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APPENDIX A
GLOSSARY OF CLIMATE AND AIR QUALITY TERMS

Aerosols -- Solid or liquid particles suspended within the atmosphere. Examples are sulfate particles, which reflect light, and black carbon particles, which absorb light.

Anthropogenic Emissions -- Gaseous and particulate pollutants (or precursors to pollutants) that are released into the atmosphere as a consequence of human activities.

Anthropogenic Secondary Organic Aerosols -- Secondary organic aerosols that are formed from anthropogenic precursors.

Atmospheric Processes -- Processes affecting the formation, removal, and distribution of energy, momentum, gases, aerosols, and clouds within the earth's atmosphere as a function of time and space. Examples include gas-phase chemistry, heterogeneous chemistry, aqueous-phase chemistry, gas-to-particle conversion, radiative transfer, nucleation of particles, evaporation of particles, wet and dry deposition, formation of clouds, emissions, and horizontal and vertical transport processes.

Attainment Area -- A geographic area in which levels of a given criteria air pollutant fall below the health-based primary national ambient air quality standard (NAAQS) for the pollutant. An area may have an acceptable level for one criteria air pollutant and unacceptable levels for others. Thus, an area could be both attainment and non-attainment at the same time. Attainment areas are defined using federal pollutant limits set by EPA.

Biogenic Emissions -- Emissions of gaseous and particulate pollutants and precursors to pollutants from natural sources, such as plants and trees.

Clean Air Act -- The original Clean Air Act was passed in 1963, but the national air pollution control program is actually based on the 1970 version of the law. The 1990 Clean Air Act Amendments are the most far-reaching revisions of the 1970 law. In this summary, the 1990 amendments are referred to as the 1990 Clean Air Act.

Climate -- The long-term average weather of a region, including typical weather patterns, the frequency and intensity of storms, cold spells, and heat waves. Climate is not the same as weather; it is the average pattern of weather for a particular region. Climatic elements include precipitation, temperature, humidity, sunshine, wind velocity, phenomena such as fog, frost, and hail storms, and other measures of the weather.

Climate Forcing -- The earth's climate changes when the amount of energy stored by the climate system is varied. The most significant changes occur when the global energy balance between incoming energy from the sun and outgoing heat from the earth is upset. There are a number of natural mechanisms that can upset this balance,

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1 for example fluctuations in the earth's orbit, variations in ocean circulation, and
2 changes in the composition of the atmosphere. Changes in the composition of the
3 atmosphere can occur due to man-made pollution, through emissions of
4 greenhouse gases. By altering the global energy balance, such mechanisms
5 "force" the climate to change. Consequently, scientists call them "climate
6 forcing" mechanisms.
7

8 **Climate Change** -- Changes in long-term trends in the climate, such as changes in average
9 temperatures. In Intergovernmental Panel on Climate Change (IPCC) usage,
10 climate change refers to any change in climate over time, whether due to natural
11 variability or as a result of human activity. In United Nations Framework
12 Convention on Climate Change usage, climate change refers to a change in
13 climate that is attributable directly or indirectly to human activity that alters
14 atmospheric composition.
15

16 **Climate System** -- The global climate system is made up of the atmosphere, the oceans, the ice
17 sheets (cryosphere), living organisms (biosphere) and the soils, sediments and
18 rocks (geosphere), which all affect the movement of heat, momentum, and
19 moisture, around the earth's surface.
20

21 **Climate Variability** -- Deviations of climate statistics over a given period of time (such as a
22 specific month, season, or year) from the long-term climate statistics relating to
23 the corresponding period.
24

25 **Criteria Pollutants** -- Under the federal Clean Air Act, EPA has identified six major air
26 pollutants that have adverse effects on public health and the environment called
27 "criteria air pollutants:" ozone, carbon monoxide, nitrogen dioxide, sulfur
28 dioxide, particulate matter, and lead. EPA has set National Ambient Air Quality
29 Standards for each of these criteria pollutants to protect public health and the
30 environment.
31

32 **Downscaling** -- Methods to obtain high spatial resolution data from a coarser scale atmospheric
33 or coupled oceanic-atmospheric circulation model run on the global domain.
34 Downscaling can be achieved using fine spatial scale (mesoscale) meteorological
35 models (referred to as "dynamical downscaling") or statistical relationships
36 ("statistical downscaling").
37

38 **Emissions** -- Release of substances (e.g., greenhouse gases) into the atmosphere or the
39 substances themselves.
40

41 **Energy Security** -- The stable supply of energy resources to the main consumers. Increasingly,
42 energy security is viewed as a much broader concept that extends to the
43 extraction, transport, and sale of energy.
44

45 **General Circulation Model (GCM)** -- A computer model of the basic dynamics, physics of and
46 internal interactions of the global climate system (including the atmosphere and

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1 oceans) and their interactions. GCMs used to simulate climate variability and
2 change.

3 **Global Warming Potential (GWP)** -- A system of multipliers devised to enable warming effects
4 of different gases to be compared. The cumulative warming effect, over a
5 specified time period, of an emission of a mass unit of CO₂ is assigned the value
6 of 1. Effects of emissions of a mass unit of non-CO₂ greenhouse gases are
7 estimated as multiples. For example, over the next 100 years, a gram of methane
8 in the atmosphere is currently estimated as having 23 times the warming effect as
9 a gram of carbon dioxide; methane's 100-year GWP is thus 23.

10 **Greenhouse Effect** -- The insulating effect of atmospheric greenhouse gases (e.g., water vapor,
11 carbon dioxide, methane, etc.) that keeps the earth's temperature about 60°F
12 warmer than it would be otherwise.

13 **Greenhouse Gas (GHG)** -- Any gas that contributes to the "greenhouse effect."

14 **Indirect Effects** --As opposed to direct effects of aerosol particles on radiative forcing due to the
15 scattering and absorption of light, indirect effects are due to the ability of some
16 particles to act as cloud condensation nuclei. This changes the number of droplets
17 in clouds and their size distribution, which alters precipitation, cloud extent and
18 lifetime. Because of the reflection of solar radiation by clouds and other
19 interactions between clouds and radiation, there is an indirect forcing of the global
20 system from aerosols via their effects on clouds. Another potential indirect
21 forcing involves the heterogeneous chemistry involving aerosols and greenhouse
22 gases.
23

24 **Intergovernmental Panel on Climate Change (IPCC)** -- The IPCC was established in 1988 by
25 the World Meteorological Organization and the UN Environment Program. The
26 IPCC is responsible for providing the scientific and technical foundation for the
27 United Nations Framework Convention on Climate Change, primarily through the
28 publication of periodic assessment reports.
29

30 **Mean Climate** -- The average of climate variables over a spatial domain or temporal period. For
31 example, the mean sea surface temperature is a measure of climate change. A
32 mean precipitation over a 5-year period may be calculated for a future scenario to
33 average out the year-to-year variability.
34

35 **Mesoscale** -- A spatial dimension ranging from 2 to 2000 km. This is the typical spatial scales of
36 urban air pollution, local winds, thunderstorms, etc.
37

38 **Meteorology** -- The science that deals with the phenomena of the atmosphere, especially weather
39 and weather conditions. Weather is the day-to-day changes in temperature, air
40 pressure, moisture, wind, cloudiness, rainfall, and sunshine.
41

1 **Negative Feedback** -- A process that results in a reduction in the response of a system to an
2 external influence. For example, increased plant productivity in response to
3 global warming would be a negative feedback on warming because the additional
4 growth would act as a sink for CO₂, reducing the atmospheric CO₂ concentration.
5

6 **Nonattainment Area** -- A geographic area in which the level of a criteria air pollutant is higher
7 than the level allowed by the federal standards. A single geographic area may
8 have acceptable levels of one criteria air pollutant but unacceptable levels of one
9 or more other criteria air pollutants; thus, an area can be both attainment and
10 nonattainment at the same time. It has been estimated that 60% of Americans live
11 in nonattainment areas.
12

13 **Non-Radiative Forcing** -- A process or change that leads to energy redistribution within the
14 global climate system, but does not directly affect the energy budget of the
15 atmosphere. Processes that induce non-radiative forcing usually operate over vast
16 time scales (10⁷ to 10⁹ years) and mainly affect the climate through their influence
17 over the geometry of the earth's surface, such as location and size of mountain
18 ranges and position of the ocean basins.
19

20 **Positive Feedback** -- A process that results in an amplification of the response of a system to an
21 external influence. For example, increased atmospheric water vapor in response
22 to global warming would be a positive feedback on warming, because water vapor
23 is, itself, a GHG. Increases in water vapor in association with increases in
24 greenhouse gases would cause greater warming than would occur if water vapor
25 remained constant.
26

27 **Radiative Forcing** -- Changes in the energy balance of the earth-atmosphere system in response
28 to a change in factors such as greenhouse gases, land-use change, or solar
29 radiation. The climate system inherently attempts to balance incoming (e.g.,
30 light) and outgoing (e.g., heat) radiation. Positive radiative forcings increase the
31 temperature of the lower atmosphere, which in turn increases temperatures at the
32 earth's surface. Negative radiative forcings cool the lower atmosphere. Radiative
33 forcing is most commonly measured in units of watts per square meter (W/m²).
34

35 **Regional Scale** -- A geospatial scale in the global climate-air quality field that is relative rather
36 than absolute. For applications of global circulation models, examples of regions
37 may be North America, Africa, or South Pacific Ocean. For applications within
38 the continental U.S., examples of regions may be Northeastern U.S., the Upper
39 Midwest, or the Pacific Northwest.
40

41 **Secondary Organic Aerosols (SOA)** -- Carbonaceous aerosols that are not emitted but produced
42 in the atmosphere. Typically, precursor gases (such as aromatic hydrocarbons,
43 monoterpenes) undergo chemical reactions, condensation, and other atmospheric
44 processes to form SOA.
45

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1 **Sequestration** -- The removal of atmospheric CO₂, either through biological processes (e.g.,
2 plants and trees), or geological processes through storage of CO₂ in underground
3 reservoirs.
4

5 **Sinks** -- Any process, activity, or mechanism that results in the net removal of greenhouse gases,
6 aerosols, or precursors of greenhouse gases from the atmosphere.
7

8 **SRES Scenarios** -- A suite of emissions scenarios developed by the Intergovernmental Panel on
9 Climate Change in its Special Report on Emissions Scenarios (SRES). These
10 scenarios were developed to explore a range of potential future greenhouse gas
11 emissions pathways over the 21st century and their subsequent implications for
12 global climate change.
13

14 **State Implementation Plan (SIP)** -- A detailed description of the programs a state will use to
15 carry out its responsibilities under the Clean Air Act. A SIP is a collection of the
16 regulations used by a state to reduce air pollution. The Clean Air Act requires
17 that EPA approve each SIP. Members of the public are given opportunities to
18 participate in review and approval of SIPs.
19

20 **Stratosphere** -- The region of the Earth's atmosphere 10-50 km above the surface of the planet.
21

22 **Thermohaline Circulation (THC)** -- A 3-dimensional pattern of ocean circulation that is driven
23 by wind, heat, and changes in salinity. Thermohaline Circulation is responsible
24 for distributing energy, as heat, and matter, as dissolved solids and gases,
25 throughout the global ocean-atmosphere climate system. In the Atlantic, wind-
26 driven surface currents transport warm tropical surface water northward where it
27 cools and then sinks into the deep ocean. The deep ocean current is driven south,
28 beneath the tropical oceans, eventually warming and rising to the surface in the
29 North Pacific. Global warming is projected to increase sea-surface temperatures,
30 which may slow the THC process by reducing the sinking of cold water in the
31 North Atlantic. In addition, ocean salinity influences water density, and, thus,
32 decreases in sea-surface salinity from the melting of ice caps and glaciers may
33 also slow THC. Other terms for THC include, “the ocean conveyor belt,” “the
34 great ocean conveyer,” “the global conveyor belt,” and “the meridional
35 overturning circulation.”
36

37 **Troposphere** -- The region of the atmosphere 0 to approximately 10 km above the earth's
38 surface.
39

40 **Tropospheric Ozone** -- Ozone in the lower atmosphere (troposphere) or near ground is
41 considered to be one of the pressing air quality issues. Most ground-level ozone
42 is formed indirectly by the action of sunlight on volatile organic compounds in the
43 presence of nitrogen dioxide and, as such, is a secondary pollutant. There are no
44 direct man-made emissions of ozone to the atmosphere. During photochemical
45 smog episodes, levels can rise to over 100 ppb. Ozone episodes are likely to
46 develop following sustained periods of warmth and calm weather. Once formed,

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1 ozone is scavenged by nitric oxide, usually present in urban areas as a result of
2 traffic fumes and less so in the countryside. Consequently, ozone usually occurs
3 in higher concentrations during summer than winter, and in urban rather than rural
4 areas. Background levels of ozone are usually less than 15 ppb but can be as high
5 as 60 ppb.
6

7 ***Tropopause*** -- The transitional region between the stratosphere and the troposphere.
8

9 ***Weather*** -- Weather is the specific condition of the atmosphere at a particular place and time. It
10 is measured in terms of such things as wind, temperature, humidity, atmospheric
11 pressure, cloudiness, and precipitation. In most places, weather can change from
12 hour-to-hour, day-to-day, and season-to-season.

1 **APPENDIX B**
2 **U.S. AIR QUALITY: ITS SENSITIVITY TO METEOROLOGY AND**
3 **EARLY STUDIES OF THE EFFECT OF CLIMATE CHANGE**
4

5 **B.1. INTRODUCTION**

6 This appendix offers information that can serve as a point of reference for evaluating the
7 significance of the projections of meteorological and air quality change discussed in this report.
8 The first section addresses the role of meteorology in determining air quality, followed by a
9 discussion of the observed regional patterns in ozone (O₃) concentrations and meteorological
10 sensitivities. The discussion draws from the open literature and extensive summaries found in
11 the U.S. EPA Air Quality Criteria Documents for O₃ and Particulate Matter (U.S. EPA, 2006,
12 2004). This appendix concludes with a survey of the climate and air quality literature from
13 earlier modeling efforts and more recent studies conducted independently from the EPA GCRP
14 air quality program.
15

16 **B.2. THE LINKS BETWEEN METEOROLOGY, BIOGENIC AND EVAPORATIVE**
17 **EMISSIONS, AND AIR QUALITY**

18 The link between meteorology and extreme ground-level PM and O₃ concentrations is
19 well understood by the air quality management community. The earliest recorded incidences of
20 extreme PM concentrations in London took place in wintertime during periods with low
21 temperature, fog, and low wind speeds (stagnant conditions) (Brimblecombe, 1987). However,
22 the relationship between meteorology and air quality can be complex. Observations of urban O₃
23 concentrations as a function of ground-level temperature provide an example of this complexity.
24 However, the relationships between O₃ concentrations and any specific predictor are location-
25 specific, e.g., relationships observed in one area may not be readily extrapolated to another.

26 In addition to temperature, other factors, such as wind speed and direction, humidity, and
27 precipitation frequency, are also known to be important determinants of air quality. Very often,
28 however, individual meteorological variables are closely associated with other air quality-
29 relevant meteorological properties, making simple sensitivity relationships difficult to establish.
30 For example, high surface temperatures are often associated with clear skies and strong inversion
31 layers, making it difficult to establish a causal relationship between any of the given factors and
32 high O₃ concentrations. Nevertheless, strong relationships between pollutant concentrations and
33 simple, easily measured meteorological variables, i.e., temperature and wind speed, have been
34 derived and can inform an analysis of the potential impacts of a warming climate on air quality.

35 This section discusses the links between specific meteorological variables and air quality.
36 Ozone and PM are often similarly affected by changes in these variables. Therefore, the links

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1 between meteorology, O₃, and PM are discussed together. Exceptions, such as the distinctive
2 role of precipitation in determining ambient PM concentrations, are noted.

4 **B.2.1. Surface Temperature**

5 Local O₃ formation depends on atmospheric conditions such as the availability of solar
6 ultraviolet radiation capable of initiating photolysis reactions, air temperatures, and the
7 concentrations of chemical precursors. Daily maximum temperature is one of the strongest
8 predictors for O₃ pollution (Cox and Chu, 1996; U.S. EPA, 2003; Anderson et al., 2001;
9 Vukovich and Sherwell, 2003).

10 Secondary pollutants, including ozone (O₃) and other photochemical oxidants, particulate
11 sulfate, nitrate, ammonium, and secondary organic aerosols (SOA), are formed in the ambient
12 atmosphere via chemical reactions that take place in the gas phase, on particle surfaces, or in
13 cloud droplets. In many cases, the chemical rate constants for these reactions are temperature
14 sensitive. Furthermore, high surface temperatures are often associated with high levels of solar
15 radiation, e.g., clear skies, leading to increased photochemical smog production. High ambient
16 temperatures can also influence the emissions of anthropogenic and biogenic volatile organic
17 compounds (VOCs)—important precursors of both O₃ and PM.

19 **B.2.2. Temperature Effects on Anthropogenic VOC Emissions**

20 There are direct and indirect effects of climate change on anthropogenic emissions.
21 Direct effects are typically related to the enhanced evaporation of volatile chemicals at higher
22 temperatures. In particular, VOC emissions from fugitive sources and mobile sources (U.S.
23 EPA, 2002) are expected to increase with temperature. Evaporative emissions of the VOCs
24 found in fuel occur during fuel transfer processes and from storage tank and fuel line leakage.
25 This source, accounting for nearly half of all evaporative emissions, contributes significantly to
26 the U.S. ground-level ozone problem.

28 **B.2.3. Temperature Effects on Biogenic Emissions**

29 Biogenic VOCs serve as precursors for both O₃ and secondary organic PM_{2.5}. Isoprene
30 has been shown to produce low yields of organic PM_{2.5} (Kroll et al., 2005). However, since
31 isoprene is the most abundant hydrocarbon emitted into the atmosphere after methane, even low
32 yields can produce significant levels of organic PM_{2.5}. Isoprene and terpenoid compounds,
33 another source of secondary organic aerosols, are emitted by vegetation. These emissions
34 increase exponentially with temperatures up to a species-dependent limit in the range of 35-40°C

1 (e.g., Geron et al., 1994; Constable et al., 1999; Sanderson et al., 2003; Lathière et al., 2006;
2 Steiner et al., 2006.).

3 **B.2.4. Temperature and Aerosol Thermodynamics**

4 For semi-volatile particulate species (nitrate, ammonium, secondary organic aerosols),
5 climate change could be expected to affect gas/particle partitioning. First, gas/particle
6 equilibrium may shift towards the gas phase at higher temperatures because the saturation vapor
7 pressures of semi-volatile compounds increase with temperature. Thermodynamics dictates that
8 the saturation vapor pressure, which is the capacity of air to hold vapors of a trace gas, increases
9 with increasing temperature. Second, temperature and relative humidity (RH) affect the water
10 content of particles. Aw and Kleeman (2003) modeled the formation of secondary particles in an
11 environment at elevated temperatures and found that even though the production of some
12 condensable gases (e.g., HNO₃) is increased, the partition of condensable material to the particle
13 phase is suppressed when the temperature is increased by 2-5°C. As a result, both the total mass
14 and size distributions of particles are predicted to decrease.

15

16 **B.2.5. Atmospheric Stability**

17 Dry deposition is a function of the aerodynamic resistance of the bulk atmosphere, the
18 quasi-laminar sublayer resistance near the surface, and the chemical-specific surface resistance
19 for the gas. The fall velocity of a particle due to gravity and the aerodynamic and laminar
20 sublayer resistance control the overall dry deposition velocity of a particle. Changes in climate
21 can affect the aerodynamic resistance, which depends on the atmospheric stability. Changing
22 temperature and RH can affect the size of particles due to gas-particle partitioning, hence altering
23 their fall velocities.

24

25 **B.2.6. Mixing Height**

26 Mixing conditions are governed by both synoptic scale pressure systems and local diurnal
27 temperature and humidity changes. The development of the mixing layer is an important
28 controlling factor for air pollution episodes. Stable conditions that typically occur at night, over
29 water or during winter, significantly limit the amount of vertical mixing of pollutants, whereas
30 unstable conditions typical of warm daytime conditions enhance vertical mixing.

31 The city of Los Angeles is a well-studied example of the air quality consequences of a
32 strong inversion layer. The confluence of a strong temperature inversion with high summertime
33 temperatures effectively creates a closed, heated reaction vessel that amplifies the photochemical
34 production of secondary pollutants, like O₃. (Jacobson, 2002) Other western cities within the

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1 U.S. are subject to strong inversions, especially those located adjacent to mountains, such as Salt
2 Lake City and Denver.

3

4 **B.2.7. Humidity**

5 Water vapor participates in the suppression of O₃ formation by reacting with the O(1D)
6 radical, the most important precursor to tropospheric O₃ formation. Relative humidity is also a
7 predictor of PM in the southwestern U.S. (Wise and Comrie, 2005). High humidity conditions
8 lead to the partitioning of water into particles. Additional particle water facilitates further
9 partitioning of gas-phase water-soluble compounds into the particle phase (e.g., Liao et al.,
10 2006). When aqueous-phase oxidants, such as peroxides and hydroxyl radical, are present,
11 aqueous-phase oxidation reactions can lead to acidic compounds that alter the particle pH,
12 further enhancing the partitioning of water-soluble compounds.

13

14 **B.2.8. Wind Speed and Direction**

15 High winds are typically associated with ventilated conditions and disperse air pollution
16 near source areas. However, strong winds can also enhance transport of polluted air to
17 downwind locations. Lower winds are typically associated with stagnant conditions, and
18 stagnant conditions have been found to be associated with high PM and O₃ concentrations (e.g.,
19 Pun and Seigneur, 1999; Ellis et al., 2000; Pun et al., 2000). Therefore, wind speeds play a role
20 in the accumulation of air pollutants (e.g., Gebhart et al., 2001, Wise and Comrie, 2005). In
21 addition, changing wind patterns associated with climate change can affect the frequency with
22 which pollution plumes are carried to a specific location (e.g., Mickley et al., 2004).

23 Land-sea breezes affect the concentration and dispersal of pollutants in coastal zone
24 cities. However, the presence of mountain barriers limits mixing (as in Los Angeles) and results
25 in a higher frequency and duration of days with high O₃ concentrations.

26 Ozone concentrations in southern urban areas (such as Houston, TX and Atlanta, GA)
27 tend to decrease with increasing wind speed. In northern cities (such as Chicago,
28 IL; New York, NY; Boston, MA; and Portland, ME), the average O₃ concentrations over the
29 metropolitan areas increase with wind speed, indicating that transport of O₃ and its precursors
30 from upwind areas is important (Schichtel and Husar, 2001).

31 Resuspension of dust and previously deposited particles increases with increasing wind
32 speeds. Emissions of sea salt particles are a strong function of wind speed (Gong et al., 1997).

33

1 **B.2.9. Cloud Cover and Precipitation**

2 Global climate change may alter the distribution of clouds (Stevenson et al., 2005).
3 Changing cloud distributions will correspondingly alter photochemical oxidation rates in the
4 areas affected.

5 Wet deposition of PM is a function of the form and amount of precipitation. At locations
6 where climate change alters the precipitation pattern (rain vs. snow), frequency, and intensity,
7 removal of particles and soluble gases by wet deposition may be increased or reduced (e.g.,
8 Langer et al., 2005; Sanderson et al., 2006).

9

10 **B.3. REGIONAL PATTERNS IN THE O₃ CONCENTRATION RESPONSE TO**
11 **METEOROLOGY**

12 While the time series is too short to provide insight into the long-term role of climate in
13 determining O₃ concentrations, statistical analyses of the U.S. O₃ observational dataset have
14 shown consistent spatial patterns in the relationship between meteorological variables and O₃
15 production.

16 These patterns can serve as a useful reference from which to interpret the climate-based
17 projections presented in this report. The variability in annual and seasonal meteorology reduces
18 the predictability of air quality, introducing a noisy "background" on the temporal record of
19 observed air pollution concentrations. This background noise makes detection of the long-term
20 effect of emissions control programs difficult. The air quality science and regulatory community
21 has applied a variety of statistical techniques to the problem of removing meteorological noise
22 from the air quality record, with a high level of success (Cox and Chu, 1993).

23 In addition to isolating the downward trend in O₃ levels, consistent with declining
24 precursor emissions, from the variable background, the statistical analyses of the air quality
25 record have revealed regionally-oriented air quality sensitivities to specific meteorological
26 variables. The results of these studies suggest a major role for synoptic-scale, as well as local-
27 scale, meteorology in determining air quality. The studies discussed below identified distinctive,
28 regionally specific meteorological sensitivities in regional pollutant concentrations. Useful
29 insights into the impacts of climate change on regional air quality may be found in the
30 comparison of these observed patterns to those synoptic-scale changes projected to occur under
31 different GHG emissions scenarios.

32 Eder et al. (1994) used a cluster analysis to identify seven meteorological regimes in the
33 Eastern half of the U.S. that affect O₃, each of which can be represented by a multivariate
34 regression model based on temperature, wind speed and direction, pressure, cloud cover, dew
35 point, solar insolation, mixing height, and upper air temperature, dew point, and wind speed and

1 direction. Camalier and Cox (2007), using an alternative approach and observational data taken
2 from the U.S. EPA AQS database, have also identified a series of distinctive regions that are
3 distinguished by the relative sensitivity of O₃ concentration sensitivities to different
4 meteorological variables. Figure B-3 provides a map of these regions and the two most
5 important variables related to O₃ air quality for each region.

6 Lehman et al. (2004) analyzed the AQS database of daily 8-hr maximum O₃
7 concentrations collected in the EPA AQS database for 1,090 stations in the eastern half of the
8 U.S. for the 1993 to 2002 period. They applied a rotated principle component analysis to a
9 reasonably complete, spatially representative, non-urban subset of the database in order to
10 identify coherent, regionally oriented patterns in O₃ concentrations. Five spatially homogenous
11 regions were identified: the U.S. Northeast, Great Lakes, Mid-Atlantic, Southwest (including
12 Alabama, Louisiana, Texas, Oklahoma), and Florida. The Mid-Atlantic region displayed the
13 highest mean concentration (52 ppb) of all of the regions analyzed, followed by the Great Lakes,
14 Southwest, and Northeast regions with around 47 ppb. The average concentration derived for
15 Florida was 41 ppb. The authors found strong correlations in measured concentrations among
16 stations within the same region, suggesting that the geospatial patterns of pollutant emissions and
17 meteorological activity may also have a regional orientation. These results suggest that these
18 regions may define natural domains for regional scale modeling studies of the influence of O₃ (as
19 well as PM) on climate.

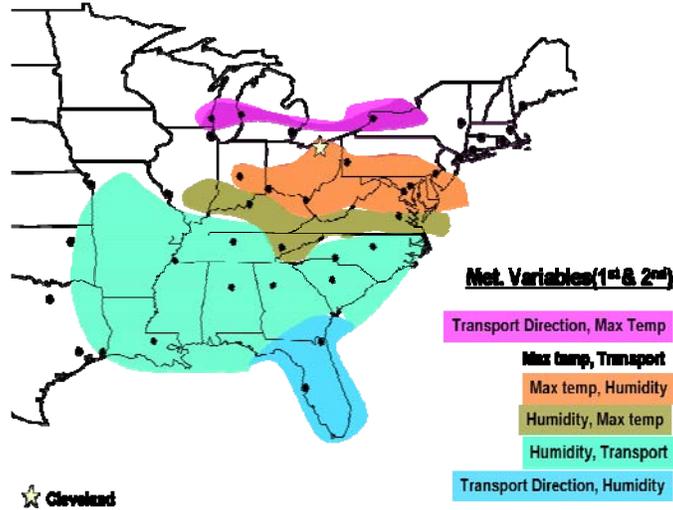
20 Camalier et al. (2007) also identified a north-south gradient in the eastern U.S. with
21 respect to the importance of changes in temperature and humidity on O₃ concentrations. Their
22 result suggests that the northeastern U.S. is more susceptible to temperature-induced increases in
23 O₃. It has been suggested that the effect may be attributed to the fact that, currently, the
24 Northeast is subject to a greater range of possible temperature changes during a typical O₃
25 season—including periods of lower-than-average temperatures—resulting in a regional capacity
26 for additional warm, high O₃ days. The characteristically warmer temperatures and narrower
27 range in temperature variation in temperatures in the Southeast is consistent with the observed
28 lower O₃ sensitivity to temperature. (See Figure B-4)

30 **B.4. CLIMATE CHANGE AND U.S. AIR QUALITY: EARLY AND EXTERNAL** 31 **STUDIES**

32 Early studies of the potential effect of a warming climate, specifically on U.S. ozone
33 levels, include an evaluation of the consequences of a hypothetical 4°C increase in temperature
34 across horizontal, vertical, and temporal scales (Morris et al., 1989; Morris et al, 1995). The
35 Morris et al. (1989) study modeled specific episodes and projected increased O₃ concentrations

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1 ranging from 3-20% in a simulation of Central California and from -2.4-8% for simulations of
2 the
3

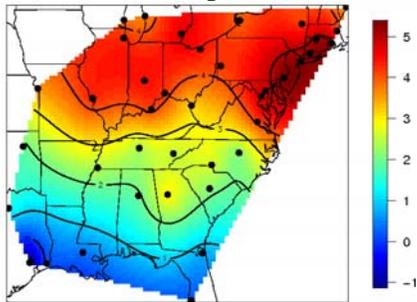


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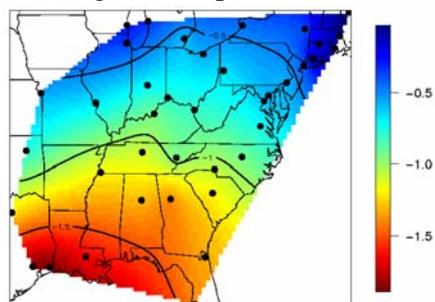
Figure B-3. Patterns of O₃ sensitivity to wind direction, temperature, and humidity, in the eastern portion of the U.S.

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11

Ozone Response to Temperature
(Positive response)

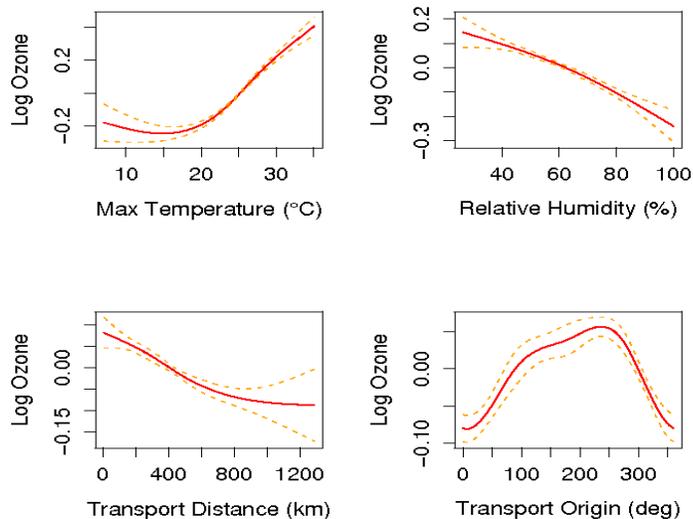


Ozone Response to Relative Humidity
(Negative response)



12
13
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16
17

Figure B-4. Trends in ambient O₃ concentration sensitivities with respect to temperature and humidity.



1
2
3 **Figure B-5. Ozone response to changes in the four**
4 **important meteorological parameters affecting ozone for**
5 **Cleveland, OH.** Panel A: the O₃ response to temperature is
6 relatively small for temperatures below ~20°C but is strongly
7 positive above 20°C. Panel B: Decreasing O₃ with increasing
8 relative humidity reflects increased cloudiness and atmospheric
9 instability. Panel C: O₃ concentrations are inversely
10 proportional to transport distance, e.g., the distance traveled by
11 the incoming air mass over the previous 24-hours, reflecting
12 the dilution effect of higher wind speed. For Cleveland, the
13 largest increment in ozone occurs when transport winds are
14 from a southwesterly direction (i.e., 200 to 250 deg).
15

16 Midwest and Southeast. Morris et al. (1995) included the effect of warmer conditions on mobile
17 source and biogenic emissions in their simulation of a 4-day episode in the Northeast. In that
18 simulation, O₃ concentrations increased 15-25 ppb in much of the modeling domain, above
19 baseline concentrations of 110-120 ppb range and 120-140 ppb range (10-20% increase).

20 In a recently study, Murazaki and Hess (2006), employing an approach that is similar to
21 one of the approaches used by GCRP-supported STAR researchers, modeled global-scale
22 atmospheric chemistry driven by a climate modeled for an IPCC A1 SRES scenario. They fixed
23 U.S. emissions at 1990 levels and projected U.S. surface O₃ levels for the 2090-2100 timeframe
24 to estimate the effect of a changing climate. The impact of climate change on U.S. surface O₃
25 levels is investigated. They found that the response of O₃ to climate change in polluted regions
26 is not the same as in remote regions, i.e., a 0–2 ppbv decrease in background O₃ in the future
27 simulation over the U.S. but an increase in O₃ produced internally within the U.S. of up to 6
28 ppbv. They attributed the decrease in background O₃ to a future decrease in the lifetime of O₃ in

1 low NO_x regions. They also noted that the decrease in background O₃ roughly cancels any
2 increase observed for the Western U.S. and concluded that the Eastern U.S. will be most
3 impacted by climate-induced O₃ increases, i.e., upwards of 5 ppbv. They predicted that in the
4 future over the northeastern U.S., up to 12 additional days each year will exceed the maximum
5 daily 8-hour averaged O₃ limit of 80 ppbv. They attribute the net future increases in O₃ that they
6 detected in their model results to various climatic factors including changes in temperature, water
7 vapor, clouds, transport, and lightning NO_x.

8 Other efforts to relate climate change and air quality have used the sensitivity approach,
9 where important meteorological parameters known to impact air quality are perturbed one at a
10 time. Several groups studied the response of O₃ and PM to increased temperature (e.g., Aw and
11 Kleeman, 2003; Kleinman and Lipfert, 1996; Sillman and Samson, 1995). Aw and Kleeman
12 (2003) found that within the Los Angeles basin, daily O₃ maximum concentrations are not very
13 sensitive to temperature in areas with abundant NO_x emissions but increase by 7 to 16 ppb at
14 downwind locations. Sillman and Samson (1995) studied the response of O₃ to temperature in
15 other urban and polluted rural environments and suggested that the increase in O₃ is due to
16 increased peroxyacetylnitrate (PAN) dissociation at higher temperatures. Thermal degradation
17 of PAN releases NO_x, allowing it to participate in photochemical O₃ production.

18 Due to the role of NO_x chemistry in urban areas, the response of O₃ to climate change in
19 urban areas may be different from the response of rural or background O₃ where NO_x chemistry
20 is less important. Aw and Kleeman (2003) investigated the formation of secondary particles in
21 an environment with elevated temperatures and found that even though the production of some
22 condensable gases (e.g., HNO₃) is increased, the partition of condensable material to the particle
23 phase is suppressed when the temperature is increased by 2-5°C. As a result, both mass and size
24 of particles are predicted to decrease.

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1 **APPENDIX C**
2 **THE 2001 EPA GCRP AIR QUALITY EXPERT WORKSHOP**

3
4 **C.1. INTRODUCTION**

5 A meaningful assessment of the impacts of global change requires a reasonably well-
6 resolved understanding of the relevant processes and physical and chemical links between
7 global, regional, and local scales. The atmospheric sciences community has begun to recognize
8 that climate and air quality are linked through atmospheric chemical, radiative, and dynamic
9 processes at multiple scales. The results of a limited number of studies of the relationship
10 between weather and ozone concentrations, the effects of temperature on atmospheric chemistry,
11 and the sensitivity of emissions to weather and land-use suggest that global change could
12 adversely affect air quality. However, the community's understanding of the many climate/air
13 quality links is still very limited. A better definition of these links is required for

- 14 • Estimates of future changes in climate and air quality;
- 15 • Assessment of impacts; and
- 16 • Identification of effective policies and technologies for reducing adverse effects.

17
18 In 2001, the National Research Council concluded "Improving our understanding of the
19 interactions between climate and air quality will depend primarily on developing more
20 sophisticated modeling tools; in particular, it will require the ability to couple local- and
21 regional-scale air quality models (which cover spatial scales of a few hundred meters to hundreds
22 of kilometers) with global-scale climate and chemistry models" (NRC, 2001). In addition, tools
23 for simulating other pertinent aspects of global change occurring within the U.S., such as
24 changes in population migration and land-use, or energy and transportation technologies, are
25 needed to prepare future modeling scenarios that would be relevant to U.S. air quality.
26 Furthermore, given the importance of natural and anthropogenic change in determining the
27 frequency of wildfires and the substantial role that wildfires can play in regional air quality, a
28 means of modeling the effect of global change on U.S. wildfire frequency is also needed for the
29 projection of future air quality.

30 The first step towards accomplishing the goal of assessing global change impacts on
31 regional air quality was the development of an assessment framework. The assessment
32 framework guides activities undertaken by the EPA Global Change Research Program to
33 establish the capability to analyze the relationship between global change and air quality.
34 Initially the Program used existing tools and models, supplemented by additional analyses as
35 needed to define missing components, to implement the assessment framework. However, it was

1 also recognized that research was needed to fill knowledge gaps and enhance our ability to
2 conduct such assessments.

3 To evaluate the feasibility of assessing climate impacts on air quality and identify key
4 research gaps, the Program hosted a workshop in Research Triangle Park, North Carolina, in
5 December 2001. The workshop drew on the technical expertise of staff from the Office of
6 Research and Development (ORD) and the Office of Air and Radiation (OAR), and an array of
7 invited international experts. Working groups were formulated to address a set of questions
8 prepared by EPA concerning the current science and the capabilities of available modeling tools
9 for regional climate, biogenic and fire emissions, anthropogenic emissions and their drivers, and
10 air quality. Each group identified research and development needs and then prepared and
11 presented recommendations to EPA on how to proceed in designing an assessment-oriented
12 scientific research and modeling effort.

14 **C.2. SUMMARY OF WORKSHOP RECOMMENDATIONS**

15 Recommendations for research that were developed by the four workshop groups and that
16 are required to meet the EPA/ORD objectives on assessing the impact of global climate change
17 on regional air quality follow.

19 **C.2.1. Recommendations from the Regional Climate Modeling Group**

20 **(1) Define climate model output variables needed/desired for air quality modeling** 21 **analysis.**

22 Most studies to date using a regional climate model (RCM) have been designed to
23 address data needs for agricultural or hydrologic impact assessments. Hence, output data have
24 been typically saved for variables directly related to temperature, precipitation,
25 evapotranspiration, soil moisture, and surface runoff. The group felt that most current datasets
26 would probably not be adequate to meet the needs of air quality modelers.

27 **(2) Survey air quality models to identify important variables or statistical aspects** 28 **(frequencies, persistence, and amplitude) that need to be reproduced by** 29 **RCMs).**

30 Past studies with regional climate simulations typically evaluated simulation aspects that
31 are important for hydrologic or agricultural assessment (e.g., temperature and precipitation). It is
32 less clear what aspects of the regional simulation are important for air quality assessment. RCM
33 outputs to date have typically been saved at spatial grid resolutions of about 50 km and at time
34 intervals of a few hours to a day. Most analyses of model output emphasize the surface variables
35 or lowest atmospheric layer in the model. Air quality models typically require higher time

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1 resolution (hourly or even shorter time intervals) and 3-dimensional data from the surface to the
2 top of the atmospheric mixed layer, if not higher.

3 **(3) Identify appropriate time and space scales for coordinating regional climate**
4 **and air quality simulations.**

5 Current RCMs typically operate on a spatial grid resolution of 50 km while current air
6 quality models may operate on a range of spatial grid resolutions, from 100 km to as fine as 2
7 km, depending upon the specific application. Thus, linking RCM outputs to the input needs of
8 air quality models will require careful consideration of both space and time scales in order to
9 provide simulations that are long enough to be climatologically representative yet at time and
10 space resolutions that are computationally (and financially) feasible.

11 **(4) Determine the RCM configurations that are important to air quality**
12 **assessment (e.g., vertical/horizontal resolution, boundary conditions, model**
13 **domain).**

14 Once the appropriate scales of inter-model linkage have been identified, a set of
15 specifications will be developed for configuring the RCM and for conducting multiple
16 simulations (“ensembles”) with one or more RCM to appropriately characterize climate variance
17 in air quality model input considerations.

18 **(5) Conduct diagnostic studies on variables identified in recommendation #2 to**
19 **determine the degree of fidelity in RCM simulations.**

20 The breakout group noted examples in previous RCM studies of discrepancies between
21 model outputs and observations that were often related to inadequate parameterizations of
22 physical processes in the model, to insufficient resolution, to insufficient data, to uncertainties in
23 scientific understanding, etc. There could also be instances of RCMs “getting the right answer
24 for the wrong reason,” thereby creating uncertainties when applying the model to assess effects
25 of future climate changes.

26 **(6) Conduct model inter-comparisons for variables important to air quality to**
27 **identify and quantify model biases and uncertainties (e.g., forcing, nesting,**
28 **performance, and inter-model uncertainties)**

29 It was noted that some RCM inter-comparison studies that have been conducted in the
30 Project to Inter-compare Regional Climate Simulations project (led by Iowa State University and
31 involving more than a dozen modeling groups from around the world). Another study performed
32 by the Electric Power Research Institute (EPRI) described some extensions of the approach that
33 have compared RCMs directly with statistical downscaling methods. But all of these studies
34 have concentrated on model performance in simulating basic meteorological variables
35 (especially temperature and precipitation), which interests the agricultural or hydrologic
36 community and not necessarily the air quality community.

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1 **(7) Develop approaches for selecting “meaningful episodes” (days to weeks for**
2 **specifically selected U.S. regions) out of long (10 years plus) regional climate**
3 **model simulations.**

4 Air quality standards are typically expressed as short-term (hourly or daily) averages that
5 are not to be exceeded more than a specified number of times per year. Air quality model
6 simulations are typically run over time periods of a few days to a few weeks to identify air
7 quality episodes. It was shown that ensemble climate change simulations of current and future
8 conditions suggest large interannual and decadal variability in future climate and among
9 ensemble members. Multiple, long-term simulations are therefore needed to represent
10 meaningful future climate scenarios. This poses a serious challenge to air quality assessment
11 since physically based air quality models are extremely computationally intensive (as compared
12 to global or regional climate modeling). An alternative approach to long-term simulation is to
13 develop future climate scenarios based on extracting episodes from regional simulations that
14 capture major changes in synoptic events that are significant to air quality. Such episodes may
15 represent changes in intensity or frequency of stagnation, atmospheric inversion, or El Niño-
16 Southern Oscillation (ENSO) cycles, etc.

17 **(8) Identify the appropriate RCM ensembles needed to characterize climate**
18 **variance for air quality modeling purposes (both multiple simulations and**
19 **multiple models).**

20 To appropriately characterize the climate variance simulated among models, a new round
21 of RCM simulations will be required, involving multiple RCMs (research recommendation #8).
22 The research recommendations so far have focused on linking RCMs to air quality simulations of
23 specific episodes over relatively short time duration. However, linking air quality assessments to
24 multiple climate change scenarios, and for the many ensembles of simulations necessary to
25 quantify probabilities of climatic and air quality risks, could far exceed the computing resources
26 available to RCM modelers. The hydrological impacts community has addressed a need for
27 long-term assessments through the successful application of statistical downscaling-based
28 climate models to projecting precipitation and river runoff extremes.

29 **(9) Investigate the usefulness of applying statistically downscaled climate models**
30 **coupled to statistical air quality models for long-term assessments.**

31 Statistical downscaling models for climate parameter inputs are presently used in
32 operational forecasting models for seasonal and interannual basin hydrology on a site-specific
33 basis due to their very efficient computation and successful calibration. Process-based air quality
34 models, however, require extensive descriptions of the 3-dimensional structure of the atmosphere
35 and there are insufficient observational data for developing statistical downscaling for most
36 meteorological variables important for air quality assessment. However, it may be worth

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1 exploring whether statistical downscaling may, in some way, be useful for providing climate
2 inputs for empirical air quality models.

3 **(10) Investigate the importance of incorporating “full chemistry” into an RCM for**
4 **defining background inputs and determining the importance of feedbacks of**
5 **chemistry into climate.**

6 The members of the breakout group viewed the development of the “Ultimate” model—
7 an RCM incorporating full chemistry—as a vision for the future. While the CMAQ advertises its
8 “Plug and Play” capabilities to test quickly (and easily?) alternative chemical schemes, two-way
9 coupling of CMAQ-type models with climate models is more complicated. Early work on
10 incorporating chemical modules into global climate models has met with rather mixed success
11 and often with a very high “cost” penalty in terms of dramatically increased computing times.
12 Under these circumstances, the breakout group recommended a “go slow” approach toward
13 adding full chemistry to RCMs by determining inputs needs and the potential significance of
14 chemical feedbacks on climate.

15
16 **C.2.2. Recommendations from the Biogenic and Fire Emissions Group**

17 **(1) There is a need to develop algorithms that describe chemical emissions of**
18 **major vegetative species’ response to climate change for use in current and**
19 **biogenic emission forecasting.**

20 Changes in vegetative growth, yield, and water use have been the foci of research efforts
21 to understand climate change impacts on natural and domestic woody and herbaceous vegetation.
22 Basic research is needed to better understand the physiological impacts of climate change on
23 vegetation chemical emissions. An improved knowledge of species-level response to climate
24 change is needed before complete terrestrial emission budget cycle is possible.

25 **(2) Research is required to integrate land-use/land-cover projection changes with**
26 **forest physiological models to project current and future changes in VOC**
27 **emissions.**

28 Both an understanding of climate change impacts on plant physiology and on land-
29 use/land-cover are needed to generate VOC budgets and balances in terrestrial ecosystems.
30 While plant physiological studies provide a measure of VOC contribution per vegetation type,
31 land-use/land-cover data are needed to scale the predictions individual emissions to the regional
32 or continental scale.

1 atmosphere are equally needed for the development of an atmospheric emission balance.
2 Deposition of ammonia and VOC are two important gases that have both atmospheric and
3 terrestrial impacts. A better understanding of ammonia and VOC deposition would be useful in
4 predicting future emissions and for use in examining terrestrial impacts.

6 **C.2.3. Recommendations from the Emission Drivers and Anthropogenic Emissions Group**

7 **(1) There is a need to perform research on feedbacks of regional climate change** 8 **on population migration and economic activity.**

9 Regional climate change could have significant impacts on climate sensitive economic
10 sectors such as agriculture and forestry. Current national/regional economic models are not
11 likely to address these impacts. Furthermore, the ability to adapt to regional climate change may
12 vary by regions and economic sectors. Regional climate change may also change the relative
13 attractiveness of certain regions within the U.S. and influence the migration of population.
14 Present research addressing these issues is limited and further research is required.

15 **(2) There is a need to perform research on feedbacks on energy use and emissions** 16 **from energy use due to regional climate change.**

17 Regional climate change will likely impact energy use especially for heating and cooling.
18 These changes will impact emissions at the commercial, industrial, and domestic levels due to
19 direct use of energy but also impact emissions from electricity generation plants. These changes
20 could increase the frequency and magnitude of episodes with high emissions and poor air
21 quality. Furthermore, changes in water supply and land-use can impact strategies for utilization
22 of biomass to meet energy needs. Present research addressing these issues is limited and further
23 research is required.

24 **(3) There is a need to perform research on feedbacks from climate change on** 25 **biogenic emissions.**

26 The impact of changes in regional climate of biogenic emissions needs to be quantified.
27 Regional climate change can lead to migration of species, which can change emissions. New
28 approaches to scale national/regional economic, demographic, and energy model results to more
29 detailed geographic resolution are required. Current approaches are relatively simple and may
30 not reflect key trends.

31 **(4) Additional research is required on land-use models.**

32 Land-use change represents one of the most important factors influencing future air
33 quality. Population growth combined with increased wealth; changes in transportation, energy,
34 and communication technology; regional migration; use of personal versus public transport; and
35 lifestyles can lead to significant changes in local drivers for emissions sources along with

1 emission factors. The current modeling capability to address these types of changes is limited
2 and not focused on the longer-term structural effects that may happen in the future.

3 **(5) New research is required on agent-oriented models.**

4 New research into agent-oriented models may provide opportunities to address land-use
5 change, migration, and other issues listed above. Research into these models and application of
6 these models to this problem is limited and further research is required.

7 **C.2.4. Recommendations from the Air Quality Modeling Group**

8 **(1) Group recommends three, complimentary modeling approaches: A**
9 **comprehensive modeling approach, an intermediate modeling approach, and a**
10 **sensitivity approach.**

11 The comprehensive approach uses linked, dynamic models to simulate air quality. The
12 meteorological chain links a GCM to an RCM. The downscaled, meteorological output from the
13 RCM is linked to a regional air quality model (RAQ) model. A global chemical transport model
14 (GCTM) would produce chemical boundary condition information for the RAQ model. This
15 approach raises concerns, however, about the length of simulation required to achieve a climate
16 signal above the climate variability. Previous regional climate downscaling suggests that
17 simulations over 10–20 years may be required to rigorously meet statistical requirements.
18 However, the computational resources required for this length of simulation greatly exceed the
19 available resources for the near future. Thus, the group considered serious explorations of
20 methods to avoid 20-year simulations and yet produce meaningful results.

21 The intermediate approach uses a GCTM or coarse scale RAQ model to simulate the
22 impact on air quality due to long-lived GHGs over the 50 years from the present to 2050. The
23 emphasis in this approach will be to explore the change in high air pollution events as the climate
24 changes. It will be important to incorporate the ocean response to the changing climate in order
25 to perform this simulation properly. One set of simulation will hold air pollutant emissions
26 constant over the simulation (besides corrections for temperature and other climate variables). In
27 another set, plausible scenarios of emissions for 2050 can be simulated to compare the
28 magnitudes of the climate influence on the emissions changes. The results will guide the
29 comprehensive modeling approach and may allow selection of episodes using statistical
30 sampling techniques to avoid 20 years of simulation. The intermediate approach may also
31 provide coarse estimates of the impact of climate change on air quality in Hawaii and Alaska.

32 The sensitivity approach would focus on the application of detailed, state-of-the-art urban
33 and regional air quality models. Rather than a dynamic linkage, the RAQ simulations would
34 vary key parameters to examine the sensitivity of air quality. The issue of climate variability is
35 removed through varying parameters such as temperature to define the potential responses. The

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1 sensitivity approach permits use of more detailed descriptions of important processes (i.e.,
2 aerosol processes and chemical speciation of fine particulate matter). It also enables detailed
3 comparison to observational data. Therefore, simulations including EPA Supersite locations
4 might prove extremely valuable.

5 **(2) It is recommended that more than one GCM be used to explore the range of**
6 **possible future climates.**

7 Future climate on a regional scale is highly uncertain. Any analysis will need to grapple
8 with the uncertainty and climate variability.

9 **(3) Close interaction between the regional climate modeling and synoptic**
10 **climatology communities is recommended to characterize large-scale**
11 **meteorological events that effect air quality, which would be used to guide the**
12 **development of air quality modeling scenarios.**

13 The variability of the climate signal, as well as air pollution episodes, will determine the
14 desired sampling time periods. Computational resource requirements are likely to constrain the
15 length of detailed, fine-scale, air-quality simulations to significantly less than the desired length
16 to find the climate signal in the noise due to climate variability.

17 **(4) It is recommended that plausible scenarios for future emissions be developed.**

18 Plausible scenarios for future emissions are crucial to the policy relevance of the air
19 quality modeling simulations. Exogenous socio-economic changes may have a much larger
20 impact than climate change on air quality 50 years into the future. Techniques to explore the
21 root causes of air quality changes, such as simulations holding emissions constant, will need to
22 be utilized to produce significant results for policy decisions.

23 **(5) It is essential that the air quality modeling results from CMAQ be improved.**

24 These improvements should be targeted towards areas of magnified importance due to the
25 novel aspects of this effort.

26 **(6) Quantify the uncertainty produced by the chain of linked models required to**
27 **make an air quality prediction due to climate change.**

28 The linkage of a chain of dynamic models of different scale requires care in maintaining
29 consistency especially in consideration of nesting schemes and dynamics. The uncertainty
30 introduced by the chain of linked models should be quantified through observational data
31 whenever feasible.

32
33 **C.3. REFERENCE**

34 NRC (National Research Council). (2001) Global air quality: an imperative for long-term observational strategies.
35 Committee on Atmospheric Chemistry, Washington, DC: National Academy Press; 41 pp. Available online at
36 <http://www-nacip.ucsd.edu/NRCAtmosChemCommRpt.pdf>.

1 **APPENDIX D**
2 **U.S. EPA STAR GRANT RESEARCH CONTRIBUTING TO THE GCAQ ASSESSMENT**

3
4 **D.1. STAR SOLICITATIONS**

5 The Science To Achieve Results (STAR) program plays a major role in the study of the
6 impacts of climate change on air quality. Through the STAR competitive process, EPA ORD
7 has funded several leading university research groups to investigate the various aspects of the
8 impact of global change on air quality. Additional information about the STAR program can be
9 found at <http://www.epa.gov/ncer/>, which provides links to more detailed descriptions and
10 progress reports for the projects summarized here. Table D-1 lists the Requests for Applications
11 (RFAs) that address various aspects of climate impacts on air quality. Results from awards that
12 were made in 2000 and 2002 are discussed in greater detail in Section 3 of the main report.
13 Research from awards made in 2003-2006 is ongoing and described briefly in Section 4; a
14 synopsis and summary of these awards follow.

15
16 **Table D-1. Requests for applications for the global program (STAR)**
17

Year	RFA Title
2000	Assessing the Consequences of Interactions between Human Activities and a Changing Climate
2002	Assessing the Consequences of Global Change for Air Quality: Sensitivity of U.S. Air Quality to Climate Change and Future Global Impacts
2003	Consequences of Global Change for Air Quality: Spatial Patterns in Air Pollution Emissions
2004	Regional Development, Population Trend, and Technology Change Impacts on Future Air Pollution Emissions
2004	Fire, Climate and Air Quality
2006	Consequences of Global Change for Air Quality

18
19
20 **D.1.1. Assessing the Consequences of Interactions between Human Activities and a**
21 **Changing Climate**

22 The purpose of this RFA was to foster the development of models that enable assessors to
23 consider the effects of human activities in tandem with the effects of climate change and climate
24 variability. Two of the four proposals selected for funding explored the impacts of climate

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1 change and air quality. These projects confirmed the new direction of the program and provided
2 important early results. (See Table D-2)

3
4 **Table D-2. 2000 STAR grant recipients: assessing the consequences of**
5 **interactions between human activities and a changing climate**
6

Institution	Title
Johns Hopkins University	Implications of Climate Change for Regional Air Pollution, Health Effects and Energy Consumption Behavior
Columbia University	Modeling Heat and Air Quality Impacts of Changing Urban Land Uses and Climate

7
8
9 **D.1.2. Assessing the Consequences of Global Change for Air Quality: Sensitivity of U.S.**
10 **Air Quality to Climate Change and Future Global Impacts**

11 The focus of this RFA was on linking global and regional models and/or on increasing
12 understanding of the sensitivities of air quality to climate change. The six projects funded under
13 this solicitation (Table D-3) are described in more detail in Section 3 of the report.
14

15 **D.1.3. Consequences of Global Change for Air Quality: Spatial Patterns in Air Pollution**
16 **Emissions**

17 The focus of this RFA was on the development of methods for creating plausible North
18 American emission scenarios for use in assessments of climate change impacts on regional air
19 quality. Of particular interest were changes in the spatial distribution of stationary, mobile, and
20 biogenic emissions over the longer timeframes used in global change assessments (e.g., 50+
21 years or more). For example, the physical characteristics and patterns of land development in a
22 region can affect air quality by influencing travel mode choices, trips, trip speed, number of
23 miles driven, and, therefore, mobile source emissions. Similarly, emissions from stationary air
24 pollution sources, such as power plants and factories, will also be affected by the characteristics
25 and patterns of land development. In addition, economic growth, changes in the composition of
26 economic output (e.g., the gross domestic product or GDP), and technological change have the
27 potential to affect both the total amount and spatial distribution of stationary source emissions.
28 Finally, changes in land use, vegetation, and climate can influence the natural emission of
29 volatile organic compounds (VOC), carbon monoxide, and oxides of nitrogen. Six proposals
30 were funded under this RFA (Table D-4), four of which focused on biogenic emissions.

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Table D-3. 2002 STAR grant recipients: assessing the consequences of global change for air quality: sensitivity of U.S. air quality to climate change and future global impacts

Institution	Title
Harvard University	Application of a Unified Aerosol-Chemistry-Climate GCM to Understand the Effects of Changing Climate and Global Anthropogenic Emissions on U.S. Air Quality
Georgia Institute of Technology	Sensitivity and Uncertainty Assessment of Global Climate Change Impacts on Ozone and Particulate Matter: Examination of Direct and Indirect, Emission-Induced Effects
Carnegie Mellon University	Impacts of Climate Change and Global Emissions on U.S. Air Quality: Development of an Integrated Modeling Framework and Sensitivity Assessment
Washington State University	Impact of Climate Change on U.S. Air Quality Using Multi-scale Modeling with the MM5/SMOKE/CMAQ System
University of Illinois at Urbana	Impacts of Global Climate and Emission Changes on U.S. Air Quality
University of California – Berkeley	Guiding Future Air Quality Management in California: Sensitivity to Changing Climate

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Table D-4. 2003 STAR grant recipients: consequences of global change for air quality: spatial patterns in air pollution emissions

Institution	Title
University of Colorado at Boulder	New Biogenic VOC Emission Models
University of North Carolina at Chapel Hill	Reduced Atmospheric Methane Consumption by Temperate Forest Soils Under Elevated Atmospheric CO ₂ : Causative Factors
University of Texas at Austin	Impacts of Climate Change and Land Cover Change on Biogenic Volatile Organic Compounds (BVOCs) Emissions in Texas
University of Illinois at Urbana	Development and Evaluation of a Methodology for Determining Air Pollution Emissions Relative to Geophysical and Societal Changes
University of New Hampshire	A Coupled Measurement-Modeling Approach to Improve Biogenic Emission Estimates: Application to Future Air Quality Assessments
Resources for the Future	An Integrated Framework for Estimating Long-Term Mobile Source Emissions Linking Land Use, Transportation, and Economic Behavior

1 **D.1.3.1. *University of Colorado at Boulder***

2 Although many studies have shown that emissions of VOCs from forest ecosystems
3 cause an increase in air pollution, current air pollution models lack fundamental insight into the
4 biochemical mechanisms in plants that produce these compounds. Specifically, it is not possible
5 to accurately predict whether the emission of these compounds and their influence on air quality
6 will change if the climate of the earth or the atmospheric concentration of CO₂ changes in the
7 future. The CU-Boulder group is conducting experiments to elucidate the biochemical processes
8 that cause the emission of these compounds and is describing their response to temperature and
9 CO₂ change. The focus of their studies is on isoprene and acetaldehyde, two of the most
10 commonly-emitted compounds from U.S. forests.

11
12 **D.1.3.2. *University of North Carolina at Chapel Hill***

13 The overall aim of the UNC-Chapel Hill research is to determine the duration and
14 underlying cause(s) for the decline in atmospheric methane consumption in a CO₂-enriched
15 forest. The Duke Forest Free Air Carbon Dioxide Enrichment (FACE) site is used to (1)
16 quantify the dynamics of soil-atmosphere exchange of methane, (2) quantify the impact of CO₂
17 enrichment on the exudation of dissolved organic compounds from roots of the loblolly pine into
18 the rhizosphere, and the effects of these compounds on the rates of methane oxidation in soils,
19 (3) quantify the dissolved organic compounds and ions from throughfall precipitation as a
20 supplement to root exudates and the effects of these compounds on rates of methane oxidation in
21 soils, and (4) evaluate the impact of CO₂ enrichment on soil physical and biogeochemical
22 properties central to atmospheric methane consumption, including effective diffusivity, microbial
23 community structure, the soil locus of methanotrophic activity, and physiological characteristics
24 of the methane-oxidizing community.

25
26 **D.1.3.3. *University of Texas at Austin***

27 Climate change can influence the emissions of biogenic VOCs (BVOCs) directly (i.e.,
28 changes in solar radiation and air temperature, among other variables, affect the vegetation's
29 capability to release BVOCs) or indirectly (climate change-induced changes in vegetation
30 species and their prevalence, thereby modulating the emission rates of BVOC). In addition,
31 human-driven land use change will also impact BVOC emissions. The UT-Austin group is
32 coupling climate models, biogenic emission models, air quality models, and anthropogenic land-
33 use models to quantify direct and indirect effects of climate change on biogenic emissions and to
34 predict future air quality trends, using Texas as a case study.

1 **D.1.3.4. *University of Illinois at Urbana***

2 The University of Illinois is developing an Emissions Inventory Modeling System
3 (EIMS) that uses econometric models and emission development tools to formulate future
4 emission inventories for different climate change scenarios in the format used for the National
5 Emissions Inventories (NEI). Changes in population, economy, policies and regulations,
6 technological development, transportation systems, energy systems, landscape and land use, and
7 vegetation and land cover are being considered within the development of the EIMS capability.
8 For the initial development and testing of the modeling system, the focus is on the Chicago area,
9 where the econometric modeling is most highly refined. During the later stages of the research,
10 the methods will be extended to the entire Midwest to demonstrate the wider applicability of the
11 techniques.

12

13 **D.1.3.5. *University of New Hampshire***

14 This investigation is focused on the northeastern U.S. with overall objectives to (1)
15 predict changes in regional climate that will influence natural biogenic emissions to the
16 atmosphere and air quality, (2) quantify the impact of regional climate change on plant
17 ecosystem composition, (3) estimate the regional impact of a changing plant ecosystem on
18 biogenic emissions, and (4) estimate the impact of changes in regional climate and plant
19 ecosystem on aerosol loading, O₃, NO_x, hydrocarbons, and the oxidative capacity of the
20 atmosphere.

21

22 **D.1.3.6. *Resources for the Future***

23 The interactions between transportation, land use, and vehicle ownership decisions are
24 fundamental to understanding future mobile source emissions. Furthermore, the importance of
25 these interactions increases for issues that require a long planning horizon, such as climate
26 change. The aim of the proposed research is to create a flexible modeling framework to estimate
27 long-term mobile source emissions in a metropolitan region; a framework that reflects the
28 importance of geographic specificity, technological change, and especially behavioral
29 adjustments by consumers. The development of the framework will provide insight into the
30 sensitivity of estimates of future mobile source emissions to assumptions about economic
31 growth, demographic change, technological innovation, and behavioral responses.

32

1 **D.1.4. Regional Development, Population Trend, and Technology Change Impacts on**
2 **Future Air Pollution Emissions**

3 Recognizing the importance of the location and design of new development for creating
4 accurate long-term (50+ years) emissions projections, this RFA focused on methods to project
5 changes in a wide range of key drivers and policy variables. Examples of such changes include
6 transportation infrastructure investments, regional development patterns (e.g., sprawl, Smart
7 Growth), structural and spatial shifts in the organization of production and delivery of services,
8 transportation modal choices (and other lifestyle factors), air quality and climate policies, and
9 population movements, in addition to technological change. More specifically, the spatial and
10 temporal distribution of transportation activities and emissions are key concerns. Because
11 regional development patterns (e.g., housing, roads, commercial development, mass transit
12 systems) vary across the country, both the amount and spatial distribution of air pollution
13 emissions from mobile sources are likely to be affected. Eight proposals (Table D-5) were
14 funded under this RFA.

15
16 **D.1.4.1. *University of Wisconsin-Madison***

17 This study is testing the hypothesis that “smart growth” land use strategies can
18 significantly improve regional air quality throughout the upper midwestern U.S. over the next 25
19 to 50 years. To investigate this question, a fully integrated land use, vehicle travel, and air
20 quality modeling framework is being developed to (1) estimate vehicle trips and miles of travel
21 (VMT) as a function of changes in population density, employment rates, income, and vehicle
22 ownership, (2) estimate mobile source emissions as a function of changing land use patterns (as
23 reflected in VMT), hybrid vehicle technology dissemination, and regional climate, (3) model
24 regional O₃ and PM concentrations as a function of regional land use, hybrid technology, and
25 energy production scenarios, and (4) account for the effects of continental and global scale
26 pollutant transport on O₃ and PM chemistry for the target years 2005, 2025, and 2050.

27
28 **D.1.4.2. *Georgia Institute of Technology***

29 Rather than trying to predict how emissions will change in the future and what impact
30 they will have on future air quality, this project is using an inverse approach to identify the
31 desirable distributions of emissions in 50 years. That is, a desirable air quality state is defined
32 and then the emissions and activity profiles required to achieve this state are derived. The
33 project uses the rapidly growing north Georgia area, including Atlanta, to demonstrate the
34 method. Since the Global Program is focused on longer time scales (i.e., 50+ years), emissions
35 and the activities, processes, and infrastructure associated with them can be considered to be

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Table D-5. 2004 STAR grant recipients: regional development, population trend, and technology change impacts on future air pollution emissions

Institution	Title
University of Wisconsin-Madison	Modeling the Effects of Land Use and Technology Change on Future Air Quality in the Upper Midwestern United States
Georgia Institute of Technology	Air Quality, Emissions, Growth, and Change: A Method to Prescribe a Desirable Future
University of California - Davis	Regional Development, Population Trend, and Technology Change Impacts on Future Air Pollution Emissions in the San Joaquin Valley
Johns Hopkins University	Methodology for Assessing the Effects of Technological and Economic Changes on the Location, Timing and Ambient Air Quality Impacts of Power Sector Emissions
State University of New York at Buffalo	A Long Term Integrated Framework Linking Urban Development, Demographic Trends and Technology Changes to Stationary and Mobile Source Emissions
University of North Carolina at Chapel Hill	Advanced Modeling System for Assessing Long-Term Regional Development Patterns, Travel Behavior, Emissions, and Air Quality
University of Washington-Seattle	Integrating Land Use, Transportation, and Air Quality Modeling
University of Texas at Austin	Predicting the Relative Impacts of Urban Development Policies and On-Road Vehicle Technologies on Air Quality in the United States: Modeling and Analysis of a Case Study in Austin, Texas

pliant (i.e., adaptable). With the required emission and activity profiles, the types and amounts of land use modifications, technology advancements, and other changes that will be required to transform or morph the present emissions scenario into the future desired emissions scenario are being identified.

D.1.4.3. *University of California - Davis*

Future progress towards the abatement of air pollution in cities throughout the U.S. is uncertain because population expansion and current socioeconomic trends affect pollutant emissions. Further, there is an incomplete understanding of how these factors will combine to influence air quality at the urban and regional scale. The objective of this project is to combine land use forecasting models, water constraint models, travel demand models, emissions models,

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1 and a source-oriented air quality model into a modeling system with feedback loops to predict
2 future emissions and associated air quality impacts. The modeling system is being used to assess
3 the sensitivity of emissions inventories to future policy scenarios in the areas of land use policies,
4 transportation investments, technological innovations, air quality regulations, and agricultural
5 practices in the San Joaquin Valley in the year 2030.

6 **D.1.4.4. *Johns Hopkins University***

7 The amounts, locations, and timing of power sector emissions are sensitive to economic
8 and technological assumptions. The purpose of this project is to develop and demonstrate a
9 methodology for creating geographically and temporally disaggregated emissions scenarios for
10 the electric power sector on a multidecadal time-scale for use with air quality models. This
11 project focuses on power generation for three reasons. First, this sector represents a large share
12 of SO_x, NO_x, mercury, and CO₂ emissions in the U.S. Moreover, future shares are highly
13 uncertain, depending upon technology change, fuel mix, electric load growth, regulation of the
14 electricity sector, and the evolution of environmental policy. Second, alternative scenarios
15 concerning these key drivers can make huge differences in total emissions and their spatial and
16 temporal distribution. Finally, emissions and associated ambient air concentrations are sensitive
17 to the growth and distribution of electricity demands, which in turn are strongly linked to
18 temperature and other climatic variables that may change significantly over the next few
19 decades.

20 21 **D.1.4.5. *State University of New York at Buffalo***

22 The goal of this project is the development of a tool capable of producing long-term (25-
23 to 50-year) projections of stationary- and mobile-source emissions in a metropolitan area.
24 Currently, emission models are used mostly for short time horizons, taking, as given, projections
25 of local economic activity and population change. Instead of simply extrapolating these local
26 trends, this effort models the fundamental behavioral relationships among individuals and firms
27 and links these underlying economic relationships to secular national and international trends in
28 population, economic development, and technological changes relevant to emissions. Among
29 the specific demographic trends to be examined are the aging of the population, reductions in
30 household size, and international immigration. In addition, the possibility of the continued
31 deindustrialization of U.S. manufacturing and its impact on a metropolitan area with
32 considerable manufacturing will be investigated, using the Chicago metropolitan statistical area
33 as a case study. New technologies likely to impact emissions, such as electric vehicles and

1 hydrogen fuel-cell vehicles, as well as electricity/energy production with a higher renewable fuel
2 mix under higher sustained energy prices also will be investigated.

3
4 **D.1.4.6. *University of North Carolina at Chapel Hill***

5 Through simulation modeling of land use, transportation, emissions, and air quality, this
6 research project rigorously tests the hypothesis that alternative development patterns,
7 implemented regionally over a planning horizon of 50 years, can substantially influence the
8 quantity and location of emissions from on- and off-road mobile sources and thus affect ozone
9 and PM levels. The development patterns of interest include the type of development and its
10 location (e.g., transit oriented development, dense mixed use development, development
11 supportive of non-motorized transportation modes for non-work trips, neo-traditional suburbs,
12 new urban core development, and redevelopment). A case study will be developed, using recent
13 data for Charlotte (NC), Mecklenburg County, and the multi-county Metrolina region.

14
15 **D.1.4.7. *University of Washington-Seattle***

16 The objective of this research is to develop an integrated, Open Source software platform
17 that integrates land use, activity-based travel, and network assignment, and tightly couples this
18 integrated system to current and emerging emissions modeling software (e.g., Mobile6 and its
19 successor, Motor Vehicle Emission Simulator or MOVES). By improving existing models to
20 better reflect and integrate lifestyle, economic production, and public policy factors that drive
21 vehicle miles traveled, this platform will provide a new capacity for integrated land use,
22 transportation, and air quality modeling to support air quality planning in metropolitan areas
23 throughout the U.S. The UW-Seattle group is testing this integrated system in the Puget Sound
24 region, working collaboratively with the Puget Sound Regional Council. They use this
25 integrated model to assess the relative influence of transportation infrastructure, pricing, land use
26 policies—including smart growth, and demographic and economic trends, on VMT and
27 emissions over a 30-year horizon.

28
29 **D.1.4.8. *University of Texas at Austin***

30 The objective of this research is to develop and use an integrated transportation-land use
31 model (ITLUM) to investigate the impacts of regional development scenarios and trade policies
32 on the magnitude and spatial distribution of emissions of O₃ precursors. ITLUM-based forecasts
33 are being compared with four pre-determined metropolitan development scenarios: (1) low-
34 density, segregated-use development based on extensive highway provision, (2) concentrated,
35 contiguous regional growth within 1-mile of transportation corridors, (3) concentrated growth in

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1 existing and new communities with distinct boundaries, and (4) high-density development and
 2 balanced-use zoning. The resulting air quality impacts and predicted human exposures are being
 3 evaluated. In addition, ITLUM emission forecasts are compared to those based on the U.S.
 4 EPA’s post-Clean Air Act Amendment emission scenario projections. The research team is also
 5 evaluating whether changes in land use and dry deposition patterns have at least as significant an
 6 impact on future air quality as changes in on-road vehicle emission control technologies.

7
 8 **D.1.5. Fire, Climate, and Air Quality**

9 While some attention has been given to the influence of fires on air quality and to the
 10 consequences of climate change for wildfires, the focus of this research solicitation was on the
 11 integration of the complex interactions of fire, climate, and air quality. In order to produce
 12 plausible future emission inventories from fires, critical information must include estimates of
 13 location, time, frequency, and fuel characteristics. Due to the inherent uncertainties in predicting
 14 the future, this RFA emphasized using a range of scenarios in order to demonstrate which forces
 15 and linkages are most important, rather than attempting to develop an exact forecast of the
 16 future. Three proposals (Table D-6) were funded under this RFA.

17
 18 **Table D-6. 2004 STAR grant recipients: fire, climate and air quality**

19

Institution	Title
Georgia Institute of Technology	Interaction of Ecosystems, Fires, Air Quality and Climate Change in the Southeast
Harvard University	Investigation of the Effects of Changing Climate on Fires and the Consequences for U.S. Air Quality, Using a Hierarchy of Chemistry and Climate Models
University of North Carolina at Chapel Hill	Investigation of the Interactions between Climate Change, Biomass, Forest Fires, and Air Quality with an Integrated Modeling Approach

20
 21
 22 **D.1.5.1. Georgia Institute of Technology**

23 Large amounts of biomass are burned in the Southeast, and fire emissions have been
 24 found to significantly affect air quality in the region. It is expected that the effects of fire
 25 emissions will change significantly as a result of climate and land-use changes. The objectives
 26 of this research are to (1) integrate process-based ecosystem, fire emissions, air quality, and
 27 regional climate models to systematically understand the complex interaction of these

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1 components in the Southeast, (2) evaluate the integrated modeling system with state fire statistics
2 and ground and satellite observations and understand better the effects of fire emissions on air
3 quality in the Southeast, (3) calculate the sensitivities of the modeling system to major inputs and
4 use these sensitivities to quantify uncertainties in the system results, and (4) assess the impact of
5 regional climate and land use changes and fire management on ecosystems and fire emissions
6 and the consequent effects on air quality in the Southeast.

8 **D.1.5.2. *Harvard University***

9 Existing studies show that fires in North America can have a significant effect on
10 visibility and air quality in the U.S. on an episodic basis. The Harvard group is exploring the
11 relationships between climate and frequency and intensity of forest fires in North America.
12 Using linear stepwise regression, the best predictors for area burned for different ecosystems,
13 including temperature, relative humidity, wind speed, precipitation, and components of the Fire
14 Weather Index (FWI) system, or of the Fire Weather Danger Rating System (NFSRS) are being
15 determined. The group is using area burned prediction schemes in simulations with the
16 NASA/GISS general circulation model (GCM) to derive estimates of area burned for 2000-2050.
17 Plume heights from fires in North America are related to areas of fires in a study of the effect of
18 present day fires on ozone and PM using the global aerosol-chemistry model, GEOS-CHEM, and
19 CMAQ. Future climate predicted using a general circulation model and relationships between
20 fire and climate is being used to predict future fires in the U.S.. Using global and regional scale
21 chemistry-aerosol transport models, this group is assessing the role of future wild fires on air
22 quality.

24 **D.1.5.3. *University of North Carolina at Chapel Hill***

25 Forest fires not only change landscapes and destroy property but also emit trace gases and
26 aerosols (e.g., CO, methane, NO_x, and black carbon) that affect regional and global air quality.
27 These impacts can be felt over long distances because of the long-range transport of these
28 pollutants both as primarily emitted species and as precursors for other pollutants formed in the
29 atmosphere through photochemical reactions. Recently, the increased frequency of large fires in
30 the U.S. has been thought to be associated with short-term changes in climate variables such as
31 precipitation and temperature that have exacerbated the conditions for fire occurrence. The
32 overall goal of research by the UNC-Chapel Hill team is to assess the impact of climate change
33 and variability on biomass and forest fires, evaluate the impact of evolving emissions from forest
34 fires on O₃ and PM air quality, and determine the regional climate response to these changes in
35 the Southern U.S. using an integrated modeling approach.

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D.1.6. Consequences of Global Change for Air Quality

The focus of this RFA was on improving the understanding of linkages between climate, atmospheric chemistry, and global air quality and the ability to assess future states of the atmosphere by coupling local- and regional-scale air quality models with global-scale climate and chemistry models. Predictions of future air quality that rely on global climate simulations will require consideration of how larger scale climatic parameters and processes are transferred to regional models. In addition, accurate prediction of precipitation events is a key challenge to modeling air pollution episodes. Successful predictions of future air quality also require a good understanding of both current and future emissions of pollutants and their precursors. Due to the inherent uncertainties in predicting the future, the RFA emphasized that an explicit treatment of uncertainty, such as using multiple scenarios was desirable. Moreover, the focus of the research should be on exploring a range of scenarios to demonstrate which forces and linkages are most important, rather than an exact forecast of the future. Ten projects (Table D-7) were funded under this RFA.

D.1.6.1. University of California - Davis

Ozone and PM standards designed to protect public health are routinely violated in California’s South Coast Air Basin surrounding Los Angeles and the San Joaquin Valley (SJV) in central California. The project by the UC-Davis team aims to quantitatively assess the consequences of global change on California air quality by (1) measuring emissions from mobile sources powered by alternative fuels as a function of temperature and humidity, (2) creating a source-oriented PM module for the Weather Research & Forecasting (WRF) model to quantify feedback between air quality and regional meteorology, and (3) calculating California air quality in 2030 for a range of O₃ and PM_{2.5} pollution events. GCM simulations of future climate are being dynamically downscaled to the regional scale using the Weather Research and Forecasting (WRF) meteorological model. A source-oriented PM module is being integrated into WRF to study the interactions between pollution and local meteorology. The new model will be used to compare current air pollution episodes in California with those that are expected to occur in the year 2030. Multiple episodes (~30) will be studied in current and future periods to understand the distribution of possible events.

Table D-7. 2006 STAR grant recipients: consequences of global change for air quality

Institution	Title
University of California - Davis	Impact of Global Change on Urban Air Quality via Changes in Mobile Source Emissions, Background Concentrations, and Regional Scale Meteorological Feedbacks
University of Illinois at Urbana	Impacts of Global Climate and Emissions Changes on U.S. Air Quality (Ozone, Particulate Matter, Mercury) and Projection Uncertainty
University of Wisconsin - Madison	Sensitivity of Heterogeneous Atmospheric Mercury Processes to Climate Change
Desert Research Institute	Effects of Global Change on the Atmospheric Mercury Burden and Mercury Sequestration Through Changes in Ecosystem Carbon Pools
Stanford University	Effects of Future Emissions and a Changed Climate on Urban Air Quality
University of Michigan	Global and Regional-Scale Models for Ozone, Aerosols and Mercury: Investigation of Present and Future Conditions
North Carolina State University	Study the Impact of Global Change on Air Quality Using the Global-Through-Urban Weather Research and Forecast Model with Chemistry
Harvard University	Global Change and Air Pollution (GCAP) Phase 2: Implications for U.S. Air Quality and Mercury Deposition of Multiple Climate and Global Emission Scenarios for 2000-2050
Carnegie Mellon University	Changes in Climate, Pollutant Emissions, and U.S. Air Quality: An Integrating Modeling Study
Washington State University	Ensemble Analyses of the Impact and Uncertainties of Global Change on Regional Air Quality in the U.S.

D.1.6.2. *University of Illinois at Urbana*

The objective of this study by UICU is to quantify and understand the impacts and uncertainties of global climate and emission changes, from the present to 2050 and 2100, on U.S. air quality, focusing on O₃, PM, and mercury. State-of-the-art, well-established ensemble modeling systems that couple a global climate-chemical transport component with a mesoscale regional climate-air quality component is being applied over North America. Both components incorporate multiple alternative models representing the likely range of climate sensitivity and chemistry response under plausible emissions scenarios to rigorously assess uncertainty. These

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1 systems are used to quantify the individual and combined impacts of global climate and
2 emissions changes on U.S. air quality. Sensitivity experiments refine understanding of
3 relationships with major contributing source regions and types and uncertainties associated with
4 key conclusions.

6 **D.1.6.3. *University of Wisconsin - Madison***

7 The goal of the proposed research is to quantify the impact of climate change on key
8 atmospheric processes that control the fate of mercury in transport from emissions to deposition.
9 Researchers at UW-Madison build on existing scientific understanding of atmospheric mercury
10 processes by examining the incremental impact of climate change variables on heterogeneous
11 atmospheric mercury oxidation and depositional processes. Specifically, an integrated laboratory
12 and modeling approach is used to quantify (1) the sensitivity of dry deposition of elemental
13 mercury, reactive gaseous mercury, and particulate mercury to temperature, humidity, O₃, NO_x,
14 and sunlight intensity and (2) the sensitivity of atmospheric mercury oxidation and reduction
15 reaction in fog and cloud water to temperature, sunlight intensity, and the composition of these
16 atmospheric waters. In addition, the oxidation of elemental mercury in the presence of the
17 complex atmospheric reactions that produce photochemical smog and secondary organic aerosols
18 are being investigated. Finally, the group uses a regional chemical transport model to explore
19 the sensitivity of mercury deposition to temperature, precipitation, and atmospheric circulation
20 patterns associated with climate change.

22 **D.1.6.4. *Desert Research Institute***

23 Terrestrial carbon pools play an important role in uptake, deposition, sequestration, and
24 emission of atmospheric mercury. Biomass and soil carbon pools are highly sensitive to climate
25 and land use changes with potentially serious consequences for the fate of an estimated 50,000
26 Mg of atmospheric mercury associated within carbon pools. The objective of the research by the
27 Desert Research Institute is to assess how global change over the next 100 years affects mercury
28 cycling processes—atmospheric mercury uptake, sequestration, and emission—associated with
29 vegetation and soil carbon pools. Effects of global change on plant-derived atmospheric mercury
30 inputs to ecosystems via changes in plant productivity, plant senescence, and litterfall are being
31 assessed. In addition, global change impacts on plant, litter, and soil carbon pools and the
32 resulting effects on sequestered mercury within these pools and feedback on the future
33 atmospheric mercury burden are investigated. This effort involves several components including
34 a systematic collection of data on mercury in vegetation and soil carbon pools in terrestrial
35 ecosystems, field and laboratory experimental studies, and modeling.

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1 **D.1.6.5. *Stanford University***

2 This research study examines the effects of changes in emissions on climate and the
3 resulting feedback of climate on air quality in Los Angeles, the Central Valley, and Atlanta
4 during the next 50 years. In addition to applying A1B and B1 IPCC-SRES emission factors to
5 the 2005 U.S. National Emission Inventory to develop future air pollutant scenarios, this project
6 investigates the effects on emissions due to implementing a future fleet of ethanol-gasoline (85%
7 ethanol-15% gasoline), plug-in gasoline-electric hybrids, and wind-electrolysis-hydrogen-fuel-
8 cell vehicles. Of interest is determining whether such vehicles will increase or decrease O₃ and
9 PAN in different parts of the U.S. and how global warming may affect their emissions. Finally,
10 the researchers are considering the contribution of Asian emissions to U.S. pollution. It has been
11 suggested that higher future emissions from Asia will increase urban air quality problems in
12 California and the west , and this research is intended to provide useful information on this issue.
13

14 **D.1.6.6. *University of Michigan***

15 This research project investigates the impact of future climate and emissions of air
16 quality in the U.S. with a focus on O₃ and mercury. The University of Michigan uses linked gas-
17 phase and aqueous photochemistry models and a new approach for representing the interaction
18 between aerosols and tropospheric chemistry. Importantly, the meteorology derived from linked
19 global circulation and chemistry/transport models includes event-specific aerosol impacts on
20 climate. Model correlations of O₃ with temperature are being used as a basis for evaluating
21 accuracy of the predicted response to climate. Other species correlations (O₃-CO, O₃-NO_y, O₃-
22 PAN) are also investigated as indicators for the effect of global emissions on air quality. For
23 mercury, the project aims to identify the relative impact of local emissions and global transport
24 in two regions where mercury has caused environmental damage (the Great Lakes and Florida).
25 EPA field measurements in those regions will be used to evaluate model accuracy. A series of
26 species correlations will be investigated as possible measurement-based evidence for the impact
27 of local versus global emissions. Finally, correlations between reactive mercury and O₃ are
28 being investigated to determine whether O₃ formation also affects mercury.
29

30 **D.1.6.7. *North Carolina State University***

31 An overarching goal of the proposed research is to develop a community global-through-
32 urban model framework that fully couples meteorology and chemistry and contains state-of-the-
33 science treatments for O₃, PM_{2.5}, and Hg in both troposphere and stratosphere at all scales.
34 Application of this unified model with consistent physics in a two-way nesting mode allows the
35 researchers to examine the two-way feedbacks between climate changes and air quality and

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1 determine their importance in quantifying the impact of global changes on air quality.
2 Sensitivity simulations with respect to inputs, configurations, resolutions, and physics help
3 quantify the uncertainties in these model parameters. In addition, a unified model will improve
4 our scientific understanding of the interactions among multiple pollutants and multiple processes
5 (e.g., transport, chemistry, radiation, removal). Results from this project aim to inform policy
6 makers about current and future integrated emission control strategies for multiple pollutants in a
7 changing world.

8 9 **D.1.6.8. *Harvard University***

10 The proposed research by Harvard University builds on previous work that resulted in the
11 construction of powerful and versatile machinery for investigating the effects of climate change
12 on air quality and mercury deposition. This global-regional model capability will be used to
13 address three critical issues over the 2000-2050 time horizon. First, the potential range of global
14 change impacts on air quality is being assessed through consideration of an ensemble of
15 scenarios for greenhouse gas and air pollutant emissions. Second, a series of sensitivity
16 simulations is being carried out to investigate the effects of global climate and emission changes
17 on intercontinental transport of pollution to the U.S. Finally, taking advantage of the capability
18 for dynamic coupling of mercury between atmospheric, oceanic, and terrestrial reservoirs, the
19 Harvard group examines mercury deposition to ecosystems, including how climate change might
20 perturb the cycling of mercury between the atmosphere and surface reservoir. This set of
21 projects will provide important information to policymakers as they consider issues such as co-
22 benefits of greenhouse gas reductions, long-range transport of air pollutants, mercury deposition,
23 and the effects of global change on regional air quality.

24 25 **D.1.6.9. *Carnegie Mellon University***

26 Future changes in climate, biogenic emissions, and long-range transport of pollution may
27 provide additional challenges to air quality management in the U.S. The goal of the CMU study
28 is to quantify the expected magnitude and range of these impacts on ozone, PM_{2.5}, PM_{2.5-10}, and
29 ultrafine PM concentrations, visibility, mercury, and acid deposition. This project builds on
30 previous work by CMU that resulted in a coupled global-regional climate and air pollution
31 modeling system. The system is being extended to incorporate and account for climate-sensitive
32 emissions (e.g., biogenic, ammonia, evaporative emissions, etc.), recent developments in
33 understanding of the formation and partitioning of secondary organic aerosol, and the volatility
34 of primary organic aerosol components, mercury atmospheric chemistry and deposition, and
35 ultrafine aerosol size-composition distribution. The researchers also are using a new approach

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1 for screening and selecting climate scenarios for regional air quality simulations: an ensemble of
2 approximately 30 years of future climate is screened to select both “representative” years but
3 also more extreme (colder-warmer, wetter-drier, clearer-cloudier) years for uncertainty analysis.
4 Finally, the CMU group is conducting a range of sensitivity simulations and alternative future
5 scenarios to explore uncertainties associated with future emissions. The ultimate goal of this
6 research is to provide insights and tools to inform air quality management decisions about the
7 impacts of global climate and emission changes on U.S. air quality.

8

9 **D.1.6.10. *Washington State University***

10 This proposal builds on current research by WSU on the effects of global change on
11 continental and regional air quality to include quantitative estimates of uncertainties. An
12 ensemble modeling approach is being used to develop a quantitative measure of the uncertainty
13 in the WSU modeling framework in comparison to current 1990-1999 observations and to
14 project these uncertainties into the future. Bayesian analyses of the coupled global-regional
15 model configurations for a base climate period (1990-1999) are conducted to produce weighted
16 ensemble members based upon their skill in representing observed climate and air quality. Using
17 this analysis, the number of ensemble members for future climate runs will be reduced to those
18 that provide significant skill to the overall composite. In addition, the WSU group is
19 quantitatively addressing the uncertainties that accompany projections of future emissions,
20 including changes in landcover, urbanization, biogenic emissions, and fire emissions.
21 Combining the reduced ensemble set with a range of potential emission scenarios in a factorial
22 design encompasses a number of model/emission scenarios so that quantitative estimates of the
23 air quality impact and uncertainties associated with both modeling errors and emission scenarios
24 are obtained.

1 **APPENDIX E**
2 **MODELING APPROACH FOR INTRAMURAL PROJECT ON CLIMATE IMPACTS**
3 **ON REGIONAL AIR QUALITY**
4

5 As described in the main body of this report, a number of modeling studies have been
6 developed to support this assessment of potential impacts of climate on air quality. In addition to
7 the extramural projects supported through the National Center for Environmental Research
8 (NCER) (see Appendix 4), an intramural modeling study referred to as the Climate Impacts on
9 Regional Air Quality (CIRAQ) project was initiated in 2002. CIRAQ is organized into two
10 phases: Phase I, where the focus is the impact of future climate on air quality if anthropogenic
11 emission sources remained at current levels and Phase II, where the focus is the impact on air
12 quality both from future climate and future emission scenarios for ozone (O₃) and aerosol-related
13 emissions.

14 The CIRAQ project was separated into Phase I and Phase II to distinguish the influence
15 of future climate scenarios separately from changes in emissions that effect O₃ and PM_{2.5}. In the
16 December 2000 workshop (see Chapter 1 of this report), this approach was discussed, and it was
17 agreed upon as necessary for teasing out these different influences. The schedule for Phase I was
18 organized to contribute results to this 2007 interim report, and Phase II will be completed for the
19 2010 final report on climate impacts on national air quality. The future emission scenarios that
20 will be used for Phase II of CIRAQ have been under development in the EPA Office of Research
21 and Development (see Appendix 6) while Phase I has been underway.

22 Another decision made in the design of CIRAQ was that multiple years of simulation
23 were needed to insure that interannual variability would not be misinterpreted as climate change
24 in the comparison of current to future simulations. Interannual variability in meteorological
25 conditions such as temperature and precipitation can have a strong effect on air quality, yet it is
26 driven by periodic patterns such as the El Niño-Southern Oscillation (ENSO) or North American
27 Oscillation (NAO) cycles. These ENSO and NAO cycles are part of natural climate variability
28 and not related directly to climate warming from greenhouse gases. The schedule for this project
29 was used to determine the maximum number of years that could be simulated for the project.
30 Specifically, 10 years of meteorology and 5 years of air quality were modeled each for the
31 current and future periods.

32 To study potential impacts of future climate on air quality, models are needed to simulate
33 hypothetical future scenarios. These models must include processes that are involved in global-
34 scale climate as well as processes that are involved in regional-scale air quality. A dynamical
35 downscaling approach (Leung et al., 2003) was taken that links global scale climate and
36 chemistry models with regional scale meteorology and air quality models. In this way, global

1 and hemispheric influences on climate and long-range transport of pollutants can be incorporated
2 into the regional predictions. Below, a description of each of these global and regional modeling
3 components is described along with some background on why each of the models or options was
4 chosen.

5 For the global scale models used in this study, the CIRAQ project coordinated with
6 several extramural projects supported by NCER grants. The global climate model (GCM) is
7 derived from the Goddard Institute for Space Studies (GISS) II' model, as described by Mickley
8 et al. (2004). A benefit from this model is that it also includes a tropospheric O₃ chemistry
9 model (Mickley et al., 1999) that could provide chemical boundary conditions for O₃ and O₃
10 precursors to the regional scale air quality model. Consistency between the global climate and
11 chemistry was another criterion for the CIRAQ modeling simulations, so that the climate and
12 chemical boundary conditions for the regional model would be consistent. The GCM has a
13 horizontal resolution of 4° latitude and 5° longitude and nine vertical layers in a sigma coordinate
14 system extending from the surface to 10 mb. The global climate simulation covers the period
15 1950-2055, with greenhouse gas concentrations updated annually using observations for 1950-
16 2000 (Hansen et al., 2002) and the A1B scenario from the IPCC for 2000-2055 (IPCC, 2000).
17 The GISS II' GCM's radiation scheme assumes present-day climatological values for O₃ and
18 aerosol concentrations, i.e., without any feedbacks due to future concentration changes. These
19 GCM simulations were developed by Dr. Loretta Mickley at Harvard University, and the GCM
20 simulation is described in Mickley et al. (2004). Support was initially provided by the intramural
21 CIRAQ project for these simulations, and Dr. Mickley is also a co-investigator on the NCER-
22 funded grant at Harvard (PI: Dr. Daniel Jacob), where a new version of the GISS GCM is now
23 being coupled with their GEOS-Chem global chemistry model.

24 The regionally downscaled climate simulations for the CIRAQ project were developed by
25 Dr. Ruby Leung, who is a leading expert in dynamical downscaling from Pacific Northwest
26 National Laboratory. A regional climate model (RCM) based on the Penn State/National Center
27 for Atmospheric Research (NCAR) Mesocale Model (MM5) (Grell et al., 1994) was used to
28 downscale the GCM output for 1990-2003 and 2045-2055. Climate fields, at a temporal
29 resolution of 6 hours, from Dr. Mickley's GISS II' simulations were used as lateral boundary
30 conditions for these RCM simulations, and the same CO₂-equivalent concentrations were used
31 within the RCM domain as used in the GCM simulations. Dr. Leung's RCM simulations were
32 designed with a two-way nested configuration with 108 km and 36 km horizontal resolution for
33 the outer and inner domains, respectively and 23 vertical layers (Leung and Gustafson, 2005).
34 Unlike standard MM5 simulations for air quality modeling, no assimilation of observational data
35 was used for the current RCM simulations. The primary reasons for this were to evaluate the

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1 RCM simulations under current climate to establish the model performance and to insure
2 consistency between the current and future simulations. MM5 options used included the Grell
3 cumulus parameterization scheme with shallow convection, Reisner1 mixed phase cloud
4 microphysics, the Medium Range Forecast Model (MRF) planetary-boundary-layer scheme, the
5 NOAA land-surface model, and the Rapid Radiative Transfer model (RRTM). Further
6 discussion of the physics parameterizations used is provided in Leung et al., (2003). In general,
7 choices were made to preserve the large-scale dynamical features of the GCM simulation rather
8 than attempt to match present observed climatological patterns. This requirement distinguishes
9 this approach from that taken by Liang et al. (2006) and Hogrefe et al. (2004), where MM5
10 options were chosen that evaluated best against observational data within the domain.

11 Dr. Leung provided the RCM hourly outputs to EPA via external hard drives and
12 automated quality assurance steps were taken to check for corrupt or missing data files. This
13 was critical since a total of 4 terrabytes of data were transferred. Leung and Gustafson (2005)
14 provides a comparison of these current and future RCM simulations, where temperature
15 increases over the continental U.S. were consistent with those predicted in the GISS II'
16 simulation at a coarser scale. Leung and Gustafson (2005) identify a difference in the ventilation
17 where the future RCM simulations show increases in ventilation while the GISS II' shows
18 increased stagnation that could lead to increased or longer pollution episodes (Mickley et al.,
19 2004). The fact that the ventilation is different between the global and the regional models is
20 substantial since stagnation is a large driver for pollution events. Once the RCM simulation
21 results were archived at EPA, an extensive evaluation of the RCM results during the current time
22 period was conducted.

23 Evaluation of the RCM shows that the RCM-derived climate across the western U.S. was
24 generally well simulated for all seasons. The western U.S. weather patterns, temperature, and
25 precipitation from the RCM were similar to the North American Regional Reanalysis (NARR)
26 during all seasons, particularly in the summer. Many of the primary weather patterns that occur
27 over the eastern U.S. were well simulated by the RCM during the winter. However, a main
28 component of the warm season weather patterns over the eastern U.S., the subtropical Bermuda
29 high pressure system off the southeast U.S. coast, was not well simulated by the RCM. This
30 could have been influenced by the Bermuda High being further east in the GCM than typically
31 observed or because of the coarse resolution of the GCM. More detailed information about the
32 RCM evaluation can be found in Gilliam and Cooter (2007) and Cooter et al. (2007).

33 For the CIRAQ project, the regional-scale air quality simulations were conducted using
34 the CMAQ model version 4.5 (Byun and Schere, 2006) for the two 5-year periods "1999-2003"
35 and "2048-2052." These years are placed in quotes to emphasize that the simulations are

1 climatological representations of present and future air quality under the A1B scenario and are
2 not intended to represent or predict the actual day-to-day variations in pollutant concentrations
3 for either the present or future modeling periods. The 5 years of simulation for the current and
4 the future time periods was the maximum number of years that could be completed on the
5 schedule for this 2007 report and provides the best current estimate of interannual variability
6 when estimating air quality changes with future climate. The current years “1999-2003” were
7 selected because they were prior to the NO_x SIP Call that was implemented in May 2004 (U.S.
8 EPA, 2005) and because it represents the most recent emission inventory estimates of 2001.
9 Results do suggest that it was important to consider interannual variability as well as an extended
10 summer season for O₃, where the Leung and Gustafson (2005) RCM simulation scenario
11 suggests an extension of the O₃ season into the fall.

12 CMAQ options used included the Statewide Air Pollution Research Center (SAPRC)
13 chemical mechanism (Carter, 2000), the Rosenbrock chemical solver (Sandu et al., 1997), and
14 the Regional Acid Deposition Model (RADM) cloud scheme. The domain, slightly smaller than
15 the innermost downscaled MM5 domain, encompassed the entire continental U.S., parts of
16 Canada and Mexico, and the surrounding oceans at a horizontal resolution of 36 km and with 14
17 vertical layers. The Sparse Matrix Operator Kernel Emissions (SMOKE) modeling system
18 (Houyoux et. al., 2000) version 2.2 was used to calculate the plume rise in preparing daily
19 emissions inputs consistent with the meteorology. Biogenic emissions were computed using the
20 Biogenic Emissions Inventory System (BEIS) (Pierce et al., 1998) version 3.13 and the
21 downscaled RCM outputs. Anthropogenic emissions were based on the U.S. Environmental
22 Protection Agency 2001 National Emission Inventory (NEI). NEI inventories typically are
23 developed incrementally for every third year, and 2001 was the most recent time period available
24 for this study.

25 Chemical boundary conditions for O₃ and O₃precursors were taken from monthly
26 averaged outputs of the tropospheric O₃ chemistry module coupled to the GISS II' GCM. While
27 results included in this report focus on O₃, the CMAQ simulations also included aerosol
28 predictions. Boundary conditions for the aerosols were provided by Dr. Peter Adams from
29 Carnegie Mellon University, who has an NCER grant for climate and air quality. Those
30 boundary conditions were also based on a GISS II'-driven chemistry model for aerosols;
31 however, the GISS II' GCM was driven by the IPCC A2 scenario (Racherla and Adams, 2006).
32 This difference should not be substantial at 2050 since the IPCC climate scenarios do not diverge
33 drastically until post-2050.

34 Results from the CMAQ simulations were evaluated against observed O₃ data from the
35 Air Quality System (AQS) observational network. These evaluations were based on the

1 comparisons of the observed and modeled distribution of O₃ during the summer season because
2 these climatological simulations were not designed to replicate the actual series of changes in O₃
3 on specific days. Results showed a substantial over-prediction bias in summertime O₃ that
4 appears to be influenced primarily by the SAPRC chemical mechanism. A secondary cause of
5 the O₃ bias is the meteorological prediction uncertainties from the RCM. Gilliam and Cooter
6 (2007) show that the RCM simulations used in the CIRAQ study, under-predicted precipitation
7 and had a positive bias in temperature in the areas of the Southeast and Midwest, where the over-
8 prediction biases were most evident. The full details from this analysis can be found in Nolte et
9 al. (2007). Since the CIRAQ study is focused on the change in O₃ from current to future climate
10 scenarios, it is anticipated that this O₃ bias would exist in the current and future simulations and,
11 therefore, be cancelled out to some degree.

12 The SAPRC chemical mechanism was chosen for the CIRAQ CMAQ simulations
13 because it is considered a more detailed, up-to-date mechanism than CB4 (Gery et al., 1989) and
14 because the chemical groupings are more consistent with the chemical families in the Harvard
15 global chemistry model (Mickley et al., 2004). Based on the findings from this study, it would
16 be preferable to include CMAQ simulations using the new CB05 chemical mechanism now
17 available in the most recent release of CMAQ version 4.6 in the second phase of this CIRAQ
18 study. This could require development of current climate CMAQ CB05 simulations for
19 comparison as well; therefore, it would not be possible to follow the 5-year time series approach
20 used in Phase I of this study.

21 As described earlier, Phase I of this project was only intended to focus on the impacts of
22 future climate on air quality without including any future scenarios for the anthropogenic
23 emissions for O₃ and PM_{2.5}. In preparation for Phase II, it was, however, decided that a
24 simplified sensitivity test that adjusted the current anthropogenic emissions based on IPCC
25 scaling factors would be helpful. For the future simulation with emission changes, scaling
26 factors consistent with the A1B AIM scenario for the OECD90 region were applied for all
27 anthropogenic emission sectors, as shown in Table E-1. This control-case approach is
28 admittedly simplistic and is intended to be a minimal sensitivity test of the range of impacts that
29 could result from the A1B scenario.

30 Results from this sensitivity test with future emissions suggested that substantial
31 decreases in O₃ would occur under the future A1B climate scenario and these A1B AIM
32 OECD90-based reductions in anthropogenic emissions. The modeling results had suggested a
33 2-5 ppb increase in O₃ with future climate only (i.e., no change in current anthropogenic
34 emissions); therefore, the change in emissions is anticipated to have a much larger influence in

- 1 the model predicted changes in O₃. While that is not unexpected, the results highlight how
- 2 important the selection of future emission scenarios will be. If the IPCC A2 scenario had been

Table E-1. Scaling factors for future emissions sensitivity test

Species	A1B AIM 2050 Scaling Factor (relative to 2000)
NO _x	0.52
SO ₂	0.37
VOCs	0.79
CO	1.5

selected for this study, the conclusions would have been conversely different where future emissions and future climate would result in dramatic increases in O₃, as shown by Hogrefe et al. (2004). While it is far more likely that NO_x and SO₂ emissions will be reduced in the future rather than as the A2 scenario suggests, the exact amount of reduction is more uncertain the further into the future these scenarios are developed. Therefore, the conclusion from this analysis is that Phase II of the CIRAQ project needs to focus on multiple 2050 anthropogenic emission scenarios to develop a plausible range of results.

This conclusion that a series of simulations is needed with different options or choices is a common recommendation from the evaluation of the CIRAQ CMAQ results and the sensitivity tests with A1B emission scaling factors described above. It leads to new challenges for Phase II of CIRAQ since 5-year simulations are not feasible for multiple chemical mechanisms and future emission scenarios. Interannual variability in the current series of simulations can be used to help guide selection of shorter time periods that represent extreme and average years. This may be the best approach for reducing the number of simulation years and increasing the range of options and sensitivity tests.

For the 2007 interim report and current manuscripts developed for CIRAQ, the primary focus has been on O₃ rather than PM_{2.5}. The current vs. future PM_{2.5} results are more uncertain and complicated since PM is composed of multiple chemical species, the concentrations of which are influenced by different emission sources. Preliminary analyses suggest that the ventilation or stagnation in the future scenarios could have a substantial influence on the results, and discrepancies between the global and regional simulations of future stagnation frequency lend more uncertainty to the future PM_{2.5} change estimates. Further, several factors could influence the future primary PM_{2.5} emissions that can be directly influenced by future climate conditions, such as forest fires and windblown dust. Current emissions from these types of sources are static and do not vary based on changes in climate. Another factor of uncertainty is the influence of future air quality changes on the regional climate, where for example lower

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1 concentrations of sulfate aerosols could lead to more positive net radiative forcing. New
2 modeling tools are becoming available, such as WRF-CMAQ, which includes feedbacks from air
3 quality to regional climate. These new modeling tools are needed to better understand how
4 climate and air quality interact in future scenarios and increase our confidence in the future
5 scenarios for PM_{2.5}.

6
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1 **APPENDIX F**
2 **USING MARKAL TO GENERATE EMISSIONS GROWTH PROJECTIONS FOR THE**
3 **EPA GCRP AIR QUALITY ASSESSMENT**
4

5 **F.1. INTRODUCTION**

6 **F.1.1. Background**

7 The U.S. EPA contributes to the U.S. Climate Change Science Program (CCSP) by
8 working to develop an understanding of the potential environmental impacts of anticipated future
9 global changes, including population growth and migration, economic growth, land use change,
10 technology change, climate change, and government actions and policies. As a central
11 component of EPA's contribution to the CCSP, the EPA Office of Research and Development's
12 Global Change Air Quality Assessment is building upon traditional EPA expertise by examining
13 the connection between these global changes and air quality.

14 Air pollutants of particular concern are tropospheric ozone (O₃) and fine particulate
15 matter (PM_{2.5}). These pollutants, which are components of urban smog, contribute to human
16 respiratory problems, damage ecosystems, and reduce visibility, among other impacts. They are
17 formed through atmospheric reactions of precursor emissions. Precursors to O₃ include nitrogen
18 oxides (NO_x) and volatile organic compounds (VOCs). In most areas of the U.S., VOCs from
19 vegetation are in sufficient concentration that NO_x is the limiting chemical species in O₃
20 formation. The predominant source of NO_x emissions is the combustion of fossil fuels. Fine
21 PM formation can involve many chemical species, but sulfur oxides (SO_x), NO_x, elemental and
22 organic carbon, and ammonia are common precursors. Coal and diesel combustion are sources
23 of SO_x, and carbonaceous PM is most often a product of incomplete combustion.

24 Human health concerns have led to ambient air quality standards being implemented for
25 O₃ and particulates. Many areas of the country are not currently in attainment with these
26 standards, however, leading to recent air quality legislation, including the NO_x SIP Call (U.S.
27 EPA, 2006a), Clean Air Interstate Rule (CAIR) (U.S. EPA, 2005), Heavy Duty Highway Diesel
28 Rule (U.S. EPA, 2007a), and Nonroad Diesel Rule (U.S. EPA, 2004). These regulations are
29 expected to bring most urban areas of the U.S. into attainment by 2015.

30 The ability of these programs to maintain air quality further into the future is less certain.
31 The U.S. population is projected to continue to grow through 2050 as is the U.S. economy.
32 These factors potentially yield increases in emissions from additional demands for energy and
33 transportation services, among others. Further, climate change projections predict generally
34 warmer temperatures, exacerbating pollution by increasing summer energy demands for cooling
35 and by increasing the photochemical reaction rates that produce tropospheric O₃. Countering
36 these factors, economic and policy drivers will likely result in technology change, including

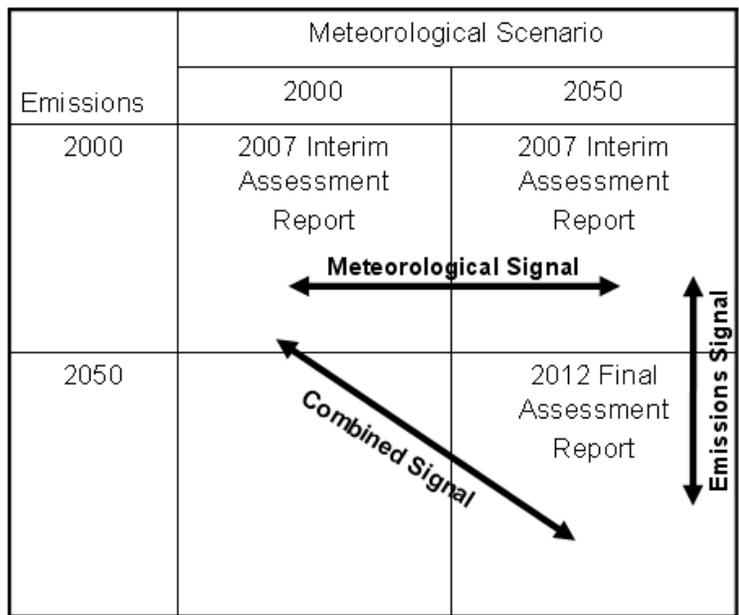
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1 energy efficiency improvements and reduced pollutant emissions rates. Characterizing the
 2 relative and combined impact of these factors, thus, is an important step in anticipating future-
 3 year air quality and in identifying whether additional technologies or policy measures will be
 4 necessary to protect human health and the environment. This characterization is one of the
 5 primary products of the Global Change Air Quality Assessment, with contributing work being
 6 carried out both through intramural and extramural research activities.

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 8 **F.1.2. Conceptual Framework**

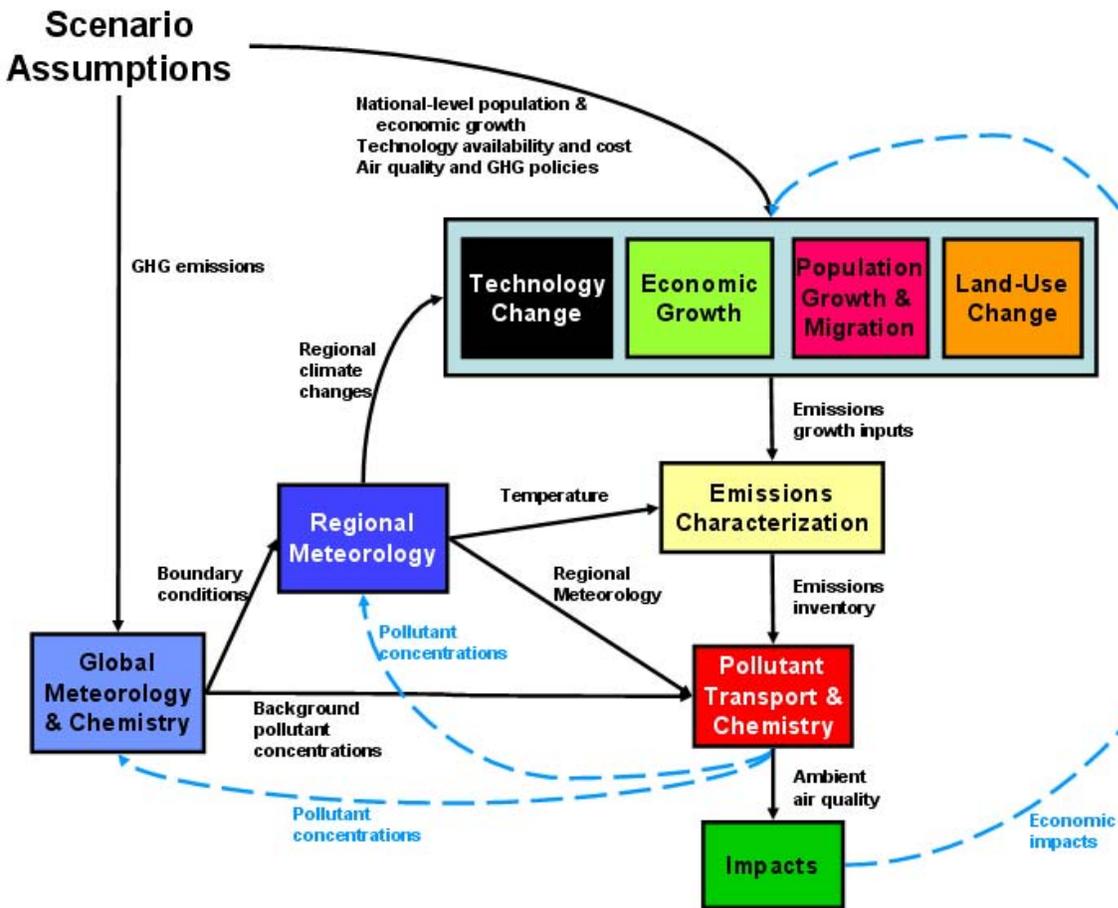
9 The intramural modeling activities of the Global Change Air Quality Assessment are
 10 aimed at evaluating the individual and combined impacts of climate and emissions changes on
 11 air quality in 2050. The work described in the main body of the 2007 Interim Assessment Report
 12 has largely focused on characterizing climate change impacts. Air quality modeling was carried
 13 out with year 2000 emissions for two cases of meteorology thought to be representative of the
 14 years 2000 and 2050, respectively. The 2012 Final Assessment Report will augment the 2007
 15 analysis by evaluating the 2050 meteorological case with projected emissions for 2050.

16 The relationship between the modeling runs is illustrated in Figure F-1. This
 17 experimental design is anticipated to allow the meteorological and emissions signals on air
 18 quality to be evaluated individually and together.



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 21 **Figure F-1. Experimental design of the global change**
 22 **air quality assessment.**
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1 One of the major challenges in carrying out this experimental design is the generation of
 2 a realistic and representative emissions inventory for 2050. A step in creating such an inventory
 3 was to develop a conceptual model that outlines the various system components and linkages that
 4 influence future year emissions and air quality. Figure F-2 is a graphical depiction of this
 5 conceptual model.
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 8 **Figure F-2. Conceptual framework outlining the influence of global change**
 9 **factors on air quality.**
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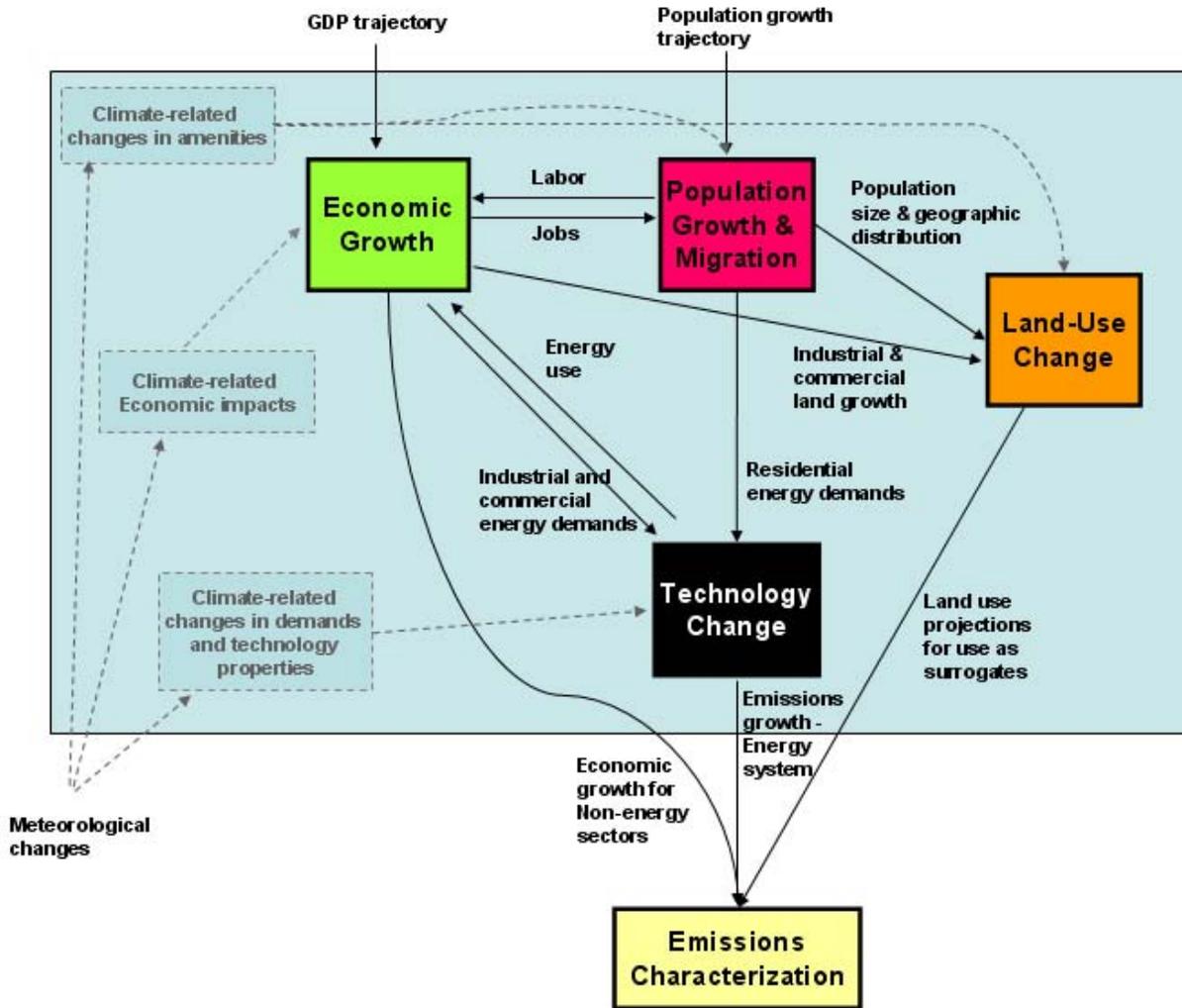
12 At this high level, the overall system is driven by various global- and national-scale
 13 assumptions. Assumed global greenhouse gas emissions drive global circulation patterns,
 14 meteorology, and chemistry. These, in turn, affect regional meteorology, temperature-sensitive
 15 anthropogenic and biogenic emissions, and pollutant transport and chemistry. Assumptions also
 16 drive technology change, economic growth, population growth and migration, and land-use
 17 change which are, themselves, interrelated. These factors have great implications on the quantity
 18 and location of pollutant emissions and, thus, on air quality. The blue text and lines represent

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1 feedbacks that may be important. For example, pollutants such as aerosols and black carbon
 2 have radiative forcings that can affect regional climate. Similarly, health and environmental
 3 impacts may lead to better or worse economic conditions and changes in mortality rates, thereby
 4 affecting some of the drivers for emissions growth.

5 In Figure F-3, the box encompassing technology change, economic growth, population
 6 growth and migration, and land-use change is examined in more detail.

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Figure F-3. Conceptual model detail on the factors affecting future-year emissions growth.

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13 This figure indicates the relationship between economic growth and population changes.
 14 Economic growth is a function of the cost of labor while population migration is affected by the
 15 availability of jobs. Both economic growth and population changes drive energy demands and

1 may indirectly influence changes in the technologies. Population growth and migration have an
2 effect on land use, including the transformation of rural, agricultural, and forest land to
3 accommodate housing. These changes, in turn, affect the quantity, nature, and geographic
4 distribution of both biogenic and anthropogenic emissions. Climate change has the potential to
5 impact processes represented within many of these components. For example, climate changes
6 can change the attractiveness of living in various areas, the ability to use land for agricultural and
7 recreational purposes, and demands for energy services such as heating and cooling. The
8 feedbacks indicated in Figure F-2, including the effects on the economy and population resulting
9 from air quality impacts, are not included in Figure F-3.

11 **F.1.3. Intramural Emissions Modeling Effort for the 2010 Assessment Report**

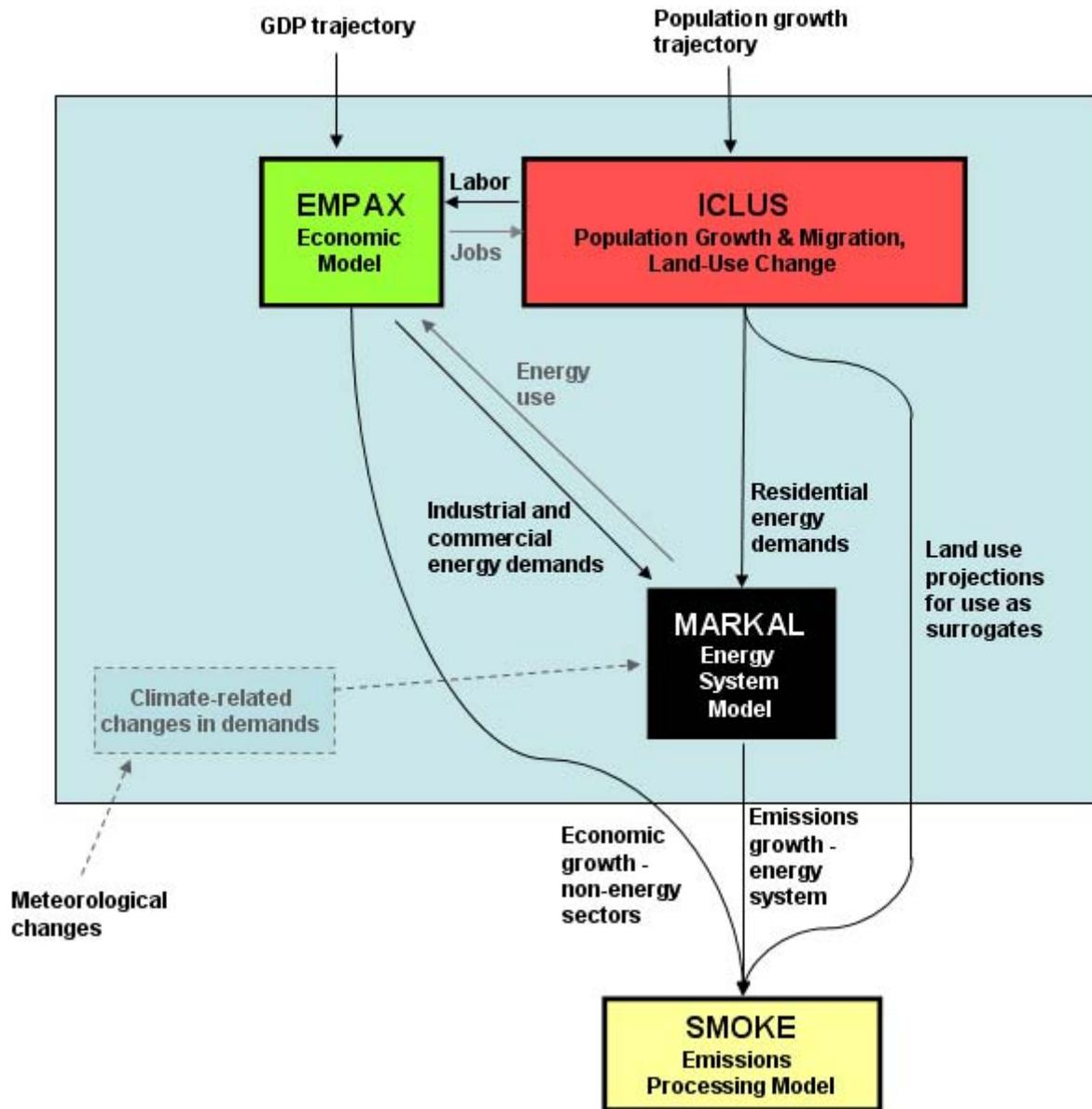
12 Developing emissions projections for the 2010 assessment report involves realizing the
13 conceptual model illustrated in Figures F-2 and F-3 with a modeling methodology. The level of
14 available resources necessitates the leveraging of existing expertise, models, and tools. For
15 example, within its ongoing regulatory and research air quality modeling applications, EPA uses
16 the Sparse Matrix Operator Kernel Emissions (SMOKE) processing model, the MM5 regional-
17 scale meteorological model, and the CMAQ air quality model. Given future-year projections of
18 meteorology and emissions, these models readily can be applied to evaluate a 2050 emissions
19 scenario.

20 Generating a 2050 emissions inventory for input into SMOKE is not straightforward,
21 however. EPA typically uses the Integrated Planning Model, or IPM, to model fuel use and
22 emissions from the electricity production sector. IPM has been applied to model past and present
23 emissions, as well as to project emissions to a near-term future year, such as 2007, 2015, or
24 2020. IPM was not developed with the goal of producing emissions projections to 2050.
25 Similarly, EPA's current methods for generating near-term emissions projections for mobile,
26 residential, commercial, industrial, and biogenic emissions, among others, have a limited ability
27 to account for many types of changes that are expected over a nearly 50-year time period. These
28 include changes such as the introduction of new technologies (e.g., advanced nuclear power, coal
29 gasification with carbon capture and sequestration, plug-in gasoline-electric hybrids, and
30 hydrogen fuel cell vehicles), growth and redistribution of population and industries, expansion of
31 urban and suburban areas, and changes in heating and cooling demands related to population
32 shifts and climate change. Accounting for these factors requires the development of a new
33 emissions projection methodology.

34 To this end, an emissions projection methodology is being developed that includes the
35 EMPAX economic model, which is a state-level computational general equilibrium model of the

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1 U.S.; the ICLUS (Integrated Climate and Land Use Scenario) system, a modeling system that
 2 links a population growth and migration model with a land use change model; and, MARKAL
 3 (MARKet ALlocation), an energy system model that projects the penetration of technologies and
 4 their associated emissions. These models and their data linkages are shown in Figure F-4.
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6 **Figure F-4. Models and linkages for developing emissions growth factors.**

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 10 In Figure F-4, the “Jobs,” “Labor,” and “Energy Use” linkages are deemphasized to
 11 indicate that these linkages may or may not be included in the 2012 Assessment Report,

1 depending on available time and resources. The feasibility of including the additional climate-
2 related linkages and feedbacks shown in Figures F-2 and F-3 is being evaluated.

3 The focus of this appendix is to describe the MARKAL energy-modeling component.
4 Results from a MARKAL run illustrate the types of outputs that the model produces. The
5 appendix concludes with a description of the process by which the MARKAL results are
6 converted to emissions growth factors for use in SMOKE.

8 **F.2. ENERGY SYSTEM MODELING**

9 **F.2.1. The MARKAL Energy System Model**

10 In modeling the role of technology change on future-year emissions, the focus here is on
11 the U.S. energy system. The energy system includes the fuels and technologies that extend from
12 the import or extraction of fuel resources, to the conversion of these resources to useful forms, to
13 their use in meeting energy service demands. The energy system is selected for special
14 consideration because of the large amount of pollutant emissions that it produces. For example,
15 current demands for transportation and electricity are met largely through the combustion of
16 fossil fuels. Based on an analysis of the EPA's 2001 National Emissions Inventory, combustion
17 in the U.S. is estimated to contribute approximately 95% of anthropogenic emissions of nitrogen
18 oxides (NO_x) and carbon monoxide (CO), 89% of sulfur oxides (SO_x), and 87% of mercury.

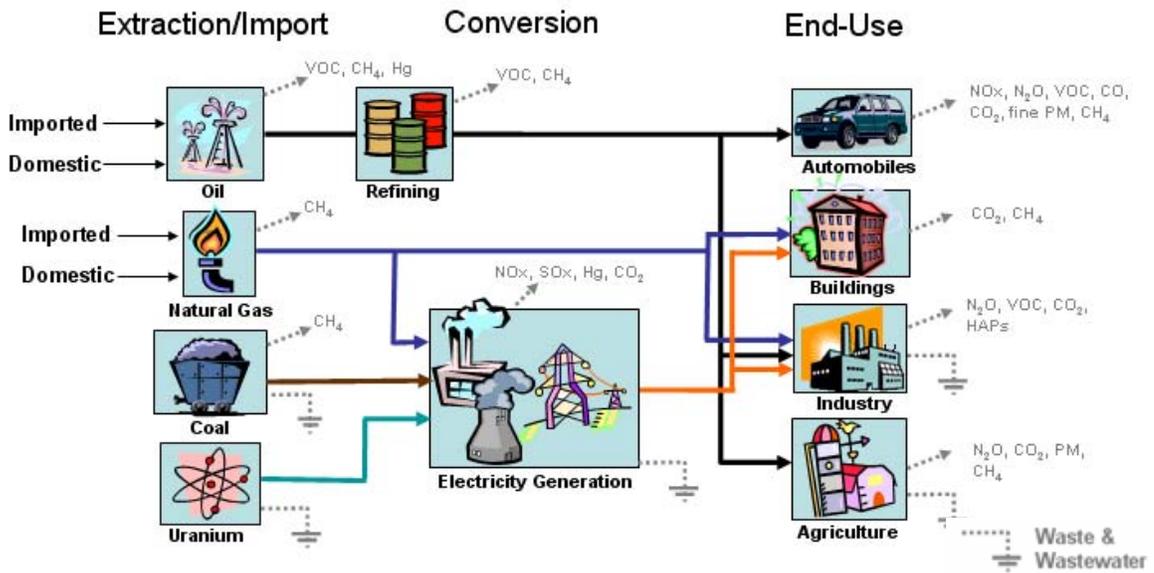
19 Figure F-5 provides a simplified depiction of an energy system in which fossil fuels
20 dominate. Major air pollutant emissions from each component of the system are shown.

21 While much of the energy system in the U.S. may be dominated by fossil fuels,
22 renewables and advanced technologies may play an increasing role in the future. These include
23 advanced nuclear reactors, wind and solar power, biomass and coal gasification, combined cycle
24 natural gas systems, hydrogen fuel cell vehicles and plug-in hybrids. An alternative energy
25 future, emphasizing renewable and advanced technologies is depicted in Figure F-6. The extent
26 to which the future energy system evolves toward this or other alternatives will have important
27 implications on future pollutant emissions and air quality.

28 For the 2012 assessment, the MARKAL model is being used to identify and evaluate the
29 pollutant emissions associated with alternative future realizations of the U.S. energy system. The
30 MARKAL model was developed in the late 1970s at Brookhaven National Lab in response to the
31 oil crisis of the mid-1970s. In 1978, the International Energy Agency adopted MARKAL and
32 created the Energy Technology and Systems Analysis Programme (ETSAP) to oversee its
33 ongoing development (ETSAP, 2006). In addition, the U.S. Department of Energy's Energy
34 Information Administration (EIA) made MARKAL the basis for the System for the Analysis of
35 Global Energy Markets (SAGE) model (U.S. DOE, 2003a). SAGE is used to produce EIA's

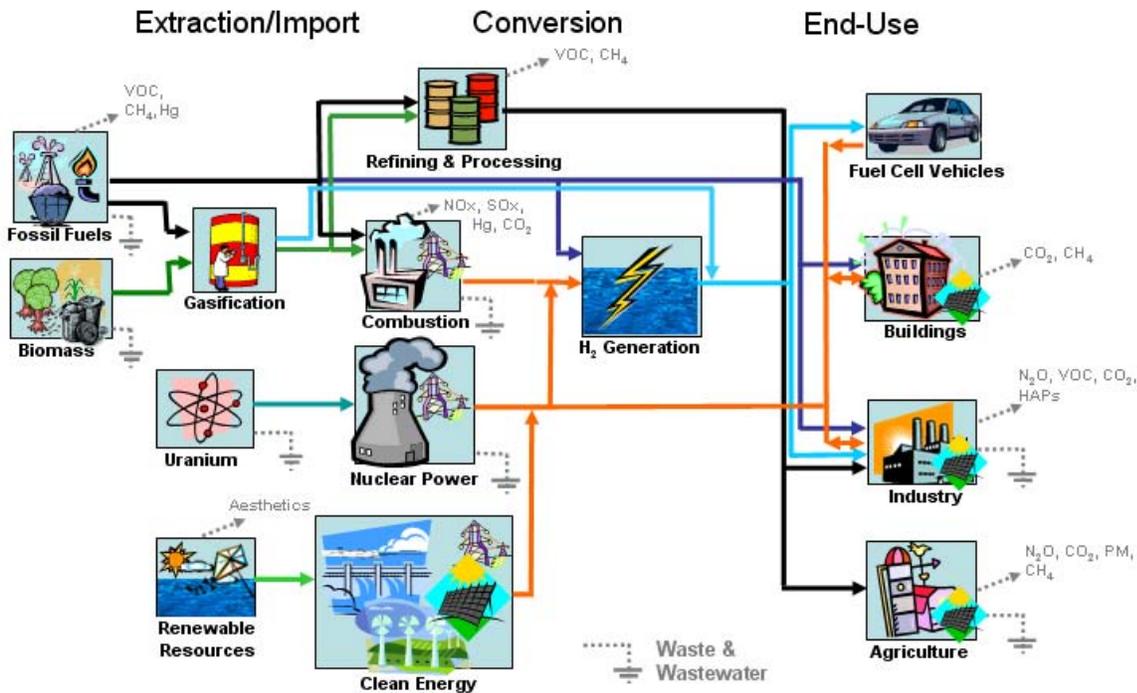
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Figure F-5. A simplified depiction of an energy system, in which energy demands are largely met by fossil fuel resources and conventional nuclear technologies.



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Figure F-6. A depiction of an alternative future energy system that has an increased emphasis on renewables and advanced technologies.

1 Annual International Energy Outlook (U.S. DOE, 2006). Altogether, MARKAL and its variants
2 are used in approximately 40 countries around the world.

3 MARKAL, a data-driven, optimization model, includes a representation of the structure
4 of an energy system. Data must be provided to characterize the specific energy system being
5 modeled. This typically involves developing a representation of the current energy system, as
6 well as projections of resource supplies, energy demands, and technology characteristics over a
7 modeling horizon of 20 to 50 years. Depending on the application, the input database may scale
8 from representing a single sector (e.g., transportation or electricity generation) to representing all
9 energy-related sectors in the economy (e.g., transportation, residential, commercial, industrial,
10 agricultural, and electricity production). Further, the database can define a single region, such as
11 the continental U.S., or it can represent the system at a finer resolution, such as at the regional- or
12 state-level, explicitly modeling resource supplies, energy demands, and technology
13 characteristics within regions, as well as the trade of electricity and fuels among modeled
14 regions.

15 Given a mathematical representation of the system as input, MARKAL uses linear or
16 mixed-integer linear programming solution techniques to calculate the least cost technology
17 pathway for meeting demands. Outputs of the model include a projection of the technological
18 mix at intervals into the future, estimates of total system cost, energy demand (by type and
19 quantity), and estimates of criteria pollutant and greenhouse gas emissions. If multiple sectors of
20 the energy system are represented, then MARKAL can be used to identify cross-sector
21 dynamics. For example, the introduction of a large number of vehicles powered by compressed
22 natural gas would drive demand for natural gas. This would impact the competition for natural
23 gas and could potentially influence the adoption of technologies within the electricity generation,
24 residential, and commercial sectors. MARKAL can provide insight into these interactions.

25 MARKAL features a number of options that can be useful in tailoring it toward particular
26 investigations. For example, MARKAL can be configured to account for demand elasticities and
27 endogenous technological learning as well as to represent consumer hesitancy to adopt new
28 technologies through hurdle rates. While MARKAL, by default, is configured to examine all
29 steps of the modeling time horizon simultaneously (e.g., the model has perfect foresight in
30 identifying the least cost technology pathway), it also can be applied in a myopic manner in
31 which it examines the technological choices to be made for each subsequent time step
32 independently. Further, when using this latter approach, a market share algorithm can be applied
33 in which the market penetration of alternative technologies is a function of their relative marginal
34 costs. An additional MARKAL option is an implementation of a methodology called Modeling
35 to Generate Alternatives, or MGA (Brill et al., 1990). The MGA algorithm allows MARKAL to

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1 generate a set of alternative technology pathways to achieve the modeled objectives and
2 constraints. These alternatives are constrained to be within a small cost increment of the least
3 cost pathway. The individual solutions may be of interest while the similarity or difference
4 among the alternatives provides an indication in the flexibility available in meeting future energy
5 demands.

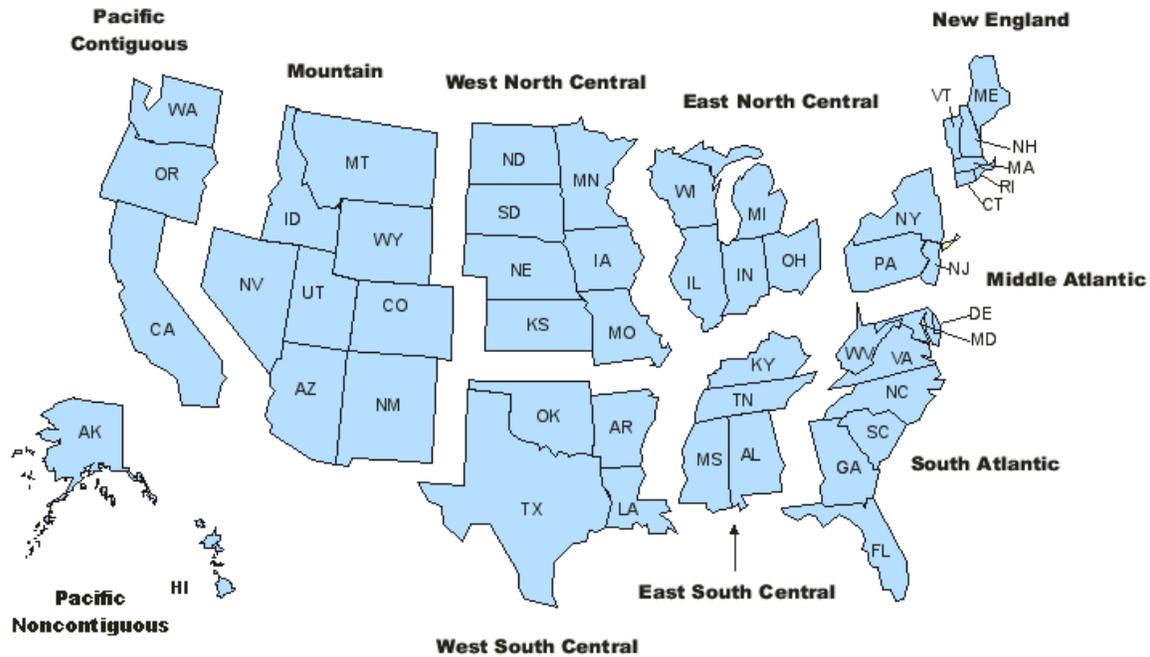
6 MARKAL also accommodates the consideration of uncertainties in future technology
7 characteristics, energy service demands, and policies. The stochastic optimization option allows
8 alternative states of the world in the future to be specified. For example, these states may differ
9 by characteristics such as oil supply, availability of advanced nuclear power, or viability of coal
10 capture and sequestration technologies. MARKAL then identifies the optimal short-term, least
11 cost technology pathway that is robust given the myriad of potential futures that were
12 represented.

13 The EPA has integrated MARKAL into a modeling framework that supports Monte Carlo
14 simulation, as well as parametric and global sensitivity analyses. This framework allows
15 sensitivities of the energy system to input assumptions and uncertainties in model outputs to be
16 examined. Results provide powerful insight into the dynamics of the energy system that are
17 difficult to examine using deterministic approaches alone. For example, a single deterministic
18 optimization run may suggest that a technology is not economically competitive and thus will not
19 penetrate the market. Global sensitivity analysis, however, can be used to identify the conditions
20 under which that technology is competitive and the technologies with which it competes.

21 To apply MARKAL to the 2012 assessment, EPA is developing a regionalized U.S. EPA
22 MARKAL database, referred to as EPA9R. The database represents the energy demands and
23 technologies in the major sectors in the U.S. energy system, including the commercial, industrial,
24 residential, transportation, and electricity generation sectors. These data are represented at a
25 regional-level, with the nine modeled regions being analogous to the nine U.S. Census Bureau
26 census divisions, shown in Figure F-7. Alaska and Hawaii are included in the Pacific region in
27 the EPA9R database.

28 The EPA9R database extends from 2000 to 2050 in 5-year increments. In the process of
29 developing a 9-region database, EPA first developed a one-region, national-scale database
30 referred to as EPANMD (U.S. EPA, 2006b). EPANMD was released to the public in 2006, and
31 several groups are now using the model. EPANMD, which has recently extended to 2050, is
32 used for the MARKAL run described in this appendix. The final 2012 Assessment Report and
33 related modeling are expected to make use of EPA9R, allowing regional energy supply and
34 demands to be considered.

1 The primary source of data for populating EPANMD has been the U.S. Department of
2 Energy's 2005 Annual Energy Outlook (AEO) report (U.S. DOE, 2003b). Versions of
3



4 **Figure F-7. Census divisions represented in the EPA9R MARKAL database.**

5 Source: Energy Information Administration, Office of Coal, Nuclear, Electric and
6 Alternat e Fuels.
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11 EPANMD have been updated to reflect AEO 2006 and are currently being updated to
12 incorporate data from AEO 2007. Data for many of the technologies not represented in the AEO
13 were derived from other widely recognized authoritative sources (e.g., the Electric Power
14 Research Institute's Technical Assessment Guide [EPRI, 2003]) while the data characterizing
15 light duty transportation options were obtained from the U.S. EPA's Office of Transportation
16 and Air Quality (U.S. DOE, 2002). Most pollutant emissions factors used within the model were
17 derived from the EPA's Air Quality and Emissions Trends Report (U.S. EPA, 2006c) and AP 42
18 listings (U.S. EPA, 2007b).

19 In 2004, EPA used an earlier version of EPANMD to produce a report that demonstrated
20 the use of MARKAL in carrying out scenario-based analyses of the transportation sector. In
21 2006, a companion piece focusing on electricity generation was completed. The 2006 analysis
22 also demonstrated how parametric and global sensitivity analysis techniques could be used to

1 identify how the model responds to changes to various inputs. This, in turn, provides useful
2 information in understanding model dynamics and in identifying the key inputs that drive outputs
3 of interest (e.g., high levels of emissions).

4 Compared to the 2004 and 2006 reports, results presented in this appendix to the 2007
5 Interim Assessment Report reflect updated technology, demand, and resource supply data.
6 Further, the electric sector has been calibrated to represent the electricity generation mix and
7 emissions control technologies through 2020 that were included in EPA's 2006 analysis of the
8 national ambient air quality standards for particulate matter. Major regulatory drivers included
9 in that analysis were CAIR and the on- and off-road diesel regulations. As with the previous
10 work, the database represents the U.S. as a single region.

11 12 **F.3. APPLICATION**

13 **F.3.1. Scenario Analysis**

14 MARKAL is a useful tool for carrying out scenario analyses of the energy system.
15 Scenarios are internally consistent depictions of how the future may unfold, given assumptions
16 about economic, social, political, and technological developments, as well as consumer
17 preferences (Schwartz, 1996). Scenarios explore plausible futures by using a model or models to
18 generate an outcome (or set of alternative outcomes) consistent with a set of motivating
19 assumptions, sometimes called a "storyline." It is important to stress that a scenario is not a
20 prediction but instead represents one realization of the wide-ranging potential futures.

21 Scenario analysis, involving the evaluation of a small number of such scenarios, aims to
22 examine how changes in model parameters (inputs) affect outputs across sets of related
23 storylines, rather than focusing on the results from a particular scenario. No attempt is made to
24 consider every possible future. These comparative analyses alternately look forward ("What-
25 if?") to examine how competing sets of input assumptions drive technology adoption and
26 emissions, and backward ("How-could?") to identify the energy technology pathways available
27 to meet some future environmental or technological goal. Scenarios, therefore, facilitate
28 assessment of the consequences of varying assumptions, the range of possible futures, and trade-
29 offs and branch points that govern choices among these futures. Results from a selected set of
30 scenarios will serve as input to the ORD 2012 Air Quality Assessment Report.

31 32 **F.3.2. Illustrative Application**

33 To demonstrate the use of MARKAL and the types of outputs that can be generated from
34 a scenario, a reference case storyline was identified and evaluated. While the storyline is called a
35 reference case, it represents only one of many possible futures. The reference case was

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1 calibrated such that sectoral energy demands and fuel use through 2020 approximate projections
2 in the U.S. Department of Energy’s 2006 Annual Energy Outlook (AEO). Electric sector
3 emissions through 2020 were constrained to approximate the EPA’s 2006 PM NAAQS analysis,
4 and thus included CAIR, the Heavy Duty Highway Diesel Rule, and the Nonroad Diesel Rule.

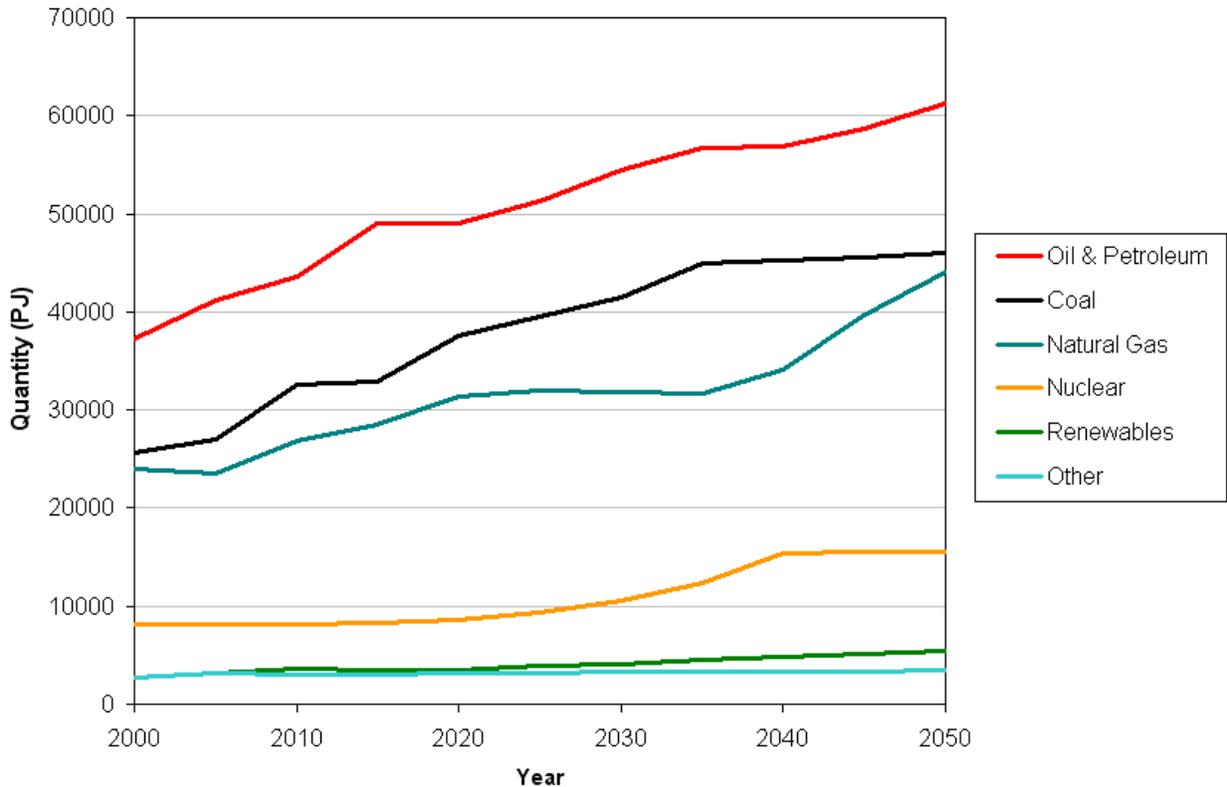
5 **F.3.3. Reference Case**

6 Outputs from MARKAL include technology penetrations for meeting various energy
7 service demands as well as the fuel use, emissions, and costs associated with individual
8 technologies, sectors, and the entire system. Results from the reference case are provided
9 graphically in Figures F-8 through F-14.

10 Figure F-8 characterizes the system-wide primary energy use. Units are in petajoules (PJ
11 =10¹⁵ J). The oil and petroleum category includes both imported crude oil and imported
12 petroleum products such as gasoline. “Other” is primarily natural gas liquids. The “renewables”
13 category includes biomass, wind, solar, hydropower, geothermal, and landfill gas combustion.

14 The model indicates increases in demand for each fuel category although coal use levels,
15 to some extent, after 2035 as new electricity demands are met by other fuels.

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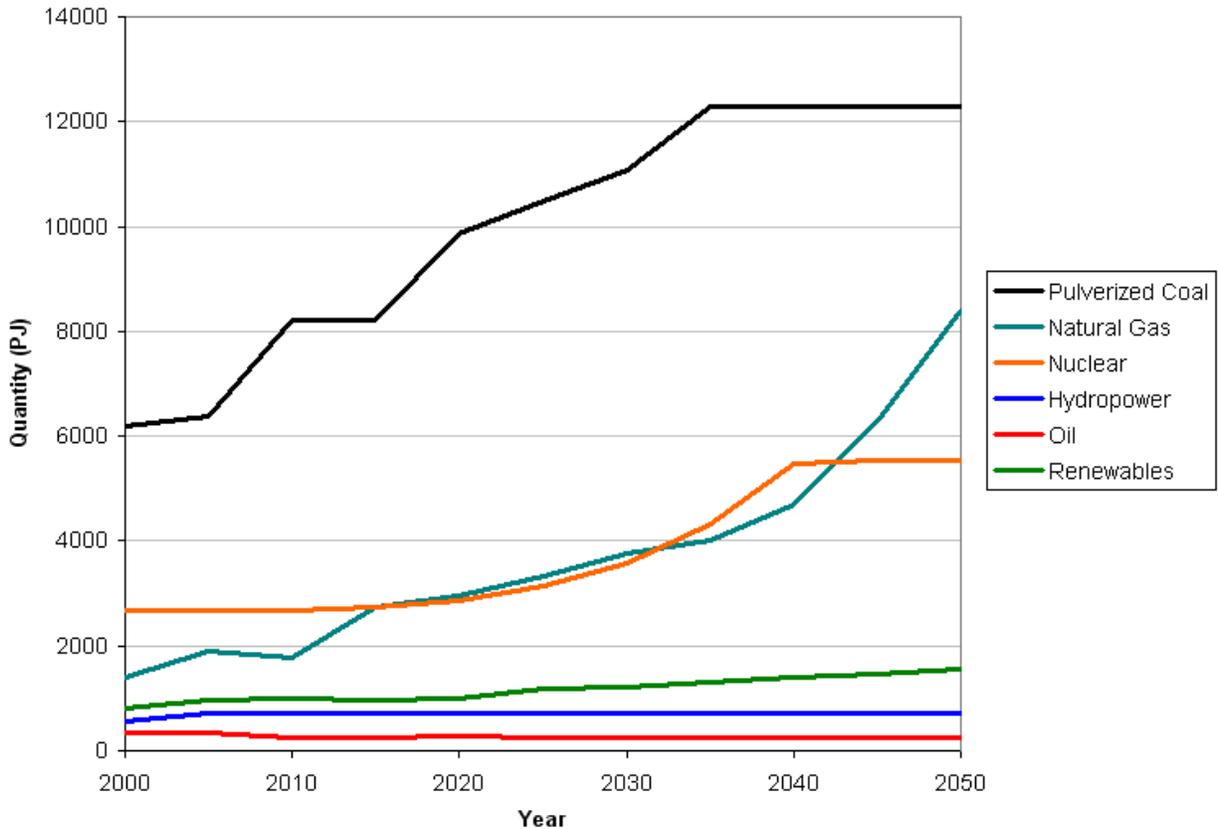


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Figure F-8. System-wide energy inputs. All values are net, accounting for exports.

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Figure F-9 depicts the amount of electricity generated via different types of fuels. Natural gas, coal, and nuclear power are the three major fuels used to meet increasing electricity demands.



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Figure F-9. Electricity generation by type of fuel. A breakdown of the renewables category is provided in Figure F-10.

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Figure F-10 provides a detailed look at the amount of electricity produced by different types of renewables. Hydropower has the largest penetration of the renewable options. Constraints on hydropower resources limit its use, however. The increase in hydropower from 2000 to 2005 is an artifact of optimization as the model attempts to make maximum use of existing resources. Wind and geothermal capacities appear to increase substantially while electricity from solar power is limited until the later years in the modeling horizon.

11

Figure F-11 shows the mix of vehicle technologies in the light-duty fleet. In this scenario, fuel price pressures lead to the adoption of vehicles with advanced internal combustion engines (ICEs) that achieve higher efficiencies than conventional and diesel ICEs. Hybrid

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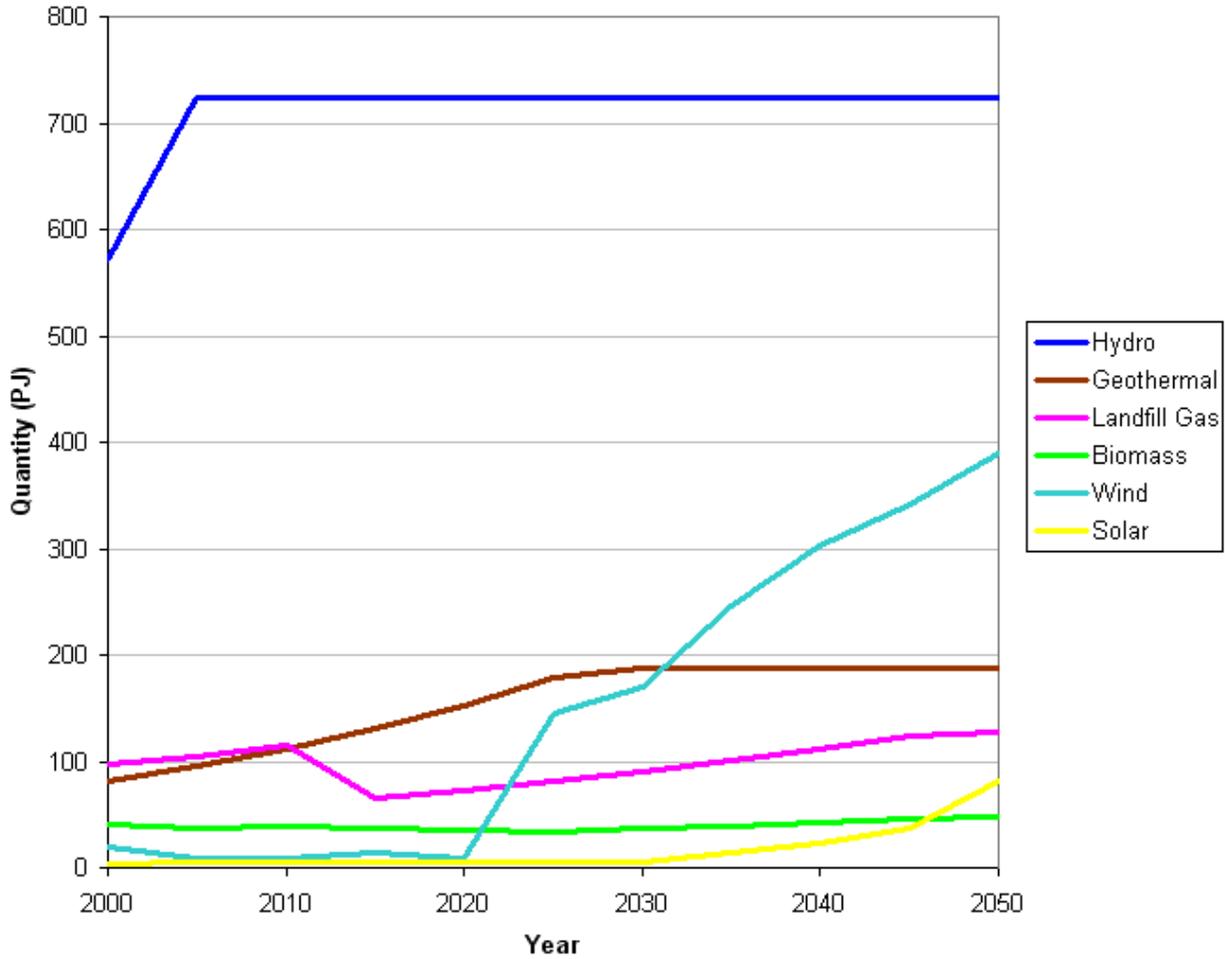
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1 gasoline-electric vehicles achieve some degree of penetration, but this does not exceed 7% over
2 the modeling period.

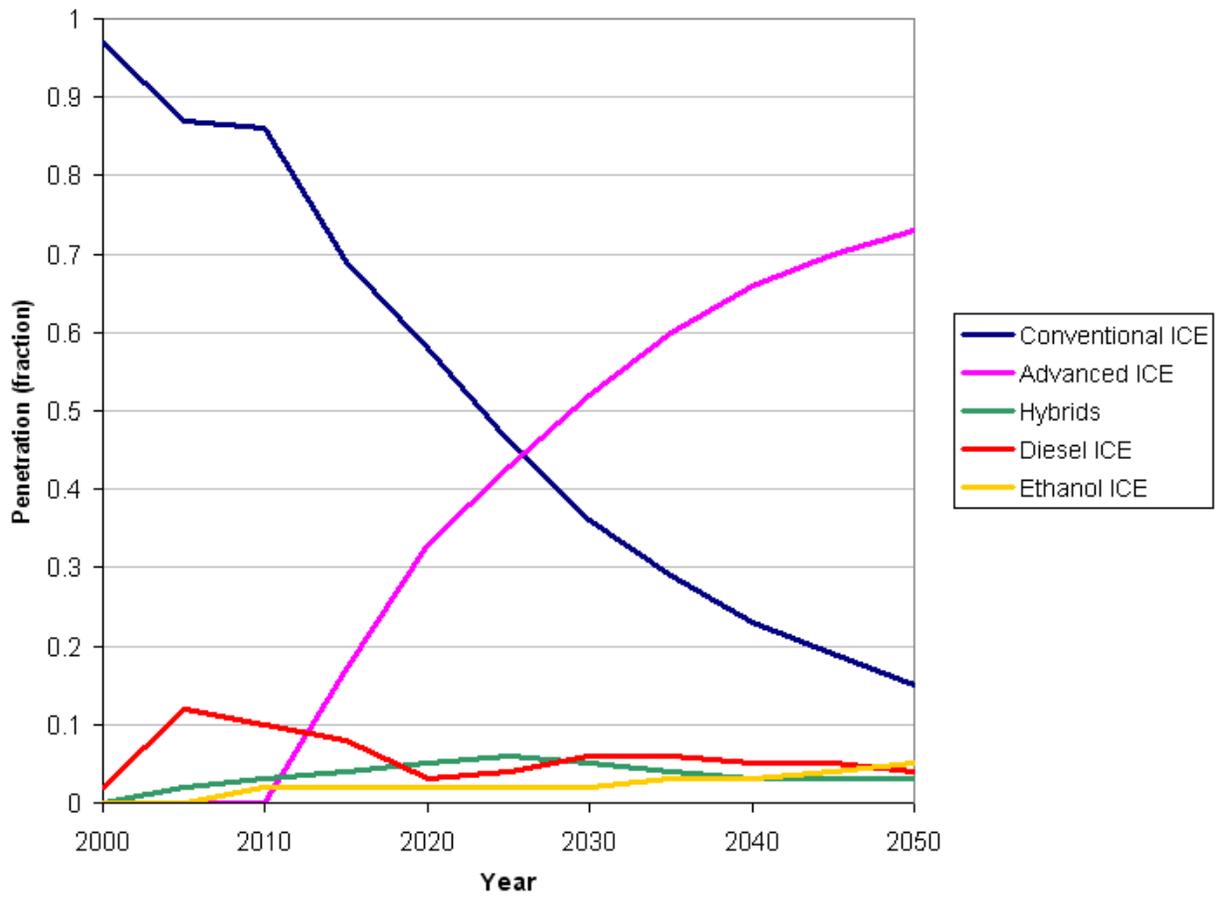
3 Figure F-12 shows the fractional change in NO_x, SO₂, and CO₂ emissions over the
4 modeling horizon, compared to 2000. System-wide, NO_x emissions decline by approximately
5 40% from 2000 through 2050. Sulfur dioxide emissions follow a less-discernable trend and are
6 slightly



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Figure F-10. Use of renewables in electricity production.

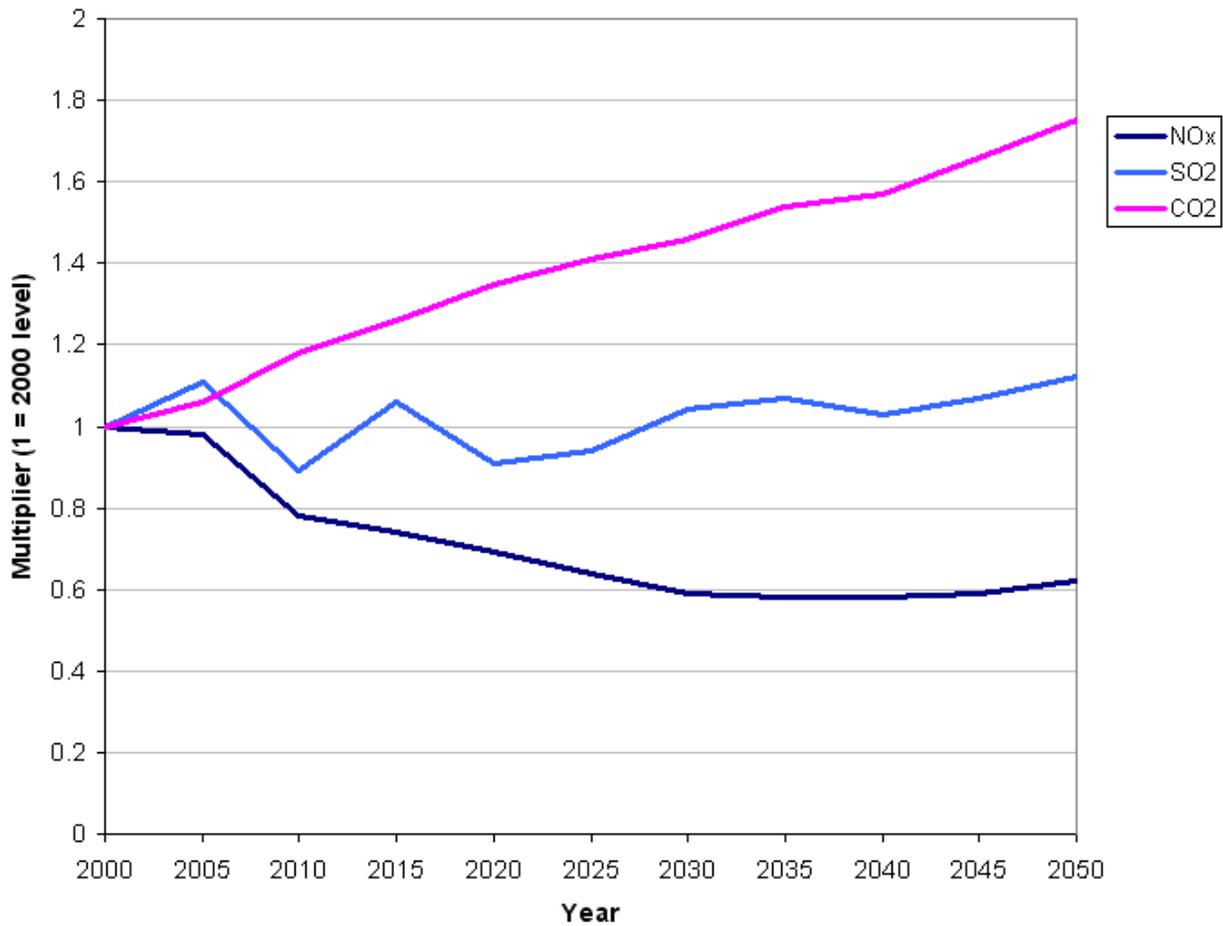
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Figure F-11. Technology penetration into the light duty vehicle fleet.

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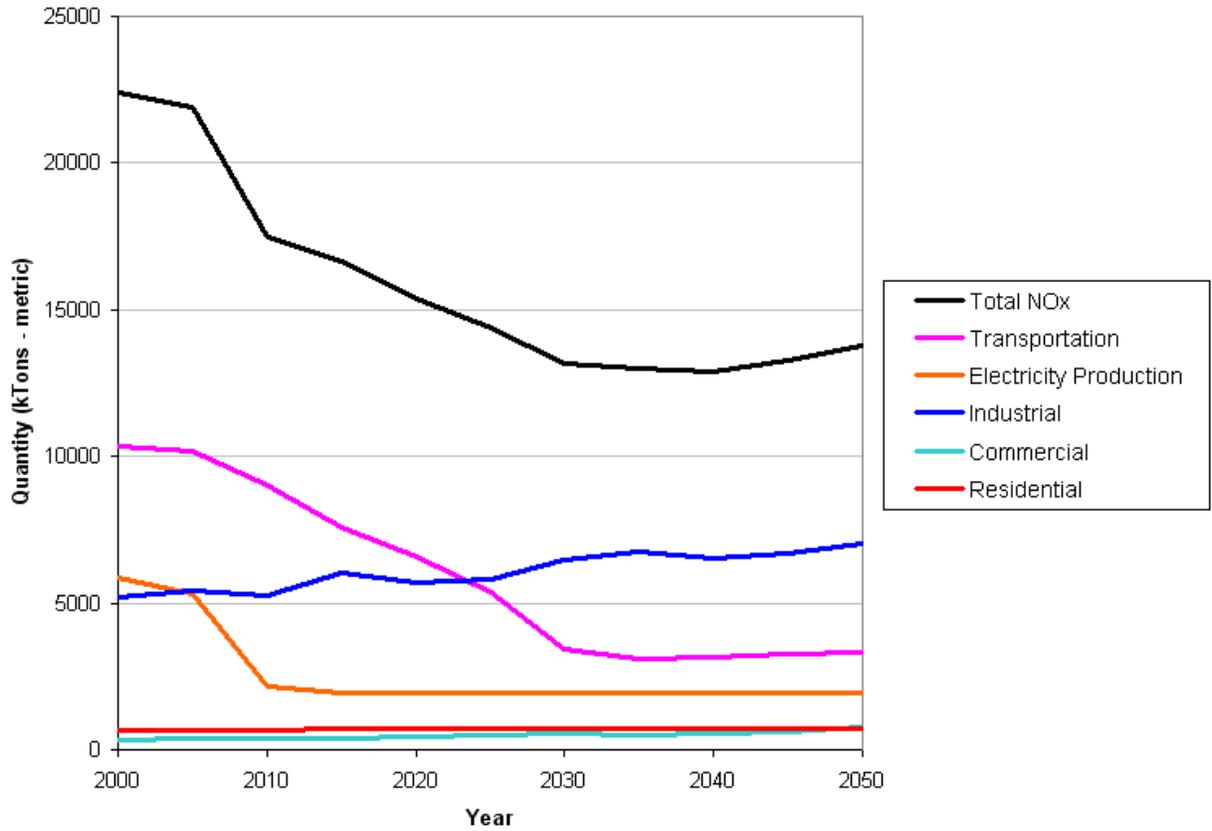
Figure F-12. Reference case scenario emissions relative to 2000.

6 higher at the end of the modeling horizon. CO₂ emissions increase steadily as energy demands
7 and the related combustion of fossil fuels increase across sectors.

8 Figure F-13 provides a more detailed look at NO_x emissions. The overall decrease in
9 NO_x is driven by large reductions in electricity production resulting from CAIR and by
10 reductions in transportation sector, much of which is attributable to the EPA's on-road and off-
11 road diesel rules.

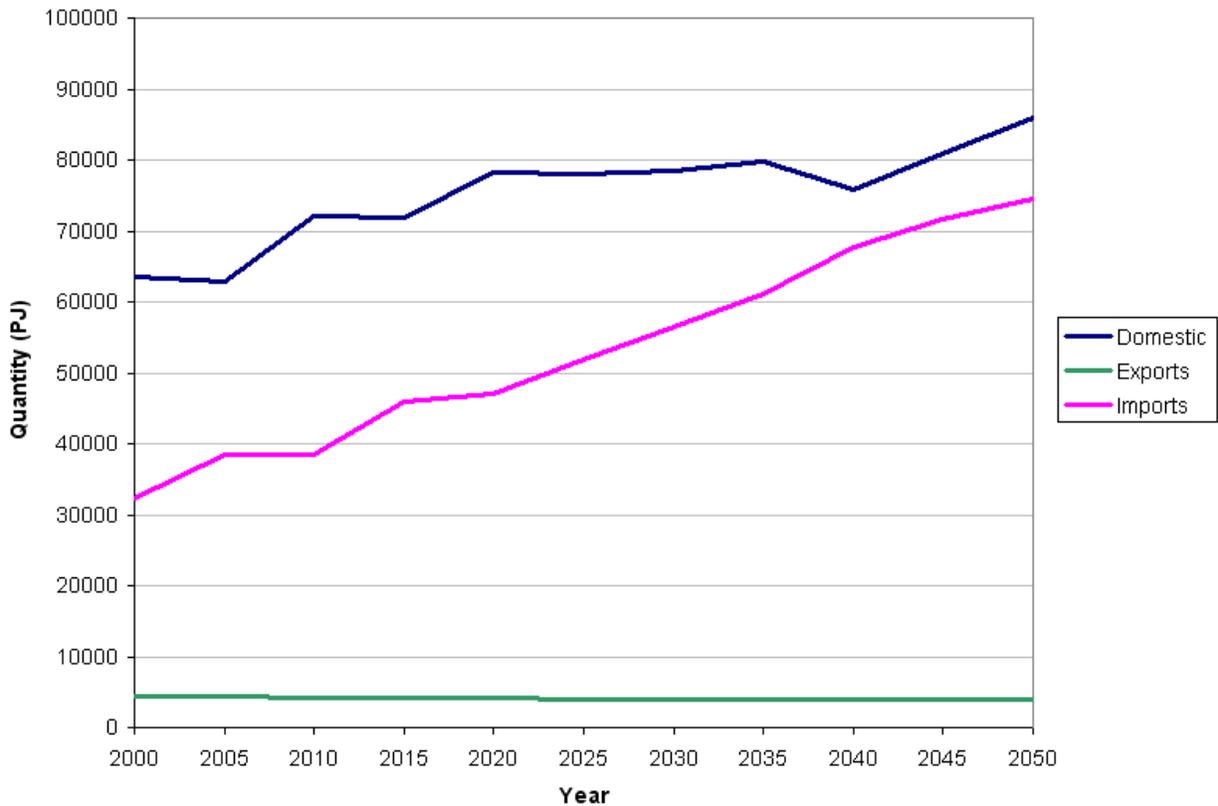
12 Figure F-14 characterizes the reference-case scenario's use of domestic and imported
13 energy. Exports are also shown. An increasing fraction of energy inputs is imported over the
14 time horizon.

1



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Figure F-13. System-wide and sectoral NOx emissions.



2
3 **Figure F-14. Domestic fossil fuel utilization, imports, and exports.**

4
5
6 **F.3.4. Discussion**

7 The results presented in this section represent one realization of the future and are highly
8 dependent on assumptions regarding future technology characteristics, the costs of obtaining
9 fuels, and other factors. Many of these factors are uncertain. One approach for incorporating
10 consideration of uncertainty is to conduct a scenario analysis where widely ranging scenarios
11 encompass a range of futures considered. The use of parametric and global sensitivity analysis
12 techniques is also important in characterizing the model's response to changes in inputs. These
13 techniques allow important model interactions to be identified, including those that may not be
14 anticipated. Scenario and sensitivity analysis will be incorporated into the 2012 Final
15 Assessment Report.

16 While MARKAL results provide insight into future energy technology pathways, they are
17 nonetheless based on a model, and all models have limitations. For example, MARKAL is a
18 mixed integer linear programming model as opposed to a nonlinear programming model. As a
19 result, objectives and constraints in the model must be represented as linear functions. Many
20 real-world characteristics of the energy system are nonlinear, such as resource supply curves, so

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1 detail is lost in a linear representation. Linearity has an advantage in modeling, however, since
2 linear and mixed integer linear programming models are typically much easier to solve than
3 nonlinear models. Another caveat is that MARKAL is an optimization model and not a
4 simulation model. Optimization models identify the least cost approach to achieve a desired
5 objective. MARKAL solutions thus represent those of a rational social planner acting to
6 minimize costs. Typically in MARKAL, this decision-maker has perfect foresight over the time
7 horizon, although MARKAL's myopic solution mode can be used to limit this foresight to each
8 model time period. In contrast, simulation models are designed to represent more complex and
9 realistic human behaviors.

11 **F.4. GENERATION OF INPUTS TO THE AIR QUALITY ASSESSMENT**

12 The SMOKE emissions processing model generates a future-year inventory by applying
13 technology- or industry-specific multiplicative factors to sources within a base-year inventory.
14 Emissions sources are classified by codes. Source Classification Codes (SCCs) are eight- and
15 10-digit codes that represent point and non-point sources emissions technologies, respectively.
16 Source Identification Codes (SICs) are four-digit codes that represent the type of industry.
17 Growth factors for SCCs or SICs are included in a growth and control file that is input into
18 SMOKE.

19 MARKAL does not produce SCC or SIC growth factors as output, and the aggregation of
20 technologies within MARKAL is different than that in the emissions inventory. Thus,
21 MARKAL outputs must be post-processed to derive emissions growth factors. Post-processing
22 to develop SCC growth factors involves the following steps:

- 23 Step 1 Emissions of NO_x, sulfur, and PM by year and technology are extracted from a
24 MARKAL output file
- 25 Step 2 A "crosswalk" that links MARKAL technologies to SCCs is used to assign
26 MARKAL emissions to SCC categories.
- 27 Step 3 For each SCC, the change in emissions between the base year (e.g., 2000) and the
28 future year (e.g., 2050) is calculated and a multiplicative factor is determined
- 29 Step 4 Emissions growth factors by pollutant are output to the growth and control factor
30 file.

31
32 This process provides emissions growth factors for NO_x, SO_x, and PM from energy
33 system technologies. The proportion of emissions of VOCs from the energy system is low.
34 Thus, emissions growth factors for these sources will be generated outside of MARKAL, and
35 likely will be linked to population or economic growth estimates.

1 Emissions growth factors can be applied within SMOKE across the entire inventory or at
2 the state or county level. The EPA9R database produces results at a census division level. Thus,
3 the emissions growth factors for a MARKAL region will be applied to all states within that
4 region.

5 Compared to the current state-of-the-art approach for projecting emissions, the
6 methodology outlined here is differentiated by

- 7 • representation of current and expected technology characteristics (e.g., cost, efficiency,
8 and emissions controls) for major energy-system source categories explicitly;
- 9 • estimation of technology change endogenously;
- 10 • portrayal of increased energy service demands, resource limitations, and current and
11 anticipated emissions and air quality policies;
- 12 • identification of cross-sector implications of changes in the demands for various fuels.

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- 17

1 **APPENDIX G**
2 **CHARACTERIZING AND COMMUNICATING UNCERTAINTY: THE NOVEMBER**
3 **2006 WORKSHOP**
4

5 **G.1. INTRODUCTION**

6 An effective scientific assessment process must explicitly address uncertainty to solidify
7 the credibility of the research effort underlying the assessment and to assure that the assessment
8 products fulfill the need of the intended users for accurate information. The U.S. EPA Global
9 Change Research Program (GCRP) Assessment of the Impacts of Global Change on Regional
10 U.S. Air Quality is, in part, a bounding exercise to determine whether or not the impacts of
11 climate and other drivers of change on air quality are significant enough that they must be folded
12 into planning and management. An analysis of the uncertainty in the assessment findings is
13 needed to determine if they are sufficient to answer to the questions originally posed.

14 However, complex, model-based environmental assessments, including climate change
15 impacts assessments, present unique challenges to characterizing and communicating scientific
16 uncertainty. Challenging elements include reliance on linked systems of detailed models at
17 multiple spatial and temporal scales, leading to the propagation of nonlinear model sensitivities
18 through the linked simulations; the presence of uncertainty about the state of our knowledge; the
19 characterization of this knowledge into a model; and the most appropriate values for the inputs
20 and empirical parameters within that model and the inherently multidisciplinary nature of the
21 problems considered, each discipline with its own norms for treating uncertainty. There is no
22 “best practice” guidance for handling uncertainty in this type of assessment.

23 EPA organized and conducted a workshop in November 2006 to solicit advice from
24 assembled experts about issues related to characterizing and communicating uncertainty in such
25 assessment in general, and the ongoing global change-air quality assessment in particular. The
26 goal was to begin identifying and developing principles and practices to apply in the current and
27 future assessments.

28 The rest of the report documents the workshop and summarizes preliminary findings that
29 emerged. Development of a comprehensive strategy for addressing uncertainty based on these
30 findings, as well as identifying and applying the formal uncertainty analysis techniques most
31 appropriate for the problem of global change impacts on air quality, are important future steps.
32

33 **G.2. WORKSHOP GOALS, PARTICIPANTS, AND STRUCTURE**

34 The “Workshop on Uncertainty in the U.S. EPA Assessment of the Impact of Global
35 Change on U.S. Air Quality” took place on November 1-2, 2006, at the Millennium Hotel in

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1 Durham, North Carolina, conducted by EPA’s National Center for Environmental Assessment
2 (NCEA). The workshop goals were to provide

- 3 • A foundation for EPA to develop a strategy to properly track, quantify, and communicate
4 uncertainty in complex, model-based assessments, particularly concerning the impacts of
5 global change and
- 6 • Specific recommendations for how EPA can best track, quantify, and communicate
7 uncertainty in its current global change-air quality assessment.

8
9 EPA invited approximately 75 experts from academia and other government agencies,
10 covering various scientific disciplines and affiliations, to attend the workshop. These disciplines
11 included

- 12 • Regional climate modeling
- 13 • Global climate modeling
- 14 • Social sciences (e.g., urban and regional economists, energy economists, transportation
15 economists)
- 16 • Technology development (energy, transportation)
- 17 • Energy projections
- 18 • Vegetation modeling
- 19 • Global scenario development
- 20 • Emissions modeling
- 21 • Regional air quality modeling
- 22 • Global chemistry modeling.

23
24 In addition, key stakeholders from the EPA Office of Air Quality Planning and Standards
25 (OAQPS) and regional air quality planning and management entities were present and actively
26 involved in the discussions. Their perspective was crucial to help frame the context of the
27 uncertainty discussions and provide a focus on the questions most relevant for policy needs.

28 The two-day workshop began with an opening plenary session during which invited
29 speakers presented background information on EPA’s GCRP, the global change-air quality
30 assessment, and discussions of general methods for evaluating uncertainty in complex model-
31 based systems. Speakers and their presentations during this plenary session were

- 32
33 • *Welcome and Opening Remarks*: Anne Grambsch, EPA ORD/NCEA

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- 1 • *Decision Making in the Face of Uncertainty*: Lydia Wegman, EPA Office of Air and
2 Radiation (OAR)/OAQPS
- 3 • *Overview of EPA’s Global Change-Air Quality Program*: Anne Grambsch, EPA
4 ORD/NCEA
- 5 • *Research Summaries by EPA Science to Achieve Results (STAR) Grantees*: Various
6 STAR Grantees
- 7 • *Modeling Ozone Sensitivities to Future Climate*: Alice Gilliland, EPA ORD/National
8 Exposure Research Laboratory (NERL)
- 9 • *Evaluating Uncertainty in Linked Climate and Air Quality Modeling*: Steve Hanna,
10 Hanna Consultants
- 11 • *Responses to National Academy of Sciences (NAS) and Office of Management and
12 Budget (OMB) Recommendations and Guidelines for Probabilistic Uncertainty
13 Assessment in OAQPS’s Regulatory Analyses*: Bryan Hubbell, EPA OAR/OAQPS.

14
15 Following the opening plenary, the participants split into three breakout groups that were
16 all given the same charge to provide EPA feedback on three topic areas: (1) tracking and
17 quantifying uncertainty in complex, model-based global change impacts assessments, (2)
18 effectively communicating uncertainty associated with these assessments, and (3) addressing
19 uncertainty specifically in EPA’s global change-air quality assessment. Discussions on these
20 topics addressed issues raised in “key discussion questions” included in the workshop handouts
21 and “framing questions” that EPA distributed to participants prior to the workshop. While the
22 three breakout groups had the same general charge, which allowed for comparisons across the
23 groups to identify areas of common ground, the focus of the discussions during the workshop
24 varied across the breakout groups. The workshop concluded with a second plenary session
25 during which the workshop participants commented on materials developed by the breakout
26 groups.

27 The workshop was not designed to seek consensus on any topic or to prioritize the
28 participants’ many suggestions. The ideas presented were viewed as a collection of ideas set
29 forth for EPA’s further consideration and were not necessarily to be viewed as formal
30 recommendations.

31
32 **G.3. PRELIMINARY FINDINGS**

33 Complex, model-based environmental assessments, particularly assessments of climate
34 and global change impacts, offer substantial challenges. The challenges in global change
35 impacts assessments include the need to simulate interconnected global-scale human and natural
36 processes through to distant time horizons, the need to minimize the computational burden of

1 these complex simulations by combining models with widely differing temporal and spatial
2 resolution, the complexities of the modeling tools required, and the multi-disciplinary nature of
3 the problems. Addressing the conceptual and linguistic differences, through dialogue at the
4 workshop, between the intellectual disciplines, and between the science and policy communities
5 involved in the assessment, is a key workshop outcome.

7 **G.3.1. General Findings**

8 A general finding of the workshop is that characterization and quantification of
9 uncertainty cannot be separated from the overall assessment process. A well-designed
10 assessment includes the following basic elements:

- 11 • A healthy, iterative, process between the scientists and the stakeholders (including
12 decision makers, policy planners, and resource managers). This process is a two-way
13 flow of information about needs and capabilities, including discussion of the level of
14 uncertainty in the assessment findings as they emerge. This dialogue is ongoing
15 throughout the assessment. In a fundamental sense, the process, not any particular
16 uncertainty analysis, is the product.
- 17 • A well-defined decision context that is informed by both the science and the stakeholder
18 imperatives. This context determines the variables and metrics upon which to focus, the
19 spatial and temporal resolutions at which they are needed, the scenarios of interest, and
20 the acceptable levels of uncertainty required (i.e., risk tolerance). Important
21 considerations in this aspect of the assessment process include differences in the criteria
22 and perspectives between stakeholders and scientists concerning the nature of reliable
23 knowledge. The discussion process must either reconcile or accommodate any such
24 differences. The type of information that is considered to be useful by the stakeholder
25 community may range from the direction of the effect, e.g., positive or negative with
26 respect to the current level, to orders of magnitude, to quantification of an effect at high
27 precision.
- 28 • A set of preliminary analyses (scoping analyses) to identify and prioritize the major and
29 minor uncertainties likely to be present when attempting to meet the needs of the
30 particular decision context. These analyses might include examinations of the existing
31 body of knowledge on the topic, elicitation of expert judgments, and sensitivity studies.
- 32 • A conceptual diagram of all components of the problem. The conceptual diagram is then
33 realized (to the extent possible) with the models that are available or that are developed
34 for the project. Comparing this realization to the original conceptual diagram yields
35 important insights into the compromises made in modeling that may yield uncertainty.

36
37 Based upon the requirements of the decision context and the findings from the
38 preliminary analyses, the extent and rigor of the uncertainty analysis needed can then be
39 determined, i.e., comprehensive and quantitative or back-of-envelope and qualitative. Resources
40 sufficient to carry out the required uncertainty analysis, which in the case of climate and air

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1 quality modeling includes sufficient computing power, must be factored into the cost of the
2 assessment.

3 **G.3.2. Findings on Technical Issues Specific to the Global Change-Air Quality Modeling** 4 **Systems**

- 5 • It is not appropriate to think of such systems as “prediction” tools. They are “*scenario*
6 *analysis*” tools, and must be used as such for decision support purposes.
- 7 • Formal, quantitative uncertainty analysis of the linked climate-air quality model system
8 that explores the whole parameter space is at this stage of technological development
9 extremely expensive and time-consuming. Efficiency in using available computational
10 resources is, therefore, paramount.
- 11 • As a subset of a full Monte Carlo analysis, an example approach to qualitative
12 uncertainty analysis, ensemble methods are likely the most appropriate for linked
13 climate-air quality modeling systems (Hanna et al., 2007).
- 14 • The role of the preliminary analyses, including tapping current scientific knowledge in
15 the literature, expert elicitation, and simplified sensitivity studies of different types, is
16 extremely important to intelligently guide more sophisticated, formal uncertainty
17 analyses to be performed if feasible (e.g., winnowing down the parameter space for
18 choosing the most relevant ensemble members).
- 19 • All analyses must include evaluating the predictive skill of model system versus
20 observations specifically for the air quality metrics of interest (as opposed to simply long-
21 term average climate variables, for example). The identified limits of the system's
22 predictive skill contribute to the uncertainty in the assessment projections.
- 23 • The temporal and spatial resolution of the analysis needs to be chosen in a manner that
24 maximizes the utility of the results to the client, e.g., a resolution that does not result in
25 uncertainties beyond the acceptable limit for the policy application. Again, these
26 quantities are identified via the iterative communication process discussed above.
- 27 • Effective coordination of research efforts across groups contributing the scientific
28 findings to the assessment is crucial, for example, in the consistency of scenarios and
29 modeling assumptions used to allow “apples to apples” comparisons.
- 30 • The role of reduced form models, simplified models, tailored policy planning tools, etc.,
31 is unclear. The workshop revealed a broad range of views with no consensus.

32 33 **G.3.3. Findings on Communication Strategies**

- 34 • Lead with what is known (i.e., more certain), then move to what is unknown (i.e., less
35 certain).
- 36 • Account for the different norms of communication between scientists (e.g., limitations,
37 caveats) and decision makers.

- 1 • Use clear, unambiguous language to express likelihood and level of confidence. For
2 example, see the Intergovernmental Panel on Climate Change (IPCC) and U.S. Climate
3 Change Science Program (CCSP) practices.
- 4 • Establish the credibility of the findings by communicating the respect of the community
5 for the participating scientists and the extent of the peer-review process.
- 6 • Take advantage of creative visualization methods.

7
8 Finally, the workshop closed with a call for future meetings to focus on the specific
9 technical issues discussed above, with narrower questions and smaller groups of participants.

10
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