



Department  
for Environment  
Food & Rural Affairs

Part IV of the Environment Act 1995 as amended by the  
Environment Act 2021

Environment (Northern Ireland) Order 2002 Part III

# Local Air Quality Management Technical Guidance (TG22)

August 2022



Scottish Government  
Riaghaltas na h-Alba  
gov.scot



Department of  
Agriculture, Environment  
and Rural Affairs  
[www.daera-ni.gov.uk](http://www.daera-ni.gov.uk)



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# Table of Contents

<b>CHAPTER 1: Introduction – Local Air Quality Management (LAQM)</b> .....	<b>9</b>
Who Should Read this Document? .....	9
What has Changed? .....	9
Structure .....	10
<b>LAQM Pollutants of Primary Interest</b> .....	<b>10</b>
NO <sub>2</sub> , PM <sub>10</sub> and SO <sub>2</sub> .....	10
PM <sub>2.5</sub> .....	11
Benzene, 1,3-Butadiene, Carbon Monoxide and Lead .....	11
<b>LAQM Systems across the United Kingdom</b> .....	<b>13</b>
Phased Approach: Northern Ireland .....	13
Streamlined Approach: England, Scotland and Wales .....	13
Overview: England LAQM.....	14
Overview: Scotland LAQM.....	16
Overview: Wales LAQM.....	17
Overview: Northern Ireland LAQM.....	17
Public Exposure.....	18
Further information .....	19
<b>CHAPTER 2: Air Quality Action Plans</b> .....	<b>21</b>
<b>Introduction</b> .....	<b>21</b>
<b>What Makes an Effective AQAP?</b> .....	<b>22</b>
1 - Develop the AQAP in Stages.....	23
2 - Undertake Appropriate Local Monitoring and Assessment (Source Apportionment) for Development Phase .....	24
3 - Decide what Level of Actions are Required .....	25
4 - Establish Links to Other Key Policy Areas / Strategies.....	26
5 - Establish a Steering Group with Key Stakeholder Groups at an Early Stage .....	26
6 - Undertake Measures Selection and Impact Assessment.....	29
7 - Agree Monitoring and Evaluation of Success .....	30
8 - Undertake Consultation .....	30
<b>PM<sub>2.5</sub> and Action Planning</b> .....	<b>31</b>
Linkages between Air Quality and Public Health .....	31
Identifying Areas for PM <sub>2.5</sub> Action .....	32
Local Action to Reduce PM <sub>2.5</sub> .....	35
<b>The Format and Content of Air Quality Action Plans</b> .....	<b>35</b>
<b>On-going Assessment of Progress – Keeping the AQAP Live</b> .....	<b>38</b>
<b>Clean Air Zones – Interaction with LAQM</b> .....	<b>38</b>
<b>Air Quality Supplementary Planning Guidance</b> .....	<b>40</b>
<b>CHAPTER 3: Annual Status Report (England) and Annual Progress Report (Scotland and Wales)</b> .....	<b>41</b>

<b>Introduction.....</b>	<b>41</b>
<b>The Format and Content of Annual Status / Progress Reports .....</b>	<b>42</b>
Executive Summary: Air Quality in Our Area .....	43
Local Air Quality Management.....	43
Actions to Improve Air Quality.....	44
Air Quality Monitoring Data and Comparison with Air Quality Objectives and National Compliance.....	45
New Local Developments .....	46
Planning Applications.....	47
Conclusions and Proposed Actions .....	47
Additional Supporting Technical Information.....	47
<b>Declaration of AQMAs Based on the ASR/APR Findings .....</b>	<b>48</b>
<b>Amendment and Revocation of AQMAs .....</b>	<b>49</b>
<b>CHAPTER 4: Progress Report – Northern Ireland .....</b>	<b>54</b>
<b>Introduction.....</b>	<b>54</b>
<b>Role of Progress Reports.....</b>	<b>54</b>
<b>When are Progress Reports Required? .....</b>	<b>54</b>
<b>The Format and Content of Progress Reports .....</b>	<b>54</b>
<b>Minimum Requirements for Progress Reports.....</b>	<b>55</b>
Introduction .....	55
New Monitoring Results .....	55
New Local Developments .....	56
Implementation of Action Plans .....	56
<b>Recommended Additional Elements .....</b>	<b>57</b>
Additional Monitoring Data.....	57
Local Air Quality Strategy .....	58
Planning Applications.....	58
Air Quality Planning Policies .....	58
Implementation of Local Transport Plans and Strategies.....	59
<b>CHAPTER 5: Updating and Screening Assessment – Northern Ireland .....</b>	<b>60</b>
<b>Introduction.....</b>	<b>60</b>
<b>Role of Updating and Screening Assessments.....</b>	<b>60</b>
<b>When are Updating and Screening Assessments Required? .....</b>	<b>60</b>
<b>The Format and Content of Updating and Screening Assessments .....</b>	<b>60</b>
<b>What Needs to be Considered Within the Updating and Screening Assessment? .....</b>	<b>64</b>
<b>Monitoring Data .....</b>	<b>65</b>
<b>Emission Source Categories to Consider.....</b>	<b>65</b>
A. Road traffic sources .....	65
B. Non-Road Transport Sources .....	66
C. Industrial Sources .....	66
D. Commercial and Domestic Sources.....	66
E. Fugitive or uncontrolled sources .....	67

<b>CHAPTER 6: Detailed Assessments - Northern Ireland .....</b>	<b>69</b>
Introduction.....	69
Role of Detailed Assessments.....	69
The Format and Content of Detailed Assessments .....	69
Monitoring.....	69
Modelling.....	70
Estimating Population Exposure.....	71
Source Specific Considerations.....	71
<b>CHAPTER 7: Technical Supporting Information.....</b>	<b>76</b>
Introduction.....	76
<b>1 – Screening Tools and Methodology .....</b>	<b>76</b>
Road Traffic Sources .....	77
Non-Road Transport Sources .....	81
Non-Road Mobile Machinery .....	84
Agricultural Sources.....	85
Industrial Sources .....	86
Commercial and Domestic Sources.....	92
Fugitive or Uncontrolled Sources.....	97
Background Pollutant Concentrations.....	100
Future Year Projections of Background and Roadside Concentrations .....	100
Exceedances and Percentiles.....	102
Fall-off in NO <sub>2</sub> Concentrations with Distance from the Road .....	103
Design Manual for Roads and Bridges Screening Model .....	104
Relationships between NO <sub>x</sub> and NO <sub>2</sub> .....	104
Relationship between the Annual Mean and 1-hour NO <sub>2</sub> Objectives.....	106
Relationship between the Annual Mean and 24-hour Mean PM <sub>10</sub> Concentrations .....	106
Source Apportionment .....	107
Calculation of the Required Reduction in Emissions for Action Plans .....	109
Estimating PM <sub>2.5</sub> from PM <sub>10</sub> Measurements.....	111
<b>2 – Air Quality Monitoring .....</b>	<b>113</b>
Air Quality Monitoring Strategy for Review and Assessment .....	113
Introduction to Monitoring .....	114
Site Classifications.....	116
Installing New Continuous Monitoring Sites.....	118
Identifying Erroneous Data .....	120
Particulate Matter Monitoring (PM <sub>10</sub> and PM <sub>2.5</sub> ) .....	121
NO <sub>x</sub> and NO <sub>2</sub> Monitoring.....	127
Carbon Monoxide Monitoring.....	148
Lead Monitoring.....	150
Benzene and 1,3-Butadiene Monitoring.....	151
‘Low Cost Sensors’ .....	152
<b>3 – Estimating Emissions.....</b>	<b>153</b>

Introduction .....	153
Road Transport.....	153
Point Sources .....	161
Other Stationary Sources.....	173
Mitigation Options for Stationary Sources.....	175
Other Sources.....	176
Appendix A: Worked Examples .....	177
Appendix B: Sources of Emissions Factors .....	183
Appendix C: NAEI Data .....	184
<b>4 – Dispersion Modelling of Emissions.....</b>	<b>185</b>
Introduction .....	185
Modelling Road Traffic Sources.....	186
Modelling Point Sources .....	198
Fugitive and Other Sources .....	209
Model Validation, Verification, Adjustment and Uncertainty.....	210
Damage Costs.....	224
<b>Glossary .....</b>	<b>225</b>
<b>Annex A. LAQM Action Toolbox.....</b>	<b>230</b>
<b>Annex B. Stack Screening Method Selection Tool.....</b>	<b>247</b>

## Tables

Table 1-1 – UK Air Quality Objectives - LAQM .....	12
Table 1-2 – Phased Approach - Cycle of Reporting for Northern Ireland.....	13
Table 7-1 – Screening Assessment of Road Traffic Sources.....	79
Table 7-2 – Rail Lines with a Heavy Traffic of Diesel Passenger Trains.....	83
Table 7-3 – Screening Assessment of Industrial Sources.....	91
Table 7-4 – Screening Assessment of Domestic Sources .....	93
Table 7-5 – Screening Assessment of Fugitive or Uncontrolled Sources .....	99
Table 7-6 – Equivalent Percentiles to the Air Quality Objectives .....	103
Table 7-7 – LAQM Site Type Classifications.....	117
Table 7-8 – Air Quality Monitoring Site Classification Used on UK-Air Website for Comparison with LAQM Classifications .....	118
Table 7-9 – Permitted Part A Installations.....	165
Table 7-10 – Permitted Part A2 and Part B Installations.....	166
Table 7-11 – Emission Factors for Diesel Combustion in Manufacturing Industry .....	178
Table 7-12 – Annual Emissions from Diesel Combustion in Manufacturing Industry (kg/yr).....	178
Table 7-13 – Annual Emissions from Diesel Combustion in Manufacturing Industry (kg/yr).....	180
Table 7-14 – Coal Sales Data (as received from Fuel Suppliers) .....	181
Table 7-15 – Coal Sales Data re-apportioned by Kilometre Grid Square.....	182
Table 7-16 – Emissions Factors for Domestic Coal (kg of Pollutant per Tonne of Fuel) .....	182
Table 7-17 – Calculated Emissions from Domestic Coal .....	182

Table 7-18 – Actual Emission Rates and Target Emissions Rates .....	183
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## Boxes

Box 1-1 – Examples of Where the Air Quality Objectives Should Apply .....	19
Box 1-2 – LAQM Support Helpdesk for Local Authorities .....	20
Box 2-1 – National Body Contact Details .....	28
Box 3-1 – Case Study: New Exposure and AQMA Declaration .....	49
Box 3-2 – AQMA Process Diagram.....	52
Box 5-1 – Summary of Emission Sources and Relevant Pollutants to be considered as part of the Updating and Screening Assessment .....	62
Box 5-2 – Updating and Screening Assessment Checklist - Comparison of Monitoring Data against the Air Quality Objectives.....	63
Box 6-1 – Source Specific Considerations for Detailed Assessments .....	72
Box 7-1 – Calculation of Effective Stack Height.....	88
Box 7-2 – Poultry Farms: Screening Methodology and Example Calculation .....	89
Box 7-3 – Combined Biomass Combustion Installations: Example of Calculation for Screening Assessment .....	96
Box 7-4 – Projecting Measured Annual Mean Roadside PM <sub>10</sub> Concentrations to Future Years.....	101
Box 7-5 – Example: Source Apportionment for NO <sub>2</sub> .....	108
Box 7-6 – Example: Calculated Reduction in Road NO <sub>x</sub> Emissions.....	110
Box 7-7 – Example: Estimating PM <sub>2.5</sub> Concentrations from PM <sub>10</sub> Monitoring.....	112
Box 7-8 – Basic Considerations Before Proceeding with Air Quality Monitoring .....	114
Box 7-9 – Example: Annualising Continuous Monitoring Data .....	127
Box 7-10 – Example: Annualising NO <sub>2</sub> Diffusion Tube Monitoring Data .....	137
Box 7-11 – Processing Short-Term NO <sub>2</sub> Diffusion Tube Monitoring Data.....	138
Box 7-12 – Example: Processing Short-Term NO <sub>2</sub> Diffusion Tube Monitoring Data.....	139
Box 7-13 – Choice of NO <sub>2</sub> Bias Adjustment Factor .....	142
Box 7-14 – Bias Adjustment When the Supplier and/or Preparation has Changed within a Calendar Year.....	144
Box 7-15 – Diffusion Tube Chemistry and Adjustment.....	145
Box 7-16 – Approaches to Adding Industrial Installation Contributions to Background Concentrations.....	207
Box 7-17 – Initial Comparison of Modelled and Monitored Total NO <sub>2</sub> Concentrations .....	215
Box 7-18 – Comparison of Road-NO <sub>x</sub> Contributions Followed by Adjustment .....	216
Box 7-19 – Worked Example of Verification.....	217
Box 7-20 – Importance of an Approach to Verifying Modelled NO <sub>2</sub> Concentrations from Road Traffic .....	221
Box 7-21 – Methods and Formulae for Description of Model Uncertainty .....	222

## Figures

Figure 7.1 – Local Bias Adjustment Factor Tool within DTDPT .....	140
Figure 7.2 – National Bias Adjustment Factor Spreadsheet.....	143
Figure 7.3 – Collecting Emissions Data: Road Transport Sources .....	154
Figure 7.4 – Example of Diurnal Traffic Flow Profiles .....	158

Figure 7.5 – Example of Diurnal Speed Profiles .....	159
Figure 7.6 – Collecting Emissions Data: Point Sources .....	162
Figure 7.7 – Difference in Contours based on Modelling using a 200m (upper) and 50m (lower) Receptor Grid Resolution .....	203

# CHAPTER 1: Introduction – Local Air Quality Management (LAQM)

- 1.1 This technical guidance (LAQM.TG22)<sup>1</sup> supersedes all previous versions, the most recent being the April 2021 release of LAQM.TG16. It is designed to support local authorities in carrying out their duties under the Environment Act 1995 as amended by the Environment Act 2021, the Environment (Northern Ireland) Order 2002, and subsequent regulations. LAQM is the statutory process by which local authorities monitor, assess and take action to improve local air quality. Where a local authority identifies areas of non-compliance with the air quality objectives set out in Table 1-1, and there is relevant public exposure, there remains a statutory need to declare the geographic extent<sup>2</sup> of non-compliance as an Air Quality Management Area (AQMA) and to draw up an action plan detailing remedial measures to address the problem. A general introduction to the system is provided in the Policy Guidance documents<sup>3</sup>.

## Who Should Read this Document?

- 1.2 The primary users will be technical officers within local authorities charged with air quality duties under the regulations cited above in England, Scotland, Wales and Northern Ireland. Secondary users will include transport, planning and policy officials. London has its own system of LAQM and local authorities in Greater London should refer to separate guidance prepared by the Mayor of London, which may refer to this document.

## What has Changed?

- 1.3 The driving change behind the new version of the Technical Guidance is to correspond to updates in the latest version of the LAQM Policy Guidance for England.
- 1.4 This version of the Technical Guidance is also the first version since the enactment of the measures in the Environment Act 2021<sup>4</sup> (the Act) which amend the Environment Act 1995 to strengthen the Local Air Quality Management framework in England to enable greater local action on air pollution. In summary the major updates are:
- Requirement for the Secretary of State to publish a national Air Quality Strategy as well as an annual report on how central Government has supported local authorities' air quality obligations.
  - Strengthened criteria for Air Quality Action Plans. Action Plans prepared in response to an exceedance or likely exceedance must now be prepared for the purpose of securing achievement of air quality standards and objectives and must set out how the local authority will exercise its

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<sup>1</sup> LAQM.TG22 refers to LAQM Technical Guidance 2022

<sup>2</sup> Authorities should declare the area of exceedance as a minimum but can declare an area that is wider if they wish

<sup>3</sup> Separate Policy Guidance exists for England, Scotland, Northern Ireland, Wales and London

<sup>4</sup> <https://www.legislation.gov.uk/ukpga/2021/30/contents/enacted>

functions in order to do so.

- Upper tier authorities, neighbouring local authorities, the Environment Agency and designated “Relevant Public Authorities” are now required, where locally relevant, to commit to action they will take to assist in securing required air quality improvements and to commit to dates by when measures will be implemented.
- The Act also makes it simpler and easier for local authorities to enforce smoke control areas.

- 1.5 The Act specifies that the Secretary of State must set a target in respect of the annual mean level of PM<sub>2.5</sub> in ambient air and at least one other long-term air quality target which Defra proposes is a target to reduce population exposure to PM<sub>2.5</sub>.
- 1.6 Authorities will continue to appraise air quality, with the main emphasis on those pollutants shown to be challenging in respect of compliance – Nitrogen Dioxide (NO<sub>2</sub>), Particulate Matter (PM<sub>10</sub>) and (except in Wales) Sulphur Dioxide (SO<sub>2</sub>). Local authorities are also required to work towards reducing PM<sub>2.5</sub>. In Scotland, PM<sub>2.5</sub> already has a statutory objective defined which needs to be worked towards.
- 1.7 Northern Ireland has still to consider changes to LAQM and continues to work according to the previous regime.
- 1.8 While the main changes within this version of the technical guidance are in relation to new English Policy Guidance, the Welsh and Scottish Devolved Administrations have provided inputs and included updates throughout, where relevant.
- 1.9 This version of the Technical Guidance includes findings from updated studies on the relationship between annual and hourly NO<sub>2</sub> and the relationship between PM<sub>10</sub> and PM<sub>2.5</sub> to allow for Local Authorities to make screening assumptions around these elements of reporting.

## Structure

- 1.10 The structure of this technical guidance allows for updates to be applied on an on-going basis and is ordered in such a way that ensures the focus is on measures and public reporting.
- 1.11 This Technical Guidance supports the government’s continued commitment to evidence-based action planning for the benefit of public health and wellbeing. To aid local authorities in this, existing air quality tools and measures have been updated where necessary, outdated technical or policy guidance has been removed, and new products and supporting material have been added to help local authorities assess the impact of measures.

## LAQM Pollutants of Primary Interest

### NO<sub>2</sub>, PM<sub>10</sub> and SO<sub>2</sub>

- 1.12 At the core of LAQM delivery are three pollutant objectives; these are: Nitrogen

Dioxide (NO<sub>2</sub>), Particulate Matter (PM<sub>10</sub>) and Sulphur Dioxide (SO<sub>2</sub>)<sup>5</sup>. All current Air Quality Management Areas (AQMAs) across the UK are declared for one or more of these pollutants, with NO<sub>2</sub> accounting for the majority. It is a statutory requirement for local authorities to regularly review and assess air quality in their area and take action to improve air quality when objectives set out in regulation are not met.

## **PM<sub>2.5</sub>**

- 1.13 The Environment Act 2021 established a legally binding duty on Government to set an annual mean target on the level of fine particulate matter (PM<sub>2.5</sub>), in addition to a longer-term target, by 31st October 2022 for England. These new targets are therefore not included in this document.
- 1.14 Whilst the responsibility for meeting the PM<sub>2.5</sub> targets sits with national government; local authorities have a role to play in delivering reductions in PM<sub>2.5</sub>.
- 1.15 Local authorities in England will need to work towards reducing PM<sub>2.5</sub> in their area. Action to tackle PM<sub>10</sub>/NO<sub>x</sub> can be expected to contribute towards this. Chapter 8 of LAQM.PG22 provides more examples on the interpretation of this role. In Scotland, local authorities have a statutory obligation to achieve the 10µg/m<sup>3</sup> annual mean objective for PM<sub>2.5</sub>. In Wales, monitoring and reporting of PM<sub>2.5</sub> is encouraged but not mandatory, and annual progress reports should state what policies, if any, Welsh local authorities have in place to reduce overall levels of NO<sub>2</sub>, particulate matter and environmental noise pollution for the population as a whole.
- 1.16 This guidance therefore provides support to local authorities with regards to some of the approaches available for considering PM<sub>2.5</sub> within the LAQM system. For Scotland, this should be aligned to the methods currently employed for the Review and Assessment of other pollutants for which there are statutory objectives, i.e. apply a combination of monitoring and predictive modelling based methods.
- 1.17 This technical guidance does not prescribe what the local authority approach should be; it is for the local authority in consultation with its public health officials to consider how it wishes to define this role and what approach to take, based upon the local circumstances and public health priorities. This flexibility of approach is intended to allow authorities to steer towards focussing upon clear actions with attainable targets to tackle PM<sub>2.5</sub> alongside other air pollutants. Further details are provided in Chapter 2.

## **Benzene, 1,3-Butadiene, Carbon Monoxide and Lead**

- 1.18 Reflecting feedback under the LAQM review process, the UK and Welsh Governments have decided to retain Benzene, 1,3-Butadiene, Carbon Monoxide and Lead in regulations for England and Wales. However, in recognition of the fact that all of the objectives for these pollutants have been met for several years and are well below objective values, local authorities in England and Wales do not have to report on these pollutants (or SO<sub>2</sub>, in the case of Wales) unless local circumstances indicate otherwise. These pollutants remain a statutory reporting requirement in Scotland and Northern Ireland.

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<sup>5</sup> <https://uk-air.defra.gov.uk/air-pollution/uk-eu-limits>

**Table 1-1 – UK Air Quality Objectives - LAQM**

Pollutant	Objective	Averaging Period	Obligation
Nitrogen dioxide (NO <sub>2</sub> )	200µg/m <sup>3</sup> not to be exceeded more than 18 times a year	1-hour mean	All local authorities
Nitrogen dioxide (NO <sub>2</sub> )	40µg/m <sup>3</sup>	Annual mean	All local authorities
Particulate Matter (PM <sub>10</sub> )	50µg/m <sup>3</sup> not to be exceeded more than 35 times a year	24-hour mean	All local authorities
Particulate Matter (PM <sub>10</sub> )	50µg/m <sup>3</sup> not to be exceeded more than 7 times a year	24-hour mean	Scotland only
Particulate Matter (PM <sub>10</sub> )	40µg/m <sup>3</sup>	Annual mean	All local authorities
Particulate Matter (PM <sub>10</sub> )	18µg/m <sup>3</sup>	Annual mean	Scotland only
Particulate Matter (PM <sub>2.5</sub> )	Work towards reducing fine particulate matter (PM <sub>2.5</sub> )	Annual mean	England only (encouraged in Wales)
Particulate Matter (PM <sub>2.5</sub> )	10µg/m <sup>3</sup>	Annual mean	Scotland only
Sulphur dioxide (SO <sub>2</sub> )	266µg/m <sup>3</sup> not to be exceeded more than 35 times a year	15-minute mean	All local authorities
Sulphur dioxide (SO <sub>2</sub> )	350µg/m <sup>3</sup> not to be exceeded more than 24 times a year	1-hour mean	All local authorities
Sulphur dioxide (SO <sub>2</sub> )	125µg/m <sup>3</sup> not to be exceeded more than 3 times a year	24-hour mean	All local authorities
Benzene (C <sub>6</sub> H <sub>6</sub> )	16.25µg/m <sup>3</sup>	Running annual mean	All local authorities
Benzene (C <sub>6</sub> H <sub>6</sub> )	5µg/m <sup>3</sup>	Annual mean	England and Wales only
Benzene (C <sub>6</sub> H <sub>6</sub> )	3.25µg/m <sup>3</sup>	Running annual mean	Scotland and Northern Ireland only
1,3-Butadiene (C <sub>4</sub> H <sub>6</sub> )	2.25µg/m <sup>3</sup>	Running annual mean	All local authorities
Carbon Monoxide (CO)	10mg/m <sup>3</sup>	Maximum daily running 8-hour mean	England, Wales and Northern Ireland only
Carbon Monoxide (CO)	10mg/m <sup>3</sup>	Running 8-hour mean	Scotland only
Lead (Pb)	0.25µg/m <sup>3</sup>	Annual mean	All local authorities

1.19 Under the LAQM regime and for the purpose of LAQM reporting, concentrations should be reported to 1 decimal place. This therefore means that, for NO<sub>2</sub>, 39.9µg/m<sup>3</sup> is not considered an exceedance but 40.1µg/m<sup>3</sup> is considered an exceedance and local authorities should take appropriate action. While not relevant for LAQM reporting, it should be noted that this differs from the approach taken in the Air Quality Standards Regulations 2010 which is used for national compliance reporting and in assessment of Local Clean Air Plans that a local authority has developed through engagement with the UK Plan for tackling

roadside nitrogen dioxide concentrations<sup>6</sup>. The IPR guidance<sup>7</sup> underpinning national compliance reporting stipulates that compliance should be assessed using data of ‘the same numeric accuracy’ as the limit value. Therefore a value of 40.4µg/m<sup>3</sup> is rounded down to 40µg/m<sup>3</sup> and would not be considered to be exceeding for national compliance reporting and Clean Air Plans, but would be for LAQM.

## LAQM Systems across the United Kingdom

- 1.20 Currently, different Review and Assessment methodologies exist across the UK. It is important for those using LAQM.TG22 to refer to the section relevant to their country.

### Phased Approach: Northern Ireland

- 1.21 The LAQM system is still to be reviewed in Northern Ireland. Until then, the previous system based on phased reporting remains. Round 8 of this process started in 2021. This is summarised in Table 1-2.

**Table 1-2 – Phased Approach - Cycle of Reporting for Northern Ireland**

Year	Updating and Screening Assessments	Progress Reports	Detailed Assessments
Round 8 – Completion Dates			
2021	30 <sup>th</sup> June 2021		Whenever necessary
2022		30 June 2022	Whenever necessary
2023		30 June 2023	Whenever necessary
Round 9 – Completion Dates			
2024	30 <sup>th</sup> June 2024		Whenever necessary
2025		30 June 2025	Whenever necessary
2026		30 June 2026	Whenever necessary
Round 10 – Completion Dates			
2027	30 <sup>th</sup> June 2027		Whenever necessary
2028		30 June 2028	Whenever necessary
2029		30 June 2029	Whenever necessary
Round 11 – Completion Dates			
2030	30 <sup>th</sup> June 2030		Whenever necessary
2031		30 June 2031	Whenever necessary
2032		30 June 2032	Whenever necessary

### Streamlined Approach: England, Scotland and Wales

- 1.22 England (including London), Scotland and Wales have adopted a streamlined

<sup>6</sup> <https://www.gov.uk/government/publications/air-quality-plan-for-nitrogen-dioxide-no2-in-uk-2017>

<sup>7</sup> [https://www.eionet.europa.eu/aqportal/doc/IPR%20guidance\\_2.0.1\\_final.pdf](https://www.eionet.europa.eu/aqportal/doc/IPR%20guidance_2.0.1_final.pdf)

approach in order to review and assess air quality, with all three jurisdictions utilising the submission of a single ASR/APR in place of the phased approach previously used. Each region has its own template and requirements specific to individual LAQM regime needs. Air quality in The Capital is devolved to the Mayor of London, who has a supervisory role, with powers to intervene and direct local authorities in Greater London under Part IV of the Environment Act 1995 as amended by the Environment Act 2021. In support of these devolved powers, the Mayor has established a London LAQM system for the effective and coordinated discharge of their respective responsibilities under Part IV of the Act.

- 1.23 The Secretary of State expects local authorities in Greater London to participate in the Mayor of London's LAQM system and to have regard to any advice or guidance issued by the Mayor as to the performance of their LAQM functions.

## **Overview: England LAQM**

### ***Reporting:***

- 1.24 Submission of a single Annual Status Report (ASR) is required. Action Plans remain as separate.
- 1.25 The ASR includes a public-facing summary, which local authorities are mandated to complete. An accompanying Excel ASR data table should also be included in the ASR submission in line with the spreadsheet template available on the LAQM website.
- 1.26 Local authorities must also submit their diffusion tube data via the Diffusion Tube Data Entry System (DTDES) prior to submitting their ASR to the LAQM Portal<sup>8</sup>.
- 1.27 It is recommended that the ASR is reviewed and approved by a Director of Public Health prior to submission on the LAQM Portal.
- 1.28 Local authorities are required to submit the ASR by 30<sup>th</sup> June each year. Reports should be uploaded onto the LAQM Portal<sup>8</sup>.
- 1.29 Should a local authority fail to produce their draft ASR by the end of the calendar year (6 months past ASR deadline) and in the absence of engagement with the LAQM Helpdesk, the local authority may be issued with a ministerial direction under section 85 (3) of the Environment Act 1995.
- 1.30 A reminder and warning process is in place to ensure local authorities in England deliver their ASRs on time and in line with the LAQM guidance. Details of when enforcement letters are to be sent out can be found within LAQM.PG22.
- 1.31 Local authorities are expected to make the ASR available on their website at the earliest opportunity to help promote air quality locally.
- 1.32 The ASR replaces all other reports which previously had to be submitted as part of previous iterations of the LAQM system including Review and Assessment and Action Plan Progress Reports, Updating and Screening Assessments (USAs) and Detailed Assessments.
- 1.33 Compliance with ASR and AQAP submission requirements, as specified in

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<sup>8</sup> <https://laqm.defra.gov.uk/review-and-assessment/LAQMPortal.html>

LAQM.PG22, are normally required for Air Quality Grant applications to be considered in England.

### ***Pollutant Focus:***

- 1.34 Statutory reporting of NO<sub>2</sub>, PM<sub>10</sub> and SO<sub>2</sub>. Authorities in England are not required to report on Benzene, 1,3-Butadiene, Carbon Monoxide and Lead, unless there is a local issue that needs to be addressed.
- 1.35 Local authorities in England have a role to work towards reducing emissions and concentrations of PM<sub>2.5</sub>, which is a very important area of focus due to the well-documented health impacts.
- 1.36 Local authorities should define in the ASR how they are working towards reducing levels of PM<sub>2.5</sub>, with a clear explanation as to the reasoning. Guidance is provided on measures known to be especially effective in reducing PM<sub>2.5</sub>, including how local authorities can make best use of national monitoring and modelling. Reference should also be made to the Public Health England document on estimating local mortality burdens associated with particulate air pollution<sup>9</sup>.

### ***Air Quality Management Areas (AQMAs):***

- 1.37 The ASR is designed to allow sufficient understanding in the analysis of pollutant occurrence to support the identification of new non-compliant areas (i.e. 'hot spots') and to report on progress within existing AQMAs. Whilst use of the template is mandatory, this approach does not preclude the flexibility to provide detailed or extra analysis where this has taken place. For instance, appendices may be adjoined to the ASR, e.g. detailing any screening assessments or dispersion modelling studies.
- 1.38 From 2023, following revocation of all AQMAs in a local authority area, local authorities in England should put in place a local air quality strategy to ensure air quality remains a high profile issue and to ensure it is able to respond quickly should there be any deterioration in condition. Further, local authorities in England who have not had to designate AQMAs and produce AQAPs will, from 2023, be required to draw up a local Air Quality Strategy.

### ***Declaring an AQMA***

- 1.39 Once an exceedance or risk of exceedance has been identified, from 2023, declaration of an AQMA must be made within 12 months in England.
- 1.40 Detailed Assessment (which often takes at least 12 months to complete) should not be necessary in the majority of cases when declaring a new AQMA.
- 1.41 Where annual monitoring and local intelligence shows a persistent exceedance, the local authority is encouraged to move immediately to declaring and establishing an AQMA and hence to the development of action plan measures to remediate the problem. It is suggested that only local authorities who, until now, have had few air quality problems, or have sufficient doubts, should consider the

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<sup>9</sup> <https://www.gov.uk/government/publications/estimating-local-mortality-burdens-associated-with-particulate-air-pollution>

necessity of obtaining further information/data, with the process briefly set out in the ASR.

- 1.42 Revocation of existing AQMAs should only be considered after full further assessment.

### **Smoke Control Areas**

- 1.43 The Environment Act 2021 amends Part III of the Clean Air Act 1993 (CAA) and Part III of the Environmental Protection Act 1990 (EPA). The changes in England are as follows:

- Local authorities in England can issue financial penalties to those emitting smoke from their chimney in a smoke control area (SCA), as the criminal offence has been replaced with a civil penalty regime and the statutory defences have been removed.
- The system of statutory nuisance under the Environmental Protection Act 1990 has been extended to private dwellings in smoke control areas, so local authorities in England are able to issue an abatement notice where smoke from chimneys causes a nuisance.
- Retailers of solid fuels are now under a duty to notify customers of the law regarding the purchase of certain solid fuels for use in SCAs in England. The limit on the fine for the current offence of delivering these fuels to a building in an SCA has also been removed, so fine levels will be imposed at the discretion of the Court.
- Local authorities in England are now able to bring moored inland waterway vessels such as canal boats into scope of SCAs such that chimney smoke from boats could be liable to a financial penalty, subject to local public consultation.

- 1.44 A map showing all Smoke Control Areas in England is available on UK-Air here: <https://uk-air.defra.gov.uk/data/sca/>. Please note, the data on this map is indicative only.

- 1.45 If you wish to inform Defra of any changes to the Smoke Control Area boundaries in your English authority, please email [sca@ricardo.com](mailto:sca@ricardo.com). If possible, please include either a GIS file or link to a web map service.

### **Overview: Scotland LAQM**

#### **Reporting:**

- 1.46 Submission of a single Annual Progress Report (APR).
- 1.47 This report (in the format of a template) replaces all other reports which previously had to be submitted as part of the LAQM system including Review and Assessment and Action Plan Progress Reports, Updating and Screening Assessments (USAs) and Detailed Assessments. Action Plans remain as separate.
- 1.48 There is no longer a requirement to undertake a Detailed Assessment to confirm the need for new AQMA declaration if existing information is considered sufficient justification. This should be discussed on a case by case basis with the Scottish Government. Local authorities are required to submit the APR by 30 June each year. Reports should be uploaded onto the LAQM Portal<sup>8</sup>.
- 1.49 Under the Cleaner Air for Scotland 2 strategy, the 1993 Clean Air Act in Scotland

will be reviewed and work will start on this before the end of 2022.

**Pollutant focus:**

- 1.50 Statutory reporting of existing pollutant objectives, NO<sub>2</sub>, PM<sub>10</sub> and SO<sub>2</sub> including Benzene, 1,3-Butadiene, Carbon Monoxide and Lead.
- 1.51 The second-stage annual mean PM<sub>10</sub> objective currently remains at 18µg/m<sup>3</sup>.
- 1.52 Inclusion of a PM<sub>2.5</sub> annual mean objective of 10µg/m<sup>3</sup> to align with the WHO<sup>10</sup> 2005 guideline value.

**Overview: Wales LAQM**

**Reporting:**

- 1.53 Submission of a single Annual Progress Report (APR).
- 1.54 This report (in the format of a template published on the LAQM website) replaces all other reports which previously had to be submitted as part of the LAQM system including Review and Assessment and Action Plan Progress Reports, Updating and Screening Assessments (USAs) and Detailed Assessments. Action Plans remain separate.
- 1.55 Local authorities are required to submit the APR by 30 September each year. Reports should be uploaded onto the LAQM Portal<sup>8</sup>.

**Pollutant focus:**

- 1.56 Statutory reporting of NO<sub>2</sub> and PM<sub>10</sub>. Reporting of PM<sub>2.5</sub> is encouraged but not required. Authorities in Wales are not required to report on SO<sub>2</sub>, Benzene, 1,3-Butadiene, Carbon Monoxide or Lead, unless there is a local issue that needs to be addressed.
- 1.57 Local authorities in Wales are encouraged to develop and report policies to reduce overall levels of NO<sub>2</sub>, particulate matter and environmental noise pollution for the population as a whole.

**Overview: Northern Ireland LAQM**

**Reporting:**

- 1.58 Submission of a Progress Report each year, to be substituted with the submission of an Updating and Screening Assessment (USA) every third year.
- 1.59 Detailed Assessments are to be completed when it has been identified that there is a risk of the air quality objectives not being achieved, and also where an authority proposes to revoke or amend an existing AQMA.
- 1.60 Local authorities are required to submit the Progress Report or USA by 30 June each year. Reports should be uploaded onto the LAQM Portal<sup>8</sup>.

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<sup>10</sup> World Health Organisation (WHO) – guidelines and rationale for PM limit values - <https://apps.who.int/iris/bitstream/handle/10665/345329/9789240034228-eng.pdf?sequence=1&isAllowed=y>

**Pollutant focus:**

- 1.61 Statutory reporting of existing pollutant objectives, NO<sub>2</sub>, PM<sub>10</sub> and SO<sub>2</sub> including Benzene, 1,3-Butadiene, Carbon Monoxide and Lead.

**Public Exposure**

- 1.62 It should be noted that the health studies which provide the basis for the air quality standards are based on data for individuals within a population, and therefore the exposure should relate to that of an individual.
- 1.63 For the purposes of LAQM, regulations state that exceedances of the objectives should be assessed in relation to “the quality of the air at locations which are situated outside of buildings or other natural or man-made structures, above or below ground, and where members of the public are regularly present”.
- 1.64 For the purpose of assisting local authorities, some examples of where the objectives should, and should not apply, are summarised in Box 1-1. The examples presented within Box 1-1 are related to the averaging period of the specific objective and are only relevant to members of the public. LAQM is the statutory process by which local authorities ensure compliance in ambient conditions in areas of relevant public exposure. Consequently, the objectives are not relevant to places of work or other locations where members of the public do not have regular access.
- 1.65 These examples are not intended to be comprehensive, and it is expected that local knowledge will often be required. If in doubt, further guidance may be obtained from the LAQM Support Helpdesk (see Box 1-2).

## Box 1-1 – Examples of Where the Air Quality Objectives Should Apply

Averaging Period	Objectives should apply at:	Objectives should generally not apply at:
Annual mean	All locations where members of the public might be regularly exposed. Building façades of residential properties, schools, hospitals, care homes etc.	Building façades of offices or other places of work where members of the public do not have regular access.  Hotels, unless used as a permanent residence.  Gardens of residential properties.  Kerbside sites (as opposed to locations at the building façade), or any other location where public exposure is expected to be short term.
24-hour mean and 8-hour mean	All locations where the annual mean objective would apply, together with hotels.  Gardens of residential properties <sup>11</sup> .	Kerbside sites (as opposed to locations at the building façade), or any other location where public exposure is expected to be shorter than either the 24- or 8-hour relevant mean.
1-hour mean	All locations where the annual mean and  24- and 8-hour mean objectives apply. Kerbside sites (for example, pavements of busy shopping streets).  Those parts of car parks, bus stations and railway stations etc. which are not fully enclosed, where members of the public might reasonably be expected to spend one hour or more.  Any outdoor locations where members of the public might reasonably expect to spend one hour or longer.	Kerbside sites where the public would not be expected to have regular access.
15-min mean	All locations where members of the public might reasonably be exposed for a period of 15 minutes or longer.	

### Further information

- 1.66 Supplementary or revised technical guidance will be issued periodically to reflect any new information as it arises. Local authorities should register for updates at the LAQM Support Helpdesk operated on behalf of Defra and the Devolved Administrations (see Box 1-2), which will ensure they are automatically notified of new guidance as soon as it is issued.

<sup>11</sup> Such locations should represent parts of the garden where relevant public exposure to pollutants is likely, for example where there is seating or play areas. It is unlikely that relevant public exposure to pollutants would occur at the extremities of the garden boundary, or in front gardens, although local judgement should always be applied

## Box 1-2 – LAQM Support Helpdesk for Local Authorities

Helpdesk	Operated by	Details
LAQM Support Helpdesk	Bureau Veritas	Email: <a href="mailto:laqmhlpdesk@bureauveritas.com">laqmhlpdesk@bureauveritas.com</a> Web site: <a href="https://laqm.defra.gov.uk/">https://laqm.defra.gov.uk/</a> Telephone: 0800 032 7953

# CHAPTER 2: Air Quality Action Plans

## Introduction

- 2.1 Every local authority that has an active AQMA is required under Part IV of the Environment Act and Part III of the Environment (NI) Order 2002 to provide an Air Quality Action Plan (AQAP) as a means to address the areas of poor air quality that have been identified within the AQMA. The emphasis within AQAPs should be two-fold:
- To develop measures that will provide the necessary emissions reductions to achieve the air quality objectives within specified timescales and to set out how the local authority will exercise its functions in order to secure achievements of air quality objectives; and
  - Act as a live document which is continually reviewed and developed, to ensure current measures are progressing and new measures are brought forward. From April 2023, it will be recommended, where possible, that local authorities in England maintain an up-to-date online version of their AQAP as a resource both for the public and for other local authorities. Local Authorities should still, as a minimum, revise their AQAP every 5 years.
- 2.2 Policy Guidance LAQM.PG22<sup>12</sup> states that, from 2023, an AQAP should be prepared within 18 months of an AQMA being declared. LAQM.PG(S)(16) (Revised edition April 2018)<sup>13</sup> states the Scottish Government expects plans to be completed within 12 months of AQMA designation. LAQM.PG(W)(17)<sup>14</sup> states an AQAP must be produced for review by the Welsh government within 18 months of the coming-into-force date of the AQMA Order. LAQM.PGNI(09) 2009<sup>15</sup> states that AQAPs should be produced within 12 to 18 months following the declaration of an AQMA.
- 2.3 Once a draft has been prepared, the AQAP should be submitted to Defra/the Devolved Administration for initial appraisal at the statutory consultation stage, with the AQAP then finalised and again submitted to Defra/the Devolved Administration for approval. The draft and final AQAP can be submitted to Defra/the Devolved Administration via the LAQM Portal<sup>8</sup>.
- 2.4 A reminder and warning process is in place to ensure local authorities in England deliver their AQAPs on time and in line with the LAQM guidance. Details of when enforcement letters are to be sent out can be found within LAQM.PG22. Compliance with AQAP submission requirements, as specified in LAQM.PG22, are normally required for Air Quality Grant applications to be considered in England.
- 2.5 Directors of Public Health must be part of the air quality management process in local authorities in England. Working in partnership will increase support for

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<sup>12</sup> LAQM.PG22 refers to LAQM Policy Guidance (England) 2022

<sup>13</sup> LAQM.PG(S)(16) refers to LAQM Policy Guidance (Scotland) 2016

<sup>14</sup> LAQM.PG(W)(17) refers to LAQM Policy Guidance (Wales) 2017

<sup>15</sup> LAQM.PGNI(09) refers to LAQM Policy Guidance (Northern Ireland) 2009

measures to improve air quality, with co-benefits for all. It is recommended that Directors of Public Health review and approve local authority AQAPs.

- 2.6 Where a local authority has designated multiple AQMAs in its area, particularly if these are related to a similar emissions source, it is advised that a single AQAP should be submitted, but this should clearly address each individual AQMA in the area.
- 2.7 The Environment Act requires that AQAPs be regularly reviewed and must be revised if a local authority considers there is a need for further or different measures to be taken in order to achieve air quality standards; or if significant changes to sources occur within your local area. In England, local authorities are expected to review AQAPs at least every five years. The process of developing an AQAP, as detailed in this chapter, is not fundamentally different from previous Policy and Technical Guidance documents. The information below should be comprehensive, but local authorities seeking further support can contact the LAQM Support website<sup>16</sup> to assist in this process.
- 2.8 Whilst the core fundamentals behind developing AQAPs have not changed, it is important to ensure that the process continues to focus on the effective implementation and delivery of measures developed to address the specific local air quality issues. Defra has published an AQAP template to assist local authorities in England with the development of their AQAPs and ensure a consistent format for AQAP reporting. Whilst use of the AQAP template is not mandatory, it is recommended that local authorities in England make use of this template for new or substantial revisions to their AQAP. The AQAP template is available on the LAQM Support website<sup>16</sup>.
- 2.9 Furthermore, the ASR for England and the APRs for Scotland and Wales also provide a consistent format for local authorities to report on the progress of their AQAP and other supporting measures developed to reduce emissions towards achieving the air quality objectives.

## What Makes an Effective AQAP?

- 2.10 A number of mechanisms and approaches improve the focus of AQAPs and assist with their effective development through to the final stage, where a set of measures tailored to the local situation have been developed and adopted by key stakeholders.
- 2.11 It is recognised that there is not a 'one size fits all' approach to developing AQAPs. They should be adapted to every local situation and most importantly are seen as part of an integrated package of measures, particularly in relation to linking with other key policy areas, notably:
- Land-use planning and sustainable development;
  - Transport Planning, promoting sustainable transport, local transport management, integration with local transport plans;
  - Environmental noise management;
  - Climate change policies in relation to carbon management and reduction

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<sup>16</sup> <https://laqm.defra.gov.uk/>

of greenhouse gas emissions; environmental assessments should consider impacts on air quality and climate change issues;

- Many local authorities are moving towards developing Low Emission Strategies<sup>17</sup> that can be used as an integrated approach to promote emissions reductions measures across a wide policy spectrum, benefiting both air quality and climate change;
- Public Health Outcomes (PHO) policy areas which seek to promote health and wellbeing within the population with direct links to the promotion of physical exercise through walking and cycling initiatives (which reduce reliance on private vehicle use), including, in Wales, implementation of the Active Travel (Wales) Act 2013; and
- Education programmes which again seek to promote health and wellbeing through walking and cycling, but also the principles of sustainability.

2.12 However, there are some key common requirements for the development of an effective AQAP:

- 1) Develop the AQAP in stages;
- 2) Undertake appropriate local monitoring and assessment (source apportionment);
- 3) Decide what level of actions are required;
- 4) Establish links to other key policy areas / strategies;
- 5) Establish a Steering Group with key stakeholder groups at an early stage;
- 6) Undertake measures selection and impact assessment;
- 7) Agree monitoring and evaluation of success; and
- 8) Undertake consultation.

2.13 These are discussed further below.

## **1 - Develop the AQAP in Stages**

2.14 Effective AQAPs are rarely established within a single step or developed by taking 'off the shelf solutions' with little local assessment. The development of an effective AQAP should be seen as an iterative process to identify the best solutions, rather than an attempt to develop short term, single step solutions.

2.15 Steps to developing an effective AQAP include:

- Engagement of key officers and stakeholders at an early stage to capture measures already in place and to develop shared ownership for local solutions;
- Identify and engage at an early stage with Air Quality Partners to discuss actions they will take for inclusion in the AQAP

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<sup>17</sup> Greater Manchester Low Emission Strategy: <https://www.greatermanchester-ca.gov.uk/media/1276/low-emission-strategy-dec-2016.pdf>

- Collation of detailed knowledge of the contributory sources, to determine the range and extent of the problem;
- An approach to consider suitable measures to reduce air pollutant emissions across a range of policy areas;
- Engage with other local authorities and/or explore the Air Quality Hub to identify examples of best practice;
- Development of appropriate targets and indicators across key programme areas to monitor progress; and
- Evaluation and detailed consideration of further measures.

## **2 - Undertake Appropriate Local Monitoring and Assessment (Source Apportionment) for Development Phase**

- 2.16 The overall aim at the outset of the Review and Assessment process is for the local authority to identify all areas where the air quality objectives are being or are likely to be exceeded.
- 2.17 This should mean that sufficient monitoring and/or assessment be carried out, so that the required reduction in pollutant emissions to attain the objectives can be estimated thus allowing the authority to confidently judge the scale of effort required within the AQAP.
- 2.18 Within the early stages of the process, the local authority should determine the nature of the local pollution problem as accurately as possible to enable an effective plan to be developed.
- 2.19 Local monitoring and/or assessment should provide a detailed picture of the local pollution problem. To achieve this, detailed dispersion modelling may be required, and appropriate monitoring should also be considered. The available monitoring and modelling evidence should be sufficient to enable:
- Key sources to be identified and allow the source apportionment exercise to be carried out;
  - The nature and extent of the exceedance to be fully understood;
  - The number and location of relevant receptors to be clearly identified; and
  - The degree of population exposure to be considered.
- 2.20 Work carried out should allow authorities to identify the extent to which different key sources contribute to the air quality exceedances that have been identified, i.e. by means of baseline 'source apportionment'. This will assist authorities to correctly target the most important sources, and to focus the principal measures within the AQAP.
- 2.21 The greater the level of detail in data and information gathered through screening assessments, detailed dispersion modelling and monitoring, the more confident the authority can be that the proposed measures identified during the development stage of the AQAP will be successful and will achieve the desired outcome.
- 2.22 AQAPs should also, where possible, include the population for the AQMA area.

The Office for National Statistics provides population data which can be used for this purpose. The smallest available area is for 'Lower Super Output Areas' (LSOA)<sup>18</sup>. Additional information can also be found at the LSOA level for information on inequality, such as the Indices of Multiple Deprivation.

- 2.23 Another potential data source is from the mid-year census estimate for which typical residential population density per square kilometre is available for England<sup>19</sup>, Wales<sup>20</sup>, Scotland<sup>21</sup> and Northern Ireland<sup>22</sup>.
- 2.24 As AQMAs can vary in size from a single dwelling to entire boroughs, Local Authorities are encouraged to select an appropriate data set and provide justification for their choice of information within their AQAP.
- 2.25 Further information on source apportionment, including methodology and a worked example, are provided in Chapter 7 (para 7.103). Where alternative methods for source apportionment become available in due course these will be provided through the LAQM Support Helpdesk and users alerted as appropriate. Further information on estimating population exposure is provided in Chapter 6 (para 6.15).

### 3 - Decide what Level of Actions are Required

- 2.26 To determine the scale of effort required in the AQAP to tackle air pollution within AQMAs, the local authority should also identify the reduction in pollutant emissions that is required to attain the objectives.
- 2.27 In theory, this should be a simple calculation that can be derived by comparison of the objective with the maximum predicted pollutant concentration. Within the study, authorities should confirm that the earlier assessment work had identified the locations at which the highest pollutant concentrations would occur (taking into account relevant exposure). It is also helpful to set out the reductions that would be required across several locations, so that the appropriate context is set.
- 2.28 Quantifying the emission reduction required for the area of concern will allow a range or combination of measures that have the potential to deliver the emissions reductions identified, within specific timescales for delivery.
- 2.29 Further information on the calculation of reduction in emissions, including a worked example, is provided in Chapter 7 (para 7.115).

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<sup>18</sup>

<https://www.ons.gov.uk/peoplepopulationandcommunity/populationandmigration/populationestimates/datasets/lowersuperoutputareamidyearpopulationestimates>

<sup>19</sup>

<https://www.ons.gov.uk/peoplepopulationandcommunity/populationandmigration/populationestimates/datasets/populationestimatesforukenglandandwalesscotlandandnorthernireland>

<sup>20</sup>

<https://www.ons.gov.uk/peoplepopulationandcommunity/populationandmigration/populationestimates/datasets/populationandhouseholdestimatesenglandandwalescensus2021>

<sup>21</sup> <https://nrscotland.gov.uk/statistics-and-data/statistics/statistics-by-theme/population/population-estimates/mid-year-population-estimates/mid-2021>

<sup>22</sup> <https://www.nisra.gov.uk/publications/census-2021-population-and-household-estimates-for-northern-ireland>

- 2.30 The emphasis should be on developing measures that state which organisation or partner is the responsible owner that can deliver the required level of emissions reductions to meet air quality objectives within clearly defined timescales that are considered acceptable to Defra and the Devolved Administrations.

#### **4 - Establish Links to Other Key Policy Areas / Strategies**

- 2.31 Once the nature and extent of the problem and the level of pollutant concentration, or emission reductions required by source, are established, a range of measures can be considered.
- 2.32 In most cases, measures across a wide range of government policy areas (which may already be in operation) may contribute to improving local air quality, including:
- Air Quality Strategy (due for publication by 1 May 2023)
  - The UK plan for tackling roadside nitrogen dioxide concentrations<sup>6</sup>
  - Climate Change and Carbon reduction programmes;
  - Sustainability Strategies;
  - Low Emission Strategies/Local or Regional Air Quality Strategies;
  - Transport Policy;
  - Noise Action Plans;
  - Procurement Policies;
  - Planning Policies;
  - Public Health (including enabling walking and cycling);
  - Local Well-being Plans; and
  - Education.
- 2.33 It is important to identify and assess existing measures within the above areas that are likely to affect air quality and the development of the AQAP. Early consideration of this will provide a strong foundation for the development of the AQAP whilst also helping to minimise potential conflicts with other policy areas.

#### **5 - Establish a Steering Group with Key Stakeholder Groups at an Early Stage**

- 2.34 A local steering group should be established. This should be made up of lead officers from relevant departments (e.g. environmental health, planning, transport and public health), Directors of Public Health, local businesses and interest groups. The objective of this group is to develop a range of measures for further consideration, across relevant policy areas (see para 2.32), and to ensure that there is sufficient political engagement. Senior and Chief Executives should be included within the steering group to ensure that key decision makers within the local authority are engaged and the Plan is able to be implemented.
- 2.35 The members of the Steering Group should include local authority officers across the different Council's departments, including at county level (in two-tier authorities) and may also include officers from neighbouring local authorities.

- 2.36 Where a local authority is working as part of a Mayoral Combined Authority (MCA) model, the Mayoral department should be involved within Steering Groups to facilitate a co-ordinated approach across local authority areas to improve air quality.
- 2.37 Unless local situations present straightforward solutions, an assessment is likely to be required to determine a set of preferred options that have the potential to deliver the required levels of emissions reductions.
- 2.38 The AQAP should only be considered in detail once the source and extent of the problem are clearly understood. The Steering Group should collaborate to identify:
- If there are existing programmes in other areas that will contribute to emissions reductions (or increases) that should be accounted for within the AQAP;
  - What may influence the local pollution situation in the near future (i.e. five to ten years);
  - The future trends that are likely to contribute (regional emissions trends as well as local factors);
  - If there is sufficient information to clearly define effective measures;
  - If an assessment may be required, before proceeding to developing the AQAP;
  - If emissions will reduce sufficiently to achieve air quality objectives in the next five years, as a result of measures already in place;
  - Whether it is appropriate to develop a generic set of measures, or whether locally derived measures targeting local hotspots is a preferred emissions management option – or a combination of both; and
  - If traffic management interventions are required.
- 2.39 Early engagement with appropriate stakeholders at the outset and throughout the AQAP development process at appropriate times is likely to be key to integrating the AQAP with other relevant policies and programmes at the local and/or regional level.
- 2.40 It will also be beneficial to commence stakeholder discussion at the earliest opportunity in order to identify, apply and secure sources of funding for the AQAP measures.
- 2.41 Of particular importance is ensuring that transport planners are engaged in the process of developing the AQAP, to ensure that it is integrated with Local Transport Plans or equivalent documents in a successful manner.
- 2.42 As set out within LAQM.PG22, the Secretary of State has the power in England to designate by regulations “Relevant Public Authorities” (RPAs). Once designated, RPAs can be required to act as ‘Air Quality Partners’ should they be responsible for sources of emissions contributing to an exceedance of a local air quality objective. Chapter 5 of LAQM.PG22 sets out processes and recommendations for working with other organisations in the development of the AQAP.

2.43 Where relevant, it is important to ensure that dialogue is established with neighbouring authorities who may share responsibilities for some preferred actions. National bodies, e.g. National Highways and/or the Environment Agency (or equivalent bodies for the Devolved Administrations), should also be consulted as key stakeholders where they may have an influence on local air quality. For example, National Highways can influence the effect on air quality of their activities and those using the strategic road network through:

- Contributing to strategic planning;
- Road improvements;
- Integrating transport and encouraging sustainable travel;
- Providing better information for improved operation; and
- Working with local authorities.

2.44 Contact details for some of the key national bodies are provided in Box 2-1.

### Box 2-1 – National Body Contact Details

Helpdesk	Details
Environment Agency	Website: <a href="https://www.gov.uk/government/organisations/environment-agency">https://www.gov.uk/government/organisations/environment-agency</a> Email: <a href="mailto:enquiries@environment-agency.gov.uk">enquiries@environment-agency.gov.uk</a> Tel: 03708 506 506
National Highways	Website: <a href="https://nationalhighways.co.uk/">https://nationalhighways.co.uk/</a> Email: <a href="mailto:info@nationalhighways.co.uk">info@nationalhighways.co.uk</a> Tel: 0300 123 5000
Scottish Environment Protection Agency	Website: <a href="https://www.sepa.org.uk/">https://www.sepa.org.uk/</a> Email: <a href="https://www.sepa.org.uk/contact/contact-us-by-email/">https://www.sepa.org.uk/contact/contact-us-by-email/</a> Tel: 03000 99 66 99
Transport Scotland	Website: <a href="https://www.transport.gov.scot/">https://www.transport.gov.scot/</a> Email: <a href="mailto:info@transport.gov.scot">info@transport.gov.scot</a> Tel: 0141 272 7100
Natural Resources Wales	Website: <a href="https://naturalresources.wales/splash?orig=/">https://naturalresources.wales/splash?orig=/</a> Email: <a href="mailto:enquiries@naturalresourceswales.gov.uk">enquiries@naturalresourceswales.gov.uk</a> Tel: 0300 065 3000
Transport and Highways – Welsh Government	Website: <a href="https://traffic.wales/">https://traffic.wales/</a> Email: <a href="mailto:contact@traffic.wales">contact@traffic.wales</a> Tel: 01286 685 180 (NMWTRA) or 0300 123 1213 (SWTRA)
Northern Ireland Department of Agriculture, Environment and Rural Affairs	Website: <a href="https://www.daera-ni.gov.uk/">https://www.daera-ni.gov.uk/</a> Email: <a href="mailto:aeqteam@daera-ni.gov.uk">aeqteam@daera-ni.gov.uk</a> Tel: 028 90 569 541
NI Department for Regional Development - Roads	Website: <a href="https://www.infrastructure-ni.gov.uk/topics/roads">https://www.infrastructure-ni.gov.uk/topics/roads</a> Email: <a href="mailto:dcu@infrastructure-ni.gov.uk">dcu@infrastructure-ni.gov.uk</a> Tel: 028 9054 0540

## 6 - Undertake Measures Selection and Impact Assessment

- 2.45 Once further assessment has been carried out, the local authority should consider which options to take forward to a draft AQAP for consultation, prior to finalising and subsequent adoption by the local authority.
- 2.46 In most cases local authorities will be considering a package of measures to provide the required levels of emissions reductions to achieve the objectives as quickly as possible. The package of adopted measures should be subject to an impact assessment that provides a clear estimate of the emissions reductions these measures may be expected to deliver within an agreed timescale.
- 2.47 Consultation with neighbouring/other local authorities to share knowledge and experience on overlapping or similar measures will help provide additional insight on which measures will offer the best outcomes. Collaboration with other local authorities can be done via the Air Quality Hub.
- 2.48 The Air Quality Hub is a free, online information and knowledge sharing resource for local authority air quality professionals, seeking to deliver air quality benefits. It is available to all Local Authorities via the link <https://laqm.defra.gov.uk/air-quality-hub/>.
- 2.49 The Air Quality Hub<sup>23</sup> offers an overview of the main types of measures that local authorities can adopt to improve air quality in their area, and the pollutants that they are most applicable to. Each strategy measure provides an overview of the steps needed to implement it, the likely air quality benefits and sign posting to relevant documents, guidance and case studies which can help a local authority with measures selection and impact assessment.
- 2.50 It is likely that some of the measures, which are being considered as part of the AQAP development process, will lend themselves to detailed quantifiable analysis in terms of emissions reductions more so than others. Focus should be on the top three to five measures that provide the most significant impact on emissions and rank high on the cost benefit analysis of the measures package. Local authorities will need to ensure that they remain focused on the implementation of measures that are most targeted on the emissions source(s) leading to the exceedance of the relevant pollutant objective(s).
- 2.51 The assessment should also provide an estimate of when the objectives are likely to be achieved following implementation of the AQAP, or whether further measures are likely to be required to meet the objectives within specified timescales.
- 2.52 The AQAP should identify which measures have secured approval and funding, including those already in place via Low Emission Partnerships (LEPs). These measures should have estimates of the emission reductions expected to be realised, and clear timescales for their delivery.
- 2.53 The AQAP should also identify those measures that remain as options for further consideration but don't have approval or funding associated. These measures should also have estimates of the emission reductions expected to be realised

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<sup>23</sup> <https://laqm.defra.gov.uk/air-quality-hub/>

and should be accompanied by a clear timetable for their development.

- 2.54 The two sets of measures (realised and proposed) can then be reviewed on an annual basis, which should help maintain the AQAP as a live document.

## 7 - Agree Monitoring and Evaluation of Success

- 2.55 Once the final package of measures has been agreed and validated by all stakeholders, the AQAP should include details on the way their success will be measured, which will help determine whether additional measures may be required at a later stage. Resources to aid the development of monitoring and evaluation approaches are available online.<sup>24,25,26</sup>
- 2.56 Where possible, each measure within AQAPs should include details of the key indicators to use within further reports to track their delivery within agreed timescales.
- 2.57 Progress on implementing individual measures within AQAPs will need to be reported in the relevant annual LAQM report<sup>27</sup> with reference to the AQAP that has been developed.

## 8 - Undertake Consultation

- 2.58 Local authorities will need to consider the extent and degree of consultation required during the formulation of their AQAP. For example, local authorities should undertake consultations with interested local organisations and bodies (e.g. residents and local businesses affected by the AQAP measures) and also must consult with statutory consultees (such as Defra, Environment Agency, head of Public Health, the relevant strategic transport bodies, etc as set out in Chapter 6 of LAQM.PG22). Such consultation may be done jointly or could be done locally prior to the undertaking of consultation with statutory bodies.
- 2.59 It is important to ensure decision-making groups include members of the local community who reflect the diversity of that community, those most impacted by poor air quality and by potential measures to improve it. LAs are encouraged to involve local communities from the outset of the development of an AQAP and should not wait until the plan exists in draft form before seeking their input.

### **Local Consultation**

- 2.60 The previous sections on links to key policy areas and establishing local steering groups outlined a process that should facilitate local consultation. In many cases, local consultation can be planned into the development of the AQAP, so that all relevant stakeholder groups are engaged as appropriate.
- 2.61 Local consultation may be required in order to consolidate measures that have

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<sup>24</sup> [Report: Assessing the Effectiveness of Interventions on Air Quality - Defra, UK](#)

<sup>25</sup> [Public Health England's Review of Interventions to Improve Outdoor Air Quality - Defra in the media \(blog.gov.uk\)](#)

<sup>26</sup> [The Magenta Book - GOV.UK \(www.gov.uk\)](#)

<sup>27</sup> ASR in England, APR in Scotland and Wales, and Review and Assessment Progress Report (or AQAP Progress Report in years when USAs are required) for Northern Ireland

been identified in the early stages of AQAP development. Draft AQAPs may be subject to engagement with key stakeholder groups, prior to final statutory consultation and adoption by the local authority.

- 2.62 An effective AQAP will have been subject to appropriate local consultation and approved by appropriate Local Council Committees before the process of adoption by the local authority following statutory consultation.
- 2.63 Examples of effective, community-centred approaches to consultation and local engagement are included in Chapter 6 of LAQM.PG22.

### **Statutory Consultation**

- 2.64 Local authorities are required to undertake statutory consultation when either preparing or revising their AQAP. The process for statutory consultation with respect to AQAPs is outlined in respective LAQM policy guidance<sup>12,13,14,15</sup>.
- 2.65 At the consultation stage, the draft AQAP should be submitted to Defra/the Devolved Administration through the LAQM Portal<sup>8</sup> for initial appraisal. This is beneficial to identify any amendments required before the AQAP is finalised. Following the appraisal comments received, it is expected that the final AQAP be submitted to Defra/the Devolved Administration for final approval. The final appraisal should be a check that all initial appraisal comments, in addition to further consultation comments, have been included and responded to within the AQAP. Upon completion of the appraisal of the final AQAP, based upon a decision to accept to the AQAP, the AQAP can then be formally adopted by the local authority.

### **PM<sub>2.5</sub> and Action Planning**

- 2.66 This section provides guidance to local authorities on integrating measures that will help to reduce PM<sub>2.5</sub> concentrations into their AQAPs.
- 2.67 Even for those authorities that do not have a requirement for developing an AQAP, the ASR/APR provides the basis for authorities to report upon their commitments to, and actions being undertaken to, reduce PM<sub>2.5</sub> at the local level. Any evidence that may be used to benchmark local authority progress on reducing PM<sub>2.5</sub> emissions, concentrations, or associated health effects, should also be detailed in the ASR/APR (in Section 2 – Actions to Improve Air Quality).

### **Linkages between Air Quality and Public Health**

- 2.68 The PM<sub>2.5</sub> indicator in the Public Health Outcomes Framework (PHOF) (England) and the Welsh air quality exposure indicators for NO<sub>2</sub>, PM<sub>2.5</sub> and PM<sub>10</sub> established under the Well-being of Future Generations (Wales) Act 2015 provide further impetus to join up action between the various local authority departments which impact on the delivery of air quality improvements.
- 2.69 To help facilitate this, Defra commissioned research to develop a toolkit to help local authorities and public health professionals tackle air pollution in their area with a particular focus on PM<sub>2.5</sub><sup>28</sup>. The toolkit provides a one-stop guide to the

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<http://randd.defra.gov.uk/Default.aspx?Menu=Menu&Module=More&Location=None&Completed=0&ProjectID=18580>

latest evidence on air pollution, guiding local authorities to use existing tools to appraise the scale of the air pollution issue in its area. It also advises local authorities how to appropriately prioritise air quality alongside other public health priorities to ensure it is on the local agenda.

- 2.70 Integral to a successful process is the development of communication methods for localised air quality and health impact information. Communication guides were developed through a series of workshops and interviews. Participants included Directors of Public Health, public health professionals, local authority air quality managers and members of the public.
- 2.71 The toolkit comprises the following key guides:
- Getting to grips with air pollution – the latest evidence and techniques;
  - Understanding air pollution in your area;
  - Engaging local decision-makers about air pollution;
  - Communicating with the public on air pollution; and
  - Air Pollution: an emerging public health issue: Briefing for elected members.

### Identifying Areas for PM<sub>2.5</sub> Action

- 2.72 Particulate Matter (PM)<sub>2.5</sub> is not a single chemical, but any substance in the air which is not a gas and is a suspension of particles less than 2.5 µm diameter in size. It can be emitted directly such as smoke from fires, soot from vehicle exhausts, dust from tyres and brakes (referred to as primary PM<sub>2.5</sub>) or produced when other constituents (precursors) react in the atmosphere (to form secondary PM<sub>2.5</sub>). Due to its extremely small size, PM<sub>2.5</sub> can travel for long distances in the air and it is estimated that as much as 40% to 50% of the levels found in any given area can be from sources outside a local authority's boundary<sup>29</sup>. Nevertheless, this means that the contribution of local sources to total PM<sub>2.5</sub> levels can be significant and therefore local actions to reduce PM<sub>2.5</sub> emissions will have a significant beneficial impact with regard to overall PM<sub>2.5</sub> concentrations.
- 2.73 Local authorities are encouraged to make use of all available sources of information to aid the identification of any 'hotspot' areas of elevated PM<sub>2.5</sub> concentrations within the local authority area. Such information will aid the direction of actions to specific priority areas that are most in need of reductions in PM<sub>2.5</sub> levels, and allow measures to be targeted to the identified sources. Inclusion of data which is updated annually will allow for some level of assessment of changes in PM<sub>2.5</sub> concentrations over time through the Annual Status Reporting.
- 2.74 Increased frequency of PM<sub>2.5</sub> monitoring and/or modelling is encouraged where possible, particularly where it has been identified as a priority. Those authorities not already undertaking PM<sub>2.5</sub> monitoring and/or modelling should make use of

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<sup>29</sup> Fine Particulate Matter (PM<sub>2.5</sub>) in the United Kingdom. Air Quality Expert Group (AQEG) Report. 2012 - <https://www.gov.uk/government/publications/fine-particulate-matter-pm2-5-in-the-uk>

other existing sources of information to aid identification of any PM<sub>2.5</sub> ‘hotspots’ in order to focus on action.

- 2.75 Methods available to local authorities that may assist in the identification of key areas of focus for PM<sub>2.5</sub>, and the degree of focus required for each, are discussed below. Whichever approach or degree of action is taken by local authorities with regards to PM<sub>2.5</sub>, a clear rationale should be provided in the ASR/APR.

### **Monitoring**

- 2.76 It is acknowledged that many local authorities do not presently monitor PM<sub>2.5</sub> concentrations within their local authority area; PM<sub>2.5</sub> is still not at present incorporated into LAQM Regulations, and therefore there is no statutory requirement to review and assess PM<sub>2.5</sub> for LAQM purposes (except in Scotland). An increase in local authorities monitoring PM<sub>2.5</sub> across the UK is desirable given the links to the Public Health Outcomes Frameworks, however, it is recognised that the costs involved<sup>30</sup> can be prohibitive.
- 2.77 Further discussion on suitable methods for monitoring PM<sub>2.5</sub> is provided in Chapter 7 (para 7.125).

### **Modelling**

- 2.78 In some circumstances, where there is considered to be sufficient need to warrant the detailed study of a local PM<sub>2.5</sub> issue associated with a specific process or activity (e.g. fugitive releases from industrial sites), local authorities may wish to undertake detailed modelling of the PM<sub>2.5</sub> emissions source. This will allow the PM<sub>2.5</sub> concentrations to be accurately quantified at locations of relevant exposure, relative to the background PM<sub>2.5</sub> concentrations, therefore determining the degree and nature of any required action to reduce PM<sub>2.5</sub> levels.
- 2.79 Further discussion on estimating emissions from - and undertaking subsequent detailed modelling of PM sources is provided in Chapter 7.

### **Other Supporting Information**

- 2.80 Where no local PM<sub>2.5</sub> monitoring or modelling data is available, there are several sources of existing information that may assist local authorities in evaluating PM<sub>2.5</sub> at the local level. This includes, but is not limited to:
- **National PM<sub>2.5</sub> Monitoring.** There are approximately 100 PM<sub>2.5</sub> monitoring stations within the Automatic Urban and Rural Network (AURN)<sup>31</sup>. Details of these sites can be found on the UK-Air website. Monitoring data from AURN sites located either close to, or within the local authority area, will provide a good indicator as to likely PM<sub>2.5</sub> concentrations within the local authority area. It will be important to understand the implications of the monitoring site classification which is being used as a surrogate for local PM<sub>2.5</sub> concentrations, e.g. whether background, roadside or other. This is discussed further in Chapter 7

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<sup>30</sup> <https://uk-air.defra.gov.uk/networks/monitoring-methods?view=mcerts-scheme>

<sup>31</sup> <https://uk-air.defra.gov.uk/networks/network-info?view=aurun>

(Section 2);

- **National PM<sub>2.5</sub> Modelling.** As discussed in Chapter 7 Section 1 (para 7.72), Defra maintains national background maps, which are provided for each 1km x 1km grid square across the UK. By plotting the PM<sub>2.5</sub> mapped data for the appropriate base year, PM<sub>2.5</sub> concentrations can be identified within the local authority area. Although considered quite coarse resolution, such information may prove useful to local authorities in directing actions to areas that are most in need of reductions in PM<sub>2.5</sub> levels. Source apportionment data contained in the background maps will also aid in understanding the relative contributions of the mapped emissions sources<sup>32</sup>.
- **Estimating of PM<sub>2.5</sub> from PM<sub>10</sub>.** In the absence of any PM<sub>2.5</sub> monitoring data, local authorities can use the methodology provided in Chapter 7 Section 1 (paras 7.118 to 7.124) to provide an estimation of PM<sub>2.5</sub> concentrations for screening purposes.
- **PM<sub>2.5</sub> Assessment in Planning and Environmental Permitting.** Where necessary, air quality impact assessments submitted in support of a planning application may include quantitative assessment of PM<sub>2.5</sub> emissions associated with the proposed development. Applications for environmental permits in England and Wales either submitted to the Environment Agency/Natural Resources Wales (for Part A1 regulated processes) or directly to local authorities (Part A2 or Part B regulated processes) may also provide similar information. This could provide further evidence in the form of additional monitoring data and/or model predicted PM<sub>2.5</sub> concentrations at specific locations within the local authority area.
- **Public Health Indicators for PM<sub>2.5</sub>.** These will provide a useful indication as to the burden associated with concentrations of PM<sub>2.5</sub> within the local authority area. For example, population-weighted annual average concentrations of anthropogenic PM<sub>2.5</sub> are provided for all lower tier and unitary local authorities within the UK<sup>33</sup>. These are combined to produce figures at upper tier, regional and national level so that attributable fractions of annual all-cause adult mortality associated with long-term exposure to current levels of anthropogenic PM<sub>2.5</sub> can be calculated at those scales also.

2.81 The Public Health Outcomes Framework<sup>34</sup> is a useful tool for Local Authorities to review the effect of mortality. By clicking through to the 'Health Protection' topic, the 'Fraction of mortality attributable to particulate air pollution' is provided for each local authority across England by filtering by 'Geography'. This is a useful tool for comparison with the National Average, where a local authority identified that the fraction of mortality is greater than the national average, this should encourage greater emphasis being put on measures to reduce PM<sub>2.5</sub>.

2.82 The above approaches are provided for reference purposes only. They are intended to provide an illustration of the various approaches available to local

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<sup>32</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/background-maps/>

<sup>33</sup> <https://uk-air.defra.gov.uk/data/pcm-data>

<sup>34</sup> <https://fingertips.phe.org.uk/profile/public-health-outcomes-framework>

authorities to help ensure actions to reduce PM<sub>2.5</sub> concentrations are targeted to the key areas of concern, and that measures are developed commensurate with the scale and nature of the PM<sub>2.5</sub> issues within the local authority area. Scottish local authorities may follow comparable approaches, but should also pay due regard to the statutory regulations for PM<sub>2.5</sub> and the need to undertake more formal Review and Assessment of PM<sub>2.5</sub> concentrations.

## Local Action to Reduce PM<sub>2.5</sub>

2.83 For the effective targeting of local action to help reduce PM<sub>2.5</sub> concentrations, it is important to first understand the source apportionment to total PM<sub>2.5</sub>. Although this will vary by location, and it is acknowledged that there will be limited local PM<sub>2.5</sub> source apportionment studies (if any), consideration should be given to taking action that will address PM<sub>2.5</sub> associated with the following:

- **Primary PM<sub>2.5</sub> Sources (approximately 50% of UK total)<sup>35</sup>.** Comprising man made emissions from combustion (industrial processes and road traffic exhausts) and non-combustion processes (e.g. fugitive emissions from agricultural and industrial material handling; non-exhaust emissions from vehicles - tyre and brake wear, and road abrasion); and
- **Secondary PM<sub>2.5</sub> Sources (approximately 50% of UK total)<sup>35</sup>.** Not all of the particulate matter found in the atmosphere has been directly emitted into the atmosphere by man-made sources. Secondary PM<sub>2.5</sub> is formed by natural and transboundary sources.

2.84 To assist local authorities, the Action Toolbox of AQAP measures provided in ‘LAQM Action Toolbox’ and measures available on the Air Quality Hub indicate the measures that will likely be beneficial to reducing PM<sub>2.5</sub> levels (in addition to other pollutants). Local authorities may already be implementing some of these measures to address other pollutants such as PM<sub>10</sub> and NO<sub>x</sub>. Local authorities should therefore review any existing measures already currently being implemented to determine whether they are already taking positive action to reduce PM<sub>2.5</sub> emissions; such co-benefits of action plan measures upon multiple pollutants of concern should be considered when developing the AQAP and should also be reported in the ASR/APR.

## The Format and Content of Air Quality Action Plans

2.85 As a minimum, AQAPs should include the following:

- **Quantification of source contributions (e.g. HGVs<sup>36</sup>, buses, taxis, other transport, industrial or domestic sources etc.)** responsible for the exceedance of the relevant objective; knowing the source of the problem will allow the AQAP measures to be effectively targeted;
- **Quantification of impacts of proposed measures** including, where feasible, expected emission and concentration reductions (either locally obtained

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<sup>35</sup> [https://consult.defra.gov.uk/natural-environment-policy/consultation-on-environmental-targets/supporting\\_documents/Air%20quality%20targets%20%20Detailed%20Evidence%20report.pdf](https://consult.defra.gov.uk/natural-environment-policy/consultation-on-environmental-targets/supporting_documents/Air%20quality%20targets%20%20Detailed%20Evidence%20report.pdf)

<sup>36</sup> Within this document there are references to both HGVs (Heavy Goods Vehicles) and HDVs (Heavy Duty Vehicles). HDVs includes all heavy vehicles (e.g. both HGVs and Buses/Coaches). Additional information is set out in the Emissions Factors Toolkit User Guide.

and/or via national monitoring/modelling statistics). It is important that the local authority shows how it intends to monitor and evaluate the effectiveness of the plan;

- **Clear timescales**, including milestones and expected outcomes, which the authority and other delivery partners propose to implement the measures within the AQAP; and
- **Defined roles and responsibilities** that detail how the local authority and other delivery partners, including transport, planning and health departments, will take ownership of the problem and in what capacity they will work together to implement the AQAP.

2.86 Although local authorities are free to determine the format of their AQAP, in England, they are encouraged to make use of the AQAP template.

2.87 The AQAP should follow the structure below:

- **Introduction**, explaining the requirement and rationale for its development. This should include placing the current AQAP in context relative to progress achieved by previous AQAP versions.
- **Summary of current air quality in the local authority area**. This should include information on any exceedances of the air quality objectives. Details of any AQMAs (current or proposed) should also be provided.
- **Local authority air quality priorities**. This should describe the local authority priorities and drivers for pursuing some actions to improve air quality. This may include a description of the health context in the local authority's administrative area, major sources of pollutants (such as roads, airports and industry), the necessary reductions required to meet the air quality objectives, the planning context (upcoming developments) and other local authority policies, such as health and wellbeing, sustainability, economic development, transport, climate change or education.

Source apportionment dispersion modelling studies may assist in identifying priorities. For example, in an AQMA declared for NO<sub>2</sub> primarily due to emissions from road traffic and, e.g. if bus emissions are identified to contribute a high proportion of the total road-NO<sub>x</sub>, AQAP measures that specifically target this source group should be prioritised.

If there are other documents or strategies that set out information on the local authority's approach to air quality, information (and any links) pertaining to them should be provided with details of how they have been accounted for within the AQAP.

This is an opportunity to lay out the local authorities rationale and prioritisation.

- **Development and implementation of the AQAP**. This should include details of consultation undertaken during the development of the AQAP and feedback with regards to stakeholder engagement.

Details of the Steering Group should also be provided. This should include composition, the group's activity (e.g. number of meetings) and in what ways the Steering Group has pushed forward the implementation of

the AQAP.

The Steering Group would decide on engaging support from other outside bodies, businesses and local community groups to take the process forward.

It is recommended that the AQAP is approved by a Director of Public Health to ensure that they are fully briefed on the scale of the problem within the local authority area and the effect of air pollution on public health.

Other local authority departments and external bodies should be constructively engaged in agreeing actions to improve air quality and meet the legal requirement to work towards air quality objectives.

The following, in particular, should engage constructively in improving air quality:

- transport planners;
  - local and national highway authorities;
  - land use planners and town centre managers;
  - environmental protection and energy management officers;
  - waste managers;
  - economic development, regeneration and tourism departments;
  - corporate policy and resources;
  - local health boards and/or public services boards
  - local communities, especially those most impacted by poor air quality; and
  - environment agencies.
- **AQAP measures.** A table of the measures being pursued by the local authority as part of the AQAP should be provided, with each measure assigned one of the specified categories (as per the AQAP template).

Where relevant, the local authority should add further detail with regards to the measures adopted in their AQAP, beyond the summary level information provided in the table. In particular if there are measures that are considered a priority or drawing out where local public support or action may be required.

Local authorities should also link their AQAP measures to existing National Plans<sup>37</sup> to improve air quality and wider-scale LEP schemes where contributions to reductions in background concentrations of pollutants may arise, or focus within the plans may lead to benefits in air quality for specific AQMAs that coincide with National Plan or LEP schemes.

- **Additional supporting appendices.** The local authority should include additional supporting appendices as required. For example, where the selection of AQAP measures has been supported by further studies, e.g. quantitative appraisal of AQAP measures through dispersion modelling,

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<sup>37</sup> <https://uk-air.defra.gov.uk/library/no2-consultation-documents-2015>

or other feasibility studies, this work should be included.

## On-going Assessment of Progress – Keeping the AQAP Live

- 2.88 The success of the AQAP is dependent upon the on-going assessment and reporting of progress in the implementation of measures and the evidence acquired from on-going evaluation of the impacts of measures that are reported through the annual LAQM report<sup>27</sup>. The use of monitoring to show the decline in pollutant concentrations attributed to the implementation of measures is an obvious basis on which local authorities should provide evidence to show progress. However, for some measures alternative indicators, such as use of cycle schemes and passenger numbers on buses, can be used to report progress.
- 2.89 Local authorities should ensure that the AQAP Steering Group continues to meet on an annual basis after the adoption and implementation of measures contained within their AQAPs in order that a review of the AQAP and its progress is undertaken. Where, in undertaking their review, evidence shows that unforeseen barriers to progress have arisen, or measures are no longer suitable, the AQAP should be updated to reflect the local authority's position. The AQAP should be maintained as a "live" strategy. Where necessary, updates to source apportionment should be made to ensure that the measures remain targeted and focused within the AQAP.

## Clean Air Zones – Interaction with LAQM

- 2.90 Clean Air Zones (CAZs) deliver targeted action in air pollution hot spots to improve air quality, to improve health and support economic growth in the urban environment, encouraging the replacement of old, polluting vehicles with modern, cleaner technologies, such as ultra-low emission vehicles. Local authorities can adopt Clean Air Zones as a way to focus their actions to improve air quality.
- 2.91 On 26<sup>th</sup> July 2017, the Government published the UK Plan for tackling roadside nitrogen dioxide concentrations<sup>38</sup>. This set out how Government would bring the NO<sub>2</sub> concentrations within the annual average limit value of 40µg/m<sup>3</sup> as set out in the Air Quality Standards Regulations 2010 in the shortest possible time. The Plan sets out a number of national and local measures that need to be taken and identified the local authority areas which have ongoing exceedances of NO<sub>2</sub>. The local authorities were instructed to develop Local NO<sub>2</sub> Plans to implement measures to achieve compliance with statutory NO<sub>2</sub> limit values within the shortest possible time. The Local NO<sub>2</sub> Plan initiative is separate to the LAQM process. For these priority areas, a charging Clean Air Zones (CAZ) was identified as the baseline measure to achieve compliance with NO<sub>2</sub> limits in the shortest possible time. However, if a local authority identifies alternative measures that are as effective at reducing NO<sub>2</sub>, those measures should be preferred. Local alternative measures can be set out as part of the AQAP process and if it is determined that implementation of a CAZ is not considered to be the best approach, the AQAP will form a key piece of evidence in justification.
- 2.92 Information on CAZs is provided within this document to local authorities in the potential interactions with their LAQM responsibilities. Information is also provided should other Local Authorities seek to consider a version of a CAZ as

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<sup>38</sup> <https://www.gov.uk/government/publications/air-quality-plan-for-nitrogen-dioxide-no2-in-uk-2017>

- part of their AQAP measures selection and set out a summary of the benefits and drawbacks of implementing a CAZ.
- 2.93 While the LAQM regime is separate to any Local NO<sub>2</sub> Plan works to implement a CAZ, the two can be complementary as both are designed to tackle pollutant concentrations. Understanding of the CAZ framework can help to inform decisions at the beginning of the Action Planning Process.
- 2.94 Further detail is available in the Defra and DfT (2020) Clean Air Zone Framework for England<sup>39</sup>.
- 2.95 There are different classes of Clean Air Zones. Each successive class includes more vehicle types to bring about a larger reduction in emissions. Vehicle owners may be required to pay a charge if they enter a zone and their vehicle does not meet the required emission standard:
- Class A – Targeting emissions from buses, coaches, taxis and private hire vehicles (PHVs)
  - Class B – Targeting emissions from buses, coaches, taxis, PHVs and HGVs
  - Class C – Targeting emissions from Buses, coaches, taxis, PHVs, HGVs and LGVs
  - Class D – Targeting emissions from Buses, coaches, taxis, PHVs, HGVs, LGVs and Cars
- 2.96 More information about specific vehicle types and Euro emission standards which can be applied is included within the CAZ Framework.
- 2.97 Local authorities may also wish to implement a non-charging Clean Air Zone operating on a voluntary basis. Such a Zone would raise public awareness and act as a focus for targeting additional action to improve air quality.
- 2.98 Should a CAZ be introduced, the effect on any designated AQMAs should be set out. As a minimum, it would be expected that commentary on CAZ progress be included within a list of Action Plan measures within the AQAP and within the ‘Progress on Measure to Improve Air Quality’ within annual reports (Table 2.2 within the templates provided on the LAQM website).
- 2.99 Where CAZs have been introduced as a result of a Local NO<sub>2</sub> Plan, the local authority is required to report on the CAZ progress and evaluation through mechanisms as established as part of their Local NO<sub>2</sub> Plan, this is in addition to the reporting required in respect of the AQAP.
- 2.100 A large amount of work is required in establishing a CAZ. Many of these tie in with LAQM requirements around determining the extent of the zones. However, detailed modelling to inform the CAZ typically go into more depth than detailed assessment work for LAQM.

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<sup>39</sup> Clean Air Zone Framework - <https://www.gov.uk/government/publications/air-quality-clean-air-zone-framework-for-england>

- 2.101 Case Studies are available on the AQ Hub<sup>23</sup> for the implementation of CAZs which set out the requirements for the CAZ, give details on funding and set out the impacts of the CAZ. Local Authorities which have implemented CAZs are encouraged to share any lessons learnt on the AQ Hub<sup>23</sup>.
- 2.102 In some instances, it is possible that a CAZ will have to be implemented by a local authority as part of their Local NO<sub>2</sub> Plan but will not be required to produce an AQAP. This is where a PCM link has been identified as resulting in an exceedance but the relevant locations of exposure which would be assessed through the LAQM process, would not identify the need for declaration of an AQMA. Inclusion within the ASR/APR would be the most appropriate form to provide details of CAZ should there be no AQAP.
- 2.103 For an up-to-date list of Cities/Local Authorities with Clean Air Zones and information on the classes which have been implemented, please visit this webpage: <https://www.gov.uk/guidance/driving-in-a-clean-air-zone>. Further to Clean Air Zones, Oxford launched a pilot of a 'Zero Emission Zone' in February 2022.
- 2.104 In producing Local NO<sub>2</sub> Plans, a useful tool for evaluating traffic impacts is the Transport Analysis Guidance (TAG) Unit A4.2 Distributional Impact appraisal. Guidance for which is available here: <https://www.gov.uk/government/publications/tag-unit-a4-2-distributional-impact-appraisal>

## Air Quality Supplementary Planning Guidance

- 2.105 As a supplementary measure to producing an Air Quality Action Plan, many Local Authorities have developed Supplementary Planning Documents (SPDs) specifically related to the consideration of Air Quality assessment for planning applications for new development. Some Local Authorities have brought this forward independently but many have formed combined Air Quality Partnerships such as within West Yorkshire and Sussex. Case Studies of Supplementary Planning Guidance are available on the AQ Hub<sup>23</sup>.
- 2.106 Typically, an SPD would define the scale of the development and associated expected detail of Air Quality Assessment required by the local authority.
- 2.107 While best practice national guidance is likely to still be used to define the effects of changes in concentrations as a result of development, SPDs can set out expected levels of mitigation required as part of developments. This can include setting out measures such as EV Charging provision.
- 2.108 Air Quality SPDs are separate to the LAQM process, but should they include any requirements for quantification of emissions, the guidance within LAQM.TG22 should be followed for calculations of concentrations at discrete receptor locations.
- 2.109 SPDs are encouraged to be as clear and straightforward as possible for planning applicants to provide the required information.

# CHAPTER 3: Annual Status Report (England) and Annual Progress Report (Scotland and Wales)

## Introduction

- 3.1 This chapter provides guidance to local authorities in England, Scotland and Wales in the preparation of air quality Annual Status Reports (ASR) (or Annual Progress Reports (APR) in Scotland and Wales). The ASR/APR replaces the need for these local authorities to produce separate air quality Updating and Screening Assessments or Progress Reports. It may also contain any additional technical information required to support the decision to declare / amend or revoke AQMAs (such as detailed dispersion modelling), which was previously required as part of separate Detailed Assessments.
- 3.2 The ASR/APR is not addressed to local authorities in Northern Ireland, for which Updating and Screening Assessments (Chapter 4), Progress Reports (Chapter 5) and Detailed Assessments (Chapter 6) still need to be prepared and submitted separately.
- 3.3 The aim of the ASR/APR is to simplify and streamline the LAQM system by combining the requirements of the Updating and Screening Assessment and Progress Report and, when required, additional supporting evidence. An ASR/APR needs to be prepared by local authorities every year.
- 3.4 If local authorities have declared AQMAs and have produced an Action Plan, the ASR/APR should also include a section discussing progress on Action Plan measures.
- 3.5 Directors of Public Health must be part of the air quality management process in local authorities in England. Working in partnership will increase support for measures to improve air quality, with co-benefits for all. It is recommended that Directors of Public Health review and approve local authority ASRs in England.
- 3.6 The ASR should be submitted electronically using the LAQM Portal<sup>8</sup>. Local authorities should download the ASR/APR template available on the LAQM Portal or the LAQM Support website<sup>40</sup>, complete offline, and upload through the LAQM Portal once completed.
- 3.7 It is mandatory for local authorities in England to submit their diffusion tube monitoring data via the DTDES prior to submitting their ASR on the LAQM Portal.
- 3.8 Where a conglomerate of authorities work together on LAQM, it is permissible to submit a single, combined ASR/APR on behalf of all the authorities. Sufficient detail should be provided for each local authority submitting a combined ASR/APR to enable appraisal at the individual local authority level against each of the required report inputs.

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<sup>40</sup> <https://laqm.defra.gov.uk/annual-reporting/>

- 3.9 Defra must be informed at the start of the reporting year if multiple local authorities intend to submit a combined ASR/APR to ensure the LAQM Portal<sup>8</sup> is updated accordingly to accept a combined report. Local authorities in England will need to submit their diffusion tube data separately via the DTDES even if a combined ASR is being submitted.
- 3.10 A reminder and warning process is in place to ensure local authorities in England deliver their ASRs on time and in line with the LAQM guidance. Details of when enforcement letters are to be sent out can be found within LAQM.PG22. Compliance with ASR submission requirements, as specified in LAQM.PG22, are normally required for Air Quality Grant applications from English local authorities to be considered.
- 3.11 Should a local authority in England fail to produce their ASR by the end of the calendar year (6 months past ASR deadline) and in the absence of engagement with the LAQM helpdesk, the local authority may be issued with a ministerial direction under section 85 (3) of the Environment Act 1995.

## The Format and Content of Annual Status / Progress Reports

- 3.12 The ASR/APR should follow the structure below:
- Overview of air quality and actions being taken in the local authority's administrative area – this should be aimed at the members of the public and relevant stakeholders;
  - A brief discussion of the LAQM regime;
  - Actions to improve air quality – this section should include the following subtopics:
    - A description of currently declared AQMAs;
    - A section discussing the progress, and impact of Action Plan measures. For local authorities who have not declared any AQMA, this section should be used to provide an update on any other measure or policy that is part of other documents, such as Local Transport Plans (LTPs), Air Quality Strategy or Climate Change Strategy;
    - A section presenting the local authority's approach to reducing PM<sub>2.5</sub> emissions and/or concentrations (ASR and Wales APR only);
    - A section describing progress against any 'Cleaner Air for Scotland' actions relevant to the local authority (Scotland only);
    - A section describing if and how airborne pollution figure in the local authorities' well-being objectives (Wales only);
    - A section describing any policies the local authorities have in place to reduce overall levels of NO<sub>2</sub>, particulate matter and environmental noise pollution for the population as a whole, taking into consideration the Welsh air quality exposure indicators and national noise maps (Wales only).

- A summary of air quality monitoring data collated over the past five years, and comparison of the latest available results with the Air Quality objectives. This section should present NO<sub>2</sub>, PM and (except in Wales) SO<sub>2</sub> monitoring data as a minimum; and
- If necessary, additional supporting information, such as screening assessments of new developments or changes in existing sources of pollution over the past year, or detailed dispersion modelling of emissions to support the declaration / amendment or revocation of AQMAs, should be provided in Appendix. Further information is provided in Chapter 7 Section 1 – Screening Tools and Methodology.

3.13 The APR also has the following additional sections:

- New local developments – this section should detail any new developments that may affect air quality, with relevant exposure nearby;
- Planning applications – this section should detail any submitted or approved planning applications that may affect air quality, with relevant exposure nearby; and
- Conclusions and proposed actions – this section should summarise the findings of the APR and detail the next course of action to be undertaken.

3.14 Further guidance on the minimum requirements for the ASR/APR is provided below.

### **Executive Summary: Air Quality in Our Area**

3.15 This section is intended to be the public facing section of the ASR/APR. Therefore, it should aim at summarising, in simple terms, the following:

- What are the key air quality issues within the local authority's area, based on the findings of new information, such as monitoring data (either locally retrieved and/or from the national network), screening of new/changed sources of pollution, or detailed dispersion modelling work? Is there a need to declare new AQMAs or amend existing AQMAs?
- What are the key actions that the local authority has / intends to put in place to tackle these issues?

### **Local Air Quality Management**

3.16 This section will introduce the statutory process and mechanisms of the LAQM regime, and briefly introduce the relevant air quality objectives:

- For England and Wales, these include the objectives associated to NO<sub>2</sub>, PM<sub>10</sub> and (in England) SO<sub>2</sub>;
- The objectives applicable in Scotland are the same as those applicable in England, but also include the Scotland-specific PM<sub>10</sub> and PM<sub>2.5</sub> objectives.

## Actions to Improve Air Quality

- 3.17 This should be the core section of the ASR/APR, focusing on the actions already implemented and/or actions that the local authority plans to implement to work towards compliance with the air quality objectives.
- 3.18 If the local authority has declared AQMAs in previous stages of the Review and Assessment process, a brief description of each AQMA should be provided, including:
- The name of the AQMA;
  - The pollutant(s) and air quality objective(s) declared;
  - A geographical description of the AQMA (city/town and description of the extent – i.e. roads/junctions etc.); and
  - A link to the associated AQAP (if published), which should be available for download on the local authority's website.
- 3.19 This section should be brief, with key information presented in a summary table. The focus should be on currently declared AQMAs only. The ASR/APR should link to Defra's AQMA website<sup>16</sup> for further information, which already includes maps of the AQMAs, dates of declaration, a list of revoked AQMAs and other useful information.
- 3.20 If an AQAP has been produced and measures implemented, this section should provide information on how the local authority has progressed / is progressing with the measures since last year. It should inform the reader on all measures completed, on-going, and planned. For measures completed or on-going, the ASR/APR should summarise the impact on air quality, clearly highlighting successes and difficulties. For measures not yet implemented, the ASR/APR should summarise the expected benefits on air quality, and link to the AQAP for further information.
- 3.21 The ASR/APR template includes a summary table, which should help local authorities report on action plan progress.
- 3.22 If the local authority has not declared any AQMA so far, this section should present, if relevant, the status of any other strategy or policy document likely to have a beneficial impact on air quality. This may include:
- Air Quality Strategies;
  - Local Transport Plans (LTPs);
  - Planning Policy documents – (i.e. Supplementary Planning Guidance); and
  - Climate Change Strategies.
- 3.23 The ASR/APR should provide the following information about the above documents:
- How is the strategy/plan/guidance progressing?

- If completed, how is implementation progressing?
- When will the strategy/plan/guidance be reviewed/updated?

3.24 This section of the APR (in Scotland) should include a report on progress against any Cleaner Air for Scotland 2 actions that are relevant to the local authority. There are two mandatory actions that require commentary, these are:

- Local authorities with support from the Scottish Government will assess how effectively air quality is embedded in plans, policies, City Deals and other initiatives, and more generally in cross departmental working, identifying and addressing evidence, skills, awareness and operational gaps.
- Local authorities working with Transport Scotland and SEPA will look at opportunities to promote zero-carbon city centres within the existing LEZs structure.

3.25 In addition, any further actions which the local authority wishes to provide evidence of should be included within this section.

### **Air Quality Monitoring Data and Comparison with Air Quality Objectives and National Compliance**

3.26 The ASR/APR<sup>41</sup> should summarise local monitoring data collated by the local authority over the past five years, and particularly focus on the last year's results, comparing these against the air quality objectives. The focus should be on NO<sub>2</sub>, PM<sub>10</sub>, PM<sub>2.5</sub> (where appropriate) and (except in Wales) SO<sub>2</sub>. Both long-term (i.e. annual means) and short-term (i.e. daily, hourly, or 15-min means) data should be reported and compared against the relevant objective.

3.27 It is now a requirement for all English local authorities to submit their annual non-automatic (passive) NO<sub>2</sub> monitoring data to Defra through the LAQM Portal<sup>8</sup> via the DTDES<sup>42</sup>. This requirement is prompted within the ASR and should be completed once a year as soon as all relevant data processing, as detailed within Chapter 7 Section 2, has been completed. The ASR will not be able to be uploaded onto the LAQM Portal until the diffusion tube NO<sub>2</sub> monitoring data has been submitted via the DTDES.

3.28 The monitoring data should include both automatic monitoring analysers and (for NO<sub>2</sub>) passive diffusion tubes. The ASR/APR should only include a brief summary of monitoring data in the body of the report, with all technical information, including tabular results, presented in Appendix, as per the template. Supporting technical information should include:

- Quality Assurance / Quality Control (QA/QC) information, such as data capture;
- Annualisation factors (to estimate annual mean concentrations based

<sup>41</sup> Scotland intends for local authorities to monitor PM<sub>2.5</sub>

<sup>42</sup> <https://www.laqmportal.co.uk/login/dtdes/dtdes-upload?la=1>

on short-term monitoring results);

- Bias adjustment factors (to estimate annual mean concentrations as determined by non-automatic (passive) diffusion tube methods);
- NO<sub>2</sub> distance correction (to estimate annual mean concentration at a point of relevant exposure); and
- Other data corrections, such as Volatile Correction Model (VCM) for non-gravimetric equivalent PM<sub>10</sub> monitoring (see Chapter 7 for further information).

3.29 The summary results of monitoring data should answer the following questions:

- Have there been any changes in the local authority's air pollution monitoring network (new/closed/relocated sites, change in monitoring methodology) over the past year – and if so, for which reason(s)?
- Are concentrations reducing in existing AQMAs?
- Are there any new exceedances of the air quality objectives outside currently declared AQMAs?

3.30 If such exceedances have been found, the local authority should conclude on the need to declare an AQMA or not at this stage. Further information about the potential actions is provided below.

### **New Local Developments**

3.31 The APR should detail any new developments that may affect air quality, with relevant exposure nearby, such as:

- Developments leading to a significant change in road traffic flows or other transport sources;
- Industrial installations;
- Biomass boilers;
- Combined Heat and Power (CHP) plant; and
- Landfill sites, quarries, etc.

3.32 If available, the outcome of air quality assessments submitted as part of the planning application should be summarised and referenced in the APR, especially for large developments subject to Environmental Impact Assessment (EIA).

3.33 The APR should list these developments and, where necessary, ensure that they are considered more thoroughly, either through the application of the appropriate screening tool or a detailed modelling approach. Any such assessments should be provided as additional supporting technical information – see paras 3.43 to 3.46 for further information.

3.34 Whilst this section does not form part of the ASR, where such needs have

been identified, any additional supporting technical information in relation to changes in air pollution sources (which may include new local developments) should be presented in an Appendix – see paras 3.43 to 3.46 for further information.

### **Planning Applications**

- 3.35 APRs provide the opportunity to log planning applications for new developments under consideration to give a picture of areas where changes in air quality may take place and where combined impacts from several developments may become important.
- 3.36 The information provided in this section of the APR could therefore include a list of the major planning applications under consideration that might affect air quality. Such a list could be based on those applications for which an air quality assessment was being provided or for which an air quality assessment had been requested.
- 3.37 This section does not form part of the ASR.

### **Conclusions and Proposed Actions**

- 3.38 This section of the APR should summarise the key findings and detail the next course of action to be undertaken.
- 3.39 Consideration should be given in the APR to conclusions from new monitoring data, including any significant trends and comparison against the relevant air quality objectives. Of particular interest would be if exceedances have been identified within or outside of existing AQMAs, or if monitoring results within AQMAs are all below the air quality objective.
- 3.40 The APR should provide a summary of any conclusions reached from the consideration of any new local developments that have the potential to affect air quality.
- 3.41 Finally, the APR should also provide a clear list of the proposed actions that the local authority intends to take in response to the conclusions reached in the APR. By way of example, this may include undertaking further detailed studies, changes to existing monitoring programmes, changes to AQMA boundaries, or a review of AQAP measures.
- 3.42 Although this section does not form part of the ASR, similar information is expected to be provided in the Executive Summary: Air Quality in Our Area section – see para 3.15 for further information.

### **Additional Supporting Technical Information**

- 3.43 As part of the ASR/APR, the local authority should also review and assess the main sources of pollution within the area. Prior to the implementation of the ASR/APR process, this was done as follows:
- The Review and Assessment Progress Report contained a list of

changes/new sources of air pollution identified since the previous year. The Progress Report only needed to flag these up without any further action, so that these could be assessed in the following Updating and Screening Assessment report.

- The Updating and Screening Assessment required the local authority to screen any new or changed sources, to determine whether a Detailed Assessment was needed or not, before deciding whether a new AQMA was necessary or not.

3.44 The ASR/APR still requires such changes in air pollution to be identified, and if deemed necessary, screened to determine whether their impact on air quality is deemed significant.

3.45 Over the past few years, the vast majority of local authorities have not identified any significant changes in sources of air pollution, as most air quality hotspots across the UK have now been identified and well documented. As a result, the importance of screening assessments of new/changed sources has progressively reduced, and the focus has switched to air pollution monitoring data. It is therefore expected that this trend will continue. Therefore, screening assessments, if required, should only be presented in an Appendix. The local authority should be able to identify the need for a screening assessment using the information provided in Chapter 7, Section 1 – Screening Tools and Methodology.

3.46 If necessary, detailed dispersion modelling of emissions to support the declaration / amendment or revocation of AQMAs, should be provided as an additional supporting technical information Appendix to the ASR/APR.

### **Declaration of AQMAs Based on the ASR/APR<sup>43</sup> Findings**

3.47 As of February 2022, there were more than 600 AQMAs currently declared across the UK (over 500 of which are in England). There are currently 214 Local Authorities that have one or more AQMAs declared within their jurisdiction. Of these, the vast majority (over 95%) are related to road traffic emissions, where attainment of the annual mean objective for nitrogen dioxide (NO<sub>2</sub>) is considered unlikely, sometimes in association with exceedances of the 24-hour mean PM<sub>10</sub> objective, or in Scotland the annual mean PM<sub>10</sub> objective.

3.48 By comparison, there are very few AQMAs associated with domestic, industrial or other transport-related emissions, although in Northern Ireland a number of AQMAs have been declared as a consequence of pollution associated with the residential heating sector. Additional information about AQMAs is available on the UK-Air website<sup>44</sup>.

3.49 Based on the information collated and reported in the ASR/APR, the local

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<sup>43</sup> Refer to LAQM Policy Guidance (Scotland) 2016 for further details  
<http://www.gov.scot/Publications/2016/03/9717>

<sup>44</sup> <https://uk-air.defra.gov.uk/aqma/>

authority should identify whether there is a risk of exceeding an air quality objective outside any pre-existing AQMAs. If this is the case, the local authority will need to proceed to the declaration of an AQMA without delay. This should be possible if the monitoring data and/or screening assessment results are deemed sufficient to conclude on the risk of exceedance and the area likely to be affected. It should also be the case if more detailed information collated over the past 12 months (such as detailed dispersion modelling of road traffic or industrial emissions) is now available and can be appended to the ASR/APR to support the decision to declare. In England, from 2023, an AQMA must be declared within 12 months from identifying an exceedance. Local authorities in Scotland should discuss declaration proposals and requirements on a case by case basis with the Scottish Government.

- 3.50 For local authorities without any / with little experience of the AQMA declaration process, guidance to determine the likely extent of AQMAs based on available technical information (such as traffic data) is available in Chapter 7, as well as on the LAQM Support Website, based on feedback on AQMAs.
- 3.51 In some cases, an AQMA declaration is necessary when new exposure is introduced to an area where none existed previously. A scenario where this may be required is explained in Box 3-1.

### Box 3-1 – Case Study: New Exposure and AQMA Declaration

A new residential development has introduced exposure into an area, which the local authority considers is likely to be in exceedance of the annual mean objective for NO<sub>2</sub>. The area is not currently within an AQMA, as there is no relevant exposure. The scheme includes mechanical ventilation (with opening windows), such that air is drawn from roof level, where concentrations are below the objective.

In this instance, despite the scheme incorporating mechanical ventilation, the local authority should still go ahead and declare an AQMA at this location, as consideration must be given to pollutant concentrations at locations outside a building where there is relevant exposure.

If the geographical extent of the exceedance area has previously been set out, then no further work would be required. If the local authority had not previously included this area as part of a detailed study (as there was judged to be no relevant exposure), then further work would be required to define the likely area of exceedance.

- 3.52 Where an exceedance of Air Quality standards has been identified crossing the boundary of two or more local authority areas, it is possible to submit a 'joint AQMA through a collaborative approach between the local authorities responsible. The process for declaring a joint AQMA is the same as for an AQMA located entirely within a single local authority boundary but the LAQM Helpdesk should be informed as soon as possible in order to document the AQMA appropriately on public websites and within the LAQM Portal.

### Amendment and Revocation of AQMAs

- 3.53 In most cases the decision to amend or revoke an AQMA should only be taken following a detailed study, to be appended to the ASR/APR as additional supporting technical information. A modelling study may allow compliance to be assessed over a wider geographical area than when compared to monitoring alone. This should set out in detail all the available information used to reach the decision, with the same degree of confidence as was provided for

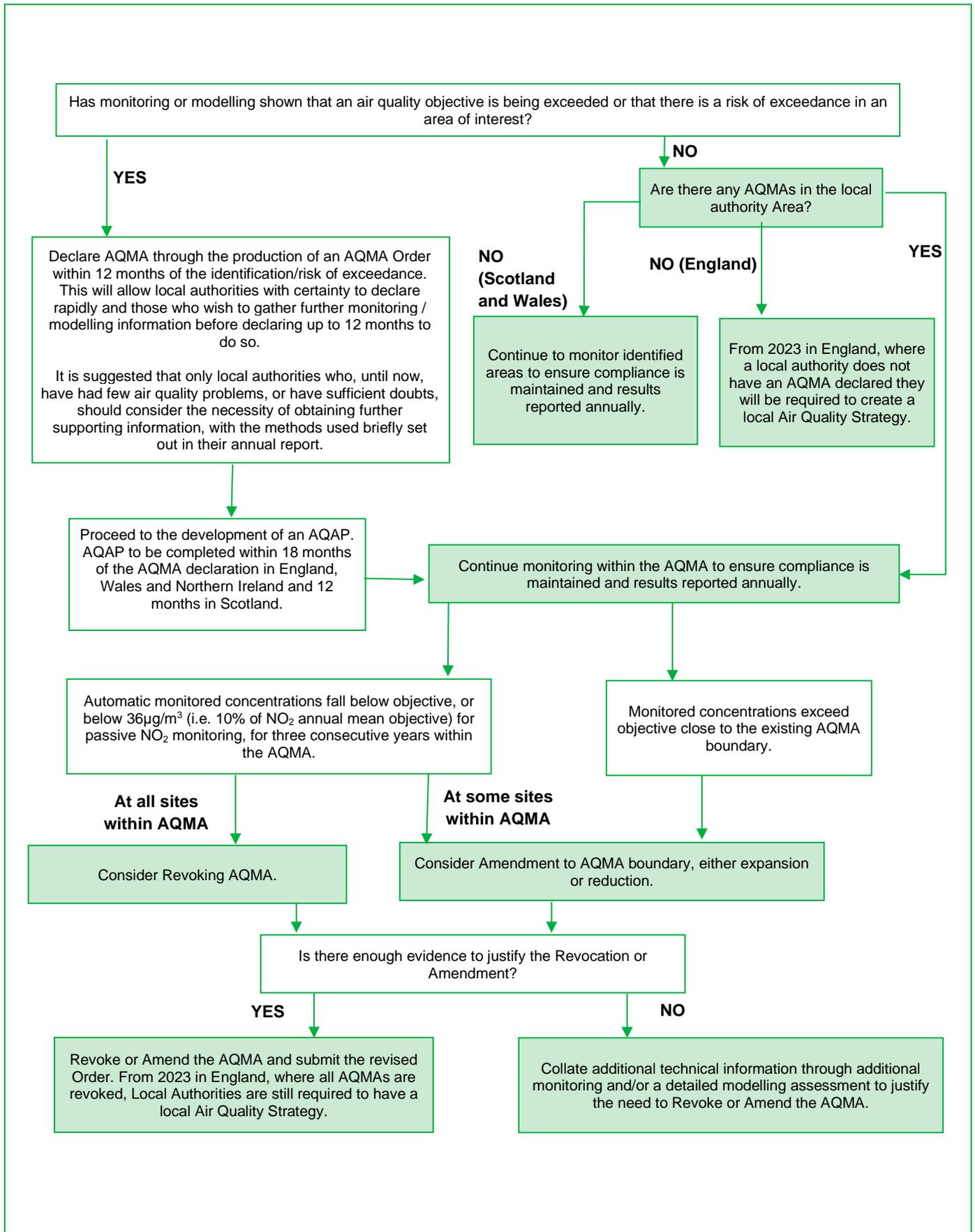
the original declaration. If the conclusions of the study are suitably robust to allow an assessment of compliance to be determined, either an amendment or revocation can be taken forward. Due to the inherent uncertainties of dispersion modelling, consideration should be given to predicted concentrations being 10% below the relevant objective before an amendment or revocation of an AQMA is completed.

- 3.54 It is not advisable for the revocation of an AQMA to be based solely upon compliance in a year not representative of long-term trends. For example, compliance being reached in 2020 may not be representative of long-term trends in pollutant concentrations due to the change in activity observed across the UK as a result of COVID-19 and associated lock down measures. Where 2020 is one of many consecutive years of compliance, this may be considered for revocation.
- 3.55 However, in some instances if compelling evidence exists, detailed modelling to support the decision to amend/revoke an AQMA may not be necessary and an AQMA may be amended or revoked following a screening assessment or on the basis of robust monitoring evidence.
- 3.56 However, pollutant concentrations may vary significantly from one year to the next, due to the influence of meteorological conditions, and it is important that authorities avoid cycling between declaring, revoking and declaring again, due simply to these variations. Therefore, before revoking an AQMA on the basis of measured pollutant concentrations, the authority therefore needs to be reasonably certain that any future exceedances (that might occur in more adverse meteorological conditions) are unlikely. For this reason, it is expected that authorities will need to consider measurements carried out over several years or more, national trends in emissions, as well as local factors that may affect the AQMA, including measures introduced as part of an Air Quality Action Plan, together with information from national monitoring on high and low pollution years.
- 3.57 The revocation of an AQMA should be considered following three consecutive years of compliance with the relevant objective as evidenced through monitoring. Where NO<sub>2</sub> monitoring is completed using diffusion tubes, to account for the inherent uncertainty associated with the monitoring method, it is recommended that revocation of an AQMA should be considered following three consecutive years of annual mean NO<sub>2</sub> concentrations being lower than 36µg/m<sup>3</sup> (i.e. within 10% of the annual mean NO<sub>2</sub> objective). There should not be any declared AQMAs for which compliance with the relevant objective has been achieved for a consecutive five-year period.
- 3.58 The LAQM Support Helpdesk is available for consultation in regard to the evidence requirements to support either an amendment or a revocation of an AQMA.
- 3.59 If a local authority in England no longer has any declared AQMAs remaining, from 2023, the local authority should put in place a local air quality strategy to ensure air quality remains a high profile issue and to ensure it is able to respond quickly should there be any deterioration in condition. Further, those

authorities in England who have not had to designate AQMAs and produce AQAPs will, from 2023, be required to draw up a local Air Quality Strategy

3.60 The flowchart in Box 3-2 below provides an example of the possible routes to the declaration, amendment and revocation of an AQMA.

## Box 3-2 – AQMA Process Diagram



- 3.61 Information for any declared, amended or revoked AQMA should be submitted via the LAQM Portal<sup>8</sup>. This can be done by viewing all AQMAs on the Reporting page of the LAQM Portal. A new AQMA can be submitted through the “Submit New AQMA” button at the top of the page. Alternatively, a declared AQMA can be amended or revoked by selecting the specific AQMA from the table. For any assistance, please contact [admin.laqmportal@bureauveritas.com](mailto:admin.laqmportal@bureauveritas.com).
- 3.62 The following information is required for any declaration or amendment to an AQMA:
- AQMA Name;
  - Date of declaration/amendment;
  - The AQMA Order. This should be uploaded as a pdf file;
  - AQMA Description e.g. does it include certain roads; any physical features such as street canyons or heavy traffic around a supermarket etc.;
  - Source of emissions selected from a drop-down list;
  - Pollutant and objective the AQMA is declared for. If amending an AQMA to declare or revoke a specific pollutant this should be updated using the check boxes under “Pollutants”;
  - A shapefile detailing the boundary of the AQMA. This should be uploaded as a zipped folder; and
  - An AQMA map via upload of a pdf, jpg or bmp file.
- 3.63 Local Authorities should also:
- Ensure the Order is accessible to members of the public and enquirers; and
  - Ensure Defra receive a copy of the Order for its records via the LAQM Portal
- 3.64 If an AQMA is being amended, details explaining what has been changed need to be provided.
- 3.65 When an AQMA has been approved on the LAQM portal, the details will be updated on the UK-Air website within approximately one month.

# CHAPTER 4: Progress Report – Northern Ireland

## Introduction

- 4.1 This chapter provides guidance to local authorities in Northern Ireland in the preparation of air quality Progress Reports. It is not addressed to local authorities in England, Scotland or Wales, for which Progress Reports have been replaced by the Annual Status Report (England) / Annual Progress Report (Scotland and Wales) (see Chapter 3).

## Role of Progress Reports

- 4.2 Progress Reports were introduced into the LAQM system following a detailed evaluation of the Review and Assessment process at the end of the first round. This evaluation identified a need to maintain continuity in the LAQM system, which in turn would make the periodic Review and Assessments easier to carry out.
- 4.3 Progress Reports are not intended to represent a further Updating and Screening Assessment, although authorities are reminded that if at any time they identify a risk of exceedance of an air quality objective, then they should proceed immediately to a Detailed Assessment and not delay until the next round of Review and Assessment.

## When are Progress Reports Required?

- 4.4 Progress Reports are intended to provide continuity in the LAQM system. They fill the gaps between the three-yearly requirement to undertake an Updating and Screening Assessment. The timetable for Progress Reports is illustrated in Table 1-2. They are only required in years when the authority is not undertaking an Updating and Screening Assessment.

## The Format and Content of Progress Reports

- 4.5 Progress Reports should be submitted electronically using the LAQM Portal<sup>8</sup>.
- 4.6 Local authorities should download the Progress Report template available on the LAQM Portal or the LAQM Support website<sup>40</sup>, complete offline, and upload back through the LAQM Portal once completed.
- 4.7 Where a conglomerate of authorities work together on LAQM, it is permissible to submit a single, combined Progress Report on behalf of all the authorities. Sufficient detail should be provided for each local authority submitting a combined Progress Report to enable appraisal at the individual local authority level against each of the required report inputs.
- 4.8 DAERA must be informed at the start of the reporting year if multiple local authorities intend to submit a combined Progress Report to ensure the LAQM Portal<sup>8</sup> is updated accordingly to accept a combined report.
- 4.9 The following sections set out the minimum reporting requirements and

optional additional elements for Progress Reports. For those authorities implementing Air Quality Action Plans, the Progress Report also needs to include a section reporting progress on Action Plans.

- 4.10 When preparing their reports, authorities should bear in mind that the overall aim is to report progress on implementing the LAQM system, and in achieving / maintaining pollutant concentrations below the air quality objectives. Examples of standard Progress Reports are available on the LAQM support website<sup>45</sup>.

## Minimum Requirements for Progress Reports

- 4.11 The overall aims of the Progress Report should be to:
- Report progress on implementing LAQM; and
  - Report progress in achieving or maintaining concentrations below the air quality objectives.
- 4.12 It is considered these aims can best be achieved by addressing the following:
- New monitoring results;
  - New local developments that might affect local air quality;
  - Update on current/planned/revoked AQMAs; and
  - Progress on Action Plans.
- 4.13 This section provides guidance on the minimum requirements for what is expected under each of these headings.

### Introduction

- 4.14 This section should provide an introduction to LAQM within the local authority, with a description included that describes the geography of the area and details on the major sources identified.
- 4.15 A summary of previous rounds of Review and Assessment is to be provided, with the main conclusions to be stated and details on any on-going/future assessments that have not yet been completed.

### New Monitoring Results

- 4.16 Most local authorities are carrying out some form of air quality monitoring in their area, which supplements the data available from national network sites. The Progress Report should provide a summary of all available monitoring results (both automatic and non-automatic) and compare these with the relevant air quality objectives. The QA/QC and data verification procedures should also be reported. Further guidance is provided in Chapter 7.
- 4.17 When reporting the monitoring data the following should be included where

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<sup>45</sup> <https://laqm.defra.gov.uk/air-quality/action-planning/examples-of-good-practice/>

possible:

- A table providing a description of all monitoring sites, including site name and ID number, location (OS grid coordinates), site type, pollutants monitored, distance from the kerb, whether it is in an AQMA, and whether it is representative of relevant exposure;
- A map showing the monitoring locations, or reference to a map in a previously published document, as long as it is readily available;
- Explanation of any change in the air quality monitoring network (new sites installed / old sites closed);
- Summary tables of concentrations that allow ready comparison with the air quality objectives; and
- Plots showing trends in concentrations.

4.18 Care should be exercised in discussing trends, as changes in concentrations can occur from year to year due to weather conditions. It is normal practice to only consider a trend as being significant when five years' worth of data are available, although a longer timescale may be appropriate for some pollutants, for example, PM<sub>10</sub>. When reporting PM<sub>10</sub> trends, only data derived from the same method should be used. For example, for Tapered Element Oscillating Microbalance (TEOM) PM<sub>10</sub> analysers, results corrected using the Volatile Correction Model (see Chapter 7 para 7.160) should not be mixed with previous results corrected using an older method.

### **New Local Developments**

4.19 This section should deal with granted new developments that may affect air quality, with relevant exposure nearby, such as:

- Industrial installations;
- Biomass boilers;
- Combined Heat and Power (CHP) plant;
- Developments leading to a significant change in traffic flows; and
- Landfill sites, quarries, etc.

4.20 If available, the outcome of air quality assessments submitted as part of the planning application should be summarised and referenced, especially for large developments subject to Environmental Impact Assessment (EIA).

4.21 The Progress Report should list these developments so that they can be considered more thoroughly in the next Updating and Screening Assessment.

### **Implementation of Action Plans**

4.22 If local authorities have produced an Action Plan, they are also required to report the progress made with regards to the Action Plan measures. Initially, local authorities were required to submit a separate Action Plan Progress Report. However, the Action Plan Progress Report should now be combined

with the Review and Assessment Progress Report<sup>46</sup>. The role of Action Plan Progress Reports is set out in the relevant Policy Guidance documents<sup>3</sup>.

4.23 Local authorities should also include the following:

- Comments detailing, where possible, the impact of implemented measures on air quality;
- Progress made during the year;
- Progress made over the lifetime of the action plan so far, and comparison with the original AQAP; and
- The original timescales for implementation of the measures, and dates on which the measures were actually implemented.

4.24 The report should also look forward to the next year: the original targets set in the Action Plan should be reviewed and revised if necessary, and an implementation plan for the forthcoming year should be included.

4.25 The reporting of action plan progress should follow the structure and format of the summary table included in the Progress Report template<sup>40</sup>.

## Recommended Additional Elements

4.26 The Progress Report also provides an ideal opportunity to report on other aspects of the authority's work on air quality. Possible elements include the following, and should be added to the Progress Report if available:

- Reporting of additional monitoring data not covered by the LAQM system;
- Progress on local air quality strategies;
- A list of on-going / upcoming planning applications that could affect air quality;
- Progress on implementing LTP measures that should improve air quality;
- Any relevant updates on planning policies that relate specifically to air quality; and
- Any other areas of local interest that the authority also wishes to incorporate.

## Additional Monitoring Data

4.27 Authorities may find it helpful to report on their monitoring for pollutants not covered by the regulations, for example, O<sub>3</sub>, PAH, etc, as well as other air quality data, for example, odour complaints, dust deposition, radiation monitoring, etc. Authorities may already be reporting such data to members of

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<sup>46</sup> Note that for years when an Updating and Screening Assessment (USA) is due, the Action Plan Progress Report should still be submitted as a standalone report, rather than included within the USA report

the public, so it should be straightforward to include this information.

### **Local Air Quality Strategy**

- 4.28 The relevant Policy Guidance documents recommend that all authorities, particularly those that have not declared / do not expect to declare AQMAs, but have identified areas close to the air quality objectives, should consider drawing up a local air quality strategy.
- 4.29 Progress Reports provide the opportunity for the authority to report on the development of its strategy, or (where a strategy is in place) on progress with implementation of any specific measures within the strategy. The following questions could be addressed:
- To what extent has the authority developed an air quality strategy?
  - If completed, how far has it been implemented?
  - How accessible is the strategy (for example, deposited in local libraries and/or published on the internet)?
  - When will the strategy next be reviewed?

### **Planning Applications**

- 4.30 The land-use planning system is recognised to play an integral part in improving air quality. This requires close co-operation between planners and environmental health officers. Some local authorities have developed procedures to help ensure planning applications that might have impacts on air quality are forwarded to the environmental health department for comment. This is considered to be an important first step and authorities are encouraged to ensure that suitable procedures are in place.
- 4.31 Progress Reports provide the opportunity to log planning applications for new developments under consideration to give a picture of areas where changes in air quality may take place and where combined impacts from several developments may become important.
- 4.32 The information provided in a planning section of the Progress Report could therefore include a list of the major developments under consideration that might affect air quality. Such a list could be based on those applications for which an air quality assessment was being provided or for which an air quality assessment had been requested.

### **Air Quality Planning Policies**

- 4.33 The policies set out in local authority planning documents<sup>47</sup> determine the authority's approach to the relationship between planning and air quality. They are important as new developments are judged against these policies. The Progress Report provides an ideal place to list these policies and to record changes that are introduced from time to time. This should extend to providing

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<sup>47</sup> i.e. "Local Development Plans" in Wales, and "Development Plans" in Northern Ireland

a reference to any supplementary planning guidance that is occasionally developed to address air quality matters.

### **Implementation of Local Transport Plans and Strategies**

- 4.34 The majority of air quality issues in the UK relate to emissions from the road transport sector (although in Northern Ireland, emissions from the residential sector are also significant).
- 4.35 Measures to improve air quality on a local scale are thus closely related to LTPs as well as transport measures planned or put in place by central government. Local authorities could choose to make a reference within the Progress Report to those measures within the LTP that specifically relate to bringing about air quality improvements. It may be appropriate to use the same text in both reports. Repetition should not be an issue as the reports address different audiences.

# CHAPTER 5: Updating and Screening Assessment – Northern Ireland

## Introduction

- 5.1 This chapter provides guidance to local authorities in Northern Ireland in the preparation of Updating and Screening Assessments (USAs). It is not addressed to local authorities in England, Scotland or Wales, for which Updating and Screening Assessments have been replaced by the Annual Status Report (England) / Annual Progress Report (Scotland and Wales) (see Chapter 3).

## Role of Updating and Screening Assessments

- 5.2 The Updating and Screening Assessment is intended to identify any significant changes that may have occurred since the previous rounds of Review and Assessment were completed. This will include new monitoring data, new or changed emissions sources (either locally or in neighbouring authorities), or any other local changes that might affect air quality.
- 5.3 In completing the Updating and Screening Assessment, authorities are encouraged to maximise and draw upon the work completed during earlier rounds of Review and Assessment.
- 5.4 It is recognised that many local authorities, through their previous Review and Assessment work, may have established detailed emissions inventories and applied various dispersion models. The following sections of this chapter set out the screening approach to use to complete the Updating and Screening Assessment.

## When are Updating and Screening Assessments Required?

- 5.5 Updating and Screening Assessments are required every three years, at the start of each round of Review and Assessment. The timetable for Updating and Screening Assessments is illustrated in Table 1-2.

## The Format and Content of Updating and Screening Assessments

- 5.6 Updating and Screening Assessment reports should be filed electronically using the LAQM Portal<sup>8</sup>. Local authorities should download the Updating and Screening Assessment report template available on the LAQM Portal or the LAQM Support website<sup>40</sup>, complete offline, and upload back through the LAQM Portal once completed. The format of the Updating and Screening Assessment template follows the checklist provided in the following sections.
- 5.7 The Updating and Screening Assessment checklists follow a source-by-source approach. For each source, all pollutants covered by LAQM regulations need to be assessed. A summary of the emission source categories that need to be considered is provided in Box 5-1. In each case, these sources need only be considered if they are new, if they have not previously been considered, or if there have been significant changes since the last round of Review and

Assessment. Guidance on how to collate monitoring data and compare against the AQS objectives is provided in Box 5-2. The focus is upon new monitoring data, but it is also useful to show longer-term trends wherever possible.

- 5.8 Detailed methodology and worked examples to screen pollution sources are provided in Chapter 7.

## Box 5-1 – Summary of Emission Sources and Relevant Pollutants to be considered as part of the Updating and Screening Assessment

Source Reference	Emission sources to be assessed	Relevant Pollutants
<b>A: Road Transport Sources</b>		
A.1	Narrow congested streets with residential properties close to the kerb	NO <sub>2</sub>
A.2	Busy streets where people may spend one hour or more close to traffic	NO <sub>2</sub>
A.3	Roads with a high flow of buses and/or HGVs	NO <sub>2</sub> , PM <sub>10</sub>
A.4	Junctions	NO <sub>2</sub> , PM <sub>10</sub>
A.5	New roads constructed since the last round of Review and Assessment	NO <sub>2</sub> , PM <sub>10</sub>
A.6	Roads with significantly changed traffic flows	NO <sub>2</sub> , PM <sub>10</sub>
A.7	Bus and coach stations	NO <sub>2</sub>
<b>B: Other Transport Sources</b>		
B.1	Airports	NO <sub>2</sub>
B.2	Railway (diesel and steam trains)	SO <sub>2</sub> , NO <sub>2</sub>
B.3	Ports (shipping) <sup>48</sup>	SO <sub>2</sub>
<b>C: Industrial Sources</b>		
C.1	Industrial installations (new installations and those with significantly increased emissions)	Benzene, 1,3-butadiene, lead, NO <sub>2</sub> , SO <sub>2</sub> , PM <sub>10</sub>
C.2	Major petrol storage depots	Benzene
C.3	Petrol Stations	Benzene
C.4	Poultry farms	PM <sub>10</sub>
<b>D: Commercial and Domestic Sources</b>		
D.1	Biomass combustion (including domestic solid-fuel burning for PM <sub>10</sub> )	NO <sub>2</sub> , PM <sub>10</sub>
D.2	Domestic solid-fuel burning	SO <sub>2</sub> , PM <sub>10</sub>
<b>E: Fugitive or Uncontrolled Sources</b>		
E.1	Quarries, landfill sites, opencast coal mining, waste transfer sites, materials handling (i.e. ports, major construction sites)	PM <sub>10</sub>

<sup>48</sup> Fugitive emissions from materials handling at docks and ports are dealt with in E.1

## Box 5-2 – Updating and Screening Assessment Checklist - Comparison of Monitoring Data against the Air Quality Objectives

Steps	Notes
<p>1 - Collate all monitoring data</p>	<p>Include data from: the local authority monitoring network, national networks and other organisations, and if relevant, neighbouring authorities.</p> <p>Include all relevant information onsite types, monitoring methods, quality assurance and quality control, etc.</p>
<p>2 - Ratify and adjust the monitoring data</p>	<p>Ideally, all monitoring data should be ratified before use. The key steps are to ensure that continuous monitoring data have been screened and scaled – see Chapter 7 for details of how to do this. Where data are provisional, they should be clearly indicated as such.</p> <p>NO<sub>2</sub> diffusion tube data must be corrected for bias, and the approach taken clearly set out. Details regarding the laboratory performance and precision of the tubes should be provided wherever possible. See Chapter 7 para 7.218 for further information.</p> <p>PM<sub>10</sub> data should be measured by a method equivalent to the reference (i.e. gravimetric) method. Certain methods require adjustment, such as Tapered Element Oscillating Microbalance (TEOM) instruments, which needs to be corrected to provide gravimetric-equivalent concentrations (see Chapter 7). Check with the LAQM Support Helpdesk if any queries.</p>
<p>3 - Calculate all statistics relevant for comparison against the air quality objectives:</p> <ul style="list-style-type: none"> <li>• long-term concentrations (annual mean)</li> <li>• short-term concentrations (24-hour / 8-hour / 1-hour / 15-min mean)</li> </ul>	<p>Annual mean concentrations should represent a calendar year if possible. Where fewer than nine months (i.e. 75% assuming the Defra monitoring calendar<sup>49</sup> has been used) of data are available for a calendar year, adjust the result to estimate the annual mean using the procedure set out in Box 7-9 and</p> <p><b>Box 7-10</b></p> <p>Short-term statistics (such as the number of 8-hour and 1-hour means above a threshold) can only be calculated from continuous monitoring data.</p> <p>Where data capture is less than 85%, it is more appropriate to calculate the</p>

<sup>49</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/diffusion-tube-monitoring-calendar/>

Steps	Notes
	equivalent percentiles – see para 7.81 and Table 7-6 for further information.
4 - Compare monitoring data against the relevant air quality objectives	<p>Ensure that the monitoring site locations are representative of relevant public exposure (see para 7.126). For NO<sub>2</sub>, if this is not the case and the site is roadside, calculate the concentration at the nearest relevant exposure using the NO<sub>2</sub> fall-off with distance calculator before comparing against the objective.</p> <p>For diffusion tube monitoring, it can be considered that exceedances of the NO<sub>2</sub> 1-hour objective may occur at roadside sites if the annual mean is above 60µg/m<sup>3</sup> (see para 7.96).</p>
<p>4.1 - Outside AQMA</p> <p>If monitoring data show an exceedance of an AQS objective, and no AQMA has been declared for that objective, then proceed to a Detailed Assessment for the relevant pollutant at these locations</p>	The Detailed Assessment will be with a view to determining whether or not to declare an AQMA for the relevant pollutant(s) and objective(s).
<p>4.2 - Within AQMA</p> <p>If results within AQMA show compliance with the AQS objectives for which the AQMA has been declared, then proceed to a Detailed Assessment for the relevant pollutant at these locations</p>	The Detailed Assessment will be performed to determine whether or not to revoke an AQMA. However, if the monitoring sites are not at worst-case locations then it may not be appropriate to consider revoking the AQMA. Take into account the results of previous modelling for the AQMA. The decision will also depend on the history of results. Concentrations should normally be below the objective for several years before considering revoking, to avoid cycling between revoking and declaring.

## What Needs to be Considered Within the Updating and Screening Assessment?

5.9 The Updating and Screening Assessment is intended to identify changes that have occurred since the previous round of Review and Assessment. The focus is therefore upon:

- New sources (new roads, industrial installations, etc);

- Existing sources that have changed significantly (changed traffic flows, changed industrial installations, etc); or
- Existing sources that were not previously considered (for example, where there is now relevant exposure).

## Monitoring Data

- 5.10 Monitoring data can be used to identify new locations where there is a risk of exceedance of the air quality objectives, or to provide evidence that a previously declared AQMA may be revoked. In both cases, this would lead to a requirement for a Detailed Assessment.
- 5.11 The focus should be upon reporting new monitoring data collected during the last calendar year. However, a summary of monitoring data collated over the past five years should be included to provide valuable information on longer-term trends.

## Emission Source Categories to Consider

- 5.12 The following sections provide a summary of the source categories to consider in the Updating and Screening Assessment. These are divided in five categories, as follows:
- Road Traffic Sources;
  - Non-Road Transport Sources (i.e. Airports, Railway and Ports);
  - Industrial Sources;
  - Commercial and Domestic Sources; and
  - Fugitive or Uncontrolled Sources.
- 5.13 For each source category, detailed methodology, technical information, and worked examples to assist local authorities are provided in Chapter 7.

### A. Road traffic sources

- 5.14 The focus of attention for road traffic sources should be on relevant locations close to busy roads, especially:
- In congested areas and near to junctions, where emissions will be higher; and
  - In built up areas where the road is canyon-like, with the buildings either side of the road restricting dispersion and dilution of the emissions.
- 5.15 Where sufficient monitoring data are not available to assess potential exceedances at all relevant locations, a screening assessment for road traffic sources may be carried out. For that purpose, the local authority should use the Design Manual for Roads and Bridges (DMRB) model, or a more detailed dispersion model (if deemed more efficient, and if such a model has already been set up by the local authority in previous rounds of Review and Assessment), as detailed in Chapter 7.

- 5.16 Assessments of road traffic sources will require information on traffic flows, fleet composition and vehicle speeds. Ways to obtain traffic data are set out in Chapter 7 (see para 7.280).
- 5.17 Where predicted concentrations at relevant locations exceed any of the objectives, then local authorities should proceed to a Detailed Assessment.

## **B. Non-Road Transport Sources**

- 5.18 Non-road transport sources to consider should include:
- Airports (aircraft emissions);
  - Railways (stationary emissions of NO<sub>2</sub> and SO<sub>2</sub> from idling locomotives in stations and depots, as well as mobile emissions on busy lines with a significant number of diesel or coal-fired trains); and
  - Ports (shipping emissions).

## **C. Industrial Sources**

- 5.19 Industrial sources are controlled by the Northern Ireland Environment Agency (NIEA), and by local authorities under the Pollution Prevention and Control regulations. Local authorities also have controls over smaller industrial and commercial sources, largely through the Clean Air Act, with its associated control of the stack heights. As a result of these controls, there are relatively few sources that may be relevant to local authorities under the LAQM system. Many of these sources will have been addressed during previous rounds of Review and Assessment. The focus should thus be on new installations and those with significantly changed emissions.
- 5.20 While the number of sources that may be significant is limited, there is a wider range of pollutants to be considered.
- 5.21 The checklist is broken into four sections:
- C1 Industrial installations;
  - C2 Major fuel (petrol) storage depots;
  - C3 Petrol stations; and
  - C4 Poultry farms.

## **D. Commercial and Domestic Sources**

- 5.22 This section covers emissions from the commercial and domestic sector, including the service sector (for example, commercial offices, education, government, health, hotel and catering, retail, sport and leisure, warehousing, etc).
- 5.23 Consideration is given to the use of biomass combustion in the commercial and domestic sectors, and to other solid-fuel combustion in domestic use. In the majority of instances, the significance of domestic biomass combustion is relatively small, although there are concerns, particularly in urban areas, that a significant increase in biomass combustion generally, and in particular the use

of wood fuel, could detrimentally affect local air quality.

- 5.24 Local authorities will be able to identify any biomass combustion plant in their area that is covered by the Clean Air (NI) Order 1981, e.g. small biomass units, and exempt appliances in Smoke Control Areas. Further information can then be obtained from the operator. Authorities will need to enforce the Clean Air (NI) Order if the air quality impact of biomass combustion is to be effectively managed.
- 5.25 It should be noted that “domestic furnaces” are not covered by the Clean Air (NI) Order. “Domestic furnaces” are defined in Article 11 of the NI Order as any furnace which is:
- Designed solely or mainly for domestic purposes; and
  - Used for heating a boiler with a maximum heating capacity of less than 16.12 kilowatts per hour.
- 5.26 A small domestic wood burning stove is not a boiler and so would not require notification under the NI Order. In the case of domestic wood-burning stoves, it will therefore be necessary for local authorities to use their judgment, and information on housing density, to decide whether domestic biomass combustion will require assessment. Guidance, and a worked example, is provided in “Technical Guidance: Screening assessment for biomass boilers<sup>50</sup>”.
- 5.27 The use of biomass to generate energy has potentially significant benefits for the reduction of greenhouse gas emissions. ‘Planning our electric future: a White Paper for secure, affordable and low-carbon electricity’<sup>51</sup>, and the ‘UK Bioenergy Strategy’<sup>52</sup>, both recognise the potential role of biomass combustion in meeting the UK’s renewable energy targets. However, there are concerns, particularly in urban areas, that a large increase in biomass combustion could lead to a significant increase in pollutant concentrations, in particular for PM and NO<sub>2</sub>. Where concentrations of these pollutants are already near or exceeding objectives, this will be a particularly sensitive issue.
- 5.28 The Review and Assessment needs to consider both individual installations and the combined impact of many small biomass installations.

## **E. Fugitive or uncontrolled sources**

- 5.29 Fugitive or uncontrolled sources relate to dust emissions, which can lead to elevated PM<sub>10</sub> concentrations. These sources include, but are not limited to:

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<sup>50</sup> Abbott, J “Technical Guidance: screening assessment for biomass boilers”. AEA Report reference AEA/ED48673005/R2655- Issue 1, prepared for Defra and the Devolved Administrations, July 2008 - [https://uk-air.defra.gov.uk/reports/cat18/0806261519\\_methods.pdf](https://uk-air.defra.gov.uk/reports/cat18/0806261519_methods.pdf)

<sup>51</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/48129/2176-emr-white-paper.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/48129/2176-emr-white-paper.pdf)

<sup>52</sup> <https://www.gov.uk/government/publications/uk-bioenergy-strategy>

- Quarrying and mineral extraction sites;
- Landfill sites;
- Coal and material stockyards, or materials handling;
- Major construction works; and
- Waste management sites.

5.30 For example, studies have previously identified substantial increases in annual mean PM<sub>10</sub> concentrations, up to 33µg/m<sup>3</sup>, alongside public roads up to 15m from the entrances to waste management sites and construction sites<sup>53</sup>.

5.31 Emissions from these sources are not well quantified, and it is therefore difficult to predict PM<sub>10</sub> concentrations with any accuracy. The screening assessment is therefore largely based upon practical experience gained from studies in the vicinity of these sources, and the results of previous rounds of Review and Assessment. Short-lived construction sites will not normally need to be considered.

5.32 The first step in the assessment is to determine whether there have been any assessments carried out by others for the source in question, and if so whether the assessment is of sufficient quality for the purposes of Review and Assessment. If there is no existing assessment, then potential public exposure near the sources of dust emission should be identified. Wherever possible, the distance from sensitive receptors to the actual sources of emission (rather than to the site boundary) should be considered. On-site sources can be haul roads, crushers, stockpiles etc. Off-site sources can also be important, in particular the roads used by vehicles accessing the site. Dust and dirt can be tracked out by vehicles leaving the site, deposited on the public highway, and then raised by passing vehicles. Concentrations fall-off rapidly on moving away from the source.

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<sup>53</sup> [https://uk-air.defra.gov.uk/assets/documents/reports/cat09/1907101151\\_20190709\\_Non\\_Exhaust\\_Emissions\\_typeset\\_Final.pdf](https://uk-air.defra.gov.uk/assets/documents/reports/cat09/1907101151_20190709_Non_Exhaust_Emissions_typeset_Final.pdf)

# CHAPTER 6: Detailed Assessments - Northern Ireland

## Introduction

- 6.1 This chapter provides guidance to local authorities in Northern Ireland in the preparation of Detailed Assessments. It is not specifically addressed to local authorities in England, Scotland or Wales, for which Detailed Assessments are no longer specifically required. However, the guiding principles are still of relevance to local authorities in England, Scotland or Wales if detailed studies are required to support the decision to declare, amend or revoke an AQMA – to be appended to the ASR/APR as additional supporting technical information – or any subsequent AQAP detailed studies.

## Role of Detailed Assessments

- 6.2 Where the Updating and Screening Assessment has indicated that there is a risk of the air quality objectives not being achieved, the authority will need to carry out a Detailed Assessment. A Detailed Assessment is also required in circumstances where an authority proposes to revoke or otherwise amend an existing AQMA.
- 6.3 The aim of the Detailed Assessment is to determine the likelihood of the objectives not being achieved and, where necessary, establish the magnitude and geographical extent of any exceedance. The Detailed Assessment should be as robust as possible to ensure that the authority has confidence in the decision to declare or revoke/amend an AQMA.

## The Format and Content of Detailed Assessments

- 6.4 Because of the wide range of sources and local circumstances, it is not possible to set prescriptive guidance for the Detailed Assessment. However, to assist authorities, guidance related to monitoring, emissions data and dispersion modelling is provided in Chapter 7. Local authorities may also contact the LAQM Support Helpdesk as required.
- 6.5 In undertaking the Detailed Assessment, due consideration should be given to the points of maximum relevant public exposure, i.e. those ‘hot spot’ locations where the highest concentrations are expected.
- 6.6 Authorities are also strongly encouraged to have regard to all existing sources of relevant information, including:
- Assessments submitted in support of planning applications; and
  - Assessments submitted for installations regulated by the Northern Ireland Environment Agency (NIEA), and by local authorities under the Pollution Prevention and Control regulations.

## Monitoring

- 6.7 Monitoring data will play an important role within the Detailed Assessment.

Whilst it may be used for the purposes of model verification (see Chapter 7), in some circumstances, for example where the emissions arise from an unquantifiable fugitive source, the Detailed Assessment will need to rely predominantly on available monitoring data.

- 6.8 As a minimum, when developing a monitoring programme, careful consideration should be given to:
- The siting of monitors in relation to the emission source, so that relevant locations where exposure to pollution is likely to be highest are captured (generally downwind from the source, based on the prevailing wind direction);
  - Ideally, monitoring should be carried out for 12 months, or as a minimum over the period when emissions are likely to be highest; and
  - Authorities are advised to compare the results of local monitoring programmes with data from national network sites, to assist with the interpretation of findings. This will focus on separating out regional episodes, to help identify the impacts from local source(s).
- 6.9 Detailed guidance on monitoring methods, monitoring strategies and suitable quality assurance and quality control (QA/QC) procedures, is set out in Chapter 7.

## Modelling

- 6.10 Detailed Assessments may utilise dispersion modelling to identify where exceedances of the objectives are likely. Where exceedances are supported by measured concentrations, the modelling predictions will help determine the geographical extent of the exceedance area, and therefore the extent of the AQMA. It will also help estimate the population exposed to pollutant concentrations above the objectives.
- 6.11 Important aspects for consideration when undertaking dispersion modelling include:
- **Meteorological data.** If possible, meteorological, background pollution, and emissions data should all be derived from the same year. For point sources, multiple years of meteorological data (three or more) should be used. This is to ensure that the potential effects of fluctuating wind directions in different years are taken into account when defining exceedance areas. However, although results for all meteorological years should be reported, any decision should be based upon the worst-case result.
  - **Receptor spacing.** Potential 'hot spots' should be duly considered by using a suitable resolution for receptor grid spacing, or including specific receptors (representing the locations of maximum public exposure). It is also important to ensure that the separation distance between source and receptor is accurately set up within the model to avoid erroneous concentration predictions.
- 6.12 Model verification and adjustment. To ensure a robust Detailed Assessment for

road traffic sources, it is recommended that model verification is carried out (see worked example in Box 7-19).

- 6.13 Verification involves a comparison between predicted and measured concentrations at one or more suitable local sites, and adjustment of the modelled concentrations if necessary. For point sources, verification of short-term concentrations (which are the main concern, as more likely to exceed the air quality objectives) may be more difficult to perform. In all cases where model verification has been carried out, the approach should be fully documented, and any adjustment factor applied explicitly stated.
- **Relationships between NO<sub>x</sub> and NO<sub>2</sub>.** Model concentration predictions are often made for NO<sub>x</sub>, and thus suitable conversion from NO<sub>x</sub> to NO<sub>2</sub> is likely to be necessary. An adequate description of the methodology should be included in the report.
  - **Background concentrations.** Typically, only the process contributions from local sources are represented within and output by the dispersion model. In these circumstances, it is necessary to add an appropriate background concentration(s) to the modelled source contributions to derive the total pollutant concentrations.
- 6.14 Detailed advice on the selection and use of an appropriate air pollution dispersion model, which includes further discussion of the above key areas, is provided in Chapter 7.

## Estimating Population Exposure

- 6.15 Within their Detailed Assessments, local authorities are required to estimate the number of people exposed to pollutant concentrations above the objectives, and the maximum pollutant concentration (measured or modelled) at a relevant receptor location.
- 6.16 Where the authority has modelled the area of exceedance, then this task should be relatively straightforward using Geographical Information Systems (GIS). All authorities have access to population data in GIS format for their administrative areas.
- 6.17 Where the exceedance area has not been modelled (e.g. where reliance is placed solely upon monitoring data) then it should be possible to estimate the number of properties and hence the population exposed.
- 6.18 It should be noted that it is the population within the exceedance area that is of interest, and not the population within the AQMA. In many cases, authorities choose to designate the AQMA over a much wider area than the geographical extent of the exceedance.
- 6.19 Authorities should assume that the residential population is representative of exposure within the exceedance area.

## Source Specific Considerations

- 6.20 Box 6-1 provides guidance to local authorities when undertaking Detailed

Assessments for particular source groups.

- 6.21 Given the small number of AQMAs declared so far for non-road transport sources<sup>54</sup>, it is not considered likely that many authorities will need to proceed to a Detailed Assessment for non-road transport sources (such as airports, ports and railways). Some general guidance is provided below, but where such Detailed Assessments are required, the authority is advised to contact the LAQM Support Helpdesk prior to commencing the study.

### Box 6-1 – Source Specific Considerations for Detailed Assessments

Source	Focus
Road traffic	<p>Focus is likely to be upon:</p> <ul style="list-style-type: none"> <li>• A compilation of detailed and accurate road traffic emissions data, including if necessary, carrying out new traffic counts to more precisely characterise traffic flows and speeds;</li> <li>• A more detailed assessment of the road traffic contribution to NO<sub>x</sub> and PM<sub>10</sub> concentrations. In the case of PM<sub>10</sub>, this may require further consideration of the non-exhaust PM emissions (i.e. brake, tyre wear and abrasion);</li> <li>• A more accurate description of existing background levels; and</li> <li>• Additional roadside monitoring using automatic monitors and/or an array of diffusion tubes in the case of NO<sub>2</sub>.</li> </ul> <p>For example, it may prove useful to split roads up into much smaller sections, which will then allow a more accurate definition of changing vehicle speeds close to junctions. It may also prove important to take account of areas where cold-start emissions are particularly important, such as in the vicinity of long-term car parks. Emissions are also known to be affected by engine loading, for example when vehicles are climbing steep hills, and specific speeds and emission factors for these types of areas may need to be considered.</p> <p>Detailed guidance on how to estimate emissions and model road traffic sources, and the types of input data required, is provided in Chapter 7.</p>
Airports	<p>Authorities should be able to use the conclusions of previous assessments undertaken on behalf of the airport operator, once the authority has satisfied itself that appropriate methods have been used to carry out the assessment.</p>
Shipping	<p>Focus will be upon compiling an inventory of ship emissions. The method used to determine ship emissions to be input into a dispersion model will vary considerably according to the data available, but will require determination of activity and emissions factors for the port being assessed. The following steps should be required:</p> <ul style="list-style-type: none"> <li>• Determine the weight and type of cargo for each ship</li> </ul>

<sup>54</sup> Up-to-date statistics are available on the AQMA website at <https://uk-air.defra.gov.uk/aqma/summary>

Source	Focus
	<p>movement;</p> <ul style="list-style-type: none"> <li>• Calculate the fuel consumption for each ship (dependent on ship type, i.e. liquid bulk, solid bulk, general cargo, tugs, etc) assuming engines are running at full power;</li> <li>• Calculate the fuel consumption for each mode (i.e. cruising, manoeuvring, hotelling, tanker offloading) for each ship using the fraction of maximum fuel consumption figures;</li> <li>• Calculate the emissions from the auxiliary engines used during hotelling according to the power rating and percentage load;</li> <li>• Calculate the emissions (determined from engine type) in each mode, for each ship, from the emissions factors (per ton of fuel used); and</li> <li>• Determine the overall emissions by combining the above emission factors with information on the time each ship spends in each mode.</li> </ul> <p>Given the likely constraints surrounding the availability of the required data detailed above, it is likely that a combination of port-specific data and more generic information available in the published literature will be required to give an approximation of the emissions.</p> <p>Further details of available sources of emissions data for shipping are provided in Chapter 7.</p>
Railways	<p>Focus will be upon compiling an inventory of locomotive emissions. An estimate of efflux parameters is also required for dispersion modelling purposes.</p> <p>For coal-fired locomotives, information will be required on the sulphur content of coal and the amount used over a period of time.</p> <p>In the case of diesel locomotives, information is available on emissions for different categories: freight, intercity and regional, within the National Atmospheric Emissions Inventory (NAEI) under the 'Railways' category. It is based on the gas-oil consumption rates for moving locomotives.</p>
Domestic solid-fuel use	<p>Focus is likely to be upon:</p> <ul style="list-style-type: none"> <li>• An assessment of solid fuel use to characterise the different fuels and combustion methods used in the area so that emissions may be accurately quantified;</li> <li>• The application of detailed dispersion modelling performed on the basis of the calculated emissions, to predict concentrations across the area of interest; and</li> <li>• Local monitoring to confirm existing concentrations of SO<sub>2</sub> and/or PM<sub>10</sub> in the area of concern. Ideally, monitoring should be carried out for a period of 12 months, although six winter months may also be suitable. As a minimum, the monitoring should cover the main solid fuel burning season, for example, November to February.</li> </ul> <p>Further guidance on emissions calculations for domestic solid-fuel use is given in Chapter 7.</p>

Source	Focus
Industrial emissions and biomass	<p>Focus is likely to be upon:</p> <ul style="list-style-type: none"> <li>• The accurate quantification of the emissions. Many installations operate well within their emissions limits, and actual emissions data should be used. For certain types of installation, both seasonal and daily variations in emissions are significant, and should be considered wherever possible;</li> <li>• The application of detailed dispersion modelling. Significantly elevated point sources will have little impact upon the annual mean concentration, and in such instances the assessment should focus upon an accurate prediction of the shorter-term concentrations. The modelling approach should therefore ideally seek to predict hour-by-hour or day-by-day ground-level concentrations arising from the stack(s), which will then be added to suitable sequential hourly or daily background concentrations. Where this is not possible or practicable, alternative approaches to adding industrial installation and background contributions are summarised in Box 7-16; and</li> <li>• The use of more detailed local monitoring to confirm existing concentrations;</li> </ul> <p>Further guidance on the selection and application of suitable dispersion models for stack modelling and developing monitoring programmes is given in Chapter 7.</p>
Poultry farms	<p>Detailed Assessments for poultry farms are likely to be based on both monitoring and modelling studies.</p> <p>In many cases a suitable monitoring programme will need to be established to determine the impact of the poultry sources.</p> <p>Quantifying the PM<sub>10</sub> emissions arising from a poultry farm for input into a dispersion model is not straightforward. Where required, authorities should contact the LAQM Support Helpdesk for further advice.</p> <p>Further guidance on the selection and application of suitable dispersion models for poultry farm modelling and developing monitoring programmes is given in Chapter 7.</p>
Uncontrolled and fugitive emissions	<p>Emission factors for fugitive sources, e.g. those published within the <i>Compilation of Air Pollutant Emission Factors (USEPA-42)</i>, are subject to a variable degree of uncertainty and frequently require default assumptions to be made. Their application is therefore more suited to allowing predictions of the impact of operations which are currently not in existence. Consequently, it is likely that the Detailed Assessment will need to focus upon a detailed monitoring programme.</p> <p>In many cases a suitable monitoring programme will need to be established. Where monitoring indicates that the objectives are likely to be exceeded, then it may be helpful to refine the monitoring strategy, in order to more clearly identify the source contributions. In such cases, authorities may find it useful to:</p>

Source	Focus
	<ul style="list-style-type: none"> <li>• Undertake monitoring of wind speed and direction to assist with the interpretation of results and any reported exceedances;</li> <li>• Carry out monitoring at several locations, including an upwind site. This will allow a more accurate assessment of the contributions of the different sources to the measured values. Alternatively, “directional” monitoring equipment (which allows measurements to be collected only within a pre-defined wind direction) can be employed; and</li> <li>• Consider the use of various speciation and chemical analysis methods to assess the source contribution to the measured values.</li> </ul>

# CHAPTER 7: Technical Supporting Information

## Introduction

- 7.1 This chapter brings together a series of tools and other supporting information to help local authorities carry out their Review and Assessment of air quality. Where appropriate, the general approach and methodology is described, and worked examples are provided, with reference to associated online tools available on the LAQM Support website. Local authorities should ensure that they use the latest version of tools and are strongly recommended to register for automatic updates with the LAQM Support Helpdesk<sup>55</sup>.
- 7.2 This chapter is split into four main topics, as follows:
- Screening Tools and Methodology;
  - Air Quality Monitoring;
  - Emission and Concentration based Calculations; and
  - Dispersion Modelling.
- 7.3 The Clean Air Strategy for England was published in January 2019<sup>81</sup> and the Clean Air Plan for Wales: Healthy Air, Healthy Wales was published August 2020<sup>56</sup>. These set out national measures to drive down emissions of five damaging pollutants in order to achieve statutory emissions reduction commitments to reduce human and environmental exposure to harmful concentrations of pollution.

## 1 – Screening Tools and Methodology

- 7.4 This section provides the methodology and associated tools that local authorities should use to screen sources of pollution as part of the Annual Status Report (England) / Annual Progress Report (Scotland and Wales), or the Updating and Screening Assessment (Northern Ireland).
- 7.5 It is recognised that screening assessments required for the purpose of Review and Assessment are unlikely to be as numerous as in the early stages of the LAQM system.
- 7.6 New or modified sources of emissions will usually be assessed for air quality and appraised by the local authority as part of the planning application process. However, screening assessments may still be required for various reasons, including:
- Where new sources of pollution have been identified (in particular industrial sources, or new roads);
  - Where emissions are likely to have increased significantly (for example, due to significant increases in traffic flows along major roads,

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<sup>55</sup> <https://laqm.defra.gov.uk/helpdesk/>

<sup>56</sup> <https://gov.wales/clean-air-plan-wales-healthy-air-healthy-wales>

or extensions of industrial facilities; or

- Where there is new exposure to air pollution (for example in case of new residential developments near busy roads).

7.7 The methodology that should be followed to screen air pollution sources is proposed in the section below, for each of the following categories:

- Road traffic sources;
- Non-Road Transport Sources (i.e. Airports, Railway and Ports);
- Industrial Sources;
- Commercial and Domestic Sources; and
- Fugitive or Uncontrolled Sources.

7.8 'Stack Screening Method Selection Tool' provides local authorities with a decision-making tree, aimed to facilitate the selection of the most appropriate screening method when assessing the impact of stack emissions on local air quality, either for planning purposes or local authority Review and Assessment.

7.9 In the context of screening sources of pollution as part of the ASR/APR, local authorities are expected to undertake such screening assessments when they have suitable local evidence or cause to believe that a new development or change in an existing emissions' source could result in one of these criteria being met. Such information should be reviewed on an annual basis.

## **Road Traffic Sources**

7.10 It is expected that most roads of concern will already have been assessed (sometimes more than once) in previous rounds of Review and Assessment. The roads identified as likely to exceed the objectives have been through further assessment (based on detailed dispersion modelling) and, where exceedances have been confirmed, are all likely to be incorporated within existing AQMAs. As road traffic emissions represent the main issue faced by UK local authorities, as confirmed by the number of AQMAs declared solely for road traffic sources<sup>54</sup>, most local authorities' monitoring networks are now mainly focused on monitoring concentrations along these roads of concern. It is therefore unlikely that local authorities would have missed any roads where the objectives are breached.

7.11 Nevertheless, local authorities may need to proceed with screening assessments in a number of cases, such as for newly built roads, roads where traffic flow conditions have changed significantly (i.e. increase in overall traffic flow, the flow of HDVs, or increase in congestion), where there is new exposure (i.e. newly built residential properties), or potentially if roads have not been properly screened for a number of years.

7.12 Attention only needs to be given to NO<sub>2</sub> and, in some cases, Particulate Matter. The assessment should consider roads that fall within any of the categories below:

- **Narrow congested streets with residential properties close to the kerb.** Concentrations are often higher in these areas, due to the combination of slow-moving traffic with stop/start driving conditions, and street canyon effect due to buildings on either side of the road, preventing good dispersion of pollutants;
- **Busy streets where people may spend 1-hour or more close to traffic.** For example, streets with many shops and streets with outdoor cafes and bars;
- **Roads with high HDV flows.** Roads with unusually high proportion of buses and/or HGVs can lead to high concentrations, even if total traffic is not particularly high;
- **Junctions,** where concentrations are usually higher due to the contribution of multiple roads combined with increased emissions due to stop-start driving conditions;
- **New roads constructed or proposed.** The approach to considering new roads will depend on whether or not an assessment was carried out in advance of building the new road;
- **Roads with significantly changed traffic flows;** and
- **Bus and coach stations.** If they are not enclosed, and there is relevant exposure nearby.

7.13 Details of the methodology to follow to screen all source categories as above are provided in Table 7-1. Note that a screening assessment should **not** be necessary for locations:

- Within existing AQMAs declared for road traffic sources for the specific pollutant under consideration; or
- Outside AQMAs where air quality monitoring data is already available, provided the monitoring site is representative of the worst-case exposure location, and data QA/QC is adequate.

**Table 7-1 – Screening Assessment of Road Traffic Sources**

Road Source Category	Pollutant of Concern	Objectives of Concern <sup>(1)</sup>	Criteria	What to Report	Action if Screening Confirms Potential Issue	Notes
1 - Narrow congested streets with residential properties close to the kerb.	NO <sub>2</sub>	Long and Short-Term	5,000 vehicles/day - exposure within 2m from kerb - slow moving traffic with frequent stop/start	Roads matching criteria	Carry out NO <sub>2</sub> monitoring survey <sup>(2)</sup> - Use results in next yearly LAQM report to determine whether an AQMA needs to be declared	Monitoring is recommended, as screening models can have a large margin of error when seeking to identify actual exceedances in these areas
2 - Busy streets where people may spend 1 hour or more close to traffic	NO <sub>2</sub>	Short-Term	10,000 vehicles/day - exposure within 5m from kerb >= 1-hour	Below the threshold criteria concentrations are unlikely to result in an exceedance. Detailed modelling should be considered if an area of concern is identified.	Carry out monitoring survey <sup>(2)</sup> and/or detailed dispersion modelling - to identify annual mean concentrations > 60µg/m <sup>3</sup> <sup>(3)</sup>	If AQMA already declared for NO <sub>2</sub> annual mean, only amend AQMA and AQAP to include 1-hour mean
3 - Roads with a high flow of HDVs	NO <sub>2</sub> / PM <sub>10</sub>	Long and Short-Term	2,500 HDVs/day - exposure within 10m from kerb (20m in conurbations > 2m inhabitants)	Below the threshold criteria concentrations are unlikely to result in an exceedance. Detailed modelling should be considered if an area of concern is identified.	Carry out monitoring survey <sup>(2)</sup> and/or dispersion modelling <sup>(3)</sup>	If AQMA already declared for one of the objectives, only amend AQMA and AQAP to include the additional objectives exceeded
4 - Junctions	NO <sub>2</sub> / PM <sub>10</sub>	Long and Short-Term	10,000 vehicles/day - exposure within 10m from kerb (20m in conurbations > 2m inhabitants)	Below the threshold criteria concentrations are unlikely to result in an exceedance. Detailed modelling should be considered if an area of concern is identified.	Carry out monitoring survey <sup>(2)</sup> and/or dispersion modelling <sup>(3)</sup>	Where two or more roads intersect, the traffic flows from each arm of the junction should be summed to give a combined total, which should then be divided by two before comparison against the screening criteria.

Road Source Category	Pollutant of Concern	Objectives of Concern <sup>(1)</sup>	Criteria	What to Report	Action if Screening Confirms Potential Issue	Notes
5 - New roads constructed or proposed since the last round of Review and Assessment	NO <sub>2</sub> / PM <sub>10</sub>	Long and Short-Term	If no air quality assessment available from planning application - 10,000 vehicles/day - exposure within 10m from kerb (20m in conurbations > 2m inhabitants)	Air quality assessment available: exceedances predicted in submitted assessment	Declare AQMA / Carry out additional dispersion modelling beforehand if deemed necessary	
6 - Roads with significantly changed traffic flows	NO <sub>2</sub> / PM <sub>10</sub>	Long and Short-Term	25% traffic increase on roads > 10,000 vehicles/day - exposure within 10m from kerb (20m in conurbations > 2m inhabitants) - Roads previously identified at risk of exceeding (within 10% of objective)	Below the threshold criteria concentrations are unlikely to result in an exceedance. Detailed modelling should be considered if an area of concern is identified.	Carry out monitoring survey <sup>(2)</sup> and/or dispersion modelling <sup>(3)</sup>	
7 - Bus and coach stations	NO <sub>2</sub> / PM <sub>10</sub>	Long and Short-Term	2,500 bus/coach movements/day <sup>(4)</sup> - exposure within 10m from kerb (20m in conurbations > 2m inhabitants)	Below the threshold criteria concentrations are unlikely to result in an exceedance. Detailed modelling should be considered if an area of concern is identified.	Carry out monitoring survey <sup>(2)</sup> and/or dispersion modelling <sup>(3)</sup>	If AQMA already declared for NO <sub>2</sub> annual mean, only amend AQMA and AQAP to include 1-hour mean.

(1) Long-term refers to annual mean - Short-term refers to 1-hour mean (for NO<sub>2</sub>) or 24-hour mean (for PM<sub>10</sub>)

(2) Monitoring survey should be carried out for a minimum 6-month period

(3) Local authorities in England and Wales may decide to declare an AQMA straightaway at this stage. Other local authorities will need to proceed with additional technical information such as specific monitoring and/or modelling and report findings in a Detailed Assessment or the next ASR/APR before deciding whether an AQMA needs to be declared

(4) A bus movement considers a bus either arriving, or leaving the station. A bus arriving then leaving therefore counts for 2 movements

## Non-Road Transport Sources

- 7.14 Non-road transport sources include airports, railways and shipping emissions. It is unlikely that many local authorities will have to proceed with a screening assessment of these sources, for the following reasons:
- These sources are limited in number, and therefore it is expected that existing sources will have been screened in previous rounds of Review and Assessment; and
  - Since the inception of the LAQM system, only a handful of these sources required further assessment, and even less have led to the declaration of an AQMA<sup>57</sup>.
- 7.15 However, a summary of the methodology that may still be applied to screen these sources, if necessary, is described below. It is however recommended that local authorities contact the LAQM Support Helpdesk before reporting the screening assessment.
- 7.16 This section is only likely to be relevant to a small number of local authorities. Most of these sources will have been assessed in previous rounds of Review and Assessment. Assessments will only be required where new sources arise, where significant changes have occurred or if there is new relevant exposure near existing sources.

## Airports

- 7.17 Aircraft are potentially significant sources of NO<sub>x</sub> emissions, especially during take-off, and therefore the main risk is related to potential exceedances of the NO<sub>2</sub> air quality objectives. It is likely that all airports have been subject to a screening assessment in previous rounds of Review and Assessment; however, in case of significant changes (such as increase in airport capacity, or new population exposure near the airport), the local authority should be able to screen aircraft emissions from airports based on the following:
- Determine relevant exposure within 1km of the airport boundary;
  - If exposure has been identified, determine whether the airport total equivalent passenger throughput is more than 10 million passengers per annum (mppa). Freight should also be considered, and converted to equivalent mppa using 100,000 tonnes = 1 mppa; and
  - Identify whether the background annual mean NO<sub>x</sub> concentration is above 25µg/m<sup>3</sup> in these areas.
- 7.18 If all of the above criteria are matched, then the local authority should conclude that there is a risk of exceedance of the NO<sub>2</sub> annual mean objective, and carry out an NO<sub>2</sub> monitoring survey (6-month period minimum) at relevant receptors to determine whether an AQMA should be declared. It is not recommended that

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<sup>57</sup> The only AQMAs declared for non-mobile sources are the Great Central Railway AQMA declared by Charnwood Borough Council in 2004 for SO<sub>2</sub>, and the Dover Docks AQMA declared in 2002 for the same pollutant due to shipping emissions. However the latter was revoked in 2014

local authorities carry out dispersion modelling of airport emissions for their screening purpose, as this can be time consuming and resource intensive, and results are likely to be subject to significant uncertainties.

- 7.19 In addition to NO<sub>2</sub>, there is growing evidence of the health impacts associated with Ultra-Fine Particulates (UFP) linked to airport activities. Measurements of UFP close to airports suggest that aircraft are an important source of UFP that can result in elevated concentrations tens of km from airports. Mobile UFP measurements from non-UK locations also suggest that UFP concentrations can be elevated due to landing aircraft<sup>58</sup>. Local authorities should be aware of UFP as a potential pollutant and consider it when preparing Air Quality Plans/Strategies alongside airport operators.
- 7.20 Airports are encouraged to produce their own Air Quality Plans/Strategies and where these have been prepared by the airport operators, this should be reviewed and conclusions summarised as supporting information where relevant. Where an airport operator is preparing an Air Quality Plan/Strategy, Local Authorities are advised to contact the operator to co-operate in providing data and assisting in development of measures.

## **Rail**

- 7.21 Diesel or coal fired stationary locomotives can give rise to high short-term NO<sub>2</sub> and SO<sub>2</sub> concentrations near railway stations or depots. Additionally, moving locomotives can contribute to elevated short-term NO<sub>2</sub> and SO<sub>2</sub> concentrations close to the track. It is likely that all sources of concern have been assessed in previous rounds of Review and Assessment, given the few number of railway lines not yet electrified. However, in case of new exposure near the lines of concern, local authorities may need to reassess these, based on the following:

### Stationary diesel or steam locomotives:

- Identify locations where diesel or steam locomotives are regularly (at least three times a day) stationary for periods of 15-minutes or more; and
- Determine relevant exposure within 15m of the locomotives.

### Moving diesel locomotives:

- Determine relevant exposure within 30m of the relevant railway tracks (Table 7-2 provides information on which lines should be considered); and
- Identify whether the background annual mean NO<sub>2</sub> concentration is above 25µg/m<sup>3</sup> in these areas.

- 7.22 If the above criteria are matched, then the local authority should conclude that there is a risk of exceedance of the SO<sub>2</sub> 15-minute mean objective (for stationary locomotives) or the NO<sub>2</sub> annual mean objective (for moving locomotives), and carry out a monitoring survey (6-month period minimum) at relevant receptors.

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<sup>58</sup> [https://uk-air.defra.gov.uk/assets/documents/reports/cat09/1807261113\\_180703\\_UFP\\_Report\\_FINAL\\_for\\_publication.pdf](https://uk-air.defra.gov.uk/assets/documents/reports/cat09/1807261113_180703_UFP_Report_FINAL_for_publication.pdf)

**Table 7-2 – Rail Lines with a Heavy Traffic of Diesel Passenger Trains**

Relevant Rail Lines
London St Pancras to Trent South Junction located approximately 1 mile (1.5 km) north of East Midlands Parkway Station.
Cardiff to Swansea
Cardiff Central to Cardiff Radyr Branch Junction
Birmingham New Street to Grand Junction (for one mile east of Birmingham New Street)
Peterborough to Werrington Junction
Clay Cross North Junction to Tapton Junction (Chesterfield)
Dore West Junction to Sheffield
Sheffield to Wincobank Junction
Masborough to Swinton
Doncaster Decoy South Junction to Doncaster Marshgate Junction
Manchester Piccadilly to Heald Green
Manchester Piccadilly to Manchester Deansgate
Manchester Victoria to Salford
Manchester Victoria to Leeds via Stalybridge, Huddersfield and Dewsbury
Leeds to York via Church Fenton
York to Northallerton
Darlington to Newcastle
Bristol Temple Meads to Bristol Parkway

## ***Ports & shipping***

7.23 Large ships generally burn high sulphur content oils in their main engines (bunker oils). For large ports, these may give rise to elevated short-term SO<sub>2</sub> concentrations, which might lead to exceedances of the 15-minute or 1-hour mean objectives. NO<sub>x</sub> and PM emissions may also lead to elevated concentrations at sensitive receptors around ports. It is likely that all sources of concern have been assessed in previous rounds of Review and Assessment. However, in case of port extension, leading to a likely increase in shipping activity, or new exposure near existing emission sources, local authorities may need to reassess these, by checking the following:

- Are there more than 5,000 large ship movements<sup>59</sup> per year, with relevant exposure within 250m of the berths and main areas of manoeuvring: or
- Are there more than 15,000 large ship movements per year, with relevant exposure within 1km of these areas?

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<sup>59</sup> i.e. cross-channel ferries, roll on-roll off ships, bulk cargo, container ships, cruise liners, etc – one ship generating two movements (arrival and departure)

- 7.24 If one of the above criteria is matched then the local authority should conclude that there is a risk of exceedance of the short-term objectives for NO<sub>2</sub>, PM<sub>10</sub> and SO<sub>2</sub>, and carry out a monitoring survey (6-month period minimum) at relevant receptors to determine whether an AQMA should be declared. This may be supported by dispersion modelling of shipping emissions, although modelling results are likely to be subject to high uncertainties.
- 7.25 As with airports, Ports are encouraged to produce a Port Air Quality Strategy (PAQS) setting out understanding of the emissions that arise from their core operations. More information and guidance on the production and content of PAQS is available on the Gov.uk website<sup>60</sup>. Local Authorities are encouraged to co-ordinate and co-operate with Ports in preparing and maintaining these documents.

### Non-Road Mobile Machinery

- 7.26 Non-Road Mobile Machinery (NRMM) refers to mobile machines, transportable industrial equipment or vehicles which are fitted with an internal combustion engine and not intended for transporting goods or passengers on roads. Emissions standards are applied to NRMM engines at the point of placing on the market. The most recent, Stage V, were effective from 2019 for engines below 56 kW and above 130 kW, and from 2020 for engines of 56-130 kW.
- 7.27 Pollutants emitted by NRMM that may have the most significant potential effects on local air quality are particulate matter (PM<sub>10</sub> and PM<sub>2.5</sub>), and NO<sub>x</sub>/NO<sub>2</sub>. The London Atmospheric Emissions Inventory 2016 estimated that NRMM exhaust emissions in construction were responsible for between 6-10% of toxic pollution in London<sup>61</sup>. Typically, NRMM is associated with construction sites. There is thus a potential for NRMM emissions to adversely affect local air quality, the extent to which is dependent upon the following considerations: The Air Quality Hub<sup>23</sup> provides some useful information and case studies on NRMM.
- Duration of works and associated phasing plans;
  - Type and number of NRMM to be used on site;
  - Operating hours of NRMM;
  - Emissions standards to which NRMM comply;
  - Proximity of receptors to NRMM working areas; and
  - Existing background pollutant concentrations.
- 7.28 It should be noted that an increased density of construction sites within a local authority's area, and/or 'back-to-back' schemes within the same or nearby geographical area, may lead to the requirement for a more detailed consideration to the cumulative emissions. For this reason, London has introduced an NRMM Low Emission Zone - please refer to the London LAQM Technical Guidance for

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<sup>60</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/815665/port-air-quality-strategies.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/815665/port-air-quality-strategies.pdf)

<sup>61</sup> [https://www.london.gov.uk/sites/default/files/nrmm\\_practical\\_guide\\_v4\\_sept20.pdf](https://www.london.gov.uk/sites/default/files/nrmm_practical_guide_v4_sept20.pdf)

more details.

7.29 The following provides example measures of how NRMM emissions from construction sites may be minimised:

- Ensure all equipment complies with the appropriate NRMM standards<sup>62</sup>;
- Where feasible, ensure further abatement plant is installed on NRMM equipment, e.g. Diesel Particulate Filters (DPFs);
- Ensure all vehicles switch off engines when stationary – no idling vehicles;
- Avoid the use of diesel- or petrol-powered generators and use mains electricity or battery powered equipment where possible; and
- Impose and signpost a maximum-speed-limit of 15mph on surfaced and 10mph on unsurfaced haul roads and work areas (if long haul routes are required these speeds may be increased with suitable additional control measures provided, subject to the approval of the nominated undertaker and with the agreement of the local authority, where appropriate).

7.30 Experience of assessing the exhaust emissions from on-site plant (NRMM) and site traffic suggests that, with suitable controls and site management, they are unlikely to make a significant impact on local air quality. In the vast majority of cases they will not need to be quantitatively assessed – qualitative consideration to the above points will likely provide sufficient screening. Where there is considered to be an elevated risk of local air quality issues arising from NRMM activities, please contact the LAQM Support Helpdesk for further advice on the methods available to quantitatively assess the potential impacts.

## **Agricultural Sources**

7.31 While agricultural sources in isolation are unlikely to cause exceedances of the primary pollutants of concern, they do account for around 88% of the UK's ammonia emissions. While ammonia is not a pollutant which falls under LAQM responsibility, ammonia can be particularly harmful at ecological sites and consideration should be given to the screening of significant new agricultural sources. It is acknowledged that there are some areas experiencing delays in the planning and permitting processes due to the impact of ammonia and NO<sub>x</sub>. In those instances, local authorities may wish to consult with Natural England or ecology teams to gain an understanding of the effect of emissions on sensitive habitats and species. Defra are also considering ways to support local authorities on this issue in the future.

7.32 The Clean Air Strategy for England includes a target to reduce the deposition of reactive nitrogen to sensitive protected sites by 17% by 2030. Although local authorities are not responsible for meeting this target, they do have a duty to conserve biodiversity under the Natural Environment and Rural Communities Act 2006 (s.40). This links to the new duties for local authorities under the Environment Act 2021 to develop Local Nature Recovery Strategies (s.104).

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<sup>62</sup> <https://www.vehicle-certification-agency.gov.uk/vehicle-type-approval/non-road-mobile-machinery-nrmm/>

Action taken by local authorities in this regard may help Natural England in its new responsibilities to develop Species Conservation Strategies (s.109) and Protected Sites Strategies (s.110). Natural England have also set up pilot Shared Nitrogen Action Plans (SNAPs) which aim to co-ordinate actions from multiple local landowners and stakeholders to reduce the exposure of sensitive Natura 2000<sup>63</sup> habitats to ammonia and NO<sub>x</sub>. SNAPs focus action on geographically defined areas and can be considered to be Clean Air Zones for nature.

- 7.33 Currently all reporting on ammonia is done nationally and there is no local authority responsibility on ammonia monitoring.

## **Industrial Sources**

- 7.34 Industrial sources are subject to a permitting regime which seeks to reduce the contributions to elevated concentrations at ground level. However, under certain operating conditions (such as peak production periods), elevated concentrations may arise. For example, exceedances of the short-term air quality objectives (e.g., 15-minute mean for SO<sub>2</sub>, 1-hour mean for NO<sub>2</sub> or 24-hour mean for PM<sub>10</sub>) may materialise. The assessment should consider the potential impact of specific industrial processes or chemical storage for all of the regulated pollutants. Generally, those most at risk of requiring further detailed modelling assessment are NO<sub>2</sub>, PM<sub>10</sub>, PM<sub>2.5</sub> and potentially SO<sub>2</sub>.
- 7.35 Reliance on Medium Combustion Plants (MCP) is increasing. This refers to plants with a capacity more than or equal to 1 megawatt thermal (MWth) and less than 50MWth burning any fuel. Short Term Operating Reserve (STOR), a type of MCP, are also identified as a potentially significant source of emissions for periods of peak power demand. Emissions from MCPs are considered in this section as industrial sources and the methodology within this subsection applies to consideration of emissions from MCPs. It should be noted that MCPs can be controlled by permits enforced by the Environment Agency.
- 7.36 Details of the methodologies to use to screen industrial sources are provided in Table 7-3. Industrial sources to consider are broken into the following categories:
- Industrial installations;
  - Major petrol storage depots and petrol stations; and
  - Poultry farms.
- 7.37 Additional information on assessing the potential risk of emissions from industrial processes can be found in the guidance published by the Environment Agency here: <https://www.gov.uk/guidance/air-emissions-risk-assessment-for-your-environmental-permit>

## **Industrial Installations**

- 7.38 Local authorities should screen industrial installations by using the Industrial Emissions Screening Tool available for download on the LAQM Support

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<sup>63</sup> <https://data.gov.uk/dataset/3a0c23ec-fe37-46ae-8cbb-5262e554fa27/natura-2000-management-plan-information>

website<sup>64</sup>.

7.39 This Excel tool has been developed to help local authorities determine, for each pollutant and air quality objective of concern, the maximum annual emissions from an industrial installation for which a risk of exceedance is unlikely. Therefore, the methodology consists of comparing the actual annual emissions for each industrial installation (identified using Table 7-3) against the maximum annual emissions calculated by the tool.

7.40 If actual emissions are greater than the maximum emissions, then the local authority should proceed to detailed dispersion modelling and/or monitoring<sup>65</sup>.

7.41 The tool is based on a series of calculations and studies developed as part of previous versions of LAQM Technical Guidance, but which are still considered relevant. It considers both industrial stack emissions and low-level, fugitive emissions. In order to use this tool, local authorities will need to gather the following information for each industrial installation requiring screening:

- Stack internal diameter;
- Actual stack height above ground level;
- Actual annual emissions for all pollutants of concern;
- Where necessary, exit stack temperature
- Where necessary, distance to nearest relevant exposure;
- Height of nearby buildings, which may prevent good dispersion of the plume; and
- Where necessary, background concentrations of the pollutant assessed.

7.42 Further information is provided in the tool. To determine background pollutant concentrations, local authorities should use suitable pollution monitoring sites nearby or, if unavailable, the UK background maps (see paras 7.72 to 7.74).

7.43 Before using the Industrial Emissions Screening Tool, local authorities should consider the following:

- Emissions from combustion sources from low temperature (<100°C) and high temperature (>100°C) sources are treated separately, due to different buoyancy effects;
- Where there are multiple stacks at the same site, a precautionary approach may be taken by assuming the total emissions (from all stacks) are released from the shortest stack; and
- Where there are complex sites with many stacks, the screening tool is unlikely to be applicable, and authorities are advised to proceed to

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<sup>64</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/industrial-emissions-screening/>

<sup>65</sup> To be submitted as either a Detailed Assessment (Northern Ireland), or supporting information reported in next ASR (England) or APR (Scotland and Wales) as an appendix

detailed dispersion modelling.

- 7.44 When using the Industrial Emissions Screening Tool, an effective stack height is calculated where necessary. Manual calculation of the effective stack height should therefore not be required when using the tool, although for transparency the associated calculation method is provided in Box 7-1.

### Box 7-1 – Calculation of Effective Stack Height

The stack height should be assumed to be equal to the actual (physical) stack height unless:

The height of release is greater than 3m above the building on which it sits, but less than 2.5 times the height of the tallest adjacent building. In this case the effective stack height can be calculated from the following formula:

$$U_{\text{eff}} = 1.66 \times (U_{\text{act}} - H)$$

where: **H** is the height (m) of the tallest adjacent building within 5 actual (physical) stack heights distance; **U<sub>eff</sub>** is the effective stack height; and

**U<sub>act</sub>** is the actual (physical) stack height

If the stack height is less than the surrounding buildings (i.e. **U<sub>eff</sub>** is negative) then treat the source as a ground level source.

### ***Petrol Storage Depots and Petrol Stations***

- 7.45 Major petrol fuel depots and petrol stations were identified in previous Technical Guidance as potential sources of concern, due to potential elevated emissions of C<sub>6</sub>H<sub>6</sub> (benzene), especially if combined with higher levels from nearby busy roads. However, it is likely that all sources of concern have been assessed in previous rounds of Review and Assessment. No AQMA has been declared for this source since 2010 (when the last AQMA for benzene was revoked) and, therefore, new assessments are unlikely to be required.
- 7.46 However, in case of significant changes (new population exposure near the source), the local authority should be able to screen emissions using the following methodology:

#### Major Petrol Storage Depots:

- Use the Industrial Emissions Screening Tool for benzene. This would require identifying the following parameters (if unsure, the local authority should contact the LAQM Support Helpdesk):
  - Distance to the nearest relevant exposure;
  - C<sub>6</sub>H<sub>6</sub> annual emissions from the source; and
  - Height of release (i.e. stack height or ground level if fugitive source).

#### Petrol Stations:

- Follow the steps described in Table 7-3.

### ***Poultry Farms***

- 7.47 In previous rounds of Review and Assessment, local authorities have identified potential exceedances of the PM<sub>10</sub> objectives due to particulate matter emissions

from poultry farms (defined as chickens (laying hens and broilers), ducks and guinea fowl, and turkeys).

- 7.48 Poultry farms that meet the criteria provided in Table 7-3 should be identified. For any farms that meet the criteria, the methodology provided in Box 7-2 should then be followed to screen PM<sub>10</sub> emissions from these sources<sup>66</sup>. Where screening results show that there is a risk of the relevant PM<sub>10</sub> air quality objectives being exceeded, a suitable monitoring survey and/or dispersion modelling exercise should be undertaken.
- 7.49 Box 7-2 also provides a worked example of the poultry farm screening calculation.

### Box 7-2 – Poultry Farms: Screening Methodology and Example Calculation

The following screening methodology should be used for poultry farms that meet the criteria in Table 7-3.

**Step 1:** Calculate the relevant percentile contribution (PC) to the daily mean PM<sub>10</sub> concentration for a given number of poultry as follows:

$$PC = (a) \times (-0.000161 \ln (d) + 0.000793) \times (b))$$

Where:

a = 0.62 when calculating 90.4<sup>th</sup> percentile (England, Wales, Northern Ireland) and 0.83 when calculating 98<sup>th</sup> percentile (in Scotland)

d = distance (m) of receptor from poultry

b = number of birds. If turkeys, multiply number of birds by 1.5 to account for turkey's larger size.

**Step 2: i)** Add the PC value to the annual mean PM<sub>10</sub> background concentration to calculate the total 90.4<sup>th</sup> percentile 24-hour mean concentration in England, Wales and Northern Ireland.

**ii)** In Scotland, add the PC value to twice the annual mean PM<sub>10</sub> background concentration to calculate the total 98<sup>th</sup> percentile 24-hour mean concentration<sup>a</sup>.

**Step 3:** The total percentile 24-hour mean should then be compared against the relevant 24-hour PM<sub>10</sub> air quality objective limit value.

#### Example Calculation

Consider a poultry farm located in England with the following parameters:

- 145,000 turkeys
- Relevant exposure at 50m
- Background annual mean PM<sub>10</sub> concentration of 18µg/m<sup>3</sup>

The 90.4<sup>th</sup> percentile contribution (PC) to the daily mean PM<sub>10</sub> concentration is calculated as follows:

$$\begin{aligned} PC_{90.4} &= 0.62 \times (-0.000161 \ln (d) + 0.000793) \times (b)) \\ &= 0.62 \times (-0.000161 \ln (50) + 0.000793) \times (145,000 \times 1.5)) \\ &= 22\mu\text{g}/\text{m}^3 \end{aligned}$$

The total 90.4<sup>th</sup> percentile PM<sub>10</sub> daily mean concentration (PEC<sub>90.4</sub>) is then calculated as:

<sup>66</sup> The technical report accompanying the poultry screening methodology is available at [http://uk-air.defra.gov.uk/library/reports?report\\_id=873](http://uk-air.defra.gov.uk/library/reports?report_id=873)

$$PEC_{90.4} = PC_{90.4} + \text{annual mean PM}_{10} \text{ background}$$

$$= 22 + 18$$

$$= 40\mu\text{g}/\text{m}^3$$

The calculated total 90.4<sup>th</sup> percentile daily mean PM<sub>10</sub> concentration of 40µg/m<sup>3</sup> is below the 24-hour mean PM<sub>10</sub> objective limit value of 50µg/m<sup>3</sup> for England.

In this instance, the screening assessment has thus concluded that there is no significant risk of exceeding the 24-hour mean PM<sub>10</sub> objective as a consequence of PM<sub>10</sub> emissions from the poultry farm. No further detailed consideration is considered necessary.

<sup>a</sup> A similar empirical relationship could not be established from derived estimated contributions to annual mean PM<sub>10</sub> concentrations. Caution is therefore urged when applying the 24-hour mean PM<sub>10</sub> screening criteria in Scotland, where it is considered that the annual mean PM<sub>10</sub> objective is more difficult to achieve than the 24-hour mean objective.

**Table 7-3 – Screening Assessment of Industrial Sources**

Source Category	Pollutant of Concern	Objectives of Concern	Criteria	What to Report	Action if Screening Confirms Potential Issue	Notes
Industrial Installations	All Pollutants	Long and Short-Term	If no air quality assessment available from planning application - New source or existing source with significant increase (30%) in emissions - with population exposure nearby	Air quality assessment available: exceedances predicted in submitted assessment  No air quality assessment available: results of Industrial Screening Tool	Declare AQMA / Carry out additional monitoring and/or dispersion modelling beforehand if deemed necessary  Carry out monitoring and/or dispersion modelling	Contact the LAQM Support Helpdesk if unsure how to determine emissions
Major Petrol Storage Depots	C <sub>6</sub> H <sub>6</sub>	Long-Term	-	Results of Industrial Screening Tool	Carry out monitoring and/or dispersion modelling	-
Petrol Stations	C <sub>6</sub> H <sub>6</sub>	Long-Term	Petrol throughput > 2,000m <sup>3</sup> or 2 million litres per year - Near busy road (>30,000 vehicles/day) - Exposure within 10m from the pumps	Petrol stations matching all specified criteria	Carry out monitoring and/or dispersion modelling	Ignore petrol stations fitted with Stage 2 recovery systems. Ignore diesel throughput - only consider petrol
Poultry Farms	PM <sub>10</sub>	Long and Short-Term	Poultry farms housing in excess of 400,000 birds (if mechanically ventilated) / 200,000 birds (if naturally ventilated) / 100,000 birds (if turkey unit) - Exposure within 100m from the poultry units	Poultry farms matching criteria and results of the Poultry Screening Calculation (see Box 7-2)	Carry out monitoring survey/dispersion modelling	If poultry farm does not match the given criteria contact the LAQM Support Helpdesk regarding screening

## Commercial and Domestic Sources

- 7.50 These sources include biomass combustion sources (both from the commercial and domestic sectors), as well as other solid-fuel combustion sources (from the domestic sector only).
- 7.51 Details of the methodology to follow to screen these sources are provided in Table 7-4. The sources to consider are broken down into the following categories:
- Commercial and domestic biomass combustion, which is further split into:
    - Individual installations; dealing with the assessment of large installations;
    - Combined installations; dealing with the combined impact of smaller biomass installations; and
    - Domestic other solid-fuel combustion.
- 7.52 On 1 May 2021, legislation came into force that restricts the sale of the most polluting fuels used in domestic burning in England; the Domestic Solid Fuels Regulations 2020. The aim is to move people to cleaner fuels: from wet wood to dry wood, and from traditional house coal to smokeless coal and low sulphur manufactured solid fuels:
- From May 2021
    - A ban on the sale of wet wood (defined as having a moisture content over 20%) in quantities under 2m<sup>3</sup> (with a temporary exemption for small suppliers);
    - A requirement that wood sold in 2m<sup>3</sup> or more is accompanied by clear instructions on seasoning;
    - A ban on the sale of bagged house coal (loose/unsealed bags are temporarily exempt);
    - A requirement for all MSFs, for use in domestic settings, to have a sulphur content below 2% and emit less than 5grams of smoke per hour.
  - From May 2022
    - A total ban on the sale of wet wood in quantities under 2m<sup>3</sup>
  - By May 2023
    - A total ban on the sale of house coal for domestic burning.
- The regulations only apply in domestic premises in England and therefore do not cover, for example, hospitality venues such as pubs, holiday premises and hotels.
  - From 1 January 2022, all stoves placed on the market in the UK must be Eco-design compliant. Eco-design stoves, compared to non-Eco-design stoves, produce lower emissions and are more efficient.

**Table 7-4 – Screening Assessment of Domestic Sources**

Source Category	Pollutant of Concern	Objectives of Concern	Criteria	What to Report	Action if Screening Confirms Potential Issue	Notes
Commercial and Domestic Biomass Combustion - Individual Installations	NO <sub>2</sub> / PM <sub>10</sub>	Long and Short-Term (NO <sub>2</sub> ) / Short-Term (PM <sub>10</sub> )	Screen against Target Emission Rate from Biomass Calculator (see paras 7.53-7.58)	Results of Biomass Calculator	Carry out monitoring and/or dispersion modelling	Contact the LAQM Support Helpdesk if unsure how to determine actual maximum emissions rates
Commercial and Domestic Biomass Combustion - Combined Installations	PM <sub>10</sub>	Long-Term (Scotland) / Short-Term (not Scotland)	Screen against Threshold Emissions Density from Biomass Calculator (see paras 7.59-7.67)	Results of Biomass Calculator	Carry out monitoring and/or dispersion modelling	Report “Technical Guidance: screening assessment for biomass boilers” contains a more detailed description of the approach <sup>67</sup> .
Domestic Other Solid-Fuel Combustion	SO <sub>2</sub>	Long and Short-Term	Density of coal burning premises = 100 per 500m x 500m area	Coal burning premises exceeding the criteria	Carry out monitoring and/or dispersion modelling	

<sup>67</sup> Abbott, J “Technical Guidance: screening assessment for biomass boilers”. AEA Report reference AEA/ED48673005/R2655- Issue 1, prepared for Defra and the Devolved Administrations, July 2008 - [https://uk-air.defra.gov.uk/reports/cat18/0806261519\\_methods.pdf](https://uk-air.defra.gov.uk/reports/cat18/0806261519_methods.pdf)

### ***Biomass Combustion - Individual Installations***

- 7.53 Biomass burning can lead to an increase in PM emissions and, compared to conventional gas-burning, can also result in an increase in the overall NO<sub>x</sub> emissions.
- 7.54 Local authorities should screen individual biomass combustion installations by using the Biomass Calculator available for download on the LAQM Support website<sup>64</sup>.
- 7.55 This Excel tool has been developed to help local authorities determine the maximum emission rate (in grammes per second) from a combustion installation for which a risk of exceedance of the relevant air quality objective is unlikely. Therefore, the methodology consists of comparing, for each biomass installation identified (using Table 7-4), the actual maximum emission rate for pollutants against the Target Emission Rate calculated by the tool.
- 7.56 If the actual emission rate is greater than the Target Emission Rate, then the local authority should proceed to a further assessment<sup>65</sup>, based on detailed dispersion modelling.
- 7.57 The tool is based on a number of calculations and studies developed as part of previous versions of LAQM Technical Guidance, which are still considered relevant. In order to use this tool, local authorities will need to gather the following information for each of the biomass installations requiring screening:
- Stack internal diameter;
  - Actual stack height above ground level;
  - Actual NO<sub>x</sub> and PM<sub>10</sub> maximum emission rates;<sup>68</sup>
  - Height of nearby buildings, which may prevent good dispersion of the plume; and
  - NO<sub>2</sub> and PM<sub>10</sub> background concentrations around the installation.
- 7.58 Further information is provided in the tool. To determine background pollutant concentrations, local authorities should use suitable pollution monitoring sites nearby or, if unavailable, use the UK background maps (see paras 7.72 to 7.74).

### ***Biomass Combustion – Combined Installations***

- 7.59 There is also the potential that many small biomass combustion installations (including domestic solid-fuel burning), whilst individually acceptable, could in combination lead to unacceptably high PM<sub>10</sub> concentrations, particularly in areas where concentrations are close to or above the objectives.
- 7.60 Local authority officers should draw on their local knowledge to help decide whether the number of households burning biomass, or the commercial

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<sup>68</sup> See Section 3 of this Chapter (Estimating Emissions) related to point sources (para 7.303) to obtain emission rates.

floorspace heated by biomass boiler, is of concern. Allowance should be made for combinations of domestic and commercial sources of solid fuels including biomass. Possible indicators of higher than average emissions densities resulting from solid fuel burning include:

- Complaints about nuisance dust or odour relating to burning;
- Visual signs of chimney smoke being emitted from several properties near to each other;
- Smell of burning solid fuel;
- Known high levels of sales of solid fuel via home delivery or local outlets; and
- Areas known to have limited or no access to mains gas.

7.61 Where local knowledge indicates a potential issue, local authorities should assess combined biomass impacts by using the Biomass Calculator available for download on the LAQM Support website<sup>64</sup>.

7.62 The Excel tool has been developed to help local authorities determine the maximum emissions density (in kg/annum for a 500m<sup>2</sup> area) from combined combustion installations, for which a risk of exceedance of the relevant PM<sub>10</sub> air quality objective (24-hour mean outside Scotland, annual mean inside Scotland) is unlikely. It is designed to be applied to emissions from the domestic and commercial sectors combined.

7.63 The procedure is as follows, with an example calculation set out in Box 7-3:

- Identify the areas with the highest densities of houses and service sector appliances burning solid fuels.
- Identify the types of solid-fuel appliance used in each area from the list provided on the LAQM Support website<sup>64</sup>.
- Count the numbers of each domestic heating appliance type in the identified 500m × 500m squares (equivalent to 25ha<sup>69</sup>). Estimate the floorspace occupied (in hectares) in the service sector in each of the identified 500m × 500m squares for each of the identified types of solid-fuel burning plant.
- Multiply the number of houses for each appliance type by the annual household emission provided on the LAQM Support website<sup>64</sup>. Sum the emissions from each of the domestic appliance types to give the total annual domestic emission from the 500m × 500m square.
- Multiply the service sector floorspace (in hectares) for each appliance type by the annual service sector emission per hectare. Sum the emissions from each of the service sector appliance types to give the total annual service sector emission from the 500m × 500m square. Add the service sector emissions to the domestic emissions to give the total

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<sup>69</sup> 1 hectare (ha) = 10,000m<sup>2</sup>

emissions from the square<sup>70</sup>.

- Estimate the fraction of space in the 500m × 500m square occupied by solid-fuel burning premises or domestic properties. Divide the annual emission by the fraction occupied by solid-fuel burning to give the emissions density for the square (kg emissions per 500m × 500m area).

7.64 If the emissions density from the square exceeds the relevant Threshold Emissions Density, then the authority will need to proceed to detailed dispersion modelling and/or monitoring.

7.65 Further information is provided in the tool. To determine background pollutant concentrations, local authorities should use suitable pollution monitoring sites nearby or, if unavailable, use the UK background maps (see paras 7.72 to 7.74).

### Box 7-3 – Combined Biomass Combustion Installations: Example of Calculation for Screening Assessment

Consider a 500m × 500m square (25ha) containing a new six-hectare development of 400 houses on the outskirts of a large town. The houses are fitted with wood pellet boilers. The new development adjoins an eight-hectare older estate. The older estate has largely converted to gas heating but there remain 50 houses that use conventional boilers burning coal. The 500m × 500m square also contains a school with floor area of 0.2 hectares in a plot of one hectare: the school is heated by means of a wood-burning automatic boiler. There is also a public house with floor area of 0.1 hectare in a plot of 0.5 hectare; the public house is heated by open wood fires. The remaining part of the 500m × 500m square does not contain premises burning solid fuels.

Using the estimates of annual emissions per household or hectare of service sector floorspace provided on the LAQM Support Website<sup>16</sup> the total emissions of PM<sub>10</sub> from the residential area is  $(400 \times 1.4) + (50 \times 13.0) = 560 + 650 = 1,210\text{kg}$ . The total emissions of PM<sub>10</sub> from the school and the public house are  $(0.2 \times 214) + (0.1 \times 12,453) = 43 + 1,245 = 1,288\text{kg}$ . The total emissions from all solid fuel sources are then  $1,210 + 1,288 = 2,498\text{kg}$ .

The area of the 500m × 500m square occupied by solid fuel heated premises is  $6 + 8 + 1 + 0.5 = 15.5$  hectares. Thus, the fraction occupied is  $15.5/25 = 0.62$ . The emissions density is then  $2,498 / 0.62 = 4,029\text{kg/year}$ .

The background PM<sub>10</sub> in the area is estimated from the national maps to be  $21\mu\text{g}/\text{m}^3$ . From the Biomass Calculator, the threshold emissions density for a large town is  $5,013\text{kg}/\text{year}$ . In this case, the calculated emissions for the 500m × 500m square are less than the threshold and there is no requirement to carry out further assessment.

7.66 Where detailed modelling is then undertaken, whilst it may not be necessary to model emissions from individual properties, the 'emission area(s)' will need to be carefully defined. Simple aggregation of emissions into 1km or 500m grid squares is unlikely to provide a sufficient degree of resolution. In the absence of other supporting data, sensitivity analysis based on aggregated emissions at street level, or clusters of solid fuel-burning properties, should be undertaken to support the approach that is taken. Any such studies should be explicitly included

<sup>70</sup> Emissions from residential or mixed-use residential "energy centres" can also be accounted for, provided the entire heating demand of the facility is taken into account

in the associated report. Where the fuel-use survey has been designed with post-code references, these may be used to map the emissions data, and assist with the process of aggregation.

- 7.67 It is expected that the area of any predicted exceedances will lie within relatively close proximity to the emissions sources. Whilst the reduction in pollutant concentrations with increasing distance from roads is well documented, the variation in pollutant concentrations within, and close to solid fuel-burning areas, is not so well defined. It is therefore important to ensure that the receptor grid spacing used in any subsequent detailed modelling is of a sufficient resolution to identify the maximum pollutant concentrations. Sensitivity analysis on receptor spacing may be required to justify the final approach that is taken.

### ***Domestic other Solid-Fuel Combustion***

- 7.68 Previous rounds of Review and Assessment have also identified areas where domestic solid fuel burning gives rise to exceedances of the objective for SO<sub>2</sub>. The methodology to screen these sources is provided below:
- Identify areas where significant coal burning takes place. Smokeless fuel has similar sulphur content to coal and so should be treated in the same way. “Significant” is defined as any area of about 500m × 500m with more than 50 houses burning coal/smokeless fuel as their primary source of heating. If necessary, use professional judgment to identify such areas, including experience of smoke hanging over the area on a winter’s evening. Further guidance is provided in para 7.361.
  - Collect information on the actual use of coal/smokeless fuel in these areas (do not count houses with occasional use of solid fuels); and
  - If the density of coal burning premises exceeds 100 premises per 500m × 500m area, then the local authority should proceed to a further assessment<sup>65</sup>, based on detailed dispersion modelling.

### **Fugitive or Uncontrolled Sources**

- 7.69 Dust emissions from a range of fugitive and uncontrolled sources can give rise to elevated PM<sub>10</sub> concentrations. Particular attention needs to be paid to fugitive sources in Scotland, due to the more stringent objective for 24-hour means.
- 7.70 Dust may arise from:
- On-site activities, such as handling of dusty materials, the cutting of concrete, etc;
  - Wind-blown dust from stockpiles and dusty surfaces; or
  - The passage of vehicles over unpaved ground and along public roads affected by dust and dirt tracked out from dusty sites;
- 7.71 Details of the methodology to screen fugitive sources of PM<sub>10</sub> are provided in Table 7-5. The assessment should be carried out if:
- The source has been identified as of potential concern, either from dust

complaints (a single, verified complaint may be sufficient to trigger the need for a screening assessment), local knowledge (site inspection) or following an air quality assessment submitted as part of the planning application; and

- There is relevant exposure near the sources of emissions. The distance to consider depends on the local background PM<sub>10</sub> concentrations, as per Table 7-5, which can be determined from the UK background maps.

**Table 7-5 – Screening Assessment of Fugitive or Uncontrolled Sources**

Road Source Category	Pollutant of Concern	Objectives of Concern	Criteria	What to Report	Action if Screening Confirms Potential Issue	Notes
Fugitive or Uncontrolled Sources	PM <sub>10</sub>	Long and Short-Term	<p>In Scotland: exposure within 200m from source of emission - (up to 1km if background PM<sub>10</sub> &gt; 17µg/m<sup>3</sup>)</p> <p>Rest of the UK: exposure within 200m of the source of emission (up to 1km if background PM<sub>10</sub> &gt; 28µg/m<sup>3</sup>)</p>	Sources matching criteria	Carry out monitoring and/or dispersion modelling	If the relevant exposure is within 50m of an off-site road used to access the site and there are visible deposits on the road, then exposure along these sections of road, which may extend up to 1km from the site entrance, should also be considered, as long as the PM <sub>10</sub> annual mean background concentration is above 11µg/m <sup>3</sup> (in Scotland) or above 25µg/m <sup>3</sup> (rest of the UK)

## Background Pollutant Concentrations

- 7.72 Contribution of emissions from assessed local pollutant sources (such as roads, stacks etc.) should be added to local background concentrations, to determine total pollutant concentrations. In many cases the background contribution will represent a significant or dominant proportion of the total pollutant concentration, and it is thus important that authorities give careful consideration to background levels and how they are estimated for future years.
- 7.73 Background concentrations are expected to decline in future years as a result of Government policies and legislation to reduce pollutant emissions<sup>71</sup>. In many instances it is strongly recommended that local authorities use the national background maps, which are provided for each 1km × 1km grid square across the UK. These maps are available on the LAQM Support website<sup>32</sup>. However, local authorities in Scotland should use alternative background maps for NO<sub>x</sub>, NO<sub>2</sub>, PM<sub>10</sub> and PM<sub>2.5</sub> available on the Air Quality in Scotland website<sup>72</sup> as these only use Scottish monitoring data. Where appropriate these data can be supplemented by and compared with local measurements of background, although care should be exercised to ensure that the monitoring site is representative of background air quality.
- 7.74 For NO<sub>x</sub>, PM<sub>10</sub> and PM<sub>2.5</sub>, the various source contributions to the estimated background concentration in each 1km × 1km grid square are provided. Therefore, it is possible to remove all sources explicitly modelled. The contributions from emissions inventory sources are provided separately for the sources within or outside the grid square. This is to enable individual sectors to be subtracted from the total if a more detailed local assessment is to be carried out for that sector<sup>73</sup>.

## Future Year Projections of Background and Roadside Concentrations

- 7.75 Local authorities may need to estimate background concentrations in specific years, or project forward results from air quality monitoring surveys. A number of different approaches can be used.
- 7.76 For 1,3-butadiene, benzene, CO and lead local authorities should use the Year Adjustment Calculator spreadsheet available on the LAQM Support website<sup>74</sup>.
- 7.77 For background NO<sub>x</sub>, NO<sub>2</sub> and PM<sub>10</sub>, there is no need to apply adjustment factors, as the UK and Scottish background maps include forecast background concentrations for each year between 2011 and 2030. To adjust monitoring data

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<sup>71</sup> Background concentrations of nitrogen dioxide are expected to decline, in the future, despite the recent increasing proportion of primary nitrogen dioxide in nitrogen oxides emissions. This increase in primary nitrogen dioxide has had a greater impact at roadside locations, but even here concentrations of nitrogen dioxide are expected to resume a downward trend.

<sup>72</sup> <http://www.scottishairquality.co.uk/data/mapping>

<sup>73</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/no2-adjustment-for-nox-sector-removal-tool/>

<sup>74</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/year-adjustment-factors/>

from background locations, the year adjustment factors appropriate to any 1 km x1km grid square can be simply calculated by comparing the maps for the two years in question.

- 7.78 However, this approach cannot be used to adjust measured roadside NO<sub>2</sub> concentrations, due to the differing proportions of primary NO<sub>2</sub> emissions assumed in each year. Instead, local authorities should use the appropriate factors as provided on the LAQM Support website<sup>16</sup>.
- 7.79 Future year adjustment factors for measured roadside PM<sub>10</sub> also require a different approach, as set out in Box 7-4.
- 7.80 Analyses of historical NO<sub>x</sub>/NO<sub>2</sub> monitoring data have identified a disparity between the measured NO<sub>x</sub>/NO<sub>2</sub> concentrations and the projected decline in concentrations associated with the NO<sub>x</sub>/NO<sub>2</sub> emissions forecasts, particularly at roadside sites. Where existing forecasting information is used for decision making or Review and Assessment and Action Planning work, local authorities may wish to take account of the emerging findings on the performance of different vehicle types, the performance of Euro standards overall, and the expected effect on forecast background concentrations. Please contact the LAQM Support website for further information.

### Box 7-4 – Projecting Measured Annual Mean Roadside PM<sub>10</sub> Concentrations to Future Years

Annual mean PM<sub>10</sub> concentrations at roadside locations in future years can be estimated from measured values using the following method. This method is only appropriate for roadside locations and cannot be used at locations where there is a strong influence from fugitive or industrial sources.

**Step 1:** Identify the total background concentration for the relevant grid square in µg/m<sup>3</sup>, for the measurement year from the national maps (if the background concentration is more than that measured then project forward using the approach in para 7.77).

**Step 2:** Subtract the background concentration (Total\_PM<sub>10</sub>) for the appropriate year from the measured concentration to determine the local PM<sub>10</sub> road concentration in that year.

$$\text{Measured} - \text{total background} = \text{local road concentration}$$

**Step 3:** For the relevant grid square for the year of monitoring add together concentrations from the following road sources:

- Motorway\_in and Motorway\_out
- Trunk\_A\_Rd\_in and Trunk\_A\_Rd\_out
- Primary\_A\_Rd\_in and Primary\_A\_Rd\_out
- Minor\_Rd+Cold\_Start\_in and Minor\_Rd+Cold\_Start\_out
- Brake+Tyre\_in and Brake+Tyre\_out
- Road\_Abrasion\_in\_15 and Road\_Abrasion\_out\_15

$$\text{motorways} + \text{trunk A roads} + \text{primary A Roads} + \text{minor roads \& cold start} + \text{brake \& tyre} + \text{road abrasion} \\ = \text{background road contribution}$$

**Step 4:** Repeat step 3 for the future year.

**Step 5:** Divide the background road contribution in the future year by the background road contribution in the measurement year. The result is the “year adjustment factor”.

*background road contribution in future year ÷ background road contribution in measurement year = year adjustment factor*

**Step 6:** Multiply the local road concentration (from Step 2) by the adjustment factor (from Step 5) to determine the concentration from local road sources in the future year.

*local road measured concentration × year adjustment factor = local road concentration in future year*

**Step 7:** Identify the local background concentration in the future year from the national maps published on the LAQM Support website.

**Step 8:** Add the local road concentration in the future year to the background concentration in that year to determine the total roadside concentration in the future year.

*local road concentration + future year background = Total future year roadside PM<sub>10</sub> concentration*

Further assistance with this procedure and interpretation of the results can be obtained from the LAQM Support Helpdesk.

### **Worked Example (Box 7.4 Cont.)**

The following worked example projects a hypothetical roadside PM<sub>10</sub> concentration of 32.90µg/m<sup>3</sup> from 2019 (measured year) to 2023 (future year)<sup>a</sup>:

**Step 1:** Total 2018-based background concentration for measured year 2019 = **22.51**

**Step 2:** 2019 Measured Concentration (32.90) - Total Background (22.51) = Local Road Concentration (**10.39**)

**Step 3:** For 2019: motorways in (0.00) + motorways out (0.02) + trunk A roads in (0.00) + trunk A roads out (0.00) + Primary A Roads in (0.02) + Primary A Roads out (0.05) + minor roads and cold start in (0.05) + Minor roads and cold start out (0.13) + brake & tyre in (0.15) + brake & tyre out (0.42) + road abrasion in (0.05) + road abrasion out (0.17) = Measurement year (2019) background road contribution (**1.06**)

**Step 4:** For 2023: motorways in (0.00) + motorways out (0.01) + trunk A roads in (0.00) + trunk A roads out (0.00) + Primary A Roads in (0.00) + Primary A Roads out (0.02) + minor roads and cold start in (0.02) + Minor roads and cold start out (0.05) + brake & tyre in (0.16) + brake & tyre out (0.46) + road abrasion in (0.05) + road abrasion out (0.18) = Future year (2023) background road contribution (**0.95**)

**Step 5:** Background road contribution in future year (**0.95**) ÷ background road contribution in measurement year (**1.06**) = Year adjustment factor (**0.90**)

**Step 6:** Local Road Measured Concentration (**10.39**) × Year adjustment factor (**0.90**) = Local Road concentration in future year (**9.35**)

**Step 7:** Total 2018-based background concentration for future year 2023 = **21.68**

**Step 8:** Local road concentration (**9.35**) + future year background (**21.68**) = **Total Future Year Roadside Concentration (31.03)**

<sup>a</sup> Values are quoted to 2 decimal places only for the purposes of illustrating the calculation. All values are mass concentrations in units of µg/m<sup>3</sup>.

## **Exceedances and Percentiles**

- 7.81 The short-term objectives are framed in terms of the number of occasions in a calendar year on which the objective concentration should not be exceeded. Wherever possible, authorities are encouraged to express the results of their

monitoring and modelling in terms of the number of hours, days, etc, above the objective level. This is the clearest basis for strict comparison with the air quality objectives. However, for a strict comparison on this basis, there should be a minimum of 85% data capture throughout a calendar year<sup>75</sup>. Where the measured data capture is less than 85%, short-term concentrations should be expressed as percentile values approximating the permitted number of exceedances. This should also be the case for dispersion modelling results if the model cannot calculate the number of exceedances or the meteorological dataset used contains less than 85% of valid observations for the year. Relationships between the permitted numbers of exceedances of short-period concentrations and the equivalent percentiles are provided in Table 7-6 below to help express results in relevant terms.

**Table 7-6 – Equivalent Percentiles to the Air Quality Objectives**

Pollutant	Time Period	Permitted Exceedances	Equivalent Percentile
NO <sub>2</sub>	1-hour	18 per year	99.8 <sup>th</sup> percentile
PM <sub>10</sub>	24-hour	35 per year (UK)	90.4 <sup>th</sup> percentile
PM <sub>10</sub>	24-hour	7 per year (Scotland only)	98.1 <sup>st</sup> percentile
SO <sub>2</sub>	15-minute	35 per year	99.9 <sup>th</sup> percentile
SO <sub>2</sub>	1-hour	24 per year	99.7 <sup>th</sup> percentile
SO <sub>2</sub>	24-hour	3 per year	99.2 <sup>nd</sup> percentile

### Fall-off in NO<sub>2</sub> Concentrations with Distance from the Road

- 7.82 NO<sub>2</sub> concentrations along roads are the focus of attention for many local authorities. However, it is not always possible to measure concentrations at the desired location for a range of practical reasons, for example, continuous monitoring stations require space, security and power, and diffusion tubes should be attached to suitable surfaces.
- 7.83 When assessing under LAQM, wherever possible, local authorities should ensure that monitoring locations are representative of exposure. However, where this is not possible, the NO<sub>2</sub> concentration at the nearest location relevant for exposure should be estimated, using the NO<sub>2</sub> fall-off with distance calculator available within the Diffusion Tube Data Processing Tool on the LAQM Support website<sup>76</sup>. It is also available as a standalone tool if required<sup>77</sup>.
- 7.84 Where it is not possible to measure locations of relevant exposure, for the purposes of LAQM, distance correction can be applied to monitoring locations that record an annual mean concentration above the NO<sub>2</sub> annual objective of 40µg/m<sup>3</sup>. It is also recommended that this process be applied to monitoring

<sup>75</sup> An exceedance of short-term objectives may of course be demonstrated with a much lower data capture rate

<sup>76</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/diffusion-tube-data-processing-tool/>

<sup>77</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/no2-falloff/>

locations that record an annual mean concentration that is within 10% of the NO<sub>2</sub> annual objective of 40µg/m<sup>3</sup> (i.e. above 36µg/m<sup>3</sup>), to account for the inherent uncertainty in diffusion tube monitoring concentration data.

- 7.85 When using the NO<sub>2</sub> fall-off with distance calculator, it is important to bear in mind the following limitations:
- Please justify the distances used in the tool when reporting, as there may be circumstances when it is appropriate to treat the edge of the road (described within the tool as being the 'kerb') as being the edge of the carriageway with flowing traffic rather than the physical kerb, e.g. on some urban roads where the first lane is used for parking and therefore the flowing traffic is away from the physical kerb;
  - The calculator can only be used where the influence of one road is present, i.e. an increasing distance from a road source in one direction cannot lead to a decreased distance toward a secondary road source, and no further sources of NO<sub>2</sub> are present in the vicinity of the monitoring location or the point of relevant exposure that would contribute significantly to the total NO<sub>2</sub> concentration.
  - If the closest receptor is located on the opposite side of the road to where the monitoring location was sited, the calculator also cannot be used.
  - There may also be circumstances where parked cars are only present for a part of the day; in these cases the parked cars should be ignored if they are not present through the period 07:00 to 19:00, i.e. distances within the tool should be taken to the physical kerb whenever traffic passes near to the physical kerb through most of the day.
  - For motorways, the 'kerb' is likely to constitute the edge of the inside lane and not the edge of the hard shoulder (excluding Smart Motorways whereby hard shoulder running is permitted).

### **Design Manual for Roads and Bridges Screening Model**

- 7.86 The Design Manual for Roads and Bridges (DMRB) Screening Model is a screening tool used by National Highways for road emissions.
- 7.87 In previous versions of the Technical Guidance, recommendation has been provided for appropriate use of the DMRB Screening Model. Please refer to the latest guidance on the LAQM website<sup>78</sup> for appropriate use of the tool for LAQM purposes.

### **Relationships between NO<sub>x</sub> and NO<sub>2</sub>**

- 7.88 NO<sub>x</sub> are predominantly emitted into the atmosphere in the form of nitric oxide (NO) which is then converted to nitrogen dioxide (NO<sub>2</sub>) through chemical processes in the atmosphere. Under most atmospheric conditions, the dominant

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<sup>78</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/dmrbscreening-model/>

pathway for NO<sub>2</sub> formation is via the reaction of NO with ozone (O<sub>3</sub>).

- 7.89 Road transport accounted for 28% of emissions of nitrogen oxides in the UK in 2020, and other forms of transport (aviation, rail, and shipping) accounted for 13%<sup>79</sup>. There is a downward trend in emissions from road transport due to the replacement of older vehicles in the vehicle fleet with newer vehicles that meet stricter emissions standards. Annual emissions from road transport have fallen by 67 per cent between 2005 and 2020, and other forms of transport have reduced annual emissions by 46 per cent over the same period.
- 7.90 Defra developed a tool to allow the calculation of NO<sub>2</sub> from NO<sub>x</sub> concentrations, taking account of the difference between fresh emissions of NO<sub>x</sub> and background NO<sub>x</sub>, the concentration of O<sub>3</sub>, and the different proportions of primary NO<sub>2</sub> emission in different years.
- 7.91 This tool (NO<sub>x</sub> to NO<sub>2</sub> calculator) is available on the LAQM Support website<sup>80</sup>. This calculator allows the calculation of NO<sub>2</sub> from NO<sub>x</sub> and vice versa.
- 7.92 Other approaches for NO<sub>x</sub> to NO<sub>2</sub> conversion may be used and may be preferred by the authority depending on the type of dispersion model that is employed. For example, the Generic Reaction Series, or other chemical reaction schemes may be used. More information is provided in the 'Review of methods for NO to NO<sub>2</sub> conversion in plumes at short ranges' report by the Environment Agency<sup>81</sup>. In this case, appropriate parameters to describe f-NO<sub>2</sub> and future year O<sub>3</sub> concentrations should be carefully considered and described.
- 7.93 Where a conversion method is incorporated within a dispersion model, care should be taken to follow the advice given in Box 7-17, which explains that the model should be verified using NO<sub>x</sub> and not NO<sub>2</sub>.
- 7.94 The "Derwent-Middleton" equation is not considered a suitable approach for determining NO<sub>2</sub> from NO<sub>x</sub>.
- 7.95 The recommended methodology to model NO<sub>2</sub> concentrations from NO<sub>x</sub> stack emissions (taking into account background concentrations) are described in Box 7-16. It is consistent with the Environment Agency's recommended methodology and should be used for specific studies investigating stack impacts alone, which are likely to be more related to short-term impacts. However, where stacks are included within models representing wider urban areas with a large number of emissions sources, and where annual mean concentrations are the main focus, the NO<sub>x</sub> to NO<sub>2</sub> calculator discussed above may be used for the conversion of total annual mean NO<sub>x</sub> to annual average NO<sub>2</sub> concentrations.

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<sup>79</sup> <https://www.gov.uk/government/statistics/emissions-of-air-pollutants/emissions-of-air-pollutants-in-the-uk-nitrogen-oxides-nox#trends-in-total-annual-emissions-of-nitrogen-oxides-in-the-uk-1970-to-2020>

<sup>80</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/nox-to-no2-calculator/>

<sup>81</sup>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/290985/scho0907bnhi-e-e.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/290985/scho0907bnhi-e-e.pdf)

## Relationship between the Annual Mean and 1-hour NO<sub>2</sub> Objectives

- 7.96 Predicting exceedances of the NO<sub>2</sub> 1-hour objective is not straightforward, as these will be highly variable from year to year, and from site to site. If monitoring is to be relied upon, then this should be carried out for an extended period (preferably a full calendar year) to ensure that the occurrence of occasional peaks is adequately captured. Dispersion models cannot predict short-term concentrations as reliably as annual mean concentrations. Moreover, model verification is likely to be challenging.
- 7.97 A study carried out on behalf of Defra and the Devolved Administrations identified that exceedances of the NO<sub>2</sub> 1-hour mean are unlikely to occur where the annual mean is below 60µg/m<sup>3</sup>. Analysis of data in more recent years has shown local authorities should continue to use this assumption where NO<sub>2</sub> 1-hour mean monitoring data are not available (typically if monitoring NO<sub>2</sub> using passive diffusion tubes). It should be noted that this relationship is based upon observations made predominantly at roadside and kerbside monitoring sites where road traffic is the primary source of emissions; consequently, this relationship is not considered to be applicable in instances where industrial emissions impact on air quality, where the relationship with compliance on the hourly NO<sub>2</sub> objective is more appropriately considered through dispersion modelling and the plume chemistry of NO<sub>x</sub>/NO<sub>2</sub> conversion.
- 7.98 While the assumption of it being unlikely that there would be an exceedance of the 1-hour mean NO<sub>2</sub> to be exceeded at concentrations below 60µg/m<sup>3</sup> remains valid, concentrations should be reviewed on a case by case basis where there is concern. To investigate potential exceedances of the 1-hour mean NO<sub>2</sub>, local authorities may also explore alternative monitoring including low cost sensors. More information on the application of low cost sensors is available in Section 7.255.
- 7.99 Defra and the Devolved Administrations will keep this under review and will issue revised guidance to local authorities on the LAQM Support website as and when necessary.

## Relationship between the Annual Mean and 24-hour Mean PM<sub>10</sub> Concentrations

- 7.100 As for NO<sub>2</sub>, using a dispersion model to predict exceedances of the PM<sub>10</sub> short-term (24-hour mean) objective may be challenging. Therefore, to estimate potential exceedances of the PM<sub>10</sub> 24-hour mean objective, local authorities should use the following relationship, provided in previous Technical Guidance, but still considered adequate:

$$\text{No. 24-hour mean exceedances} = -18.5 + 0.00145 \times \text{annual mean}^3 + (206/\text{annual mean})$$

- 7.101 The relationship does have limitations in so far that it should not be applied when the annual mean PM<sub>10</sub> concentration is lower than 14.8µg/m<sup>3</sup>.
- 7.102 Important issues regarding the monitoring of PM<sub>10</sub> concentrations are set out in Section 2 (Air Quality Monitoring) of this chapter. It is possible that this relationship will change in the future. Defra and the Devolved Administrations will

keep this under review and will issue revised guidance to local authorities on the LAQM Support website as and when necessary.

## Source Apportionment

- 7.103 As discussed in Chapter 2, carrying out source apportionment to understand the contribution of all sources of emissions to exceedances of the air quality objectives within an AQMA is important to identify priorities whilst preparing an AQAP.
- 7.104 Source apportionment need not be carried out with absolute precision but should be detailed enough to allow the authority to identify the predominant sources that contribute the air quality exceedances within its AQMA. An important initial separation, in most cases, will be into:
- **Regional background**, which the authority is unable to influence;
  - **Local background**, which the authority should have some influence over; and
  - **Local sources**, which will add to the background to give rise to the hotspot area of exceedances. These will be the principal sources for the local authority to control within the Action Plan.
- 7.105 Since the AQAP will mainly propose to influence emissions from local sources, it will also be important to separate these sources into:
- Stationary sources (if relevant) potentially dealing with each source separately;
  - Vehicle type potentially split among cars, vans and lorries, taxis and buses and coaches. May be further split by age or according to local or through traffic if these are significant issues;
  - Vehicle emissions split between moving and stationary traffic if congestion is a significant issue; and
  - Other relevant factors such as road gradients that give rise to excess emissions if these are significant.
- 7.106 Local authorities should rely on their local knowledge and exercise their judgment to identify significant factors related to local source emissions. They should then take steps to obtain available data that describe these factors and that can be used in the study. For example, the AADT for links in the AQMA split by vehicle type, the age profile of bus fleets or the average queuing time and queue lengths at congested junctions.
- 7.107 The preferred approach to apportionment of local sources is to use dispersion modelling, using the model to independently predict pollutant concentrations from each source in turn. Once a dispersion model has been set up, this is a relatively straightforward task to undertake. The results may be presented at a number of identified receptor locations, or as concentration isopleths.

7.108 Local authorities are encouraged to consider an appropriate level of detail within the source apportionment study. For example, it may be appropriate to separately consider buses and HGVs within the assessment, if there is evidence to suggest that one or the other is having a disproportionate effect along a given stretch of road. Once again, this will provide useful evidence to support the proposed measures within the Action Plan. Without such evidence, there is a risk that the Action Plan will be disproportionate in addressing emissions.

7.109 Apportionment for NO<sub>2</sub> is not as straightforward, due to the non-linear relationship between the emissions of NO<sub>2</sub> and NO<sub>x</sub>. This is additionally complicated by the different proportions of NO<sub>2</sub> in the NO<sub>x</sub> emission for different sources, for example, petrol cars or diesel cars. The following advice therefore applies to NO<sub>2</sub> source apportionment:

- **Background contributions:** the national maps will give the total background NO<sub>2</sub> concentration. This should be apportioned to regional and local background using the ratio of the background NO<sub>x</sub> concentrations attributable to these two sources, which are also available in the national maps; and
- **Local contributions:** the local contribution to NO<sub>2</sub> is the difference between the total (measured or modelled) NO<sub>2</sub> and the total background NO<sub>2</sub>. This is then apportioned to the local sources, for example, buses, HGVs, taxis, cars, using the relative contributions of these sources to the local NO<sub>x</sub> concentration.

7.110 An example of how to carry out apportionment for NO<sub>2</sub> is set out in Box 7-5.

### Box 7-5 – Example: Source Apportionment for NO<sub>2</sub>

The following provides an example of a source apportionment for NO<sub>2</sub> in a hotspot near to a busy road. The highest annual mean NO<sub>2</sub> concentration [T-NO<sub>2</sub>] at a relevant receptor, obtained from a verified model or monitoring is 46µg/m<sup>3</sup>.

**Step 1:** From the national maps of background annual mean concentrations obtain the total background NO<sub>2</sub> for the grid square within which the hotspot is located [TB-NO<sub>2</sub>] = 28µg/m<sup>3</sup> also the total background NO<sub>x</sub> [TB-NO<sub>x</sub>] = 45µg/m<sup>3</sup> and regional background NO<sub>x</sub> [RB-NO<sub>x</sub>] = 25µg/m<sup>3</sup>. From the total and regional background NO<sub>x</sub> derive a local background NO<sub>x</sub> [LB-NO<sub>x</sub>]:

$$[LB-NO_x] = [TB-NO_x] - [RB-NO_x] = 20\mu\text{g}/\text{m}^3$$

**Step 2:** Apportion the total background NO<sub>2</sub> into regional and local using the regional and local NO<sub>x</sub> proportions:

- [RB-NO<sub>2</sub>] = [TB-NO<sub>2</sub>] × ([RB-NO<sub>x</sub>] / [TB-NO<sub>x</sub>]) = 15.6µg/m<sup>3</sup>
- [LB-NO<sub>2</sub>] = [TB-NO<sub>2</sub>] × ([LB-NO<sub>x</sub>] / [TB-NO<sub>x</sub>]) = 12.4µg/m<sup>3</sup>

**Step 3:** Calculate the local NO<sub>2</sub> contribution at the worst-case location [L-NO<sub>2</sub>] from the total measured minus background:

$$[L-NO_2] = [T-NO_2] - [TB-NO_2] = 18\mu\text{g}/\text{m}^3$$

**Step 4:** Apportion the local contributions to total NO<sub>2</sub> concentration using the model concentrations or emission results for NO<sub>x</sub>. In this example, it is shown that 44% of the NO<sub>x</sub> at the worst-case relevant is from vans and lorries, 22% from buses and 34% from cars.

- NO<sub>2</sub> vans and lorries = 44% × [L-NO<sub>2</sub>] = 7.9µg/m<sup>3</sup>
- NO<sub>2</sub> buses = 22% × [L-NO<sub>2</sub>] = 4.0µg/m<sup>3</sup>

- $\text{NO}_2$  cars = 34% × [L- $\text{NO}_2$ ] = 6.1 $\mu\text{g}/\text{m}^3$

The final source apportionment of the worst-case  $\text{NO}_2$  46 $\mu\text{g}/\text{m}^3$  is thus:

- Regional background = 15.6 $\mu\text{g}/\text{m}^3$  (34%)
- Local background = 12.4 $\mu\text{g}/\text{m}^3$  (27%)
- Local traffic:
  - Vans and lorries = 7.9 $\mu\text{g}/\text{m}^3$  (17%)
  - Buses = 4.0 $\mu\text{g}/\text{m}^3$  (9%)
  - Cars = 6.1 $\mu\text{g}/\text{m}^3$  (13%)

- 7.111 Where a detailed modelling approach is not feasible, source apportionment may be undertaken using a simple spreadsheet approach. For example, where road traffic emissions are the principal concern, the percentage contribution to total  $\text{NO}_x$  emissions may be calculated using the appropriate emission factors. The level of detail will be dependent upon the road traffic data that are available. Data for emissions factors for typical fleets are included within the Emissions Factors Toolkit (EFT)<sup>82</sup>.
- 7.112 To do this, the road  $\text{NO}_x$  must be known, this can be derived from the  $\text{NO}_x$  to  $\text{NO}_2$  calculator.
- 7.113 The EFT includes a simple checkbox which allows for source apportionment to be undertaken based on the default vehicle fleets within the Toolkit as informed by the National Air Emissions Inventory (NAEI). This is included within the 'additional outputs' section of the EFT. Detail on the inputs and use of the EFT can be found in the 'QA' tab of the EFT and the EFT User Guide<sup>83</sup>. It is possible to obtain source apportionment outputs for  $\text{NO}_x$ ,  $\text{PM}_{10}$ ,  $\text{PM}_{2.5}$  and  $\text{CO}_2$  from the EFT. It should be noted that the output from this is much coarser than completing detailed modelling and the information will be limited to the emissions outputs for the road link by the point for which source apportionment is being completed.
- 7.114 Once the road emissions source apportionment is obtained from the EFT, the process set out in Box 7-5 should still be followed to determine the effects of regional and local background to get a full picture of the sources of emissions which are resulting in this concentration. Any reporting of source apportionment which has used this simple spreadsheet approach rather than detailed dispersion modelling should highlight this as a limitation. The EFT is regularly updated with predicted emissions for future years<sup>82</sup>.

### Calculation of the Required Reduction in Emissions for Action Plans

- 7.115 As discussed in Chapter 2, local authorities should identify the reduction in pollutant emissions required to attain the objectives within their AQMAs to determine the scale of effort likely to be required.
- 7.116 In the case of  $\text{NO}_2$  alongside roads, the required reduction should be stated as

<sup>82</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/emissions-factors-toolkit/>

<sup>83</sup> <https://laqm.defra.gov.uk/wp-content/uploads/2021/11/EFTv11.0-user-guide-v1.0.pdf>

the concentration reduction in  $\mu\text{g}/\text{m}^3$ , for example, a  $5\mu\text{g}/\text{m}^3$  reduction from  $45\mu\text{g}/\text{m}^3$  to  $40\mu\text{g}/\text{m}^3$ . However, any required percentage reductions of local emissions should be expressed in terms of  $\text{NO}_x$  due to the local road traffic. This is because the primary emission is of  $\text{NO}_x$  and there is a non-linear relationship between  $\text{NO}_x$  concentrations and  $\text{NO}_2$  concentrations.

- 7.117 Calculation of the  $\text{NO}_x$  reduction requires the current 'road  $\text{NO}_x$ ' concentration (road  $\text{NO}_x$ -current) to be calculated, i.e. the difference between total  $\text{NO}_x$  (calculated or measured) and local background  $\text{NO}_x$ . The next step is to calculate the road  $\text{NO}_x$  concentration required to give a total  $\text{NO}_2$  concentration of  $40\mu\text{g}/\text{m}^3$  (road  $\text{NO}_x$ -required). This can be done using the  $\text{NO}_x$  to  $\text{NO}_2$  calculator (see para 7.90), by entering a total  $\text{NO}_2$  concentration of  $40\mu\text{g}/\text{m}^3$ , along with the local background  $\text{NO}_2$  concentration. The ratio of 'road  $\text{NO}_x$ -required' to 'road  $\text{NO}_x$ -current' gives the required percentage reduction in local road  $\text{NO}_x$  emissions to achieve the objective. An example is presented in Box 7-6. Help with these calculations can be obtained from the LAQM Support Helpdesk.

### Box 7-6 – Example: Calculated Reduction in Road $\text{NO}_x$ Emissions

The following is provided as an example of how to calculate the reduction in road  $\text{NO}_x$  emission required to meet the  $40\mu\text{g}/\text{m}^3$  annual mean objective for  $\text{NO}_2$ . In this scenario, a modelling study has identified  $\text{NO}_2$  concentrations at a worst-case relevant exposure location of  $45\mu\text{g}/\text{m}^3$ . This worked example is based on version 8.1 of the  $\text{NO}_x$  to  $\text{NO}_2$  calculator<sup>80</sup>. Should a later version be used, this worked example may not provide the exact same result but the same methodology will apply.

**Step 1:** Obtain the local background concentrations of  $\text{NO}_2$  for the year of interest at the modelled location. For this example, this is  $9.6\mu\text{g}/\text{m}^3$  from the background maps (see para 7.73).

**Step 2:** Use the  $\text{NO}_x$  to  $\text{NO}_2$  calculator (see para 7.90) to obtain the road  $\text{NO}_x$  concentration that equates to the  $45\mu\text{g}/\text{m}^3$   $\text{NO}_2$ . Be sure to set your 'General Inputs' tab to determine the correct local authority, year of study and mix of traffic. The input should be as below:

3) Click the mouse on the run button to run the model. Run  $\text{NO}_2$  to  $\text{NO}_x$

The model will calculate the incremental contribution to oxides of nitrogen concentrations from the road vehicle emissions.

Copy and paste the results to another spreadsheet.

4) Click the mouse on the Clear button to clear the spreadsheet. Clear spreadsheet

Local Authority:			Oldham District		Year:	
					Traffic Mix:	
Site ID	Diffusion tube $\text{NO}_2$ , $\mu\text{g m}^{-3}$	Background $\mu\text{g m}^{-3}$		Road $\text{NO}_x$ , $\mu\text{g m}^{-3}$	User defined local traffic fraction emitted as $\text{NO}_2$	
	$\mu\text{g m}^{-3}$	$\text{NO}_x$	$\text{NO}_2$			
Site 1	45		9.6	74		

When clicking 'Run  $\text{NO}_2$  to  $\text{NO}_x$ ', the Road  $\text{NO}_x$  is given as  $74\mu\text{g}/\text{m}^3$ .

**Step 3:** Calculate the road  $\text{NO}_x$  concentration required to give a total  $\text{NO}_2$  concentration of  $40\mu\text{g}/\text{m}^3$ , i.e. the annual mean objective (road  $\text{NO}_x$ -required). This can be done using the ' $\text{NO}_2$  from  $\text{NO}_x$  calculator' by entering a total  $\text{NO}_2$  concentration of  $40\mu\text{g}/\text{m}^3$  along with the local background  $\text{NO}_2$  concentrations. The calculator gives the road  $\text{NO}_x$ -required concentration which in this example is  $62.06\mu\text{g}/\text{m}^3$  as shown below.

3) Click the mouse on the run button to run the model. Run NO<sub>2</sub> to NO<sub>x</sub>

The model will calculate the incremental contribution to oxides of nitrogen concentrations from the road vehicle emissions.

Copy and paste the results to another spreadsheet.

4) Click the mouse on the Clear button to clear the spreadsheet. Clear spreadsheet

Local Authority:		Oldham District		Year:	
Site ID	Diffusion tube NO <sub>2</sub> , µg m <sup>-3</sup>	Background µg m <sup>-3</sup>		Road NO <sub>x</sub> , µg m <sup>-3</sup>	User defined local traffic fraction emitted as NO <sub>2</sub>
		NO <sub>x</sub>	NO <sub>2</sub>		
Site 1	45		9.6	74	
Road NO <sub>x</sub> reqd	40		9.6	62.06	

**Step 4:** Calculate the road NO<sub>x</sub> reduction by subtracting the current road NO<sub>x</sub> from the required road NO<sub>x</sub>. In this example, the road NO<sub>x</sub> reduction is 11.94µg/m<sup>3</sup> (74µg/m<sup>3</sup> minus 62.06µg/m<sup>3</sup>), which represents a 16.1% reduction in road NO<sub>x</sub> (11.94/74 as a percentage).

## Estimating PM<sub>2.5</sub> from PM<sub>10</sub> Measurements

- 7.118 As a general simplification, PM<sub>2.5</sub> is regionally influenced with the secondary formation of nitrate and sulphate species being prevalent in the overall burden. However, primary emissions from vehicle exhaust and industry arise. PM<sub>Coarse</sub> (the fraction of PM between 10µm and 2.5µm, i.e. PM<sub>10</sub> minus PM<sub>2.5</sub>) is more often local in origin and can be attributed to activities such as construction, demolition, waste transfer operations, and tyre wear. Estimation of PM<sub>10</sub> data from PM<sub>2.5</sub> data and vice versa should only be used to give an indication of PM fractions where only one of the two metrics is available, or where estimates on modelled PM<sub>2.5</sub> can be derived from modelled PM<sub>10</sub>. Local Authorities should clearly indicate where PM concentrations have been estimated based upon the below methods.
- 7.119 Where there are local sites measuring both PM<sub>10</sub> and PM<sub>2.5</sub>, then PM<sub>Coarse</sub> can be calculated for this site by subtracting the annual average PM<sub>10</sub> concentration by the annual average PM<sub>2.5</sub> concentration. At local sites of the same site classification where there are only PM<sub>10</sub> data, then the annual average PM<sub>2.5</sub> concentration can be estimated by subtracting the calculated PM<sub>Coarse</sub> split. Similarly, at local sites of the same site classification where there are only PM<sub>2.5</sub> data, then the annual average PM<sub>10</sub> concentration can be estimated by adding the average PM<sub>Coarse</sub> split.
- 7.120 Where no appropriate local sites measuring both PM<sub>10</sub> and PM<sub>2.5</sub> are available, then a nationally derived factor can be used. Two separate factors will be calculated on an annual basis for Background and Roadside sites by analysing hourly data for all AURN sites with both PM<sub>10</sub> and PM<sub>2.5</sub> monitoring for years 2010 to current day. PM<sub>Coarse</sub> will be calculated as PM<sub>10</sub> minus PM<sub>2.5</sub> for those hours when both size fractions are measured only. The calculated average PM<sub>Coarse</sub> split can then be used to estimate PM<sub>2.5</sub> concentrations by subtracting the PM<sub>10</sub> concentration by the calculated average PM<sub>Coarse</sub> split.
- 7.121 It is not recommended to calculate PM<sub>2.5</sub> from PM<sub>10</sub> at Industrial sites due to their unique site-specific characteristics. Only factors for Background and Roadside sites should be applied to estimate PM<sub>2.5</sub> concentrations.

- 7.122 The national factors for Background and Roadside sites will be updated on an annual basis and published on the LAQM website in line with the annual reporting schedule.
- 7.123 Box 7-7 provides some examples of estimating PM<sub>2.5</sub> concentrations from PM<sub>10</sub> monitoring.
- 7.124 Local authorities may find it useful to use information gathered by any PM<sub>2.5</sub> monitoring to appraise the compliance with PM<sub>10</sub> short-term objectives. For example, if the 24-hour mean PM<sub>2.5</sub> concentration exceeds 35µg/m<sup>3</sup> on more than seven occurrences a year (Scotland) or 35 occurrences a year (rest of the UK), then the local authority should consider installing a PM<sub>10</sub> analyser in that location.

### Box 7-7 – Example: Estimating PM<sub>2.5</sub> Concentrations from PM<sub>10</sub> Monitoring

#### Example A – Estimate using Local PM<sub>10</sub> and PM<sub>2.5</sub> Monitoring

The following provides an example of the estimation of PM<sub>2.5</sub> where a local authority measures both PM<sub>10</sub> and PM<sub>2.5</sub> at the same location using continuous monitoring instruments.

The recorded annual mean concentrations in 2021 were 30.1µg/m<sup>3</sup> and 23.7µg/m<sup>3</sup> for PM<sub>10</sub> and PM<sub>2.5</sub> respectively at a reference roadside site. The authority also measured PM<sub>10</sub> at another roadside site; the 2021 annual mean concentration at this site was 27.8µg/m<sup>3</sup>. The PM<sub>2.5</sub> concentration at this site can be estimated as follows:

**Step 1:** Calculate the PM<sub>Coarse</sub> at the reference site:

$$30.1 - 23.7 = 6.4$$

**Step 2:** Subtract the PM<sub>10</sub> concentration recorded at the other site by the locally derived PM<sub>Coarse</sub> split:

$$27.8 - 6.4 = 21.4$$

**Step 3:** Estimated annual mean PM<sub>2.5</sub> = 21.4µg/m<sup>3</sup>

#### Example B – Estimate using the National Factor

The following provides an example of the estimation of PM<sub>2.5</sub> using the nationally derived correction factor.

The national factor will be updated on an annual basis and published on the LAQM Website in line with the annual reporting schedule. For this example, the 2021 National Factor for Roadside sites has been used.

The recorded annual mean concentration at a roadside site in 2021 was 30.1µg/m<sup>3</sup>. The PM<sub>2.5</sub> concentration at this site can be estimated as follows:

**Step 1:** Subtracting the annual mean PM<sub>10</sub> concentration by the nationally derived correction factor:

$$30.1 - 5.7 = 24.4$$

**Step 2:** Estimated annual mean PM<sub>2.5</sub> = 24.4µg/m<sup>3</sup>

## 2 – Air Quality Monitoring

### Air Quality Monitoring Strategy for Review and Assessment

7.125 Most local authorities have progressively adapted their monitoring strategy in accordance with the air quality issues specific to their administrative area. Over the years, many local authorities have relocated kerbside monitoring sites to roadside or other sites relevant to public exposure. Monitoring networks have also been progressively extended to identify all potential hot spots, whilst a number of sites have been relocated to more relevant areas, or discontinued in areas where data has shown that compliance is achieved.

7.126 Therefore, it is likely that the existing monitoring network for most local authorities is now adapted to respond to the requirements of the LAQM system. As a result, it is not expected that local authorities need extensive guidance in relation to air quality monitoring strategies, such as how to determine the best location, the number of monitoring sites required, etc. Therefore, only a brief summary of key aspects is provided below as a useful reminder:

- Local monitoring campaigns should be planned with due regard to the air quality objectives of concern and monitoring equipment installed at locations relevant for public exposure. This is to ensure that the data are fit for purpose, and results do not need to be corrected (such as adjustments to account for the distance to the nearest sensitive receptors);
- The monitoring programme should be designed to assist the authority in defining the geographical extent of any exceedances;
- Locations should be selected bearing in mind that results are likely to be used to help demonstrate the performance of dispersion. Therefore, care should be taken to ensure that the monitoring site is sufficiently close to the dominant pollution source (i.e. in the vast majority of cases, at roadside sites);
- Screening assessments should provide useful information on the likely locations where the air quality objective for the pollutant of concern may be exceeded. This information can be used to select a monitoring site for detailed studies using automatic monitors;
- Monitoring should also be undertaken at a number of background sites to obtain a representative background concentration for the area, supplementing the information provided by the national background maps (see para 7.73). Urban background monitoring is valuable in determining long-term trends, as such sites are less likely to be affected by variations in local sources, for example, changes in traffic on a particular road;
- To validate NO<sub>2</sub> diffusion tube data (bias adjustment), additional tubes should be exposed in triplicate at a suitable nearby automatic monitoring station, using the same monthly exposure periods as the other sites; and
- Monitoring results, provided that they comply with QA/QC procedures and are located at suitable locations relevant of worst-case public exposure, should take precedence over modelling results. Therefore, if

monitoring data do not indicate a likely exceedance of an air quality objective, there should be no need to declare an AQMA.

7.127 As a general rule, before embarking on a monitoring programme, it is important to have a clear understanding of what monitoring will achieve, and how it will aid the Review and Assessment process. Box 7-8 lists some of the basic points to consider.

### Box 7-8 – Basic Considerations Before Proceeding with Air Quality Monitoring

The following points should be considered to determine a suitable air quality monitoring strategy:

- Which pollutants need to be monitored?
- What monitoring methods are appropriate?
- What monitoring equipment is needed?
- How much will it cost - to purchase and to operate?
- How long to monitor for?
- Where to monitor?
- How many monitoring sites are needed?
- What data quality is required?
- How to process and evaluate the data?

7.128 It is important that the financial and other implications of embarking on a monitoring programme are fully understood before any action is taken. Local authorities are advised to seek assistance from the LAQM Support Helpdesk if they are uncertain about the best way to proceed.

### Introduction to Monitoring

7.129 This section discusses general siting requirements of the instruments used to monitor air pollution. The available instruments and reporting requirements are then discussed for each pollutant in turn.

7.130 For local authorities, the majority of monitoring undertaken will focus on NO<sub>2</sub> and particulate matter (PM<sub>10</sub> and PM<sub>2.5</sub>) as the concentrations of other pollutants have generally fallen below levels at which they are considered harmful. Monitoring of other pollutants is likely to only be required if there is a source for which an assessment may show a potential risk to compliance. One exception is where there is a national network monitor within the boundary of the local authority. In this case, then ratified data and statistics should be taken directly from the appropriate website (e.g. the UK-Air website<sup>84</sup>). It is important to note that the data on the national websites are verified several months after the end of the calendar year, and as such the data available may be provisional and subject to further ratification. Local authorities should aim to use verified data and specify in LAQM statutory reports whether verified or provisional data have been used.

7.131 As part of Defra's commitment to consolidate both local and national monitoring together within a single accessible portal, as detailed within the Clean Air Strategy for England

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<sup>84</sup> <https://uk-air.defra.gov.uk/>

2019<sup>85</sup>, the UK-Air website now includes information and data from automatic monitoring sites that form part of networks managed by local authorities. This is in addition to the information and presented on the website relating to the AURN and other compliance monitoring networks. Further details on the service can be found on UK-Air<sup>86</sup>. Users of the website are able to access local automatic data in the same way as they can access data from the national networks (e.g. AURN).

- 7.132 Local authorities are strongly encouraged to share their data with UK-Air. To facilitate future data sharing within UK-Air, even if currently there is no existing dedicated website resource, a dedicated Application Programming Interface (API) can be established from which data can be shared with UK-Air. The documentation for this API is available on UK-Air<sup>87</sup>. Data originators wishing to make their data available can create an API based on this specification and contact the email address provided<sup>86</sup> for any guidance required.
- 7.133 Local authorities are strongly encouraged to share data via the API and to review the information and data that is presented on the UK-Air website relating to their monitoring networks.
- 7.134 For NO<sub>2</sub>, SO<sub>2</sub> and CO, a series of reference method instruments are set out for use in line with the Air Quality Standards Regulations. For NO<sub>2</sub>, it is also permissible to use diffusion tubes, when utilised in accordance with best practice guidance<sup>88</sup>. Instruments that employ alternative technologies such as electrochemical sensors, Differential Optical Absorption Spectroscopy (DOAS) and cavity ringdown spectroscopy are not currently approved for NO<sub>2</sub>, SO<sub>2</sub> or CO, as they have not yet been tested, though they may be suitable as supplementary monitoring to help local authorities Review and Assess air quality, or for local campaigns. Should alternative instruments be approved in the future, then this information will be disseminated to local authorities.
- 7.135 For PM<sub>10</sub> and PM<sub>2.5</sub>, a number of different technologies have been approved for use as set out in 7.156 onwards.
- 7.136 For lead (Pb), Defra and the Devolved Administrations have approved the use of a method that employs the subsequent analysis of sampled filters.
- 7.137 For benzene and 1,3-butadiene, Defra and the Devolved Administrations have approved the use of chromatography-based methods. A DOAS method has also been approved through the MCERTS certification scheme.
- 7.138 In order to make the best use of the measured air quality monitoring data for dispersion modelling or source apportionment analysis, it is often useful to install meteorological

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<sup>85</sup> <https://www.gov.uk/government/publications/clean-air-strategy-2019>

<sup>86</sup> <https://uk-air.defra.gov.uk/networks/network-info?view=nondefraaqmon>

<sup>87</sup> Diffusion Tubes for Ambient NO<sub>2</sub> Monitoring: Practical Guidance for Laboratories and Users. AEA Energy & Environment. February 2008.

sensors at the monitoring station, at an appropriate height and free from any obstruction.

- 7.139 For comparison with the AQS objectives, ideally, monitoring should be completed for a full calendar year. Should baseline monitoring be required for construction or demolition purposes then monitoring should be undertaken for at least three months prior to site activity to ascertain background levels (it would also be necessary to monitor throughout the construction or demolition phases of the work to determine impacts).
- 7.140 Where automatic monitoring has been completed for less than 75% of the year, annualisation techniques can be used to estimate an annual average from a part year average. Annualisation is the process of estimating annual means from the extrapolation of short-term monitoring results. The methodology consists of using concentration data from nearby continuous monitoring sites to assist in estimating annual mean concentrations at the site(s) in question. The continuous monitoring sites used for comparison, where available, should be background (Urban Background, Suburban or Rural) sites to avoid any very local effects that may occur at Urban Centre, Industrial, Roadside or Kerbside sites. For annualisation to be completed, there must be 25% annual monitoring data available. Examples of annualisation are set out for continuous monitoring in Box 7-9 and diffusion tube monitoring in Box 7-10.
- 7.141 In order to ensure the correct functioning of the instruments, it is necessary to attend the site periodically in order to perform local site operator duties such as changing filters or cleaning the inlet. Equipment must also be kept in calibration in line with manufacturer specifications.
- 7.142 It is also necessary to service the instruments every six months in order to limit instrument breakdowns.
- 7.143 In order to improve the reliability and validity of the data, it is best practice that the instruments should be periodically checked by an independent organisation accredited to perform QA/QC checks to ISO17025:2017. Ideally, this should be performed every six months.

### **Site Classifications**

- 7.144 For LAQM reporting purposes, local authorities should use the site classifications presented in Table 7-7.

**Table 7-7 – LAQM Site Type Classifications**

Site Type	Description
Urban centre	An urban location representative of typical population exposure in towns or city centres, for example, pedestrian precincts and shopping areas
Urban background	An urban location distanced from sources and therefore broadly representative of city-wide background conditions, e.g. urban residential areas
Suburban	A location type situated in a residential area on the outskirts of a town or city
Roadside	A site sampling typically within one to five metres of the kerb of a busy road (although distance can be up to 15 m from the kerb in some cases)
Kerbside	A site sampling within one metre of the kerb of a busy road
Industrial	An area where industrial sources make an important contribution to the total pollution burden
Rural	An open countryside location, in an area of low population density distanced as far as possible from roads, populated and industrial areas
Other	Any special source-orientated or location category covering monitoring undertaken in relation to specific emission sources such as power stations, car-parks, airports or tunnels

7.145 UK-Air provides monitoring data from the AURN. The site classifications used for the AURN are those defined in the Air Quality Standards Regulations 2010 and differ from the site classifications used for LAQM. These Air Quality Standards Regulations 2010 site classifications are summarised in Table 7-8. When obtaining data from UK-Air, local authorities should use this table in order to work out how the site should be classified for LAQM reporting purposes. For example, a site classified in UK-Air as Urban Traffic would be either Roadside or Kerbside for LAQM reporting purposes.

**Table 7-8 – Air Quality Monitoring Site Classification Used on UK-Air Website for Comparison with LAQM Classifications**

Air Quality Standards Regulations 2010 Classification	LAQM Classification	AQD 2008 Description
Urban Traffic	Roadside or Kerbside	Sites in an urban area at least 25 metres from the edge of major junctions and no more than 10 metres from the kerbside
Urban Background	Urban Background or Urban Centre	Sites in an urban area away from major roads that are representative of exposure of the general population. Urban background sites should not be dominated by single sources and should be representative of a wide area
Suburban Background	Suburban	Sites in a suburban area away from major roads that are representative of exposure of the general population. A suburban area is defined as a location type situated in a residential area on the outskirts of a town or city. Suburban background sites should not be dominated by single sources and should be representative of a wide area
Rural Background	Rural	Sites in a rural area away from roads that are representative of exposure of the general population. Rural background sites should not be influenced by agglomerations or industrial sources and should be representative of a wide area
Urban Industrial	Industrial	Site in an urban residential area downwind of specific industrial source
Suburban Industrial	Industrial	Site in a suburban area downwind of specific industrial source. A suburban area is defined as a location type situated in a residential area on the outskirts of a town or city

## Installing New Continuous Monitoring Sites

7.146 Continuous monitoring stations require a permanent power supply, and (dependent upon the equipment installed), often require air-condition units and a housing. The power supply must be of sufficient rating to support the equipment to be installed. In some cases, such as roadside monitoring, it is possible to arrange to draw power from a nearby facility (such as street lighting) without having to install significant lengths of underground or over-ground cables. However, not all such installations offer an uninterrupted power supply. All electrical work should be undertaken by a fully qualified and industry approved electrician.

7.147 Local authorities should use the site classifications as specified in Table 7-7 for LAQM reporting purposes. However, in order to aid potential future expansion of the UK monitoring network for national compliance purposes, local authorities are encouraged to locate monitoring stations in one of the six classifications provided in Table 7-8. The site

selection process should take into account the spatial distribution and variability of gaseous pollutants. It is often not possible to find one site which is ideal for all pollutants: for example, concentrations of traffic pollutants such as NO<sub>2</sub> are highest at roadside and kerbside locations, whereas SO<sub>2</sub> concentrations may be highest at urban background or rural locations as a result of emissions from a point source. In such circumstances, some degree of compromise may be required, or it may be necessary to set up separate sites for the different pollutants. Urban background monitoring is useful if there is a need to monitor long-term trends in pollutant concentration or population exposure. Background monitoring sites are less likely than roadside or kerbside sites to be affected by very local factors, for example changes in traffic on a particular road.

7.148 It is necessary to consider certain micro-scale siting requirements for LAQM purposes:

- Sites should be in as open a setting as possible in relation to surrounding buildings. Immediately above the site should be open to the sky, with no overhanging trees, structures or buildings. The flow around the inlet sampling probe shall be unrestricted without any obstructions affecting the airflow in the vicinity of the sampler (normally some metres away from buildings, balconies, trees and other obstacles and ideally at least 0.5m from the nearest building in the case of sampling points representing air quality at the building line);
- In general, the inlet sampling point shall be between 1.5m (the breathing zone) and 4m above the ground. For security reasons, the inlet should be greater than 2m, though it is recognised that lower sampling heights better reflect the ambient conditions encountered by members of the public;
- The inlet probe shall not be positioned in the immediate vicinity of sources in order to avoid the direct intake of emissions unmixed with ambient air;
- The sampler's exhaust outlet shall be positioned so that recirculation of exhaust air to the sampler inlet is avoided;
- The site should not be close to local or point emissions sources unless these have been specifically targeted for investigation. For industrial sites, where specific sources are being targeted, monitoring should be carried out at the point of maximum impact as determined by modelling; and
- For urban background or suburban sites there should be no major sources of pollution (for example a large multi-storey car park) within 50m. There should be no medium sized emission sources (for example, petrol stations, boiler vents, or ventilation outlets to catering establishments) within 20m.

7.149 Regular review of site suitability is necessary as the micro-scale environment can change quickly. It is important to note that vegetation needs cutting back occasionally.

7.150 Other important considerations are:

- Interfering sources;

- Security;
- Access;
- Availability of electrical power and telephone communications;
- Visibility of the site in relation to its surroundings;
- Safety of the public and operators. Examples include: Sloping roofs, ladder restraints, fencing around roof, direction in which door through fencing opens, safety of steps and handrails;
- The desirability of co-locating sampling points for different pollutants; and
- Planning requirements.

7.151 Generally, there is a large amount of time involved in the coordination of the planning authorities, the highways agency, traffic management services, instrument suppliers, enclosure suppliers, delivery companies, air conditioning engineers, electricity suppliers, site electricians, the company that builds the plinth and the telecommunications suppliers. As such, local authorities are advised to procure the services of the equipment supplier or a consultancy company in order to assist in the process.

7.152 It is generally advised that all data are collected, stored and analysed in Greenwich Mean Time (GMT) irrespective of the season. However, this means that anyone carrying out analysis of the data needs to be aware that, for example, the rush hour peak is an hour out in the summer. Also, when investigating or plotting diurnal patterns over a full year, the British Summer Time (BST)/GMT correction needs to be made otherwise the diurnal patterns will be incorrect. When both reporting data and using data from other sources, it is imperative to make it clear whether the date and time stamp assigned to the data corresponds to the beginning or the end of the monitoring period.

### Identifying Erroneous Data

7.153 Different instruments require data to be processed in different ways. This is discussed later in the individual sections on each pollutant. However, in all cases, the local authority should identify and delete erroneous data, and there are various common themes irrespective of pollutant or instrument.

- *Instrument history and characteristics:* Has the equipment malfunctioned in this way before?
- *Calibration factors and drift:* Rapid or excessive response drift can make data questionable.
- Negative or out-of-range data: Are the data correctly scaled?
- *Rapid excursions or “spikes”:* Are such sudden changes in pollution concentrations likely?
- *Characteristics of the monitoring site:* Is the station near a local pollution sink or source which could give rise to these results?
- *Effects of meteorology:* Are such measurements likely under these weather conditions?

- *Time of day and year:* Are such readings likely at this time of day/week/year?
- *The relationship between different pollutants:* Some pollutant concentrations may rise and fall together (for example, from the same source). For example, CO, NO<sub>x</sub> and PM<sub>10</sub> are all vehicle derived pollutants.
- *Results from other sites in the network:* These may indicate whether observations made at a particular site are exceptional or questionable. Data from national network or other sites in the area can be compared for a given period to determine if measurements from a particular station are consistent with general pollution concentrations. If any high concentrations are identified (seen as spikes) at the local site, further examination is required.
- *QA Audit and Service reports:* These will highlight any instrumental problems and determine if any correction of the data is necessary for long-term drift etc.

### **Particulate Matter Monitoring (PM<sub>10</sub> and PM<sub>2.5</sub>)**

7.154 Defra and the Devolved Administrations have approved a number of different monitoring technologies to be equivalent to the reference method. In some cases, the data have to be corrected before they can be used.

7.155 A summary of technologies approved to date is as follows. As more instruments are approved, they will be listed under the '*Deemed equivalent by Defra*' column on the UK-Air website<sup>30</sup>.

### ***Gravimetric Measurements of Particulate Matter***

7.156 Instruments are available which pass air through a filter which is weighed before and after sampling. The concentration of PM<sub>10</sub> or PM<sub>2.5</sub> can then be calculated as the increase in mass of the filter divided by the volume of the sample expressed to ambient conditions. It is recommended that local authorities use Emfab filters for PM<sub>10</sub> or PM<sub>2.5</sub> measurements. If the filters are required for subsequent analysis for component pollutants, then other filter materials may be more suitable. Due to the very tight controls that should be applied to the filter weighing and conditioning procedures, local authorities are advised to use an independent filter weighing service. The service should be UKAS accredited to CEN standard EN12341.

7.157 The reference method (CEN Standard EN12341:2014) can by definition be used without the need for correction for slope and/or intercept. Several manufacturers make versions of the reference method. It is recommended that local authorities use an instrument that automatically changes filters.

7.158 The PM<sub>10</sub> Partisol 2025/2025i and PM<sub>2.5</sub> Partisol 2025/2025i have both been declared equivalent to the reference method. Local authorities can use the 2025 and 2025i Partisols without the need for correction for slope and/or intercept.

7.159 In any gravimetric particulate monitoring programme, field blanks should be included as a matter of course and in a systematic way. Field blanks provide for a QA/QC check to

ensure that no significant contamination has been introduced during the sample handling process. At all stages, field blank filters are subject to handling in the same way as an actual sample filter. Field blank filters are transported to the sampling site in the same manner as filters intended for sampling, installed in the sampler, removed from the sampler without sampling, then stored in their protective containers inside the sampler's case at the sampling site until the corresponding exposed filter(s) is (are) retrieved and returned for post-sampling weighing in the laboratory. Ideally the mass gained during filter handling should be equal to or close to zero, with the field blank mass subsequently subtracted from the exposed filter sample masses, for all filters in the same batch. Should the mass gained during filter handling be considered unacceptable, any associated sample measurements should be either treated with caution or discarded.

### ***Tapered Element Oscillating Microbalances (TEOMs)***

- 7.160 TEOMs collect particles on a small oscillating filter. The change in oscillation frequency of the filter is proportional to the change in PM<sub>10</sub> and PM<sub>2.5</sub> concentrations. TEOMs are operated at 50°C and as such lose volatile components of the PM<sub>10</sub> and PM<sub>2.5</sub>.
- 7.161 The PM<sub>10</sub> TEOM1400AB can be used by local authorities after correction by the Volatile Correction Model (VCM). This method adds the 1.87 times the volatile fraction as measured by remote FDMSs (see below) to the TEOM data in order to correct for the underestimation of PM concentrations by the TEOM. Tools to process TEOM data are available at the Volatile Correction Model website<sup>89</sup>. It should be noted, however, that due to the gradual withdrawal of TEOM-FDMS instruments and phased replacement with new compliant PM monitoring equipment on the AURN, the extent of data available to maintain the VCM has significantly reduced in recent years. As such, the extent of geographical coverage for the applicability and future viability of the VCM has become limited. Local authorities who have been reliant on the VCM are therefore advised to consider replacing these instruments for others that have been shown to be equivalent to the reference method. Details of approved instrumentation are provided within the subsequent paragraphs.
- 7.162 The PM<sub>2.5</sub> TEOM1400AB, PM<sub>10</sub> TEOM1405 and PM<sub>2.5</sub> TEOM1405 have not been tested for equivalence and should not be used by local authorities.

### ***TEOM - Filter Dynamics Measurement System (TEOM-FDMS)***

- 7.163 The Tapered Element Oscillating Microbalance Filter Dynamics Measurement system (TEOM-FDMS) is a modification of the TEOM. The instrument operates at 30 °C rather than 50°C; removes water from the sample stream with a nafion drier; and alternates between taking ambient air samples and blank samples on a six minute frequency.
- 7.164 The PM<sub>10</sub> FDMS 8500, PM<sub>2.5</sub> FDMS 8500, PM<sub>10</sub> FDMS 1405F, PM<sub>2.5</sub> FDMS 1405F and the FDMS1405DF (which measures both PM<sub>10</sub> and PM<sub>2.5</sub> at the same time) have all been declared equivalent to the reference method. Local authorities can use any of these FDMS variants without the need for correction for slope and/or intercept.

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<sup>89</sup> <https://www.volatile-correction-model.info>

### **Beta Attenuation Monitors (BAMs)**

- 7.165 Beta Attenuation Monitors (BAMs) pass air through a filter material and monitor the increase in mass by the attenuation of beta radiation. BAM instruments are made by multiple manufacturers.
- 7.166 The Met One PM<sub>10</sub> Smart Heated BAM 1020 can be used by local authorities after correction for slope by dividing the data by 1.035.
- 7.167 The Met One PM<sub>2.5</sub> Smart Heated BAM 1020 can be used by local authorities without the need for correction for slope and/or intercept.
- 7.168 The Met One PM<sub>10</sub> Unheated BAM 1020 can be used by local authorities after correction for slope by dividing the data by 1.2. Rather than dividing by 1.2, data on the UK-Air website<sup>84</sup> are multiplied by 0.833. Both methods are permissible. The instrument should be set up to report the data to US standard conditions (25°C, 1 atmosphere) in order to mimic the set-up of the instrument during the original equivalence tests.
- 7.169 The Met One PM<sub>2.5</sub> Unheated BAM 1020 has not been tested for equivalence and should not be used by local authorities.
- 7.170 FAI produce many variants of their SWAM BAM instrument (PM<sub>10</sub> SWAM 5a 24 Hour, PM<sub>2.5</sub> SWAM 5a 24 Hour, SWAM 5a DC 24 Hour (which measures both PM<sub>10</sub> and PM<sub>2.5</sub> at the same time), and the SWAM 5a DC Hourly (which measures both PM<sub>10</sub> and PM<sub>2.5</sub> at the same time)). All of these have been declared equivalent to the reference method. Local authorities can use any of these BAM variants without the need for correction for slope and/or intercept. The instruments should be operated with GF10 glass fibre filters.
- 7.171 The PM<sub>10</sub> Opsi SM200 should be operated with stretched Teflon membrane filters that are provided by the manufacturer. When used to calculate concentrations using Beta radiation, local authorities can use the PM<sub>10</sub> Opsi SM200 without the need for correction for slope and/or intercept. However, if the filters are to be weighed before and after sampling, then local authorities should correct for slope and intercept by first subtracting 1.286, then dividing by 0.819.
- 7.172 The PM<sub>2.5</sub> Opsi SM200 has not been tested for equivalence and should not be used by local authorities.

### **Light-Scattering Monitors**

- 7.173 A light-scattering monitor measures pulses from light scattered in a particular direction and outputs a signal determined by the size and the concentration of airborne particles in the sample stream. The PM<sub>10</sub> and PM<sub>2.5</sub> are calculated by conversion of particle numbers measured per unit time into mass per unit volume using dedicated multi-regression analysis or with pre-set particle densities.
- 7.174 The Palas Fidas 200 measures both PM<sub>10</sub> and PM<sub>2.5</sub> at the same time. Data are processed by an inbuilt algorithm, and the algorithm known as Method 11 has been certified in the UK. The Method 11 PM<sub>10</sub> data can be used by Local Authorities without the need for correction for slope and/or intercept. The Method 11 PM<sub>2.5</sub> data can be used by Local Authorities after correction for slope by dividing by 1.06. Data processed by

algorithms other than Method 11 may in the future be proven equivalent to the reference methods. Details of the correction factors to be used will be disseminated via the UK-Air website<sup>30</sup>.

7.175 Many other optical instruments are available and have been certified using the Environment Agency's Indicative instrument certification scheme<sup>90</sup>. These instruments are not suitable for measuring PM<sub>10</sub> or PM<sub>2.5</sub> annual mean or the number of exceedances as they are not accurate enough to meet the expanded uncertainty requirements of equivalent instruments. These instruments are however useful for identifying short-term pollution events at construction, demolition or waste transfer sites<sup>91</sup> and are suitable for short, local campaigns.

### ***Other Instruments***

7.176 In addition, a number of instruments exist that have not been approved by Defra, but have approval in other European countries, namely: Comde-Derenda APM-2, Sharp 5030i; Sharp 5014i; Sharp 5030, Grimm EDM180; PM<sub>2.5</sub> Opsi SM200; Horiba APDA-371 BAM; Horiba APDA-372; Spirant BAM 1000; and the Spirant BAM 1100. If local authorities operate any of these instruments, then they should contact the LAQM Support Helpdesk for advice on how best to process the data that they produce.

### ***General Considerations***

7.177 Regardless of the instrument used:

- Local authority personnel should attend the site at frequent intervals and follow procedures as set out by the manufacturers in the instrument operating manuals. While the procedures differ by instrument, common procedures include: changing filters; cleaning the inlet; leak checks; flow checks and zero checks.
- In order to improve the reliability and validity of the data, it is best practice that instruments should be periodically checked by an independent organisation accredited to perform QA/QC checks to ISO17025:2017. Ideally this should be performed every six months.
- Instruments should be periodically serviced by the manufacturer or an approved service unit. Ideally this should be performed every six months and within three weeks of the independent QA/QC audit. Maintenance schedules for the replacement of consumable parts, diagnostic checks and equipment overhaul should in all cases follow manufacturer's recommendations. Routine and non-routine service visits should be fully documented to describe in detail any adjustments, modification or repairs undertaken.
- When processing any monitoring results, the rounding of values should be completed as the last step before a comparison is undertaken against

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<sup>90</sup> <https://www.csagroupuk.org/services/mcerts/mcerts-product-certification/mcerts-certified-products/mcerts-certified-products-indicative-ambient-particulate-monitors/>

<sup>91</sup> [https://iaqm.co.uk/text/guidance/guidance\\_monitoring\\_dust\\_2018.pdf](https://iaqm.co.uk/text/guidance/guidance_monitoring_dust_2018.pdf)

the relevant air quality objective.

- 7.178 All erroneous data should be disregarded before any averaging or data interpretation is undertaken. The approved instruments produce a data record every 15-minutes, 1 hour or 24-hours. In order to calculate the 24-hour average data:
- Where data are produced on a 15-minute basis, it is required to calculate the 1-hour average data by averaging four records. The 1-hour average will only be valid if there was at least 75% data capture, i.e. three valid 15-minute averages.
  - Where data are produced on a 1-hour basis, it is required to calculate the 24-hour average data by averaging 24 records. The 24-hour average will only be valid if there was at least 75% data capture, i.e. 18 valid 1-hour averages.
  - Where data are produced on a 24-hour basis, there is no requirement to average the data further.
- 7.179 Dependent on the type of PM monitor, the data capture and annual mean calculation should be based upon either the 1-hour values or the 24-hour values. Gravimetric monitors such as the reference method and Partisols report daily PM concentrations, whilst the majority of all other PM monitors equivalent to the reference method are able to report 1-hour concentrations.
- 7.180 With respect to PM<sub>10</sub> and PM<sub>2.5</sub> monitors that report 24-hour values, data capture can be calculated as the number of valid 24-hour averages divided by the number of days in the year, and this is expressed as a percentage by multiplying by 100. For example, if there were 300 valid days of PM<sub>10</sub> data in a non-leap year, then the data capture is  $(100 \times 300) / 365$ , which is 82.2%. The annual average should be calculated by averaging all of the valid 24-hour average data for the calendar year.
- 7.181 With respect to PM<sub>10</sub> and PM<sub>2.5</sub> monitors that report 1-hour values, data capture can be calculated as the number of valid 1-hour averages divided by the number of hours in the year, and this is expressed as a percentage by multiplying by 100. For example, if there were 8000 valid 1-hour periods of PM<sub>10</sub> data in a non-leap year, then the data capture is  $(100 \times 8000) / 8760$ , which is 91.3%. The annual average should be calculated by averaging all of the valid 1-hour average data for the calendar year.
- 7.182 For PM<sub>10</sub> it is required to report the number of days where there was greater than 50µg/m<sup>3</sup> over a calendar year. With the exception of Scotland, there are allowed to be no more than 35 exceedances per calendar year. The number of exceedances should only be reported where data capture is more than 85% of a full year. If data capture is less than 85% or monitoring is for less than a full year, then local authorities should instead report the 90.4<sup>th</sup> percentile for 24-hour PM<sub>10</sub>. For example, if the available 24-hour average data are in Column A in an Excel spreadsheet, then the Excel formula would be =PERCENTILE(A:A,0.904). If the 90.4<sup>th</sup> percentile is greater than 50µg/m<sup>3</sup>, then this means that if there had been 100% data capture, then there have been greater than 35 exceedances of

50µg/m<sup>3</sup> per calendar year.

- 7.183 In Scotland, there are allowed to be no more than seven exceedances per calendar year. If data capture is less than 85% or monitoring is for less than a full year, then Scottish local authorities should instead report the 98.1<sup>st</sup> percentile for 24-hour PM<sub>10</sub>.
- 7.184 In Scotland, the annual PM<sub>10</sub> average should be below 18µg/m<sup>3</sup>, and for the rest of the UK, the annual PM<sub>10</sub> average should be below 40µg/m<sup>3</sup>. If the data capture was below 75%, then it is necessary to annualise the data as per the example in Box 7-9. The reason for annualisation is that the concentration varies throughout the year, and the instrument may have been operational for a period of above or below average concentrations.
- 7.185 In Scotland, the annual PM<sub>2.5</sub> average should be below 10µg/m<sup>3</sup>. Although there is no objective for the PM<sub>2.5</sub> annual mean for the rest of the UK, it should be calculated and reported where measured. If the data capture is below 75%, then it is necessary to annualise the data as per the example in Box 7-9.

## Box 7-9 – Example: Annualising Continuous Monitoring Data

It has only been possible to carry out a monitoring survey at site for six months between July and December 2015. The measured mean concentration **M** for this period is  $30.2\mu\text{g}/\text{m}^3$ . How can this be used to estimate the annual mean for this location?

- Identify two to four nearby, long-term, continuous monitoring sites, ideally those forming part of the national network. The data capture for each of these sites should be at least 85%. These sites should be background (Urban Background, Suburban or Rural) sites to avoid any very local effects that may occur at Urban Centre, Roadside or Kerbside sites, and should, wherever possible lie within a radius of about 50 miles. If no background sites are available, and the site to be annualised is itself an Urban Centre, Roadside or Kerbside site, then it is permissible to annualise using roadside or kerbside sites rather than background sites, though this should be clearly stated in the annual report.
- Obtain the annual means, **A<sub>m</sub>**, for the calendar year for these sites.
- Work out the period means, **P<sub>m</sub>**, for the period of interest, in this case July to December 2015.
- Calculate the ratio, **R**, of the annual mean to the period mean (**A<sub>m</sub>/P<sub>m</sub>**) for each of the sites.
- Calculate the average of these ratios, **R<sub>a</sub>**. This is then the annualisation factor.
- Multiply the measured period mean concentration **M** by this annualisation factor **R<sub>a</sub>** to give the estimate of the annual mean for 2015.

For this example, the best estimate of the annual mean for site S in 2015 will be  $\mathbf{M \times R_a = 30.2 \times 0.944 = 28.5\mu\text{g}/\text{m}^3}$ .

Background Site	Annual mean 2015 ( <b>A<sub>m</sub></b> )	Period Mean 2015 ( <b>P<sub>m</sub></b> )	Ratio ( <b>A<sub>m</sub>/P<sub>m</sub></b> )
A	28.6	29.7	0.963
B	22.0	22.8	0.965
C	26.9	28.9	0.931
D	23.7	25.9	0.915
Average ( <b>R<sub>a</sub></b> )			<b>0.944</b>

If the short-term period covers, for instance, February to June 2016, and the work is being carried out in August 2016, then an annual mean for 2016 will not be available. The calculation can then be carried out using the ratio to the 2015 annual mean, but the result is then an estimate of the 2015 annual mean at the short-term site. The 2016 bias correction factor would also not be available, and so it would be necessary to use the 2015 factor instead.

## NO<sub>x</sub> and NO<sub>2</sub> Monitoring

### NO<sub>2</sub>, NO and NO<sub>x</sub> by Chemiluminescence

- 7.186 The reference method for NO<sub>2</sub> monitoring is chemiluminescence. A number of instruments have been approved under the MCERTS scheme<sup>92</sup>.
- 7.187 This technique alternates between two modes:
- Measuring NO by reacting NO with ozone which forms a photon of light which is measured and is proportional to the NO mixing ratio in parts per

<sup>92</sup> <https://www.csagroupuk.org/services/mcerts/mcerts-product-certification/mcerts-certified-products/mcerts-certified-products-continuous-ambient-air-monitoring-system/>

billion by volume (ppbV); and

- Catalysing the NO<sub>2</sub> in the air over a molybdenum convertor which converts the NO<sub>2</sub> to NO. The air is then reacted with ozone. This gives the mixing ratios of both NO and NO<sub>2</sub> together, which is known as oxides of nitrogen (NO<sub>x</sub>).

7.188 NO<sub>2</sub> is then calculated as NO<sub>x</sub> minus NO. All are given in mixing ratios of ppbV, and it is necessary to convert them to concentrations in µg/m<sup>3</sup> (see para 7.192).

7.189 Ideally, local authority personnel should attend the site every two weeks for sites in roadside or kerbside locations or at urban centre locations with particularly high concentrations. Local authority personnel should attend the site every four weeks for sites at other locations. At this time, the filter should be changed and the instrument's calibration should be checked. This is done by introducing nominally 450ppbV NO in nitrogen to the system and then noting the values of NO<sub>2</sub>, NO and NO<sub>x</sub> from the front panel of the instrument after the readings have stabilised. 450ppbV is chosen as this is 90% of the 500ppbV full span of the instrument. The zero of the instrument is then checked by passing synthetic air or ambient air that has been purified. Again, the values of NO<sub>2</sub>, NO and NO<sub>x</sub> are noted from the front panel of the instrument. If one is available, then additionally, the process may be repeated with a 450ppbV cylinder of NO<sub>2</sub> in synthetic air. This is used to check the efficiency of the molybdenum convertor, and the results are not used to calibrate the data. The 450ppbV NO in nitrogen cylinder should be traceable to a national or international reference cylinder so that the concentration is accurately known.

7.190 In order to improve the reliability and validity of the data, it is best practice that instruments should be periodically checked by an independent organisation accredited to perform QA/QC checks to ISO17025:2017. Ideally this should be performed every six months. It is important that the QA/QC process checks the calibration using both NO in nitrogen and NO<sub>2</sub> in synthetic air.

7.191 Instruments should be periodically serviced by the manufacturer or an approved service unit. Ideally this should be performed every six months and within three weeks of the independent QA/QC audit. It is expected that the response of the instrument to NO in nitrogen will increase following the service as the optical components within the instrument are cleaned. Maintenance schedules for the replacement of consumable parts, diagnostic checks and equipment overhaul should in all cases follow manufacturer's recommendations. Routine and non-routine service visits should be fully documented to describe in detail any adjustments, modification or repairs undertaken.

7.192 In order to correct for the drift in instrument calibration and then to convert from ppbV to µg/m<sup>3</sup>, it is necessary to follow the below procedure:

- Erroneous calibrations should be identified by observing the trend in the ppbV readings of NO<sub>x</sub> and NO from the front of the instrument when the nominally 450ppbV NO in nitrogen and zero gases were introduced. Readings which do not follow anticipated trends should be ignored;

- For each day that the calibration was checked on the instrument, the NO zero is taken to be the ppbV mixing ratio of NO that was displayed on the front of the instrument when the zero gas was introduced. It is possible for the NO zero to be incorrect, and instead the correct zero may be identified by observing trends in the lowest concentration of the ambient NO data;
- For each day that the calibration was checked on the instrument, the NO span is taken to be the ppbV mixing ratio of NO that was displayed on the front of the instrument when the 450ppbV NO in nitrogen gas was introduced;
- For each day that the calibration was checked on the instrument, the NO range is calculated as NO span minus NO zero;
- For each day that the calibration was checked on the instrument, the NO calibration factor is calculated by taking the exact known NOppbV mixing ratio of the NO in nitrogen cylinder and dividing this by the NO range;
- For each day that the calibration was checked on the instrument, the NO<sub>x</sub> zero is taken to be the ppbV mixing ratio of NO<sub>x</sub> that was displayed on the front of the instrument when the zero gas was introduced. It is possible for the NO<sub>x</sub> zero to be incorrect, and instead the correct zero may be identified by observing trends in the lowest concentration of the ambient NO<sub>x</sub> data;
- For each day that the calibration was checked on the instrument, the NO<sub>x</sub> span is taken to be the ppbV mixing ratio of NO<sub>x</sub> that was displayed on the front of the instrument when the 450ppbV NO in nitrogen gas was introduced;
- For each day that the calibration was checked on the instrument, the NO<sub>x</sub> range is calculated as NO<sub>x</sub> span minus NO<sub>x</sub> zero;
- For each day that the calibration was checked on the instrument, the NO<sub>x</sub> calibration factor is calculated by taking the exact known NO<sub>x</sub> ppbV mixing ratio of the NO in nitrogen cylinder and dividing this by the NO<sub>x</sub> range;
- The NO calibration factor, NO<sub>x</sub> calibration factor, NO zero and NO<sub>x</sub> zero should be defined for every 15-minute monitoring period that monitoring was undertaken. It is important that a step change in calibration factors is accounted for whenever the instrument was serviced or repaired. It is considered sufficient to take the NO calibration factor, NO<sub>x</sub> calibration factor, NO zero and NO<sub>x</sub> zero to be the same for every record following each calibration check prior to the following calibration check. It is however more accurate to linearly interpolate the NO calibration factor, NO<sub>x</sub> calibration factor, NO zero and NO<sub>x</sub> zero between calibration checks;
- The 15-minute NO ppbV readings from the instrument are zero corrected by subtracting the NO zero assigned to that 15-minute record;
- The 15-minute zero corrected NO ppbV readings are span corrected by multiplying by the NO calibration factor assigned to that 15-minute

record;

- The 15-minute NO<sub>x</sub> ppbV readings from the instrument are zero corrected by subtracting the NO<sub>x</sub> zero assigned to that 15-minute record;
- The 15-minute zero corrected NO<sub>x</sub> ppbV readings are span corrected by multiplying by the NO<sub>x</sub> calibration factor assigned to that 15-minute record;
- The 15-minute NO<sub>2</sub> ppbV mixing ratio is calculated by subtracting the zero and span corrected NO mixing ratio from the zero and span corrected NO<sub>x</sub> mixing ratio;
- NO<sub>2</sub> ppbV is converted to µg/m<sup>3</sup> by multiplying by 1.9125;
- NO ppbV is converted to µg/m<sup>3</sup> by multiplying by 1.247;
- NO<sub>x</sub> ppbV is converted to µg/m<sup>3</sup> by multiplying by 1.9125. This is because NO<sub>x</sub> is expressed as if all of the molecules were NO<sub>2</sub>, and is commonly referred to as “NO<sub>x</sub> as NO<sub>2</sub>”.

- 7.193 All erroneous data should be disregarded before any averaging or data interpretation is undertaken. Chemiluminescent monitors produce a data record every 15-minutes, whereas the objectives for NO<sub>2</sub> relate to hourly and annual µg/m<sup>3</sup> averages. In order to calculate the 1-hour average data, four 15-minute µg/m<sup>3</sup> records are averaged. The 1-hour average will only be valid if there was at least 75% data capture, i.e. three valid 15-minute averages. The annual average is calculated as the average of all valid 1-hour averages in the year.
- 7.194 1-hour data capture can be calculated as the number of valid 1-hour averages divided by the number of hours in the year, and this is expressed as a percentage by multiplying by 100. For example, if there were 8560 valid 1-hour averages of NO<sub>2</sub> data in a non-leap year, then the data capture is  $(100 \times 8560) / 8760$ , which is 97.7%.
- 7.195 It is required to report the number of hours where there was greater than 200µg/m<sup>3</sup> over a calendar year. There are allowed to be no more than 18 exceedances per calendar year. The number of exceedances should only be reported where data capture is more than 85% of a full year. If data capture is less than 85% or monitoring is for less than a full year, then local authorities should instead report the 99.8<sup>th</sup> percentile for 1-hour NO<sub>2</sub>. For example, if the available 1 hour average data are in Column A in an Excel spreadsheet, then the Excel formula would be =PERCENTILE(A:A,0.998). If the 99.8<sup>th</sup> percentile is greater than 200µg/m<sup>3</sup>, then this means that if there had been 100% data capture, then there have been greater than 18 exceedances of 200µg/m<sup>3</sup> per calendar year.
- 7.196 The annual NO<sub>2</sub> average should be below 40µg/m<sup>3</sup>. If the data capture was below 75% for the year, then it is necessary to annualise the data as per the example in Box 7-9. The reason for annualisation is that the concentration varies throughout the year, and the instrument may have been operational for a period of above or below average concentrations. A minimum of three months monitoring is required for annualisation to be completed.

## ***NO<sub>2</sub> by Diffusion Tubes***

### *Overview*

- 7.197 Diffusion tubes are inexpensive and as a result many can be installed over a large geographical areas. The low cost per tube permits sampling at a number of points in the area of interest; which is useful in highlighting “hotspots” of high concentrations, such as alongside major roads. They are less useful for monitoring around point sources or near to industrial locations where greater temporal resolution is required for particular objectives. Diffusion tubes are deployed monthly and are useful both for annual monitoring as well as short term monitoring projects. They can be placed in many different locations, though are typically placed on building facades or lampposts in heavily trafficked areas, and in urban background locations.
- 7.198 If there are any continuous NO<sub>2</sub> chemiluminescent monitors within the local authority area, then three diffusion tubes (“triplicates”) should be co-located as close as possible to the chemiluminescent sampler’s inlet, but certainly within 1m.

### *Exposing Diffusion Tubes*

- 7.199 Tubes should be deployed in accordance with the Diffusion Tube Calendar<sup>49</sup>. This will be disseminated to local authorities towards the end of the previous calendar year. The calendar splits the year in to four and five week blocks and suggests that tubes are changed on a Wednesday. It is preferable to change the tubes on the Wednesday, but Tuesday and Thursday are also acceptable. Monday and Friday are acceptable under exceptional circumstances. The first date of the calendar is generally around the 8<sup>th</sup> of January. This is in order to avoid the requirement to change tubes over the Christmas and New Year period. As such, the annual average is not identical to the calendar year, but is offset by about a week. If diffusion tubes are left out for significantly longer or shorter periods than the four and five weeks recommended, then the data may not be reliable as the diffusion rate may not have been accurately defined. Local authorities should discuss this with their diffusion tube supplier.
- 7.200 Diffusion tubes take samples over an approximately 1-month exposure period. As such they are useful for assessing the annual objective of 40µg/m<sup>3</sup> but cannot be used to assess the number of hours greater than 200µg/m<sup>3</sup>. Due to the increased uncertainty typically associated with their measurements, it is necessary to bias correct the results based upon local or national co-location studies with chemiluminescent analysers. It is also necessary to calculate the data capture, and if this is less than 75%, the results should be annualised in accordance with Box 7-10. 75% data capture is equivalent to 9 months of monitoring assuming monitoring has been completed in line with the Defra monitoring calendar<sup>49</sup>.

### *Types of Diffusion Tubes*

- 7.201 Many different types of diffusion tube are available. These differ in three ways:

- The analytical laboratory;
  - Whether the solvent used to prepare them was water or acetone; and
  - The percentage of Triethanolamine (TEA) used in the preparation of the tubes.
- 7.202 When selecting an appropriate laboratory and type of tube to use, local authorities should research the spread in the bias correction factors and the precision of tubes analysed in previous years – this information is made available on the LAQM Support website. Additional information on the QA/QC framework that is used to evaluate the performance of analytical laboratories that supply and analyse the diffusion tubes, namely the AIR-PT scheme, may also be considered. This information is available on the LAQM Support website<sup>16</sup>.
- 7.203 The end of the tube that should be removed prior to mounting them is typically clear or white, but will be specifically dictated by the laboratory that supplied them. The tube must be vertical, with the open end downwards. It is important that the open end of the tube is exposed to free circulation of air.
- 7.204 Emerging evidence suggests that adoption of a wind cap on the lower end of diffusion tubes may lead to improvements in data quality by limiting the effects associated with wind turbulence. This in turn helps to improve the accuracy of diffusion tube measurements and therefore should be considered by local authorities as a cost-effective method of improving data quality. Although the national bias adjustment factors spreadsheet currently only includes tubes without wind caps, as the use of tubes with wind caps becomes more widespread they are likely to be included within the national bias adjustment sheet. The use of diffusion tubes exposed in triplicate, and increasing the number of local co-location studies available for bias adjustment, will also lead to further improvements in the confidence of concentration data obtained when using passive diffusion tubes.
- 7.205 The introduction of wind caps is still relatively new and therefore not all diffusion tube types with wind caps are covered within the National Bias Adjustment Sheet<sup>96</sup>. If a local authority chooses to use wind caps with a diffusion tube type which is not already listed within the National Bias Adjustment Sheet, the local authority should contact the LAQM Helpdesk to inform Defra of the new diffusion tube type being utilised. Each new diffusion tube type will be added to the Marylebone Road co-location site so that a bias adjustment factor can be calculated and added to the National Bias Adjustment Sheet.

### *Siting of Diffusion Tubes*

- 7.206 The site should be open to the sky, with no overhanging vegetation or buildings. It is important to place diffusion tubes where there is free circulation of air around the tube, but the opposite extreme should also be avoided, i.e. areas of higher than usual turbulence. For this reason, the tube should not be located on the corner of a building. Care should be taken to avoid any very localised sources, sinks of NO<sub>2</sub>, or disturbances to the airflow. Avoid placing diffusion tubes in any form of recess, and the fittings should be mounted so that the tubes can be

changed easily. For example, tubes should be mounted greater than 10m from the following:

- Heater flues (particularly low-level balanced flues);
- Bushes or trees overhanging or surrounding the tube location;
- Air conditioning outlets;
- Extractor vents; or
- Underground ventilation shafts.

7.207 The siting criteria for continuous monitoring as set out in 7.148 should also be considered with regards to siting diffusion tubes for LAQM purposes. Where monitoring is being completed for the purpose of NO<sub>2</sub> reporting, i.e. as part of national compliance reporting and not as part of LAQM reporting (e.g. as part of reporting within an ASR), Air Quality Standards Regulations 2010 siting criteria<sup>93</sup> should be applied.

7.208 Tubes must not be fixed directly to walls or similar surfaces, even when the objective is to monitor at a building façade. A spacer block of at least 5cm may be used between the surface and the tube. The specific spacer technique used to mount the tubes will depend upon the specific equipment supplied by laboratory which prepared them.

#### *Deployment Process for Diffusion Tubes*

7.209 The procedures below should be followed when deploying diffusion tubes:

- Diffusion tubes should be stored in a cool, dark place (preferably a fridge), in a sealed plastic container, before and after exposure;
- Remove tubes from the refrigerator on the day that they are to be put out and ensure each one is clearly labelled with an identification number (if this hasn't already been done by the supplying laboratory). The label should be weatherproof;
- Take tubes to the site in a snap-seal bag or sealable plastic box. Travel blanks should be identified, and their code numbers noted on the exposure details form provided by your laboratory;
- At each site, select a tube. Record its ID number, and the site at which it is to be exposed, on the exposure details form;
- Remove the end cap, and position the tube is positioned vertically in its holder, with its open end downwards;
- Record the date and time of the start of the exposure period on the exposure details form, and make a note of any site irregularities (for example building/road works, traffic diversions);
- Keep the end caps in the bag, for use when the exposure period is

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<sup>93</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1486474738782&uri=CELEX:02008L0050-20150918>

completed;

- When collecting the exposed tubes, at each site, remove the exposed tube from the sample holder and replace the end cap tightly. (Any uncapped tubes will be rejected by the analyst);
- Record the time and date of the end of the exposure period on the exposure details form, against the appropriate tube number. Again, make a note of any site irregularities or anything which might affect, or even invalidate, the tube's results (for example, the tube found on the ground, insects, dirt, or liquid inside the tube);
- Tubes that are damaged or have splits in the end-caps should not be used;
- Keep the exposed tubes in a sealed container, in a cool place (a fridge is best) until they can be returned to the laboratory for analysis, which should happen as soon as possible;
- Ensure that the tubes are used and analysed within the specified "use by" date – typically within three months of preparation;
- When visiting sites, it is recommended that the operator takes some spare tube end caps, also some spare mounting clips and spacer blocks to replace any missing or damaged.

7.210 It is recommended that travel blanks are routinely deployed. Travel blanks are used to identify possible contamination of diffusion tubes while in transit or in storage by the user. Travel blanks are sent out with the tubes for exposure. They go everywhere the exposed tubes go, but are not themselves exposed. They are taken to the site when the tubes are put out, but returned to the user's refrigerator (in their sealed bag) for the duration of the exposure period. They are taken to the site again when the tubes are collected after exposure, and sent to the laboratory for analysis along with the exposed tubes (Note: the results of travel blanks are not meant to be routinely subtracted from those of the exposed tubes: rather, their purpose is to highlight any contamination issues).

### *Erroneous Data*

7.211 Sometimes, a diffusion tube result may be much higher or lower than usual results from the site. The first step should be to check with the analyst, to ensure that the result has been correctly calculated and reported. Have details such as the exposure period been correctly reported? Having ruled out calculation or reporting errors, it will be necessary to decide whether the value should be rejected. Some general guidelines are as follows:

- Low concentrations ( $3\mu\text{g}/\text{m}^3$  or less) are rare at urban sites in built up areas. If such a low concentration is measured at an urban site, where measured  $\text{NO}_2$  concentrations are usually much higher, it is unlikely to be genuine, and more likely due to a faulty diffusion tube. This does not apply at rural sites, where such low concentrations may well be typical;
- High concentrations: unless there is a reason why the result is likely to be spurious, it is best to err on the side of including high values rather

than rejecting them; and

- The exposure records should be checked for any possible explanations (for example nearby bonfires during exposure, insects or foreign objects in the tube, or evidence of tampering), which may lead the operator to conclude that the result is not valid.

### *Diffusion Tube Data Processing*

- 7.212 Once erroneous data have been deleted it is necessary to calculate the annual average, following annualisation (where required) and bias correction. The Diffusion Tube Data Processing Tool<sup>76</sup> has been developed to assist local authorities with the processing of their diffusion tube data, and to allow easy transfer of data between the tool, the DTDES<sup>42</sup> and annual reporting templates. The processing tool amalgamates a number of individual LAQM tools described below, with the individual tools still accessible at this time.
- 7.213 To calculate the annual average, firstly the annual average is calculated for all sites. So long as the diffusion tube calendar<sup>49</sup> is adhered to, then even though the periods that the tubes are out varies, it is acceptable to do a simple average. If the periods that the tubes were out varied beyond the four to five week recommendation, then it may be necessary to do a time weighted average. In order to do this, each concentration is multiplied by the number of days that the tube was out. These results are then added together for every period of the year. Finally, this is divided by the total number of days that all the tubes were out. For example, if Tube 1 was out for 32 days and had a  $45\mu\text{g}/\text{m}^3$  average, and Tube 2 was out for 46 days and had a  $25\mu\text{g}/\text{m}^3$  average, the simple average is  $(45+25)/2 = 35\mu\text{g}/\text{m}^3$ ; whereas the time weighted average =  $((45 \times 32) + (25 \times 46)) / (32 + 46) = 33.2\mu\text{g}/\text{m}^3$ .
- 7.214 For any monitoring sites with fewer than nine months' worth of data assuming compliance with the Defra monitoring calendar<sup>49</sup>, it is necessary to perform annualisation. If not following the Defra monitoring calendar, 75% annual data capture is required. A minimum of three months monitoring (or 25% of the year if not in line with the Defra monitoring calendar) is required for annualisation to be completed. This can be undertaken using the technique discussed in Box 7-9, but if there are many sites to be corrected then local authorities are advised to use the technique described in Box 7-10.
- 7.215 A specific Annualisation Tool<sup>94</sup> for diffusion tubes has been developed for local authority use, and this tool is incorporated within the Diffusion Tube Data Processing Tool<sup>76</sup>. The calculations embedded within the tool replicate those detailed within Box 7-9 and Box 7-10.
- 7.216 In addition, the tool has the functionality to complete the relevant time weighted calculations as per para 7.213 when monitoring has not been completed in-line with the Defra Diffusion Tube Exposure Calendar<sup>49</sup>. It is therefore recommended that local authorities utilise this tool to undertake their diffusion tube post-

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<sup>94</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/annualisation-tool/>

processing calculations.

- 7.217 In addition, in situations where a short-term diffusion tube monitoring survey has been completed in the present year, or spans across the previous and present calendar years, data will need to be adjusted to the previous year to aid the derivation of an annual mean concentration estimate. Note, this will apply when a monitoring survey in the current year is only partially complete and the remaining months in the current year will need to be forecast. The technique, based upon three possible scenarios is described in Box 7-11 with a worked example presented in Box 7-12.

## Box 7-10 – Example: Annualising NO<sub>2</sub> Diffusion Tube Monitoring Data

A diffusion tube site (D1) has 8 months' worth of data and so it is necessary to annualise. A continuous background site (B1) has greater than 85% data capture for the year. For guidance on the choice of background sites, please refer to Box 7.9. The tubes were set out in accordance with the recommended calendar<sup>49</sup> for 2022. If there are many locations to be annualised, then it can be quicker to average the background site data to the same calendar as the diffusion tubes. The results are given in the below table. In addition, the results are given for the background site for those months that D1 data are available (Column B1 when D1 is Available).

Start Date	End Date	B1	D1	B1 when D1 is Available
05 January 2022	02 February 2022	15.6	38.4	15.6
02 February 2022	02 March 2022	38.3		
02 March 2022	30 March 2022	22.7	43.1	22.7
30 March 2022	04 May 2022	22.2		
04 May 2022	08 June 2022	24.9	51.3	24.9
08 June 2022	06 July 2022	20.8		
06 July 2022	03 August 2022	18.1	31.3	18.1
03 August 2022	31 August 2022	16.1	26.8	16.1
31 August 2022	28 September 2022	25.5	41.0	25.5
28 September 2022	02 November 2022	21.1		
02 November 2022	30 November 2022	28.1	29.8	28.1
30 November 2022	04 January 2022	32.0	39.8	32.0
<b>Average</b>		<b>23.8</b>	<b>37.7</b>	<b>22.9</b>

The annual mean ( $A_m$ ) of B1 is  $23.8\mu\text{g}/\text{m}^3$ . The period mean ( $P_m$ ), of B1 is  $22.9\mu\text{g}/\text{m}^3$ . The ratio  $R$  of the annual mean to the period mean ( $A_m/P_m$ ) is 1.04. This process should be repeated for all continuous background sites. If no continuous monitoring sites are available, then diffusion tube sites from background locations with 12 months' data may be used. In either case, the more background sites that can be identified the better. Calculate the average of these ratios  $R_a$ . This is then the annualisation factor. For guidance on the calculation of  $R_a$ , please refer to Box 7.9.

The measured period mean concentration  $M$  is  $37.7\mu\text{g}/\text{m}^3$ . Multiply by this annualisation factor  $R_a$  to give the estimate of the annual mean for 2022. Assuming that all other background sites yielded an annualisation factor of 1.04, then  $R_a$  in this example is 1.04; and the annualised average of  $D1 = M \times R_a = 37.7 \times 1.04 = 39.2\mu\text{g}/\text{m}^3$ .

Following the completion of the annualisation process, bias adjustment is required to be applied to the annualised average.

If the exposure periods for the diffusion tubes varied beyond the 4 to 5 week recommendation, then it may be necessary to do a time weighted average as described within para 7.213 rather than simple average in order to calculate  $M$ ,  $A_m$  and  $P_m$ .

The Annualisation Tool and Diffusion Tube Data Processing Tool have been developed to process calculations consistent with the guidance detailed above.

## Box 7-11 – Processing Short-Term NO<sub>2</sub> Diffusion Tube Monitoring Data

For the purposes of describing this process, it has been assumed that monitoring was undertaken in 2018 (in this case the previous year) and 2019 (in this case the present or current year).

It should be borne in mind that the below process does introduce an additional level of uncertainty in the annual mean concentration estimates, which should not be overlooked when interpreting the concentration results or the outputs from dispersion models that have been verified using monitoring data processed in this manner. This should be highlighted in the reporting of results.

### **When your collected monitoring data is only in the present year:**

#### *Step 1*

To make this adjustment for a roadside site, roadside NO<sub>2</sub> projection factors will need to be applied to the data to compensate for the general trend of reducing concentrations in future years. This should be specific to the year to which you wish to adjust, i.e. use the ratio of the roadside NO<sub>2</sub> projection factors for 2018 and 2019 to adjust your period mean for 2019 back to 2018. Do bear in mind that these projection factors are location and fleet composition specific.

If the monitoring location is classified as a background site, then instead of the above, the ratio of the appropriate grid square from Defra's background maps for the two years of interest should be used to adjust the 2019 period data to a 2018 estimate. This compensates for the general trend of reducing background concentrations in future years.

Applying either of the above methods will derive an adjusted period mean concentration for 2018, i.e. the previous year.

#### *Step 2*

Following Step 1, if data capture for the adjusted period mean concentration for 2018 is lower than 75% after the above adjustments have been undertaken, annualisation of the adjusted period mean should then be completed using 2018 continuous monitoring data as per Box 7-10.

An annual mean concentration estimate for 2018, i.e. the previous year, will then be obtained.

#### *Step 3*

Following Step 2, a 2018 bias correction factor, national or local, can then be applied to the adjusted period mean concentration for 2018.

### **When your collected monitoring data spans across the previous and present calendar years:**

The same Step 1 process as described above can be repeated when a monitoring survey spans across the previous and present calendar years, however the roadside NO<sub>2</sub> projection factors/background map derived ratio will only need to be applied to the portion of data collected within the latter (i.e. current) year. For example, if the monitoring period spans September 2018 to January 2019, the derived projection factor/background map ratio would only need to be applied to the data obtained during January 2019.

This adjusted data can then be combined with the monitored data collected between September to December 2018 inclusive to derive an adjusted period mean concentration for 2018.

Step 2 and Step 3, as described above, can then be applied, as required.

## Box 7-12 – Example: Processing Short-Term NO<sub>2</sub> Diffusion Tube Monitoring Data

Monitoring of NO<sub>2</sub>, using diffusion tubes, was completed at a roadside site between July 2018 – April 2019. The road at which the diffusion tube is located experiences <10% HDVs within the overall fleet composition.

### NO<sub>2</sub> Concentrations (µg/m<sup>3</sup>)

Year	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2018							22.2	19.4	21.7	16.6	24.1	25.0
2019	18.8	20.4	23.2	22.4								

#### Step 1

In order to derive an annual mean estimate from the monitoring results, which span across the previous and present calendar years, roadside NO<sub>2</sub> projection factors are applied to the portion of data obtained within the current year (i.e. January – April 2019). This 2018/19 Roadside Projection Ratio is calculated by dividing the applicable 2018 roadside projection factor against the 2019 factor. In this example, this calculated ratio equals 1.036.

$$2018 \text{ Roadside Projection Rest of UK (HDV <10\%)} = 0.966$$

$$2019 \text{ Roadside Projection Rest of UK (HDV <10\%)} = 0.932$$

$$2018/19 \text{ Roadside Projection Ratio} = 0.966 / 0.932 = 1.036$$

The 2018/19 Roadside Projection Ratio is then applied to the data obtained during 2019, as displayed below, in order to adjust the 2019 monthly period means back to 2018 estimates.

### NO<sub>2</sub> Concentrations (µg/m<sup>3</sup>)

Year	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2018	19.5	21.1	24.0	23.2			22.2	19.4	21.7	16.6	24.1	25.0

From the above adjusted 2018 dataset, an adjusted period mean concentration for 2018 can then be calculated. In this example, the adjusted period mean concentration for 2018 is 21.7µg/m<sup>3</sup>.

#### Step 2

In this example, no annualisation is required as the data capture is 83%, which is greater than the 75% criteria below which annualisation is required.

#### Step 3

This adjusted period mean concentration for 2018 result should then be bias adjusted using the relevant bias adjustment factor for 2018, i.e. apply either a locally derived or national bias adjustment factor for the appropriate preparation method and laboratory. In this worked example, a bias factor of 0.92 was applied, deriving a bias adjusted annual mean concentration estimate for 2018 of 20.0µg/m<sup>3</sup>.

The derived annual mean concentration estimate for 2018 in this worked example is therefore 20.0µg/m<sup>3</sup>.

In the event that two separate diffusion tube suppliers / tube preparation methods have been utilised within the monitoring survey, two bias adjustment factors should be applied, following the methodology as described in Box 7-14.

- 7.218 After annualisation, the tubes should be corrected for bias. Bias represents the overall tendency of the diffusion tubes to under or over-read relative to the reference chemiluminescence analyser. This should not be confused with

precision, which is an indication of how similar the results of duplicate or triplicate tubes are to each other. While it is possible to adjust diffusion tube results to account for bias, it is not possible to correct for poor precision. A spreadsheet-based bias adjustment tool<sup>95</sup> has been developed that allows local authorities to easily calculate the bias and precision of their tubes. This tool is incorporated within the Diffusion Tube Data Processing Tool<sup>76</sup> to allow all diffusion tube processing to be completed in one single tool. An example of the input from the spreadsheet-based bias adjustment tool is illustrated in Figure 7.1.

**Figure 7.1 – Local Bias Adjustment Factor Tool within DTDPT**

**Local Bias Adjustment 1**  
Enter data into the pink cells

i) Enter co-located diffusion tube period means

Period	NO <sub>2</sub> Period Mean (µg/m <sup>3</sup> )			Triplicate Mean	Standard Deviation	Coefficient of Variation (CV)	95% CI of Mean	Data Quality Check
	Tube 1	Tube 2	Tube 3					
1	38.0	41.0	36.0	38.3	2.5	7%	6.3	Good
2	40.0	40.0	38.0	39.3	1.2	3%	2.9	Good
3	44.0	40.0	37.0	40.3	3.5	9%	8.7	Good
4	23.0	25.0	24.0	24.0	1.0	4%	2.5	Good
5	25.0	26.0	27.0	26.0	1.0	4%	2.5	Good
6	36.0	35.0	35.0	35.3	0.6	2%	1.4	Good
7	33.0	31.0	30.0	31.3	1.5	5%	3.8	Good
8	21.0	18.0	21.0	20.0	1.7	9%	4.3	Good
9	45.0	41.0	44.0	43.3	2.1	5%	5.2	Good
10	46.0	47.0	49.0	47.3	1.5	3%	3.8	Good
11	56.0	53.0	55.0	54.7	1.5	3%	3.8	Good
12	55.0	54.0	48.0	52.3	3.8	7%	9.4	Good

Good Overall Precision

ii) Enter co-located continuous monitor hourly monitoring data

Start Date	08/01/2020
Start Time	00:00

Date & Time	NO <sub>2</sub> Hourly Concentrations (µg/m <sup>3</sup> )
08/01/20 00:00	4
08/01/20 01:00	4
08/01/20 02:00	4
08/01/20 03:00	4
08/01/20 04:00	2
08/01/20 05:00	11
08/01/20 06:00	25
08/01/20 07:00	36
08/01/20 08:00	48
08/01/20 09:00	75
08/01/20 10:00	61

Period	Period Mean	Data Capture (%)	Data Quality Check
1	42.1	99.9%	Good
2	37.6	100.0%	Good
3	33.9	100.0%	Good
4	21.7	99.6%	Good
5	24.9	99.6%	Good
6	25.7	99.6%	Good
7	24.2	99.9%	Good
8	28.3	99.9%	Good
9	32.2	99.9%	Good
10	36.0	99.2%	Good
11	43.2	99.9%	Good
12	52.0	19.9%	Poor Data Capture

Good Overall Data Capture

Navigation: STEP 3 - Bias Adjustment | **STEP 3a Local Bias Adjustment 1** | Local Bias Adjustment Outputs | STEP 4 - Fall off with Distance | Annual Results Summary | Table A.2 | Table

7.219 The pink cells are those to be completed by the local authority. Precision is calculated based on the diffusion tube data only. Tube precision is categorised as good or poor. Good precision applies where the coefficient of variation (CV) of triplicate diffusion tubes for eight or more periods during the year is less than 20%, and the average CV of all monitoring periods is less than 10%. Poor precision applies where the CV of four or more periods is greater than 20% and/or the average CV is greater than 10%.

7.220 Where results show poor precision, then they should be treated with caution, and they may not be suitable for their intended purpose. If a local authority has poor

<sup>95</sup> [https://laqm.defra.gov.uk/documents/AEA\\_DifTPAB\\_v04.xls](https://laqm.defra.gov.uk/documents/AEA_DifTPAB_v04.xls)

precision from most or all of its duplicate or triplicate co-location data sets, then it should review its tube handling procedures and ensure these are in line with guidance provided in paragraph 7.209. If these are judged to be 'good' then it will be appropriate to look at the precision results for the laboratory supplying the diffusion tubes to see if this may provide explanation for the poor precision. The aim should be to use results from tubes that are giving good precision, as this will improve the overall reliability of the annual mean concentrations derived from the diffusion tubes to which the locally derived bias adjustment factors have been applied. Further information relating to precision and accuracy is provided on the LAQM website<sup>96</sup>.

- 7.221 Bias is calculated only if the period mean and data capture from a co-located chemiluminescence analyser are included within the relevant input boxes. Two boxes are output by the spreadsheet, a blue one and an orange one. Local authorities should use the blue box, in which the spreadsheet automatically disregards the diffusion tubes where there is poor precision. Having calculated the accuracy of your local co-location study, the Single Tube and Multiple Tubes Adjustment sheets may be useful for assisting in bias adjusting tubes.
- 7.222 Two bias factors are output, A and B, and in this example they are 0.78 and 28% respectively. The Bias factor A is the local bias correction factor. If there is more than one local co-location study, then the A factors should not be averaged. Instead, a reasonable approximation can be derived by averaging the B values. For example, if there were two studies of 22% and 28%, then the average would be 25%. This is then expressed as a factor, e.g. 25% is 0.25. Next add 1.00 to this value, e.g.  $0.25 + 1.00 = 1.25$ . Finally, take the inverse to give the bias adjustment factor, e.g.  $1/1.25 = 0.80$ .
- 7.223 Where local authorities have conducted a co-location study, then the results of the studies should be sent to the LAQM Support Helpdesk. This information is used to formulate a national bias adjustment factor for each type of tube. Figure 7.2 shows an example output from the National Diffusion Tube Bias Adjustment Factor Spreadsheet. In this example, there were five different studies throughout the UK, and the average bias factor was 0.79.
- 7.224 Local authorities should compare the results of correcting data by the locally derived factor (in this example 0.80); to that of the nationally derived factor (in this example 0.79). It is important to stress that correction should not be done by both the local and national factors at the same time. If the factors are significantly different from each other, and/or if it makes a difference as to which sites are greater or less than  $40\mu\text{g}/\text{m}^3$ , then this should be clearly discussed in the LAQM report. The nationally derived factor will also include any locally derived factors based on co-location data sent to NPL. As such, the national factor is likely to be the more reliable.
- 7.225 However, the choice of whether to apply the local or national factor is not always straightforward. Guidance on the most suitable approach is given in Box 7-13.

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<sup>96</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/precision-and-accuracy/>

- 7.226 The value of a local co-location study (and the subsequent bias adjustment) will be improved if the concentrations being measured are similar to those in the wider survey. Broadly, this equates to carrying out a co-location study at roadside locations in order to derive a bias adjustment factor to be applied to a survey of roadside concentrations.
- 7.227 Care should be taken to avoid applying a bias adjustment factor derived from a local co-location study carried out for concentrations that are very different to those being measured in the wider survey. In other words, co-location results from a low concentration site (typically a background site) should not be used to derive a bias adjustment factor for survey results from high concentration sites (typically roadside sites) and vice versa. There may be circumstances where this is not possible, and this will increase the uncertainty of the results.

### Box 7-13 – Choice of NO<sub>2</sub> Bias Adjustment Factor

The most important factors to be considered when deciding which bias-adjustment factor to use are:

- Tube exposure time (one week, two weeks, one month)
- Length of the monitoring study
- QA/QC of the chemiluminescence analyser
- QA/QC of diffusion tubes
- Siting of the co-location study
- Siting of other tubes in the survey

Local Authorities using diffusion tubes as part of their Review and Assessment are advised to report both the adjustment factor from their local study, and the bias adjustment factor from the national database. However, the decision of which to use will depend upon a number of factors that will need to be considered. Ultimately it will be up to each local authority to take account of these factors and set out the reasons for the choice made. Specific factors that should be addressed are:

#### **Cases where the locally obtained bias adjustment factor may be more representative:**

- Where the diffusion tube exposure periods are weekly or fortnightly (or anything other than monthly – the national database of co-location results only covers monthly exposure.)
- If the co-location site is unusual in some way: for example, affected by specific large NO<sub>x</sub> sources other than road traffic, such as local industrial installations. (This is a strong indication in favour of using a locally-derived factor).
- For tubes exposed in a similar setting to the co-location site (open/shelter, height, etc).
- Where the duration of the whole diffusion tube study is less than one year, especially if it is less than nine months in line with the Defra Calendar<sup>49</sup> (when adjustment is best made for a matched time period, rather than using an annual factor).
- Where the Review and Assessment Helpdesk spreadsheet contains data from fewer than five other studies using the same laboratory and preparation.
- Where the co-location study is spread across more than one calendar year, e.g. October 2014 to September 2015 – especially where there is evidence of different bias-adjustment factors for different calendar years.
- For co-location sites with “good” precision for the diffusion tubes and with high quality chemiluminescence results, i.e. to national AURN standards.

### Cases where the combined bias adjustment factor may be more representative:

- Where the survey consists of tubes exposed over a range of settings, which differ from the co-location site, e.g. the co-location site is in a very exposed setting and the tubes being assessed are on a building façade in a canyon-like street.
- Where the co-location study is for less than nine months in line with the Defra Calendar<sup>49</sup>, although the diffusion tube monitoring is for a longer period.
- Where the automatic analyser has been operated using local, rather than national, QA/QC procedures.
- Where data capture from the automatic analyser is less than 90%, or there have been problems with data quality.
- For co-location sites with “poor” precision or laboratories with predominately “poor” precision, as set out on the LAQM Support Helpdesk website.

Figure 7.2 – National Bias Adjustment Factor Spreadsheet

National Diffusion Tube Bias Adjustment Factor Spreadsheet							Spreadsheet Version Number: 09/21			
Follow the steps below in the correct order to show the results of relevant co-location studies							This spreadsheet will be updated at the end of March 2022			
Data only apply to tubes exposed monthly and are not suitable for correcting individual short-term monitoring periods							LAQM Helpdesk Website			
Whenever presenting adjusted data, you should state the adjustment factor used and the version of the spreadsheet							Spreadsheet maintained by the National Physical Laboratory. Original compiled by Air Quality Consultants Ltd.			
This spreadsheet will be updated every few months; the factors may therefore be subject to change. This should not discourage their immediate use.										
The LAQM Helpdesk is operated on behalf of Defra and the Devolved Administrations by Bureau Veritas, in conjunction with contract partners AECOM and the National Physical Laboratory.										
Step 1:	Step 2:	Step 3:	Step 4:							
Select the Laboratory that Analyses Your Tubes from the Drop-Down List	Select a Preparation Method from the Drop-Down List	Select a Year from the Drop-Down List	Where there is only one study for a chosen combination, you should use the adjustment factor shown with caution. Where there is more than one study, use the overall factor <sup>2</sup> shown in blue at the foot of the final column.							
If a laboratory is not shown, we have no data for this laboratory.	If a preparation method is not shown, we have no data for this method at this laboratory.	If a year is not shown, we have no data	If you have your own co-location study then see footnote <sup>3</sup> . If uncertain what to do then contact the Local Air Quality Management Helpdesk at LAQMhelpdesk@bureauveritas.com or 0800 0327953							
Analysed By <sup>1</sup>	Method <sup>2</sup>	Year <sup>3</sup>	Site Type	Local Authority	Length of Study (months)	Diffusion Tube Mean Conc. (Dm) (µg/m <sup>3</sup> )	Automatic Monitor Mean Conc. (Cm) (µg/m <sup>3</sup> )	Bias (B)	Tube Precision <sup>4</sup>	Bias Adjustment Factor (A) (Cm/Dm)
SOCOTEC Didcot	20% TEA in water	2020	R	Rhondda Cynon Taf CBC	9	29	23	22.9%	G	<b>0.81</b>
SOCOTEC Didcot	20% TEA in water	2020	KS	Marlybone Road Intercomparison	11	57	43	32.7%	G	<b>0.75</b>
SOCOTEC Didcot	20% TEA in water	2020	R	Fife Council	9	22	13	64.5%	G	<b>0.61</b>
SOCOTEC Didcot	20% TEA in water	2020	R	Fife Council	9	22	17	31.4%	G	<b>0.76</b>
SOCOTEC Didcot	20% TEA in water	2020	R	South Oxfordshire District Council	11	32	29	13.5%	G	<b>0.88</b>
Socotec Didcot	20% TEA in water	2020	R	New Forest DC	9	27	18	46.3%	G	<b>0.68</b>
SOCOTEC Didcot	20% TEA in water	2020	<b>Overall Factor<sup>2</sup> (6 studies)</b>						<b>Use</b>	<b>0.74</b>

7.228 In the event that a diffusion tube supplier and/or preparation method for NO<sub>2</sub> diffusion tubes has been changed during a calendar year, the process of bias adjustment is more complex than described above. In this scenario, a single bias adjustment factor, either locally or nationally derived, is no longer applicable. As described within Box 7-14, it is instead required to apply two separate bias factors across the relevant periods of exposure for each laboratory and/or preparation method. A weighted average relative to the two exposure periods should then be calculated to determine the final annual mean NO<sub>2</sub> concentration.

7.229 In terms of whether a national factor or a local factor is used within the calculation, this is dependent on whether a co-location study has been completed by the local authority and the following considerations, as detailed in Box 7-13, have been taken into account:

- In the absence of a current local co-location study, then the bias adjustment factors for the separate supplier and/or preparation method should be ascertained from the current National Diffusion Tube Bias Adjustment Spreadsheet.

- Where a local co-location study has been completed, two separate bias calculations should be made using the Local Factor Spreadsheet to define Local Factors for the separate supplier and/or preparation method based upon the monitoring results from the two sets of diffusion tubes from the separate suppliers. The two derived local factors should only be used if the resulting tube precision and data capture meet the requirements as per para 7.219. If these conditions are not met, then the national factors should be used within the calculation.

- 7.230 If data capture for the calendar year is less than nine months in line with the Defra monitoring calendar<sup>49</sup> or 75% if not in line at any of the monitoring locations, annualisation should be completed in line with Box 7-10. See Box 7-14 for worked examples.
- 7.231 Following the application of a bias adjustment factor, where relevant the annual mean concentration should then be corrected for distance. Consideration to fall-off with distance correction should be given as per the guidance provided in paragraph 7.83. A specific NO<sub>2</sub> fall-off with distance calculator has been developed for local authority use<sup>76</sup>, and this tool is also incorporated within the Diffusion Tube Data Processing Tool<sup>76</sup> to allow the complete processing of diffusion tube data to be undertaken within the one tool.
- 7.232 Consideration may also be given to whether additional adjustment of diffusion tube monitoring results is required to account for tube chemistry. Whilst it is not recommended that this adjustment is applied routinely, in certain circumstances this may help to reduce the uncertainty of the diffusion tube results further. See Box 7-15 for more information.

### Box 7-14 – Bias Adjustment When the Supplier and/or Preparation has Changed within a Calendar Year

#### Worked example:

During 2019, a local authority used Supplier A diffusion tubes for January to March inclusive, then changed to diffusion tubes prepared by Supplier B for the remainder of the year (April to December inclusive). Assuming data capture of 100% for the calendar year and data capture in line with the Defra Monitoring Calendar, the calculations would be:

$$\text{Annual mean NO}_2 \text{ concentration} = (\text{3-month period average} * \text{3-month bias factor} * \text{3/12}) + (\text{9-month period average} * \text{9-month bias factor} * \text{9/12})$$

Assuming a mean concentration of 30µg/m<sup>3</sup> for the 3-month period and a mean concentration 25µg/m<sup>3</sup> for the 9-month period, and national bias adjustment factors of 0.83 for Supplier A and 0.92 for Supplier B, the annual mean concentration at this site is therefore calculated as:

$$\begin{aligned} \text{Annual mean NO}_2 \text{ concentration} &= (30\mu\text{g}/\text{m}^3 * 0.83 * \text{3/12}) + (25\mu\text{g}/\text{m}^3 * 0.92 * \text{9/12}) \\ \text{Annual mean NO}_2 \text{ concentration} &= 23.5\mu\text{g}/\text{m}^3 \end{aligned}$$

*Note – If the data capture is less than 100% for the year the weighted average should be amended appropriately, i.e. if the data capture is 75% the weighted division would be 9 instead of 12. Furthermore if the data capture for the calendar year is less than 75% but greater than 25%, annualisation would also need to be completed. Annualisation would need to be completed on both period sets of data prior to the application of the period bias factor.*

## Box 7-15 – Diffusion Tube Chemistry and Adjustment

Results of a nationwide survey of nitrogen dioxide diffusion tube co-location studies have been used to improve current understanding of diffusion tube bias. Data suggests that tubes close to a road are more likely to underestimate concentrations, once they have been adjusted for laboratory bias, and conversely tubes further away from roads are more likely to overestimate concentrations.

Careful analysis of the results suggests that it is not the distance from the road that matters, but the different concentrations of nitric oxide, nitrogen dioxide and ozone that this reflects. These different concentrations influence the chemistry taking place within the diffusion tube, in particular the formation of additional nitrogen dioxide from a reaction of ozone with nitric oxide.

A relationship has been identified between diffusion tube bias and the measured annual mean nitrogen dioxide concentration that can be used to adjust the diffusion tube result. The effect of this 'tube-chemistry' adjustment depends on the measured concentration: thus a laboratory bias adjusted result of  $20\mu\text{g}/\text{m}^3$  would become  $18.1\mu\text{g}/\text{m}^3$  after adjustment for bias due to tube chemistry. A value of  $40\mu\text{g}/\text{m}^3$  would remain at  $40\mu\text{g}/\text{m}^3$  and  $60\mu\text{g}/\text{m}^3$  would become  $65.1\mu\text{g}/\text{m}^3$ . The effect of this adjustment is minimal at concentrations close to the objective of  $40\mu\text{g}/\text{m}^3$ , thus it will not have a material effect on exceedances of the objective identified using diffusion tubes.

Adjusting for tube chemistry reduces the uncertainty of diffusion tube results. It is not recommended, however, that this adjustment is applied routinely. There may be occasions though when it is appropriate to apply the tube-chemistry bias adjustment, e.g. it may improve the reliability of the diffusion tube data for use in model verification at both roadside and background sites. The LAQM Support Helpdesk should be contacted for further advice if you are unsure as to whether this is relevant to your particular circumstances.

- 7.233 Once all diffusion tube data has been processed within the DTDPT, it can be easily exported by following these steps.

Step 1 – Go to the 'DTDES Inputs' tab

Step 2 – Press the button on the top left which says 'Once finalised, click here to Export Data. The output file can be directly uploaded to the Diffusion Tube Data Entry System (DTDES)'.

Step 3 – This will prompt you to create a file, choose an appropriate file name such as your local authority and year of data and press 'Save'.

Step 4 – This file can then be uploaded directly on to the DTDES through the LAQM Portal.

- 7.234 A video tutorial for use of the DTDPT is available on the Air Quality Hub.

### **SO<sub>2</sub> Monitoring**

- 7.235 The reference method for SO<sub>2</sub> monitoring is ultraviolet fluorescence. A number of instruments have been approved under the MCERTS scheme<sup>97</sup>.
- 7.236 This technique is based on the emission of light by SO<sub>2</sub> molecules excited by UV radiation and is proportional to the SO<sub>2</sub> mixing ratio in parts per billion by volume (ppbV). It is necessary to convert the ppbV mixing ratios to concentrations in

<sup>97</sup> <https://www.csagroupuk.org/services/mcerts/mcerts-product-certification/mcerts-certified-products/mcerts-certified-products-continuous-ambient-air-monitoring-system/>

$\mu\text{g}/\text{m}^3$  (see below).

- 7.237 Ideally, local authority personnel should attend sites with particularly high concentrations every two weeks, e.g. urban centre locations or industrial sites with localised point sources. Local authority personnel should attend the site every four weeks for sites at all other locations. At this time, the filter should be changed and the instrument's calibration should be checked. This is done by introducing nominally 450ppbV  $\text{SO}_2$  in synthetic air to the system and then noting the value of  $\text{SO}_2$  from the front panel of the instrument after the reading has stabilised. 450ppbV is chosen as this is 90% of the 500ppbV full span of the instrument. The zero of the instrument is then checked by passing synthetic air or ambient air that has been purified. Again, the value of  $\text{SO}_2$  is noted from the front panel of the instrument. The 450ppbV  $\text{SO}_2$  in synthetic air cylinder should be traceable to a national or international reference cylinder so that the concentration is accurately known.
- 7.238 In order to improve the reliability and validity of the data, it is best practice that instruments should be periodically checked by an independent organisation accredited to perform QA/QC checks to ISO17025:2017. Ideally this should be performed every six months. It is important that the QA/QC process checks the calibration using  $\text{SO}_2$  in synthetic air.
- 7.239 Instruments should be periodically serviced by the manufacturer or an approved service unit. Ideally this should be performed every six months and within three weeks of the independent QA/QC audit. Maintenance schedules for the replacement of consumable parts, diagnostic checks and equipment overhaul should in all cases follow manufacturer's recommendations. Routine and non-routine service visits should be fully documented to describe in detail any adjustments, modification or repairs undertaken.
- 7.240 In order to correct for the drift in instrument calibration and then to convert from ppbV to  $\mu\text{g}/\text{m}^3$ , it is necessary to follow the below procedure:
- Erroneous calibrations should be identified by observing the trend in the ppbV readings of  $\text{SO}_2$  from the front of the instrument when the nominally 450ppbV  $\text{SO}_2$  in synthetic air and zero gases were introduced. Readings which do not follow anticipated trends should be ignored;
  - For each day that the calibration was checked on the instrument, the  $\text{SO}_2$  zero is taken to be the ppbV mixing ratio of  $\text{SO}_2$  that was displayed on the front of the instrument when the zero gas was introduced. It is possible for the  $\text{SO}_2$  zero to be incorrect, and instead the correct zero may be identified by observing trends in the lowest concentration of the ambient  $\text{SO}_2$  data;
  - For each day that the calibration was checked on the instrument, the  $\text{SO}_2$  span is taken to be the ppbV mixing ratio of  $\text{SO}_2$  that was displayed on the front of the instrument when the 450ppbV  $\text{SO}_2$  in synthetic air gas was introduced;
  - For each day that the calibration was checked on the instrument, the  $\text{SO}_2$  range is calculated as  $\text{SO}_2$  span minus  $\text{SO}_2$  zero;

- For each day that the calibration was checked on the instrument, the SO<sub>2</sub> calibration factor is calculated by taking the exact known SO<sub>2</sub> ppbV mixing ratio of the SO<sub>2</sub> in synthetic air cylinder and dividing this by the SO<sub>2</sub> range;
- The SO<sub>2</sub> calibration factor and SO<sub>2</sub> zero should be defined for every 15-minute monitoring period that monitoring was undertaken. It is important that a step change in calibration factors is accounted for whenever the instrument was serviced or repaired. It is considered sufficient to take the SO<sub>2</sub> calibration factor and SO<sub>2</sub> zero to be the same for every record following each calibration check prior to the following calibration check. It is however more accurate to linearly interpolate the SO<sub>2</sub> calibration factor and SO<sub>2</sub> zero between calibration checks;
- The 15-minute SO<sub>2</sub> ppbV readings from the instrument are zero corrected by subtracting the SO<sub>2</sub> zero assigned to that 15-minute record;
- The 15-minute zero corrected SO<sub>2</sub> ppbV readings are span corrected by multiplying by the SO<sub>2</sub> calibration factor assigned to that 15-minute record;
- SO<sub>2</sub> ppbV is converted to µg/m<sup>3</sup> by multiplying by 2.6609;
- All erroneous data should be disregarded before any averaging or data interpretation is undertaken. Ultraviolet fluorescence monitors produce a data record every 15 minutes. The objectives for SO<sub>2</sub> relate to 15-minute, hourly and 24-hour µg/m<sup>3</sup> averages. In order to calculate the 1-hour average data, four 15 minute µg/m<sup>3</sup> records are averaged. The 1-hour average will only be valid if there was at least 75% data capture, i.e. three valid 15-minute averages. The 24-hour average is calculated as the average of all valid 1-hour averages in the day. The 24-hour average will only be valid if there was at least 75% data capture, i.e. 18 valid 1-hour averages;
- As the objectives for SO<sub>2</sub> relate to 15-minute, hourly and 24-hour averages, three different data capture rates should be calculated based upon the number of valid 15-minute, 1-hour and 24-hour average in the year. For example, if there were 30720 valid days of 15-minute SO<sub>2</sub> data in a leap year, then the data capture is  $(100 \times 30720) / 35136$ , which is 87.4%;
- It is required to report the number of 15-minute periods where there was greater than 266µg/m<sup>3</sup> over a calendar year. There are allowed to be no more than 35 exceedances per calendar year. The number of exceedances should only be reported where data capture is more than 85% of a full year. If data capture is less than 85% or monitoring is for less than a full year, then local authorities should instead report the 99.9<sup>th</sup> percentile for 15-minute SO<sub>2</sub>. For example, if the available 15 minute average data are in Column A in an Excel spreadsheet, then the Excel formula would be =PERCENTILE(A:A,0.999). If the 99.9<sup>th</sup> percentile is greater than 266µg/m<sup>3</sup>, then this means that if there had been 100% data capture, then there would have been greater than 35 exceedances of 266µg/m<sup>3</sup> per calendar year;

- It is required to report the number of 1-hour periods where there was greater than  $350\mu\text{g}/\text{m}^3$  over a calendar year. There are allowed to be no more than 24 exceedances per calendar year. The number of exceedances should only be reported where data capture is more than 85% of a full year. If data capture is less than 85% or monitoring is for less than a full year, then local authorities should instead report the 99.7<sup>th</sup> percentile for 1-hour  $\text{SO}_2$ ; and
- It is required to report the number of 24-hour periods where there was greater than  $125\mu\text{g}/\text{m}^3$  over a calendar year. There are allowed to be no more than three exceedances per calendar year. The number of exceedances should only be reported where data capture is more than 85% of a full year. If data capture is less than 85% or monitoring is for less than a full year, then local authorities should instead report the 99.2<sup>nd</sup> percentile for 24-hour  $\text{SO}_2$ .

### Carbon Monoxide Monitoring

- 7.241 The reference method for CO monitoring is non-dispersive infrared spectroscopy. A number of instruments have been approved under the MCERTS scheme<sup>98</sup>.
- 7.242 This technique is based on the attenuation of infrared light passing through a sample cell which is proportional to the CO mixing ratio in parts per million by volume (ppmV). It is necessary to convert the ppmV mixing ratios to concentrations in  $\text{mg}/\text{m}^3$  (see below).
- 7.243 Ideally, local authority personnel should attend the site every two weeks for sites in roadside or kerbside locations or at urban centre locations with particularly high concentrations. Local authority personnel should attend the site every four weeks for sites at other locations. At this time, the filter should be changed and the instrument's calibration should be checked. This is done by introducing nominally 20ppmV CO in synthetic air to the system and then noting the value of CO from the front panel of the instrument after the reading has stabilised. The zero of the instrument is then checked by passing synthetic air or ambient air that has been purified. Again, the value of CO is noted from the front panel of the instrument. The 20ppmV CO in synthetic air cylinder should be traceable to a national or international reference cylinder so that the concentration is accurately known.
- 7.244 In order to improve the reliability and validity of the data, it is best practice that instruments should be periodically checked by an independent organisation accredited to perform QA/QC checks to ISO17025:2017. Ideally this should be performed every six months. It is important that the QA/QC process checks the calibration using CO in synthetic air.
- 7.245 Instruments should be periodically serviced by the manufacturer or an approved service unit. Ideally this should be performed every six months and within three

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weeks of the independent QA/QC audit. Maintenance schedules for the replacement of consumable parts, diagnostic checks and equipment overhaul should in all cases follow manufacturer's recommendations. Routine and non-routine service visits should be fully documented to describe in detail any adjustments, modification or repairs undertaken.

7.246 In order to correct for the drift in instrument calibration and then to convert from ppmV to mg/m<sup>3</sup>, it is necessary to follow the below procedure:

- Erroneous calibrations should be identified by observing the trend in the ppmV readings of CO from the front of the instrument when the nominally 20ppmV CO in synthetic air and zero gases were introduced. Readings which do not follow anticipated trends should be ignored;
- For each day that the calibration was checked on the instrument, the CO zero is taken to be the ppmV mixing ratio of CO that was displayed on the front of the instrument when the zero gas was introduced. It is possible for the CO zero to be incorrect, and instead the correct zero may be identified by observing trends in the lowest concentration of the ambient CO data;
- For each day that the calibration was checked on the instrument, the CO span is taken to be the ppmV mixing ratio of CO that was displayed on the front of the instrument when the 20ppmV CO in synthetic air gas was introduced;
- For each day that the calibration was checked on the instrument, the CO range is calculated as CO span minus CO zero;
- For each day that the calibration was checked on the instrument, the CO calibration factor is calculated by taking the exact known CO ppmV mixing ratio of the CO in synthetic air cylinder and dividing this by the CO range;
- The CO calibration factor and CO zero should be defined for every 15-minute monitoring period that monitoring was undertaken. It is important that a step change in calibration factors is accounted for whenever the instrument was serviced or repaired. It is considered sufficient to take the CO calibration factor and CO zero to be the same for every record following each calibration check prior to the following calibration check. It is however more accurate to linearly interpolate the CO calibration factor and CO zero between calibration checks;
- The 15-minute CO ppmV readings from the instrument are zero corrected by subtracting the CO zero assigned to that 15-minute record;
- The 15-minute zero corrected CO ppmV readings are span corrected by multiplying by the CO calibration factor assigned to that 15-minute record; and
- CO ppmV is converted to mg/m<sup>3</sup> by multiplying by 1.1642.

7.247 All erroneous data should be disregarded before any averaging or data interpretation is undertaken. Non-dispersive infrared spectroscopy monitors

produce a data record every 15 minutes. Therefore, the raw data has to be processed to allow comparison with the two specific objectives relating to CO:

- England, Wales and Northern Ireland – 10 mg/m<sup>3</sup> maximum daily running 8-hour mean;
- Scotland – 10 mg/m<sup>3</sup> running 8-hour mean.

7.248 It is first necessary to calculate the 1-hour average data; to do this, four 15-minute mg/m<sup>3</sup> records are averaged. The 1-hour average will only be valid if there was at least 75% data capture, i.e. three valid 15-minute averages. Eight 1-hour averages are then averaged for every 8-hour period. The 8-hour average will only be valid if there was at least 75% data capture, i.e. six valid 1-hour averages.

7.249 The maximum daily running 8-hour mg/m<sup>3</sup> mean is determined by examining 8-hour running averages, calculated from hourly data and updated every hour. Each 8-hour average calculated will be assigned to the day on which it ends, i.e. the first calculation period for any one day will be the period from 17:00 on the previous day to 01:00 on that day, whilst the last calculation period for any one day will be the period from 16:00 to 24:00 on that day. Within England, Wales and Northern Ireland, the maximum daily running 8-hour mean is not allowed to exceed 10mg/m<sup>3</sup> on any single occasion during the year.

7.250 The running 8-hour mg/m<sup>3</sup> mean is an 8-hour average that is updated once every hour, i.e. there are 8,760 running 8-hour averages beginning in a non-leap year, though only 8,753 of these will lie entirely within the year. Within Scotland the running 8-hour average is not allowed to exceed 10mg/m<sup>3</sup> on any single occasion during the year.

7.251 Running 8-hour data capture can be calculated as the number of running 8-hour averages divided by the number of hours in the year, and this is expressed as a percentage by multiplying by 100. For example, if there were 7,852 valid running 8-hour averages of CO data in a non-leap year, then the data capture is  $(100 \times 7,852) / 8,760$ , which is 89.6%.

## Lead Monitoring

7.252 Defra and the Devolved Administrations have approved a number of similar methods for the analysis of lead in air. It is first necessary to take PM<sub>10</sub> sample filters using an approved method PM<sub>10</sub> sampling method that utilises filters, i.e. the reference method, Partisol, Opsis SM200 or FAI SWAM (see para 7.169). It is possible to analyse multiple one day filters together, or to take a single filter sample over multiple days. When taking a multiple day sample, it is important that the sample flow does not drop below 10% of the nominal value, and that the total volume is accurately measured. The filters can be any of quartz, cellulose nitrate or cellulose acetate membrane, so long as the filter lead content can be demonstrated to be low and constant. The analysis can be any either Graphite Furnace Atomic Absorption Spectrometry (GFAAS), or Inductively Coupled Plasma – Mass Spectrometry (ICP-MS), so long as the detection limit can be demonstrated to be sufficient for the lead concentrations to be monitored for: The

concentration in  $\mu\text{g}/\text{m}^3$  of each sample is taken as the mass of lead in  $\mu\text{g}$  divided by the sample volume in  $\text{m}^3$ . The PM sampler and the instrument used to quantify the metals content should be subjected to six monthly QA/QC and servicing schedules.

- 7.253 The annual mean should be below  $0.25\mu\text{g}/\text{m}^3$ . This can be calculated as the average of all the samples taken during the year. If the time of each sample was not constant, then it is necessary to calculate a time weighted average. First multiply each sample concentration by the number of days over which that sample was taken. These values are then added up. Finally, this value is divided by total number of days over which the samples were taken.

### **Benzene and 1,3-Butadiene Monitoring**

- 7.254 Benzene and 1,3-butadiene are monitored by collecting a sample on to an adsorbent material and then subsequently analysing this by gas chromatography, with certain instruments having been approved through the MCERTS scheme<sup>99</sup>. One of three methods can be used for this:

- Taking hourly or multi-hour samples by sucking air through the adsorbent, and then automatically analysing these on-site. The resultant chromatographs may be analysed automatically on-site or analysed off-site at a later date. This method can be expensive, but is both highly accurate and allows for highly time resolved data;
- Taking longer samples by sucking air through the adsorbent, and then sending these to a laboratory for analysis. The Defra pumped benzene network takes two-week samples using this method. This method is moderately affordable, and the data are accurate, but it only allows for infrequently time resolved data;
- Leaving tubes containing the adsorbent outside in order for the benzene or 1,3 butadiene to diffuse on to the adsorbent, then sending these to a laboratory for analysis. This method is affordable, but passive diffusion is less accurate than active sampling, and it only allows for infrequently time resolved data;
- Continuous methods should be subjected to six monthly QA/QC and servicing schedules;
- Diffusion tubes are very sensitive to interference by solvents, so it is important that they are protected from any such sources of contamination during storage, transport and deployment. The use of solvent based marker pens should also be avoided;
- In addition, a DOAS based benzene sampler has been approved under the MCERTS scheme<sup>99</sup>;
- For Benzene in England and Wales, the annual mean should be below  $5\mu\text{g}/\text{m}^3$ . This can be calculated as the average of all the samples taken

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<sup>99</sup> <https://www.csagroup.org/en-gb/services/mcerts/mcerts-product-certification/mcerts-certified-products/mcerts-certified-products-continuous-ambient-air-monitoring-system/>

during the year. If the time of each sample was not constant, then it is first necessary to multiply each sample concentration by the number of days over which that sample was taken. These values are then added up. Finally, this value is divided by total number of days over which the samples were taken;

- For Benzene in Scotland and Northern Ireland, the running annual average should be below  $3.25\mu\text{g}/\text{m}^3$ . This can be calculated in the same way as the annual average, but it is required to calculate a different running annual average for each period that a sample was taken; and
- For 1,3-Butadiene throughout the UK, the running annual average should be below  $2.25\mu\text{g}/\text{m}^3$ .

### **‘Low Cost Sensors’**

- 7.255 There has been a significant growth in the development of low cost sensor systems capable of measuring air pollutants in recent years, and both the technology and methods of operation continue to evolve rapidly. Typically, these instruments represent a lower capital investment cost when compared to more complex continuous methods of monitoring, and their use can reduce the extent of running costs over a yearly period. As such, they are an attractive option that allows measurements to be undertaken at improved spatial and temporal resolutions. However, this comes with a trade-off on the accuracy and precision of the measurements being made.
- 7.256 Details are given below of the current status of certification schemes for sensor systems. Due consideration will be given with respect to their applicability for use in reporting against the LAQM objectives, identifying ‘hot-spots’, elucidating trends, or identifying pollution causing activities.
- 7.257 For gaseous (NO, NO<sub>2</sub>, CO, or SO<sub>2</sub>) sensor systems the European Committee for Standardisation (CEN) Technical Committee 264 (TC 264) has published a standard for classifying the performance of low cost sensor systems<sup>100</sup>.
- 7.258 For particulate sensor systems, a similar scheme standard is under development by CEN TC 264. Additionally for particulates, there exist a number of PM<sub>10</sub> and PM<sub>2.5</sub> monitors that have been certified as suitable for indicative monitoring within the UK using the Environment Agency’s Indicative instrument certification scheme<sup>101</sup>.
- 7.259 These instruments are not suitable for measuring PM<sub>10</sub> or PM<sub>2.5</sub> annual mean or the number of exceedances as they are not accurate enough to meet the expanded uncertainty requirements of equivalent instruments. These instruments are however useful for identifying short-term pollution events at construction,

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[https://standards.cencenelec.eu/dyn/www/f?p=CEN:110:0::::FSP\\_PROJECT,FSP\\_ORG\\_ID:60880,6245&cs=1CAE12AB6F82C09EC6952D835A23F085B](https://standards.cencenelec.eu/dyn/www/f?p=CEN:110:0::::FSP_PROJECT,FSP_ORG_ID:60880,6245&cs=1CAE12AB6F82C09EC6952D835A23F085B)

<sup>101</sup> <https://www.csagroup.org/en-gb/services/mcerts/mcerts-product-certification/mcerts-certified-products/mcerts-certified-products-indicative-ambient-particulate-monitors/>

demolition or waste transfer sites and are suitable for short, local campaigns.

- 7.260 Defra is funding the development of a Publicly Available Specification to standardise the use of low cost sensors as standalone units or as part of a network and thus improve the reliability of their application, account for uncertainties and enable better integration with other measurements. For more information on low cost sensor systems, please refer to the Air Quality Expert Group's advice<sup>102</sup>.

### 3 – Estimating Emissions

#### Introduction

- 7.261 This section provides authorities with guidance on determining emissions associated with those sources that are, based upon the evidence of recent years, most likely to be identified as contributing to poor air quality and thus increase the potential for air quality exceedances.
- 7.262 In the majority of cases, road transport and stationary large point sources are likely to be the most common problems. However, residential areas burning solid fuel may also be of concern. Estimating emissions from these sources for input into detailed studies is therefore the focus of this section. For advice on compiling emissions estimates for other sources that may warrant detailed consideration, such as large ship ports, railways or airports, the LAQM Support Helpdesk should be contacted.
- 7.263 Emissions data should be gathered for the specific sector(s) that require detailed consideration following the guidance below. In addition, background emissions and concentrations data can be used to account for sectors not specifically assessed in the detailed studies. These data can be obtained from the National Atmospheric Emissions Inventory (NAEI) website<sup>103</sup> and the UK-Air website<sup>84</sup>. Further detail on these data sources is included in Appendix C.

#### Road Transport

##### *Introduction*

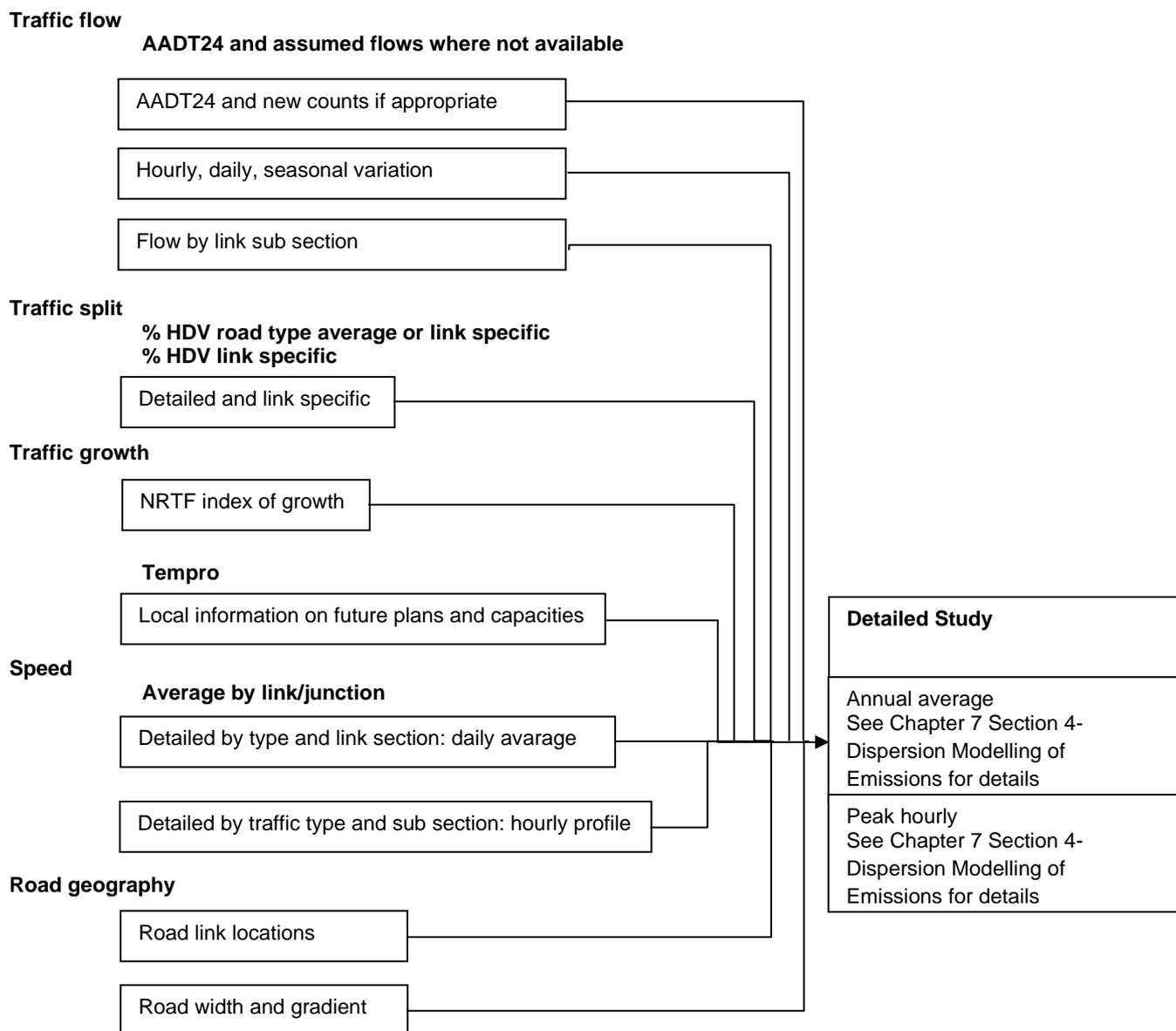
- 7.264 A detailed study of road traffic emissions will involve some form of modelling, requiring high quality emissions estimates and other data as inputs. Figure 7.3 illustrates the data required for both screening assessments and detailed studies of road transport sources.

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<sup>102</sup> <https://uk-air.defra.gov.uk/research/ageg/pollution-sensors.php>

<sup>103</sup> <http://naei.beis.gov.uk/>

**Figure 7.3 – Collecting Emissions Data: Road Transport Sources**



7.265 With such sufficient information, the emissions for each road link can be estimated using the Emissions Factors Toolkit (EFT) – a spreadsheet tool published by Defra, which allows the calculation of road traffic exhaust emissions for different vehicle categories and splits, at various speeds, and on different road types. Emission factors (EFs) for each specific link being assessed will be calculated, which can then be used as input into a dispersion model. The latest version of the EFT and an associated User Guide are available via the LAQM Support website<sup>104</sup>. Alternatively, if not using the EFT, then the raw vehicle EF data are available from the NAEI website<sup>103</sup>.

<sup>104</sup> <https://laqm.defra.gov.uk/air-quality/air-quality-assessment/emissions-factors-toolkit/>

- 7.266 As a minimum, the following information will be required for each link in order to estimate the associated pollutant emissions:
- Road type, i.e. whether motorway, urban or rural in nature;
  - Traffic flows;
  - Fleet composition (as a minimum split between HDV and non-HDV); and
  - Vehicle speeds and congestion.
- 7.267 Whilst not essential for the calculation of emissions, road geometry information (including OS coordinates of road centrelines and accurate road widths) is required to accompany the emissions data input into a model.
- 7.268 Further guidance on key elements that require careful consideration when calculating EFs for road transport sources is provided in the sections below.

### **Traffic Flows**

- 7.269 Traffic flow data in 24-hour Annual Average Daily Traffic (AADT) format) is required.
- 7.270 There are two main categories of traffic flow information from which AADT flows can be estimated:
- **Traffic counts:** made either by human observation ('manual counts') or machine ('automatic' or 'continuous' counts), which are (usually) 'classified' based upon the main vehicle types over a time period. These should be used in preference to traffic model data; and
  - **Traffic/transportation models:** a computerised representation of traffic flows on the road network.
- 7.271 Data from traffic models is generally considered less robust as this has a greater amount of uncertainty associated with it than measured flows at the individual link level. However, there are several disadvantages of 'Traffic Count' data to be aware of:
- Resource-intensive to collect for other than a small number of links;
  - Care needs to be taken in extrapolating what are essentially point-based observations to whole 'roads'; and
  - Data do not take account of changes to traffic flow in subsequent years.
- 7.272 Depending upon the format of the provided data, it may be required to transform the traffic data, e.g. from AM/PM peaks, 12-hour counts or 18-hour AAWT (Annual Average Weekday Traffic) flows (commonly used for noise assessments), to the required 24-hour AADT format. Council transport departments should be able to provide factors to achieve this. Where possible, local conversion factors should be used in preference to national factors where available. Any additional uncertainty introduced by such data transformations should be considered.

- 7.273 If using short-term counts to factor traffic flows to 24-hour AADT format, careful consideration should be given to whether the measurement period is considered typical or not. For example, Friday and Monday counts are likely to overestimate AADT flows, while weekend counts are likely to underestimate AADT flows.
- 7.274 Some authorities will also need to consider seasonal patterns, particularly in tourist areas, when estimating AADT flows. This can be achieved by comparing the flows on the day of the manual count with 24-hour flows from Automatic Traffic Count (ATC) or similar data over the same period.
- 7.275 For instance, if a manual count was taken on a Friday, local authorities should:
- Obtain ATC data for the same period on a similar road;
  - Compare the same Friday with the rest of the week to check if there were significant differences between the average on that day and the 7-day average;
  - If the data from the ATC is available over a wider time period, check to see if that week was typical of the wider period or season; and
  - Other long-term traffic data can also be used to confirm estimates of traffic flows.
- 7.276 Local authorities may need to project traffic flows forward to the relevant assessment year. Each transport department within a local authority should have estimates of the expected growth on roads under their jurisdiction. Year-by-year growth factors based on road types should be used, as the growth on motorways for example is likely to be different to the growth on urban roads.
- 7.277 The Department for Transport (DfT) Road Traffic Forecasts<sup>105</sup> provided for England from the National Traffic Model (NTM) should be used to undertake the necessary projections where local information is not available. For areas outside England, the Scottish Government, the Welsh Government or the Department of Regional Development (Northern Ireland) should be contacted. In addition, the National Modelling Maps<sup>33</sup> can be used to help assess current and future modelled exceedances (including those for PM<sub>2.5</sub>, which will be of particular benefit for Scotland).
- 7.278 Forecast estimates specific to each local authority district in Great Britain are provided by the Department for Transport Trip End Model Presentation Programme (TEMPro)<sup>106</sup>. TEMPro provides forecast data on trips for transport planning purposes. However, it does not take into account changes to fuel cost and vehicle operating cost over time, so is not suitable for direct use as a growth factor to be applied to traffic flows. It therefore needs to be used with DfT's published forecast from the NTM. Consideration should be given to the appropriateness of NTM derived 'regional' traffic growth forecasts for the roads under study, particularly where (as is the case in many cities) roads are

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<sup>105</sup> <https://www.gov.uk/government/publications/road-traffic-forecasts-2018>

<sup>106</sup> <https://www.gov.uk/government/collections/tempro>

effectively already operating at “maximum capacity”.

- 7.279 Specific future plans (either to reduce traffic congestion or to develop housing or commercial areas) will have an effect on the traffic flows and may even include the construction of new roads. Depending on the maturity of these plans there may already be flow estimates and even impact assessment data available from the planning department of the local authority or the County Council.
- 7.280 Traffic flow data may be sourced from a variety of locations, including the local traffic/transport/highways department. Street-level traffic data for every junction-to-junction link on the 'A' road and motorway network in Great Britain is also published on DfT's Traffic Counts website<sup>107</sup>.

### ***Fleet Composition***

- 7.281 The proportion of HDV/LDV split is required as a minimum, but further breakdown of vehicle classes is preferable, e.g. percentage of Cars, LGVs, HGVs, Buses and Coaches and Motorcycles.
- 7.282 Basic vehicle splits (as a minimum including the percentage of HDVs/LDVs) should be provided with the traffic flow information. In circumstances where such local information is not provided, estimates by region and road type can be obtained from the NAEI<sup>108</sup>, for both the current and forecasted national traffic split.

### ***Vehicle Speeds***

- 7.283 Speed data may be obtained directly from a traffic model, although users should understand the basis (and any associated limitations) upon which the model speeds are calculated. Speed data may also be obtained from “floating-car” studies or from theoretical extrapolations based on speed limit/flow.
- 7.284 Consideration of hourly speeds on each link throughout the day may also be necessary. This should be assessed locally if possible.
- 7.285 For junctions, common sense, driving experience and local knowledge are helpful to estimate speeds. For example, for a section of road leading up to traffic lights, the aim should be to estimate average speeds over a 50m section of road:
- Traffic pulling away from the lights, e.g. 40-50kph;
  - Traffic approaching the lights when green, e.g. 20-50kph; and
  - Traffic on the carriageway approaching the lights when red, e.g. 5-20kph, depending on the time of day and how congested the junction is.

It is considered that the combined effect of these three conditions is likely in most instances to be a two-way average speed for all vehicles of 20 to 40kph. Speeds in

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<sup>107</sup> <https://roadtraffic.dft.gov.uk/>

<sup>108</sup> <https://naei.beis.gov.uk/data/ef-transport>

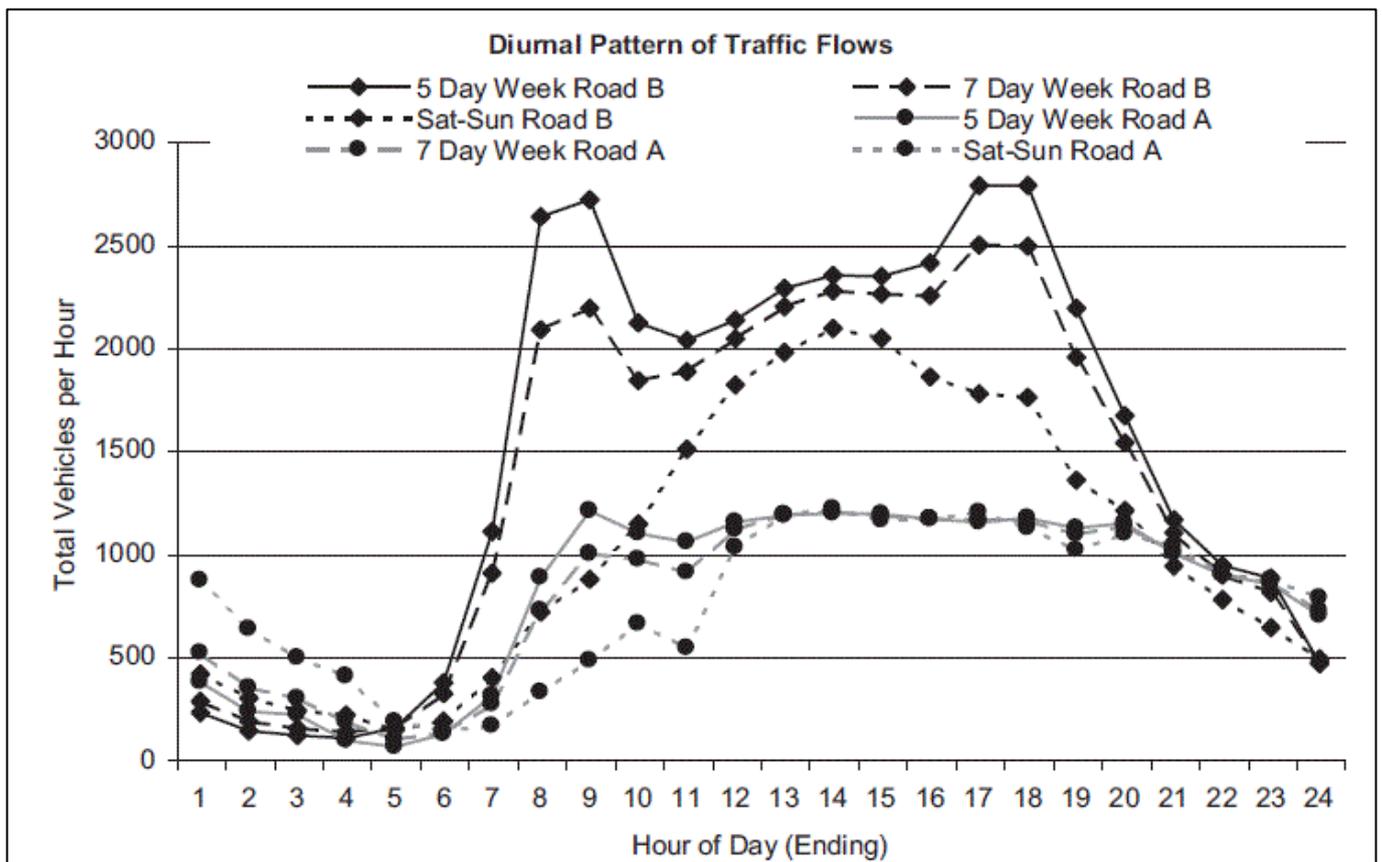
similar ranges would also apply at roundabouts, although on sections of large roundabouts, speeds may well average between 40-50kph. EFs for the determined speeds should then be calculated.

**Temporal Variations**

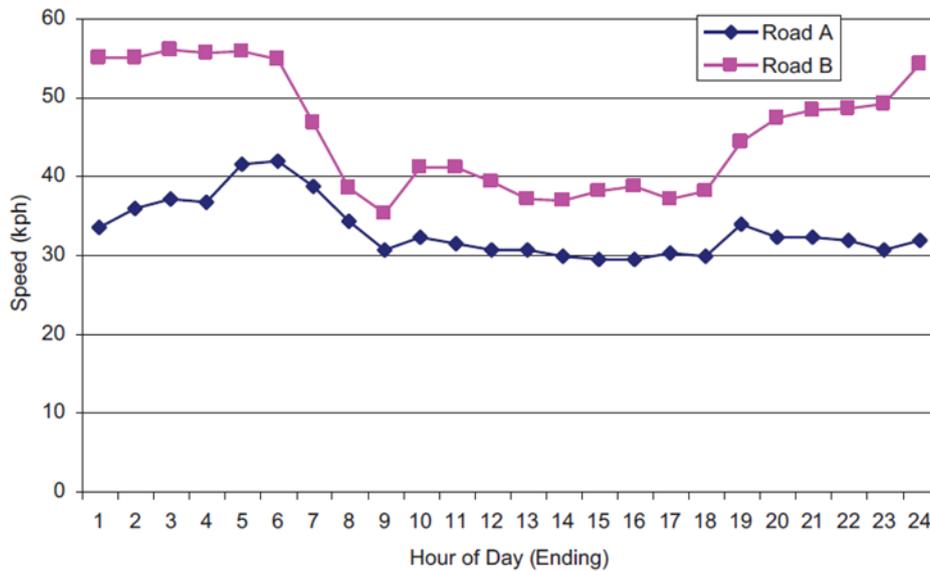
7.286 It is often important to consider temporal variations with regards to both traffic flows and speed data. This should include details of local diurnal and weekly variation for peak hour exceedance calculations, and for some authorities, consideration to seasonal patterns, particularly in tourist areas, will be required.

7.287 An example of diurnal traffic flow profiles is provided in Figure 7.4, and diurnal speed profiles provided in Figure 7.5.

**Figure 7.4 – Example of Diurnal Traffic Flow Profiles**



**Figure 7.5 – Example of Diurnal Speed Profiles**



7.288 Where such variations are considered to be of relevance to the detailed consideration of road traffic emissions, suitable data that allows comparable profiles for traffic flows and speeds to be calculated should be obtained. Many dispersion models allow diurnal and other time varying factors to be included as a model input.

**Congestion**

7.289 Average vehicle speeds during traffic congestion will fall, and there is no simple factor that can be applied to the average speed to calculate a speed applicable to congested periods. The preferred approach is to calculate the emission rate for the affected sections of each road for each hour of the day or week on the basis of the road speeds and traffic flows for each hour. The calculated emissions profile could then be used in the dispersion model.

7.290 In some circumstances it may be necessary to calculate a weighted average emissions factor (EF) due to particular model constraints. The LAQM Support Helpdesk can provide further support if such circumstances arise.

7.291 Where local information with regards to congestion and associated speeds is not available, assumptions can be made as follows:

- For a busy junction, assume that traffic approaching the junction slows to an average of 20kph. These should allow for a junction, which suffers from a lot of congestion and stopping traffic. In general, these speeds are relevant for approach distances of approximately 25m;
- For other junctions (non-motorway) and roundabouts where some slowing of traffic occurs, you should assume that the speed is 10kph slower than the average free flowing speed; and
- For motorway or trunk slip roads you should assume average speeds of 40–45kph close to the junction.

## **Idling Vehicles**

- 7.292 It may be necessary to calculate the exhaust emissions from stationary traffic, for instance at bus stops or taxi ranks. In such circumstances, the EF may be assumed to be equal to that corresponding to the vehicle travelling at 5kph (the lowest possible speed in the EFT).

## **Gradients**

- 7.293 Road gradient can have a significant effect on vehicle emissions. Even hills with slight gradients can increase the power demanded from the vehicle engine, particularly for HDVs. As the power-demand increases, emissions increase. For vehicles going down the hill, for a high proportion of HDVs the opposite occurs, and emissions decrease. There are vehicle classes whereby emissions are greater when going downhill compared to going uphill. This is due to an increased load on the drivetrain and differing efficiencies of abatement systems (e.g. SCR) at certain positive gradients.
- 7.294 Therefore, calculated HDV emissions may need to be adjusted as per the methodology that has now been embedded within the EFT. COPERT emission factors have been incorporated within the EFT for HDVs across the seven available gradient categories (i.e. -6%, -4%, -2%, 0%, 2%, 4% and 6%). Gradients between the set values provided by COPERT are calculated by interpolation, whilst those applied outside of this range are held constant relative to either the -6% or 6% value.
- 7.295 The equations for amended speed-related EF for vehicles travelling uphill and downhill, as presented within previous iterations of the Technical Guidance, are now considered to be superseded by those now included within the EFT, and therefore the latest version of the EFT should be utilised when quantifying emissions for HDVs on roads with variable gradients.
- 7.296 For passenger cars and LDVs, the standard speed-related emission factors as embedded within the latest version of the EFT should be used, taking into account that the average speed on the hill section may differ from that on the flatter sections either side of the hill, i.e. presently there is no requirement to consider bespoke gradient-adjusted emissions factors for LDVs.

## **Cold Starts**

- 7.297 It may be necessary to consider cold start emissions. Emission factors for cold starts are provided in the Data section of the NAEI website<sup>108</sup>. For example, in the case of cold start emissions from large car parks, the number of trip ends (i.e. half the number of overall vehicle movements to/from the car park) can be used in combination with the NAEI EFs to obtain an estimate of the associated cold start emissions from the car park.

## **Hot Soaks**

- 7.298 'Hot soaks' represent the evaporation of petrol fuel vapour from the fuel delivery system when a hot engine is turned off and the vehicle is stationary, which can

lead to significant increases in benzene emissions. It arises from the transfer of heat from the engine and hot exhaust to the fuel system where fuel is no longer flowing. Emissions from hot soaks can be estimated in a similar manner to those from cold starts, i.e. on the basis of the number of trip ends and the EFs for hot soaks obtained from the Data section of the NAEI website<sup>103</sup>.

### ***Particulate Matter Resuspension***

- 7.299 Emissions of particulate matter from brake and tyre wear and road abrasion are now included in the EFT emissions calculations. However, it may be necessary in certain circumstances to calculate the additional emissions associated with resuspended material from the road surface, e.g. in proximity to construction sites where roads are experiencing track-out.
- 7.300 There are no direct measurements available that quantify resuspension emissions in terms of grams per kilometre. The significance of resuspension is governed by many factors (for example, vehicle type, road surface condition and meteorological conditions), resuspended material is highly variable in terms of its source emission rate. In the event that such emissions are required to be considered in detail, please contact the LAQM Support Helpdesk for further advice.

### ***Minor Roads***

- 7.301 Roads not being assessed in detail will include minor roads and rural or more distant major roads. These may still collectively contribute to exceedances of the Air Quality Objectives.
- 7.302 Although local data describing traffic flows on minor roads is often sparse, in the absence of such data, emissions can be accounted for using the estimates provided by the NAEI<sup>103</sup>. These datasets distribute the UK total minor road emissions, based on average flow by road type and OS minor road density maps.

### ***Point Sources***

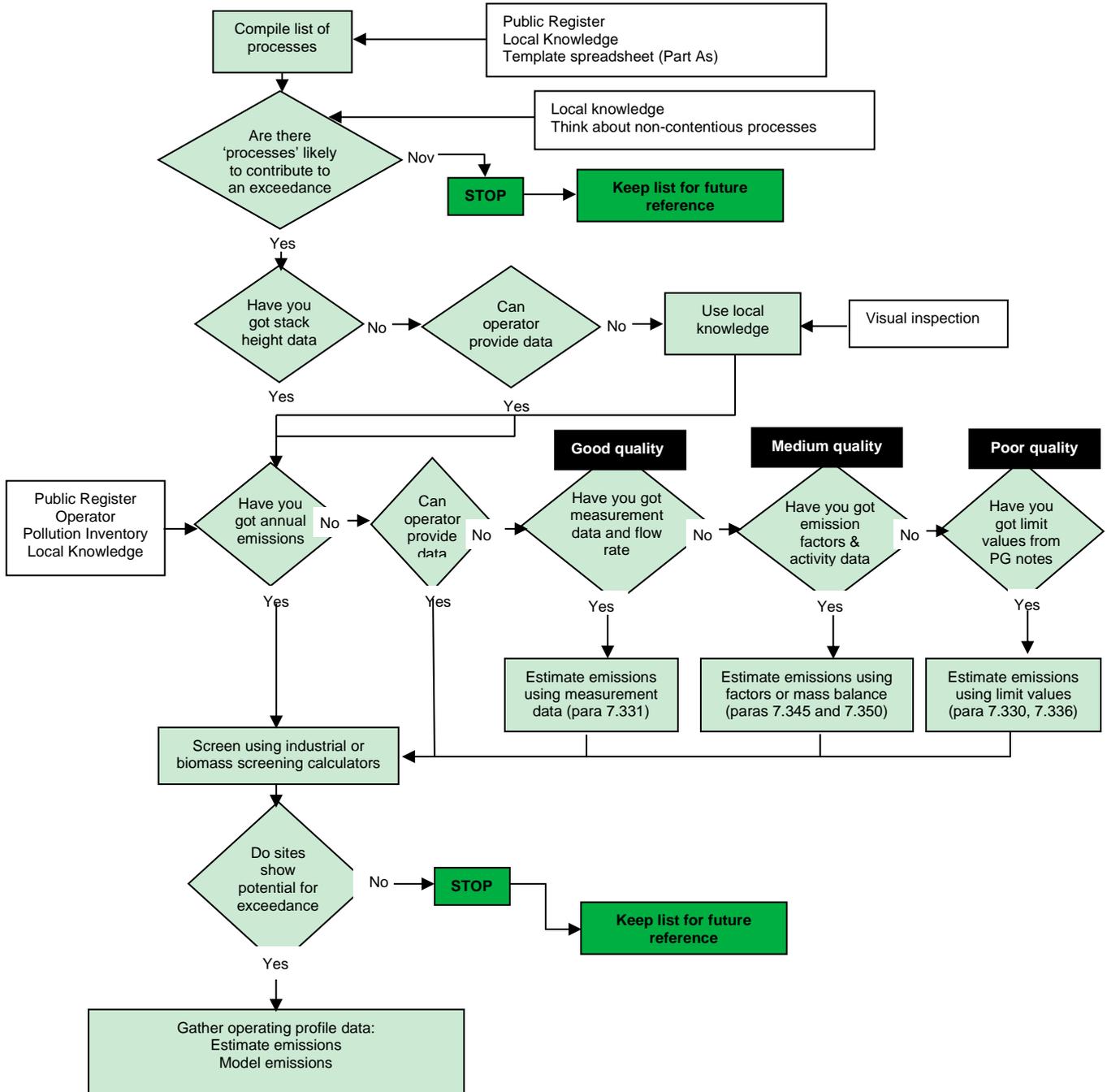
#### ***Introduction***

- 7.303 A detailed study of point source emissions will involve some form of screening or modelling, requiring high quality emissions estimates and other data as inputs. An industrial source could still meet the requirement for assessment under the LAQM regime even if it is in compliance with its emissions permit as in some cases permits were developed before the national air quality objectives were adopted and are not reflected in the emission conditions.
- 7.304 The Environment Agency in England, Natural Resources Wales (NRW), Scottish Environment Protection Agency (SEPA) and Northern Ireland Environment Agency (NIEA) regulate processes that could pollute the air. Any new process or variation to existing process require submissions of supporting air quality information so that an Environmental Permit can be issued. These operations are then required to comply with the conditions of this permit, which can include

limits to emissions. These are then split into different categories dependant on the size of the installation, these are defined as 'Part A' or 'Part B' facilities<sup>109</sup>.

7.305 Figure 7.6 illustrates the data required for screening assessment and detailed studies for point sources.

**Figure 7.6 – Collecting Emissions Data: Point Sources**



<sup>109</sup> <https://www.gov.uk/government/publications/rgn-2-understanding-the-meaning-of-regulated-facility>

- 7.306 Significant emissions may arise from a number of different installations. This may include:
- ‘Part A1’ Integrated Pollution Prevention and Control (IPPC) installations controlled by the Environment Agency (EA) in England, Natural Resources Wales (NRW) in Wales, the Scottish Environment Protection Agency (SEPA) in Scotland and (for Part A installations) the Northern Ireland Environment Agency (NIEA) in Northern Ireland;
  - ‘Part A2’ IPPC installations controlled by the local authority in England and Wales, and SEPA in Scotland;
  - ‘Part B’<sup>110</sup> installations Local Air Pollution Prevention and Control (LAPPC) installations controlled by the local authority in England and Wales, SEPA in Scotland and (for Part C installations) NIEA in Northern Ireland);
  - Smaller unregulated processes, such as sites where multiple smaller boilers may be present, including:
    - Large schools and colleges;
    - Hospitals;
    - Office headquarters; and
    - District heating schemes.
- 7.307 Permitted processes are relevant to the LAQM regime where pollutant concentrations have been identified to exceed or are close to exceeding air quality objectives as a result of emissions from a regulated process.
- 7.308 As well as defined stack emissions (i.e. point sources), industrial installations may also give rise to fugitive emissions. This is particularly relevant to emissions of benzene, 1,3-butadiene, particulate matter and lead. Fugitive emissions generally arise at ground level, for example from chemical storage and handling plant, quarries and some metal refining activities. Emissions from fugitive sources are difficult to quantify using simple methods, and may require consideration as area and/or volume sources within a model. Both may require consideration from a site as part of a detailed emissions study.
- 7.309 Emission tests or continuous emission monitoring data, when available, are usually the preferred option for estimating air pollutant emissions from an installation. Generally, installation specific tests and/or continuous emissions monitoring programmes allow determination of the pollutant contribution from an existing source more accurately than the use of EFs. Even then, the results will be applicable only to the conditions existing at the time of the testing or monitoring. To provide the best estimate of longer term (i.e. yearly or typical day) emissions, these conditions should be representative of the installation’s routine operations. The various sources of emissions data are discussed further below.

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<sup>110</sup> Part B activities are referred to as Part C in Northern Ireland

## Sources of Emissions Data

- 7.310 There are a number of data sources available to assist with the estimation of point source emissions from both regulated and unregulated installations.
- 7.311 A large quantity of data for regulated Part A and B installations will be contained in the public register. Local authorities should contact the appropriate regulator for the data before contacting operators directly. In England and Wales, the Part A installations public register is available from the EA<sup>111</sup>, whilst local authority registers will contain information about Part B (LAPPC) and/or Part A2 installations. In Scotland, the SEPA register holds information about IPPC Part A and Part B installations<sup>112</sup>. In Northern Ireland the public register holds information about IPPC Part A1/A2 and Part B installations and is maintained by the Industrial Pollution and Radiochemical Inspectorate (IPRI) of the NIEA<sup>113</sup>; local authorities hold Part A and B information for installations in their areas. The exact details of any data held in the register depend on those included within the site-specific permit and any subsequent variations. Public registers will not contain information that is considered to be commercially confidential.
- 7.312 To assist authorities further, the EA, NRW, SEPA, and NIEA, have committed to provide local authorities with information on any changes that may affect emissions from existing installations, and any new installations that have been, or will be, permitted. The information will be provided from the local office on request.
- 7.313 A list of major point sources in the industrial and commercial sector for the UK as a whole can be found on the NAEI website<sup>114</sup>.
- 7.314 The European Commission also collate and publish data on emissions from all installations covered by the IPPC Directive. The dataset is available with an associated search facility and interactive map via the European Pollutant Release and Transfer Register (E-PRTR)<sup>115</sup>.
- 7.315 Site specific data may also be sourced direct from the site operator. Depending upon the nature of the process, this may include up to date emissions monitoring, which may be required as a condition of their environmental permit. More recent monitoring data is preferable to commissioning data collected when a plant first starts to operate.
- 7.316 Emissions data from unregulated installations is often more difficult to acquire. For example, to obtain data for smaller boilers, direct application to the boiler operators will usually be necessary. Data may also be sourced direct from manufacturer technical data sheets, should details pertaining to make and model

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<sup>111</sup> <https://environment.data.gov.uk/public-register/view/index>

<sup>112</sup> <https://www.sepa.org.uk/environment/environmental-data/spri/>

<sup>113</sup> <https://www.daera-ni.gov.uk/topics/waste/public-registers>

<sup>114</sup> <http://naei.beis.gov.uk/data/map-large-source>

<sup>115</sup> <https://prtr.ec.europa.eu/>

of plant be available.

## Public register for Part A industrial installations

7.317 For each Part A permitted installation, the information referenced in Table 7-9 should be available from the public register.

**Table 7-9 – Permitted Part A Installations**

Public Register Entity	Information Included
Initial application for permit and details of subsequent variation to conditions of permit	<ul style="list-style-type: none"> <li>• installation description</li> <li>• details of installation equipment – including any arrestment plant</li> <li>• activity data – throughput/production rates</li> <li>• release points</li> <li>• stack parameters</li> <li>• potential releases to atmosphere</li> <li>• commissioning data (including monitoring / modelling data)</li> <li>• modelling studies</li> <li>• operating hours</li> <li>• site plans – possibly detailing building dimensions</li> </ul>
Permit conditions and details of subsequent variations to operating conditions	<ul style="list-style-type: none"> <li>• emission limits (annual/instantaneous)</li> <li>• reporting requirements</li> <li>• definition of release points</li> </ul>
Compliance monitoring data	<ul style="list-style-type: none"> <li>• emission limits (annual/instantaneous)</li> <li>• reporting requirements</li> <li>• definition of release points</li> </ul>
Annual emissions data	emissions estimates
Revocation, variation and enforcement notices	emission exceedances and operating problems
Modelling studies*	<ul style="list-style-type: none"> <li>• emissions estimates</li> <li>• stack parameters (for example, diameter, velocity, flow rate and temperature)</li> </ul>
Emission reduction plans	<ul style="list-style-type: none"> <li>• emission reductions</li> </ul>

7.318 The availability of data on the Part A public register tends to vary for different installation types. Combustion processes are subject to routine compliance checks on emissions and relevant information is often readily available, including configuration and location. Organic installations, where a facility has added separate additional combustion plants over a period of time, are often less well documented and information may be available about a large multitude of stacks and vents with no easily discernible differentiation.

## Public register for Part A2 and Part B industrial installations

7.319 For each Part A2 and Part B permitted installation, the information referenced in Table 7-10 should be available from the public register.

**Table 7-10 – Permitted Part A2 and Part B Installations**

Public Register Entity	Information Included
Initial application for permit and details of subsequent variation to conditions of permit	<ul style="list-style-type: none"> <li>• brief installation description</li> <li>• details of installation equipment – including any arrestment plant</li> <li>• activity data – throughput/production rates</li> <li>• release points</li> <li>• stack parameters</li> <li>• potential releases to atmosphere</li> <li>• commissioning data (including monitoring/modelling data)</li> <li>• modelling studies</li> <li>• Operating hours</li> <li>• Site plans – possibly detailing building heights</li> </ul>
Permit conditions	<ul style="list-style-type: none"> <li>• emission limits (annual/instantaneous)</li> <li>• reporting requirements</li> <li>• definition of release points</li> </ul>
Details of subsequent variations to operating conditions	<ul style="list-style-type: none"> <li>• operating profiles</li> </ul>
Modelling studies	<ul style="list-style-type: none"> <li>• unusual for Part B installations</li> </ul>
Emission reduction/upgrading plans	<ul style="list-style-type: none"> <li>• emission reductions</li> </ul>

7.320 The Part A2 and Part B public register is continually updated and contains information on each permitted installation, usually in the form of an individual dataset for each installation.

7.321 In general, these public registers are less comprehensive than their Part A1 counterparts. In particular, information relating to release points and stack parameters is likely to be sparse, partly due to the fact that they are less polluting and therefore require less compliance monitoring than Part A1 installations. A brief summary of the level of information that can be obtained from the Part B public register for the main installation types is given below:

- Combustion installation operators may provide emission monitoring data for SO<sub>2</sub>, NO<sub>x</sub>, CO, particulate matter and organic compounds, although a complete set of data would be unusual, but many operators will rarely report emissions of fuel use data. When monitored data are not available emissions can be calculated, using the annual fuel use or boiler size with relevant EFs.
- Ferrous and non-ferrous metal installation operators may provide some

monitored emissions data for SO<sub>2</sub>, NO<sub>x</sub>, CO, particulate matter, organic compounds and lead/metals. Data are often incomplete and recourse will usually need to be made to EFs, based on a description of the installation characteristics.

- The cement and mineral industries are a potential source of particulate matter but there is usually very little data relating to emissions. For some of these installations, use can be made of the emission factors published via the NAEI, provided that material throughput/production rates are known.
- Incinerator operators may provide emission monitoring data for SO<sub>2</sub>, CO, particulate matter, metals and organic compounds. When monitored data are not available emissions can be calculated for clinical waste incinerators from EFs.
- Coating and timber installation operators do not often provide monitored emissions data. Where particulate matter or hydrocarbon emissions from these installations are of interest, these may be estimated on the basis of materials throughput. Where incinerators or other hydrocarbon arrestment equipment is employed NO<sub>x</sub> and CO emissions may be reported.
- The animal and vegetable processing industries vary greatly in the data supplied. Animal feed processors may have particulate matter emissions data only, whereas the tobacco industry often has a reasonable set of monitored emissions data. A limited number of EFs are available for some of these installations. Details of throughput/output will be needed to calculate emissions.

7.322 Activity data such as throughput of raw materials/production rates and operating hours given in the original application for permit may have changed significantly since the initial application. Although information concerning substantial changes and variations to the original permit should be kept on the public register, relatively minor changes may not be documented. This is particularly the case for Part B installations. It is therefore recommended that, for sites that are significant, data taken from the public register be checked with the operator.

### ***Getting Data from the Regulator***

7.323 The specific requirements for reporting releases from Part A installations are set out in the conditions of each individual permit. However, in England, Wales and Northern Ireland all Part A permits include a condition that requires installation operators to report annual releases of the regulated substances (including those identified in national/international legislation as well as those associated with health and/or environmental effects) where appropriate, into the Pollution Inventory (PI)<sup>116</sup>. The PI includes reporting on annual emissions of certain substances to air, controlled waters and land, and off-site transfers in wastewater and waste. The equivalent for SEPA regulated industrial sites in Scotland is the

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<sup>116</sup> <https://data.gov.uk/dataset/cfd94301-a2f2-48a2-9915-e477ca6d8b7e/pollution-inventory>

Scottish Pollutant Release Inventory (SPRI)<sup>117</sup>.

- 7.324 Emissions data from Part A installation are submitted to the PI in a standard format against a common list of substances. Each substance listed in the PI has a 'threshold reporting value'. Operators are only required to report installation emissions where they exceed the threshold reporting values. Annual releases given on the PI for Part A installations are given for the entire plant. As a result the annual release figures could relate to many distinct stacks and could include fugitive emissions. The PI does not allow dissemination of these data, nor does it provide details of the release points that contribute to the total release of a substance. Releases are only reported on the PI if they exceed the EA's reporting threshold values. Some Part A installations may emit quantities of a substance that could be significant with regard to local air quality but fall below these thresholds. Such installations should not necessarily be discounted from Review and Assessment solely on the basis of their releases being below the reporting thresholds. This is especially the case for locations where there are several sources of a pollutant in close proximity.
- 7.325 Where required, particulate monitoring for Part A and Part B installations is nearly always undertaken for total particulate. For certain installations, PM<sub>10</sub> emissions can be estimated from total PM emissions using EFs for which particle size distribution studies have been undertaken; otherwise total particulate may be taken as a proxy for PM<sub>10</sub>.
- 7.326 The situation is similar for lead emissions. Monitoring of lead emissions is usually undertaken for total metals. Releases of lead from industrial sources are frequently reported as total metals for a defined group of metals/metal compounds.

### ***Getting Data from the Operator***

- 7.327 It is recommended that the operator be consulted when estimating emissions and operating profiles. The extent of consultation will depend on both the detail and currency of the available data from the public register. However, the public register, PI, regulatory bodies and the E-PRTR should be consulted first. In cases where the sources are likely to be significant, the operator should be asked to confirm the validity of the information used. They should also be asked to provide additional information where necessary which is not available from the centralised sources.
- 7.328 Responses from operators are likely to take time and require pursuing. It is however worthwhile and should be started as early as possible.

### ***Getting Data from Guidance Notes***

- 7.329 In the event that emission monitoring has not been done or data are not available, the following guidance notes contain useful information, such as process/sector specific Emission Limit Values (ELVs) - often quoted in the

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<sup>117</sup> <https://www.sepa.org.uk/environment/environmental-data/spri/>

environmental permit - from which emissions estimates can be estimated:

- Process Guidance Notes (For Part B installations);
- Sector Guidance Notes (For Part A2 installations).
- These also provide a useful reference with regards to detailed methodologies for calculating emissions estimates from the specific source type(s) covered by the Guidance Note.

### **Using Monitoring or Emission Limit Data**

7.330 Estimating annual emissions from stack/flue concentration data is achieved in two steps:

- **Step one** calculates the mass emitted per second based on the measurement or limit values; and
- **Step two** calculates the annual emission based on the operating profile of the plant.

#### **Step One: Calculating Emissions (in g/s) from Concentration Values**

7.331 **Using Monitoring Data:** There are two types of monitoring, continuous or periodic. Continuous monitoring will measure the concentration continuously and an average of this measurement is adequate for estimating an annual emission. Periodic monitoring exercises relate to a fixed instant in time. The release rate, exit velocity and exit temperature of efflux gases will relate specifically to the conditions under which the monitoring exercise was undertaken. For installations that continually operate under the same conditions, variations from one monitoring exercise to another should be minimal. For batch installations that frequently change their operating conditions and start-up/shut down/emergency procedures, a one-off annual monitoring exercise will not necessarily represent process emissions accurately.

7.332 The permit conditions define the reporting conditions for monitoring data. Generally only those specified in the conditions of permit will be reported. In the absence of specific data, the flow from similar ducts and stacks that have not been measured should also be considered assuming the same emission concentration as those measured.

7.333 Where monitoring data are used to derive long term average concentrations, typical or average emission rates should be adequate. For pollutants with short term averaging periods a number of worst case scenarios should also be considered.

7.334 Monitoring data for point sources are usually recorded as concentrations on a mass or volumetric basis (either mg/m<sup>3</sup> or ppm). Generally, releases are reported in units of milligrams per 'normal' (N) cubic metre, i.e. mg/Nm<sup>3</sup>. A normal cubic metre of gas is a cubic metre of dry gas at 273 K, 101.3 kPa. Where monitoring results are given in units of ppm (parts per million) it may be necessary to convert to units of mg/m<sup>3</sup> or mg/Nm<sup>3</sup>.

7.335 Monitoring data from point sources are usually corrected to standard reference conditions to take account of the effects of temperature, moisture content, oxygen content and pressure. The standard reference conditions are different for different installations and processes. For example, pollutant concentrations in the discharge from a crematorium may be expressed at reference conditions of 273 K, 101.3 kPa and 11 % oxygen dry gas. Volumetric flow rates in the discharge are also usually corrected to the same reference conditions. If the volumetric flow rate and the pollutant concentration are both expressed at the same reference conditions then it is straightforward to calculate the rate of emission. However, significant errors may arise if the flow rate and concentration are expressed at different conditions. If in doubt, the LAQM Support Helpdesk can be contacted for further advice.

7.336 **Using Emission Limits Values (ELVs):** Care should be taken when estimating emissions in this manner, as data relating to ELVs represents release limits that will have obvious limitations relative to accurate quantification of actual emissions released and where variable temporal profiles of emissions is required. Many installations operate well within their specified emission limits, and thus the use of release limits may lead to over estimation of emissions. Where limits apply over different time periods, care should be taken to distinguish between the maximum permissible release over a short interval and the maximum permitted over a longer period.

7.337 Consideration to the number of processes/units operating at a particular installation is required relative to the specification of the ELVs, e.g. ELVs may be quoted per incinerator whilst more than one may be operated. Knowledge of any emissions control/abatement technology that is installed is also required, as this will likely affect the ELV quoted for a particular process and associated emissions.

7.338 **Calculation:** To obtain the emission rate in units of grams per second, the following information will be required:

- Release concentration (mg/Nm<sup>3</sup> or mg/m<sup>3</sup> at standard reference conditions) from monitoring data or emission limit; and
- Volumetric flow rate (Nm<sup>3</sup>/s or m<sup>3</sup>/s at the same reference conditions).

7.339 When the volumetric flow rate is not reported, an estimate can be calculated from the stack diameter and the stack gas velocity:

$$\text{Volumetric flow rate (m}^3\text{/s)} = \text{cross sectional area of stack (m}^2\text{)} \times \text{stack velocity (m/s)}$$

7.340 When performing such calculations, it is important to be aware that this will typically provide a volumetric flow rate based upon actual conditions. It may therefore be necessary to adjust this to 'normal' conditions (Nm<sup>3</sup>/s) before proceeding to calculate the emissions rate.

7.341 The emission rate can then be obtained from the following calculation:

$$\text{Emission rate (g/s)} = \text{release concentration (mg/Nm}^3\text{)} \times \text{volumetric flow (Nm}^3\text{/s)} \times 0.001$$

## **Step Two: Calculating the Annual Emission**

7.342 Once the emission rate in g/s has been calculated, annual emissions can then be calculated on the basis of the emission rate and the operating profile for the process. This profile will be based on the operation of the installation over the course of the hours of the day, days of the week and months of the year. For more information on estimating operating profiles and using the default datasets see para 7.354.

7.343 For example, a crematorium with a volumetric flow rate of 2.1Nm<sup>3</sup>/s emits CO emissions at 173mg/Nm<sup>3</sup>. It operates for 2,000 hours per year. The annual CO emissions can be calculated as:

$$\text{Annual CO emission (kg/yr)} = 173 \text{ (mg/Nm}^3\text{)} \times 2.1 \text{ (Nm}^3\text{/s)} \times 3,600 \text{ (s/hr)} \times 2,000 \text{ (hr/yr)} \\ \times 0.000001 \text{ (kg/mg)} = \mathbf{2,616\text{kg/yr}}$$

7.344 For the above example, the CO emission rate can be calculated as:

$$\text{CO emission rate (g/s)} = 173 \text{ (mg/Nm}^3\text{)} \times 2.1 \text{ (Nm}^3\text{/s)} \times 0.001 = \mathbf{0.36 \text{ g/s.}}$$

## **Using Emissions Factors**

7.345 Emission factors (EFs) can be used to calculate annual emissions from activity data, e.g. fuel consumption, production, throughput or consumption statistics.

7.346 Appendix A provides worked examples of the use of EFs for calculating emissions for an industrial installation.

7.347 The use of EFs often requires a detailed knowledge of an installation and it is important to consider the 'appropriateness' or 'relevance' of an EF before applying it. Some EFs are more robust than others, depending on how they were derived and how much test data was available, and this should be taken into account when considering the accuracy of emissions estimated from EFs. Despite their limitations, EFs are frequently used for estimating emissions in circumstances where data from source-specific emission tests or continuous emission monitor are not available, or variability of actual emissions over a prolonged period of time is not suitably defined by the available source-specific emission tests or continuous emission monitoring.

7.348 EFs can be based on one or several sets of measurement from similar installations and can be very generalised (such as an average for coal combustion in boilers) or highly specific (such as coal combustion in a tangential grate boiler). As such, some installation types are better represented by EFs than others:

- Combustion installations (Part A and Part B) have been well studied and a wealth of EFs are available for a large range of pollutants;
- The metal industries have generated a reasonable number of EFs. Some of these are more applicable to the larger Part A installations than Part B installations. EFs for this industry sector tend to be dominated by

particulate matter releases. Some EFs exist for fugitive releases from these installations. A relatively detailed knowledge of the installation itself and the installation equipment (i.e. furnace type, abatement technology) is required to use these EFs effectively;

- Mineral installations are reasonably represented by EFs. For some installations, such as cement batching, factors are available for fugitive particulate emissions. However, particulate size distribution data are limited, hence accurate estimations of PM<sub>10</sub> are more difficult;
- There are relatively few EFs for the chemical industries as these installations tend to be unique. Engineering judgement or mass balance techniques coupled with local knowledge are recommended for estimating emissions from the chemical industries sector;
- The waste disposal industries are well documented. EFs are available for a large range of substances; and
- For 'other industries', EFs are relatively sparse or rely on activity data that may be difficult to obtain.

7.349 EFs generally relate the release of a substance to an activity associated with that process. The actual activity data required to carry out emissions estimation varies depending on the installation in question. For most installations, raw material usage (throughput) data or production rate data are necessary. For example, EFs for combustion installations require fuel use activity data, whilst EFs for steel manufacturing processes require steel production activity rates. The most up to date and reliable activity data is typically best sourced direct from the operator.

### ***Material Balance (Mass Balance) and Engineering Judgment***

7.350 A mass balance approach may provide reliable average emissions for specific sources. For example, a material balance may provide a better estimate than emission tests alone in situations where a higher percentage of material is lost to atmosphere via fugitive means, e.g. storage tanks. In contrast, material balance may be inappropriate where a material is consumed or chemically combined in the process, or where losses to the atmosphere are a small portion of the total process throughput.

7.351 If no other reasonable option exists, releases can be estimated using best engineering judgment. This can be based on release data from other similar installations (where releases are already known) combined with knowledge of the physical and chemical properties of the materials involved. For example, for certain installations, vapour pressure and/or equipment design information can be used to make appropriate assumptions in order to estimate the amount of a substance released.

### ***Estimating Future Emissions***

7.352 There will be very little information on future emissions. Where possible, get the regulatory body to provide details of likely future emissions from plant which they regulate, or alternatively the operator should be able to provide details of likely

future emissions. If this data is not available then forecast profiles for specific industrial sectors can be obtained from the Department for Business, Energy and Industrial Strategy<sup>118</sup>.

### ***Estimating Fugitive Emissions***

- 7.353 Fugitive emissions may also give rise to significant emissions for some large installations or storage facilities. This is particularly relevant to emissions of benzene, 1,3-butadiene, particles and lead. Emissions can be calculated from mass balances or loss inventories for products or feedstock compiled by the operators. Where the fugitive emissions are from an installation and the release is not product or feedstock loss then it can only be estimated using EFs and activity data. EFs for some fugitive sources can be found on the NAEI website<sup>103</sup>.

### ***Operating Profiles***

- 7.354 For detailed studies of processes that do not operate at a constant level all day/week/year, it is important to understand the operating profile of the process. In these cases the annual emission may be concentrated into only a short period of the year and will be far more likely to contribute to exceedances of the short-term Air Quality Objectives.
- 7.355 Such information can then be used to factor any emissions calculations as appropriate, or as a time varying emissions profile input into a dispersion model as part of a detailed study.
- 7.356 It is highly recommended that these data be compiled in consultation with the operator especially for complex batch installations. If no data are available, or the processes follow general patterns, then default profiles can be used.

### ***Other Stationary Sources***

- 7.357 In evaluating the possible contribution from these sources (e.g. biomass burning and low level domestic / commercial combustion), it is particularly important that local authorities are clear about the definition of this group of emissions, so that the potential for double-counting is avoided. The definition of the scope of these emissions that is usually applied is “emissions arising from the combustion of the remaining fuel in an area-wide consumption statistic once fuel giving rise to emissions already identified as point- or line- based sources (particularly Part A/B installations and boilers treated explicitly as point sources) have been subtracted”.
- 7.358 Emission estimations for this source suffer particularly from difficulties associated with obtaining good activity data, and the relatively poor quality of the available EFs. A general method for estimating area-based emissions sources is given in Example 2 in Appendix A. Users should note that spatial re-apportionment across several different geographical bases may be required. The following sections confine themselves to a discussion of some of the more important

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<sup>118</sup> <https://www.gov.uk/government/collections/energy-and-emissions-projections>

issues relating to activity data and EFs.

### **Biomass Burning**

- 7.359 The local authority may obtain details of the maximum thermal capacity of the appliance instead of the maximum rates of emission. Local authorities may then estimate rates of emission based on the Clean Air Act exemption limits or on the basis of typical EFs for solid fuel appliances provided in the EMEP/CORINAIR Emission Inventory Guidebook – 2019<sup>119</sup>. The LAQM Support website provides a summary table with the latest emission factors for small combustion sources<sup>64</sup>. In smoke-controlled areas, biomass burners require exemption under the Clean Air Act. Exempted appliances are required to emit less than 5g/h PM plus 0.1g/h per 0.3kW of heat output.
- 7.360 Appendix A provides a worked example of calculation to determine the emission rates from a small biomass plant using EFs for calculating emissions for an industrial installation.

### **Low Level Domestic and Commercial Combustion**

- 7.361 For SO<sub>2</sub> and PM<sub>10</sub>, in areas that are particularly associated with the domestic combustion of high solid or high sulphur liquid fuel, it is important to fully consider cumulative emissions from these sources. For other pollutants it is unlikely that emissions from low-level domestic and commercial combustion will contribute a significant quantity of emissions and will not warrant detailed consideration.
- 7.362 Appendix A provides worked examples of preparing an emissions inventory from coal combustion over a residential area and estimating emissions from small boiler combustion over a mixed-use area.
- 7.363 In cases where local knowledge can show that there is no significant domestic or non-point source commercial combustion of coal or oil then NAEI background emissions grids<sup>103</sup> for domestic and commercial emissions can be used and no further investigation is needed.
- 7.364 Many domestic fuel use surveys have been undertaken in Northern Ireland, so it is worth checking to see what information is already available in these areas before conducting further assessments.
- 7.365 Where it is likely that there will be significant emissions from domestic or commercial sources then detailed consideration of the spatial emissions should be undertaken, which considers at least a 500m x 500m emission map of domestic and commercial solid/liquid burning for the appropriate year.
- 7.366 Using local knowledge and maps, the areas where solid or high sulphur liquid is burned (e.g. estates, commercial areas, etc) should be identified. These areas will be used to constrain the distribution of solid and high sulphur fuel burning in the emission maps. If there are significant commercial sites then these should be

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<sup>119</sup> <https://www.eea.europa.eu/publications/emep-eea-guidebook-2019>

treated as point sources and dealt with according to the point source guidance.

- 7.367 In some cases coal/smokeless solid fuel (SSF) or other solid fuel sales data may be available from coal merchants, possibly on the basis of postcode or other sales areas. It is important to attribute these sales to the point of use, which is potentially different from point of sales. Population or household numbers are a useful surrogate for distributing this sales data within the areas defined as 'solid/liquid fuel burning areas'.
- 7.368 Local surveys undertaken under the Home Energy Conservation Act (HECA) can provide detailed local level survey data on domestic fuel consumption by fuel type. This data, if available, can be obtained from the local authority Energy Conservation officer. This data can give quantitative as well as spatial activity data for solid, liquid and gaseous fuel consumption.
- 7.369 If no local data is available, estimates of emissions from domestic fuel burning on a 1km × 1km grid square basis can be obtained from the mapping section of the NAEI website<sup>103</sup>.
- 7.370 EFs for the combustion of the majority of solid fuels (e.g. coal, peat) and liquid fuels (e.g. gas oil) commonly used are provided in the EF section of the NAEI website<sup>103</sup>.
- 7.371 It is not expected that emissions from the combustion of gaseous fuels will need to be evaluated in detail, although emissions estimates for commercial and domestic gas consumption are available via the NAEI website should they be required.

### **Mitigation Options for Stationary Sources**

- 7.372 Should significant emissions be identified from stationary sources, the following options could be considered to control pollutants.
- Use of Selective Catalytic Reduction (SCR). This technology can effectively reduce emissions but there can be associated significant costs in both installation and operating associated with this technique. This technology can reduce NO<sub>x</sub> rates by 80-95%<sup>120</sup>
  - Use of Selective Non-Catalytic Reduction (SNCR). This technology involves selective reduction of nitrogen oxides with ammonia or urea without a catalyst. The technique is based on the reduction of NO<sub>x</sub> to nitrogen by reaction with ammonia or urea at a high temperature. This results in a general NO<sub>x</sub> reduction rate of 30-50%.<sup>120</sup>
  - Exhaust gas recirculation - Recycling exhaust gas into the air inlet feeds more inert mixture into the engine lowering peak flame temperatures and thereby NO<sub>x</sub> generation. This method of NO<sub>x</sub> reduction is not recommended for lean-burn engines as peak temperatures are already reduced. This can result in NO<sub>x</sub> reductions of 20-60%<sup>120</sup>.

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<sup>120</sup> [https://eippcb.jrc.ec.europa.eu/sites/default/files/2019-11/JRC\\_107769\\_LCPBref\\_2017.pdf](https://eippcb.jrc.ec.europa.eu/sites/default/files/2019-11/JRC_107769_LCPBref_2017.pdf)

- Lean burn technology - Lean-burn technology is the principal technique for the reduction of NO<sub>x</sub> emissions. Lean-burn engines run with a high level of excess air (typically about 50%) to reduce the peak temperature, so that low levels of NO<sub>x</sub> are emitted. The drawbacks of this process are that the proportion of NO<sub>x</sub> formed as NO<sub>2</sub> is increased and emissions of unburned fuel are higher, which necessitates the use of an 'oxidation catalyst' to convert this unburned fuel into CO<sub>2</sub> and water. Lower temperatures do have the advantage of giving longer component life and lower maintenance costs.

- 7.373 While these options may be useful they should not be considered as an exhaustive list of potential mitigation which can be applied for stationary sources. It should be noted that stationary sources are also controlled through the Environmental Permitting Process which specifies additional mitigation requirements.
- 7.374 The Industrial Emissions Directive (IED)<sup>121</sup> and Medium Combustion Plants Directive (MCPD)<sup>122</sup> have both been transposed into the UK's Environmental Permitting Regulations. Large and medium sized industrial facilities are required to use Best Available Techniques (BAT) to reduce emissions. The BAT are set out in BAT Reference Documents (BREF)<sup>123</sup>.
- 7.375 Further guidance is available from the IAQM/EPUK document 'CHP: Air Quality Guidance for Local Authorities'<sup>124</sup>.

## Other Sources

- 7.376 There are a wide variety of other sources that give rise to emissions of pollutants for which objectives have been prescribed. This includes:
- Poultry farms;
  - Airports;
  - Inshore, estuarine shipping and associated port operations;
  - Rail;
  - Non-Road Mobile Machinery;
  - Quarrying and other mineral extraction; and
  - Materials handling processes.
- 7.377 Whilst in the majority of cases these will not require detailed consideration by local authorities, in some instances it may be necessary to estimate these sources in more detail depending on their significance. In such circumstances,

<sup>121</sup> <https://ec.europa.eu/environment/industry/stationary/ied/legislation.htm>

<sup>122</sup> <https://ec.europa.eu/environment/industry/stationary/mcp.htm>

<sup>123</sup> <https://eippcb.jrc.ec.europa.eu/reference>

<sup>124</sup> [http://www.iaqm.co.uk/text/guidance/epuk/chp\\_guidance.pdf](http://www.iaqm.co.uk/text/guidance/epuk/chp_guidance.pdf)

local authorities should contact the LAQM Support Helpdesk for further advice.

## Appendix A: Worked Examples

### Example 1: Use of Emissions Factors for Calculating Emissions for Industrial Installations

7.378 The following case study illustrates the general procedures used to calculate emissions from point-source installations using EFs. Some of the features illustrated in this case study are:

- The scope of ideal activity data requirements from process operators;
- The limitations of commonly available activity data;
- The use of key engineering assumptions in completing the set of activity data required for the application of EFs; and
- The selection and use of EFs.

#### Case Study 1

7.379 This case study illustrates the use of EFs where the operator has provided sufficient information such that no assumptions, regarding the installation itself, need to be made.

7.380 The following information has been obtained from the process operator:

Installation	Part B Stationary Combustion in Manufacturing Industry
No of flues	One
Fuel use	Diesel (Fuel Oil)
Density of diesel fuel at 15°C	835 kg/m <sup>3</sup>
Diesel fuel consumption	150 m <sup>3</sup> /yr
Operating hours	3,000 hours/year

7.381 The basic details supplied by the operator are sufficient for a simple emissions calculation, using the EFs from the NAEI website<sup>103</sup> (Category = Energy, Stationary Combustion in Manufacturing Industries and Construction). The EFs for SO<sub>2</sub>, NO<sub>x</sub>, CO, PM<sub>10</sub> and PM<sub>2.5</sub> from the NAEI (kt per Mt fuel consumed) are provided in Table 7-11 (for fuel category = Fuel Oil, i.e. diesel), along with the corresponding EFs presented in units of kg/m<sup>3</sup>, calculated as follows:

$$EF_{\text{kg/m}^3} = EF_{\text{kt/Mt}} / 1000 \times D$$

Where:

**EF<sub>kg/m<sup>3</sup></sub>** is the pollutant emission factor (kg/m<sup>3</sup>).

**EF<sub>kt/Mt</sub>** is the emission factor obtained from the NAEI (kt/Mt fuel consumed).

**D** is the density of diesel (kg/m<sup>3</sup>).

7.382 Therefore, by way of example with respect to NO<sub>x</sub>, the EF expressed in units of kg/m<sup>3</sup> is equal to:

$$11.14 / 1000 \times 835 = \mathbf{9.30\text{kg/m}^3}$$

**Table 7-11 – Emission Factors for Diesel Combustion in Manufacturing Industry**

Emission Factor	SO <sub>2</sub>	NO <sub>x</sub>	CO	PM <sub>10</sub>	PM <sub>2.5</sub> <sup>a</sup>
EF (kt/Mt fuel consumed)	15.01	11.14	2.25	0.69	0.69
EF (kg/m <sup>3</sup> )	12.53	9.30	1.87	0.58	0.58

<sup>a</sup> Note, the PM<sub>2.5</sub> EF from the NAEI for the Energy, Stationary Combustion in Manufacturing Industries and Construction (Fuel Oil) category is identical to that provided for PM<sub>10</sub>. In circumstances where the ratio of PM<sub>10</sub>/PM<sub>2.5</sub> is known, e.g. from on-site stack monitoring or literature source, then use of a site-specific derived EF for PM<sub>2.5</sub> is preferable.

7.383 Using this information, the following calculation can be made to estimate annual emissions for these pollutants:

$$E_{\text{tot}} = F \times T$$

Where:

**E<sub>tot</sub>** is the total annual emission for one of the case study pollutants (kg/yr).

**F** is the emission factor for a Part B combustion process (kg/m<sup>3</sup>).

**T** is the annual throughput of fuel oil (m<sup>3</sup>/yr).

7.384 Therefore, by way of example with respect to NO<sub>x</sub>, the annual emissions estimate is equal to:

$$9.30 \times 150 = \mathbf{1,395\text{kg/yr}}$$

7.385 Application of the above equation results in the annual emissions estimates provided in Table 7-12

**Table 7-12 – Annual Emissions from Diesel Combustion in Manufacturing Industry (kg/yr)**

Pollutant	SO <sub>2</sub>	NO <sub>x</sub>	CO	PM <sub>10</sub>	PM <sub>2.5</sub>
Emission	1,879	1,395	281	87	87

### Case Study 2

7.386 This case study illustrates the use of EFs where the operator has provided insufficient information to enable a straightforward calculation of annual

emissions from EFs. This study highlights the limitations of activity data and the nature of the assumptions that may be required in order to complete emission calculations.

7.387 The following information has been obtained from the process operator:

Process	Part B Stationary Combustion in Manufacturing Industries
No of flues	One
Fuel Use	Fuel Oil
Thermal Rating	0.5 MW

7.388 The throughput can be estimated from the thermal rating of a boiler. To calculate the throughput the following information is required:

- Annual operating hour; and
- Calorific value of the fuel.

7.389 In cases where the operating hours are not available, but are necessary to calculate annual emissions, it is reasonable to make an educated guess. The composition of waste oil varies according to its former use and, as such, it is difficult to provide fuel parameters that will be representative for all types of waste oil. In the absence of a detailed fuel specification it is possible to use fuel parameters for Heavy Fuel Oil (HFO)/residual oils. Average fuel parameters are available on the NAEI website<sup>103</sup>.

7.390 Thus, to estimate fuel consumption the following assumptions have been made:

Annual operating hours	9.5 hr/day, 6 day/week, 52 week/yr (total over the year = 2,964 hr/yr)
Calorific value of fuel oil (diesel)	37,575 MJ/m <sup>3</sup>

7.391 Using these assumed values, the annual throughput can be calculated as follows:

$$T = (R \times 3,600 \times H) / C_{val}$$

Where:

**T** is the annual throughput of fuel oil.

**R** is the thermal rating of the boiler (MW).

**H** is the annual operating hours (hr/yr).

**C<sub>val</sub>** is the calorific value (of the fuel oil) (MJ/m<sup>3</sup>).

7.392 Therefore, the annual throughput is equal to:

$$(0.5 \times 3,600 \times 2,964) / 37,575 = 142\text{m}^3/\text{yr}$$

7.393 It should be noted that in calculating the throughput from the thermal rating of the boiler the following, additional, assumptions have been made:

- The engine is continually operating at full load, and that fuel is consumed with 100% efficiency.

7.394 Having calculated the annual throughput of fuel oil, the annual emissions can be calculated on the basis of the NAEI EFs following the methodology as described above. Therefore, by way of example with respect to NO<sub>x</sub>, the annual emissions estimate is equal to:

$$9.30 \times 142 = 1,321\text{kg}/\text{yr}$$

7.395 Application of the above equation results in the annual emissions estimates provided in provided in Table 7-13.

**Table 7-13 – Annual Emissions from Diesel Combustion in Manufacturing Industry (kg/yr)**

Pollutant	SO <sub>2</sub>	NO <sub>x</sub>	CO	PM	PM <sub>10</sub>
Emission	1,779	1,321	266	82	82

**Example 2: Area Sources – Preparing an Emissions Inventory from Coal Combustion over a Residential Area**

7.396 The following worked example illustrates the general procedures used to calculate emissions from area-based sources. An example of emissions from general coal combustion over a small residential area where there is high solid fuel or coal use is given. Particular features illustrated by this worked example are:

- The form of the base activity data commonly received from data suppliers.
- Spatial re-apportionment using the capabilities of a mapping package/GIS.
- The importance of recognising and eliminating double counting of emissions in area – source estimates.

7.397 Activity data for area sources is often available only on a spatially aggregated basis to protect commercial confidentiality, or simply due to the impracticality of obtaining more detailed data. Where this is the case data needs to be re-apportioned from the original geography (which may typically be a postcode sector, electoral ward, county or even national level statistics) to the kilometre grid squares common to the other sources in the inventory. Data may also be estimated per household and apportioned per household. Coal sales data for an area were obtained from the several coal suppliers and merchants in the area for the last full year on a postcode-sector basis. Table 7-14 illustrates the typical form of the raw activity data. If the area in question is a smoke control area, the solid fuel used will in fact be SSF.

**Table 7-14 – Coal Sales Data (as received from Fuel Suppliers)**

Postcode Sector	Domestic Coal (tonnes per year)	Coke (tonnes per year)
BX8 3	102	19
BX9 1	38	12
BX9 2	45	0
BX9 3	57	5
BX10 7	62	0
BX11 0	110	10
BX11 8	54	3
BX11 9	81	2
BX20 0	70	0

- 7.398 Industrial and commercial coal (for example, hospitals, and council buildings) should be counted under point sources, where possible. If coal is accounted for as an area source, care should be taken not to double-count.
- 7.399 To be used in an emissions inventory, the original data (on a postcode sector basis) needs to be re-apportioned to the 1km x 1km grid square geography. This can be done using the capabilities of a mapping package. In this case, a simple re-apportionment based on area proportion is used (i.e. the individual grid squares are assigned values depending upon the extent to which they overlie postcode sectors with different total values). More complex re-apportionments (e.g. weighted by relative population density or road length) can be devised if appropriate.
- 7.400 The spatially re-apportioned fuel usage per kilometre grid square (Table 7-15) is then multiplied by the EF to produce the emissions per grid square for each pollutant. The EFs for domestic coal (as an example) are given in Table 7-16 and the final calculated emissions from domestic coal in Table 7-17, by multiplying the coal used per square by the relevant EF.

**Table 7-15 – Coal Sales Data re-apportioned by Kilometre Grid Square**

Grid square (reference ID)	Domestic coal (tonnes per year)	Coke (tonnes per year)
354500,178500	17.97	1.60
355500,178500	12.38	0.68
356500,178500	6.14	0.05
354500,177500	16.89	1.20
355500, 177500	14.72	0.07
356500,177500	18.99	1.58
354500,176500	12.35	0.06
355500,176500	14.96	0.09
356500,176500	17.68	1.20

Source: NAEI

**Table 7-16 – Emissions Factors for Domestic Coal (kg of Pollutant per Tonne of Fuel)**

Pollutant	SO <sub>2</sub>	NO <sub>x</sub>	CO	PM
Factor	24.32	3.47	180.69	9.7

**Table 7-17 – Calculated Emissions from Domestic Coal**

Grid square (reference ID)	Domestic Coal Burnt (tonnes/year)	SO <sub>2</sub> Emissions (kg/yr)	NO <sub>x</sub> Emissions (kg/yr)	CO Emissions (kg/yr)	C <sub>6</sub> H <sub>6</sub> Emissions (kg/yr)	PM Emissions (kg/yr)
354500, 178500	17.97	377	536	24,114	6,945	72,226
355500, 178500	12.38	260	369	16,613	4,784	49,758
356500, 178500	6.14	129	183	8,239	2,373	24,678
354500, 177500	16.89	355	504	22,665	6,527	67,885
354500, 177500	14.72	309	439	19,753	5,689	59,163
355500, 177500	18.99	399	566	25,483	7,339	76,326
354500, 176500	12.35	259	368	16,572	4,773	49,638
355500, 176500	14.96	314	446	20,075	5,782	60,128
356500, 176500	17.68	371	527	23,725	6,833	71,060

**Example 3: Biomass Plant 50 kW to 20 MW**

- 7.401 A 500kW net thermal input capacity pellet stove is installed in a 15m high building, located in England. The stack height is 21m and the stack diameter is 0.5m.
- 7.402 The pollutant emission rates are estimated from the factors for pellet stoves, as provided on the LAQM Support Website<sup>64</sup>. These are 29g/GJ for PM<sub>10</sub> and PM<sub>2.5</sub> and 80g/GJ for NO<sub>x</sub>. The emission rates are then  $29 \times 500 \times 10^{-6} = 0.015\text{g/s}$  for

PM<sub>10</sub> and PM<sub>2.5</sub>, and  $80 \times 500 \times 10^{-6} = 0.04$  g/s for NO<sub>x</sub>.

- 7.403 The background annual mean NO<sub>2</sub> concentration is 35µg/m<sup>3</sup>. The background annual mean PM<sub>10</sub> concentration is 25µg/m<sup>3</sup>.
- 7.404 Table 7-18 shows the target emission rates determined from the Biomass Calculator provided by Defra (see paras 7.53 to 7.58)<sup>125</sup>. In each case the actual emission rate is less than the target emission rate and so further detailed consideration is not required.

**Table 7-18 – Actual Emission Rates and Target Emissions Rates**

Parameter	PM <sub>10</sub>	PM <sub>2.5</sub>	Annual mean NO <sub>2</sub>	1-Hour Mean NO <sub>2</sub>
Actual emission rate (g/s)	0.015	0.015	0.040	0.040
Target emission rate (g/s)	0.0458	0.189	0.0945	0.3291

## Appendix B: Sources of Emissions Factors

- 7.405 The UK NAEI<sup>103</sup> was developed to aid in the Review and Assessment procedure. The NAEI database includes UK average emission factors for a large number of different source sectors including industrial processes, combustion, transport and residential and commercial combustion. The database also includes a number of screening factors based on employment, number of processes and population.

### Other Information Sources

- 7.406 An atmospheric emission inventory guidebook has been prepared by the expert panels of the UNECE/EMEP Task Force on Emissions Inventories and is published and distributed by the European Environment Agency<sup>126</sup>. The Guidebook is designed to provide a comprehensive guide to atmospheric emission inventory methodology for each of the emission-generating activities listed in the Selected Nomenclature for Air Pollution (SNAP) and Nomenclature For Reporting (NFR) formats reports.
- 7.407 The United States Environmental Protection Agency (USEPA) has developed a large compendium of EFs, known as AP-42, which includes EFs for most of the pollutants covered by LAQM Regulations<sup>127</sup>. The USEPA reviews and revises its

<sup>125</sup> Note, when using the nomograms previously provided in LAQM.TG09, it was necessary to first calculate a background-adjusted emission rate and the effective stack diameter. These procedures are not required when using the Biomass Calculator provided by Defra, as this performs all of the necessary calculations for the user before providing the “target emission rate”, which can then be directly compared against the calculated actual emission rate. No further adjustment is required

<sup>126</sup> <https://www.eea.europa.eu/themes/air/emep-eea-air-pollutant-emission-inventory-guidebook/emep>

<sup>127</sup> <https://www.epa.gov/air-emissions-factors-and-quantification/ap-42-compilation-air-emission-factors>

air pollutant EFs every three years.

- 7.408 Each AP-42 EF is given a rating from “A” through “E”, with “A” being considered as being the most reliable. A factors rating is a general indication of the reliability, or robustness, of that factor. This rating is assigned based on the estimated accuracy of the tests used to develop the factor and on both the amount of data available from tests and the representative characteristics of that data. In general, factors based on many observations, or on more widely accepted test procedures, are assigned higher rankings. Since ratings are subjective and only indirectly consider the inherent scatter amongst the data used to calculate factors, the ratings should be used as approximations. An A rating should be considered an indicator of the accuracy and precision of a given factor being used to estimate emissions from a large number of sources.

## **Appendix C: NAEI Data**

- 7.409 The NAEI’s Data section contains up-to-date emissions data for different sources and pollutants. Data are available for online viewing and download.

### ***Emissions Data Section***

- 7.410 This is an online archive of emissions and supporting mapping data available for use by local authorities, the wider scientific community and the public. The datasets provide local authorities with the specific component emissions data that they need to inform detailed assessments.

### ***Local Authority NAEI Data***

- 7.411 Data are stored on the NAEI subdivided for each local authority. A number of datasets are produced under the NAEI, which are useful to Local Authorities and public users interested in their local areas<sup>128</sup>. These datasets include:
- Local and Regional CO<sub>2</sub> emissions;
  - Road transport fuel consumption; and
  - Non-gas, non-electricity and non-road transport fuel consumption;

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<sup>128</sup> <http://naei.beis.gov.uk/data/local-authority>

## 4 – Dispersion Modelling of Emissions

### Introduction

- 7.412 This section provides advice to local authorities on the use of air quality dispersion models for the purposes of Review and Assessment. Dispersion models are a valuable tool for a variety of reasons:
- To quantify the contribution of pollutant emissions arising from different source types on overall concentrations;
  - Concentrations can be predicted across a wider geographical area than is possible through monitoring alone;
  - Geographic boundaries of any exceedances of the air quality objectives can be determined;
  - Concentrations can be predicted for future years, taking into account changes in emissions sources and emissions data; and
  - Scenario testing can be undertaken in order to determine the source contributions and effects of AQAP measures on predicted concentrations.
- 7.413 The purpose of this section of the Technical Guidance is to:
- Promote best practice and the efficient use of resources for dispersion modelling;
  - Provide local authorities with useful information and methods to consider when undertaking detailed dispersion modelling;
  - Help obtain as reasonable results as practicably possible from dispersion models and increase the confidence in model predictions; and
  - Assist in the sensible interpretation of results.
- 7.414 This section considers the following topics, which should cover the main issues faced by local authorities when carrying out dispersion modelling:
- How to model road-traffic sources;
  - How to model point sources (i.e. stacks from industrial facilities or commercial and domestic sources such as biomass combustion sources);
  - How to model fugitive sources; and
  - How to verify modelled results using monitoring data.
- 7.415 The main sources requiring detailed dispersion modelling of emissions should be identified through the screening assessments carried out by local authorities. Based on the findings of the previous rounds of Review and Assessments, these sources are expected to include mainly road transport and some industrial processes. Therefore, this section mainly focuses on these sources. However, a number of other transport sources (aircraft, railways and shipping) or fugitive

sources such as quarries, waste transfer sites and major construction sites, may require modelling in certain circumstances. In this case, the local authority may want to contact the LAQM Support Helpdesk to obtain further information.

### **Modelling Road Traffic Sources**

- 7.416 The main roads of concern requiring detailed dispersion modelling should have been identified through a screening assessment of AADT trips against the criteria in Table 7-1, the National Modelling Maps<sup>33</sup>, and/or air quality monitoring reported in the local authority's LAQM reports.
- 7.417 The information in the sections below provides further information on methods to assess road traffic sources in more detail based on more complex dispersion models.
- 7.418 Local authorities are reminded that any detailed dispersion modelling, should be compared against local monitoring data in order to provide confidence in the results and any decisions made based on the outcome of the modelling. However, this should be only possible if the measurements are of good quality, have been measured over a reasonable time period, and are representative of the receptor location assessed.
- 7.419 Monitoring data should also be considered as part of any detailed dispersion modelling work, as they can provide further information on pollution levels in complex areas, such as large and/or congested junctions, street canyons or other situations that may not be assessed well by dispersion models.
- 7.420 Most local authorities proceeding to detailed modelling of road traffic sources will be mainly concerned with potential exceedances of the annual mean (for NO<sub>2</sub> and/or PM<sub>10</sub>) and the 24-hour mean PM<sub>10</sub> objectives. However, the potential for exceedances of the 1-hour mean NO<sub>2</sub> objective should also be considered at relevant receptor locations. Predictions of these short-term concentrations will inevitably be less accurate than predictions of the annual mean. Short-term predictions can be carried out directly by dispersion models, and although they often perform poorly in linking short-term concentrations with specific meteorological conditions, the actual concentrations predicted can be reasonable if the model is validated correctly. Alternatively, the empirical relationships discussed in paras 7.96-7.101 can be used to estimate short-term concentrations from the annual mean.
- 7.421 In some instances, authorities may also consider annual mean PM<sub>2.5</sub> concentrations, with reference to the potential to increase PM<sub>2.5</sub> emissions (England and Wales) or the objective (Scotland).

### ***Traffic Input Data for Dispersion Modelling***

- 7.422 The level of detail of traffic input data will vary depending on how much information is available, but in general, should include the following as a minimum, for all identified roads:
- Traffic flows as Annual Average Daily Traffic (AADT);

- Average vehicle speed; and
  - Fleet composition including at least the split between LDVs and HDVs (generally provided as %HDVs within the total traffic flows).
- 7.423 When carrying out detailed dispersion modelling, local authorities may consider focusing on small specific areas and sensitive receptors to scales of 10's of metres, as opposed to wider scale modelling that may miss out the details at roadside locations where exceedances are more likely and so miss pollution hotspots. However, it is recognised that some authorities have already set up models covering wider urban areas, or city / town centres as a whole, which may include many different types of sources. It may however be useful for some sources to be refined in more detail where there are specific local concerns or where local knowledge indicates that an area requires greater attention.
- 7.424 In general, the use of complex dispersion models will require geographical information such as:
- A numerical model of the road layout to be included in the dispersion model, using a Geographical Information System (GIS) to extract OS coordinates of all roads, including all vertices representing the path of the road;
  - The width, gradient and elevation of each road sections;
  - The grid reference of all specific receptors at which pollution levels need to be assessed; and
  - A grid of receptors so that pollutant concentration contour maps showing the potential exceedance of the relevant air quality objectives can be produced, based on the dispersion modelling results.
- 7.425 It is important that to model the source-to-receptor distance as accurately as possible. A visual check (through model interface or GIS or web resources such as Google Street View) should be carried out to ensure that the modelled roads follow the actual alignment appropriately, and that the start/end nodes and vertices of links are in the correct place.
- 7.426 The use of GIS can be a quick and easy way to map the correct coordinates for sources and export them directly into dispersion models. In addition, web-based aerial mapping sites can be extremely useful when building dispersion models, as they can provide information on layout and alignment of roads.

### **Traffic Patterns**

- 7.427 Most dispersion models can take into account complex traffic patterns such as:
- Variations of AADT flows during a week, month or season; and
  - Hourly variations of traffic flows along the day (including change of patterns during weekends).
- 7.428 A diurnal pattern of average hourly speeds may also be available to use in

modelling predictions. Local authorities may consider further splitting a road link, for example at the approach of a junction, in order to model the reduction in average speed in these locations.

7.429 Local authorities may consider different vehicle speeds over different time periods in order to account for congestion during peak hours and more free flowing traffic at night. Example time periods could be as follows:

- Morning Peak (7am – 10am)
- Inter-peak (10am – 4pm)
- Evening Peak (4pm – 7pm)
- Night-time (7pm – 7am).

7.430 It should be noted that diurnal patterns (both in terms of traffic flow and speed) may be related to two-way flows, and therefore the road links within a model should reflect this. Where a road, for example a motorway or A-road, has been modelled as separate sources depending on direction of flow, then the diurnal patterns for each of these sources should also reflect the direction of flow. This may be important for example where a road experiences a larger volume of traffic in one direction in the morning, whilst the flow on the other direction has a different pattern, with large flows in the afternoon.

### Modelling Variable Speeds

7.431 Average vehicle speed can vary significantly throughout the day, with much lower speeds observed during AM and PM peak hours. Where significant variations in hourly speeds are known to occur, it may be useful to account for speed variations. Some models may allow detailed variations to be input relatively easily. Other models may require the user to split or duplicate links a number of times in order to emulate variable inputs. A few options are discussed below.

7.432 The simplest way to consider variable speeds is to split road links into three sections – one at each end of the link representing the sections of the road approaching a junction (considering a lower speed over these sections), whilst the middle section represents the average free flowing speed. This is not strictly a variable pattern as the same speed for each hour is still considered, but provides an easy method to account for lower average speeds, for example where queuing is known to occur.

7.433 Where a model does not allow the user to input hourly speed information, a more complex method may still be used, which involves overlapping links a number of times and using hourly emissions profiles to apply different emissions at the appropriate hours in the day. This is illustrated with the example below:

- Enter the same link a number of times within the model and provide emissions for the relevant speed as representative of the hour required for each copied link.
- Use variable emissions profile to effectively “turn-on” or “turn-off” the

relevant link in the dispersion at the appropriate time. For example, a link may be copied four times thus:

- Link1\_AM: AM peak speed (hours beginning 7am - 10am);
  - Link1\_PM: PM peak hour speed (hour beginning 4pm - 7pm);
  - Link1\_Eve: Night-time speed (for hours between 7pm - 7am); and
  - Link1\_Inter: Inter-peak speed (for hours between 10am - 4pm).
- When setting up the road links, the speed for the relevant hour may be:
    - Link1\_AM: 10 mph
    - Link1\_PM: 15 mph
    - Link1\_Eve: 40 mph
    - Link1\_Inter: 30 mph

7.434 The emission profile for Link1\_AM will then be provided so that only the hours 7am-10am have emissions accounted for. This can be done by providing a factor of one for these two hours, whilst all other hours are set to 0 (zero emission).

7.435 The use of this overlapping system allows greater variability of inputs, and may also be used to vary other data such as proportions and speeds of HDVs. In this way, detailed traffic flows and speeds can be considered within dispersion models. An example of when this type of detailed approach may be useful is when assessing the impact of traffic management measures expected to reduce queue lengths of traffic, improve speeds on roads, or vary the diurnal pattern or speed of traffic flows on specific roads.

#### Varying Speeds and Traffic Flows for Different Hours

7.436 In many models, the user can vary the number of vehicles per hour per link assuming a particular speed. For example, the vehicles per hour entered for Link1\_AM is 1200 vehicles per hour at 10mph, which represents the 7am traffic flow and speed. The emissions profile for that link can also be used to alter the traffic flow for the hour 8am but keeping the same speed. For example, the traffic flow at 8am is twice that of the 7am flow (with an average speed of 10mph). Using the emissions profile, the factor for the hour 7am remains at one, but for 8am is factored up by two (thus doubling the hourly traffic flow whilst maintaining the same speed).

7.437 Note, it may be more difficult to use the emissions profiles in the same way to vary the proportion of HDV and speed at the same time as the factors are more difficult to determine (unless emissions tools and inventories are used to perform the calculations). If this is required, and a model does not allow hourly input to this level, a duplicate set of links may be entered, one for example for LDVs only, and one set for HDVs only. Each can then be varied for speed and/or flow throughout the day using link copies.

#### Modelling Congestion

7.438 In many cases, the area requiring detailed dispersion modelling is likely to

include busy junctions where traffic congestion is a main concern. Modelling congestion can be carried out in a number of ways depending on the constraints of the model, in particular the number of links that can be entered.

- 7.439 A simple way to model congestion is to split the road link into three sections, similar to that representing a junction or crossing, and reduce the speeds in those sections where queuing traffic is known to occur. Additional complex methods may also involve accounting for the variable speeds during different hours as described above.
- 7.440 However, other model setups may be considered, such as varying certain links representing queues. For that purpose, estimates of the following would be required:
- Queue length;
  - Traffic speed; and
  - Variability of congestion throughout the day.
- 7.441 To represent the variability of congestion during the day, the method described above for overlapping links can also be used. Local authorities should be careful not to double count emissions of traffic when modelling queues and diurnal patterns. Both variable speeds and idling emissions could be used in some specific locations, for example for complex junctions.

### ***Modelling Accurate Vehicle Fleet Composition***

- 7.442 Whilst some models may only allow LDV and HDV flows as input data, most models should allow entering user-defined pollutant emissions rates, allowing a better representation of the actual vehicle fleet composition.
- 7.443 These may include (but are not limited to) the following vehicle type classifications:
- Cars (petrol and diesel);
  - LGVs (petrol and diesel);
  - HGVs (rigid and articulated);
  - Buses and coaches; and
  - Taxis (sometimes defined as a separate category when derived from traffic models).
- 7.444 A combined emission rate can be entered for a road link based on the relevant proportions of each type of vehicle. If this is the case, the speed for all vehicles will be assumed to be the same. In some cases the speed may be different (for example, HDVs on motorways), or a local authority may be interested in calculating the contribution a certain type of vehicle makes to the total pollutant concentrations at a nearby sensitive receptor. This may be done using the “layering” system described above, by setting up several emission sources on top of each other for each vehicle type, and entering in emissions for that type

only. For example, a road source termed "Road1" which incorporates all vehicle types could be modelled as "Road1\_Cars", "Road1\_LGVs", "Road1\_HGVs" and "Road1\_Buses" as separate sources.

- 7.445 This type of setup can be useful as the contribution of each road link to concentrations predicted at a receptor can easily be determined, and the model input can also easily be changed. For example, this can be used to determine what happens if the vehicle speed or number of vehicles changes for a specific vehicle category.
- 7.446 Local authorities may have more detailed estimates of vehicle classifications such as proportions of diesel and petrol cars and LGVs, rigid and articulated HGVs, along with separate estimates of buses and coaches. Local estimates should be included in dispersion modelling where available. However, in the absence of local estimates, default splits of petrol/diesel and EURO emission categories are built into the EFs within the NAEI and the EFT.

### ***Source Apportionment for Different Vehicle Types***

- 7.447 Source apportionment studies should be carried out as part of LAQM assessments in order to determine the relative contribution of vehicle types at specific worst-case receptor locations. These source apportionment studies can also be useful when considering the impacts of different traffic management options, for example as part of scenario testing within action plans. The methodology is described in para 7.103 and a worked example provided in Box 7-5.

### ***Modelling Street Canyons***

- 7.448 Accurate dispersion modelling in urban areas can be difficult due to the presence of obstacles (buildings, trees, walls, etc) that modify the wind flow locally and alter dispersion. This is especially the case in so called "street canyons", where buildings on both sides of the road can lead to the formation of vortices and recirculation of air flow that can trap pollutants and restrict dispersion (often termed as the "canyon effect"). Although street canyons can generally be defined as narrow streets where the height of buildings on both sides of the road is greater than the road width, there are numerous example whereby broader streets may also be considered as street canyons where buildings result in reduced dispersion and elevated concentrations (which may be demonstrated by monitoring data). Therefore, canyon effects can occur both in small towns or large cities.
- 7.449 Studies involving monitoring campaigns on both sides of street canyons have shown that background concentrations influence pollutant levels within street canyons, as the air mass at rooftop level moves into the canyon, leading to increased ventilation and "flushing out" of polluted air. Similarly, gaps between buildings may allow increased wind flows to enter the canyon thus re-circulating pollutants away from the junctions, but causing increased concentrations further away. The opposite effect however may occur if the gap is at junction, where road traffic emissions are carried into the canyon, resulting in higher concentrations.

- 7.450 Even when using complex three dimensional models (Computational Fluid Dynamics – CFD models), it is unlikely that such degrees of complexity are adequately accounted for, and the uncertainties of modelled results can be difficult to quantify.

### Street Canyon Models

- 7.451 Models designed for the prediction of air pollution concentrations within street canyons aim to calculate the zone of recirculation of wind flow in order determine the resulting concentrations within these locations. Wind direction and velocity is used to determine where (for example on which side), and how large the recirculation zone may be. The size of the recirculation zone varies and may occupy the whole width of the street, or the leeward side only (the upwind side). Concentrations within the recirculation zone are considered to be uniform (or homogenous) by many dispersion models.

### Main Parameters to Consider when Modelling Street Canyons

- 7.452 Weather conditions such as wind speed, direction and temperature will affect the dispersion of pollutants within street canyons. These parameters are usually included in a meteorological file (generally hourly sequential data for a whole year) as model input data. Other parameters that need to be considered (for each modelled road link assumed to be a street canyon) are:
- the street canyon width, which is not the road width, but the distance measured as façade to façade of buildings on either side of the street; and
  - the average height of buildings on both sides of the road (some models may allow specifying different heights for each side).
- 7.453 Where a street can be partially classified as a street canyon, for example where there are gaps in between blocks of buildings, monitoring in such locations may indicate elevated concentrations. It is therefore recommended that local authorities consider these links as street canyons; otherwise predicted concentrations are likely to be underestimated.

### Potential Issues Associated with Street Canyon Modelling

- 7.454 The limitations associated to street canyon modelling should be understood by consulting model suppliers and user guides. A common mistake is to model specific receptors outside of a street canyon. Models accounting for street canyons generally split the modelled area in two parts: the actual street canyon (delimited by the canyon width) and areas outside the canyon on both sides of the road. While predicted concentrations within the canyon are higher, modelled concentrations outside the canyon may decrease rapidly. Therefore, it is recommended to check the distance of receptors to the centre of the road and compare to the canyon width, to ensure they are correctly located within the street canyon.

### Installing Monitoring Sites in a Street Canyon

- 7.455 Local authorities are advised in most circumstances to monitor concentrations at the roadside and building façade at a number of locations within a street canyon. In the absence of widespread monitoring in a number of street canyons, the results from a single detailed study could be used to help assess similar areas on the bases of comparisons of traffic flows and to compare against the predictions from models.

### **Modelling Junctions**

- 7.456 Junctions are relatively easy to set up in a dispersion model. The model set up should consider changes in speeds, road widths, queue lengths and congestion as described in the sections above. In many cases a simple approach may be sufficient to model a junction, by accounting for reduced speeds on road links within 25m to 50m of the junction and including diurnal patterns of traffic flows. More detailed modelling may be required, such as considering street canyons (see para 7.448), splitting the main roads into multiple lanes to account for separate traffic movements on the various arms of the junction (see para 7.473), including bus lanes. The requirement to increase the level of detail at a junction will depend on the level of relevant exposure at the location and the risk of exceeding the objectives. Local knowledge and data gathered through local monitoring studies will assist in this regard.

### **Modelling Car Parks**

- 7.457 Car parks are unlikely to require detailed modelling for Review and Assessment. However, local authorities should still consider the local access roads, which are of more concern locally, particularly where queuing or congestion is created on these roads (typically during peak hours). In some cases, local authorities may wish to consider the impact of a proposed new car park on local air quality, if there are receptors close by. Information on the potential ways to model car parks is provided below.
- 7.458 There are a number of different types of car parks including surface, multi-storey, underground and mezzanine. Car park emissions may be fugitive, through open-to-air façades, or controlled via mechanical or passive ventilation systems. Emissions from surface and multi-storey car parks may be typically modelled as area or volume sources, whilst emissions from underground car parks fitted with a mechanical ventilation system may be modelled as point sources. Model developers and user guides should be referred to for the specific requirements associated to these sources.
- 7.459 It is recommended that for multi-storey car parks, a series of area sources be used as opposed to one single volume source, to better represent the spatial distribution of emissions in relation to nearby receptors.
- 7.460 Where detailed modelling of car parks is deemed necessary the following information is likely to be required:
- The hourly profile of number of vehicles entering and leaving the car

park;

- Assumptions related to idling time for vehicles. This may vary for short-term and long-term car parks, but emissions should be calculated (in the absence of idling emission factors) assuming a speed of 5kph;
- Assumption of the proportion of vehicles assumed to enter and/or leave the car park under cold start conditions;
- Assumption of the proportion of vehicles assumed to experience 'hot soaks' (only of relevance for benzene);
- An estimated average distance travelled by each car within the car park and the average speed (often a speed limit of 5 to 10 mph is in place). Where this is not known, it may be assumed, for example, that each vehicle travels a distance equivalent to the perimeter of the car park; and
- Diurnal profile of traffic flows on the car park access roads.

### ***Modelling Bus Stations and Bus Stops***

- 7.461 It is sometimes necessary to include the contribution of emissions from a bus station or bus stops when carrying out detailed modelling, as these are often responsible for hot spots of pollution concentrations in urban areas. In particular, emissions from bus stations and bus stops may lead to exceedances of the 1-hour mean objective for NO<sub>2</sub>. As modelling exceedances of this objective is difficult, local authorities should focus on identifying modelled NO<sub>2</sub> annual mean > 60µg/m<sup>3</sup> (see further information in para 7.97).
- 7.462 The main difficulty in bus station/stop modelling is the uncertainty associate to bus EFs, especially from idling engines.
- 7.463 Note that if a bus station or bus stop is modelled as part of a wider area (part of a town or city centre), a separate model verification may be necessary for the bus station area alone (based on monitoring data from sites located near the station), while the rest of the model is verified with results from typical roadside monitoring sites.

### **Bus Stations**

- 7.464 Modelling a bus station should not be undertaken without robust monitoring data to verify modelled results, as these are likely to be subject to significant uncertainties. Given these uncertainties, local authorities may even choose to rely on monitoring alone to determine whether there is a risk of exceedance of the air quality objectives.
- 7.465 The most common way of modelling a bus station is to include an area or volume source in the model set up with a specific EF, as well as modelling emissions from the access roads. EFs should be combined with local parameters such as:
- The number of buses per hour stopping at the station, and
  - The average time of idling.

- 7.466 This should allow the calculation of an overall emission rate that reflects the local conditions.
- 7.467 The diurnal pattern should also be included to reflect the variations of bus flows throughout the day. This could involve undertaking detailed traffic counts on relevant roads close to bus stations in order to determine patterns appropriately, or bus station timetables could be used to determine the frequency of buses throughout the day.
- 7.468 In the absence of idling emissions factors for buses, it is possible to estimate emissions assuming buses travelling at a low speed (the lowest speed allowed by the EFT should be used, typically 5kph). If using speed related EFs for idling buses, the method described above (for car parks) should be used, with the relevant EFs for buses, and the estimated idling time for each bus to determine the emission rate. It is recommended that idling times are based on the observed operation of buses as these may vary.

### Bus Stops

- 7.469 In practice, it can be difficult to model all bus stops within a large area. Therefore, the decision to include bus stops in the model set-up should, wherever possible, be based on evidence from monitoring data that the air quality objectives are at risk of being exceeded at sensitive receptors nearby.
- 7.470 Local authorities should take care when selecting suitable monitoring locations near bus stops, as these sites are only likely to be representative in terms of exposure to the 1-hour mean objective for NO<sub>2</sub> (if there are no residential properties or other sensitive receptors relevant for the annual mean objectives nearby).
- 7.471 As for bus stations, bus stops may be modelled as area or volume sources. The overall emission rate should ideally be based on:
- An idling EF;
  - The number of buses per hour (or per day); and
  - A diurnal pattern to take into account variability in bus traffic throughout the day.
- 7.472 If a bus stop affects the speed of traffic locally, it may be useful to split road links close to the bus stop to assign appropriate lower speed to vehicles.

### **Modelling Multiple Lanes of Traffic**

- 7.473 In certain circumstances, it can be useful to model separate traffic lanes (for different directions) instead of modelling one road. This is likely to improve the accuracy of predicted results along the road of concern. Locations where separate lanes may be useful to consider include:
- Wide roads, like dual carriageway, A-Roads or motorways; and
  - Queuing on one side of the road near a junction while the other side is

free-flowing.

- 7.474 Care should be taken with regard to how the model deals with road widths, particularly in areas that are being modelled as street canyons.
- 7.475 If traffic data are available, detailed dispersion modelling of wide roads may include separate road sources for each direction. This may be beneficial as it should allow a better representation of different speeds for traffic travelling in different directions (for example approaching or leaving a major junction), and different proportions of vehicles and diurnal traffic patterns may be incorporated.
- 7.476 Splitting wide roads into separate directional links within the dispersion model may lead to vehicle-induced turbulence effects being incorrectly represented within the dispersion model. However, in many cases, having a more accurate representation of traffic flows in the model is likely to be more preferable than the uncertainty introduced by this potential issue.

### ***Modelling Road Gradients***

- 7.477 As discussed in Section 3 of Chapter 7 dealing with emission estimates (para 7.293), road-traffic emissions on roads with significant gradient (>2.5%) can increase significantly (especially exhaust emissions from HDVs), as the engine power demand for vehicles going can increase significantly.
- 7.478 Adjusted HDV emissions factors for roads with significant gradient have been described in para 7.293.
- 7.479 Local authorities may want to model the effect of road gradient on overall road traffic emissions using this methodology. This should require identification of all roads with a gradient >2.5%. This information should be available from the Council's transport department.

### ***Taking Terrain into Account***

- 7.480 Most of the dispersion models have been developed to predict pollutant concentrations on flat terrain, i.e. without taking topography into account. However, in reality complex terrain such as hills or valleys may have a significant effect on the dispersion of pollutants, especially for large scale modelling (over 1km). A number of dispersion models may include an option to model the effect of terrain on pollutant dispersion, based on a Digital Terrain Model (DTM), which can be entered in the model set-up.
- 7.481 However, the effect of terrain is mostly considered in the case of point source modelling, where emissions from stacks can have an impact far from the source. This case is discussed in further detail in para 7.502.
- 7.482 Model providers should be contacted for advice on including terrain when modelling sources such as roads. The standard criterion in considering terrain is a 10% gradient in slopes. Under this value, it is generally unnecessary to include terrain in the model set-up. However, in practice, it is likely that the effect of buildings in urban areas, and in particular the street canyon effect, will be a more

important parameter affecting the dispersion of pollutants.

### ***Modelling Road Layouts which Vary with Height***

- 7.483 A typical approach to modelling a road network is to consider the road elevation and the modelled receptor heights to be input into the model, for example, a road elevation at 0m (or at grade) and ground level receptors at 1.5m (or at a particular building storey height). Some, but not all, dispersion models allow the type of road to be defined including bridges, depressions and cuttings, embankments, elevated roundabouts and slip roads.
- 7.484 Setting up the model to account for varying road source heights, especially where there are sensitive receptors, is an important point to consider. Although a key consideration should be to assign road and receptor heights ensuring that the relative difference in height between source and receptor is correct, the absolute height of each above the ground is equally important as the model considers the release height of the source and the vertical profile of the wind field as part of the dispersion calculations.
- 7.485 Where a model does not incorporate different road types such as bridges and/or cuttings, or easily account for height differences between sources, and only the relative height of source and receptor above ground can be considered, users should be aware that setting the whole road network at an elevated base level may result in the model under predicting, whilst not accounting for elevated road sections appropriately may result in the model over predicting. Such effects are particularly important to consider where these locations are being used for the purposes of model verification (and possibly adjustment).
- 7.486 Model suppliers should be contacted for further advice on representing variably source heights within models, particularly where heights greater than 10m are thought to be required as vertical wind profiles determined within models may affect modelled concentrations. As for many detailed dispersion modelling options, some testing of the sensitivity of results to these options is recommended, particularly where model verification is being performed.

### ***Spatial Resolution of Modelled Receptors***

- 7.487 The aim of detailed dispersion modelling is to focus on specific hot spots such as single roads or junctions where potential exceedances of the air quality objectives have been identified through previous screening assessments.
- 7.488 Typically, dispersion models should be set up so that concentrations can be predicted at:
- Specific receptor locations representative of exposure; and
  - On a grid of receptors with a 5m resolution or less near to the roadside to determine the extent of areas where exceedances are more likely to occur, which can then be used to declare AQMAs.
- 7.489 Where models generate receptor locations automatically (for example based on a function determined by road width) local authorities should check that receptor

locations are representative of relevant exposure and do not miss out the areas closest to the road source (worst-case locations).

- 7.490 Concentration contours are generally drawn for the areas where exceedances have been identified based on verified dispersion modelling of road traffic sources. This does not mean that whole urban areas need to be contoured, particularly background locations in smaller towns where pollutant concentrations are unlikely to approach the objectives. Specific receptors should first be used for any detailed modelling at the roadside and then contours produced for the relevant areas with, or close to exceedances. This approach can save considerable time and resources.
- 7.491 Where contour maps for a whole urban area are required, these should include greater detail within 30m to 50m of roads (sometimes further for dual carriageways or motorway sites, where the drop-off distance for concentrations to reach background levels is greater), and generally be based on a grid spacing of 5m to 10m. General background concentrations for most urban areas are well known and do not require detailed contouring. However, verified modelled background concentrations based on local emission inventories may be useful for wider decision-making purposes.
- 7.492 The risk of modelling pollutant concentrations in large regions with a low spatial resolution is that the model is likely to miss hot spots of air pollution where exceedances are likely. It is particularly important for dispersion modelling of road traffic emissions, as concentrations tend to reduce quickly as the distance from the road increases. Therefore, the spatial resolution of a modelled grid of receptors is a key parameter of model setup.

### ***Background Concentrations for Road Traffic Modelling***

- 7.493 Although dispersion models may allow users to provide hourly background concentrations, in most cases, annual mean background concentrations should be sufficient for road traffic assessments.
- 7.494 The way to project annual mean background concentrations to future years is set out in para 7.75. Local authorities will also need to project hourly background data for future years where these values are used in an assessment. In the absence of more detailed projection factors, the hourly background concentrations may be adjusted using the projection factors derived from the annual mean data.

### **Modelling Point Sources**

- 7.495 When predicting the impacts of stack emissions for Review and Assessment purposes, the use of Emission Limit Values (ELVs) for authorised processes is often pessimistic and many plants operate well below these. The modelling assumptions should be realistic but conservative. The onus has to be on information from the operators. Useful data may also be obtained from the annual returns from process operators to the regulatory agencies (see para 7.310).

- 7.496 It is important to identify the emissions profiles for point sources as these have an impact on the contributions to short-term concentrations. It is also advisable for local authorities to contact the regulatory agencies for information on any previous modelling assessments they may have carried out, in order to avoid duplication of effort and ensure consistency.

### ***Modelling Variable Emissions from Stacks***

- 7.497 In the first instance, modelling stack emissions assuming a constant annual emission rate should be carried out. Modelling variable emissions should only be carried out if this simpler approach has indicated potential exceedances of the relevant air quality objective (considering both stack and background contributions to overall concentrations). For large industrial facilities, it is likely that continuous emission rates, on an hourly basis, will be available.
- 7.498 For other processes for which this data is not available, local authorities should collate general operation times for processes (hours of operation per day, days per month etc). For a process identified as having batch cycles that cannot be described temporally, liaison with the operator and/or regulatory agency will be required. The LAQM Support Helpdesk may also be able to help for specific situations.
- 7.499 Random, infrequent events such as equipment failure scenarios should not be modelled for Review and Assessment purposes. In general monitoring is not available during these times.
- 7.500 If information regarding future abatement, planned changes fuel use, operation times or future production is known, these should be considered for modelling of future years. It is recommended that any such information should be discussed and emissions to consider agreed with the regulatory agency prior to modelling.
- 7.501 Monitoring is sometimes only undertaken for total particulate matter (generally referred to as TSP – Total Suspended Particulate), not PM<sub>10</sub> or PM<sub>2.5</sub>. For certain processes, the PM<sub>10</sub>/PM<sub>2.5</sub> emissions can be estimated from particle size distributions reported in the literature. The LAQM Support Helpdesk may also be able to assist. As a worst-case assumption, all the TSP emissions can be assumed to be in the PM<sub>10</sub>/PM<sub>2.5</sub> fraction. However, this may be too pessimistic for detailed stack modelling where the contribution of the stack is significant. Similarly, monitoring may only be carried out for total heavy metals and total VOCs, rather than for specific species of concern for LAQM reporting (respectively lead and benzene).

### ***Taking the Effect of Buildings and Terrain into Account***

- 7.502 Most dispersion models include options to take into account the effects of nearby tall buildings and topography on the dispersion of stack plumes, which can be significant. However, model uncertainty using these options is generally considered greater and it is always recommended to carry out sensitivity tests (particularly when modelling buildings) as part of the assessment.
- 7.503 When building wake effects and/or terrain effects are included, results from

different dispersion models can be very different<sup>129,130</sup> and caution should be exercised in the interpretation of these predictions.

- 7.504 The difficulties with modelling terrain and building downwash effects should be borne in mind, and a greater margin of uncertainty allowed for, when deciding on a declaration of an AQMA. It is noteworthy that terrain modelling is usually unnecessary if the slope is less than 10%.

### Building Wake Effect

- 7.505 In the case of building wake effects, particular care should be paid to results predicted at receptors:
- Within the main plume recirculation zone (lee of the building), where a proportion of a plume is can be trapped (or entrained), and
  - In the turbulent wake zone, which is at a greater distance on the leeside of the building.
- 7.506 In many cases, these areas are within or close to the site boundary of facilities with no public exposure nearby, but where concentrations are predicted to approach the objectives, it is recommended that further model sensitivity tests are undertaken. In some cases where there are relevant receptors, monitoring may be required to support the findings of the dispersion modelling.
- 7.507 Modellers should take care when considering the number of buildings to be input to dispersion models and the model suppliers should be contacted for further advice, as the treatment of large numbers of buildings vary depending on the model used. It is important that the buildings upon which stacks sit (on top or adjacent to) are considered as in many cases these will be the most significant buildings affecting the plume dispersion. However, there may be other tall buildings on industrials sites which may also have an impact on plume dispersion and these should be included. Where there are very complex layouts with many buildings, some sensitivity testing should be carried out as a means of determining the most significant buildings.
- 7.508 Where there are a large number of buildings in the vicinity of stack source, those taller than 40% of the stack height and the distance within 5 L from the stack (where L is the lesser of the building height and the maximum projected width) should be included. The modelled surface roughness may then be increased as a proxy to model the effect of the remaining buildings on plume dispersion if the receptors of interest are close<sup>131</sup>.

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<sup>129</sup> R&D Technical Report P353: A review of dispersion model Intercomparison studies using ISC, R91, AERMOD and ADMS

<sup>130</sup> R&D Technical Report P362: An Intercomparison of the AERMOD, ADMS and ISC dispersion models for regulatory applications

<sup>131</sup> Royal Meteorological Society Guidance: Guidelines for the Preparation of Dispersion Modelling Assessments for Compliance with Regulatory Requirements

- 7.509 In some cases, the impact of plumes on high rise buildings may need to be assessed. This can be achieved by modelling receptors at varying heights in the location of interest.

### ***Rain Shields, Vents, Areas and Volume Sources***

#### *Rain Shields*

- 7.510 Rain shields fitted on stacks affect the vertical plume rise. Depending upon the precise configuration, setting the exit velocity below 1m/s for such releases, and often as low as 0.1m/s, effectively allows only the thermal buoyancy of the efflux gases to affect plume rise and stack tip downwash (or stack induced downwash) calculations are often performed by models in these circumstances.

#### *Non-Vertical Vents*

- 7.511 Release points are sometimes non-vertical, e.g. an horizontal vent protruding from the side of a wall. Whilst most models can take this type of source into account, complex plume entrainment between buildings is likely, which cannot always be modelled reliably by dispersion models.

#### *Area and Volume Sources*

- 7.512 Most models allow users to model emissions as area and volume sources. Predicted contributions from these sources are often more uncertain. Although volume and areas sources may be used interchangeably, it is important to note that for an area source it is generally possible to vary the temperature and efflux velocity of the release, but this is not always the case for volume sources. Where the temperature of the emission source emits equal to or higher than ambient temperature, thermal buoyancy will lead to plume rise; in such circumstances modelling the release as an area source is likely to be more appropriate. Moreover, for volume sources, the modelled source height and depth are important parameters that may have a significant impact on predicted concentrations.

### ***Coastal Effects***

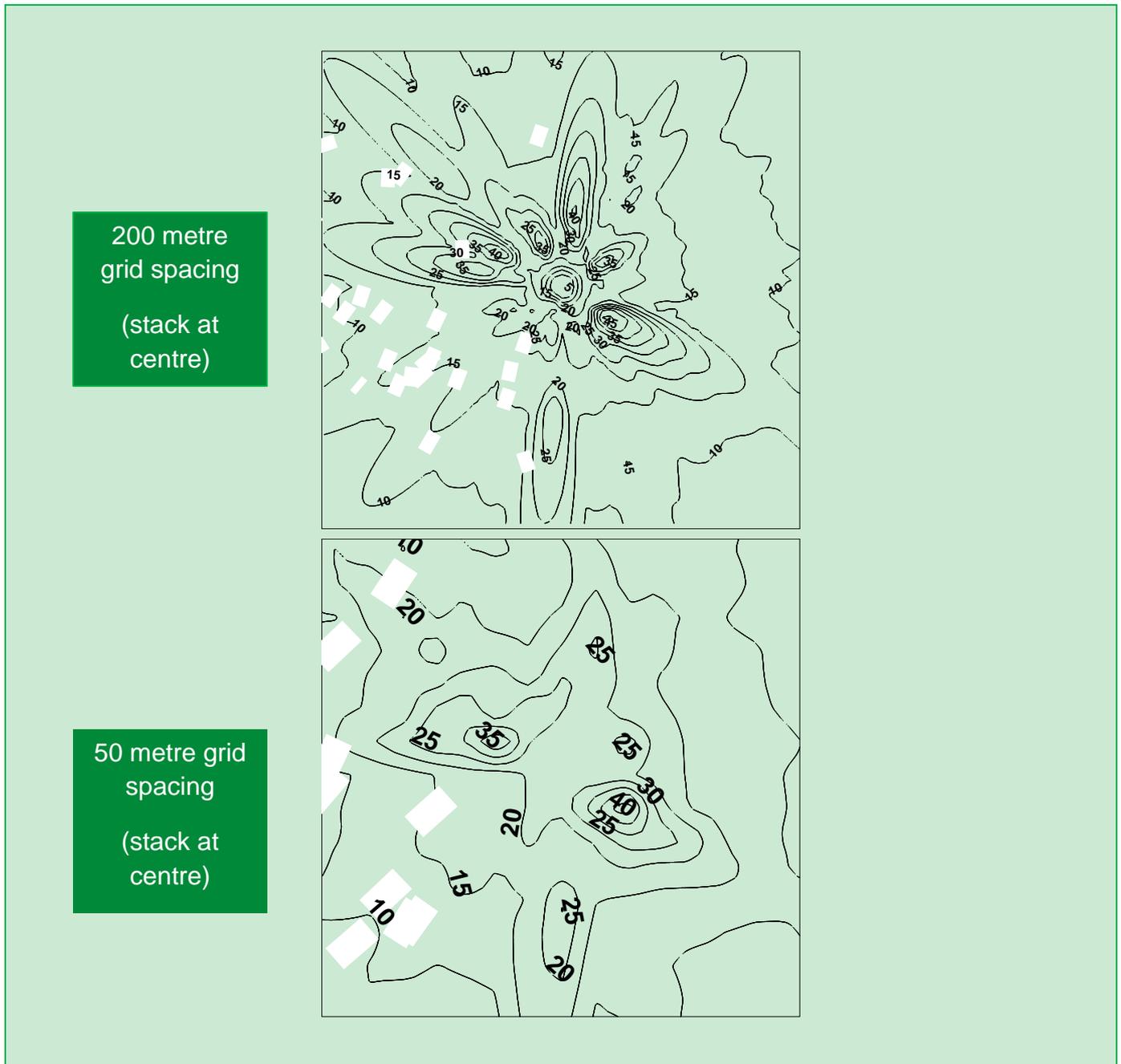
- 7.513 Some advanced dispersion models allow for the simulation of coastal effects. Coastal effects are meteorological events triggered by the temperature difference (and therefore air pressure) between the sea and land. These include the development of a sea breeze (or onshore wind) during the morning, and the reverse land breeze (offshore wind) in the evening. These meteorological events can have a significant impact on the way plumes from industrial stacks disperse in the atmosphere. Generally these effects are understood to be important only for stack sources within a maximum of 5km of the coastline. Modelling of coastal effects requires some additional meteorology data, such as sea surface temperature and temperature over land near the sea.
- 7.514 For the purpose of Review and Assessment, coastal modelling should not be required. However, in particular circumstances, local authorities may choose to investigate the impacts using dispersion modelling coastal effect options. For this

purpose, local meteorological data used as input data should be representative of the coastal location. It is also recommended that modelling is carried out with and without the coastal effects module in order to understand the difference between the predicted concentrations, as concentrations predicted using the coastal effect option in dispersion models are generally subject to more uncertainties.

### ***Spatial Resolution of Modelled Receptors***

- 7.515 Where local authorities are assessing point sources, receptor grid resolution should be in the order of 5m-50m, particularly where relevant exposure exists within 500m of a stack. In general, for an elevated stack it is recommended that the receptor grid resolution should be equal to or finer than 1.5 times the stack height. Greater spacing can result in areas of impact being missed (see example in Figure 7.7).

**Figure 7.7 – Difference in Contours based on Modelling using a 200m (upper) and 50m (lower) Receptor Grid Resolution**



### ***Meteorological Data***

- 7.516 Careful consideration needs to be given to the selection of meteorological data for use in Review and Assessment. It is particularly important that the data are representative of the area under study. Data from the nearest meteorological observing station is usually applied, but may not always be the most appropriate if there are, for example coastal or terrain influences, or major urban effects. Meteorological data suppliers can provide advice on the most appropriate observing station for any area of the UK.

### Sources of Data

- 7.517 There are a number of suppliers of meteorological data in the UK. When purchasing meteorological data it is important to confirm with the supplier that the proper Quality Assurance and Quality Control (QA/QC) has been undertaken. Information on the source of data and, where possible, the type of instrumentation employed should be obtained from the data supplier. Users should confirm whether the data provided are hourly sequential, as measured, or whether missing hours have been filled. For example, some automatic stations provide data every three or five hours, and algorithms are used to calculate the missing data. Where possible hourly measured data should be used.
- 7.518 The number of meteorological sites providing manual cloud cover is limited across the UK, but there are a large number of sites with automatic cloud cover measurements.
- 7.519 In some cases local authorities may have access to local meteorological data, including wind speed and direction, temperature and rainfall measurements. Local meteorological data can assist in many studies, particularly where it is undertaken as part of monitoring campaigns.
- 7.520 The Met Office can be contacted for advice on the placement and operation of meteorological stations. In addition, locally operated meteorological stations may not provide all of the required parameters required for dispersion modelling, for example cloud cover. The Met Office can advise on the combination of information from different stations, commonly cloud cover from one site, combined with other parameters from a different site. Local authorities should not undertake this without further advice, as suitable checks on the data should be necessary to ensure the modelling is based on robust meteorological data.

### Treatment of Calm and Missing Meteorological Data

- 7.521 In calm wind conditions (i.e. very low wind speeds), a number of models will not calculate pollutant concentrations for the relevant hours, unless some approximation is built into the model. The high percentiles of pollutants from ground level sources (for example road traffic) often occur in such calm conditions, and are therefore difficult to model with confidence. Anemometers should be capable of measuring very low wind speeds; ultrasonic anemometers are especially well suited to this.
- 7.522 Modelled outputs should be checked to identify the number of missing hours and calm hours ignored by the dispersion model. This is important when considering predictions of high percentiles and the number of exceedances.

### Calculation of Percentiles and/or Number of Exceedances of the Air Quality Objectives

- 7.523 When hourly meteorological data available is less than 85% over a year (due to missing or invalid data, or calm wind conditions ignored by the model), modelled short-term concentrations should be expressed as percentiles, rather than as number of exceedances.

### Use of Numerical Weather Prediction (NWP) Data

- 7.524 The Met Office uses the Unified Model (UM) for numerical weather prediction<sup>132</sup>. This allows meteorological data to be interpolated for any desired location, which can be used for dispersion modelling. However, when using Numerical Weather Prediction (NWP) data, modelled concentrations should be compared with those predicted based on standard meteorological observations data (OBS). Comparing modelled predictions against local monitoring may also be undertaken in order to determine the change in model performance when using NWP data.
- 7.525 NWP data may be a useful alternative to OBS data where there are no suitable meteorological data available, or where OBS data are unlikely to represent local meteorological conditions around the modelled source. NWP data may also be useful in coastal areas or location with complex terrain features if there are no OBS data available from a suitable local site, as the structure and atmospheric stability may be better represented. Detailed comparisons of the meteorological data needed for dispersion modelling, such as wind speed and direction, cloud cover, boundary layer depth, and atmospheric stability, have been carried out, which give reasonable confidence in the use of NWP data, provided that care is taken to assess the local geography and recognise the limitations associated with each type of data, OBS and NWP<sup>133</sup>.

### Selecting Year of Meteorological Data

- 7.526 There will be some difference in the prediction of the contribution of sources when using different years of meteorological data. However, this will vary between site, sources modelled, and averaging period being predicted.
- 7.527 For the purposes of Review and Assessment only one year of meteorological data need be used. The year of data used should be the same for:
- Emissions estimates;
  - Monitoring data;
  - Background estimates; and
  - Meteorological data.
- 7.528 The choice of year of meteorological data may have less influence in modelled concentrations compared to the background pollutant contributions, which can vary significantly from one year to another. Decisions regarding requirements for AQMAs and areas of exceedance should therefore be based on the worst-case year of assessment. Predictions for future years should also be based on a suitable worst-case year (see para 6.11).
- 7.529 Where point sources are modelled, choosing meteorological data for different

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<sup>132</sup> <https://www.metoffice.gov.uk/research/modelling-systems/unified-model>

<sup>133</sup> Papers by Middleton D R available for two conferences, harmo 11 and harmo 12 - [www.harmo.org](http://www.harmo.org)

years will have an impact on the predicted location of maximum concentrations.

### **Background Concentrations for Point Source Modelling**

- 7.530 Background concentrations used for point source dispersion modelling may be based on annual mean or hourly mean background data. As the main focus for point sources is usually the short-term air quality objectives (with high percentiles or number of exceedances to be predicted) this generally requires detailed consideration of background pollution, and hourly mean background data should be used when available.
- 7.531 However, annual mean background should be sufficient in cases whereby the hourly pollutant emission rates are not available. This is described in more detail below in order to allow local authorities to account for predictions of short-term percentiles.
- 7.532 The EA provides information on methods for combining background and the process contribution of sources<sup>134</sup> in relation to the relative contributions of these sources, and the risk of exceeding the relevant air quality objectives.
- 7.533 The estimates of the process contribution and background concentrations should match the relevant air quality objective or Environmental Assessment Level (EAL). For short-term air quality objectives, it is not meaningful to add percentiles of process contribution to percentiles of background as the meteorological conditions under which high ground level concentrations from a stack occur will not coincide with those that lead to high background concentrations.
- 7.534 For the assessment of annual mean concentrations, background and process contributions should be added to estimate total annual mean concentrations.
- 7.535 For the assessment of short-term concentrations, the preferred method is to add hourly mean background from a suitable background monitoring station to the hour-by-hour predicted process contribution. However, detailed hour by hour consideration of background and process contribution may not be required in the first instance. Local authorities may use the methods provided in Box 7-16 to account for background concentrations when modelling point sources and determine if the air quality objectives are likely to be exceeded or not<sup>134</sup>. If, following the methodology in Box 7-16, more detailed modelling is required; this may include variable hourly emissions (as opposed assuming continuous operations), and/or the addition of hour by hour background to hour by hour predicted process contributions. It should also be noted that this simple method cannot be used determine the location or extent of exceedances. Therefore, when deciding on the extent of the AQMA, using this method will require a much larger AQMA to be declared than may be necessary. It is recommended that local authorities proceeding to a declaration based on stack emissions sources alone carry out more detailed modelling incorporating hourly background

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<sup>134</sup> Environment Agency Science Report SC030174/1 SR1 and SR2 October 2006 - <https://www.gov.uk/government/organisations/environment-agency>

concentrations to better define the extent of the AQMA.

### Box 7-16 – Approaches to Adding Industrial Installation Contributions to Background Concentrations

For the purposes of predicting NO<sub>2</sub>, PM<sub>10</sub> and SO<sub>2</sub> concentrations due to point source emissions, the following approach is recommended in the first instance. The approach described below is likely to be conservative compared to combining modelled hourly mean process contribution with background hourly mean concentrations.

#### NO<sub>2</sub>

Where this approach suggests that the predicted increase in the 99.8<sup>th</sup> percentile above the background is more than 75% of the available headroom (the difference between the objective and background), then a more detailed approach will be required.

The 99.8<sup>th</sup> percentile of total NO<sub>2</sub> is equal to the minimum of either equation a or b:

- a) 99.8<sup>th</sup> percentile hourly background total oxidant + 0.05 × (99.8<sup>th</sup> percentile process contribution NO<sub>x</sub>);  
or
- b) the maximum of either:
  - o b1) 99.8<sup>th</sup> percentile process contribution of NO<sub>x</sub> + (2 × annual mean background NO<sub>2</sub>); or
  - o b2) 99.8<sup>th</sup> percentile hourly background NO<sub>2</sub> + (2 × annual mean process contribution of NO<sub>x</sub>).

**Note:** In equation a, the total oxidant is the sum of O<sub>3</sub> and NO<sub>2</sub> (as NO<sub>2</sub> equivalents) and should be based on summing the hour by hour concentrations from a suitable background monitoring site in order to derive the 99.8<sup>th</sup> percentile.

#### PM<sub>10</sub>

Where this approach suggests that the predicted increase in the 90.4<sup>th</sup> (or 98.1<sup>st</sup> for Scotland) percentile above the background is more than 50% of the available headroom (the difference between the objective and background), then a more detailed approach will be required.

The 90.4<sup>th</sup> percentile total 24-hour mean is equal to the maximum of either equation a or b;

- a) 90.4<sup>th</sup> percentile 24-hour mean background + annual mean process contribution; or
- b) 90.4<sup>th</sup> percentile 24-hour mean process contribution + annual mean background.

The 98.1<sup>st</sup> percentile total 24-hour mean (Scotland) is equal to the maximum of either equation a or b:

- a) 98.1<sup>st</sup> percentile 24-hour mean background + (2 × annual mean process contribution); or
- b) 98.1<sup>st</sup> percentile 24-hour mean process contribution + (2 × annual mean background contribution)

**Note:** for the 90.4<sup>th</sup> percentile for 24-hour mean, the method does not incorporate twice the annual mean contribution of the process or background.

## SO<sub>2</sub>

Where this approach suggests that the concentrations exceed 75% of the air quality objective (for example, if the total predicted 99.9<sup>th</sup> percentile of 15-minute mean SO<sub>2</sub> concentrations is great than 200µg/m<sup>3</sup>) a more detailed approach will be required.

The 99.9<sup>th</sup> percentile of total 15-minute mean is equal to the maximum of either equation a or b:

- a) 99.9<sup>th</sup> percentile 15-minute mean background + (2 × annual mean process contribution); or
- b) 99.9<sup>th</sup> percentile 15-minute mean process contribution + (2 × annual mean background contribution)

The 99.7<sup>th</sup> percentile of total 1-hour is equal to the maximum of either equation a or b;

- a) 99.7<sup>th</sup> percentile hourly background + (2 × annual mean process contribution); or
- b) 99.7<sup>th</sup> percentile hourly process contribution + (2 × annual mean background contribution)

The 99.2<sup>nd</sup> percentile of total 24-hour mean is equal to the maximum of either equation a or b;

- a) 99.2<sup>nd</sup> percentile 24-hour mean background + (2 × annual mean process contribution); or
- b) 99.2<sup>nd</sup> percentile 24-hour process contribution + (2 × annual mean background contribution).

### SO<sub>2</sub> Concentrations - What if the model does not predict 15-minute mean concentrations?

- 7.536 Some dispersion models do not predict 15-minute mean concentrations, and normally predictions of 15-minute mean concentrations should not be solely relied upon. Therefore, the 99.9<sup>th</sup> percentile of hourly means can be multiplied by 1.34 to derive the 99.9<sup>th</sup> percentile 15-minute mean required in the equations above. Where a stack is very tall (>75m) a factor of two should be considered. Where a model provides the predicted 99.9<sup>th</sup> percentile of 15-minute means this should be compared against that derived by factoring the 99.9<sup>th</sup> percentile hourly mean and higher value should generally be used.

### I don't have a continuous background monitor in my area so how can I estimate the relevant percentile of background?

- 7.537 The nearest background monitoring, for example one operated within the AURN, can be used to determine the relationship between the annual mean and the relevant percentile. This relationship can then be applied to the data for the area required such as annual mean monitoring, or mapped background concentrations.

### How do I avoid double counting of my process contribution?

- 7.538 The reports provided by the EA suggest that most of the AURN background monitoring sites are suitable to assess background concentrations of annual mean NO<sub>x</sub> and PM<sub>10</sub>, without the need to avoid double counting. However, there may be some locations where significant process contributions are expected, such as areas close to steel works and some power stations. The contribution of the process at the background monitoring site may be predicted, and compared to the measured concentration. Where the process contribution is greater than approximately 10% of the background, it may be assumed that the background from this location is not suitable and some double counting is likely to occur. For SO<sub>2</sub>, the contribution of industrial sources to background SO<sub>2</sub> is much larger than that for NO<sub>x</sub> and PM<sub>10</sub>, and therefore some double counting is more likely.

- 7.539 Further consideration of the background contribution is likely to be required where the air quality objective is approached.
- 7.540 The background maps provide the estimated source contribution of point sources within a grid square and this may be used to adjust the background concentrations. However, where the contribution is due to multiple sources, it would not be appropriate to remove the entire point source component as this may reduce background concentrations by too much.
- 7.541 Where an area has multiple point sources, removing the contribution of one source may be more difficult and it is recommended that values of Defra mapped background are selected from those grid squares outside the maximum process contribution footprint.
- 7.542 Additional methods to remove process contributions from background sites include consideration of wind and pollution roses in order to identify and remove those hours where a significant contribution from a point source has occurred.

### **Fugitive and Other Sources**

- 7.543 There may be occasions where other sources of pollution are identified through the checklists provided in the main body of this guidance. These sources may include (but are not limited to):
- Intensive poultry farms;
  - Railways;
  - Ports;
  - Waste transfer stations;
  - Airports;
  - Domestic solid fuel burning;
  - Mineral extraction sites; and
  - Construction sites.
- 7.544 The screening assessment methodology and tools provided in section 1 of this chapter should be used to determine if a more detailed investigation of these sources is needed. Dispersion modelling of these types of sources is likely to include multiple sources, for which emissions estimates will be required. Section 2 of this chapter provides information on the sources of data available to assist in emissions estimates for different sources through the NAEI.
- 7.545 It will be important to obtain the appropriate activity data for these types of sources and the operators and/or regulator of sites should be contacted in order to obtain relevant information.
- 7.546 Fugitive emissions generally arise at ground level and are difficult to quantify. Typically these are treated as area or volume sources, where emission rates can be estimated. Operators may be able to assist in the estimation of emissions due

to fugitive losses from a site or process through mass balance calculations. In the case of storage tanks emissions, material balance calculations may be more appropriate.

- 7.547 The LAQM Support Helpdesk can be contacted for further advice regarding modelling and estimation of these types of sources. However, due to the complex nature of many of these sources, including variability of activity and uncertainty of emissions estimates, monitoring will be playing an important role in the assessment of the air quality concentrations in their vicinity.
- 7.548 It is recommended that monitoring is undertaken in order to determine the requirement for more detailed studies, and this monitoring can assist in the verification of any modelling undertaken. Monitoring will also assist authorities in determining the extent of any exceedances of air quality objectives, and in the confirming the need to declare any AQMAs. However, modelling alone of these sources may be insufficient as the uncertainties around the emissions estimates and source parameters are not well defined.

## **Model Validation, Verification, Adjustment and Uncertainty**

### ***Model Validation***

- 7.549 Model validation refers to the general comparison of modelled results against monitoring data carried out by model developers. The model used should have some form of published validation assessment available and/or should be recognised as being fit for purpose by the regulatory authorities.
- 7.550 However, in most cases, the validation studies performed by model developers are unlikely to have been undertaken in the area being considered. Therefore, it is necessary to perform a comparison of the modelled results versus monitoring results at relevant locations. The results of this comparison should be included in Review and Assessment reports, and is referred to here as model verification.

### ***Why is Verification Required?***

- 7.551 The predicted results from a dispersion model may differ from measured concentrations for a large number of reasons:
- Estimates of background concentrations;
  - Meteorological data uncertainties;
  - Uncertainties in source activity data such as traffic flows, stack emissions and emissions factors;
  - Model input parameters such as roughness length, minimum Monin-Obukhov; and overall model limitations; and
  - Uncertainties associated with monitoring data, including locations.
- 7.552 Model verification is the process by which these and other uncertainties are investigated and, where possible, minimised. In reality, the differences between modelled and monitored results are likely to be a combination of all of these

aspects.

- 7.553 Throughout the Review and Assessment process it has been recognised that in many cases an adjustment of modelled results is required in order ensure that the final concentrations presented are representative of monitoring information from an area.

### ***Verification of Industrial Sources***

- 7.554 The modelled results from industrial sources alone are not expected to be adjusted. It is recognised that appropriate monitoring around stacks may not be available to allow verification of the modelled results. Furthermore, the comparison of a stack model at one monitoring location does not necessarily provide a good indication of the model performance, particularly as the location at which peak concentrations are predicted, will vary from year to year, due to changes in meteorological conditions, and may not be represented by the monitoring data. Where long-term monitoring is available it should be compared against the modelled results and commented upon.
- 7.555 The results of dispersion modelling of point sources may not agree with the results of monitoring for a number of reasons including:
- Uncertainties in emissions estimates;
  - Difficulties in determining emissions profiles;
  - Model parameters related to complex effects such as buildings and terrain; and
  - Meteorological data.
- 7.556 Local authorities comparing modelled and monitored results for a stack can contact the LAQM Support Helpdesk for further advice and assistance.
- 7.557 For the purposes of Review and Assessment, model adjustment is generally only required for road traffic modelling, not for stack or modelling of other sources.

### ***Verifying Models from which Roads are the Primary Emissions Source***

- 7.558 It is important that local authorities review the results of their modelling carefully and bear in mind that model adjustment is not the first step in improving the performance of a dispersion model. Before adjustment of a model is applied, local authorities should check their model setup parameters and input data in order reduce the uncertainties. Common improvements that can be made to a “base” model include:
- Checks on traffic data;
  - Checks on road widths;
  - Checks on distance between sources and monitoring as represented in the model;
  - Consideration of speed estimates on roads in particular at junctions

where speed limits are unlikely to be appropriate;

- Consideration of source type, such as roads and street canyons;
- Checks on estimates of background concentrations; and
- Checks on the monitoring data.

7.559 Once reasonable efforts have been made to reduce the uncertainties of input data for a model, further comparison of modelled and monitored results can be undertaken. Where discrepancies still remain, local authorities may need to consider adjusting the model.

### ***What Type of Sites Should be used for Verification?***

7.560 Kerbside sites are generally not recommended for the adjustment of road traffic modelling results as the inclusion of these sites may lead to an over-adjustment of modelling at roadside sites. The exception is where kerbside sites are relevant for exposure, for example properties fronting directly onto the road. In that case, kerbside sites may be used in the model verification process.

7.561 Dispersion models may perform differently at kerbside, roadside and background sites. For example, models may predict reasonable concentrations towards background sites, but under-predict at locations closer to the roadside. In most cases, local authorities are concerned with the predictions closer to roadside sites as these are at more risk of exceeding the air quality objectives and model verification is generally based on these locations.

7.562 Where a model has been used to predict background concentrations (for example based on an emissions inventory), the modelled background concentrations should also be verified and where necessary adjusted.

7.563 If national background maps are used, these should first be compared against any local monitoring to check they are representative of the area. In most cases there is good agreement with local monitoring, but some locations may not agree. Local authorities are not expected to verify and adjust the national background maps. Where these estimates do not agree with local monitoring, either local monitoring may be used, or local authorities may consider adjusting the background maps. The LAQM Support Helpdesk should be contacted for advice on adjusting national maps.

7.564 In addition to the consideration of roadside and background sites during model verification, local authorities should also consider separating different types of locations when comparing modelling and monitoring. For example, modelling undertaken for roadside sites in urban areas may require a different adjustment to modelling undertaken for roadside sites near motorways or trunk roads in open settings. In some cases, local authorities may also identify some urban sites such as street canyons, which perform differently to more typical urban locations. Where large differences in an adjustment factor are determined for different types of location, local authorities should consider undertaking separate adjustments within a model area in order to avoid over or under-predicting at the different types of location. For example, adjusting modelling results close to a

motorway based on verification and adjustment at street canyon sites could lead to a large over-prediction of results.

### ***What Type of Monitoring Data Should be used for Verification and Adjustment?***

- 7.565 All monitoring used for verification and/or adjustment of modelling results should be undertaken to the standards described in Section 2 of Chapter 7.
- 7.566 For the verification and adjustment of NO<sub>x</sub>/NO<sub>2</sub>, a combination of continuous monitoring and diffusion tubes is recommended. As described above, some types of sites can perform differently, and it is considered better to have multiple sites at which to verify results rather than just one continuous monitor. The use of one continuous monitor alone to derive the adjustment factor for a model is not recommended as the monitoring site may not be representative of other locations modelled, and the adjustment factor derived will be heavily dependent on the source to receptor relationship as represented by the meteorological data file used in the dispersion model.
- 7.567 Where only short-term monitoring is available for model verification, annualisation of any short-term datasets should be undertaken through the processes and examples described in Section 2 of Chapter 7. Monitoring, both automatic and non-automatic, with less than three months data capture within a monitoring period should not be used within verification calculations.
- 7.568 Where diffusion tube monitoring is used, long-term diffusion tube monitoring is preferred to short-term studies and it is recommended that local authorities implement more diffusion tube monitoring in locations identified as requiring detailed dispersion modelling. For example, if a single junction is identified from a screening assessment or the results of a single diffusion tube, then more diffusion tubes should be placed at relevant locations around the junction as soon as possible. This will provide the local authority with more information on the spatial variation of concentrations and will assist when model verification is undertaken.
- 7.569 If a short-term survey is to be used for model verification, guidance should be sought from the LAQM Support Helpdesk to confirm the methodology to be used.

### ***How do I Verify and Adjust my Modelling?***

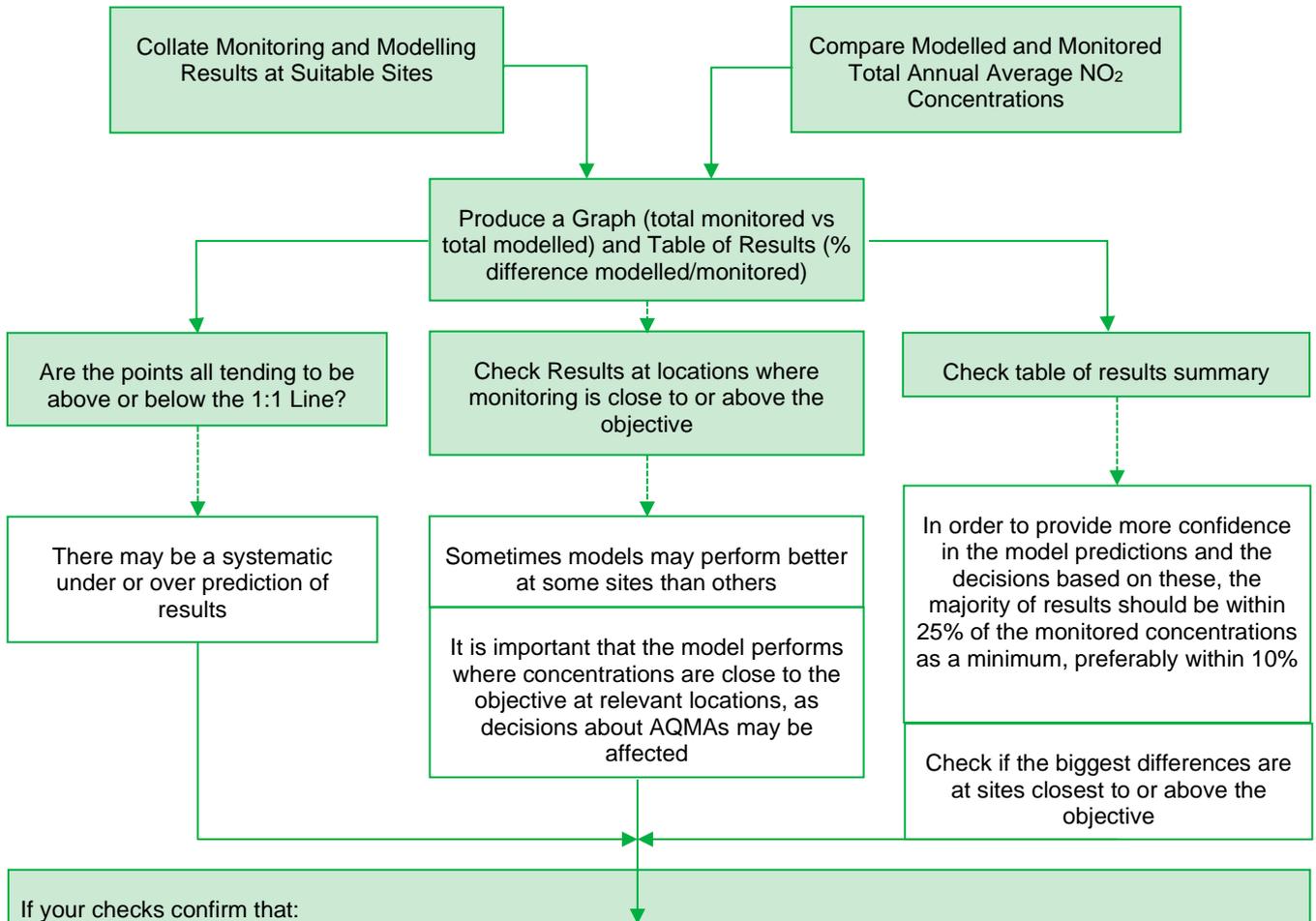
- 7.570 The process of verifying and adjusting models can be a difficult process. Box 7-17 and Box 7-18 set out some of the common steps to be taken in order to assist local authorities in understanding if their modelling is appropriate, and to help identify when adjustment of models may be required. This information is provided for NO<sub>x</sub>/NO<sub>2</sub> emissions from road traffic sources, but the same methods can be applied to PM modelling. However, local authorities generally have fewer PM<sub>10</sub> monitoring sites and even fewer PM<sub>2.5</sub>.
- 7.571 Care needs to be taken when applying model adjustment based on one monitoring site only as the adjustment may not be representative of other locations.

- 7.572 In the absence of any PM<sub>10</sub> data for verification, it may be appropriate to apply the road-NO<sub>x</sub> adjustment to the modelled road-PM<sub>10</sub>. If this identifies exceedances of the objective, then it would be appropriate to monitor PM<sub>10</sub> to confirm the findings.
- 7.573 When only road traffic sources have been modelled, the predicted concentration from the model, without any background, should be referred to as the “road source contribution”. The contribution can be estimated for both monitored and modelled data by subtracting the background concentration from the total concentration. This method can be applied for NO<sub>x</sub>, NO<sub>2</sub> and PM.
- 7.574 As described above, there are a number of reasons why modelling and monitoring results differ. When modelling road traffic sources, errors are likely to apply to both the road source contribution and background contributions, however, it is common to apply the adjustment only to the road source contribution.
- 7.575 When model adjustment is undertaken this should be based on NO<sub>x</sub> and not NO<sub>2</sub>, as explained in Box 7-18. Where diffusion tubes are used in the calculation of the model adjustment, NO<sub>x</sub> will need to be derived from NO<sub>2</sub> using the NO<sub>x</sub> to NO<sub>2</sub> Calculator published on the LAQM Support website<sup>80</sup>.
- 7.576 Local authorities are reminded that adjustment of modelling should not be based on the total NO<sub>x</sub> (or NO<sub>2</sub>) concentrations unless the adjustment is very small (for example within 5%). This is because any adjustment of the total concentration would also be applied to the background contribution. In many cases, background is based on national maps or local monitoring, adjustment of this component could result in unrepresentative estimates of the background concentrations across the area. Such adjustment could result in unrealistic estimates of different source contributions and may affect the outcome of source apportionment studies undertaken as part of further assessments and action plans.
- 7.577 It is important to remember that a number of assumptions are made when undertaking model adjustment and it should be recognised that any adjustment carried out is a reflection of the specific scenario modelling and the availability and quality of input data and monitoring data.
- 7.578 Local authorities are encouraged to contact the LAQM Support Helpdesk for advice and assistance during the verification process.

## Box 7-17 – Initial Comparison of Modelled and Monitored Total NO<sub>2</sub> Concentrations

These comparisons may be performed when using NO<sub>2</sub> concentrations predicted by dispersion models directly (including background assumptions and chemical conversions)

If a model is used to predict the road contribution of NO<sub>x</sub> only or the comparison of modelled and monitored NO<sub>2</sub> indicates that model adjustment is required, then Box 7-18 should be used to verify and adjust the NO<sub>x</sub> concentrations before they are used within empirical equations or models



If your checks confirm that:

- there is no systematic under or over prediction;
- predictions at sites where monitoring shows concentrations are close to the objective show good comparison; and
- the majority of results are within 25% (as a minimum - preferably within 10%) of monitored concentrations.

Then you do not necessarily need to adjust your modelling results. However, you may consider model adjustment as this can lead to further improvements in the results obtained, for example where all results move to within 10% of monitored concentrations.

Otherwise you will need to consider altering the model inputs and rerunning in order to improve the results of the comparison and verification. You should ensure that checks on model input parameters include aspects such as background assumptions, receptor locations, source setup (street canyons, widths), and traffic data assumptions (for example speeds). It is also important to check that the units of measurements are consistent (i.e. you are not comparing ppb with  $\mu\text{g}/\text{m}^3$ ) and that monitoring data are also checked again to ensure locations, averaging and annualisation are correct.

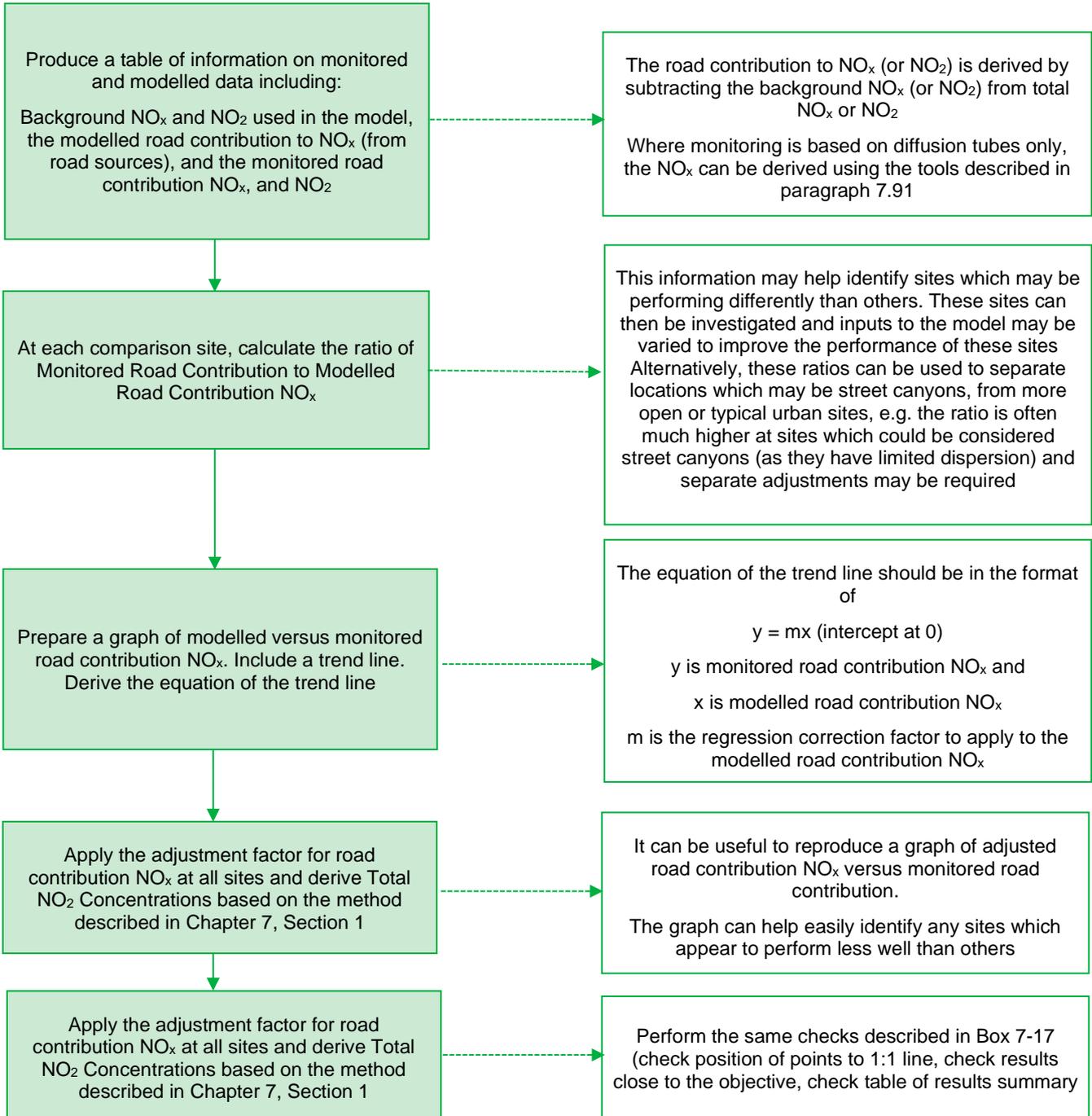
Box 7-18 provides some guidance to assist local authorities in adjusting the road traffic contribution. Check if the biggest differences are at sites closest to or above the objective.

## Box 7-18 – Comparison of Road-NO<sub>x</sub> Contributions Followed by Adjustment

The recommended method for converting NO<sub>x</sub> to NO<sub>2</sub> and vice versa is described in paras 7.88 to 7.95. The modelled NO<sub>x</sub> must be verified (which may include adjustment) before they are used within empirical equations or models.

The adjustment of NO<sub>x</sub> is often carried out on the component derived from local Road Traffic emissions – the ‘Road Contribution’

If continuous monitoring is included within the model verification, then it is recommended that you check that the method used for converting NO<sub>x</sub> to NO<sub>2</sub> applies at the monitoring site. Where the monitored NO<sub>2</sub> differs significantly from that derived using the conversion method, users may find additional adjustment is required as part of the model verification in order to correct for these differences



## Box 7-19 – Worked Example of Verification

This box shows a worked example of the verification process. The example assumes the model is for road sources and there are three monitoring locations within the study area.

### Step 1

Gather data regarding the monitoring sites at which the model verification is to be undertaken, additionally data for the background concentrations to be used from Defra Background Maps or local monitoring should be obtained. A worked example table is shown below.

Monitoring Location	Monitoring Result ( $\mu\text{g}/\text{m}^3$ )	Background NO <sub>x</sub> ( $\mu\text{g}/\text{m}^3$ )	Background NO <sub>2</sub> ( $\mu\text{g}/\text{m}^3$ )
Site 1	33.5	27.4	19.2
Site 2	25.5	23.4	16.8
Site 3	31.2	25.1	17.9

The example shown above has sourced background concentrations for the above pollutants from Defra Background Maps.

### Step 2

Obtain the modelled NO<sub>x</sub> output as shown below.

Monitoring Location	Monitoring Result ( $\mu\text{g}/\text{m}^3$ )	Background NO <sub>x</sub> ( $\mu\text{g}/\text{m}^3$ )	Background NO <sub>2</sub> ( $\mu\text{g}/\text{m}^3$ )	Modelled Road NO <sub>x</sub> ( $\mu\text{g}/\text{m}^3$ ) <sup>a</sup>
Site 1	33.5	27.4	19.2	15.2
Site 2	25.5	23.4	16.8	7.4
Site 3	31.2	25.1	17.9	9.2

<sup>a</sup>This will be output directly from the model.

To determine whether the unadjusted modelled NO<sub>x</sub> concentrations are suitable, the percentage difference between the total **modelled** NO<sub>2</sub> and total **monitored** NO<sub>2</sub> at each monitoring site is required to be within 25% or ideally within 10% as stated within Box 7.17

To calculate the modelled NO<sub>2</sub> at each site to allow for this comparison, the following step should be undertaken.

### Step 3

Using the NO<sub>x</sub> to NO<sub>2</sub> calculator, the total modelled NO<sub>2</sub> can be calculated based on the modelled NO<sub>x</sub> output and background concentrations for NO<sub>2</sub>.

The 'general inputs tab' on the NO<sub>x</sub> to NO<sub>2</sub> calculator should be correctly filled in based on;

- modelling verification year, this should be the same year as the monitoring data for the selected sites,
- local authority in which the monitoring locations are situated (a different NO<sub>x</sub> to NO<sub>2</sub> calculation sheet should be used for any monitoring sites within a different local authority) , and,
- the traffic mix of the monitoring locations or area.

Once these are complete the 'NO<sub>x</sub> to NO<sub>2</sub>' tab should be selected.

Within the NO<sub>x</sub> to NO<sub>2</sub> tab, the relevant sections should be filled in. Primarily, the Site ID of the monitoring sites to be used in the verification process, the modelled NO<sub>x</sub> (road increment NO<sub>x</sub>) and the background concentrations for both NO<sub>x</sub> and NO<sub>2</sub> at those monitoring sites. Note that the local background can be entered as NO<sub>x</sub> OR NO<sub>2</sub> within the calculator.

Once the NO<sub>x</sub> to NO<sub>2</sub> calculator is run, the total NO<sub>2</sub> and road NO<sub>2</sub> at the monitoring sites is calculated. The total NO<sub>2</sub> calculated can be compared as shown in the table below.

Monitoring Location	Monitoring Result (µg/m <sup>3</sup> )	Background NO <sub>x</sub> (µg/m <sup>3</sup> )	Background NO <sub>2</sub> (µg/m <sup>3</sup> )	Modelled Road NO <sub>x</sub> <sup>a</sup> (µg/m <sup>3</sup> )	Total Modelled NO <sub>2</sub> <sup>b</sup> (µg/m <sup>3</sup> )
Site 1	33.5	27.4	19.2	15.2	27.09
Site 2	25.5	23.4	16.8	7.4	20.67
Site 3	31.2	25.1	17.9	9.2	22.71

<sup>a</sup>This will be output directly from the model.

<sup>b</sup>This can be derived from the NO<sub>x</sub> to NO<sub>2</sub> calculator hosted on the LAQM website.

The percentage difference between the total modelled NO<sub>2</sub> and the monitored NO<sub>2</sub> at each site can be calculated using the formula.

- $[(\text{Modelled} - \text{Monitored})/\text{Monitored}] \times 100$

Monitoring Location	Monitoring Result (µg/m <sup>3</sup> )	Background NO <sub>x</sub>	Background NO <sub>2</sub>	Modelled Road NO <sub>x</sub> <sup>a</sup>	Total Modelled NO <sub>2</sub> <sup>b</sup>	% Difference
Site 1	33.5	27.4	19.2	15.2	27.09	-19.13
Site 2	25.5	23.4	16.8	7.4	20.67	-18.94
Site 3	31.2	25.1	17.9	9.2	22.71	-27.21

<sup>a</sup>This will be output directly from the model.

<sup>b</sup>This can be derived from the NO<sub>x</sub> to NO<sub>2</sub> calculator hosted on the LAQM website.

If the difference of each monitoring site is over 25% then the model should be adjusted. It can be seen here in this example, that the model is underpredicting when compared to the monitored concentrations. None of the sites are within the ideal 10% difference and Site 3 is outside the 25% difference.

If the difference of each of the monitoring sites is within 25% and the bullet point checks shown in Box 7-17 are acceptable, then no model adjustment is required, but consideration should be given to the following steps to create the most reliable model possible with the available inputs.

#### Step 4

To derive an adjustment factor for the model outputs, a graph of the modelled vs monitored road NO<sub>x</sub> contribution should be produced including a trend line intercepted at 0. The trend line should be in the format  $y = mx$  (intercept at 0). With;

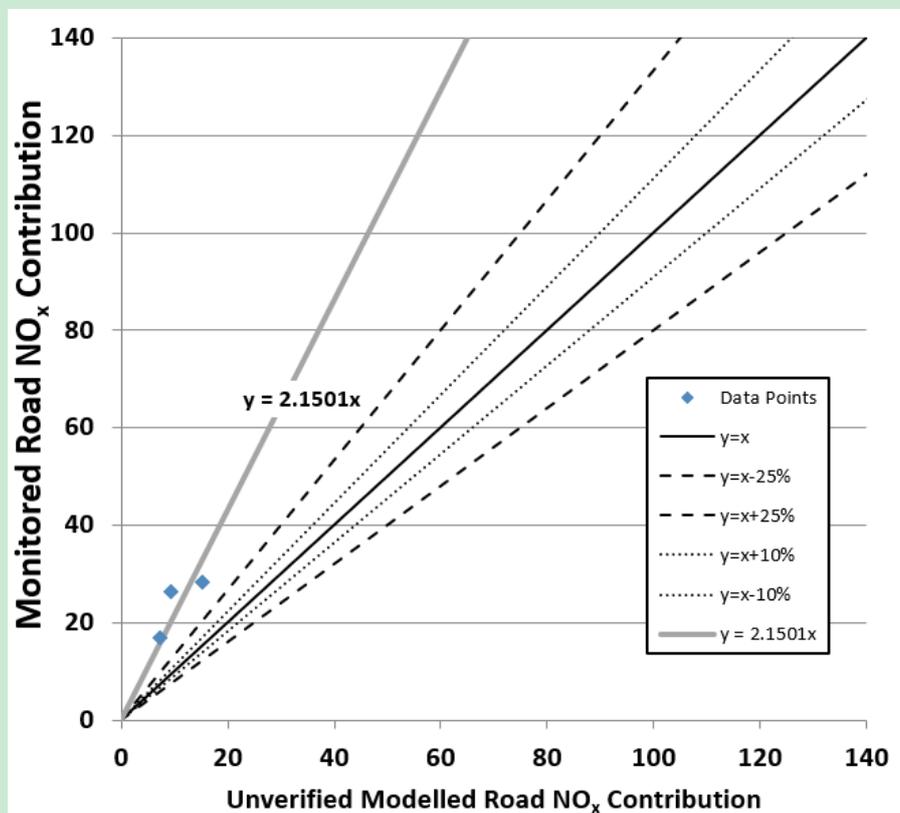
- $y$  as the monitored road contribution NO<sub>x</sub>,
- $x$  as the modelled road contribution NO<sub>x</sub>
- $m$  as the correction/adjustment/verification factor to apply to the modelled road contribution NO<sub>x</sub>.

Modelled Road NO<sub>x</sub> is available from the model output. To calculate the monitored road NO<sub>x</sub> contribution the 'diffusion tube' tab of the NO<sub>x</sub> to NO<sub>2</sub> calculator should now be used. The information on the general inputs tab should remain the same. Within the 'diffusion tube' tab, the Site ID should be inputted alongside the monitored NO<sub>2</sub> concentration at the verification sites and the background NO<sub>x</sub> or NO<sub>2</sub> concentrations.

Using the NO<sub>x</sub> to NO<sub>2</sub> calculator, the 'Diffusion tube' tab should now be selected. The information on the general inputs tab should remain the same. Within the diffusion tube tab, the Site ID should be inputted alongside the monitored NO<sub>2</sub> concentration at the verification sites and the background NO<sub>x</sub> or NO<sub>2</sub> concentrations.

Once all the above information has been input, the NO<sub>x</sub> to NO<sub>2</sub> calculator can be run. Once run, this calculates the monitored road NO<sub>x</sub> contribution in µg/m<sup>3</sup>.

When the graph mentioned above has been created using the calculated monitored road NO<sub>x</sub> and modelled road NO<sub>x</sub>, the formula of the trend line indicates an appropriate adjustment factor. A graphical representation of the trend line and formula are shown below.



As shown in the graph above the adjustment factor has been calculated at 2.1501.

**Step 5**

Once the adjustment factor has been calculated the percentage difference between the total modelled NO<sub>2</sub> and monitored NO<sub>2</sub> should be re-calculated to determine if all monitoring sites are within the minimum 25%.

As shown in the graph and formula above, in order to achieve the monitored road contribution NO<sub>x</sub>, the modelled road NO<sub>x</sub> should be multiplied by the calculated adjustment factor of 2.1501. The calculated adjustment factor should be applied to all monitoring verification sites and all modelled receptor sites within the study area. The table below illustrates the process of calculating the adjusted modelled road NO<sub>x</sub>.

Monitoring Location	Monitoring Result (µg/m <sup>3</sup> )	Modelled Road NO <sub>x</sub> <sup>a</sup>	Adjustment Factor <sup>b</sup>	Adjusted Modelled Road NO <sub>x</sub> <sup>c</sup>	Monitored Road NO <sub>x</sub> <sup>d</sup>
Site 1	33.5	15.2	2.1501	32.75	27.09
Site 2	25.5	7.4	2.1501	15.80	20.67
Site 3	31.2	9.2	2.1501	19.78	22.71

<sup>a</sup>This will be output directly from the model.

<sup>b</sup>This can be derived from y=mx graph, the factor will be m.

<sup>c</sup>This is the output directly from the model multiplied by the adjustment factor

<sup>d</sup>This can be derived from the NO<sub>x</sub> to NO<sub>2</sub> calculator hosted on the LAQM website.

**Step 6**

Once the Adjusted Modelled Road NO<sub>x</sub> has been calculated, Step 3 should be undertaken again to calculate the total modelled NO<sub>2</sub> to compare against the monitored NO<sub>2</sub> to determine if all monitoring sites are now within 25%.

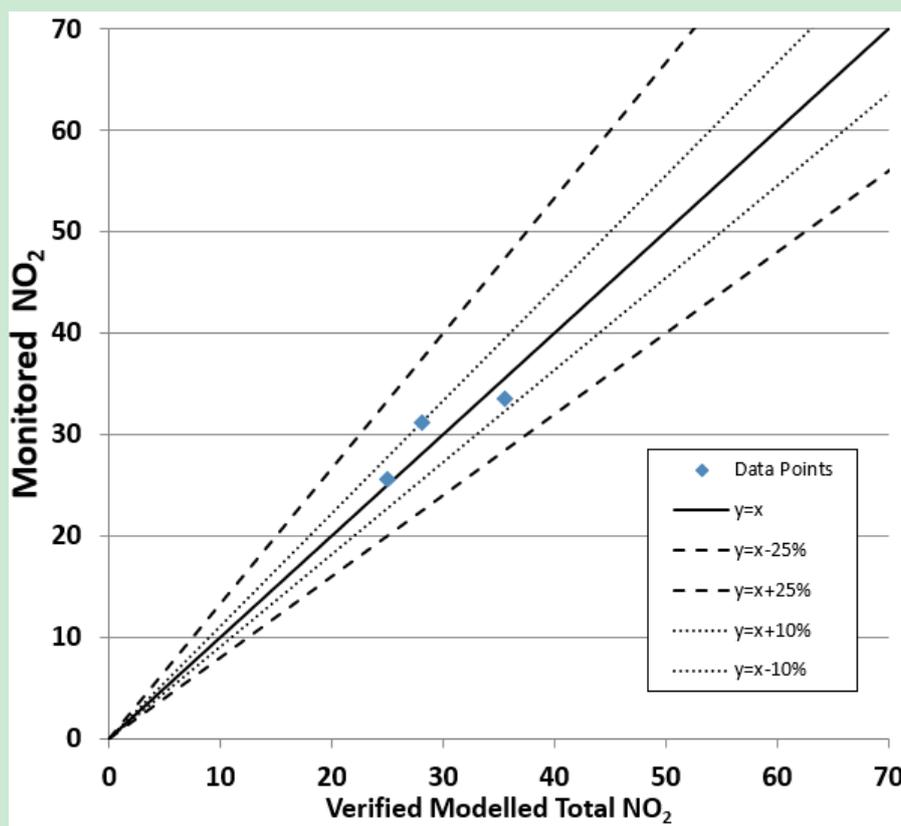
The NO<sub>x</sub> to NO<sub>2</sub> calculator should be used with the 'NO<sub>x</sub> to NO<sub>2</sub>' tab. The newly adjusted modelled road NO<sub>x</sub> should now be inputted into the road increment NO<sub>x</sub> column with the same background concentrations for NO<sub>2</sub> and NO<sub>x</sub> used above. Once the information is inputted and the NO<sub>x</sub> to NO<sub>2</sub> calculator is run, the percentage difference between the calculated total modelled NO<sub>2</sub> can once again be compared to the monitored NO<sub>2</sub>.

Monitoring Location	Monitoring Result (µg/m <sup>3</sup> )	Background NO <sub>x</sub> (µg/m <sup>3</sup> )	Background NO <sub>2</sub> (µg/m <sup>3</sup> )	Adjusted Modelled Road NO <sub>x</sub> <sup>a</sup> (µg/m <sup>3</sup> )	Adjusted Total Modelled NO <sub>2</sub> <sup>b</sup> (µg/m <sup>3</sup> )	% Difference (µg/m <sup>3</sup> )
Site 1	33.5	27.4	19.2	32.75	35.54	6.09
Site 2	25.5	23.4	16.8	15.80	25.02	-1.88
Site 3	31.2	25.1	17.9	19.78	28.06	-10.06

<sup>a</sup> This is the output directly from the model multiplied by the adjustment factor

<sup>b</sup> This can be derived from the NO<sub>x</sub> to NO<sub>2</sub> calculator hosted on the LAQM website

As the total modelled NO<sub>2</sub> all monitoring sites are within 25% of the monitored NO<sub>2</sub> the verification is considered suitable. All modelled NO<sub>x</sub> outputs should have the adjustment factor calculated applied prior to calculated the total NO<sub>2</sub>. This is shown graphically below.



#### Step 7

If, following the model adjustment in step 6, Further inspection of the model inputs such as traffic inputs, checking of monitoring locations and review of background concentrations should be made.

## Box 7-20 – Importance of an Approach to Verifying Modelled NO<sub>2</sub> Concentrations from Road Traffic

There are two important reasons why initial verification of the model output should be based on the source contribution to NO<sub>x</sub>, rather than the total NO<sub>x</sub> concentration (i.e. source plus background NO<sub>x</sub>) or the NO<sub>2</sub> concentration alone:

- The contribution of source NO<sub>x</sub> to total NO<sub>x</sub> (including the background NO<sub>x</sub>) is often small. If the source and background NO<sub>x</sub> values are added together, the effect will be to 'smooth' the performance of the model, and any adjustment of the model output based on the verification study will be weighted towards the background assumptions.
- The annual mean NO<sub>2</sub> to NO<sub>x</sub> relationship is relatively flat in the principal region of interest (i.e. around the 40µg/m<sup>3</sup> objective). Relatively large changes in NO<sub>x</sub> around this region may result in only small changes in predicted NO<sub>2</sub> levels. Again, the effect is to 'smooth' the model performance.

### Example

The following example illustrates the reason why it is important to verify the modelled road contribution separately. A modelling study gives rise to an unadjusted annual mean NO<sub>x</sub> contribution from a small road network [**NO<sub>x</sub>(road)**] of 15µg/m<sup>3</sup> at the monitoring site alongside the road. The annual mean background NO<sub>x</sub> for this location is 60µg/m<sup>3</sup>, and annual mean background NO<sub>2</sub> is 34.5µg/m<sup>3</sup>. This gives rise to a calculated **total NO<sub>2</sub>** of 39.2µg/m<sup>3</sup>.

The measured NO<sub>2</sub> concentration at the roadside monitor at the receptor location is 41.5µg/m<sup>3</sup>. Comparison of the predicted and measured NO<sub>2</sub> concentrations would indicate that the model is performing well and under-predicting by only 6%. However, to achieve a predicted [**NO<sub>2</sub>(total)**] concentration of 41.5µg/m<sup>3</sup> requires the predicted [**NO<sub>x</sub>(road)**] concentration to be increased from 15µg/m<sup>3</sup> to 23µg/m<sup>3</sup>. In reality, the model is under-predicting the NO<sub>x</sub> contribution from the road by 35%.

## Model Uncertainty

7.579 Local authorities may wish to evaluate their model performance, where possible, in order to establish confidence in model results. The total uncertainty associated with the model could be associated with a variety of factors including<sup>135</sup>:

- Model uncertainty – due to model formulations;
- Data uncertainty – due to errors in input data, including emissions estimates, background estimates and meteorology; and
- Variability – randomness of measurements used.

7.580 A number of statistical procedures are available to evaluate model performance and assess the uncertainties. A detailed study<sup>136</sup> estimating model uncertainty recommended that a subset of statistical parameters be used to describe the general uncertainties of dispersion models. The statistical parameters include

<sup>135</sup> Morgan, M.G., Henrion, M., 1990. *Uncertainty: A Guide to Dealing with Uncertainty in Quantitative Risk and Policy Analysis*. New York: Cambridge Univ. Press

<sup>136</sup> Carlos Borrego, Ana Isabel Miranda, Ana Margarida Costa, Alexandra Monteiro, Joana Ferreira, Helena Martins, Oxana Tchepel, Ana Cristina Carvalho, 2006. *Cross-Cutting 2: Uncertainties of Models & Monitoring*. Report produced for EU under project Air4EU

(but are not limited to):

- The correlation coefficient;
- Fractional bias; and
- Root Mean Square Error (RMSE).

7.581 These parameters estimate how the model results agree or diverge from the observations.

7.582 These calculations can be carried out prior to, and after adjustment, or based on different options for adjustment, and can provide useful information on model improvement. The formulae for correlation coefficient, fractional bias and RMSE are provided in Box 7-21.

### Box 7-21 – Methods and Formulae for Description of Model Uncertainty

Statistical parameter	Formula	Comments	Ideal value
Correlation Coefficient	$r = \left[ \frac{\sum_{i=1}^N (Obs_i - Avg.Obs)(Pred_i - Avg.Pred)}{Stdev.Obs \times Stdev.Pred} \right]$	It is used to measure the linear relationship between predicted and observed data. A value of zero means no relationship and a value of 1 means absolute relationship. This statistic can be particularly useful when comparing a large number of model and observed data points.	1.00
Root Mean Square Error	$RMSE = \sqrt{\frac{1}{N} \sum_{i=1}^N (Obs_i - Pred_i)^2}$	RMSE is used to define the average error or uncertainty of the model. The units of RMSE are the same as the quantities compared.	0.0
Fractional Bias	$FB = \frac{(Avg.Obs - Avg.Pred)}{0.5(Avg.Obs + Avg.Pred)}$	It is used to identify if the model shows a systematic tendency to over or under predict.  FB values vary between +2 and -2 and has an ideal value of zero. Negative values suggest a model over-prediction and positive values suggest a model under-prediction.	0.0

Definitions:

i = the number of observations compared, 1, 2, 3 .... N, N = total number of observations compared, Obs = observed concentration, Pred = predicted concentration, Avg.Obs = average of all observed concentrations, Avg.Pred = average of all predicted concentrations, Stdev.Obs = standard deviation of observed concentrations, Stdev.pred = standard deviation of predicted concentrations

- 7.583 These statistical methods could be used for the following comparisons:
- To compare the observations against the predictions from a given model in order to evaluate its performance and uncertainty.
  - To compare the observations with the predictions from a number of set ups of a given model, often termed model sensitivity. This may help to identify which model set up performs better. An example may be comparing the outcomes of modelling based on different sets of meteorological data.
  - To compare the observations with predictions from different models. This will show which model performs better for a given scenario.
- 7.584 In the first instance, where a local authority wishes to assess the uncertainty of a model, RMSE is quite simple to calculate, providing an estimate the average error of the model in the same units as the observations. The RMSE is often easier to interpret than other statistical parameters and many local authorities may find calculation of the RMSE the most useful of the other parameters.
- 7.585 If the RMSE values are higher than  $\pm 25\%$  of the objective being assessed, it is recommended that the model inputs and verification should be revisited in order to make improvements. For example, if the model predictions are for the annual mean  $\text{NO}_2$  objective of  $40\mu\text{g}/\text{m}^3$ , if an RMSE of  $10\mu\text{g}/\text{m}^3$  or above is determined for a model, the local authority would be advised to revisit the model parameters and model verification. Ideally an RMSE within 10% of the air quality objective would be derived, which equates to  $4\mu\text{g}/\text{m}^3$  for the annual average  $\text{NO}_2$  objective.
- 7.586 The fractional bias of the model may be used in order to identify if the model shows a systematic tendency to over or under predict. However, care should be taken when using this statistic particularly where local authorities are concerned about the performance of the model at concentrations close to the air quality objective being assessed. The fractional bias provides the tendency of the whole model to under or over predict and local authorities should consider the performance at each site as described in the model verification examples provided above.
- 7.587 The correlation coefficient could be applied particularly in cases where large datasets such as hourly observations and predictions are being compared but this is not recommended for smaller datasets. It is generally less useful for smaller datasets and can be controlled by single points at the upper or lower ranges of datasets.
- 7.588 However, local authorities are reminded that it is important to check that a model is performing where concentrations close to the relevant objective are being considered. For example, a model may over-predict at background locations, but under-predict at higher concentrations close to the objective. Therefore, the average performance of a model is not necessarily a good description of the performance at all locations. Local authorities should consider this as decisions related to declaration of AQMAs may be affected.

- 7.589 Local authorities are not required to assess the uncertainty of their model predictions. However, the statistical methods provided will assist in providing more confidence in model results and the decisions based on the results. The LAQM Support Helpdesk may be contacted for further information on the calculation of model uncertainty.

### **Damage Costs**

- 7.590 Chapter 9 of LAQM.PG22 sets out Defra's development of abatement cost guidance for the purposes of Air Quality Appraisal. These Damage costs are based on the health impact on society of a change in emissions. Costs are available for a range of pollutants which are linked to LAQM (NO<sub>2</sub>, NO<sub>x</sub>, SO<sub>2</sub>, NH<sub>3</sub>, VOCs and PM<sub>2.5</sub>). The Damage Costs have been developed to assess the effects of air pollution within economic appraisals and can help a local authority with understanding changes in emissions as a monetary figure.
- 7.591 Guidance for completing Damage Costs Assessments is available here:  
<https://www.gov.uk/government/publications/assess-the-impact-of-air-quality>

# Glossary

Term	Definition
$\mu\text{g}/\text{m}^3$	Micrograms per cubic metre
AADT	Annual Average Daily Traffic
AIR-PT	An independent analytical proficiency-testing (PT) scheme, operated by LGC Standards and supported by the Health and Safety Laboratory (HSL)
Annualisation	The process of estimating annual means from the extrapolation of short-term monitoring results
APR	Annual Progress Report
AQAP	Air Quality Action Plan. A detailed description of measures, outcomes, achievement dates and implementation methods, showing how the local authority intends to achieve air quality objectives
AQMA	Air Quality Management Area. An area where air pollutant concentrations exceed / are likely to exceed the relevant air quality objectives. AQMAs are declared for specific pollutants and objectives
ASR	Annual Status Report
AURN	Automatic Urban and Rural Network
BAM	Beta Attenuation Monitors
Bias Correction	For $\text{NO}_2$ diffusion tubes, bias represents the overall tendency of the tubes to under or over-read relative to the reference chemiluminescence analyser. This should not be confused with precision, which is an indication of how similar the results of duplicate or triplicate tubes are to each other. It is necessary to calculate a bias factor and adjust monitored results accordingly
$\text{C}_4\text{H}_6$	1,3-Butadiene
$\text{C}_6\text{H}_6$	Benzene
CAZ	Clean Air Zone. Where certain types of vehicles cannot enter without meeting set emission standards or facing a penalty charge
Chemiluminescence	The emission of a photon of light during a chemical reaction which does not produce significant quantities of heat
CHM	Department of Environment (DoE) Chimney Height Memorandum (CHM) 3 <sup>rd</sup> Edition
CO	Carbon monoxide
Defra	Department for Environment, Food and Rural Affairs
DfT	Department for Transport
Detailed Assessment	Use of a detailed dispersion model to determine if a particular emissions source is likely to create an exceedance of a given Air Quality Strategy objective

Term	Definition
Dispersion Modelling	The mathematical computation of the dispersal of emissions as they travel through the ambient atmosphere
DOAS	Differential Optical Absorption Spectrometer
EA	Environment Agency (England)
EF	Emission factor
Effective Stack Height	The height of an emissions release relative to the influence of adjacent buildings
EFT	Emissions Factors Toolkit
ELV	Emission Limit Values
E-PRTR	European Pollutant Release and Transfer Register
Exceedance	Where ambient concentrations for a given pollutant and averaging period are above that which is given as the objective limit in the Air Quality Strategy at a location representative of public exposure
FDMS	Filter Dynamics Measurement System
f-NO <sub>2</sub>	The fraction of overall nitrogen oxides that are emitted directly as nitrogen dioxide
Fugitive Emissions	Emissions brought about by unintended or irregular releases that do not pass through the intended emissions point, mostly from industrial activities
g/GJ	grams per gigajoule
GIS	Geographical Information System
GLA	Greater London Authority
GSS	Environment Agency (EA) Guidance on Stationary Sources (GSS)
HDV	Heavy Duty Vehicle
HGV	Heavy Goods Vehicle
Hot-spot	A localised area where emissions and/or concentrations of a given pollutant are notably higher than is generally the case across the wider local authority area
IPPC	Integrated Pollution Prevention and Control
Kerb	In the context of LAQM, the kerb is defined as the edge of the carriageway with free-flowing traffic. In most instances, this will be the physical kerb with the pavement, although in some cases, where for example stationary vehicles are regularly parked alongside a road, the 'nominal' kerb may be classed as being within the road itself, away from the 'physical' kerb
KPH	Kilometres per hour
LAPPC	Local Air Pollution Prevention and Control
LAQM	Local Air Quality Management

Term	Definition
LAQM.PG22	Local Air Quality Management Policy Guidance 2022
LAQM.TG22	Local Air Quality Management Technical Guidance 2022
LDV	Light Duty Vehicle
LEP	Low Emission Partnership
LEZ	Low Emissions Zone. Where certain types of vehicles cannot enter without meeting set emission standards or facing a penalty charge
LGV	Light Goods Vehicle
Local Background	<p>In a broader sense, the "local background" can be said to be equal to the "total background" concentration at any given point, with the term "local" used to clarify that this must be relevant to the geographical point in question.</p> <p>However, in some contexts (particularly source apportionment), "local background" is a component of the "total background". It then relates to sources that contribute to the "total background" that lie within a local authority area, which they should thus have some influence over. In this case, the "total background" would be equal to the "local background" + the "regional background"</p>
LTP	Local Transport Plan
MCERTS	Monitoring Certification Scheme, providing the framework for businesses to meet monitoring quality requirements
Model Verification	A comparison of the modelled results versus monitoring results at relevant locations to enable the adjustment of model outputs, minimising the inherent uncertainties associated with dispersion modelling
MPH	Miles per hour
NAEI	National Atmospheric Emissions Inventory
NIEA	Northern Ireland Environment Agency
NO <sub>2</sub>	Nitrogen dioxide
NO <sub>x</sub>	Oxides of nitrogen
NRMM	Non-Road Mobile Machinery
NRW	Natural Resources Wales
NTM	National Traffic Model
NWP	Numerical Weather Prediction
O <sub>3</sub>	Ozone
OBS	Meteorological Observations data
PAH	Polycyclic Aromatic Hydrocarbons
Pb	Lead

Term	Definition
Plant	Industrial, manufacturing or construction mechanical equipment or vehicle
PM <sub>10</sub>	Airborne particulate matter with an aerodynamic diameter of 10µm (micrometres or microns) or less
PM <sub>2.5</sub>	Airborne particulate matter with an aerodynamic diameter of 2.5µm or less
ppbV	parts per billion by volume
Primary Source	A source of emissions that directly contributes to the concentrations of a given pollutant
QA/QC	Quality Assurance and Quality Control
Recirculation Zone	Area of air flow composed of one or more vortex created by an obstructive object, which has the effect of increasing concentrations of a pollutant by limiting their dispersal
Regional Background	The component of the "total background" that does not come from local sources, thus is outside of direct local authority control. This is represented by the "rural" column in the national background maps
Relevant Receptor	A location representative of human (or ecological) exposure to a pollutant, over a time period relevant to the objective that is being assessed against, where the Air Quality Strategy objectives are considered to apply
RMSE	Root Mean Square Error
Screening Assessment	Use of a screening tool to determine if a particular emissions source is likely to create an exceedance of a given Air Quality objective
Secondary Source	A source of emissions that in-directly contributes to the concentrations of a given pollutant, primarily via chemical reaction with other components of the atmosphere
SEPA	Scottish Environment Protection Agency
SO <sub>2</sub>	Sulphur dioxide
Source Apportionment	The process of attributing the relative contribution of individual emissions sources to the overall ambient concentration of a given pollutant
Street Canyon	Generally defined as narrow streets where the height of buildings on both sides of the road is greater than the road width, leading to the formation of vortices and recirculation of air flow that can trap pollutants and restrict dispersion
Target Emission Rate	The calculated emissions rate at which it is considered unlikely that the given objective for a pollutant and averaging period will be exceeded, to be obtained through the LAQM screening tools
TEA	Triethanolamine
TEMPro	Transport Trip End Model Presentation Programme

Term	Definition
TEOM	Tapered Element Oscillating Microbalance
TEOM-FDMS	Tapered Element Oscillating Microbalance Filter Dynamics Measurement System
TfL	Transport for London
Total Background	The "total background" is equal to the "local background" + the "regional background"
UFP	Ultra-Fine Particles
UKAS	United Kingdom Accreditation Service
USA	Updating and Screening Assessment
USEPA	United States Environmental Protection Agency
VCM	Volatile Correction Model
ZEZ	Zero Emission Zone

# Annex A. LAQM Action Toolbox

## Introduction

- A.01 This toolbox is designed to assist local authorities with their duties with the Local Air Quality Review and Assessment process prescribed under Part IV of the Environment Act. It gives guidance on the overview of measures which can be considered as part of the Air Quality Action Planning process and provides signposting to useful resources on the Air Quality Hub.
- A.02 This toolbox should be used in conjunction with guidance contained on the Local Air Quality Management (LAQM) Support website (see Box 1-2) and Air Quality Hub.
- A.03 Specific case studies of the measures set out and examples of where they have been implemented/trialled are available on the Air Quality Hub.

## Background

- A.04 The existing tools available to local authorities should be used to assess local air quality and decide whether further action is needed to help identify the key emissions sources to tackle in order to improve local air quality. The range of measures that can be taken locally will evolve as more evidence emerges on the sources of pollutants, the range of solutions and what actions have worked in other areas.
- A.05 In order to build and implement effective actions, it is important for each local authority to identify their key stakeholders, which will include organisations responsible for managing emissions sources (e.g. major roads), local industry and large businesses, other departments within the same local authority and other local authorities that “share” the same issues. These organisations may also have access to specific funding (e.g. Clean Bus Technology Fund). Local authorities will have to work with the RPAs who may be in part responsible for controlling emissions sources.
- A.06 It is best for Local Authorities to take a holistic approach. As well as synergies, other actions taken as part of a local authority’s responsibilities can also conflict with the goal to improve air quality. A full understanding of all actions being undertaken in a local area will enable a robust Air Quality Action Plan to be developed. A balanced approach with other local authority responsibilities may be needed to ensure actions are effective.

## Guide to the Criteria Used to Assess Effect on Emissions

- A.07 The following criteria are intended as a guide to the impact of each type of measure, and should not be used by local authorities as a way of ranking which measures to take forward:
- Low effect – action focused on a small proportion of sources contributing to an exceedance
  - Medium effect – action focused on only one key emissions source
  - High effect – action focused on dealing with key high emitting sources, or a number

of emissions sources

- A.08 It may be the case that many measures that have a 'low' impact are necessary before measures with a 'high' impact can be introduced. Some 'low' impact measures may also have co-benefits for other policies not immediately connected to air pollution, such as tackling obesity through 'walk-it' schemes and sustainable transport initiatives.
- A.09 A tick against an action in the column 'reduces PM<sub>2.5</sub> emissions' means it is likely to help reduce these emissions.

## **Toolbox**

- A.10 The Toolbox links to a number of sources which give an overview of what actions can be taken. Quantified measures have been used where possible. The toolbox is a live document that will be updated as new evidence and examples of effective actions come forward. If you are aware of further case studies, reports or details of benefits and costs that help fill in gaps or will add more depth to the examples mentioned below, then please contact [LAQMHelpdesk@bureauveritas.com](mailto:LAQMHelpdesk@bureauveritas.com) or upload these to the Air Quality Hub.
- A.11 The Air Quality Hub is a source which includes case studies and actions in greater detail than the below toolbox and is more regularly updated. While the below measures should be helpful, there may be more in-depth detail on the Hub.

**Table A.1 – Action Toolbox**

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
Alternatives to private vehicle use	Bus based Park & Ride	Medium	✓	Park and Ride - The vast majority of Park and Ride sites are situated on the outskirts of city centres and are designed to relieve road congestion and improve air quality in city centres and along key approach roads.
Alternatives to private vehicle use	Car & lift sharing schemes	Low to Medium	✓	Car sharing is when two or more people travel together for all or part of one trip, reducing emissions and congestion. This can be done informally or via an organised car share scheme. Car sharing schemes reduce the number of single-occupancy car trips and in some cases may remove the need for personal car ownership and associated costs.
Alternatives to private vehicle use	Car Clubs	Low	✓	Car clubs give people access to a choice of car club vehicles in their local area when they require it, but without the burden of full vehicle ownership costs.
Alternatives to private vehicle use	Rail based Park & Ride	Low	✓	Park and Rail - Similar to Park and Ride, Park and Rail is a form of integrated transport that allows private car users to park their vehicles close to a rail station and travel into a town/city centre or other major destination using a rail service.
Alternatives to private vehicle use	Other	Low	✓	E-Scooter trials- E-scooters offer the potential for fast, clean and inexpensive travel that can also help ease the burden on transport networks and allow for social distancing.

<sup>137</sup> The measures category is used by Defra for EU reporting and are linked to the categories in the Air Quality Action Plan and ASR/APR templates

<sup>138</sup> The expected change actions have on emissions can be assessed easily; however, there are many more uncertainties when estimating the impact to concentrations

<sup>139</sup> Low effect – action focused on a small proportion of sources contributing to an exceedance

Medium effect – action focused on only one key emissions source

High effect – action focused on dealing with key high emitting sources, or a number of emissions sources

<sup>140</sup> More information and detailed case studies for these strategy measures are available on the Air Quality Hub. <https://www.airqualityhub.co.uk/strategy-measures/>

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
Environmental Permits	Introduction/increase of environment charges through permit systems and economic instruments	medium	✓	The Environment Agency has published <a href="#">guidance</a> <sup>141</sup> for regulators and operators of facilities that are covered by the Environmental Permitting (England and Wales) Regulations 2016.
Environmental Permits	Large Combustion Plant Permits and National Plans going beyond BAT	high	✓	The aim of <a href="#">the Large Combustion Plant Directive</a> <sup>142</sup> (LCP) is to reduce emissions of acidifying pollutants, particles, and ozone precursors. Controlling emissions from large combustion plants (with rated thermal inputs equal to or greater than 50 MW) is critical to reducing air pollution, particularly acidification, eutrophication and ground-level ozone across Europe.
Environmental Permits	Measures to reduce pollution through IPPC Permits going beyond BAT	medium	✓	The Environment Agency has published guidance for regulators and operators of facilities that are covered by the Environmental Permitting (England and Wales) Regulations 2016.
Environmental Permits	Other measure through permit systems and economic instruments	Low to Medium	✓	Local authorities have several powers available to them to control and reduce emissions to air from industrial and commercial premises. Those industries with the greatest potential to pollute usually require an environmental permit. Environmental permits are issued to: prevent local pollution problems, such as dust and odour reduce and limit emissions of air pollutants that contribute to local air quality problems and wider issues, such as climate change provide regulatory control over the way industrial processes are operated and managed.
Environmental Permits	Tradable permit system through permit systems and economic instruments	Low to Medium	✓	Tradable permits can be used to reduce overall emissions of pollutants and introduce an element of the 'polluter pays' principle. Schemes generally work best on a multi-national scale. For example, The EU Emissions Trading Scheme for CO <sub>2</sub> (and equivalents) covers all EU countries and includes larger power stations and industrial plants.
Freight and Delivery Management	Delivery and Service plans	medium	✓	Delivery and Service Plans can be used to help co-ordinate vehicle movements to a property, increasing efficiency and reducing congestion and emissions.

<sup>141</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/935917/environmental-permitting-core-guidance.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/935917/environmental-permitting-core-guidance.pdf)

<sup>142</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32001L0080>

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
Freight and Delivery Management	Freight Consolidation Centre	medium	✓	TfL has published a case study which outlines the lessons learned from a Consolidation Centre set up to serve the London boroughs of Camden, Enfield, Islington and Waltham Forest. <a href="http://content.tfl.gov.uk/lbcc-case-study.pdf">http://content.tfl.gov.uk/lbcc-case-study.pdf</a>
Freight and Delivery Management	Freight Partnerships for city centre deliveries	high	✓	Cycle couriers - The “last mile” is a term used to describe the movement of goods from the main distribution centre to the final destination i.e. local homes and businesses. The emission impact of last-mile deliveries can be reduced by transferring some of these trips to cycle couriers.  Freight Quality Partnerships - Freight Quality Partnerships (FQPs) are groups and/or forums between the freight industry, local authorities, local businesses, the local community, environmental groups and others who may have an interest in freight. The aim of these partnerships is to encourage collaboration to develop an understanding of, and deal with issues relating to freight deliveries, access and servicing.  Freight consolidation/low emission last mile schemes - Over the past decade, last-mile deliveries have become dominated by smaller diesel vans, mainly due to the rapid growth of Internet shopping.
Freight and Delivery Management	Quiet & out of hours delivery	low	✓	Encouraging bulk deliveries (e.g. to supermarkets) out of hours can help reduce congestion at busy times. However, these deliveries may encounter other issues that need to be managed, such as noise disturbance late at night.
Freight and Delivery Management	Route Management Plans/ Strategic routing strategy for HGV's	high	✓	Routing/delivery planning - Efficient routing and delivery planning can help to reduce the number of journeys associated with deliveries, reduce congestion caused by loading /unloading activities and dramatically improve fuel usage and efficiency for operators. These all have knock-on benefits for local air quality and carbon emissions.
Freight and Delivery Management	Other	Low to High	✓	Alternative fuels for freight and deliveries - Diesel is currently the dominant fuel used by HGVs but electric, gas-powered and dual-fuel HGVs and vans are gradually entering the market.  Promoting use of rail for freight deliveries - An alternative option to reduce the number of HGVs on roads is to deliver freight by rail.
Policy Guidance and Development Control	Air Quality Planning and Policy Guidance	Low to High	✓	Emission Mitigation - Many developments have emissions to air which need to be mitigated. Where the emission growth is likely to be small it is becoming increasingly common for local authorities to require ‘standard’ emission mitigation, usually in the form of electric vehicle recharging infrastructure (passive or active) and requirements for control of

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
				<p>construction emissions via a Construction Environmental Management Plan (CEMP) or Dust Management Plans (DMP)</p> <p>Exposure reduction measures - Minimising exposure can be achieved by requesting increased distance of relevant receptor points from roadsides (setting back of the development) and/or encouraging re-orientation of the design to place non-habitable rooms on roadside facades (and habitable rooms as far from roads as possible).</p> <p>Local Plan – air quality considerations - Local planning decisions have an important role to play in maintaining and improving local air quality and minimising exposure levels, as they determine the design, location and management of emission sources and sensitive receptors.</p> <p>Supporting carbon reduction - Many local authorities have declared climate change emergencies and are pursuing net-zero carbon policies. In some cases, conflict can arise between carbon reduction policies and the need to improve local air quality. An example of this is the use of biomass burners, which offer considerable savings in emissions of the greenhouse gas CO<sub>2</sub> but can give rise to increased local concentrations of PM and NO<sub>2</sub> (depending on the size, scale and location of the installation).</p> <p>Quarry Management - Whilst there is little in which a local authority can do directly to reduce emissions from these, they can control the health and amenity impacts of quarrying by ensuring quarrying emissions are adequately addressed and controlled through the planning system and carrying out permitting duties.</p>
Policy Guidance and Development Control	Low Emissions Strategy	High	✓	<p>Local authority electric vehicle charging strategy - The transition to zero tailpipe emission vehicles will be mainly consumer and industry led but local authorities have an important role to play in facilitating this change.</p> <p>A number of local authorities (such as the Go Ultra Low Cities) have been early adopters of zero tailpipe emission technologies and have already delivered a number of high-profile low emission vehicle and infrastructure projects.</p> <p>EV charging and planning - The National Planning Policy Framework (NPPF) states that developments should be designed to enable charging of plug-in and other ultra-low emission vehicles in safe, accessible and convenient locations and that where parking standards are set these should take into account the need to ensure an adequate provision of spaces for charging plug-in and other ultra-low emission vehicles.</p>

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
				Green infrastructure/trees - In some situations, green infrastructure in the form of trees and other plants can be used to alter the dispersion pattern of emissions and /or trap pollutants.
Policy Guidance and Development Control	Other policy	Low	✓	<p>Green infrastructure (e.g. shelter belts) - Plants and trees can be used effectively in agricultural settings to reduce emissions of particulates and minimise erosion. Shelter belts are one or more rows of trees or shrubs planted in positions where they maximise shelter from prevailing winds and reduce runoff. Shelter belts are used to reduce ammonia concentrations and subsequent impact on local habitats – particularly resulting from ventilation of animal housing. The Ammonia Reduction from project (<a href="https://www.farmtreestoair.ceh.ac.uk/ART">https://www.farmtreestoair.ceh.ac.uk/ART</a>) and calculator (<a href="https://www.farmtreestoair.ceh.ac.uk/ammonia-reduction-calculator">https://www.farmtreestoair.ceh.ac.uk/ammonia-reduction-calculator</a>) can be used to calculate this.</p> <p>Low emission farming - Promoting and facilitating low emission farming practices (e.g. fitting slurry store covers, and spreading using a trailing hose, trailing shoe or by injection).</p> <p>Health Impact Assessments - Health Impact Assessments (HIA) help decision-makers to make informed choices about proposed schemes, improvements and strategies aiming to better health and well-being outcomes for communities.</p>
Policy Guidance and Development Control	Regional Groups Co-ordinating programmes to develop Area wide Strategies to reduce emissions and improve air quality	Low to High	✓	Collective action across areas that have similar air quality problems, e.g. the local authorities that make up a city or region, can speed up air quality improvement and help to reduce costs.
Policy Guidance and Development Control	Sustainable Procurement Guidance	Low	✓	Procurement strategy/policy -Public sector procurement has an important role to play in securing environmental improvements, particularly in relation to reducing vehicle emissions and accelerating the transition to a low carbon economy.
Promoting Low Emission Plant	Emission control equipment for small and medium sized stationary combustion sources / replacement	Low	✓	NRMM - Non-Road Mobile Machinery (NRMM) means any mobile machine, transportable equipment or vehicle with or without bodywork or wheels which isn't intended for carrying passengers or goods on the road and which incorporates a combustion engine.

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
	of combustion sources			
Promoting Low Emission Plant	Low Emission Fuels for stationary and mobile sources in Public Procurement	Low	✓	
Promoting Low Emission Plant	Other measure for low emission fuels for stationary and mobile sources	Low	✓	<p>Solar - Solar panel electricity systems, also known as photovoltaics (PV), capture the sun's energy using photovoltaic cells. The cells convert sunlight into electricity, which can be used to run appliances, provide lighting, heat water or be fed back onto the national grid.</p> <p>Ground source/air source heating - A ground source heat pump (GSHP) circulates a mixture of water and antifreeze around a loop of pipe, called a ground loop, which is buried in the ground.</p>
Promoting Low Emission Plant	Public Procurement of stationary combustion sources	Low to Medium	✓	Heat and power provision in schools - UK schools currently account for a large proportion of local authorities' emissions.
Promoting Low Emission Plant	Regulations for fuel quality for low emission fuels for stationary and mobile sources	Low to Medium	✓	<p>Smoke Control Areas (include smokeless fuels) - Many parts of the UK have been designated as 'Smoke Control Areas (SCAs)'. Within a SCA it is an offence to emit smoke from a chimney unless an 'authorised fuel' is being burnt or an 'exempt appliance' is being used.</p> <p>Biomass - Biomass is a renewable energy source, generated from burning wood, plants and other organic matter, such as manure or household food waste. It releases CO<sub>2</sub> when burned, but considerably less than fossil fuels.</p>
Promoting Low Emission Plant	Shift to installations using low emission fuels for stationary and mobile sources	Low to Medium	✓	<p>District heating schemes - District heating schemes, sometimes called District Heat Networks (DHNs), are a system of insulated pipes that take heat from a central generation source and deliver it to several domestic or non-domestic buildings within the same locality.</p> <p>Combined heat and power schemes - Combined heat and power (CHP) is a highly efficient process that captures and utilises heat that is a by-product of electricity generation. By generating heat and power simultaneously, CHP can reduce carbon emissions by up to 30% compared to use of more conventional generation via a boiler and a power station.</p>
Promoting Low Emission Plant	Other Policy			

Measures category <sup>137</sup>	Measure Classification	Effect on reducing NO <sub>x</sub> and PM <sub>10</sub> emissions <sup>138</sup> (low, medium, high) <sup>139</sup>	Reduces PM <sub>2.5</sub> emissions	Summary of measures <sup>140</sup> Case Studies and Existing Examples Available on the Air Quality Hub
Promoting Low Emission Transport	Company Vehicle Procurement - Prioritising uptake of low emission vehicles	High	✓	Procurement of low emission buses and coaches - Buses and coaches can be a significant source of emissions in cities. It is important to set targets and incentives for the procurement of low emissions vehicles within the bus and coach fleets.
Promoting Low Emission Transport	Low Emission Zone (LEZ)	High	✓	<p>Low Emission Zones (LEZ) were the precursors of Clean Air Zones (CAZ). Unlike a CAZ (which is a clearly defined package of measures aimed at reducing all emissions in an area as far as possible) a LEZ is usually a more stand-alone vehicle access restriction focused mainly on achieving compliance with one or more air quality objectives in a traffic emission 'hotspot'.</p> <p>Traffic Regulation Conditions - Under section 7 of the Transport Act 1985, a local transport authority may apply to the Traffic Commissioner for a Traffic Regulation Condition (TRC) to be implemented for a variety of reasons. This can be used to restrict any class of vehicle (including buses HGVs) from using any road.</p> <p>Clean Air Zone (CAZ) A Clean Air Zone (CAZ) defines an area where targeted action is taken to reduce exposure to all pollutants (including nitrogen dioxide and particulate matter). Additional information is provided in Chapter 2.</p>
Promoting Low Emission Transport	Priority parking for LEVs	Medium	✓	On-street parking strategies - Preferential parking rates can also be used to influence vehicle ownership choices with differential rates being made available for smaller or ultra-low emission vehicles.
Promoting Low Emission Transport	Procuring alternative Refuelling infrastructure to promote Low Emission Vehicles, EV recharging, Gas fuel recharging	Medium to High	✓	<p>Fuel Additives - Fuel additives are chemical treatments for engines that claim to reduce exhaust emissions, improve fuel economy and boost engine performance.</p> <p>Biofuels - Biofuels for vehicles are produced from the processing of biomass such as corn, sugar and vegetable oils. Biodiesel is known to reduce emissions of particulate matter and hydrocarbons, but due to having a higher oxygen content it can result in higher NO<sub>x</sub> emissions.</p> <p>Gas refuelling (e.g. CNG) - A natural gas vehicle is generally considered to be an alternatively fuelled vehicle which runs on Compressed Natural Gas (CNG) or Liquid Natural Gas (LNG). CNG and LNG are widely reported to significantly reduce CO<sub>2</sub>, PM and NO<sub>x</sub> emissions. However, some conflicting evidence has recently been published by the</p>

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				<p>Netherlands government, suggesting that the emission savings compared to a conventional diesel truck may be less than previously suggested.</p> <p>Hydrogen vehicles- Hydrogen vehicles use hydrogen as a fuel for motive power. Whilst hydrogen vehicles do not generate any damaging emissions at the point of use, the process of making hydrogen requires energy, often from fossil fuel sources</p> <p>Electric vehicles - An electric vehicle, also called an EV, uses one or more electric motors for propulsion. As plug-in vehicles have zero (or significantly lower) tailpipe emissions than a conventionally fuelled vehicle they are subject to lower road tax (often free) and gain free (or considerably cheaper) entry into Clean Air Zones / Low Emission Zones.</p> <p>Partnership Working – EV Charging Points (e.g. zero carbon world project) - Local authorities can work in collaboration with businesses, charitable organisations and government departments to address specific issues and support each other with common challenges.</p>
Promoting Low Emission Transport	Public Vehicle Procurement - Prioritising uptake of low emission vehicles	High	✓	
Promoting Low Emission Transport	Taxi emission incentives	Medium	✓	<p>Taxi recognition scheme</p> <p>Encourage voluntary membership of taxi fleet accreditation schemes</p> <p>Taxi financial incentives</p> <p>Introducing financial incentives can encourage the uptake of lower emission taxis and encourage a shift away from diesel towards electric and hybrid alternatives.</p>
Promoting Low Emission Transport	Taxi Licensing conditions	Medium	✓	Taxi licensing authorities can set licensing conditions to determine a threshold on emissions or age, where vehicle that exceed these conditions are not eligible to hold a license to operate.
Promoting Travel Alternatives	Encourage / Facilitate home-working	Low to Medium	✓	Home-working removes the need for staff travel to business premises. Homeworking can be facilitated by individual employers (via their Workplace Travel Plan policies) and through local development policies which require new homes to be adaptable for home working.

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Promoting Travel Alternatives	Intensive active travel campaign & infrastructure			
Promoting Travel Alternatives	Personalised Travel Planning	Low to Medium	✓	Personalised Travel Planning (PTP) provides information and incentives to encourage the way individuals think about the way they travel. This can help encourage a modal shift towards more sustainable and lower emission transport options.
Promoting Travel Alternatives	Promote use of rail and inland waterways	Medium	✓	Inland waterways - Moving freight by water has the potential to offer a lower-emission alternative to an equivalent journey by road.
Promoting Travel Alternatives	Promotion of cycling	Low	✓	<p>Cycle training and route planning - Cycle training aims to provide the public with the skills required to independently, safely, and confidently navigate roads as a cyclist.</p> <p>Cycle to work schemes/new home bike schemes/recycling schemes - Cycle to Work schemes are employee benefit schemes that enable employees to hire/buy cycles and safety equipment for active travel, in return for a deduction from their earnings known as salary sacrifice.</p> <p>Cycle parking, repair and changing facilities - Cycling becomes a more attractive option if at the end of the journey there is somewhere safe to secure your bike, somewhere to shower and/or change, somewhere to dry out wet clothing.</p> <p>Park and cycle schemes - Park &amp; Cycle schemes aim to encourage completion of car journeys by bicycle to reduce vehicle emissions in the vicinity of sensitive locations.</p>
Promoting Travel Alternatives	Promotion of walking	Low	✓	<p>Promoting sustainable travel to school - Local Authorities, under the Education Act 1996, have a duty to promote the use of sustainable travel options to and from venues where education is delivered.</p> <p>Walking infrastructure improvements</p> <p>Walking can be an economical way to exercise and can be undertaken as part of everyday life when used to access work, shopping or leisure activities.</p> <p>Walking events/groups</p> <p>- Some local authorities offer complimentary guided tours and guide-led walks to encourage more people to walk for fitness and well-being.</p> <p>Pedestrian training</p>

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				<p>Pedestrian training is designed to teach individuals the Green Cross Code, and offer the skills required to independently, safely, and confidently travel as a pedestrian.</p> <p>Improved pedestrian signage and maps</p> <p>Provision of maps and signage to key destinations within town/city centres, especially in areas designated as footstreets, can increase the uptake of walking and offer an improved pedestrian experience, particularly for visitors/tourists.</p> <p>Footstreets</p> <p>Areas within city centres are often designated as pedestrian footstreets, with restrictions to vehicle access between certain times of the day, or 24 hours a day in some places.</p> <p>Park and Stride Scheme</p> <p>Park &amp; Stride schemes aim to encourage completion of car journeys by foot to reduce vehicle emissions in the vicinity of sensitive locations.</p>
Promoting Travel Alternatives	School Travel Plans	Low	✓	<p>School Travel Plans set out how a school intends to manage all aspects of travel to and from their premises with an emphasis on safety and the environment. Content varies depending on the age of the pupils, the location of the school and the size of the catchment area.</p> <p>Sustainable school transport - Local authorities provide home to school transport in the form of buses and taxis.</p>
Promoting Travel Alternatives	Workplace Travel Planning	Low	✓	<p>Accessibility is a key component to the creation of sustainable communities. This is acknowledged in the Government's National Planning Policy which emphasises the need for communities to be "well connected".</p>
Promoting Travel Alternatives	Other	Low to High	✓	<p>Education based monitoring projects - Providing opportunities for children to learn about air pollution by using monitoring equipment in the field (or the classroom) can provide students with a good understanding of sources of air pollution and its impact on their health.</p> <p>School based educational activities -School based educational activities around the cause and consequence of poor air quality and promotion of sustainable travel can be an important part of an air quality improvement strategy.</p>

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				Residential travel planning - Accessibility is a key component to the creation of sustainable communities. This is acknowledged in the Government's National Planning Policy which emphasises the need for communities to be "well connected".
Public Information	Via leaflets	Low	✓	Sustainable transport-based campaigns - Promoting low and zero tailpipe emission travel alternatives to private vehicle use
Public Information	Via other mechanisms	Low	✓	Other emission reduction campaigns - Raising awareness about the health impacts of air pollution and encouraging people to minimise transport related emissions tend to be the main focus of most local authority emission reduction campaigns. Health based campaigns - Air pollution is associated with a number of adverse health impacts. It is recognised as a contributing factor in the onset of heart disease and cancer. Air quality websites - Most local authorities have at least one page dedicated to air quality on their general website.
Public Information	Via radio	Low	✓	As above
Public Information	Via television	Low	✓	As above
Public Information	Via the Internet	Low	✓	As above Social media based campaigns - Social media channels (such as Twitter and Facebook) can be used by local authorities to run effective campaigns relating to air quality and wider environmental sustainability issues.
Public Information	Other	Low	✓	Bonfires and dark smoke offences - Uncontrolled burning of materials on a bonfire gives rise to large amounts of harmful emissions. Indoor air quality - Many people are aware that emissions in the home increase personal exposure to air pollutants. However, most of the focus to date has been on outdoor air quality. Events - Air quality education and behavioural change events can be particularly effective when timed to coincide with specific weeks/days of national action (e.g. Clean Air Day, Walk to School Week)

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Traffic Management	Anti-idling enforcement	Low	✓	<p>Leaving engines running when parked (stationary idling) causes unnecessary emissions, wastes fuel and adds to noise levels. The Road Traffic (Vehicle Emissions) (Fixed Penalty) (England) Regulations 2002 and the Road Traffic (Vehicle Emissions)(Fixed Penalty)(Scotland) Regulations 2003 give discretionary powers to authorised persons acting on behalf of the local authority to issue Fixed Penalty Notices (FPNs) to drivers who allow their vehicle engines to run unnecessarily whilst the vehicle is stationary on the public highway.</p> <p>Anti-idling signage in coach parks - Idling of stationary vehicles causes unnecessary pollution which harms public health and the environment, wastes fuel and adds to noise levels. Anti-idling awareness-raising, campaign work and coach park signage can be an effective mechanism for reducing idling emissions from coaches.</p> <p>Anti-idling initiatives in educational settings - Anti-idling awareness-raising, campaign work and signage in the vicinity of schools can be an effective mechanism for reducing idling emissions from vehicles during school drop-offs and pick-ups.</p> <p>Anti-idling awareness for taxis</p> <p>By the nature of their business taxi drivers spend significant amounts of time waiting to collect passengers. During these periods there is a tendency to leave engines idling, often in areas where there are people in close proximity.</p> <p>Anti-idling policies in car parks</p> <p>Where idling problems arise on local authority owned land, for example outside a school or in a council owned car park, it may be possible for the local authority to issue a Penalty Charge Notice (PCN) under the Traffic Management Act 2004</p>
Traffic Management	Emission based parking or permit charges	Low	✓	<p>Car park strategies - Traffic levels in congested city centre environments can be effectively managed via parking management strategies that control the demand for parking and make sustainable travel options such as walking, cycling and public transport safer, cheaper and more attractive.</p>
Traffic Management	Reduction of speed limits, 20mph zones	Low	✓	<p>Speed management</p> <p>Generally, vehicles going at very high speeds (on motorways) or very low speeds (in congestion) tend to operate least efficiently and have higher exhaust emissions.</p>

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Traffic Management	Road User Charging (RUC)/ Congestion charging	High	✓	Congestion charging - Congestion charges relate to a charge being made for a vehicle to drive within a certain area or on a certain road with the primary reason for the charge being to reduce congestion i.e. implemented specifically to create a disincentive to travel by private transport.
Traffic Management	Strategic highway improvements, Re-prioritising road space away from cars, including Access management, Selective vehicle priority, bus priority, high vehicle occupancy lane	Low	✓	Dedicated drop off and collection points - Poorly managed coach drop off and pick up points can result in highway obstruction and congestion problems. Junction and road improvement schemes With respect to local roads and junctions, local authorities may be able to make relatively simple changes to traffic light timings to reduce the build-up of traffic or change priorities to allow some vehicles to pass through junctions quicker than others.
Traffic Management	Testing Vehicle Emissions	Low		If a local authority has designated an Air Quality Management Area., then the council can test vehicles at the roadside and issue fixed penalties to drivers whose vehicles fail. More information is available at <a href="http://www.legislation.gov.uk/ukxi/2002/1808/made">www.legislation.gov.uk/ukxi/2002/1808/made</a>
Traffic Management	UTC, Congestion management, traffic reduction	Low to High	✓	Vehicle priority and High Occupancy Vehicle (HOV) lanes - Re-prioritising road space involves shifting road space away from one type of user to facilitate uptake by a different type of user. In the UK, vehicle priority schemes are usually aimed at providing more space for buses, taxis, bicycles and pedestrians. Urban Traffic Management Control (UTMC) systems allow different components within an area-wide traffic management systems to communicate and share information with each other.
Traffic Management	Workplace Parking Levy, Parking Enforcement on highway	Low	✓	Workplace Parking Levy (WPL) - A Workplace Parking Levy (WPL) is a charge local authorities can make to employers and education organisations in their areas based on the number of parking spaces they provide that are regularly used by employees and students.
Transport Planning and Infrastructure	Bus route improvements	High	✓	Quality Bus Partnerships (QBP) - A Quality Bus Partnership Agreement (QBP) is a voluntary agreement between a local authority or local transport authority, at least one bus operator and any (optionally) third parties.

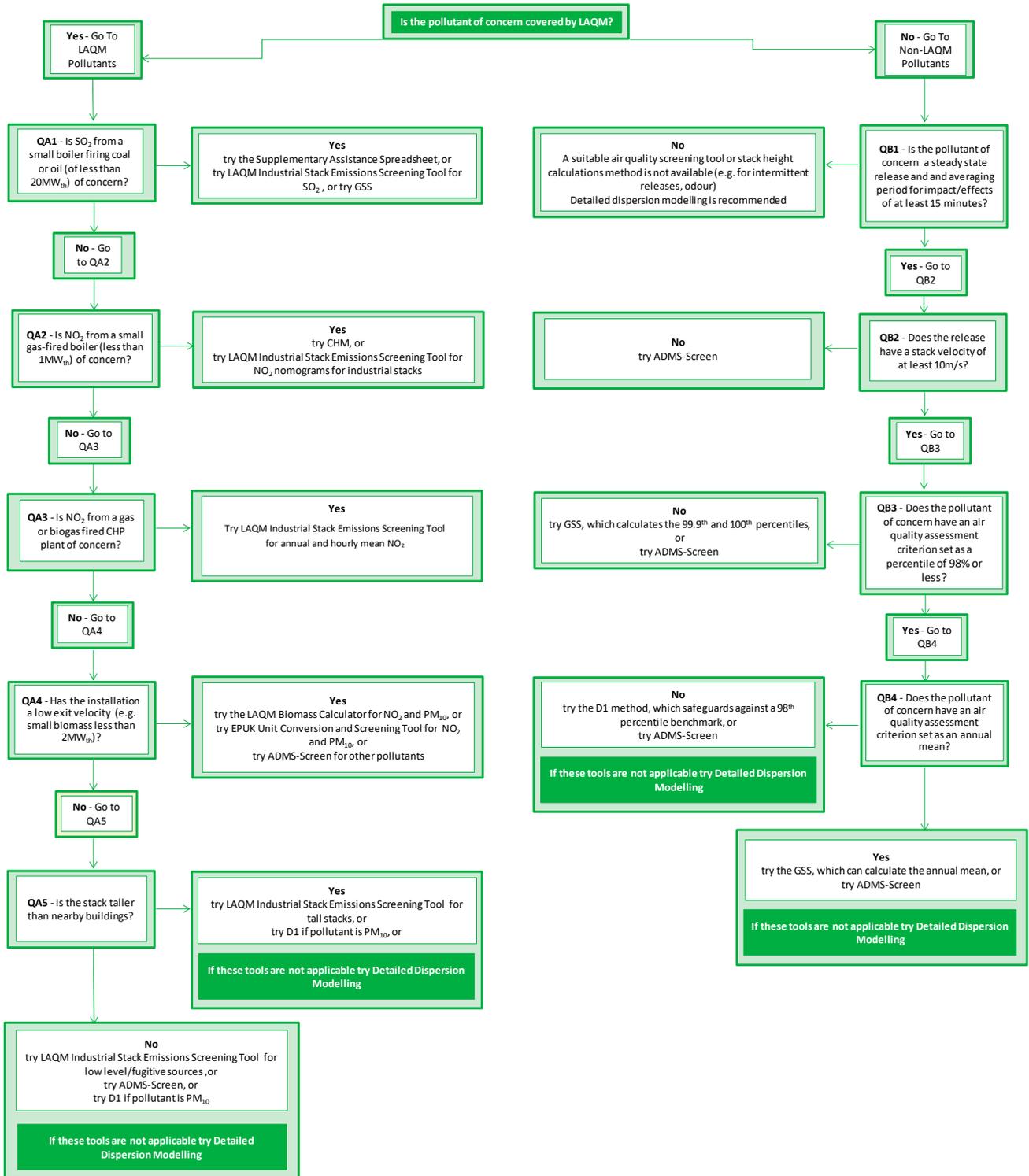
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				Tendered Bus Services - Some bus routes are not commercially profitable due to low population density and/or a lack of demand. These therefore require additional subsidies in order to cover running costs.
Transport Planning and Infrastructure	Cycle network	Low	✓	Cycle lane network/off road network - Investment in cycling infrastructure can improve safety, accessibility and attractiveness of cycling.
Transport Planning and Infrastructure	Public cycle hire scheme	Low	✓	The Mayor of London has developed a cycle-hire scheme across London to encourage more trips to take place by bicycle
Transport Planning and Infrastructure	Public transport improvements- interchanges stations and services	Low	✓	Smart ticketing and live bus information - A positive user experience is critical to increase and retain patronage on public transport. To encourage more people using the bus (and other forms of public transport), the experience needs to be as convenient, comfortable, and accessible as possible. Rail improvements - Rail service and infrastructure improvements can improve rail transport journey quality and encourage patronage. Tackling rail emissions, including idling- Diesel and coal-fired stationary locomotives can give rise to high short-term NO <sub>2</sub> and SO <sub>2</sub> concentrations near railway stations or depots.
Vehicle Fleet Efficiency	Driver training and ECO driving aids	Low	✓	Public sector fleets (non-LA) - Any vehicle fleets owned by government and funded by tax-payers' money can be classified as public sector fleets. ECO driving/driver skills development - Eco-driver training teaches fleet operatives to adopt a safer and more economic approach to driving. It can help to reduce fuel costs for the employer (estimated at up to 6% in the long term for fleets by the Energy Saving Trust) and reduces emissions of local air pollutants.
Vehicle Fleet Efficiency	Fleet efficiency and recognition schemes	Low	✓	Fleet Recognition Schemes Fleet Recognition Schemes are voluntary accreditation schemes which measure fleet performance and aim to drive up standards across areas such as fuel efficiency, vehicle emissions and safety.

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				Local authority fleets (inc. grey fleet) - Local authorities own and operate a wide range of vehicles and equipment to support building/highways maintenance, waste management and delivery of other services. They also procure the use of other third party owned vehicles such as school buses, school taxis and other specialist transport.
Vehicle Fleet Efficiency	Promoting Low Emission Public Transport	High	✓	Promoting low emission public transport, such as buses, can help reduce emissions and running costs as well as provide a visible example of new technologies to the fare-paying public and other road users. Government has used grant schemes, such as the Green Bus Fund (Clean Bus Technology Fund) , to lower the capital cost of these new technologies
Vehicle Fleet Efficiency	Testing Vehicle Emissions	Low		If a local authority has designated an Air Quality Management Area., then the council can test vehicles at the roadside and issue fixed penalties to drivers whose vehicles fail. More information is available at <a href="http://www.legislation.gov.uk/ukxi/2002/1808/made">www.legislation.gov.uk/ukxi/2002/1808/made</a>
Vehicle Fleet Efficiency	Vehicle Retrofitting programmes	Medium	✓	Retrofits/upgrades - Existing vehicles can be fitted with devices that reduce their emissions. A full Diesel Particulate Filter (DPF) can reduce particulate emissions by 85-99%. A partial DPF, can reduce particulate emissions by 30-50%.

## **Annex B. Stack Screening Method Selection Tool**

- B.01 The flow chart provided below is intended to assist local authorities in selecting the most appropriate screening method to assess the impact of stack emissions on local air quality, either for planning or LAQM purposes.
- B.02 It is relevant to the smaller industrial processes, which come under local authority control, and is based upon the applicability and limitations of the various air quality screening tools and stack height calculation methods that are available, as discussed in Chapter 7 Part 1 – Screening Tools and Methodology.

**Figure B.1 – Choosing the Most Appropriate Stack Emissions Screening Method**



CHM – Chimney Height Memorandum (CHM) 3<sup>rd</sup> Edition

GSS – Environment Agency (EA) Guidance on Stationary Sources (GSS)