving air-tightness without supplying additional outdoor air could give rise
364 to an accumulation of other indoor pollution, for example CO₂, VOCs, and potential negative health
365 consequences.

366 (2) For the scenarios without mechanical ventilation, the benefits are positive and grow with the 367 increase of the air-tightness if there is no indoor $PM_{2.5}$ source. However, the benefits will fall and 368 become negative if an indoor source exists, indicating that the effect of solely improving air-tightness 369 without installing mechanical ventilation is not a cost-effective intervention for the occupants when 370 the real situation of indoor emission is taken into account.

371 (3) If an indoor $PM_{2.5}$ source and mechanical ventilation coexist in the building, the economic 372 benefits of the scenarios with the same filtration efficiency vary slightly with the air-tightness level, 373 while the benefits of the scenarios with the same air-tightness level increase significantly with the 374 improvement of the filtration efficiency. Moreover, the benefits of all the mechanically ventilated 375 scenarios range from 234yuan/capita (A3F50) to 1,001yuan/capita (A3F99), and increase with the 376 indoor emission strength. Thus, if there is indoor emission, the enhancement of filtration efficiency is 377 an effective strategy which can reduce indoor PM2.5 exposure and achieve significant economic 378 benefits.

(4) Though the scenario A3F50 has the least benefit among all the modelling results, A7F90 and
A7F99 are the only two scenarios which can always achieve economic benefits above 200yuan/capita
with different indoor emission conditions. Considering the uncertainty of the cooking style and
duration, and a further extension to all the building types in urban Beijing, the high level of airtightness and mechanical ventilation with high PM_{2.5} filtration efficiency are both important.

384 **4** Discussion

385 4.1 In response to high outdoor air pollution in Beijing

386 The annual average ambient PM2.5 concentration of Beijing in 2015 is 82.57µg/m3, which is much 387 higher than those in other 96 global largest cities studied in Stephens et al. (2016). Therefore, such 388 high level of ambient PM_{2.5} concentration of Beijing could lead to an elevated indoor PM_{2.5} exposure 389 to outdoor origin compared to those western studies. For different ventilation scenarios without indoor 390 $PM_{2.5}$ emissions, the annual averages of indoor $PM_{2.5}$ concentrations range from 5.52 to 25.24µg/m³ 391 (Fig.4(a)), and the estimated mortality reduction ratios ($\Delta H/H'$) range from -2.65 to 4.23%. However, 392 for 22 U.S. cities, among which the largest annual ambient PM_{2.5} concentration was still less than 393 20µg/m³, Zhao *et al.* (2015) found that for different home types with different filters in the USA, the 394 annual average indoor PM_{2.5} concentrations were from 0.11 to $3.70 \mu g/m^3$, and the estimated mortality 395 reduction ratios ranged from 0 to 2.5%, which are much smaller than our results.

396

397 Furthermore, our study demonstrated that a high filtration efficiency (>90%) should be adopted in 398 Beijing in response to the high outdoor air pollution. The result is in good agreement with the study 399 by Stephens *et al.* (2016), where the filters with $PM_{2.5}$ filtration efficiency above 96% were 400 recommended for outdoor air intakes in Beijing in order to keep the indoor exposure to outdoor PM_{2.5} 401 under 12µg/m³. According to our modelling results in Fig.4(a), without consideration of indoor 402 emission, the Scenario A3F99 (with current air tightness level ATL3 and mechanical ventilation 403 system with PM_{2.5} filtration efficiency of 99%) could keep indoor concentration down to 12.82µg/m³. 404 The slight difference between the two studies can be attributed to the different outdoor $PM_{2.5}$ 405 concentrations used in these two studies. While in other cities especially in US and European 406 countries where the outdoor air pollution level is low, the recommended filtration efficiency is much 407 lower. For example, an effective filtration efficiency of 45% could be sufficient to reduce the burden 408 of disease around 38% in European countries (Hänninen and Asikainen, 2013).

409

410 4.2 In response to high indoor emission in China

411 The Chinese cooking style is another important factor that greatly influences the modelling results.

412 The cooking emission rate used in our study represents typical Chinese stir-fry cooking style (Gao et

413 al., 2013) and is much higher than that of 1.7mg/min (Ozkaynak et al. (1996), which has been widely

414 adopted in western studies. To compare the impact of indoor emission strength, we conduct an extra 415 modelling with the cooking emission rate as 1.7mg/min. The results of total economic benefits for typical emission duration (20/40/40 mins) are shown in Fig.6. Two distinct features could be observed 416 417 for the two cooking styles (Figure 6 versus Figure 5): (1) For the scenarios without mechanical 418 ventilation, increase of air tightness can achieve positive economic benefits with Western cooking 419 style, while the Chinese cooking style leads to negative outcomes; (2) For the scenarios with 420 mechanical ventilation, the economic benefits with western cooking style are much smaller than those 421 with Chinese cooking style, and some scenarios with low filtration efficiency become negative (e.g. 422 A3F50, A3F70, A5F50).



423

424 Fig.6: Comparison of annual economic benefits with two types of indoor emission: Western style
 425 versus Chinese style

426

427 The impacts of indoor emissions in this study are broadly consistent with several existing studies. By 428 a simulation of London's domestic housing stock, Shrubsole et al. (2012) showed that cooking 429 contributed most of the indoor exposure to $PM_{2.5}$, and the reductions of envelope permeability without 430 mechanical ventilation would increase the indoor $PM_{2.5}$ concentrations. The simulation conducted by 431 Milner et al. (2015) revealed that even with mechanical ventilation, a higher level of air-tightness 432 might still increase the pollutant concentrations due to indoor emissions. Both Milner et al. (2015) and 433 Spilak et al. (2014) showed that mechanical ventilation with high filtration efficiency can reduce the 434 indoor PM_{2.5} exposure.

435 4.3 Discussion on the different building ventilation interventions

436 According to Fig.4(a), which represent the impact of the interventions on indoor PM_{2.5} exposure of outdoor origin only, increasing the envelope air-tightness can significantly reduce the indoor 437 438 exposure to PM_{2.5} of outdoor origin. This finding is generally consistent with the modeling results 439 from six unoccupied office buildings (no indoor source) in Beijing and Guangzhou measured for two 440 months in winter (Chen et al., 2016). It can also be seen from Fig.4(a) that with the same air tightness, 441 implementing mechanical ventilation with PFE <270% will increase indoor exposure to PM_{2.5} of 442 outdoor origin compared to buildings without mechanical ventilation. According to the experiment 443 conducted by Stephens and Siegel (2012), the improper installation of residential mechanical 444 ventilation systems without effective filtration might lead to inadvertent increases in human exposure 445 to outdoor air pollution comparing to the infiltration-only scenario. All the three studies, including 446 ours, suggest that the filtration efficiency of residential mechanical ventilation is very important to 447 prevent the ingress of outdoor-generated pollution.

448 Our study shows that most of the health benefits of mechanically ventilated scenarios without 449 indoor emissions are lower than the energy costs, including 4 scenarios with negative health outcomes. 450 For the scenarios with positive health benefits, the benefit-to-cost ratios vary from 0.08 to 4.24. This 451 finding can be discussed with the theoretical studies on building interventions for reducing indoor 452 exposure to PM of outdoor origin in Singapore (Zuraimi, 2007) and Toronto (Zuraimi and Tan, 2015). 453 The study in Singapore aimed at indoor PM_{10} exposure found that the monetary health benefits of all 454 assessed interventions (including filter efficiency enhancement, adopting air conditioning, etc.) were 455 significantly higher than the costs in residential and office buildings. However, the study in Toronto, 456 Canada found that the costs of retrofitting existing homes and implementing different residential building regulations were estimated at 2.3-2.9 times of the monetary health benefits of reducing 457 indoor PM_{2.5} exposure. It should also be noticed that the cost analysis was different in the three 458 459 studies: our study only considered the energy costs in operation; the study of Singapore included costs of air-conditioners, energy consumption, etc.; while the study of Toronto included both capital and 460 461 operational costs of the building retrofits. Despite the cost items, the variation of the benefit-cost 462 relations among the three studies might also be due to different GDPs in different countries.

463 Considering the diversity of climates and differences in atmospheric environment status, the effects of
464 the building ventilation interventions in different regions in China should be estimated in a further
465 study.

466 5 Limitations

467 In our study, we provided only general assessments and central estimates of the magnitude of various 468 uncertainties. Sensitivity analysis has not been conducted in this study. In fact, in the modelling to 469 evaluate the effect of building ventilation interventions, the most uncertain input parameter is the 470 indoor emission condition. The cooking time setting, as listed in Table 2, has taken the reasonable 471 household cooking durations into account. There are some inherit limitations for the adopted mass-472 balance model assuming e.g. complete mixing, and using a single compartment approach does not 473 capture short-term variations in the actual exposure concentrations very well (McGrath et al, 2017), 474 however, from the point of view of quantifying the overall exposure processes the accuracy is 475 considered good (Hänninen and Asikainen, 2013). Other parameters such as penetration factor and 476 deposition rate may give rise to uncertainty as well. According to the studies on indoor PM of Beijing, 477 the influence of deposition rate is much stronger than penetration factor (Ji and Zhao, 2015(a); Shi et 478 al., 2017). However, the annual characteristics of penetration factor and deposition rate are influenced 479 by many factors such as the geometry features of indoor space and instant indoor/outdoor air speeds 480 (Chen and Zhao, 2011), while the long-term study on these two parameters is still absent in China. 481 Therefore, we adopted values of penetration factor and deposition rate that have been widely used in 482 other international studies. The comprehensive sensitivity analysis can be included in future research 483 to refine uncertainty.

The modelling of health impacts is limited by the absence of two basic data sets. Firstly, since the concentration-response (C-R) coefficient of long-term $PM_{2.5}$ exposure is largely absent in China at present (Shang *et al.*, 2013), we use the C-R coefficient from the study conducted in the U.S. by Pope *et al.* (2002), which has been widely recognized around the world and used by several studies in China (Xie *et al.*, 2014; Lü and Li, 2016). However, according to some studies, the C-R relationship

in China may be different from that in developed countries due to different pollution levels, local population sensitivity, age distribution and, especially, different air pollution components (Cao *et al.*, 2011; Zhang *et al.*, 2014). Secondly, the value of a statistical life (VSL) applied in this study is derived from a survey in 2010 (Xie, 2011). With the rapid economic growth and urban development, the population structure and public health concerns in 2015 (the studied year) may be different from 6 years earlier, resulting in a changed VSL. However, research on these two parameters is beyond the scope of this paper, while the adopted values are the most reliable at present.

496 Finally, the intervention costs in this modelling have not included the capital costs for material 497 and labour costs, which vary greatly and are strongly influenced by the actual forms of windows and 498 mechanical ventilation systems. In China, the initial investment in building ventilation interventions is 499 often paid by the government or included in the residence prices, while the operation costs are usually 500 paid by the users. However, though the capital costs are reasonable for not being included in the 501 modelling of economic benefits, these cost items should be considered in any further study if the 502 benefits are discussed from the viewpoint of different stakeholders, such as the government, property 503 developers and residents.

504 6 Conclusion

505 This study provides new insights into the economic benefits of building ventilation interventions 506 for reducing indoor $PM_{2.5}$ exposure from both indoor and outdoor origins in urban Beijing - one of the 507 most polluted cities in the world. The modelling results demonstrate that with the variety of indoor 508 $PM_{2.5}$ emission sources, the cost-effectiveness of different building ventilation interventions can be 509 different.

510 Without indoor PM_{2.5} emission, increasing envelope air-tightness can significantly reduce indoor 511 PM_{2.5} exposure and achieve health and economic benefits. However, if indoor emissions are present, 512 the economic benefits of increasing air-tightness alone (without mechanical ventilation) will be 513 negative. If indoor emission and mechanical ventilation coexist in the building, increasing air-514 tightness will only slightly contribute to the positive economic benefits.

515 For the buildings with indoor PM_{2.5} emission sources, the annual economic benefits of installing 516 mechanical ventilation range from 200yuan/capita to 800yuan/capita. However, if there is no indoor 517 emission, the annual economic benefits of installing mechanical ventilation will be above 518 200yuan/capita only when the PM_{2.5} filtration efficiency is no less than 90% and the envelope air-519 tightness is above National Standard Level 7. Mechanical ventilation with PM_{2.5} filtration efficiency 520 below 70% will carry substantial amounts of PM2.5 into the indoor space and lead to negative 521 economic benefits if there is no PM_{2.5} source in the building. According to the comparison with other studies, the economic impact of different building 522 523

523 interventions in different climates and locations may vary significantly. Considering the diversity of 524 climates and the differences in atmospheric environment status across China, further study should be 525 conducted in different regions to provide effective building intervention strategies and achieve health 526 and economic benefits nationwide.

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